



Measure M
Taxpayer Oversight Committee
at the Orange County Transportation Authority
600 S. Main Street, Orange CA, Room 103/4
October 13, 2015
6:00 p.m.



AGENDA

- 1. Welcome**
- 2. Pledge of Allegiance**
- 3. Approval of Minutes/Attendance Report for August 11, 2015**
- 4. Action Items**
 - A. AER Subcommittee Eligibility Report FY 15-16
Terre Duensing, Annual Eligibility Review Subcommittee Chair
- 5. Presentation Items**
 - A. OC Streetcar Project Update and Capital Funding Plan
Presentation – Jim Beil, Executive Director, Capital Projects
 - B. Measure M1 Closeout
Presentation – Andrew Oftelie, Executive Director, Finance
 - C. Measure M2 Comprehensive Ten-Year Review Report/ Proposed Amendment
Presentation – Tamara Warren, Measure M Program Manager, Planning
- 6. OCTA Staff Updates (5 minutes each)**
 - Sales Tax Forecast – Andrew Oftelie, Executive Director, Finance
 - Other
- 7. Annual Eligibility Review Subcommittee Report**
- 8. Audit Subcommittee Report**
- 9. Environmental Oversight Committee Report**
- 10. Committee Member Reports**
- 11. Public Comments***
- 12. Adjournment**

*Public Comments: At this time, members of the public may address the Taxpayers Oversight Committee (TOC) regarding any items within the subject matter jurisdiction of the TOC, provided that no action may be taken on off-agenda items unless authorized by law. Comments shall be limited to three (3) minutes per person, unless different time limits are set by the Chairman, subject to the approval of the TOC.

Any person with a disability who requires a modification or accommodation in order to participate in this meeting should contact the OCTA Clerk of the Board, telephone (714) 560-5676, no less than two business days prior to this meeting to enable OCTA to make reasonable arrangements to assure accessibility to this meeting.



Measure M Taxpayer Oversight Committee



INFORMATION ITEMS

- | | |
|--|-----------------------|
| 1. Measure M2 Comprehensive Transportation Funding Programs – 2016 Annual Calls for Projects | Aug. 10, 2015 |
| 2. Measure M2 Environmental Cleanup Program – 2015 Tier 1 Water Quality Grant Funding Allocations | |
| 3. Capital Programs Division – Fourth Quarter FY 14-15 and Planned FY 15-16 Capital Action Plan Performance Metrics | |
| 4. Measure M2 Progress Report for the Period of April 2015 Through June 2015 and Ten-Year Review | Sept. 14, 2015 |
| 5. Measure M2 Fare Stabilization Update | Sept. 28, 2014 |
| 6. Federal Incentive Payment Program. Modified Settlement Delegation Authority, and Adoption of CEQA Findings for the I-405 Improvement Project | |

*Public Comments: At this time, members of the public may address the Taxpayers Oversight Committee (TOC) regarding any items within the subject matter jurisdiction of the TOC, provided that no action may be taken on off-agenda items unless authorized by law. Comments shall be limited to five (5) minutes per person and 20 minutes for all comments, unless different time limits are set by the Chairman, subject to the approval of the TOC.

Any person with a disability who requires a modification or accommodation in order to participate in this meeting should contact the OCTA Clerk of the Board, telephone (714) 560-5676, no less than two business days prior to this meeting to enable OCTA to make reasonable arrangements to assure accessibility to this meeting.

Measure M
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At the Orange County Transportation Authority
600 S. Main Street, Orange CA, Room 103/4
August 11, 2015
6:00 p.m.

AGENDA

Committee Members Present:

Eric Woolery, Orange County Auditor-Controller, Co-Chairman
Narinder "Nindy" Mahal, First District Representative
Anthony Villa, First District Representative
Margie Drilling, Second District Representative
Alan Dubin, Second District Representative
Terre Duensing, Third District Representative, Co-Chairman
Dr. Ron Randolph, Third District Representative
Cynthia Hall, Fourth District Representative
Sony Soegiarto, Fourth District Representative
Guita Sharifi, Fifth District Representative
Nilima Gupta, Fifth District Representative

Committee Member(s) Absent:

None

Orange County Transportation Authority Staff Present:

Jim Beil, Executive Director, Capital Programs
Marissa Espino, Community Relations Officer
Janice Kadlec, Public Reporter Specialist
Kia Mortazavi, Executive Director, Planning
Sean Murdock, Director, Finance and Administration
Dan Phu, Section Manager, Strategic Planning
Andrew Oftelie, Executive Director, Finance and Administration
Alice Rogan, Strategic Communications Manager, External Affairs
Tamara Warren, Program Manager, M Program Management Office

1. Welcome

Chairman Eric Woolery welcomed everyone to the Orange County Transportation Authority (OCTA) Taxpayer Oversight Committee (TOC) meeting at 6:00 p.m. Chairman Eric Woolery said there were four new TOC members in attendance and

asked all the members to go around the table and introduce themselves and their supervisorial district. The new members are:

- Anthony Villa, Representing the First District
- Alan Dubin, Representing the Second District
- Sony Soegirto, Representing the Forth District
- Guita Sharifi, Representing the Fifth District.

2. Pledge of Allegiance

Chairman Eric Woolery asked everyone to join him in the Pledge of Allegiance to the Flag.

3. Approval of the Minutes/Attendance Report for June 9, 2015

A motion was made by Cynthia Hall and seconded by Ron Randolph to approve the June 9, 2015 TOC Minutes/Attendance report. Chairman Eric Woolery asked if there were any additions or corrections to the June 9, 2015 Minutes and Attendance Report. There were no additions or corrections and the June 9, 2015 Minutes and Attendance Report was carried unanimously as presented.

4. Subcommittee Selection

The following TOC members volunteered to sit on the TOC subcommittees:

Annual Eligibility Review Subcommittee

Alan Dubin
Terre Duensing
Cynthia Hall
Guita Sharifi
Dr. Ron Randolph

Audit Subcommittee

Margie Drilling
Nilima Gupta
Narinder "Nindy" Mahal
Dr. Ron Randolph
Sony Soegiarto

5. Action Items

A. TOC Co-Chair Election

Chairman Eric Woolery nominated Terry Duensing for TOC Co-Chairman. He asked if there were any other nominations. There being no further nominations Dr. Ronald Randolph asked that the nominations be closed.

Terre Duensing was confirmed as TOC Co-Chair by a unanimous vote.

6 Presentation Items

A. Capital Action Plan Update

Jim Beil gave and update of the Capital Action Plan and Capital Action Plan

Performance Measures. This report is given to the OCTA Board of Directors on a quarterly basis and it lays out the work plan for all the Rail and Highways Programs.

Nilima Gupta asked why the use of the term 'milestones.' Jim Beil said it's a measurement point for progress which ties to budgeted resources and funding.

Margie Drilling asked why the West County Connector project received so many comments from Caltrans. Did they not see the plans at 25 and 60 percent? Why did they have so many concerns? Jim Beil said the big issue is that they were asking for additional scope be included in the project. Caltrans wants to include additional irrigation systems in areas not impacted by the West County Connector project. OCTA is working through the comment process.

Narinder Mahal asked why the right lanes of the Redhill bridge near the airport over the I-405 has been closed for over eight months. Jim Beil said Caltrans has experienced repeated subterranean settlement. So they have repeatedly repaired the retaining walls on the approach to the bridge. They still have settlement problems and their geologist have not found the cause.

B. Measure M2 Environmental Mitigation Program Update

Dan Phu, Section Manager, Strategic Planning and Marissa Espino, Community Relations Officer, gave an update of the M2 Environmental Mitigation Program.

Guita Sharifi asked who will be funding the endowments for the properties. Dan Phu said OCTA will fund the endowment through Measure M2. The M2 Environmental Mitigation Program generates approximately five to six million dollars a year. During the next 10 to 12 years when the endowment is being established, the management and maintenance of the acquired properties will need to be paid for through existing M2 revenues. Once the endowment is fully established, then the interests earned off the endowment will be used to pay for the long-term land management.

Cynthia Hall asked how prepared is OCTA for the ups and downs of the market and other emergencies. Dan Phu said someone on the ground will have to manage the properties until the endowment kicks in. Within the Conservation Plan there are safeguards which will address, drought years, fires, and unexpected natural occurrences. OCTA also has an economic forecaster. On the financial side, safeguards have been built-in to allow OCTA to ramp-up or ramp-down management efforts as needed.

A committee member asked if the seven properties purchased will be the extent of the program or will other properties be purchased. Dan Phu said there may be some money left to fund additional acquisitions, but that will be a decision of the Environmental Oversight Committee in the future.

A committee member asked for the definition of a transportation Nexus. Dan Phu said by widening a freeway they sometimes have to go out of the existing footprint and take out the natural habitat of plant or animal species. If this occurs, they have to go to other places in the county and replace or protect what was taken with a similar existing footprint.

C. Measure M 2 Environmental Clean-up Program (Project X)

Dan Phu gave a report on the Measure M2 Environmental Clean-up Program (Project X). The purpose of this program is to fund projects beyond mitigation. The administration of Project X is similar to the OCTA Streets and Roads Program.

Margie Drilling asked who sat on the Environmental Cleanup Allocation Committee (ECAC) that makes some of the decisions on the applications. Off the top of his head, Dan Phu said the committee is comprised of five Orange County city members, and the following non-city members:

- Two Sanitary Districts
- Two non-voting Regional Water Quality District
- A member of the Orange County Watersheds
- A member of the Orange County Coastal Keeper
- A member from the University of California, Irvine
- Caltrans
- An Environmental Consultant

7. OCTA Staff Updates

- Finance Directors Workshop – Sean Murdock gave an update on the Finance Directors Workshop.

8. Annual Eligibility Review Subcommittee Report

The AER had nothing to report.

9. Audit Subcommittee Report

Chair Eric Woolery reported the Audit Subcommittee met earlier and received information on the following:

- Approve revised Measure M1 Status Report – Agreed-Upon Procedures for Fiscal Year 2015
- Approve revised Measure M2 – Agreed Upon Procedures related to Projects Q and U and Timing changes for these Procedures beginning with Fiscal year 2016

10. Committee Member Reports

There were no other committee member reports.

11. Public Comments

There were no Public Comments.

12. Adjournment

The Measure M Taxpayer Oversight Committee meeting adjourned at 7:15 p.m.

Taxpayer Oversight Committee

Fiscal Year 2015-2016

Attendance Record



X = Present E = Excused Absence * = Absence Pending Approval U = Unexcused Absence -- = Resigned

| Meeting Date | 7-Jul | 11-Aug | 8-Sep | 13-Oct | 10-Nov | 8-Dec | 12-Jan | 9-Feb | 8-Mar | 12-Apr | 10-May | 14-Jun |
|-----------------|-------|--------|-------|--------|--------|-------|--------|-------|-------|--------|--------|--------|
| Margie Drilling | | X | | | | | | | | | | |
| Alan Dubin | | X | | | | | | | | | | |
| Terre Duensing | | X | | | | | | | | | | |
| Nilima Gupta | | X | | | | | | | | | | |
| Cynthia Hall | | X | | | | | | | | | | |
| Nindy Mahal | | X | | | | | | | | | | |
| Ronald Randolph | | X | | | | | | | | | | |
| Guita Sharifi | | X | | | | | | | | | | |
| Sony Soegiarto | | X | | | | | | | | | | |
| Anthony Villa | | X | | | | | | | | | | |
| Eric Woolery | | X | | | | | | | | | | |

Absences Pending Approval

Meeting Date

Name

Reason

Action Items



October 13, 2015

To: Taxpayer Oversight Committee

From: Annual Eligibility Review Subcommittee

Subject: Fiscal Year 2015-16 Measure M2 Annual Eligibility Review Subcommittee Recommendations

Overview

The Measure M2 ordinance requires all local jurisdictions in Orange County to annually satisfy eligibility requirements in order to receive Measure M2 net revenues. The Annual Eligibility Review subcommittee review process for fiscal year 2015-16 has been completed.

Recommendations

Approve Pavement Management Plans for odd numbered year agencies, Mitigation Fee Programs, and Congestion Management Programs for all local jurisdictions in Orange County; and find all local jurisdictions eligible to receive Measure M2 net revenues net revenues for fiscal year 2015-16.

Background

The Taxpayer Oversight Committee (TOC) is responsible for reviewing local jurisdictions Local Signal Synchronization Plan (LSSP), Mitigation Fee Program, Expenditure Report, Congestion Management Plan, and Pavement Management Plan (PMP) for compliance with the ordinance. The Annual Eligibility Review (AER) subcommittee has been designated by the TOC to review the eligibility submittals with support from Orange County Transportation Authority (OCTA) staff. The AER subcommittee members include Terre Duensing (Chair), Alan Dubin, Cynthia Hall, Guita Sharifi and Ronald Randolph.

The three eligibility components due this eligibility cycle include the PMPs for odd numbered year agencies (Attachment A), Mitigation Fee Programs, and CMPs for all the local jurisdictions in Orange County. After the annual eligibility review, the determination of the TOC committee is forwarded to the Orange County Transportation Authority Board of Directors for final eligibility determination.

Discussion

Local jurisdictions are required to annually submit eligibility packages by June 30th. OCTA staff reviewed the CMP, Mitigation Fee Program, and PMP submittals to ensure each eligibility package was complete and accurate; and worked with the local jurisdictions to obtain information and/or back up materials as needed. The AER subcommittee convened on September 23, 2015 to review and discuss the PMP certifications, Mitigation Fee Programs, and CMPs. The AER subcommittee found these submittals to be in compliance with the Ordinance and recommend to the TOC for eligibility approval.

Upon TOC approval, OCTA staff will present the eligibility findings to the Regional Planning and Highways Committee on December 7, 2015 and to the OCTA Board of Directors on December 14, 2015. Eligibility determination is conditional upon review of the expenditure reports due December 31, 2015, with the exception of city of Huntington Beach that has an expenditure report due by March 31, 2016.

Summary

All local jurisdictions in Orange County have submitted FY 2015-16 Measure M2 eligibility packages. The Annual Eligibility Review subcommittee reviewed the necessary Pavement Management Plan, Mitigation Fee Program, and Congestion Management Program documentation; and all local jurisdictions meet the eligibility requirements for fiscal year 2015-16.

Attachment

- A. Local Jurisdiction Pavement Management Plan Submittal Schedule

**Local Jurisdiction Pavement Management Plan
Submittal Schedule**


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

Presentation Items



COMMITTEE TRANSMITTAL

August 24, 2015

To: Members of the Board of Directors
From: Laurena Weinert,  Clerk of the Board
Subject: OC Streetcar Project Update and Capital Funding Plan

Transit Committee Meeting of August 13, 2015

Present: Directors Do, Jones, Katapodis, Murray, Pulido, Shaw, Tait, and Winterbottom
Absent: None

Committee Vote

This item was passed by the Members present.

Director Tait voted to oppose.

Director Shaw was not available to vote on this item.

Committee Recommendations

- A. Approve the use of up to \$55.92 million of Measure M2, Project S funds as part of the match required for federal New Starts funds.
- B. Direct staff to pursue state cap-and-trade and other state and federal funding sources to reduce the use of Measure M2, Project S funds as the required match for federal funding.
- C. Direct staff to submit the required New Starts project application and a letter to the Federal Transit Administration requesting entrance into project Engineering, the next phase of the New Starts program.
- D. Authorize staff to make all necessary amendments to the Federal Transportation Improvement Program and execute any required agreements or amendments to facilitate the recommendations above.
- E. Authorize the Chief Executive Officer, or his designee, to initiate discussions with property owners and utility companies, make offers, and execute agreements for the acquisition of all necessary interests to implement the OC Streetcar project.



ORANGE COUNTY TRANSPORTATION AUTHORITY


OC Streetcar Project Update and Capital Funding Plan

Board Transmittal



August 24, 2015

To: Members of the Board of Directors

From:  Laurena Weinert, Clerk of the Board

Subject OC Streetcar Project Update and Capital Funding Plan

At the August 24, 2015 Board meeting, the Board stated concerns regarding property acquisitions for the OC Streetcar project.

Board Recommendations *(Reflects a change from Committee's Recommendation.)*

Director Tait voted in opposition, and Director Nelson was absent from the meeting.

Note: Recommendation F was added

- A. Approve the use of up to \$55.92 million of Measure M2, Project S funds as part of the match required for federal New Starts funds.
- B. Direct staff to pursue state cap-and-trade and other state and federal funding sources to reduce the use of Measure M2, Project S funds as the required match for federal funding.
- C. Direct staff to submit the required New Starts project application and a letter to the Federal Transit Administration requesting entrance into project Engineering, the next phase of the New Starts program.
- D. Authorize staff to make all necessary amendments to the Federal Transportation Improvement Program and execute any required agreements or amendments to facilitate the recommendations above.
- E. Authorize the Chief Executive Officer, or his designee, to initiate discussions with property owners and utility companies, make offers, and execute agreements for the acquisition of all necessary interests to implement the OC Streetcar project.
- F. Authorize the Chief Executive Officer, or his designee, to initiate discussions with property owners and utility companies, make offers, and execute agreements for the acquisition of all necessary interests to implement the OC Streetcar project. All agreements for full property acquisitions shall be brought to the Board of Directors for approval prior to execution.



ORANGE COUNTY TRANSPORTATION AUTHORITY

OC Streetcar Project Update and Capital Funding Plan

Staff Report



August 13, 2015

To: Transit Committee

From: Darrell Johnson, Chief Executive Officer 

Subject: OC Streetcar Project Update and Capital Funding Plan

Overview

On August 11, 2014, the Orange County Transportation Authority Board of Directors approved the Orange County Transportation Authority to serve as the lead agency for the project development and implementation, and operations and maintenance of the OC Streetcar, and also directed staff to pursue federal New Starts funding. Staff has prepared a project update and is seeking Board of Directors' approval for the proposed funding plan and direction for continued advancement of the OC Streetcar project.

Recommendations

- A. Approve the use of up to \$55.92 million of Measure M2, Project S funds as part of the match required for federal New Starts funds.
- B. Direct staff to pursue state cap-and-trade and other state and federal funding sources to reduce the use of Measure M2, Project S funds as the required match for federal funding.
- C. Direct staff to submit the required New Starts project application and a letter to the Federal Transit Administration requesting entrance into project Engineering, the next phase of the New Starts program.
- D. Authorize staff to make all necessary amendments to the Federal Transportation Improvement Program and execute any required agreements or amendments to facilitate the recommendations above.
- E. Authorize the Chief Executive Officer, or his designee, to initiate discussions with property owners and utility companies, make offers, and execute agreements for the acquisition of all necessary interests to implement the OC Streetcar project.

Background

In August 2014, the Orange County Transportation Authority (OCTA) Board of Directors (Board) took significant action to advance the OC Streetcar project (Project). Specifically, the Board approved OCTA to serve as the lead agency for the project development and implementation, and operations and maintenance (O&M) for the Project. The Board also directed staff to pursue federal New Starts funding, including requesting entrance into Project Development, the initial phase of the New Starts program.

Since that time and based on Board direction, a number of activities have occurred. In February 2015, the Board approved the selection of a project management consultant (PMC) to assist staff in developing and implementing the Project. In May 2015, the Federal Transit Administration (FTA) approved OCTA's request to enter into Project Development and has since assigned a project management oversight consultant (PMOC). The PMOC works on behalf of FTA to ensure that the Project is fully adhering to all requirements as it proceeds through the rigorous New Starts program. Staff, with support from the PMC, has also been working on a number of tasks to advance the Project. In early June 2015, the Project team held a Cost and Risk Assessment and Value Engineering (CRAVE) workshop to assess the capital cost estimate for the Project, and to evaluate scope of work items that may pose a cost or schedule risk. Additionally, the overall Project was evaluated to identify potential areas of efficiency and cost savings.

Staff is also in the process of developing the required application to enter Engineering, the next phase of the New Starts program. The application requires a number of technical reviews and documentation, a detailed project schedule, updated cost estimate, and commitment for the required match equal to the level of funding requested from the New Starts program. In preparing the application and informed by the results of the risk assessment and value engineering process, staff has also developed a draft funding plan demonstrating the commitment to provide the required match.

Discussion

In May 2015, the Project was approved by FTA to enter the New Starts program and was granted entry into Project Development. FTA's Program is a rigorous and extremely detailed program that requires a significant and specific level of project development, and provides FTA multiple opportunities to evaluate a project.

CRAVE Analysis

The New Starts program requires all projects to undergo a CRAVE analysis. This requirement assists project sponsors and FTA in identifying and properly accounting for risks and opportunities within the project's cost estimate and schedule. Staff and the PMC undertook the required CRAVE analysis in early June 2015, with the goal to identify elements of the Project that contain risk and are more likely to experience a variation in cost or schedule over what was assumed in the environmental impact report (EIR). Additionally, the CRAVE analysis identified opportunities that would enable the Project to operate more efficiently and/or accomplish the Project's scope at a lower cost. The following key project elements were identified as having both risks and opportunities and a potential for a change in scope or operating conditions assumed in the EIR.

- Tied Arch Bridge at Westminster
- Reconfiguration of Track at the Santa Ana Regional Transportation Center (SARTC)
- Traffic Signal Prioritization
- Number of Vehicles
- Drainage Improvements
- Weekend Service Plan

The evaluation of each of these elements and the associated opportunities and conclusions is discussed in Attachment A. These elements have been refined to more adequately meet the Project goals while minimizing local impacts.

Capital Cost Estimate

The capital cost estimate for the Project, as developed through the EIR process was approximately \$250 million, in year 2011 dollars. FTA is very specific about the cost categories and elements included in the capital cost estimate. FTA has established both a checklist and multi-layered work books that include the standard cost categories to ensure that projects proceeding through the New Starts program comply with FTA requirements. In order to complete the application to enter the New Starts Engineering phase, two capital cost estimates are required: a base year estimate in 2015 dollars, and an estimate in year of expenditure (YOE) dollars. YOE dollars are cost estimates that are adjusted annually for inflation from the base year to the expected YOE.

The table below represents the year-over-year change to the original 2011 \$250 million capital cost estimate included in the EIR to a 2015 base year estimate. An industry standard three percent inflation factor was used to calculate the year-over-year change. This is consistent with other rail projects in this region.

| 2011 | 2012 | 2013 | 2014 | 2015 |
|----------|----------|----------|----------|----------|
| \$250.00 | \$257.50 | \$265.20 | \$273.20 | \$281.40 |

2011 dollars to 2015 dollars (millions)

Assuming no additional changes in scope from the EIR-driven capital cost estimate, the capital cost estimate is now \$281.40 million in 2015 dollars. To obtain the YOE capital cost estimate, it is necessary to understand the approximate distribution of costs by year during design and construction. The design and construction schedule will span 2015 to 2020. The proportions of costs spent in each of these years, as well as the estimated inflation factor, are presented in the table below.

Capital Cost Estimate Conversion from Base Year to YOE Dollars (\$ Millions)

| | 2015 | 2016 | 2017 | 2018 | 2019 | 2020 | Total |
|-----------------------------------|--------|---------|---------|----------|----------|--------|----------|
| Percentage of Project Costs Spent | 1.60% | 7.80% | 14.7% | 40.0% | 33.70% | 2.20% | 100% |
| Base Year Cost | \$4.50 | \$21.95 | \$41.36 | \$112.55 | \$94.82 | \$6.19 | \$281.38 |
| Cumulative Inflation Factor | 0.00 | 0.03 | 0.06 | 0.09 | 0.13 | 0.16 | -- |
| Inflation Amount* | \$0.00 | \$0.66 | \$2.52 | \$10.44 | \$11.90 | \$0.99 | \$26.50 |
| YOE Cost | \$4.50 | \$22.61 | \$43.88 | \$122.99 | \$106.73 | \$7.18 | \$307.88 |

**Inflation factor is derived from FTA past practices and other New Starts project templates, and is reasonably consistent with the California Department of Transportation construction cost indices and forecasts.*

As reflected in the table above, the updated capital cost of the Project as developed through the EIR in YOE dollars is \$307.88 million.

Capital Cost Estimate – Refined Project Scope

As a result of the refinements and cost savings identified in the CRAVE analysis, the Project's capital cost estimate has decreased when adjusted into base year

and YOE dollars. The cost estimate presented in the table below includes the following significant capital refinements:

- Reduced scope of tied arch bridge at Westminster
- Reconfiguration of track at SARTC
- Traffic Signal Prioritization
- Vehicle fleet size, increased from seven to eight vehicles
- Removal of costs associated with drainage improvements beyond those absolutely necessary for the Project

Capital Cost Estimate Comparison: EIR and Refined Project (\$ Millions)

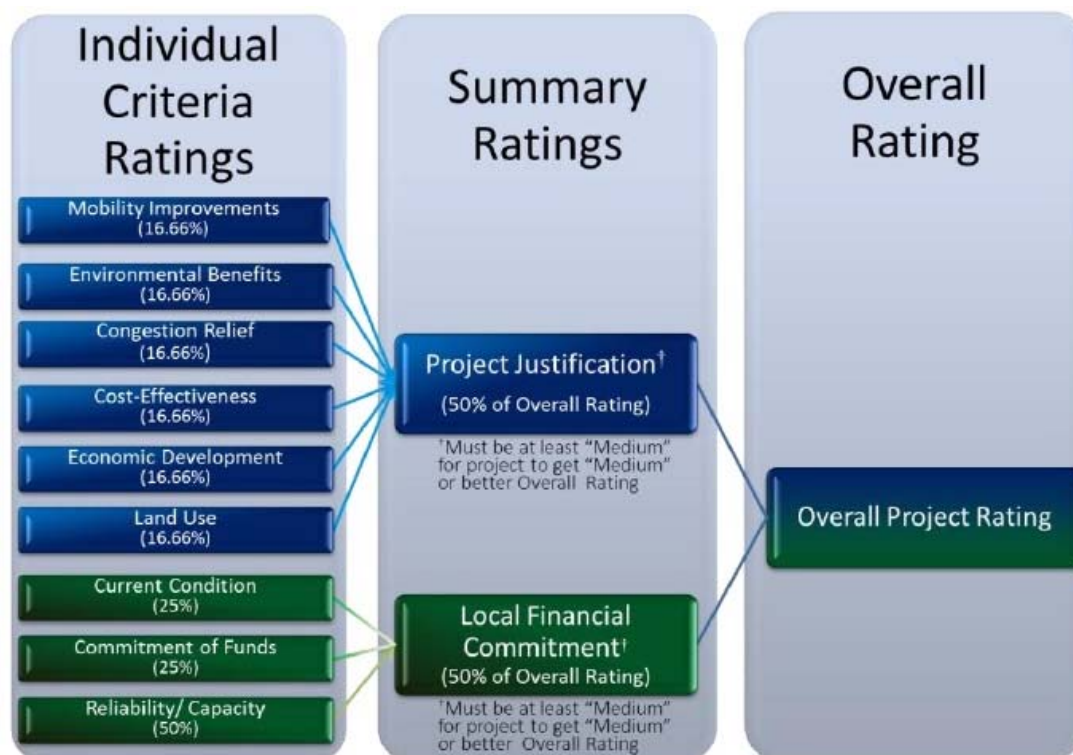
| | EIR Project | Refined Project | Difference |
|------------------|-------------|-----------------|------------|
| Base Year (2015) | \$281.40 | \$263.91 | -\$17.49 |
| YOE | \$307.88 | \$288.75 | -\$19.13 |

Based on the results of the CRAVE analysis and appropriate escalation to YOE, the current cost estimate for the Project that is proposed to be included in the Project application is \$288.75 million. Any adjustments to this cost estimate necessary as further refinements are made to the elements evaluated and refined through the CRAVE analysis will be reported back to the Board.

New Starts Engineering Phase

The next phase of the New Starts program is Engineering, which also requires FTA approval for entry. Consistent with Board direction in August 2014, staff, in coordination with the PMC, is currently preparing an FTA application to enter Engineering. On August 5, 2015, FTA released final Interim Policy Guidance for the New Starts program in response to the changes imposed by the Moving Ahead for Progress in the 21st Century Act. The final guidance implements the measures, definitions, and rating criterion used to evaluate and rate a project's merit, as well as the thresholds for funding. A summary of the criteria used to evaluate and rate a New Starts' project is provided in the chart below and further discussed in Attachment B. Staff will utilize the final guidance document to complete OCTA's application to enter Engineering. It is anticipated that the draft application will be due at the end of September 2015, and will be followed by a comment and review period between FTA and OCTA. Once all comments have been resolved, FTA will then request OCTA to prepare and submit a letter to FTA formally requesting entry into Engineering.

New Starts Rating and Local Financial Commitment



Source: FTA

There are two major categories of New Starts rating as noted in the "Summary Ratings" above: Project Justification and Local Financial Commitment. The Local Financial Commitment accounts for 50 percent of the overall rating and is a key component to a project's success in the New Starts program. Projects are required to show a committed and reasonably anticipated funding plan for the required local match. Consistent with Board-adopted programming policies and the Measure M2 (M2) ordinance, which specifically states, "the Authority shall make every effort to maximize state and federal funding for transit projects", staff has developed a proposed funding plan. The current YOE project cost estimate is \$288.75 million, of which \$144.37 million would be requested from the New Starts program, and the \$144.37 million balance will be provided through other non-New Starts federal, state, and local sources. The Board previously approved the use of \$48.45 million of Congestion Mitigation and Air Quality (CMAQ) funds as part of the funding for the Project, leaving a balance of \$95.92 million to be funded from other federal, state, and local sources.

Future state cap-and-trade competitive grant opportunities are available for the Project. Based on the current criteria for the competitive cap-and-trade funding, the Project should compete well. Staff recommends pursuing up to \$40 million in cap-and-trade funds as a portion of the required match for the Project.

This leaves a balance of \$55.92 million for the required local match, which staff further recommends to be funded through the use of M2, Project S funds. A summary of the proposed Project capital funding plan, including proposed local financial commitment is reflected in the table below.

| Funding Source (millions) | Amount |
|----------------------------------|------------------|
| Federal New Starts* | \$ 144.37 |
| Federal CMAQ | \$ 48.45 |
| State Cap-and-Trade* | \$ 40.00 |
| M2 – Project S | \$ 55.92 |
| TOTAL** | \$ 288.74 |

*Contingent on state and federal approvals.

** Total has been rounded.

If the pursuit of cap-and-trade funds results in a lower than requested funding level, or if it is unsuccessful, staff will return to the Board with a revised Project capital funding plan for the local financial commitment. As previously reported to the Board, there is capacity within the M2, Project S line item that could provide additional funding for the Project. However, the M2 Ordinance directs staff to “make every effort to maximize state and federal funding for transit projects”. Consistent with that direction, staff will also continue to seek alternate sources of funds to provide the required local match, as well as fund O&M.

The Capital Funding Plan, which provides funding information for OCTA-funded capital projects and also highlights the recommended changes included in this item, is provided in Attachment C. Confirmation of federal New Starts and state cap-and-trade funding is contingent on state and federal approvals, but will be included now as OCTA Board-approved funding.

Right-of-Way

The Project design identifies the need for three full fee right-of-way (ROW) acquisitions, six to eight partial fee ROW acquisitions, access easements, utility easements, and temporary construction easements (TCE). The full fee ROW acquisitions are required for the Project’s maintenance and storage facility, and the partial fee ROW acquisitions are required for the permanent installation of traction power substations needed to power the streetcar system. The TCE’s and various other easements are required for construction of various project elements and for the installation of underground facilities such as water, sewer, storm drain, gas, electric, and communication lines. If there are occupants displaced by the full fee ROW acquisitions relocation, advisory assistance and benefits will be provided. OCTA will be acquiring the property interests in accordance with federal and state laws and regulations, FTA guidelines, as well as OCTA’s Real Property Department policies and procedures. OCTA will exercise pre-award authority

under FTA's fiscal year 2015-16 Apportionments, Allocations, and Program Information Guidance (Federal Register/Vol 80, No. 26) since the Project was granted entrance into the New Starts program by FTA on May 5, 2013. Beginning the ROW acquisition under pre-award authority will mitigate ROW acquisition risks to the Project's schedule.

Streetcar Vehicle Procurement and Industry Forum

As identified in the CRAVE analysis, the optimal fleet size for the Project consists of eight vehicles, and the procurement of the vehicles is on the Project's critical path schedule. The lead time for vehicle procurement and manufacturing can be extensive, requiring 36 months or more. The first step in the procurement of streetcar vehicles is to solicit information and feedback from manufacturers of vehicles. In the coming months, staff will be scheduling an industry forum for all streetcar vehicle manufacturers to attend. This will be the initial step to assist OCTA in obtaining information on the number of available manufacturers and types of vehicles to best fit the operating conditions identified in the Project.

Next Steps

The Project team will continue to develop the application to enter Engineering and, upon resolution of FTA comments, will submit a letter formally requesting entry into Engineering. This request is anticipated to be made in early November 2015. During this time, staff will also continue to evaluate and refine project elements and adjust capital and operating cost estimates consistent with those refinements.

In the next two months, staff will begin necessary preliminary efforts to secure the ROW for the Project. Staff will begin working with the vehicle manufacturing industry in preparation to begin vehicle procurement work and report back to the Board on the results of that effort.

Summary

Consistent with prior Board direction, staff has completed a CRAVE analysis for the Project, and is currently working to complete the required Project application and request for entry into the next phase of the New Starts program, Engineering. Staff has also developed a funding plan for the required local match commitment and is seeking Board approval.

Attachments

- A. OC Streetcar – Cost, Risk Assessment, and Value Engineering Elements
- B. Criteria Used to Evaluate and Rate a New Starts Project
- C. Capital Funding Program

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ORANGE COUNTY TRANSPORTATION AUTHORITY

OC Streetcar Project Update and Capital Funding Plan

Attachment A

OC Streetcar – Cost, Risk Assessment, and Value Engineering Elements

- Tied Arch Bridge at Westminster:
 - Opportunity identified: The type of bridge assumed at the OC Streetcar project's (Project) western terminus – what is called a Tied Arch Bridge – is a larger, more elaborate structure than what is necessary to cross Westminster.
 - Resolution: The Project team working with the City of Garden Grove has determined it was appropriate, as a cost-saving measure, to change the scope of the bridge to reflect a crossing in scale with the Project.
- Reconfiguration of Track at the Santa Ana Regional Transportation Center (SARTC):
 - Opportunity identified: By changing the layout of the Project's track at SARTC, the Project is able to save three minutes of running time. This will assist in reducing the operations and maintenance cost of the Project.
 - Resolution: The track layout has been modified to reflect the time-saving design.
- Traffic Signal Prioritization (TSP):
 - Opportunity identified: This opportunity was not discussed in the environmental impact report (EIR), however, was identified as a result of the Project team analyzing ways to make the Project's operations more efficient. TSP would enable the streetcar to proceed through selected intersections on its own signal that is not affected by surrounding traffic.
 - Resolution: The cost of TSP has been included in the Project's cost at a number of intersections along the Project's rail corridor.
- Number of Vehicles:
 - Risk identified: The Project team calculated the time it would take a streetcar vehicle to travel the length of the rail corridor, given the conditions in the corridor. The number of vehicles identified in the EIR were not enough to operate the full length of the corridor at the frequency and within the proposed street and track configuration. Additionally, the Federal Transit Administration requires that a transportation agency hold approximately 20 percent of the total number of vehicles in its fleet as a spare.
 - Resolution: The number of vehicles assumed to be necessary for the Project, given the requirements noted above, increased from seven to eight.
- Drainage Improvements:
 - Risk Identified: The scope of the drainage improvements proposed in the EIR, and planned to be a part of the Project, have the potential to create flooded streets in the downtown area. This is due to low capacity in down-stream water lines. Additionally, increasing capacity to the down-stream lines is not a currently planned or programmed improvement. Thus, water may back up and release onto the street. A streetcar is not able to operate when standing water on a street exceeds four inches. Currently, the City of Santa Ana is working to update the Drainage Master Plan.
 - Resolution: It is proposed that the inclusion of costs associated with drainage improvements in the Project's rail corridor be removed from the Project's budget. It is also proposed that should there be flooding in the

Project's rail corridor, the Project will not operate and buses will be placed into service on the same schedule and along the similar routing as the streetcar.

- Weekend Service Plan
 - Risk Identified: The currently proposed operating plan includes the operation of the Project every ten minutes for extended hours on Saturdays and Sundays. The Project team researched the frequency with which peer systems operated on the weekend and found that service every 15-20 minutes was the average.
 - Resolution: It is proposed that the frequency at which the streetcar operates on Saturdays and Sundays is 15 minutes throughout the day.



ORANGE COUNTY TRANSPORTATION AUTHORITY

OC Streetcar Project Update and Capital Funding Plan

Attachment B

Criteria Used to Evaluate and Rate a New Starts Project

- Project Justification Rating
 - Mobility Improvements: This is measured by the total number of trips that people make using the project. Federal Transit Administration prioritizes the trips made by those users who do not have access to an automobile – trips made by this group are counted as two trips.
 - Environmental Benefits: This measure is an indicator of how the project would improve not only air quality but also human health, safety, and energy consumption within the region.
 - Congestion Relief: This measure includes the number of new transit trips added to the region as a result of the project. This includes not only those trips made on the project, but also trips made on bus and rail services connecting to the streetcar that would not have been made without the Project's implementation.
 - Cost Effectiveness: This measure is the cost per trip on the project. The costs include both the costs to design and construct the project, as well as costs associated with the operations and maintenance of the project.
 - Economic Development: This is the only project justification measure that is qualitative. The measure includes the evaluation and the efficacy of plans and policies that encourage transit investment in the region and the rail corridor, in particular.
 - Land Use: This measure assesses the existing conditions of the rail corridor relative to a number of characteristics: population, employment, parking inventory, and cost, as well as the amount of affordable housing in the rail corridor relative to the County as a whole.
- Local Financial Commitment Rating
 - Current Capital and Operating Condition of the Agency: This includes an assessment of the age of buses in the fleet, the history of service changes, and the agency's ratio of current assets to its current liabilities.
 - Commitment of Funds: This measure is based on the amount of capital and operational funding budgeted or committed to the project versus amounts that are planned or unspecified.
 - Reasonableness of Financial Plan: This includes an assessment of the reasonableness of the capital cost estimate for the project, how the agency plans to meet State of Good Repair needs for the transit fleet, and the agency's ability to make up for any increase to the project's cost or a shortfall in regional funding.



ORANGE COUNTY TRANSPORTATION AUTHORITY

OC Streetcar Project Update and Capital Funding Plan

Attachement C

Capital Funding Program

Pending Board of Directors Approval - August 24, 2015

| RAIL CAPITAL FUNDING PROGRAM | M Code | (in thousands) | | | FEDERAL | | LOCAL | | | |
|---|--------|--------------------------|---|-------------|------------|---------------|------------|------------|-----------|--------------|
| | | Total Programmed Funding | STIP/Other State | State Bonds | RSTP/ CMAQ | Federal Other | M1 | M2 | CURE | Local/ Other |
| Ongoing Projects | | | | | | | | | | |
| Control point at 4th Street | - | \$ 4,000 | - | - | - | 4,000 | - | - | - | - |
| Laguna Niguel to San Juan Capistrano Passing Siding Project | - | \$ 25,274 | 3,000 | 2,483 | 19,791 | - | - | - | - | - |
| M2 Project S fixed-guideway Anaheim Rapid Connection | S | \$ 19,452 | - | - | - | 10,682 | 6,000 | 1,335 | - | 1,435 |
| M2 Project S OC Streetcar preliminary studies and enviromental | M1/S | \$ 12,129 | - | - | - | 4,433 | 6,000 | 554 | - | 1,142 |
| OC Streetcar ⁶ (proposed New Starts) | M1/S | \$ 289,000 | 40,000 | - | 48,453 | 144,500 | - | 56,047 | - | - |
| M2 Project S transit extensions to Metrolink (rubber tire) | S | \$ 733 | - | - | - | - | - | 733 | - | - |
| Anaheim Regional Intermodal Transportation Center (ARTIC) | M1/T | \$ 184,164 | 29,219 | - | 35,000 | 40,754 | 43,900 | 35,291 | - | - |
| Anaheim Canyon Station improvements | - | \$ 22,050 | - | - | 18,049 | 2,001 | - | - | - | 2,000 |
| Placentia Commuter Rail Station | R | \$ 23,420 | 2,500 | 400 | 50 | - | - | 8,000 | - | 12,470 |
| Fullerton Transportation Station expansion planning, environmental, planning study report (PSR) | M1 | \$ 875 | - | - | 775 | - | 100 | - | - | - |
| Fullerton Transportation Center Parking Expansion Project ¹ | M1 | \$ 33,667 | 11,250 | 11,035 | - | - | 9,718 | - | - | 1,664 |
| Orange Transportation Center Parking Structure | M1 | \$ 27,257 | 13,762 | - | 2,938 | - | 1,850 | - | - | 8,707 |
| Laguna Niguel-Mission Viejo Station parking improvements and expansion (Camino Capistrano) | M1 | \$ 15,134 | - | - | 6,500 | - | 8,634 | - | - | - |
| Laguna Niguel-Mission Viejo Station parking expansion (south lot) | M1 | \$ 4,344 | - | 695 | - | - | 3,649 | - | - | - |
| Metrolink Station and track improvements, and rehabilitation | - | \$ 2,230 | - | - | - | 1,784 | - | - | - | 446 |
| Positive train control (Metrolink) | - | \$ 39,916 | - | 34,190 | - | 5,726 | - | - | - | - |
| San Clemente wayside horn | R | \$ 4,802 | - | 2,250 | - | - | - | 1,976 | - | 576 |
| State College Grade Separation (LOSSAN) | R | \$ 79,284 | - | 46,000 | - | - | - | 33,284 | - | - |
| Sand Canyon Avenue Grade Separation Project | M1/R | \$ 64,013 | - | 30,155 | 10,536 | - | 3,116 | 5,352 | - | 14,854 |
| 17th Street grade separation environmental | R | \$ 3,500 | - | - | - | - | - | 3,500 | - | - |
| Santa Ana grade separation planning and environmental PSR | M1 | \$ 1,500 | - | - | 1,328 | - | 172 | - | - | - |
| Video surveillance systems at Commuter Rail Stations | - | \$ 4,300 | - | - | - | 3,440 | - | - | 860 | - |
| Future video surveillance systems | - | \$ 1,531 | - | - | - | 1,288 | - | - | 243 | - |
| Metrolink rehabilitation/renovation - fiscal years 2011-12 to 2013-14 | - | \$ 22,541 | - | - | - | 22,541 | - | - | - | - |
| Slope Stabilization Laguna Niguel-Lake Forest | - | \$ 2,000 | - | - | - | 2,000 | - | - | - | - |
| Completed Projects/Closeout Phase | | | | | | | | | | |
| Metrolink rolling stock | M1 | \$ 158,009 | - | 36,300 | 42,230 | 35,390 | 44,089 | - | - | - |
| Metrolink service track expansion ² | M1 | \$ 119,957 | - | 51,399 | - | - | 68,558 | - | - | - |
| Control point stadium crossover | - | \$ 6,490 | - | 3,245 | - | 3,245 | - | - | - | - |
| Go Local | S | \$ 7,730 | - | - | - | - | 7,730 | - | - | - |
| ARTIC environmental, right-of-way (ROW), program management ³ support, site plan | M1 | \$ 42,888 | - | - | - | - | 42,888 | - | - | - |
| Tustin Rail Station parking expansion | M1 | \$ 15,389 | 1,100 | 7,181 | - | - | 7,108 | - | - | - |
| Santa Ana Transportation Station planning and environmental PSR | M1 | \$ 1,500 | - | - | 1,328 | - | 172 | - | - | - |
| Fiber optics installation (Metrolink) | M1 | \$ 24,600 | - | 12,300 | - | 10,903 | 1,397 | - | - | - |
| Metrolink grade crossing safety improvements (OCX) ⁴ | M1/R | \$ 85,009 | - | 18,595 | - | - | 6,305 | 36,299 | 13,609 | 10,201 |
| Metrolink grade crossing safety improvements ROW | R | \$ 3,025 | - | - | - | - | - | 3,025 | - | - |
| North Beach crossings safety enhancements ⁵ | R | \$ 348 | - | 166 | - | - | - | 182 | - | - |
| LOSSAN corridor grade separations PSR in Anaheim, Orange, and Santa Ana | R | \$ 3,050 | - | - | - | - | - | 3,050 | - | - |
| Rail crossing signal lights and pedestrian gates | - | \$ 252 | - | 252 | - | - | - | - | - | - |
| Rail station platform safety improvements (Fullerton, Irvine, and Tustin) | - | \$ 788 | - | 788 | - | - | - | - | - | - |
| Safety repairs for San Clemente Pier Station | - | \$ 122 | - | 122 | - | - | - | - | - | - |
| Transit rail security (monitors, fencing, video surveillance) | - | \$ 310 | - | 310 | - | - | - | - | - | - |
| RAIL CAPITAL FUNDING TOTAL | | \$ 1,356,583 | \$ 100,831 | \$ 257,866 | \$ 186,978 | \$ 292,687 | \$ 261,386 | \$ 188,628 | \$ 14,712 | \$ 53,495 |
| State Funding Total | | \$ 358,697 | M Code - M1 = Measure M1, otherwise Project Codes in Measure M2 Program | | | | | | | |
| Federal Funding Total | | \$ 479,665 | STIP - State Transportation Improvement Program | | | | | | | |
| Local Funding Total | | \$ 518,221 | RSTP/CMAQ - Regional Surface Transportation Program/Congestion Mitigation and Air Quality | | | | | | | |

M1/M2 - Measure M1/Measure M2

CURE - Commuter and Rail Endowment Fund

OCX - Rail-Highway Grade Crossing/Safety Enhancement Project

LOSSAN - Los Angeles-San Diego-San Luis Obispo Rail Corridor



ORANGE COUNTY TRANSPORTATION AUTHORITY


Measure M2 Ten-Year Review Report

Staff Report



October 5, 2015

To: Executive Committee

From: Darrell Johnson, Chief Executive Officer 

Subject: Measure M2 Ten-Year Review Report

Overview

Measure M2 Ordinance No. 3 includes a provision to review the project and program elements of the Transportation Investment Plan at least every ten years. Consistent with the triennial performance review cycles, the ten-year period is assumed to have begun on November 8, 2006 (effective date of Ordinance No. 3), and would conclude on November 7, 2016. The review has been conducted, and the final report is provided for the Board of Directors information along with an action plan for consideration.

Recommendations

- A. Receive and file the Measure M2 Ten-Year Review Report as an information item.
- B. Direct staff to initiate the process to amend the Measure M2 Transportation Investment Plan to adjust funds within the transit category to ensure commitments to the voters can be upheld.
- C. Direct staff to return to the Board of Directors to set a date for a public hearing for action to adopt amendments to the Measure M2 Transportation Investment Plan.

Background

In November 2006, Orange County voters approved the Renewed Measure M Ordinance No. 3 and the Transportation Investment Plan (Plan), also called Measure M2 (M2). The Orange County Transportation Authority (OCTA) is committed to fulfilling the promises made in M2. This means delivering all the projects and programs described in the Plan, and complying with the specific

requirements identified in Ordinance No. 3. Within Ordinance No. 3 there is a requirement to conduct a comprehensive review at least every ten years of all project and program elements included in the Plan. This requirement is found within Section 11 of Ordinance No. 3:

TEN-YEAR COMPREHENSIVE PROGRAM REVIEW - At least every ten years the Authority shall conduct a comprehensive review of all projects and programs implemented under the Plan to evaluate the performance of the overall program and may revise the Plan to improve its performance. The review shall include consideration of changes to local, state and federal transportation plans and policies; changes in land use, travel and growth projections; changes in project cost estimates and revenue projections; right-of-way constraints and other project constraints; level of public support for the Plan; and the progress of the Authority and jurisdictions in implementing the Plan. The Authority may amend the Plan based on its comprehensive review, subject to the requirements of Section 12.

With the start of sales tax revenue collection on April 1, 2011, M2 is in year five of the 30-year Plan. However, work on program delivery began in 2006, with the OCTA Board of Directors (Board) adoption of the Early Action Plan, which initiated the early implementation of M2. Following the precedent set with the required triennial performance reviews under Ordinance No. 3, the ten-year period is assumed to have begun on November 8, 2006 (effective date of Ordinance No. 3), and will conclude on November 7, 2016. In November 2014, staff provided the Board with an overview of the ten-year review schedule, objectives, and approach as part of the regular M2 Quarterly Report, and an update and status report were provided in April 2015. Regular updates on the review progress were included with each M2 Quarterly Report with the most recent taking place last month.

Discussion

The Measure M Program Management Office led the ten-year review, with staff participation from throughout OCTA. Based on the language in M2 Ordinance No. 3, the following five objectives were established to ensure all elements were analyzed as required by Section 11:

1. Research and identify external policy and/or regulatory changes at the local, state, and federal level, as well as changes in land use, travel, and growth projections that require consideration.
2. Evaluate current project and program cost estimates and the financial capacity of the sales tax revenue through 2041 to confirm Plan delivery.
3. Review M2 program and project elements to determine if there are performance issues or constraints to the promised delivery.
4. Identify OCTA's and local jurisdictions' progress in implementing the Plan.
5. Assess public and stakeholder support for the Plan.

With the recent completion of Orange County's 2014 Long-Range Transportation Plan (LRTP), and the understanding that M2 is the cornerstone of that Plan, OCTA staff capitalized on this effort and used research and outreach conducted as part of the 2014 LRTP to serve as a baseline for the M2 Ten-Year Review. Information gleaned from the LRTP included changes to land use, travel, and growth projections, as well as public input. Staff also looked to the recently completed (January 2015) update of OCTA's Comprehensive Business Plan (CBP), which includes a section that specifically analyzes M2 to ensure it is financially viable, as well as performed an updated financial review to confirm plan delivery. Additional research, analysis, and public outreach was conducted to ensure a comprehensive review of elements identified in Section 11 of Ordinance No. 3.

Ten-Year Review Report

The Ten-Year Review Report (Attachment A) addresses purpose, background, and the review process, and reports on changes that have occurred to determine any effect on the M2 Plan performance and delivery of the program. A summary of findings covering the objectives is included below.

Situation Analysis: Reviewing the Changes Impacting Orange County's Transportation Systems

The ten-year review examined federal and state legislation, demographics and land use, emerging transportation-related issues, and state transportation policies. Upon review, it was determined that none of the changes in demographics, land use, federal or state laws, or regulations passed or issued since the passage of M2 (2006) would prompt a recommendation to change the M2 Program. Because of the flexibility built into the M2 ordinance and guidelines, OCTA has been able to adapt to changes while keeping with the intent of the voter commitment and continuing to advance locally-prioritized M2 transportation projects.

While guidelines implementing legislation related to sustainability, reducing greenhouse gas, addressing high-occupancy vehicle degradation, and a new push towards managed lanes are evolving, the M2 Plan is currently contained in the 2012 Regional Transportation Plan (RTP)/Sustainable Community Strategies (SCS), which complies with known requirements. It is likely that additional requirements could make it more difficult for upcoming highway and roadway capacity projects to be completed. In the event that this happens, additional plan reviews and actions may be warranted.

It is important to recognize that M2 is a balanced plan that includes freeways, streets and roads, transit, and environmental elements. M2 was developed with sustainability elements in mind. Working with the environmental community, M2 includes two significant environmental elements in the overall program.

The Freeway Mitigation Program provides comprehensive (not piecemeal) mitigation to freeway improvements, and the Environmental Cleanup Program (ECP) provides funding to address clean water standards due to urban runoff that goes over and above required mitigations.

The Plan also was approved through a programmatic environmental impact report which evaluated the program as a whole, and the Plan went through a rigorous process of analyzing air quality benefits. Additionally, the Plan elements are included in the most recent 2012 RTP, which is in place to ensure environmental conformity and consistency with the SCS.

While the ultimate outcome of this emphasis on sustainability and managed lanes is yet to be determined, this will likely change the make-up of future sales tax measures. What is unclear is how these policy changes will apply to existing measures that predate these policies as in the case of M2, that contains considerable environmental sustainability measures. Moving forward, it will be important for both OCTA and the California Department of Transportation (Caltrans) to work together to ensure the commitment made to voters is upheld.

Financial Analysis: Evaluating OCTA's Capacity to Complete Measure M Commitments

The financial capacity of the M2 Program to meet the commitments made to the voters of Orange County was analyzed as part of the CBP and then again for the ten-year review. Revenue and expenditure assumptions were analyzed at the project and mode (category) level to ensure adequate financial capacity to deliver the M2 Program. Despite the significant impact of the 2008 Great Recession (resulting in a 36 percent decrease in forecasted revenue), OCTA anticipates that the sales tax generated for the M2 Program, along with the support of external funding, will be able to meet the intent of commitments made to Orange County voters. While program levels have been reduced, the M2 Plan remains deliverable due to the scalability of the Plan to revenue received. The areas that are not scalable are the freeway category due to set project scopes, and one program element in the transit category. The freeway program will need to capitalize on external funding to minimize risk to overall project delivery. The transit program will need to move funds within the category to remain deliverable. A brief analysis is provided below.

Freeways

The freeway category represents the largest area of risk for the M2 Program. All freeway projects within the M2 freeway category are well defined with set scopes and need to be completed despite the substantial decrease in forecasted sales tax revenue. OCTA has historically been successful in obtaining external funding to maximize the use of M2 funds. The plan going forward will be to continue to seek external funding. Based on current revenue and expenditure

assumptions, OCTA anticipates being able to deliver all freeway projects included in the M2 Program, assuming external funding expectations hold and project costs are contained.

Streets and Roads

Unlike the freeway program of projects which has a specific set of projects defined in the M2 Ordinance, expenditures for the streets and roads category can be scaled to match available revenue. As a result, going forward, OCTA will continue to issue calls for projects for the Regional Capacity Program and the Regional Traffic Signal Synchronization Program, as well as fund the Local Fair Share Program as outlined in the M2 Ordinance based on available M2 revenue.

ECP

Similar to the streets and roads category, expenditures within the ECP can be scaled to match available revenue as defined by the M2 Ordinance.

Transit

Similar to the streets and roads category, expenditures within the transit category can generally be scaled to match available revenue, with some exceptions. As a result, expenditures supporting programs such as High-Frequency Metrolink Service, Transit Extensions to Metrolink, Metrolink Gateways, Senior Mobility Program, Senior Non-Emergency Medical Transportation Program, Community-Based Transit Circulators, and Safe Transit Stops have been scaled to match available revenues or will be funded based on a formula defined by the M2 Ordinance and Board direction.

The only program that cannot be scaled back to available revenue is the Fare Stabilization Program under Project U. The M2 Ordinance states that one percent of net revenues will be dedicated to provide fare discounts for seniors and persons with disabilities. The M2 Ordinance also provides specific guidance that fares will be stabilized “in an amount equal to the percentage of partial funding of fares for seniors and persons with disabilities as of the effective date of the ordinance.” As a result of the reduction in projected M2 revenues, one percent of the net revenues is not sufficient to fund the requirements outlined in the M2 Ordinance. Currently, the transit category as a whole is forecasted to have sufficient funding and remains deliverable; however, the shortfall in Project U needs to be addressed.

Shortfall and Need within the Transit Category

The original projections in 2005 estimated that \$232 million would be collected for the Fare Stabilization Program. Current projections estimate that only \$147 million will be generated. Based on current ridership

projections, the need to fulfill the requirement outlined in the M2 Ordinance is \$221 million, leaving a shortfall of \$74 million. The Board has already taken one step to begin to fill the shortfall. On February 14, 2011, the Board approved M2 Project U Funding and Policy Guidelines. At that time, a potential shortfall in the Fare Stabilization Program was already being forecasted due to the drop in M2 sales tax collections. As a result, the Board directed staff to utilize unallocated funds from the Senior Mobility Program, also a Project U Program, to help backfill the shortfall in the Fare Stabilization Program. During the 30-year period of M2, this source will provide approximately \$5 million to the Fare Stabilization Program, leaving a projected shortfall of approximately \$69 million.

Another area of need is Metrolink Service Expansion (Project R), which is the program that supports ongoing capital requirements and operations of Metrolink service. This program has been scaled back to the available revenue which has limited the level of additional service that can be added. This program also faces regulatory risks as well as high operating costs. Providing additional funds to this program would allow the service to grow to meet future demand and also support sustainability goals by providing an attractive option for commuters using the freeway.

Recommended Solution

Within the M2 Plan, all projects and programs are moving forward. Not including individual freeway projects, the transit category is the only category that has a program which is complete. Per the M2 Ordinance, Project T is to be utilized for converting Metrolink Station(s) to regional gateways that connect Orange County with high-speed rail systems. OCTA has contributed Project T funds for the construction of the Anaheim Regional Transportation Intermodal Center, which is already complete and operational. This station is designed to be the southern terminus for the planned high-speed rail system in California. Since no other stations in Orange County are to be served on the planned route and no other high-speed rail systems have moved forward in the planning stages, given the defined shortfall in Projects U and R, it is recommended that the remaining funds in Project T be reallocated to other M2 transit line items. It is anticipated that approximately \$219 million will be available in Project T.

Ordinance No. 3 spells out the process for plan amendments. Amendments within a category do not require voter approval but require a two-thirds vote of the Taxpayer Oversight Committee (TOC) and a two-thirds vote of the OCTA Board, as well as a public hearing and notification process. Amendments to the Ordinance can be made at any time it is determined to be needed.

As a result of this review, it is recommended that \$69 million be transferred from Project T to Project U to cover the shortfall in the Fare Stabilization Program. The balance of the Project T funds (\$150 million) is recommended to be transferred to Project R, which funds the ongoing operation of Metrolink service in Orange County. If there becomes a need in the future to convert a Metrolink Station to a Regional Gateway that connects with high-speed rail, the first look for funding should be within the High-Speed Rail Plan. If this is not available and improvements are justifiable, funding could be available out of Project R with OCTA Board approval.

Project Delivery Analysis: Identifying Progress and Project Constraints

Progress

Implementation of the M2 Plan continues at a fast pace. While M2 is only in year five of the 30-year program (revenues started flowing in 2011), every program in the M2 Transportation Expenditure Plan has been initiated, with some already complete. More than \$900 million has been allocated to improving freeways. Every freeway project listed in the plan is in one stage or another of project implementation (27 segments total). More than \$1 billion has been invested in streets and road projects. Approximately \$1 billion has been allocated for transit, and a significant commitment to sustainability through environmental programs has been made available through the Freeway Mitigation Program and the Water Cleanup Program.

Constraints

The most significant area of concern for the M2 Plan is the conflicting priorities between OCTA and Caltrans regarding the delivery of M2 freeway projects. As part of the project development process, Caltrans is now requiring a broader range of alternatives be studied to meet broader state highway system needs and/or requirements, which is different than the assumptions that went into the development of the M2 Freeway Program. These considerations can expand project footprint, change intent, add costs, and/or have scheduling impacts. It is imperative that OCTA and Caltrans remain coordinated and find common ground despite differing interests.

OCTA and Caltrans have made progress during the past year to reach consensus; however, there are still a number of issues that remain a challenge. Staff will continue to work with Caltrans to manage scope, schedule, and funding concerns. However, it is key to ensure that M2 projects are delivered as promised to the voters.

Public Priority Analysis: Assessing Public and Stakeholder Continued Support for M2

To gauge the level of public support, a comprehensive public outreach plan was designed to elicit direct feedback from a variety of stakeholders from April 2015 through September 2015. In addition, outreach results were combined with results from the recently completed 2014 LRTP public involvement program. Target audiences included government officials, community and business leaders, transportation professionals, multicultural leaders, and the general public.

The public was encouraged to contribute comments through a multi-faceted approach that included an online questionnaire, roundtables, outreach meetings, letters, a public opinion survey, and promotion on traditional and digital media.

Public Feedback

Outreach participants consistently echoed their support for M2. Many participants generally felt that OCTA should continue to develop and expand multi-modal options that include everything from transit services, to street and freeway improvements, and investments in active transportation. In addition, participants articulated the need to consider how to utilize new and emerging technologies to both enhance current services and maximize efficiency in construction. Participants also mentioned how important it is to continue, and perhaps expand upon, allotting resources to educate and inform the public about M2 transportation improvements and options.

Just as when M2 was passed by nearly 70 percent of Orange County voters in 2006, the public still supports the plan as approved. In addition, the priorities that have emerged from the ten-year review align with those that surfaced as part of the 2014 LRTP. Participants also acknowledged that Measure M must have flexibility to accommodate future trends while maintaining the balance of the M2 Plan and promise to the voters.

Conclusions

After completing the comprehensive review of OCTA's M2 Program and the requirements listed in Ordinance No. 3 related to the ten-year review, no major external changes related to legislation, land use, travel and growth projections, project cost/revenue projections or right-of-way, and/or other constraints have been identified that would require substantial changes to the M2 Plan as approved by the voters in 2006, and as amended November 23, 2013. The review also highlighted that M2 as a whole is supported by the public as approved, and that OCTA has made substantial progress in delivering the program as promised to the voters with all elements initiated and a number of projects delivered.

In reviewing the financial capacity of the M2 Plan by category, the transit category has been identified as in need of a shift in funding between transit programs. Ordinance No. 3 spells out the process for Plan amendments. Amendments within a category do not require taking the amendment to the voters, but instead requires a two-thirds vote of the TOC, and a two-thirds vote of the OCTA Board, as well as a public hearing and notification process.

Proposed Amendment

Staff recommends amending the transit category within the M2 Transportation Investment Plan along with the following actions:

- Determine that the intent of Project T has been fulfilled and the remaining balance is available to support a shortfall in Project U, and a long-term need in Project R
- Initiate the amendment process of the M2 Transportation Investment Plan
- \$69 million from Project T to Project U to address shortfall
- Remaining amount in Project T (\$150 million) to Project R to address future demand and also support sustainability goals by providing an option for commuters using the freeway

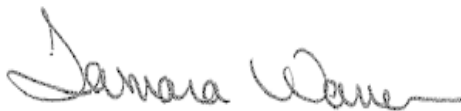
| Amendment Process | Date |
|---|-------------------|
| OCTA Board Receives Ten-Year Review Report | October 12, 2015 |
| TOC hears ten-year review and findings related to amendment proposal | October 13, 2015 |
| OCTA Board considers amendment and sets a public hearing date for December 14, 2015 | October 26, 2015 |
| Proposed amendment sent to local agencies for public review prior to public hearing | October 27, 2015 |
| TOC considers/acts on amendment (requires two-thirds vote) | November 10, 2015 |
| Public hearing on amendment and roll call vote by Board (requires two-thirds vote) | December 14, 2015 |
| Adopted amendment transmitted to local agencies | December 15, 2015 |
| Amendment effective 45 days following adoption | January 28, 2016 |

Summary

A comprehensive ten-year review was conducted as required by M2 Ordinance No. 3, and a report (including an executive summary) has been prepared with extensive analysis and findings. The report includes a review of all projects and programs implemented under the Plan to evaluate the performance of the overall program and recommendations to revise the Plan to improve its performance. The report concludes that although there have been legislative and economic changes, they do not warrant any significant changes in the M2 Plan. Also, outreach performed verifies that there is continued public support for the priorities in the Transportation Investment Plan. However, to ensure all elements of the Plan can be delivered as promised, staff is recommending an amendment to the transit category. The amendment would closeout Project T (Gateways to Metrolink), and allocate the remaining funds to backfill the projected shortfall in Project U (Stabilize Fares for Seniors and Persons with Disabilities) and Project R (High-Frequency Metrolink Service).

Attachment

- A. Renewed Measure M Comprehensive Ten-Year Review

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ORANGE COUNTY TRANSPORTATION AUTHORITY

Measure M2 Ten-Year Review Report

Attachment A



Renewed Measure M Comprehensive Ten-Year Review

Presented to the Board of Directors on
October 12, 2015



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I. Executive Summary

In November 2006, Orange County voters approved the extension or renewal of Measure M, a one-half cent transportation sales tax to fund a slate of projects and programs for another 30 years. The Plan included a provision in the Measure M2 Ordinance No. 3 (also known as M2 or the Plan) requiring that at least every ten-years the Orange County Transportation Authority (OCTA) to conduct a comprehensive review of all projects and programs implemented under the Plan to evaluate the performance of the overall program.

OCTA recently concluded the first Ten-Year Review covering the time period from when M2 was approved by Orange County voters in November 2006 to fall 2015. The comprehensive review includes four specific areas of analysis, which meet the objectives outlined in the Plan:

- Situation Analysis
- Financial Analysis
- Project Delivery Analysis
- Public Priority Analysis

Situation Analysis

External situations which have had or have the potential to affect M2 were identified and analyzed, including transportation-related federal and state legislation that was signed into law as well as emerging transportation issues and state policy changes that have occurred following the passage of M2. Upon review, it was determined that none of the federal or state laws or regulations passed or issued since the passage of M2 would prompt a recommendation to change the M2 program. Because of the flexibility built into the Measure M2 Ordinance and guidelines, OCTA has been able to adapt to a reduction in sales tax revenues as a result of the 2008 Great Recession and take advantage of the funding-related legislative changes that have occurred to date, while continuing to advance locally-prioritized M2 transportation projects. However while guidelines implementing legislation related to reducing Green Houses Gas (GHG) have yet to be finalized, these requirements could make it more difficult for additional highway and roadway capacity projects to be completed. Further OCTA has made adjustments outside of M2 to be responsive to new state policies.

Legislation

On the Federal side, several laws were passed since 2006 which could have affected M2 projects. While some legislation, such as the American Recovery and Reinvestment Act (ARRA), provided new one-time federal funding for transportation projects, the majority of federal legislation related to the appropriation of federal funds for transportation projects and programs. For example, the Moving Ahead for Progress in the 21st Century Act (MAP-21) provided \$18.8 billion to fund federal transportation programs until September 30, 2014. As part of MAP-21, several components of OCTA's project streamlining initiative – Breaking Down Barriers – were included in the final bill. Additionally, MAP-21 also included a new mandate to address high occupancy

lane degradation which has triggered new managed lane policies from the California Department of Transportation (Caltrans). Subsequently, a temporary extension of MAP-21 through May 31, 2015 was put in place, but the continued debate on renewal of MAP-21 remains an issue due to the lack of certainty for long-term transportation funding needs.

On the State side, transportation legislation with a focus towards sustainability and addressing GHG reduction has emerged. Fortunately, the M2 Investment Plan includes elements that support and enhance transportation system sustainability: M2 provides expanded transit services and more efficient street and highway operations, greater and more local funding to allow local jurisdictions to address local needs, preserves open space through the incorporated sustainability elements that were important at that time including the freeway mitigation and water cleanup programs. The Plan also was approved through a Programmatic Environmental Impact Report which evaluated the program as a whole and went through a rigorous process of analyzing air quality benefits. Additionally, the Plan elements were included in the most recent 2012 Regional Transportation Plan which is in place to ensure environmental conformity and consistency with the Sustainable Communities Strategy. Balancing new sustainability regulations while continuing to keep the promise to the voters will continue to be a priority moving forward.

Demographics and Land Use

The M2 Review did not reveal significant shifts in demographics or land use patterns. While growth in population, employment and housing has slowed, the general location and pattern of growth is similar to what was initially projected as part of the M2 Plan process.

State Policy

With regard to state policy, the California Department of Transportation (Caltrans) recently-released District Directive on a Managed Lane Policy moves Caltrans into a more direct role in the planning, design and operations of managed lanes without a known funding source. Caltrans' growing interest is driven by fiscal, operational, and environmental considerations. While the ultimate outcome of the emphasis on sustainability and managed lanes is yet to be determined, it will likely change the make-up of future sales tax measures. What is unclear is how these policy changes will apply to existing measures that predate these policies. Moving forward, it will be important for both agencies to work together to ensure the commitment made to voters is upheld.

Financial Analysis

Recessionary Impacts to M2 Funds

When the extension of Measure M was approved by Orange County voters in November 2006, sales tax revenue projections during the life of the M2 Program were estimated to be \$24.3 billion. As a result of the recession, in 2010 the sales tax revenue assumptions for the M2 Program hit a low of \$13.7 billion which represented a 44% decrease in forecasted revenue. Since

the recession sales tax revenue has grown consistently and current sales tax forecasts indicate that the M2 Program will receive \$15.7 billion in sales tax revenue during the life of the program.

Financial analysis has shown, despite the significant impact of the 2008 Great Recession, sales tax generated for the M2 Program in conjunction with external funding is anticipated to be sufficient to meet the commitments made to Orange County voters. This is possible for three reasons:

1. As M2 funding projections declined as a result of the recession, project savings were realized from lower construction costs during the recession;
2. OCTA was able to secure external funding – not originally anticipated or counted upon – beyond M2 for many freeway projects;
3. Many of the M2 programs are scalable to the available M2 funds, such that the Plan can be delivered as promised, based on the available revenue while still meeting the intent of the Plan.

Financial Review by Category

Within the M2 Plan, all projects and programs are moving forward. Of the four program categories of freeways, streets and roads, environmental cleanup, and transit, the transit category is the only one that requires consideration of shifting funds. The financial assessment by category is summarized below.

Freeways

The freeway category could have the largest area of risk for the M2 Program since all freeway projects within the M2 freeway category are well defined with set scopes and need to be completed despite the substantial decrease in forecasted sales tax revenue. OCTA has historically been successful in obtaining external funding to maximize the use of M2 funds. The plan going forward will be to continue to seek external funding. Based on current revenue and expenditure assumptions, OCTA anticipates being able to deliver all freeway projects included in the M2 Program assuming the addition of external funding and managing costs.

Streets and Roads

Unlike the freeway program of projects, which has a specific set of projects defined in the M2 Ordinance, expenditures for the streets and roads category can be scaled to match available revenue. As a result, going forward OCTA will continue to issue calls-for-projects for the Regional Capacity and Regional Traffic Signal Synchronization Programs, as well as fund the Local Fair Share Program as outlined in the M2 Ordinance based on available M2 revenue.

Environmental Clean Up

Similar to the streets and roads category, expenditures within the Clean Up program can be scaled to match available revenue defined by the M2 Ordinance.

Transit

Also similar to the streets and roads category, expenditures within the transit category can generally be scaled to match available revenue, including High Frequency Metrolink Service, Transit Extensions to Metrolink, Metrolink Gateways, Senior Mobility Program, Senior Non-Emergency Medical Transportation Program, Community Based Transit Circulators and Safe Transit Stops.

Project U – the Fare Stabilization Program – is the one program that is at risk of not being able to be delivered. It cannot be scaled to available revenue because the M2 Ordinance states that one percent of net revenues will be dedicated to provide fare discounts for seniors and persons with disabilities. The M2 Ordinance also provides specific guidance that fares will be stabilized “in an amount equal to the percentage of partial funding of fares for seniors and persons with disabilities as of the effective date of the ordinance.” As a result of the reduction in projected revenue collections, one percent of the net revenues is not sufficient to fund the requirements outlined in the M2 Ordinance.

Further, future additional service as part of the Metrolink Service Expansion (Project R), has been scaled back to correspond with available revenue, which results in a limited ability to provide more frequent service. This program has also been impacted by difficult negotiations with Burlington Northern Santa Fe, which owns portions of the railroad tracks, and new federal and state requirements such as positive train control and clean fuel locomotives. Providing additional funds to this program would allow the service to grow to meet future demand and also support sustainability goals by providing an attractive option for commuters using the freeway.

Another transit program, Project T (converting Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed rail systems), is complete and has a remaining balance in its budget allocation. It is anticipated that approximately \$219 million will be available in Project T.

In order to ensure the delivery of the M2 Transit Program, it is recommended to close out Project T and that \$69 million be transferred from Project T to Project U to cover the shortfall in the Fare Stabilization program. The balance of the Project T funds (\$150 million) is recommended to be transferred to Project R, which funds the ongoing operation of Metrolink service in Orange County.

Project Delivery Analysis

Implementation of the M2 Plan continues at a fast pace. While M2 is only in year five of the 30-year program (revenues started flowing in 2011) every program in the M2 Transportation Investment Plan has been initiated with some already complete. More than \$900 million has been allocated to improving freeways. Every freeway project listed in the Plan is in one stage or another of project implementation (27 segments total). More than \$1 billion has been invested in streets and road projects. Approximately, \$1 billion has been allocated for transit and a

significant commitment to sustainability through environmental programs has been made through the Freeway Mitigation Program and the Water Cleanup program.

The most significant area of concern for the M2 Plan is the conflicting priorities between OCTA and Caltrans regarding the delivery of M2 freeway projects. As part of the project development process, Caltrans is now requiring a broader range of alternatives to be studied to meet broader state highway system needs and/or requirements which is different than the assumptions that went into the development of the M2 freeway program. These considerations can expand project footprint, change intent, add costs, and/or have scheduling impacts.

OCTA and Caltrans have made progress during the past year to reach consensus; however, there are still a number of issues that remain a challenge. Staff will continue to work with Caltrans to manage scope, schedule, and funding concerns.

Public Priority Analysis

Outreach Plan

To gauge the level of public support, a comprehensive public outreach plan was designed to elicit direct feedback from a variety of stakeholders from April 2015 through September 2015. In addition, outreach results were combined with results from the recently completed 2014 LRTP public involvement program. Target audiences included government officials, community and business leaders, transportation professionals, multicultural leaders and the general public. The public was encouraged to contribute comments through a multi-faceted approach that included an online questionnaire, roundtables, outreach meetings, letters, a public opinion survey, and promotion on traditional and digital media.

Public Feedback

Outreach participants consistently echoed their support for M2. Many participants generally felt that OCTA should continue to develop and expand multi-modal options that include everything from transit services, to street and freeway improvements, and investments in active transportation. In addition, participants articulated the need to consider how to utilize new and emerging technologies to both enhance current services and maximize efficiency in construction.

Just as when Measure M2 was passed by nearly 70% of Orange County voters in 2006, the public still supports the plan as approved. In addition, the priorities that have emerged from the Ten-Year Review align with those that surfaced as part of the 2014 LRTP. Participants also acknowledged that Measure M must have flexibility to accommodate future trends while maintaining the balance of the M2 Plan and promise to the voters.

Conclusions

After completing the first comprehensive review of OCTA's Measure M2 program and the requirements listed in Ordinance No. 3 related to the M2 Ten-Year Review, no major external

changes related to legislation, land use, travel and growth projections, project cost/revenue projections or right-of-way and/or other constraints have been identified that would require substantial changes to the M2 Plan as approved by the voters in 2006 and as amended November 23, 2013. The review also highlighted that M2 as a whole is supported by the public as approved and that OCTA has made substantial progress in delivering the program as promised to the voters with all elements initiated and a number of projects delivered.

In reviewing the financial capacity of the M2 program by category, the Transit category has been identified as having delivery issues. Within the Transit category, there are six programs and although the revenue within the category as a whole is sufficient to deliver all six programs, there is a shortfall among the Transit program line items that should be addressed. These include Project R (Metrolink operations); and Project U (fare stabilization for seniors and persons with disabilities), which the forecast indicates will not have sufficient funding through the 30-year M2 horizon. Another program – Project T (Gateway to High Speed Rail), has been delivered and has a remaining balance. With the completion of the one qualifying Gateway project through a competitive call for projects, the Anaheim Regional Transportation Intermodal Center the program in Project T is complete. The balance in Project T is sufficient to address the two transit programs that show a funding shortfall during the 30-year timeframe.

Ordinance No. 3 spells out the process for plan amendments. Amendments within a category do not require voter approval but require a two-thirds vote of the Taxpayer Oversight Committee and a two-thirds vote of the OCTA Board of Directors as well as a public hearing and notification process. Amendments to the Ordinance can be made at any time it is determined to be needed. For a list of M2 Amendments to date see Appendix A.

II. Review Process

Purpose

In November 2006, Orange County voters approved the extension or renewal of Measure M, the one-half cent transportation sales tax to fund a slate of projects and programs for another 30 years. The Plan included strong taxpayer safeguards to ensure strict adherence to the limitations of the use of Renewed Measure M (M2) sales tax revenues to deliver the projects and programs outlined in the Plan. These safeguards include an annual independent audit and quarterly status reports; ongoing monitoring and review of spending by an independent Taxpayer Oversight Committee; voter approval for any major changes to the Plan; strong penalties for any misuse of funds; a strict limit of no more than one percent for administrative salaries and benefits; an annual update on the progress of the Plan; a triennial performance assessment; and a comprehensive review at least every ten years to evaluate the performance of the Plan.

This report is a result of the analysis conducted to fulfill the requirement for the Orange County Transportation Authority (OCTA) to conduct a comprehensive review of the work completed through M2 at least every ten years. The Plan identified specific elements that must be included in the Ten-Year Review including:

- Consideration of changes to local, state and federal transportation plans and policies;
- Changes in land use, travel and growth projections;
- Changes in project cost estimates and revenue projections;
- Right-of-way constraints and other project constraints;
- Level of public support for the Plan; and
- Progress of the Authority and jurisdictions in implementing the Plan.

The overarching purpose of the comprehensive review is to evaluate the performance of the Plan while ensuring the intent of the Plan as approved by the voters is not compromised.

Background

Although M2 sales tax collection did not begin until April 1, 2011, the OCTA Board of Directors adopted an Early Action Plan so that M2 project work could begin as soon as the authorizing ordinance was effective - on November 8, 2006. As such, the Ten-Year Review is based on this early start which assumes the review should be completed prior to November 7, 2016.

The first M2 Ten-Year Review is being completed in advance of the ten-year time frame in order to capitalize on the complementary analyses recently conducted as part of the update to OCTA's Long-Range Transportation Plan (LRTP). OCTA is aligning these two efforts and using the recent research and outreach performed through the LRTP process as a baseline for the M2 Ten-Year comprehensive review.

M2 includes a process for amending the ordinance and the Transportation Investment Plan at any time to improve performance or account for any changes. In summary, a set process is defined that spells out what is required and includes a public hearing, local jurisdictions' notification, and a two thirds approval vote from both the Taxpayers Oversight Committee and the OCTA Board of Directors. Amendments within a transportation category (the Freeway Program, Streets and Roads Program or Transit Program) in the Plan can be made using this process. An amendment that changes allocation among four major transportation categories requires taking the amendment to the electorate.

As the review process was initiated, several important considerations were identified as foundational to this M2 review. These considerations are the following;

- M1 success was centered on delivery of the voter-approved plan (Promises Made, Promises Kept)
- M2 Investment Plan was based on market research, stakeholder input and approved by ~70 percent of Orange County voters
- M2 is a balanced plan which provides for capacity, preservation and sustainability
- M2-related actions must align with M2 transparency and accountability safeguards
- OCTA is currently in year five of a 30-year plan; it's early to make wholesale changes
- M2 Early Action Plan and M2020 Plan enabled OCTA to mobilize all M2 projects and programs from the start of the 30-year plan

Process

The Ten-Year Review kicked off in November 2014 with information on the process provided to the OCTA Board of Directors. An update on the progress of the review, the planned schedule and the following five objectives were presented to the Board of Directors in April 2015.

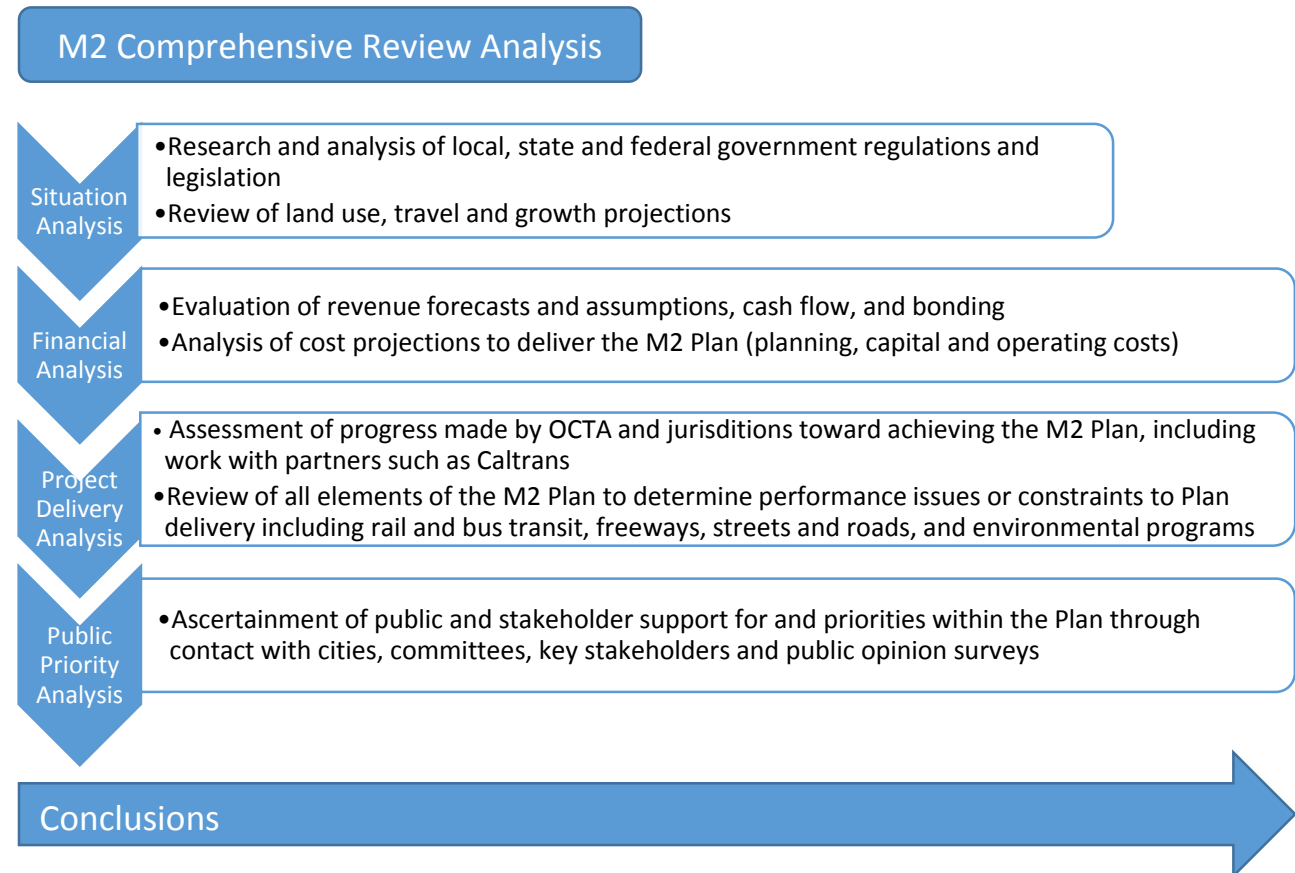
Objectives

1. Research and identify external policy and/or regulatory changes at the local, state, and federal level, as well as changes in land use, travel, and growth projections that require consideration.
2. Evaluate current project and program cost estimates and the financial capacity of the sales tax revenue through 2041 to confirm Plan delivery.
3. Review M2 program and project elements to determine if there are performance issues or constraints to the promised delivery.
4. Identify OCTA and local jurisdictions progress in implementing the Plan.
5. Assess public and stakeholder support for the Plan.

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The review schedule included completing and presenting the final report to the Board in late 2015 with implementation of any findings planned for early 2016.

To complete the Ten-Year Review, OCTA engaged an internal team versed in delivering M2 programs and projects including Capital Programs, External Affairs, Finance and Administration, Government Relations, Planning, and Transit Divisions. An internal task force was developed to direct the comprehensive review effort, which included the following activities.



The following pages describe the findings from each of the four areas of analysis and an evaluation summary of the findings. Recommendations based on these findings are included in the accompanying staff report to the OCTA Board of Directors for discussion and consideration.

III. Situation Analysis: Reviewing the Changes Affecting Orange County's Transportation Systems

To address changes to Orange County's transportation system, all transportation-related federal and state legislation that was signed into law as well as state policy changes that have occurred following the passage of M2 (2006 through 2014) was reviewed. The Ten-Year Review discusses elements that have had or have the potential to affect M2.

Federal Legislation

On the Federal side, several laws were passed since 2006 which could have affected M2 projects. While some legislation, such as the American Recovery and Reinvestment Act (ARRA), provided new one-time federal funding for transportation projects, the majority of federal legislation related to the appropriation of federal funds for transportation projects and programs. For example, the Moving Ahead for Progress in the 21st Century Act (MAP-21) was approved July 6, 2012, and funded federal transportation programs until September 30, 2014. It transferred \$18.8 billion in general funds to maintain existing transportation funding levels. As part of MAP-21, several components of OCTA's project streamlining initiative – Breaking Down Barriers – were included in the final bill. These additions included provisions related to contract efficiencies and the streamlining of federal project and environmental review processes. Additionally, MAP-21 also included a new mandate to address high occupancy lane degradation which has triggered new managed lane policies from the California Department of Transportation (Caltrans). Subsequently, the Highway and Transportation Funding Act of 2014 provided a temporary extension of MAP-21 transportation funding programs through May 31, 2015. The continued debate on renewal of MAP-21 remains an issue due to the lack of certainty for long-term transportation funding needs. Another example of federal legislation that affected M2 projects is the Rail Safety Improvement Act of 2008, which requires the implementation of positive train control systems by Class I railroad carriers on main lines by December 31, 2015.

Upon review, it was determined that none of the federal laws or regulations passed or issued since the passage of M2 would prompt a recommendation to change the M2 program. Appendix B provides a comprehensive list of federal bills potentially affecting M2 projects enacted since 2006.

State Legislation, Policies and Regulations

Since M2 was approved by voters in 2006, several state laws were enacted affecting transportation funding including the addition of Proposition 1B (2006) which provided new one-time funding. As a result of Prop 1B, OCTA was able to secure funds for projects which would have otherwise been funded with M2, other local, state or federal funds. Conversely, when the sale of Proposition 1B (Prop 1B) bonds was put on hold, having a local sales tax measure in place provided OCTA with the resources to keep projects moving through the uncertainty. Once

Prop 1B was back on track, OCTA used these funds first and reprogrammed M2 funds to other M2 projects within that category (i.e., transit, highway, streets and roads).¹

With the flexibility built into the Measure M2 Ordinance and guidelines, OCTA has been able to adapt to a reduction in sales tax revenues (discussed further in Chapter V) as a result of the 2008 Great Recession, take advantage of the funding-related legislative changes that have occurred to date, and keep with changes in state policy while continuing to advance locally-prioritized M2 transportation projects.

State legislation has also been signed into law aimed at improving the linkage between land use and transportation. Much of this effort results from the passage of AB 32 (Chapter 488, Statutes of 2006), which developed the goal of reducing statewide greenhouse gas emissions to 1990 levels by 2020. This landmark legislation brought about the introduction and passage of specific statutory requirements to achieve the statewide goal, including SB 375 (Chapter 728, Statutes of 2008), which requires Regional Transportation Plans to meet regional greenhouse gas (GHG) emission reduction targets through the development of a Sustainable Communities Strategy (SCS). Each SCS is to include a combination of strategies to better link transportation, housing and land use planning, attempting to discourage an increase in vehicle miles traveled (VMT) or induced vehicle travel. Additionally, SB 743 (Chapter 386, Statutes of 2014) eliminates the use of Level of Service (LOS) in the California Environmental Quality Act (CEQA) when analyzing the transportation impacts of a project, in favor of alternative metrics such as VMT or induced vehicle travel, to encourage infill development and reduce GHG. While guidelines implementing SB 743 have yet to be finalized, these requirements could make it more difficult moving forward.

See Appendix C for a comprehensive list of state bills potentially affecting M2 projects enacted since 2006.

Linking Transportation and Land Use

In response to SB 375, in April of 2012, the Southern California Association of Governments (SCAG) adopted the 2012–2035 Regional Transportation Plan (RTP) which includes all of the M2 projects. The 2012 RTP included for the first time a Sustainable Communities Strategy (SCS). Orange County developed its own SCS, which was incorporated into the 2012 SCAG RTP/SCS, showcasing existing projects focused on sustainability, as well as opportunities for future transportation and land use projects and activities that promote sustainable communities. Along with these opportunities come challenges.

It is important to note that OCTA does not have control over the location, type, or intensity of land use development throughout Orange County. These decisions are under the purview of local jurisdictions. Growth in population and employment are additional factors that are closely tied to land use and over which OCTA has little influence. OCTA's role is to coordinate an efficient transportation system that provides improvements within the context of financial and

¹SB 1266 (Chapter 25, Statutes of 2006) authorized the placement of Proposition 1B on the fall 2006 ballot, which granted \$19.925 billion in general obligation bonds for transportation improvements.

environmental constraints and in response to land use and socioeconomic changes. However, this greater transportation and land use linkage, supported by recent legislation, has required OCTA and other local and regional organizations (e.g., the Orange County Council of Governments and SCAG) to more closely coordinate transportation decisions with land use decisions moving forward.

Implementing Sustainable Communities Strategies

To date, OCTA and local Orange County jurisdictions have responded to SB 375 by engaging in a collective effort to link transportation and land uses. This effort includes a variety of progressive measures undertaken by Orange County jurisdictions, agencies, and groups that lead to changes in the use of automobiles and light duty trucks, resulting in reductions in GHG. The scope of current and planned strategies is broad and encompasses significant investment by both the public and private sectors to implement. Strategies either currently being implemented, or that have potential for future implementation, include the following:

- Using land in ways that make developments more compact and better links jobs, housing and major activity centers.
- Protecting natural habitats and resource areas.
- Implementing a transportation network of public transit, managed lanes and highways, local streets, bikeways, and walkways built and maintained with available funds.
- Managing demand on the transportation system (TDM) in ways that reduce or eliminate traffic congestion during peak periods of demand.
- Managing the transportation system (TSM) through measures that maximize the efficiency of the transportation network such as signal synchronization.

It is anticipated that these types of efforts will continue to be pursued and implemented in Orange County as the local contribution to regional strategies to achieve the goals of SB 375.

Specifically for M2, the Plan as a whole includes elements that support and enhance regional sustainable communities strategies in Orange County. M2 provides expanded transit services and more efficient street and highway operations, preserves open space through the environmental mitigation program, and provides supplemental funding for water quality improvements. Brief summaries of the specific programs are listed below.

- ✓ Projects A through N – freeway improvements and freeway service patrol to provide emission reductions through congestion relief
- ✓ Projects O and P – signal synchronization and street improvements that provide emission reductions through congestion relief and allow for bike and pedestrian project elements
- ✓ Project Q – local funding for city selected transportation projects that provides for preservation of the streets and roads system and includes bike, pedestrian, water quality, and transit enhancements as eligible expenditures

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- ✓ Project R – expanded Metrolink train capacity including improvements to stations and parking to improve transit reliability and convenience and reduce reliance on highways while also supporting potential transit oriented development
- ✓ Project S – transit extensions to improve access between Metrolink stations and residential, and employment centers, and provide an alternative to driving
- ✓ Project T – station improvements to connect to planned future high-speed rail services
- ✓ Project U – sustain mobility choices for seniors and persons with disabilities and provides an alternative to driving
- ✓ Project V – community based circulators to complement regional transit services with local communities and provides an alternative to driving
- ✓ Project W – transit stop improvements to support transfers between major bus lines
- ✓ Project X – water quality improvement programs/projects to meet federal Clean Water Act standards for urban runoff, and augment required mitigations
- ✓ Freeway Mitigation Program – natural resource protection strategy to provide for more comprehensive mitigation of environmental impacts from M2 freeway improvements

State Department of Transportation's Managed Lane Policy

On May 29, 2015, Caltrans signed a Directive requiring each of their districts that currently operates, or expects to operate, managed lanes within the next 20 years to prepare a Managed Lanes System Plan (MLSP). The MLSP must include each managed lane facility that is currently in operation or planned for operation within 20 years. Given that Orange County has a managed lanes system, Orange County's District 12 must prepare an MLSP. Managed lanes are defined as: a high-occupancy vehicle (HOV) lane; a high-occupancy/toll (HOT) lane; or an express toll lane (ETL) where all vehicles must pay a toll to access this lane.

While the Directive requires each District to work with the regional transportation agency (in Orange County's case, OCTA) and other stakeholders, it moves Caltrans into a more direct and integral role in the planning, design and operation of managed lanes.

Historically, Caltrans was responsible for construction, operation and maintenance of the network of state highways that traverse Orange County. In the 1980s and 1990's, as state transportation funding became constrained, several counties, including Orange County, passed voter-approved sales taxes to fund transportation projects that were local priorities. In Orange County, this sales tax funding was designated for a range of projects including transit, highways, arterials, and environmental sustainability. Specifically for highways, OCTA as the administrator of Measure M and M2, took on the responsibility of conducting and funding highway design and construction – previously a state responsibility. With design and construction funded locally, the

highway system was able to keep pace with growth while being modernized. At the same time, the state was able to focus its resources towards maintenance and operation of the system.

As the highway system is expanding through local investment, the state's cost to maintain the expanded network over time is also increasing. On one hand, the added capacity increases Caltrans' long term maintenance needs. On the other hand, the local investments to expand and rebuild state highway facilities can reduce the State's operations and maintenance burden as the facilities are upgraded to current standards. The heightened attention to maintenance costs has spurred a closer look by the state at planned expansions and questions about how they will fund increased maintenance costs. In response to this, there are legislative proposals to address highway maintenance funding needs.

Additionally, there is a recognition by state and local agencies that "We can't build our way out of traffic congestion." Operationally, maintaining mobility requires maximizing the throughput within the infrastructure footprint currently on the ground, as well as for planned facility expansions. For the highway system, this translates to the implementation and use of managed lanes (e.g., High Occupancy Vehicle lanes) to facilitate increased throughput through transit and carpooling.

Implementing and Operating Managed Lanes in Orange County

As noted, Orange County's highway system includes managed lanes. In fact, Orange County was a leader in developing a managed lane system, and as a result, Orange County has one of the most extensive managed lane systems, including direct connectors, in the State. Not including managed lanes currently in construction in south Orange County, 88 percent of Orange County's freeway system has managed lanes. Future proposed expansion of highways also includes managed lanes which are designed within the parameters of the M2 transportation improvement plan and subject to local approval processes.

In recent years, in response to the gradual degradation of the performance of Orange County's managed lanes, Caltrans has suggested a range of actions relating to the operation of existing managed lanes, as well as to the design of expanded and new managed lanes. Implementing any of the actions suggested by the state would require local approval, as well as local funding, since the state currently does not have funds designated, nor a source of future funding, to complete such projects. Caltrans has encouraged OCTA to use M2 funds to modify managed lane construction and/or operations, which may not be consistent with the improvements outlined in M2 and the desire of the Orange County community.

The challenge of addressing competing priorities has not yet been resolved. M2 includes managed lane projects as well as general purpose lane projects. For example, M2 includes the addition of a managed lane on Interstate 5 between Pico Avenue and Pacific Coast Highway, a second managed lane between Alicia Parkway and El Toro Road in south Orange County and between State Route 55 and State Route 57 in central Orange County. OCTA is working with Caltrans to resolve conflicts with other projects on a case by case basis. An example is the Interstate 405 project between Interstate 605 and State Route 73 where managed lanes are an

“additive” project to the general purpose lane (Project K) and are funded outside of M2. As highway projects continue to unfold and agency roles evolve, a process is needed to study M2 projects along with Caltrans’ position to make informed decisions. OCTA will work to meet state goals while also fulfilling M2 commitments to voters and maintaining mobility for Orange County travelers. Caltrans and OCTA will need to partner on additional improvements or strategies desired, not taking away from or in conflict with M2, but in addition to the M2 Plan and M2 funding.

Active Transportation

Countywide, there has been greater interest in nonmotorized transportation (bicycling and walking) also called active transportation. OCTA is responding by expanding and prioritizing active transportation projects as integral elements of the county’s transportation system. OCTA is coordinating regional bikeway planning efforts by supporting local jurisdictions’ efforts to seek state and regional funding to bring projects to fruition, as well as providing a local funding source for Orange County projects. Additionally, design of freeway projects takes into consideration the need for bike lanes.

Since the passage of M2 and with the increased interest in active transportation, OCTA has created a new department within the agency called Transit and Non-Motorized Planning along with adding a position, Active Transportation Coordinator whose responsibilities are solely to work with local jurisdictions and the public to support active transportation programs. OCTA worked with state and regional partners (SCAG, Caltrans and the California Transportation Commission or CTC) to ensure funding for Orange County projects. California is now providing \$120 million in active transportation funding annually. At least \$4 million of this is carved out for Orange County through the SCAG regional project selection. SCAG also offers sustainability program grants to agencies which support planning, education and outreach projects, including bicycle and pedestrian planning projects. Additionally, the OCTA Board of Directors has set aside 10 percent of the annual Congestion Management and Air Quality Improvement funds for bicycle projects which provides another approximately \$4 million per year for Orange County projects.

Linking active transportation with future rail service, OCTA completed the Metrolink Station Nonmotorized Accessibility Strategy in June 2013, which builds upon other efforts by OCTA and local cities to expand transportation choices. The Nonmotorized Accessibility Strategy serves as a reference for local cities to improve safety, address existing barriers, and increase the number of Metrolink riders who walk or bicycle to and from the stations through changes to the physical environment. Metrolink also added a bike car for commuters who choose to take a bike on the train. This provides commuters with a transportation option for the “first and last mile” when using Metrolink.

The M2 ordinance allows for active transportation improvements through M2 funding provided to the cities. Cities can use their local fair share funding for these purposes. Additionally, when cities apply for competitive funding for street widening projects, nonmotorized elements are eligible components of the overall project. As an incentive and in response to the increased

interest in active transportation projects, OCTA applies extra points to cities competing for funding when they include active transportation project elements in their application.

Complete Streets

The 2008 passage of The California Complete Streets Act requires local jurisdictions, when making substantive changes to their respective, general plan circulation elements, to plan for a balanced, multimodal transportation network that meets the needs of all. In response, OCTA updated the Master Plan of Arterial Highways (MPAH) Guidance document in 2010 to include new Board policy, stating that “OCTA will encourage all jurisdictions to consider and evaluate all mobility needs when requesting modifications to the MPAH.” In 2012, the MPAH Guidance document was updated again, this time providing for a Complete Streets friendly MPAH classification known as the Divided Collector. The Divided Collector classification allows jurisdictions to reclassify secondary (four-lane, undivided arterials) to two-lane divided arterials, which allows jurisdictions to include bike and pedestrian improvements, where appropriate, in right-of-way that was previously planned and/or allocated for vehicles. The 2012 update to the MPAH Guidance document also updated MPAH typical cross sections to include Complete Streets components.

Through the MPAH amendment processes, OCTA has worked with jurisdictions to develop guidelines where cities have expressed interest in developing nonmotorized transportation improvements. These guidelines are a tool to help transportation planners and engineers throughout Orange County to design roadways in their cities to have safe access for all users, regardless of mode of transportation. An example is the most recent development of the Divided Collector designation within the MPAH. A number of these Divided Collectors have been implemented throughout the county.

Each year, local jurisdictions must demonstrate their compliance with M2 requirements in order to be eligible to receive M2 Local Fair Share dollars. Beginning this year, OCTA will inquire of cities and the County of Orange how they are working toward the ongoing consideration and incorporation of active transportation and Complete Streets in their jurisdiction.

Changes in Housing, Population and Employment

OCTA updates its Long-Range Transportation Plan (LRTP) every four years, assessing the growth patterns of Orange County’s population, employment and housing. Between the 2006 and 2014 Plan updates, significant changes are evident in the overall *numbers* of base year and project population, employment and housing units.²

The county’s population grew much slower than originally projected in 2006. The 2006 LRTP estimated Orange County’s population would grow to 3.3 million by 2010, reaching 3.5 million

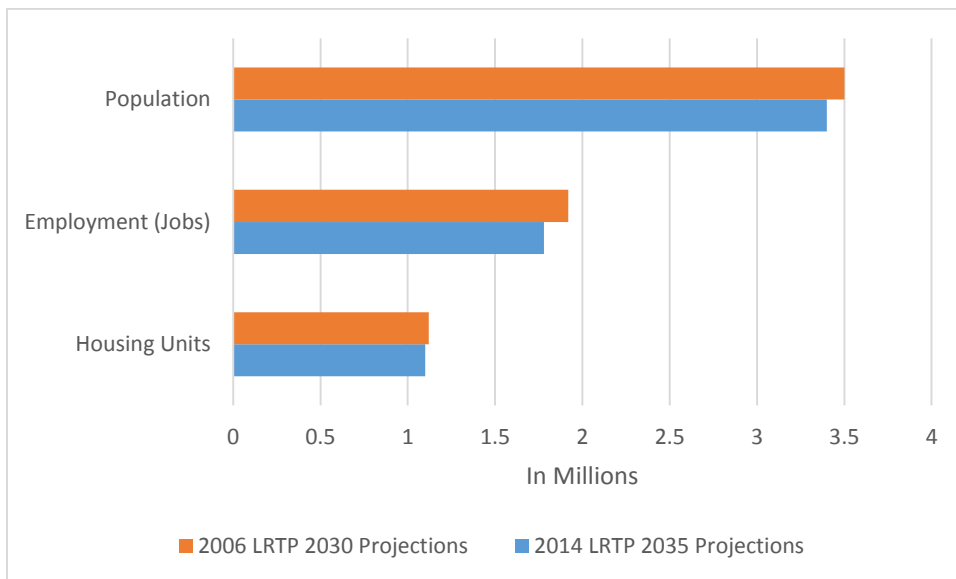
² It is important to keep in mind that several transportation improvements were completed between the base years of each document (2000 and 2010).

by 2020 and 3.55 by 2030. However, the 2014 LRTP reported a 2010 Orange County population of just over 3 million, with projections for future population growth much lower than that projected in 2006 – reaching 3.4 million by 2035.

Similarly, the growth in employment and housing did not occur as predicted in 2006, due in large part to the 2008 Great Recession from which the county is still recovering. While the 2006 LRTP projected employment would grow rapidly to 1.75 million jobs in 2010 and 1.92 million jobs by 2030, the 2014 LRTP showed only 1.5 million jobs as of 2010, with projected growth to 1.78 million by 2035. On the housing side, the 2006 LRTP projected slow but steady growth from 1.07 million housing units in 2010 to 1.12 million units in 2030. However, according to the 2014 LRTP, the actual housing unit count was under one million units as of 2010, with projected growth to slightly over 1.1 million housing units by 2035.

The current projections for Orange County’s population, employment and housing reflect the impact of the 2008 Great Recession, with a moderated outlook for growth in the future that accounts for recovery of lost employment (Figure 1).

Figure 1: Long Range Transportation Plan Demographic Projections, 2006 and 2014



Source: OCP-2004 and OCP-2010 Modified (prepared by the Center for Demographic Research at California State University, Fullerton)

When looking at *where* population and housing growth and their related travel impacts have occurred and are expected to occur in the future, the 2006 and 2014 LRTPs are more closely aligned (Figures 2 and 3). Similar to the 2006 Plan, the 2014 LRTP shows population growth around the Great Park in Irvine and Rancho Mission Viejo Planned Community (Figure 3). The 2014 Plan has additional areas with approved housing entitlements for large residential developments (e.g., La Floresta and Canyon Crest in Brea, the Platinum Triangle in the City of Anaheim, and the East Orange planned community in the City of Orange and unincorporated County), as well as redevelopment in central and north Orange County.

MEASURE M COMPREHENSIVE TEN-YEAR REVIEW

Based on the updated 2014 LRTP, nearly one-third of the housing units projected to be built between 2010 and 2035 are planned on currently undeveloped land. The remaining approximate two thirds of projected housing units will be infill or redevelopment projects. There will be pockets of increasing housing densification, most notably in the Platinum Triangle and East Orange communities, as well as the unincorporated South County community of Rancho Mission Viejo.

For employment, while some of the growth projected in the 2006 LRTP already appears in the 2014 LRTP base year, there is not a significant shift in the location of anticipated future job growth, which is projected to occur primarily in the cities of Irvine, Anaheim, and Tustin, all of which expand on existing employment centers and are concentrated along major transportation corridors (Figures 4 and 5).

Figure 2: 2030 Projected Population Density, 2006 Long-Range Transportation Plan

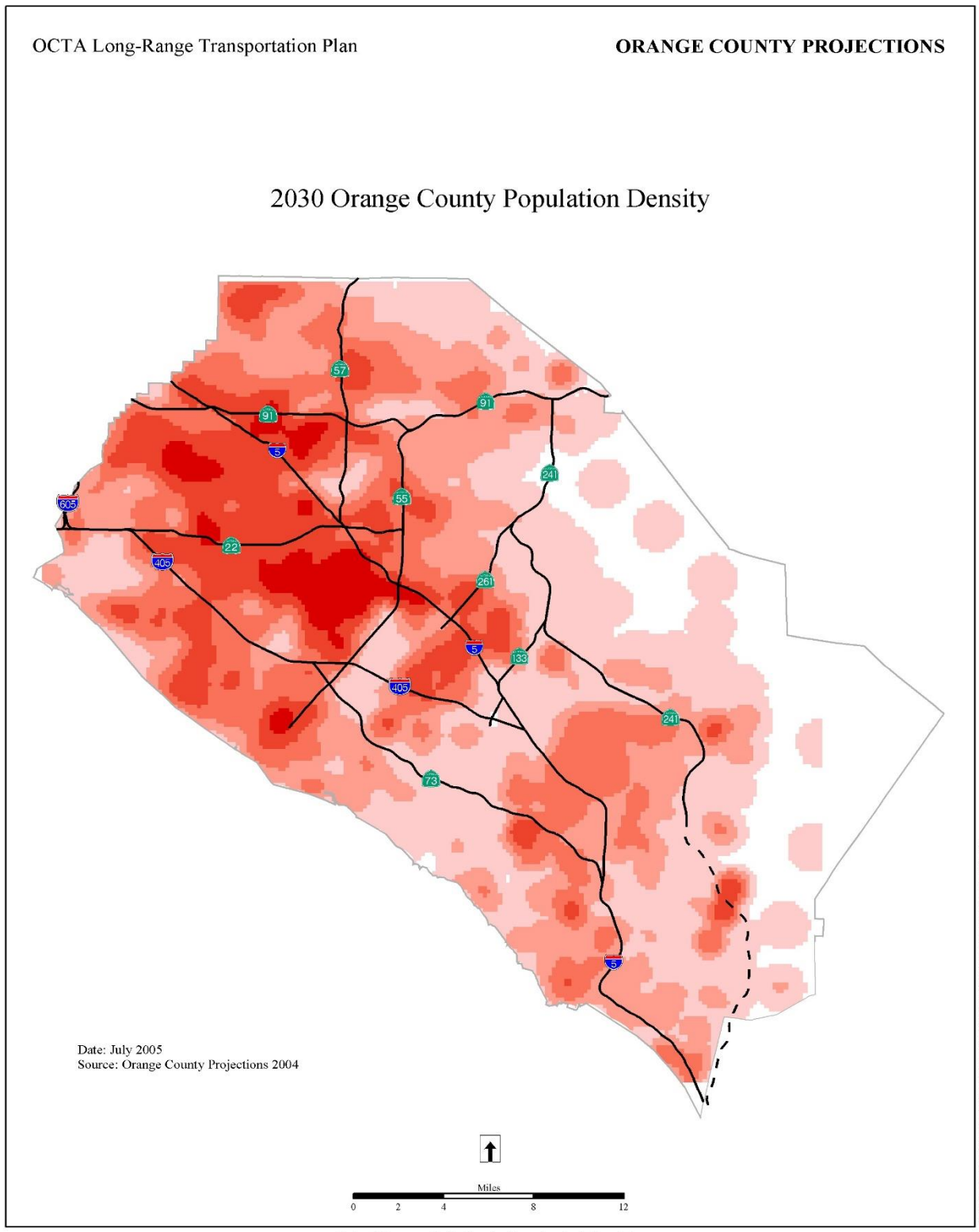


Figure 3: 2035 Projected Population Density, 2014 Long-Range Transportation Plan

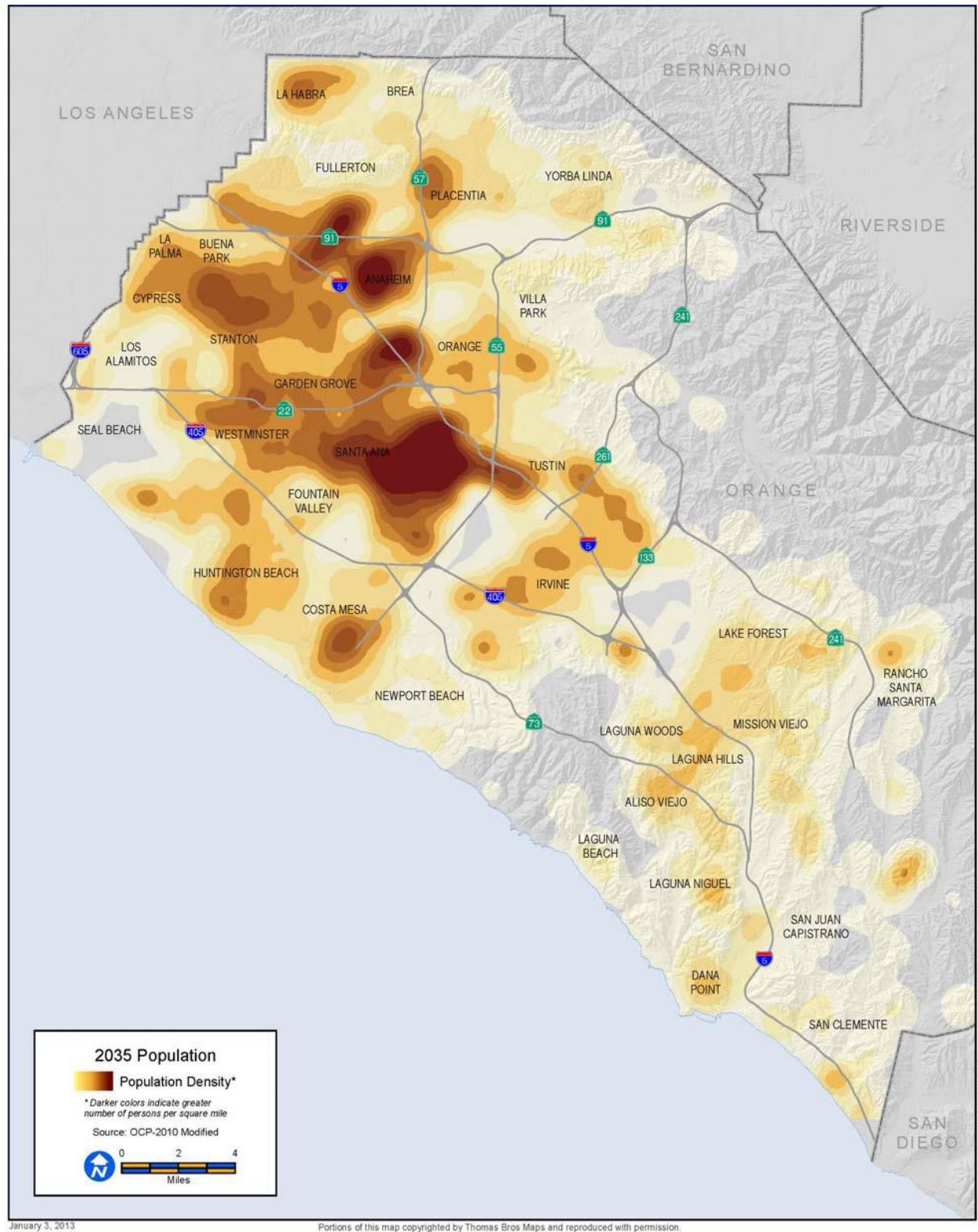


Figure 4: 2030 Projected Employment Density, 2006 Long-Range Transportation Plan

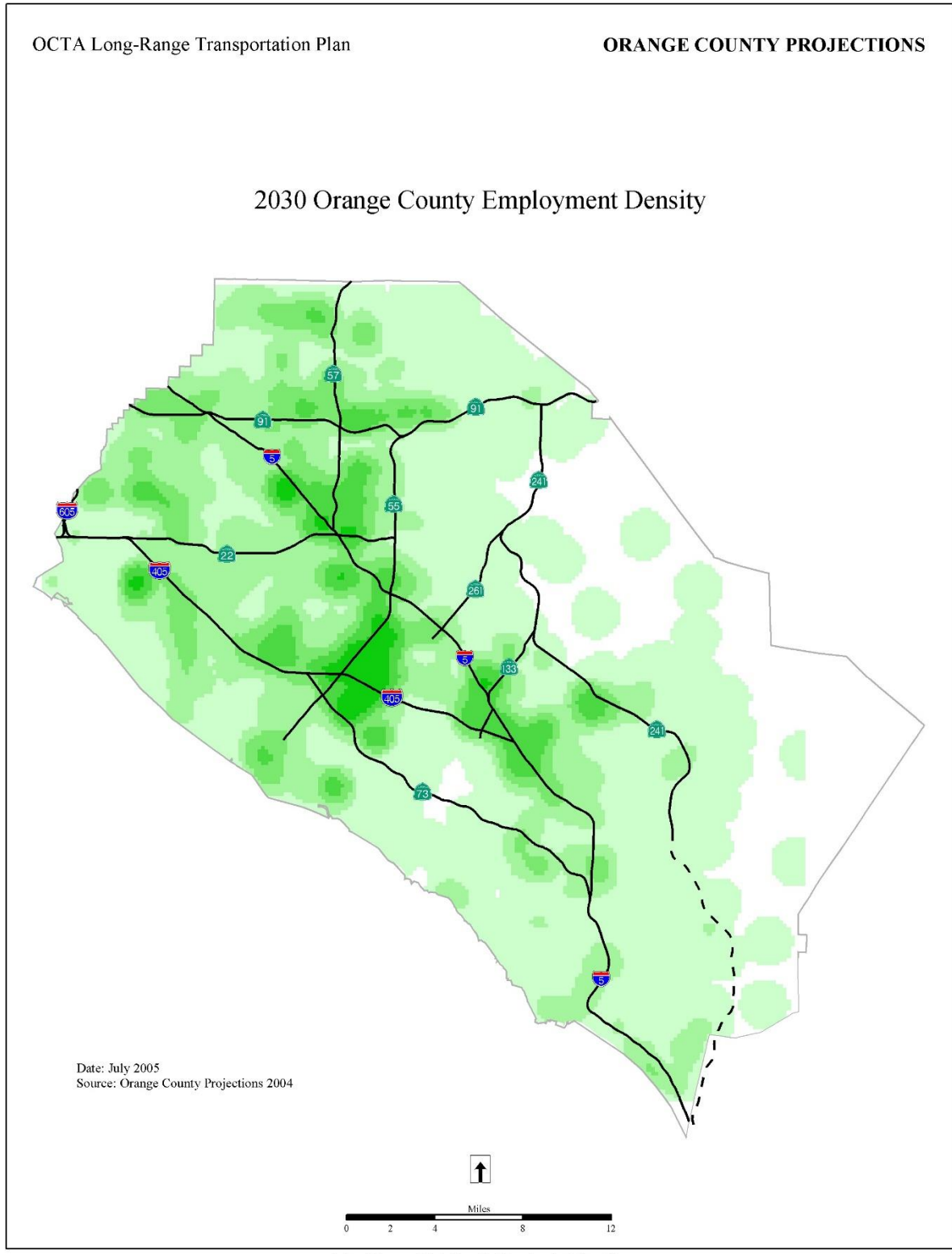
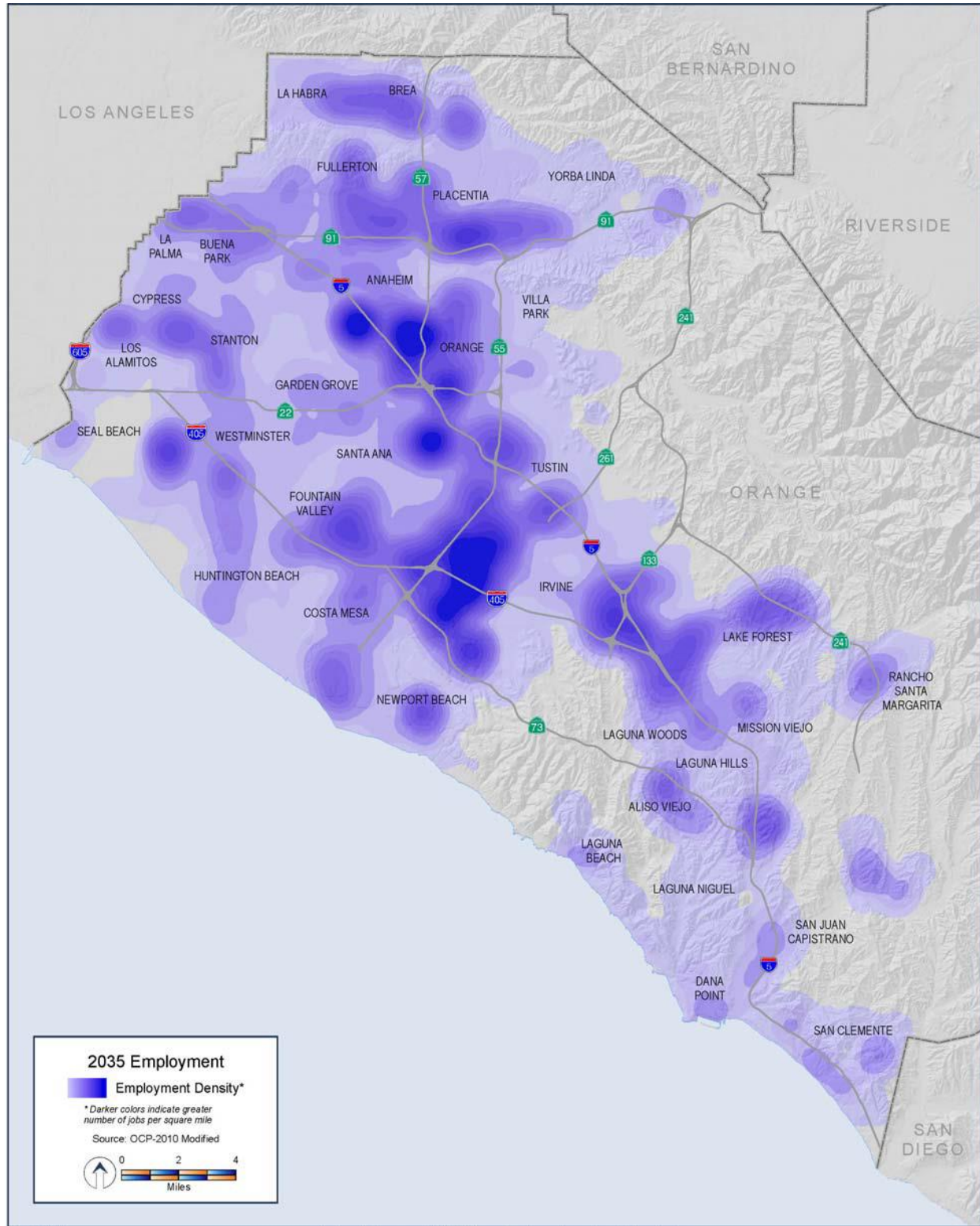


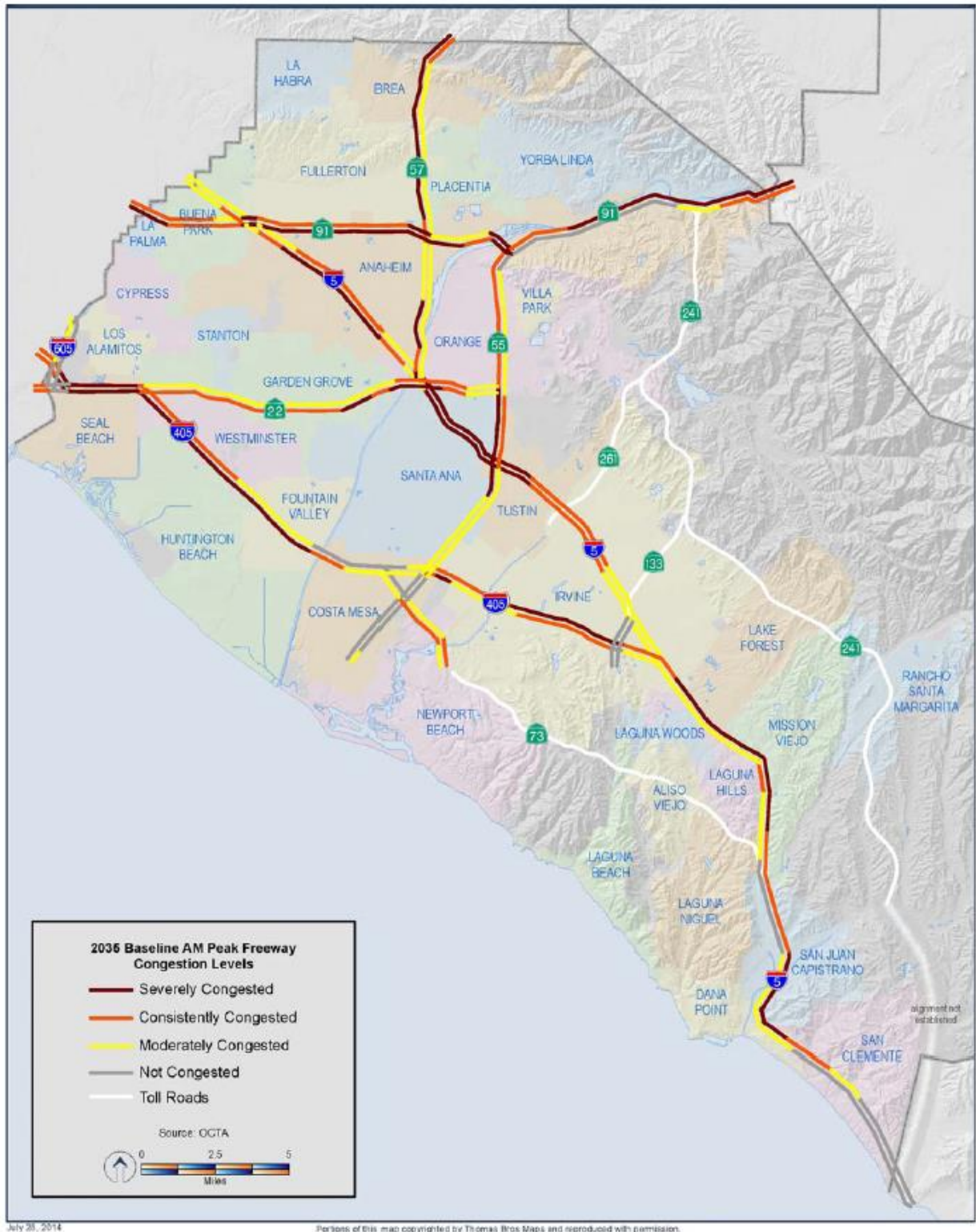
Figure 5: 2035 Projected Employment Density, 2014 Long-Range Transportation Plan



Changes in Freeway Congestion

There are also similarities between the 2006 and 2014 long-range plans when considering freeway congestion between the base and horizon years. Common problem areas identified by both documents are the entire stretch of the I-5 and I-405 freeways; SR-55 between I-5 and SR-91; and SR-91 from SR-55 to the Riverside County line (Figure 6). While SR-22 and SR-57 also stand out as problem areas in the 2006 LRTP, congestion on these freeways shows a smaller percent increase over the base year in the 2014 LRTP likely due to additional HOV and general purpose lanes on the SR-22, and early M2 SR-57 improvement projects, as well as lower population and employment forecasts.

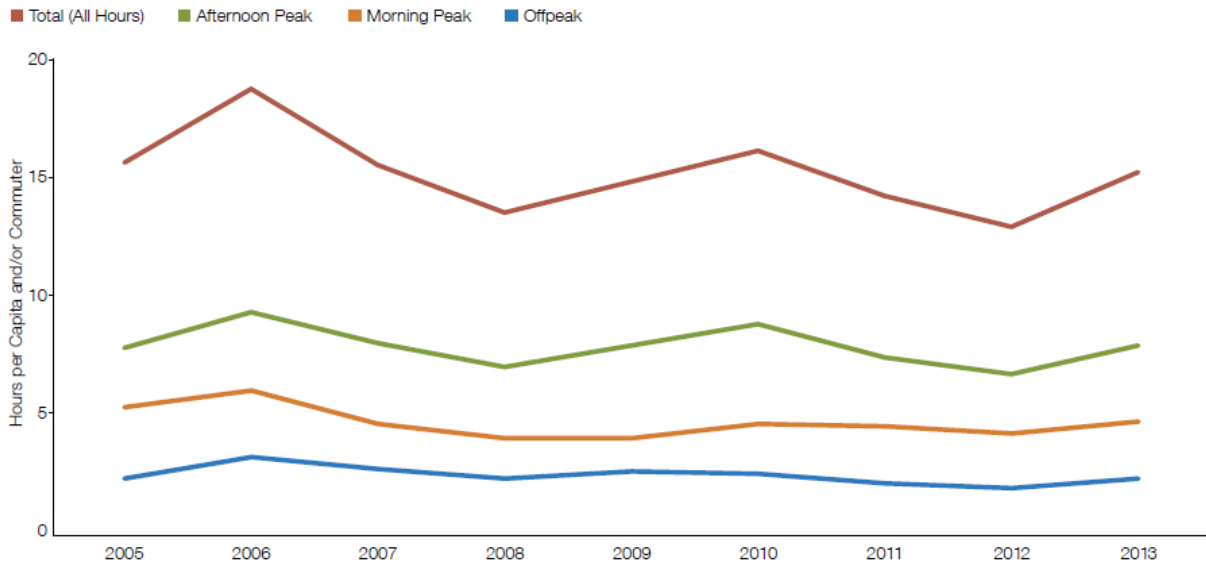
Figure 6: 2035 Baseline Scenario AM Peak Freeway Congestion Levels, 2014 Long Range Transportation Plan



MEASURE M COMPREHENSIVE TEN-YEAR REVIEW

While the amount of delay that commuters experience on Orange County freeways varies from year-to-year, in 2013, commuter delay due to freeway congestion (speeds less than 60 mph) was roughly the same as in 2005 – at about fifteen hours per commuter per year.

ANNUAL HOURS OF DELAY PER CAPITA AND/OR COMMUTER AT SPEEDS OF LESS THAN 60 MILES PER HOUR ON FREEWAYS IN ORANGE COUNTY: 2005-2013



Note: Peak hour delay is calculated by commuter; offpeak delay is calculated for the entire population. The total number of hours of delay is a combination of per capita and per commuter hours of delay. "Commuter" is defined as persons commuting to work in personal cars, trucks or vans. Sources: Caltrans, Performance Measurement System (<http://pems.dot.ca.gov/>); U.S. Census Bureau, Population Estimates Program; U.S. Census Bureau, American Community Survey, 1-Year Estimates (Table B08134)

Note: "Commuter" is defined as persons commuting to work in personal cars, trucks or vans.

Sources: Caltrans Performance Measurement System and U.S. Census Bureau, American Community Survey, 1-Year Estimates

The M2 Review did not reveal significant shifts in demographics or land use patterns. While growth in population, employment and housing has slowed, the general location and pattern of growth is similar to what was initially projected as part of the M2 Plan process.

IV. Financial Analysis: Evaluating OCTA's Capacity to Complete Measure M2 Commitments

The financial capacity of the M2 Program to meet the commitments made to the residents of Orange County was analyzed in the development of OCTA's Comprehensive Business Plan and then again for the M2 Ten-Year Review. Revenue and expenditure assumptions were analyzed at the project and mode level to ensure adequate financial capacity to deliver the M2 Program. The analysis has shown that despite the significant impact of the 2008 Great Recession to forecasted M2 sales tax revenue, the sales tax generated for the M2 Program is anticipated to be sufficient to meet the commitments made to Orange County voters assuming external funds will continue to be available and costs are tightly managed.

When M2 was renewed in November 2006, sales tax revenue forecasts during the life of the M2 Program were estimated to be \$24.3 billion. As a result of the 2008 Great Recession, the sales tax revenue forecasts for the M2 Program hit a low of \$13.7 billion in 2010 which represented a 44 percent decrease in forecasted revenue. Since the 2008 Great Recession, while sales tax revenue has grown and current sales tax forecasts project that the M2 Program will receive \$15.7 billion in sales tax revenue during the life of the program, it is 36 percent less than originally anticipated. The reduction in revenue impacts projects or programs within the M2 Plan that have set scopes or set commitments which include, the freeway program of projects (A-M) and the Fare Stabilization program (part of Project U). The \$15.7 billion will be used to support all M2 efforts with most expenditures coming from the Freeway, Streets & Roads, and Transit categories. It is important to note that when the M2 Plan was created, it was based on being self-funded and did not rely on external funding. As a result of the recession, the M2 Plan is still deliverable, but – particularly in the freeway program – capitalizing on external funding and controlling costs are an important component of delivery.

Freeways

The freeway category receives 43 percent of net M2 sales tax revenue. Original sales tax revenue forecasts estimated that the freeway category would receive \$9.7 billion in revenue during the life of M2. Current sales tax estimates put that number closer to \$6.3 billion, which is \$3.4 billion less than original projections. Also included in the freeway category is the Freeway Environmental Mitigation Program (FMP) which provides programmatic mitigation in exchange for streamlined project approvals and greater certainty in the delivery of all M2 freeway projects. This program receives 5 percent of the freeway program revenues which is approximately \$315 million. Unlike freeway projects that have set scopes, the FMP can be scaled to match available revenue.

OCTA took several steps during the 2008 Great Recession in order to mitigate the impact of the loss in sales tax revenue to the list of freeway projects. In order to take advantage of low construction bids and a low interest rate environment, OCTA advanced freeway projects. This effort allowed OCTA to save millions in construction and escalation costs and to receive a

substantial amount of external funding, which mitigated the loss in sales tax revenue. It also allowed OCTA to deliver projects earlier for taxpayers and create jobs during a period of high unemployment.

Going forward, the freeway category represents the largest area of risk for the M2 Program. All freeway projects within the M2 freeway category are well defined, with set scopes and need to be completed despite the substantial decrease in forecasted sales tax revenue. OCTA has historically been successful in obtaining external funding to maximize the use of M2 funds. The plan going forward will be to continue to seek external funding. In addition, though the preferred method of funding for the M2 Program is pay-as-you-go, OCTA may continue the use of debt financing to advance freeway projects in order to take advantage of low construction bids, avoid inflationary risk and/or secure external funding. This approach proved beneficial during the life of M1 and also the early stages of M2 to date. Based on current revenue and expenditure assumptions OCTA anticipates being able to deliver all freeway projects included in the M2 Program.

Streets and Roads

The streets and roads category receives 32% of net M2 sales tax revenue. Original sales tax revenue forecasts estimated that the streets and roads category would receive \$7.2 billion in revenue during the life of M2. Current sales tax revenue forecasts put that number closer to \$4.7 billion, which is \$2.5 billion less than original projections. Despite the decrease in forecasted revenue, OCTA has been able to continue to issue calls-for-projects for both the Regional Capacity and Regional Traffic Signal Synchronization Programs, and has leveraged external funding to fund the majority of the OC Bridges Program. In addition, 18 percent of net M2 revenue continues to be sent to local jurisdictions to fund the Local Fair Share Program. Unlike the freeway program of projects, which has a specific set of projects defined in the M2 Ordinance, expenditures for the streets and roads category can be scaled to match available revenue. As a result, going forward, OCTA plans to continue to issue calls-for-projects for the Regional Capacity and Regional Traffic Signal Synchronization Programs, as well as fund the Local Fair Share Program as outlined in the M2 Ordinance based on available M2 revenue.

Environmental Clean Up

The Environmental Clean Up program receives two percent of gross M2 sales tax revenue. Original sales tax revenue forecasts estimated that the program would receive \$485.9 million in revenue during the life of M2. Current sales tax revenue forecasts put that number closer to \$315.2 million, which is \$170.7 million (or 35%) less than original projections. Similar to the streets and roads category, expenditures within the Environmental Clean Up program can be scaled to match available revenue. As a result, expenditures will be scaled to match available revenues defined by the M2 Ordinance.

Transit

The transit category receives 25 percent of net M2 sales tax revenue. Original sales tax revenue forecasts estimated that the transit category would receive \$5.7 billion in revenue during the life of M2. The current sales tax revenue forecasts put that number closer to \$3.7 billion, which is \$2.0 billion less than original projections. Similar to the streets and roads category, expenditures within the transit category can generally be scaled to match available revenue. As a result, expenditures supporting programs such as High Frequency Metrolink Service, Transit Extensions to Metrolink, Metrolink Gateways, Senior Mobility Program, Senior Non-Emergency Medical Transportation Program, Community Based Transit Circulators and Safe Transit Stops will be scaled to match available revenues or will be funded based on a formula defined by the M2 Ordinance.

The only transit program that cannot be scaled to the available revenue is the Fare Stabilization Program under Project U. The M2 Ordinance states clearly that one percent of net revenues will be dedicated to provide fare discounts for seniors and persons with disabilities. The M2 Ordinance also provides specific guidance that fares will be stabilized “in an amount equal to the percentage of partial funding of fares for seniors and persons with disabilities as of the effective date of the ordinance.” As a result of the reduction in projected collections, one percent of the net revenues is not sufficient to fund the requirements outlined in the M2 Ordinance.

Shortfall and Need

The original projections estimated that \$232 million would be collected for the Fare Stabilization program. Current projections estimate that \$147 million will be generated. Based on current ridership projections, the need to fulfill the requirement outlined in the M2 Ordinance is \$221 million, leaving a projected shortfall of \$74 million.

The Board has already taken one step to begin to fill this shortfall. On February 14, 2011, the Board approved M2 Project U Funding and Policy Guidelines. At that time, a potential shortfall in the Fare Stabilization Program was already identified due to the drop in M2 sales tax collections. As a result, the Board directed staff to utilize unallocated funds from the Senior Mobility Program (SMP), also a Project U Program, to help backfill the shortfall in the Fare Stabilization Program. During the 30-year period of M2, this provides approximately \$5 million to the Fare Stabilization Program, leaving a projected shortfall of approximately \$69 million.

Further, future additional service as part of the Metrolink Service Expansion (Project R), has been scaled to correspond with available revenue, which results in a limited ability to provide more frequent service. This program has also been impacted by difficult negotiations with Burlington Northern Santa Fe, which owns portions of the railroad tracks, and new federal and state requirements such as positive train control and clean fuel locomotives. Providing additional funds to this program would allow the service to grow to meet future demand and also support sustainability goals by providing an attractive option for commuters using the freeway.

Options

Multiple options for covering the shortfall in Project U have been analyzed: raising the age requirement for those that would receive the subsidy, having the shortfall covered by traditional bus operating funds, discontinuing the program once funds were exhausted, which is projected to be in FY 2035-36, or amending the M2 Ordinance to decrease the percentage of fares that could be subsidized. Ultimately, each of these alternatives requires a change in the promise to the voters or unduly burdens the bus operations program. Staff has been providing regular updates to the Board on this issue since 2011 and most recently last month to the Finance and Administration Committee. The Board directed staff to look for other available M2 transit funds and provide a recommendation as part of the Ten-Year Review. Options for Project R (Metrolink Service Expansion) include limiting service growth to only the amount that is available based on available revenue or a second option is to use other available M2 transit funds to allow service to grow to meet demand. Staff believes that as with Project U, funding the shortfall with available M2 transit funds is the preferred option.

Recommended Solution

Within the M2 Plan, all projects and programs are moving forward. Not including individual freeway projects, the transit category is the only category that has a program that staff believes is complete. According to the M2 Ordinance, Project T is to be utilized for converting Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed rail systems. OCTA has contributed Project T funds for the construction of the Anaheim Regional Transportation Intermodal Center (ARTIC) which is already complete and operational. This station is designed to be the southern terminus for the planned high-speed rail system in California. Since no other stations in Orange County are currently on the planned route, and no other high speed rail systems have moved forward in the planning stages, and given the defined shortfall on Projects U and R in the transit category, remaining funds in Project T can be reallocated to other M2 Transit line items subject to provisions of the ordinance. It is anticipated that \$219 million will be available in Project T.

As a result of this review, it is recommended that \$69 million be transferred from Project T to Project U to cover the shortfall in the Fare Stabilization program. The balance of the Project T funds are recommended to be transferred to Project R, which funds the ongoing operation of Metrolink service in Orange County. It is important to note that if a need arises in the future to convert a Metrolink Station to a Regional Gateway that connects with High Speed Rail, the first look for funding should be within the High Speed Rail Plan. If this is not available and improvements are justifiable, funding could be available out of Project R with Board of Directors approval.

V. Project Delivery Analysis: Identifying Progress and Project Constraints

Shortly after Measure M was renewed, the 2008 Great Recession hit Orange County along with the rest of the nation. The long-term impact of the recession is evident in less than anticipated sales tax revenues for M2. The shortfall in forecasted revenues will likely never be recovered. However, despite the recession, looking back at the nine-plus years since residents voted to renew the Measure M sales tax, much has been accomplished.

Fortunately, OCTA was poised with an early action plan which initiated projects through debt financing prior to revenue collection which didn't begin until 2011. This provided "shelf ready" projects that could begin as soon as the M2 Ordinance was effective in April 2011. When the State provided a one-time infusion of transportation bond revenue through Proposition 1B and the federal government provided infrastructure funding through the American Recovery and Reinvestment Act of 2009, OCTA was able to capture significant external funding that helped back fill the gap. During the past nine years, OCTA has been successful in bringing more than \$600 million of state and federal funding to Orange County to supplement M2 funding for transportation improvement projects. Also significant is that when these projects were put to bid in the recessionary economy, bids consistently came in under estimated budgets, resulting in overall cost-savings which helped to ameliorate the loss in sales tax revenue.

Early Action Plan and M2020

Subsequent to the approval of M2 in 2006, the OCTA Board of Directors approved an Early Action Plan (EAP) in 2007 to advance the implementation of M2. The EAP provided staff with a five-year implementation plan through 2012. Nearing the completion of the EAP (with all of the projects and program identified either initiated or completed), on February 27, 2012, a M2 board workshop took place. At the workshop it was discussed that, despite the economic downturn and resulting decrease in sales tax revenues, OCTA could still deliver the entire M2 Program as promised to the voters by leveraging state and federal funds. In addition, the agency could expedite delivery to further capitalize on competitive construction costs and deliver mobility benefits years earlier than originally planned. At the workshop, options were presented to the Board for delivering the freeway program, which included M2 bonding. This discussion led to the development and Board approval of the M2020 Plan.

On September 10, 2012 the Board adopted the M2020 Plan, which includes 14 objectives to be completed by the year 2020. This M2020 Plan outlines the projects and programs for all categories that can be delivered on an expedited schedule between 2013 and the year 2020 along with anticipated schedules and major milestones. The M2020 Plan provides delivery guidance on a portion of the overall M2 Transportation Investment Plan. Staff is committed to the implementation of the M2020 Plan through 2020 and ties it directly to overall M2 delivery. That blueprint commits to meeting 14 objectives in the eight-year period (2012 to 2020) which included delivery commitments for all elements of the M2 Plan.

More than \$5 billion (external and M2 funds) in transportation improvements promised to the voters in M2 are planned to be completed or under construction by 2020 as part of the M2020 Plan. This includes \$3 billion to deliver 14 freeway projects, \$36 million to environmentally clear the nine remaining freeway projects, \$1.2 billion for streets and roads, \$1 billion for transit, and \$58 million for environmental programs. In addition, the groundwork will be laid for another \$1.4 billion in freeway improvements by completing the environmental clearance on remaining M2 freeway projects, making them 'shelf ready' in the event additional federal, state, or local funding becomes available.

M2 Progress and Constraints

With M2 sales tax revenue collection beginning on April 1, 2011, OCTA has already been able to deliver a number of projects. Every program element listed in the M2 Plan, A-X including the Freeway Mitigation Program has been initiated. In the freeway category, six projects are already complete and six more are currently in construction. In the streets and roads category, more than \$1 billion has been allocated to local jurisdictions to repair, improve, and widen Orange County's streets and roads to make them more efficient. This includes \$634 million for OC Bridges which includes seven grade separation projects to separate rail and car traffic (two of which are complete and the other five are in construction). In the transit category nearly \$1 billion has been invested or committed to improve transit services and provide more transit options for commuters.

The following tables summarize the progress and constraints made within the various M2 categories, as of August 1, 2015. Progress was determined by comparing the current status of projects and programs to what was stated in the Transportation Investment Plan approved by the voters. In addition, risks of, or constraints to, delivery were documented.

For schedule information on M2 capital projects see pages 40-41, for more detailed information on project descriptions, current status and constraints is provided in Appendix D.

MEASURE M COMPREHENSIVE TEN-YEAR REVIEW

| FREEWAYS PROGRESS | |
|--|--|
| Overall, more than \$734 million promised freeway improvements have been delivered or are under construction. More than \$1.93 billion promised freeway improvements are currently in design, and more than \$1.78 billion promised freeway improvements are in the environmental clearance process. The remaining projects, totaling \$875 million (complete project cost), are planned to be cleared environmentally within the next five years. This includes M2 funding as well as external funding. | |
| Opened (six segments) | <ul style="list-style-type: none"> • SR-22 Access Improvements • SR-57 NB general purpose lane (three segments) from Katella to Lincoln and Orangethorpe to Lambert • SR-91 general purpose lanes between SR-55 and SR-241 • SR-91 EB from SR-241 to County Line |
| In Construction (six segments) | <ul style="list-style-type: none"> • I-5/Ortega Interchange • I-5 HOV lanes between Avenida Pico and San Juan Creek Road (three segments) • SR-91 WB general purpose lane from I-5 to SR-57 • SR-91 WB general purpose lane Tustin to SR-55 |
| In Design (five segments) | <ul style="list-style-type: none"> • I-5 HOV lane addition and general purpose lanes between SR-73 and El Toro Interchange (three segments) • I-5 HOV lanes between SR-55 to SR-57 • I-405 general purpose lane between SR-73 to the I-605 (M2 portion) |
| In Environmental (five segments) Four underway with one ready to move into Design | <ul style="list-style-type: none"> • I-5, I-405 to SR-55 • I-405, SR-133 to SR-55 • SR-55, I-405 to I-5 • SR-91, SR-55 to SR-57 • SR-91 general purpose lane between SR-241 to Riverside County Line (document complete) |
| PSR/PDS All Complete (five segments) Ready to move into Environmental | <ul style="list-style-type: none"> • I-5/El Toro Interchange (document complete) • I-605/Katella Interchange (document complete) • SR-55, I-5 to SR-91 (document complete) • SR-57, NB Orangewood to Katella (document complete) • SR-57, NB Lambert to County Line (document complete) |
| FREEWAY CONSTRAINTS | |
| <p>Going forward, the freeway category represents the largest area of risk for the M2 Program. All freeway projects are well defined with set scopes, and need to be completed despite decreased sales tax revenue. OCTA has been successful in obtaining external funding to maximize the use of M2 funds, and will continue to seek external funds to ensure delivery. To help facilitate implementation, the original 13 freeway projects listed in the M2 Plan have been broken down into 27 segments to date. Seventeen of the 27 segments have no issues or constraints identified at this time. (Six are complete, six are progressing in construction, another two are in design, and three are ready to move into environmental, which total seventeen). The remaining seven projects have one or more constraint. Constraints center on requests by Caltrans to make modifications to revise traffic studies or study options that are beyond the M2 proposed improvements. Additionally, Caltrans' limited resources to perform right-of-way necessary for projects in design has also slowed progress. Although not a constraint, the I-405 project is a very large project and one that requires an effort to manage the improvements. Finally, efforts to address degradation and managed lanes has the potential to impact scope and, therefore, delay all projects that have not yet been environmentally cleared.</p> | |

MEASURE M COMPREHENSIVE TEN-YEAR REVIEW

| STREETS AND ROADS PROGRESS | |
|---|--|
| More than \$1 billion (includes external funds) has been invested in Measure M street improvements, including \$635 million for seven grade separation projects; \$56.3 million for 69 signal synchronization projects; \$193 million for 125 regional street improvement project phases; and \$185 million in flexible Local Fair Share funding to help restore aging street systems. As a result of both the M1 and M2 investment, Orange County has the best pavement quality in the State.* | |
| Completed Projects | <ul style="list-style-type: none"> • Two grade separation projects (\$136 million) separating rail and car traffic and improving traffic flow, public safety and the transport of goods: <ul style="list-style-type: none"> ○ Placentia Avenue ○ Kraemer Boulevard • Traffic Signal Synchronization Projects <ul style="list-style-type: none"> ○ 28 Projects completed (1,413 signals synchronized) • Regional Street Improvement Projects <ul style="list-style-type: none"> ○ 11 projects completed |
| In Construction | <ul style="list-style-type: none"> • Five grade separation projects (\$499 million): <ol style="list-style-type: none"> 1. Lakeview Avenue 2. Tustin Avenue/Rose Drive 3. Orangethorpe Avenue 4. State College Boulevard 5. Raymond Avenue • Regional Street Improvement Projects <ul style="list-style-type: none"> ○ 13 Projects • Traffic Signal Synchronization Projects <ul style="list-style-type: none"> ○ 34 Projects |
| Phase completion | <ul style="list-style-type: none"> • Regional Street Improvement Projects <ul style="list-style-type: none"> ○ 13 Projects completed Environmental and/or Design ○ 8 projects completed right-of-way (ROW) |
| Started and Planned | <ul style="list-style-type: none"> • Traffic Signal Synchronization Projects <ul style="list-style-type: none"> ○ 17 projects are planned to initiate construction in near future • Regional Street Improvement Projects <ul style="list-style-type: none"> ○ 6 projects started right-of-way acquisition, 11 projects are planned to start ROW and 24 projects are planned to start construction in near future • 26 projects started environmental and/or design and 13 projects are planned to start environmental/design in near future |
| STREETS AND ROADS CONSTRAINTS | |
| Although programs are not able to be funded at the originally planned level, all three streets and roads programs are progressing without significant issues or constraints. While the Regional Capacity Program is moving forward without issue, the grade separation program right-of-way costs and legal settlements have increased the overall cost of project completion. | |

*As reported by the League of California Cities, the California State Association of Counties and regional transportation planning agencies, who graded the condition of each county's streets on a scale of 0 to 100, in addition to reviewing pavement quality statewide. Orange County received a score of 76 which is the highest score in the State.

MEASURE M COMPREHENSIVE TEN-YEAR REVIEW

| TRANSIT PROGRESS | |
|--|--|
| <p>To date, nearly \$1 billion has been invested or approved for rail transit service improvements, including 52 rail-highway grade crossing safety enhancements and the Sand Canyon grade separation project. The Anaheim Regional Transportation Intermodal Center was completed, and 10 intra-county Metrolink trains were added along with a number of rail station improvements. Environmental work was completed and the design phase began for the development of Orange County's first street car project. The Safe Transit Stops Program awarded \$1.2 million for 51 projects to improve 100 of the busiest bus stops as well as funding for mobile ticketing applications. Additionally, \$9.8 million was approved for five community based transit circulators and \$31 million for programs serving seniors and persons with disability.</p> | |
| Opened or Operating | <ul style="list-style-type: none"> • 52 rail safety enhancements at grade crossings • Rail infrastructure upgrades to support expanded service • San Clemente Beach Train Enhancements • Sand Canyon grade crossing • 10 Intra-county Metrolink Trains • Metrolink Station Improvements at a number of stations <ul style="list-style-type: none"> ○ Anaheim Regional Transportation Intermodal Center (ARTIC) ○ Fullerton Transportation Center parking ○ Tustin Rail Station parking expansion ○ Laguna Niguel/Mission Viejo Rail Station parking expansion • Senior Programs <ul style="list-style-type: none"> ○ Fare Stabilization ○ Senior Mobility Program ○ Senior Non-Emergency Medical Program • Vanpool Services for local employers and train stations <ul style="list-style-type: none"> ○ Irvine ○ Lake Forest • Community Circulators <ul style="list-style-type: none"> ○ Five cities |
| In Construction (or starting soon) | <ul style="list-style-type: none"> • Fullerton Transportation Center elevator upgrades • Laguna Niguel/Mission Viejo ADA ramps |
| In Design | <ul style="list-style-type: none"> • Transit Extensions to Metrolink: <ul style="list-style-type: none"> ○ OC Streetcar ○ Bus Stop Improvements • Orange • Laguna Niguel / San Juan Capistrano Passing Siding |
| In Environmental Phase (or starting soon) | <ul style="list-style-type: none"> • Transit Extensions to Metrolink: • Anaheim Rapid Connection • Anaheim Canyon Train Station Improvements • Placentia Train Station |
| TRANSIT CONSTRAINTS | |
| <p>Overall, the Transit program remains deliverable. There are cost issues related to sustainability of service levels for Metrolink as well as funding for fare stabilization for seniors and persons with disabilities during the life of M2. OCTA is working on redeployment of Metrolink intra-county trains to serve inter-county needs, but this requires an MOU with BNSF. While some deployment has taken place, the ultimate plan has been delayed, but is anticipated to be addressed in 2016 when triple track construction is completed on the rail line.</p> | |

MEASURE M COMPREHENSIVE TEN-YEAR REVIEW

| FREEWAY ENVIRONMENTAL MITIGATION PROGRESS | |
|--|--|
| <p>In 2007, OCTA formed the Environmental Oversight Committee which meets regularly to provide guidance to the Board on the development and implementation of the Freeway Mitigation Program. Based on Board adopted criteria, OCTA purchased 1,300 acres of open space to be preserved as advance mitigation for freeway projects. A funding strategy was adopted for the M2 Freeway Environmental Mitigation Program including a multi-year target of \$34.5 million for long-term management and maintenance costs of lands preserved through an endowment program. Additionally, the Board has authorized \$42 million for property acquisitions, \$10.5 million to fund habitat restoration activities, and \$2.5 million for conservation plan development and program support, for a total of approximately \$55 million.</p> | |
| Purchased/Underway | <ul style="list-style-type: none"> • 1,300 acres of open space • 11 restoration projects |
| FREEWAY ENVIRONMENTAL MITIGATION CONSTRAINTS | |
| <p>The program is progressing as planned and there are no constraints identified at this time.</p> | |

| ENVIRONMENTAL CLEANUP PROGRESS | |
|--|--|
| <p>In 2007, OCTA formed the environmental cleanup allocation committee which meets regularly to provide guidance and recommendations to the Board. OCTA awarded \$41 million of Measure M funding for projects that address water quality issues related to street runoff. This has resulted in 213 million gallons of water saved and nearly 500,000 cubic feet of trash removed since inception.</p> | |
| Funded Projects | <ul style="list-style-type: none"> • 144 projects • 33 of the 34 cities in Orange County have received funding under this program. |
| ENVIRONMENTAL CLEANUP CONSTRAINTS | |
| <p>The program is progressing as planned and there are no constraints identified at this time.</p> | |

M2 PROJECT SCHEDULES



Conceptual



Environmental



Design, Advertise & Award

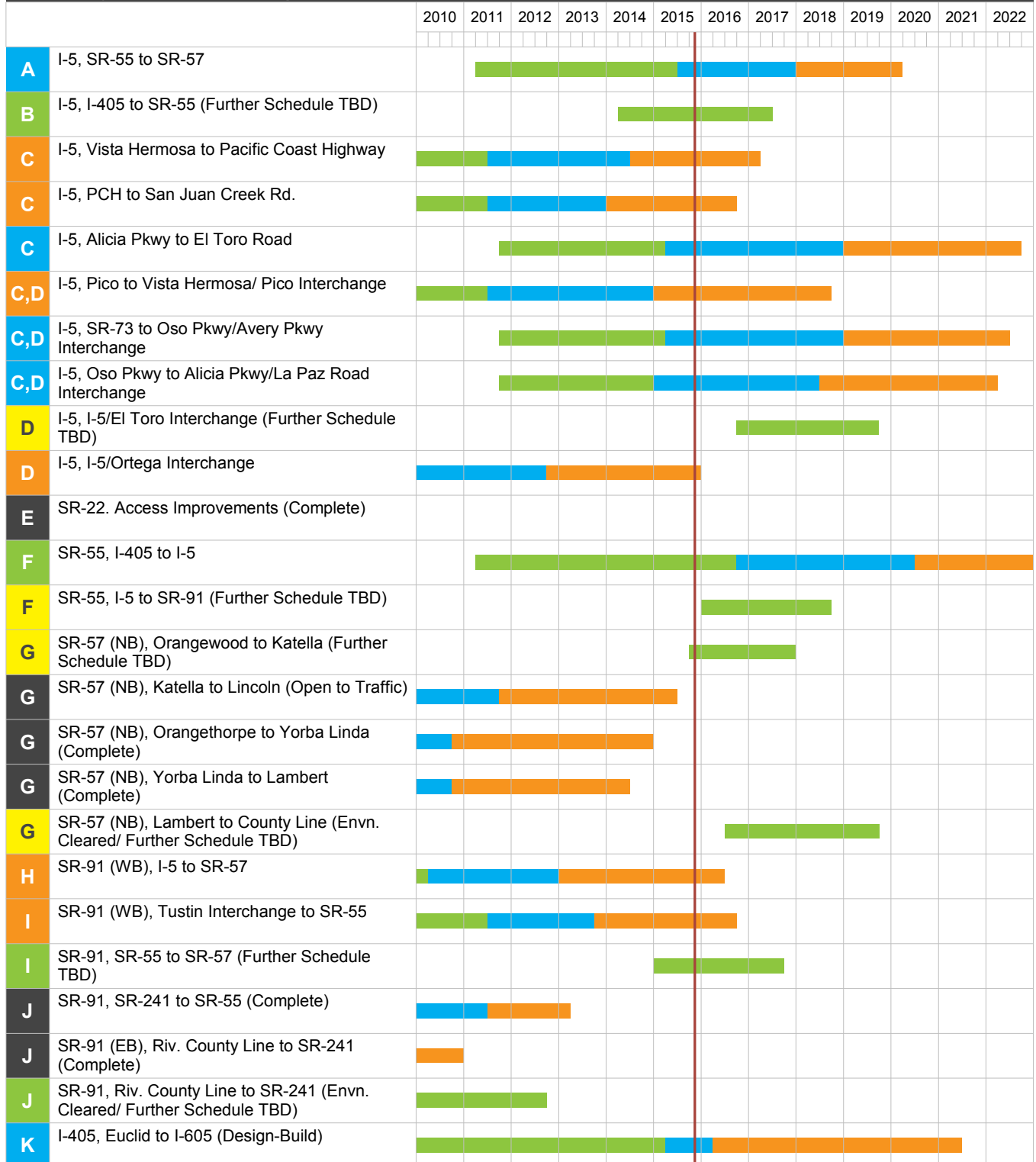


Construction

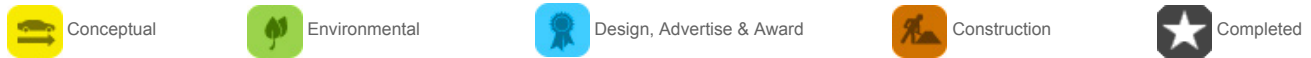


Completed

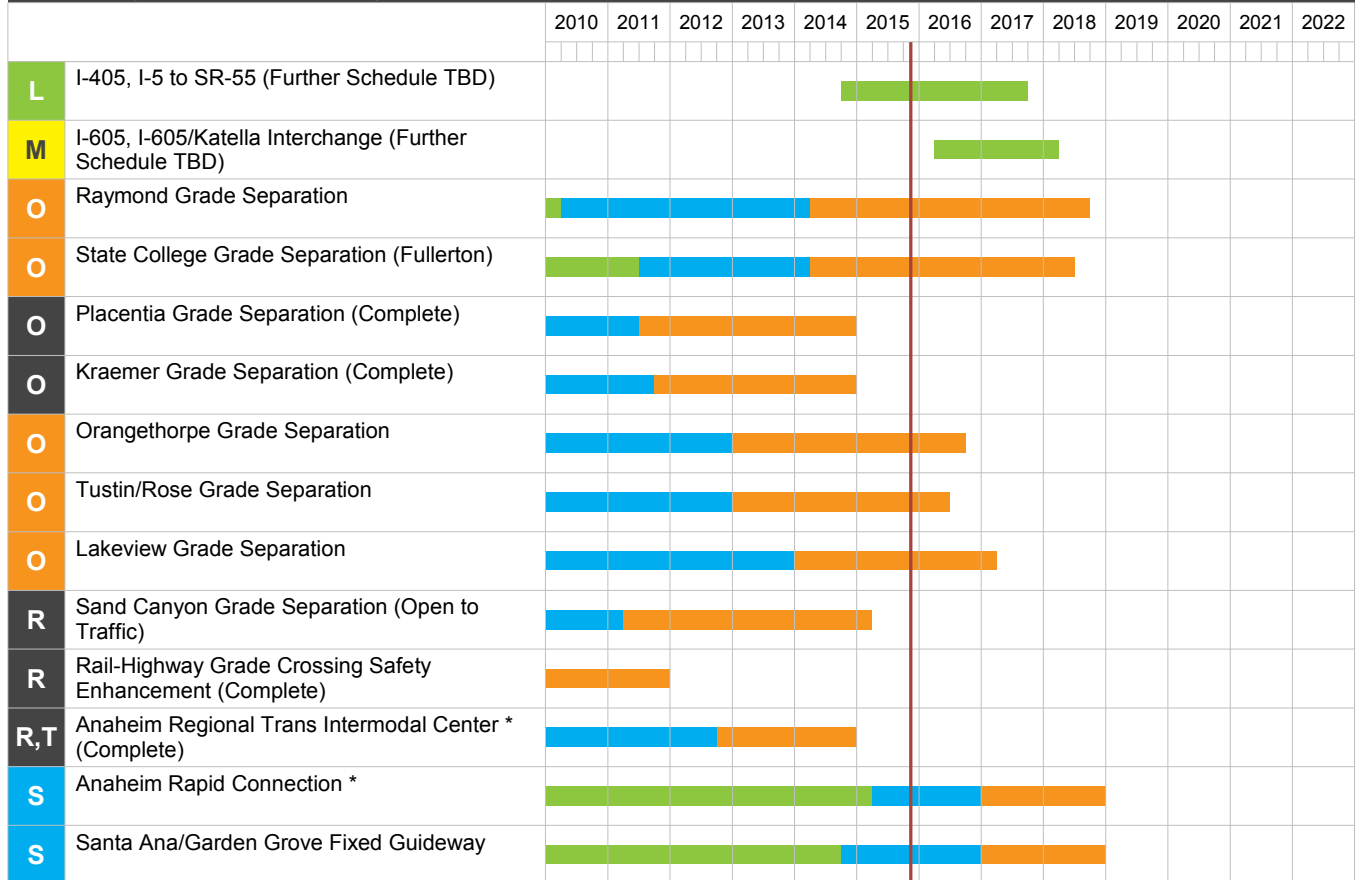
M2 Projects and Programs



M2 PROJECT SCHEDULES



M2 Projects and Programs



* Projects managed by local agencies

Project K is a Design-Build project, with some overlap in activities during phases. Phase work can be concurrent.

These schedules are subject to change.

Delivery Risk

As OCTA moves forward with delivery of the ambitious freeway program delivery schedule, a key area of risk is the availability of Caltrans staff resources to perform right-of-way (ROW) acquisition and relocation support required for project delivery. OCTA relies on Caltrans to process any needed resolutions of necessity (RON) for eminent domain proceedings through the California Transportation Authority (CTC). On a project-by-project basis, Caltrans may not have resources available to perform needed ROW acquisition, relocation assistance, or to process RON's through the CTC to meet OCTA's desired project delivery schedule identified in the M2020 Plan. As a result, options to address this issue should be identified and discussed during the next M2020 Plan review.

Additionally, risk to delivery of Project R, Metrolink service expansion program, will continue as new regulations are imposed such as positive train control, track sharing arrangements with Burlington Northern Santa Fe and new requirements on locomotives which supports the need to provide additional funding To Project R.

VI. Public Priority Analysis: Assessing Public and Stakeholder Continued Support for M2

To gauge the level of public support for the priorities within M2, a comprehensive public outreach plan was designed to elicit direct feedback from a variety of stakeholders from April 2015 through September 2015. In addition, outreach results were combined with results from the recently completed 2014 Long-Range Transportation Plan (LRTP) public involvement program, which also sought public input on transportation priorities. Target audiences included government officials, community and business leaders, transportation professionals, multicultural leaders and the general public.

The public was encouraged to contribute comments through a multi-faceted approach that included an online questionnaire, roundtables, discussions at key stakeholder meetings, letters, a public opinion survey, and promotion on traditional and digital media. By utilizing both quantitative and qualitative methods, broad common themes were gleaned from these outreach efforts. These included:

- The Measure M2 Plan is on track to deliver transportation improvements to Orange County
- A variety of transportation options throughout Orange County is needed
- New and emerging technologies should be incorporated into current transportation systems and projects
- The public should continue to be educated about transportation improvements and options

Just as when Measure M2 was passed by nearly 70 percent of Orange County voters in 2006, the public continues to support the plan as a whole. In addition, the priorities that surfaced as part of the 2014 LRTP track with those that have emerged from the M2 Ten-Year Review. Participants also acknowledged that Measure M must have flexibility to accommodate future trends while maintaining the balance of the M2 Plan.

Background

OCTA's 2014 LRTP, *Outlook 2035*, creates a vision for Orange County's transportation network over the next 20 years. Every four years OCTA updates the LRTP to account for new planning efforts, changes in demographics, economic conditions, available sources of transportation funding, and the public's view on transportation priorities. Since an extensive public outreach effort was implemented as part of the 2014 LRTP update, the results are being used as a baseline for the Ten-Year Review outreach efforts.

The 2014 LRTP outreach effort allowed stakeholders to express ideas for future transportation improvements and comment on issues. OCTA's commitment to deliver the M2 Plan, along with information related to the projected 2035 socioeconomic, financial and travel conditions

provided context for the discussion. The stakeholders included, but were not limited to, local agency elected officials, city managers and staff, business leaders, transportation professionals, seniors, students, OCTA public committees, and advocates of various interests (Appendix E).

The following are some common themes that were expressed during the course of the 2014 LRTP outreach efforts:

- *Optimize* – Make better use of what we have by synchronizing traffic signals, widening major street intersections with left/right turn or through lanes, addressing bottleneck areas, improving transit connections, and developing solutions to improve conditions in carpool lanes.
- *Maintain* – Preserve existing transportation investments, maintain streets and roads, and fix potholes.
- *Educate* – Inform the public about public transportation and non-motorized transportation options, and develop bicycle and pedestrian safety programs.
- *Innovate* – Develop faster mass transit solutions and include innovative solutions, such as real-time passenger information and electronic ticketing to encourage commuters to use transit.
- *Collaborate* – Communicate within and across county borders to develop regional solutions and connections, continue to lead bikeway planning to identify priority regional corridors.
- *Explore* – Analyze ways to make transit travel times similar to automobile travel times, such as streetcars that operate in the same lanes as automobiles, rail transit operating in a dedicated lane on the freeway, and rapid buses.

The key themes that have emerged from the M2 Ten-Year Review outreach efforts track with the feedback received as part of the 2014 LRTP.

Goals & Objectives

The goal of the outreach plan was to meet the M2 Ten-Year Review requirement included in the Measure M2 Ordinance by engaging the public to ensure the M2 Plan as approved by the voters in 2006 is still relevant and has support.

The outreach objectives associated with this overarching goal included:

- Measure public and stakeholder awareness of the M2 Plan.
- Assess public and stakeholder support for the M2 Plan priorities.
- Seek confirmation that the priorities and options included in the M2 Plan still reflect the direction that residents envision for Orange County's transportation future.
- Inform and educate key audiences about transportation improvements within the M2 Plan.

| Target Audiences | |
|---|--|
| <ul style="list-style-type: none"> • Government officials and staff • Community and business leaders • Transportation professionals • Environmental leaders | <ul style="list-style-type: none"> • Local government agencies/organizations • Multicultural leaders • OCTA public committees • General public |

Tactics

Outreach activities were designed to solicit public input from a broad spectrum of people. In addition to gauging the level of public support for the plan, there were a variety of approaches implemented to both educate the public about the progress of Measure M2 and identify their opinions about transportation priorities.

Messaging and Branding

Using the current branding for Measure M2 and the language from the M2 Ordinance itself, an identity and key messages were created to illustrate the progress of M2 to date and the purpose of the M2 Ten-Year Review.

Infographic

A visually appealing infographic (Appendix F) was created to highlight projects and provide a snapshot of all the major milestones to date of Measure M2 programs. It also included the website address so people could get more information and provide feedback.

PowerPoint and Discussion Guide

While all presentations utilized the same pool of information, the PowerPoint and discussion guide were customized to the target audience that would be hearing/reviewing the information in order to facilitate the most dialogue possible.

Online Questionnaire

A qualitative online questionnaire was developed to provide a venue for the general public and stakeholders to provide their feedback. The online questionnaire was also printed and distributed during roundtables and meetings (Appendix G). To date OCTA has received over 100 responses to the online questionnaire.

Website

The Measure M Overview webpage featured a section that highlighted the M2 Ten-Year Review and included digital versions of the PowerPoint and infographic, and a link to the online questionnaire. Since this information was added to the Measure M Overview webpage, it has received nearly 3,700 views, with more than 150 downloads of the progress report.

Social Media

The materials on the website and online questionnaire were promoted with OCTA's Facebook and Twitter accounts. Facebook posts reached more than 1,600 people and generated 150 actions. These posts resulted in eight percent total traffic to the website.

Press Release

A press release (Appendix H) was issued to 130 media outlets to help encourage the general public to review the online materials.

OCTA Blog

Three articles about the Ten-Year Review were published on OCTA's blog between June and September 2015 (Appendix I). These articles were included in three *On the Move* email newsletters, which are distributed to OCTA stakeholders, for a total distribution of 8,600.

Newsletters and E-blasts

Promotion of the online materials and questionnaire were distributed through newsletters and e-blasts (Appendix J) to more than 6,000 people by the American Society of Civil Engineers (ASCE), Women in Transportation Seminar Orange County (WTS-OC), and Orange County Association of REALTORS (OCAR).

Attitudinal and Awareness Survey

An attitudinal and awareness survey was conducted in mid-2015 to measure awareness and perceptions of OCTA, and identify residents' opinions of Orange County's transportation system, as well as the types of improvements they feel should be priorities for the future. In addition, the survey measured public awareness of Measure M and support for key elements of the Measure M Investment Plan.

Methodology: a total of 2,000 randomly selected Orange County adult residents participated in the survey between June 3 and July 14, 2015. Individuals were selected at random from land line and geo-targeted mobile phone numbers that service Orange County, with additional screening questions to confirm eligibility. The survey, which has an overall margin of error: ± 2.19 percent, was conducted using a mixed-method approach which allowed respondents the option to participate in the survey by telephone or online through a secure, password-protected, web-based application designed and hosted by True North Research. The telephone interviews averaged 20 minutes in length and were conducted in English, Spanish, and Vietnamese during weekday evenings (5:30PM to 9PM) and on weekends (10AM to 5PM).

Letters to State/Federal Offices

Letters were sent to state and federal government officials and staff to inform them that the M2 Ten-Year Review was taking place and of M2's progress, and provide an opportunity to provide OCTA with their feedback (Appendix K).

Elected Officials Roundtable

A facilitated roundtable discussion with city council members took place in September 2015. Elected officials from across the county attended to represent both their respective cities and one of three different government advocacy groups. These groups included the Association of California Cities – Orange County, The League of California Cities – Orange County Division, and the Orange County Council of Governments.

Stakeholder Meetings and Roundtables

There were 20 presentations set up to elicit comments from a variety of stakeholder groups throughout the county. This was accomplished through facilitated roundtable discussions and presentations at regularly scheduled meetings. During these meetings, information was provided on Measure M2's progress and the M2 Ten-Year Review. Attendees were also given an opportunity to provide OCTA with their thoughts, provided a copy of the infographic and encouraged to complete the online survey. More than 500 people were engaged during this process.

| Meetings | |
|---|--|
| <ul style="list-style-type: none"> • North Orange County Legislative Alliance • Orange County City Managers Association • Orange County City Managers Association Executive Committee • OCTA 4th District Mayors Forum • Building Industry Association • Orange County Business Council Infrastructure Committee • Caltrans District 12 | <ul style="list-style-type: none"> • South Orange County Economic Coalition • Orange County Council of Governments • Association of California Cities – Orange County • American Society of Civil Engineers • OCTax • Orange County Business Council Advocacy and Government Affairs Committee |

| Roundtable Discussions | |
|--|--|
| <ul style="list-style-type: none"> • Women in Transportation Seminar, Orange County • Diversity Leaders in Orange County | <ul style="list-style-type: none"> • American Society of Civil Engineers, Orange County |

OCTA Public Committees

OCTA's public committees participated in the M2 Ten-Year Review process. They were given a presentation on Measure M2's major milestones, information on the M2 Ten-Year Review, and the infographic with information on how to access the online questionnaire. Facilitated discussions followed each presentation.

- Representing a broad spectrum of interests and geographic areas of Orange County, the 34-member Citizens Advisory Committee (CAC) has very diverse member backgrounds, ranging from community leadership to transportation research and engineering.
- The 34-member Special Needs Advisory Committee (SNAC) represents senior citizens and persons with disabilities within Orange County.
- The Environmental Oversight Committee (EOC) is comprised of 12 members and includes representatives from U.S. Army Corps of Engineers, California Department of Fish & Wildlife, Endangered Habitats League, U.S. Fish and Wildlife Service, California Wildlife Conservation Board, and Caltrans.
- The Environmental Cleanup Allocation Committee (ECAC) is comprised of 14 members and includes representatives from the County of Orange, city representatives from each supervisorial district, San Diego and Santa Ana Regional Water Quality Boards, academia, water/sanitation districts, an environmental consultant and Caltrans.
- The Technical Advisory Committee (TAC) provides OCTA staff with technical advice on issues primarily related to M2 competitive grant programs that serve to improve capacity on local streets and roads. The TAC is comprised of 35 representatives, one from each Orange County city as well as the County of Orange.

Key Findings

Outreach participants consistently echoed their support for Measure M2. Many participants generally felt that OCTA should continue to develop and expand multi-modal options that include everything from transit services, to street and freeway improvements, and investments in active transportation. In addition, participants articulated the need to consider how to utilize new and emerging technologies to both enhance current services and maximize efficiency in construction. Participants also mentioned how important it is to continue, and perhaps expand upon, allotting resources to educate and inform the public about M2 transportation improvements and options.

Online Questionnaire

While qualitative in nature, online questionnaire results indicated that 75 percent of the respondents feel that Measure M2 is on track to deliver transportation improvements to Orange County. These results also show the top five transportation priorities for questionnaire participants are signal synchronization, improving and widening freeways, fixing potholes and repairing roadways, improving intersections and reducing traffic congestion on major roads, and constructing roads over or under rail tracks where needed. When asked how to enhance Measure M2 once all projects had been delivered, suggestions include extending Measure M2 for a number of years, maintaining existing transportation investments, connecting streetcar, light rail, or express bus service to Metrolink stations, and including active transportation priorities such as bike lanes and trails.

Attitudinal and Awareness Survey

A quantitative attitudinal and awareness survey was conducted in mid-2015 to identify residents' opinions of OCTA, Orange County's transportation system, as well as the types of improvements

they feel should be priorities for the future. Also, to assist OCTA in gauging public and stakeholder support for key components of the Measure M2 Investment Plan, the survey asked residents to prioritize among a list of transportation improvements. After informing respondents that there are a variety of improvements that could be made to Orange County's transportation system, respondents were asked whether each project should be a high, medium, or low priority—or should no money be spent on the project? To encourage respondents to prioritize, they were reminded that not all of the projects can be high priorities.

The survey results provide clear evidence that the public supports the types of projects funded by Measure M, as well as those that could receive funding in the future—as every project tested was viewed as a high or medium priority for future funding by a majority of Orange County residents. Nevertheless, some projects were prioritized over others:

- Fixing potholes and repairing roadways (94 percent)
- Coordinating traffic signals on major roadways to improve traffic flow (92 percent)
- Providing transit services to seniors and the disabled at discounted rates (92 percent)
- Closing gaps, improving intersections, and reducing traffic congestion on major roads throughout the County (90 percent)
- Cleaning up polluted runoff from roads to reduce water pollution and protect local beaches (89 percent)
- Improving ACCESS paratransit service for people with disabilities (85 percent)
- Adding local bus and shuttle services in communities that aren't well served by regional transit services (81 percent)
- Optimizing the existing transportation system (81 percent)
- Widening freeways (80 percent)
- Improving safety and security at transit stops and stations (80 percent)
- Preserving and restoring open space land to offset the impacts of freeway improvement projects (75 percent)
- Expanding bus services (73 percent)
- Constructing roads over or under rail tracks where needed to improve traffic flow (73 percent)
- Providing free assistance and tow truck service to motorists who break down on freeways (72 percent)
- Improving access to METROLINK stations using shuttles, light rail, and other transit services (70 percent)
- Expanding METROLINK rail service (68 percent)
- Improving the network of bike lanes (64 percent)
- Expanding vanpool programs (53 percent)
- Building additional toll lanes to help relieve traffic congestion (53 percent)

Elected Officials Roundtable

Orange County cities were also asked to comment on the M2 Ten-Year Review. On September 17th, OCTA Vice Chair Lori Donchak and staff met with 15 city council representatives from

throughout Orange County. The representatives were chosen by the Association of California Cities – Orange County, The League of California Cities – Orange County Division, and the Orange County Council of Governments.

There was unanimous agreement with the direction the Measure M2 Plan is going and all acknowledge the many benefits the program has brought to Orange County and their communities. All acknowledged that given the economic constraints, specifically the severe economic downturn that has dramatically affected all sales tax receipts, the Measure M2 program is delivering on its promise to the voters and, specifically, benefitting local agencies as they enhance mobility in their communities.

There was broad support for all the Measure M2 freeway projects. Many supported the idea of the continuation of the OC Streetcar and would like to see it expand countywide. There was acknowledgement that the Measure M2 program is benefitting senior transportation and the environment.

Stakeholder Meetings and Roundtables

During the 20 stakeholder meetings and roundtable discussions, the majority of individuals were supportive of Measure M2's Plan as a whole. There were suggestions that, while keeping the promise to the voters is important, maintaining flexibility to accommodate emerging trends is essential. Trends discussed included the ever-increasing population density of Orange County with many individuals having to commute some distance to their workplace, and the desire for a mix of bicycle, pedestrian and transit-oriented transportation options. The desire for mass transit and solutions to the "last-mile" gap was especially strong amongst all groups.

Many stakeholders also recommended that, in addition to OCTA continuing to capitalize on financing opportunities, new and emerging technologies should also be considered and incorporated. For example, a project in Utah was mentioned where Accelerated Bridge Construction (ABC) was used, allowing a bridge to be installed overnight. It was suggested that advances such as ABC would help to minimize the impacts of other costly delays for bigger construction projects. New phone and web-based technology, such as real-time maps and mobile ticketing applications, were also mentioned as a way to help streamline services.

Participants also mentioned how important it is to continue, and perhaps expand upon, allotting resources to educate and inform the public. This included suggestions to make a concentrated effort in reaching out to Orange County's diverse communities with a variety of in-language materials, and tourists since they help dictate traffic flow throughout the county. While freeways were largely not seen as the future of transportation, it was proposed that OCTA look at possibly accommodating freeway interchange improvements in lieu of widening to help with bottlenecks, consider managed lanes, and examine extending the I-5 carpool lane in the southern end of the county if any additional M2 funds are available at the end of the program.

Overall, stakeholders agreed that the current variety of elements within the M2 Plan will continue to improve transportation within Orange County and beyond.

Caltrans

In addition to reaching out to OCTA's stakeholders, a meeting was held with Caltrans District 12 staff. The District Director, Deputy District Directors as well as Office Chiefs from key disciplines were invited. Significant discussion centered on navigating new state laws and regulations regarding project delivery. Caltrans recognized the importance that OCTA places on delivering what was promised to the voters but also recognized the difficulty of delivering freeway lane additions given new sustainability requirements. OCTA discussed the M2 Plan as a whole and how it was a balanced plan that included more than just freeway lane capacity projects and also delivers transit, signal synchronization, and environmental projects. Caltrans recommended that OCTA include language in freeway project environmental documents that provides context to the M2 Plan as a whole and the importance of looking at projects within a package of countywide improvements.

VII. Conclusions

After completing the first comprehensive review of OCTA's Measure M2 program and the requirements listed in Ordinance No. 3 related to the M2 Ten-Year Review, no major external changes related to legislation, land use, travel and growth projections, project cost/revenue projections or right-of-way and/or other constraints have been identified that would require substantial changes to the intent of the M2 Plan as approved by the voters in 2006 and as amended November 23, 2013. The review also highlighted that M2 as a whole is supported by the public as approved and that OCTA has made substantial progress in delivering the program as promised to the voters with all elements initiated and a number of projects delivered.

In reviewing the financial capacity of the M2 program by category, the Transit category has been identified as having delivery issues. Within the Transit category, there are six programs and although the revenue within the category as a whole is sufficient to deliver all six programs, there is a shortfall among the Transit program line items that should be addressed. These include Project R (Metrolink operations); and Project U (fare stabilization for seniors and persons with disabilities), which the forecast indicates will not have sufficient funding through the 30-year M2 horizon. Another program – Project T (Gateway to High Speed Rail), has been delivered and has a remaining balance. With the completion of the one qualifying Gateway project, the Anaheim Regional Transportation Intermodal Center the program in Project T is complete. The balance in Project T is sufficient to address the two transit programs that show a funding shortfall during the 30-year timeframe.

It is recommended that the line items in the Transportation Investment Plan for projects R, U and T be amended to move the remaining balance from T to R and U to accommodate the projected shortfall.

Ordinance No. 3 spells out the process for plan amendments. Amendments within a category do not require voter approval but require a two-thirds vote of the Taxpayer Oversight Committee and a two-thirds vote of the OCTA Board of Directors as well as a public hearing and notification process. Amendments to the Ordinance can be made at any time it is determined to be needed.

Appendix A List of M2 Amendments to Date

Two M2 amendments have taken place to date. Both followed the amendment procedures outlined in the Orange County Local Transportation Authority (OCLTA) Ordinance No. 3 for the Renewed Measure M Transportation Investment Plan (Plan). Amendments to the Ordinance and Plan can be recommended by Staff to the OCLTA Board of Directors at any time, as the need arises.

Transportation Investment Plan Amendments

1. November 9, 2012
 - Occurred after the Board adoption of the M2020 Plan. This amendment reallocated funds within the Freeway Program, between SR-91 (Project J) and I-405 (Project K).

Ordinance Amendments

2. November 25, 2013
 - This amendment strengthens the eligibility and selection process for Taxpayers Oversight Committee members by preventing any person with a financial conflict of interest from serving as a member. It also requires currently elected or appointed officers who are applying to serve on the TOC to complete an “Intent to Resign” form.

Appendix B Federal Legislation Potentially Impacting M2 Projects Enacted Since 2006

2008

- Public Law No. 110-432 (122 Stat. 4848-4906): Rail Safety Improvement Act of 2008. Requires the implementation of positive train control systems by Class I railroad carriers on main lines by December 31, 2015. Amends hours of service laws by train employees and signal employees. Exempts employees providing commuter or intercity rail passenger transportation from those provisions. Requires railroads and States to report information on grade crossing physical and operating characteristics to the National Crossing Inventory. Broadens whistleblower protection provisions.
- Public Law No. 110-432 (122 Stat. 4848-4906): Passenger Rail Investment and Improvement Act of 2008. Authorizes the appropriation of funds to the United States Department of Transportation (DOT) for fiscal years 2009-2013 to award grants to Amtrak to cover operating costs and capital investments. Requires Amtrak to implement a modern financial reporting system. Requires the development of standards that measure the performance and service quality of intercity passenger train service. Requires Amtrak to evaluate and rank each of its long-distance trains. Requires Amtrak to develop performance improvement plans for its worst performing routes. Requires States to develop rail plans to set policy involving freight and passenger rail transportation and the established priorities and implementation strategies for enhancing rail services. Authorizes the creation of three intercity rail capital assistance programs. Provides provisions to encourage additional private investment in the operation and improvement of intercity passenger rail services.

2009

- Public Law 111-5 (123 Stat. 115): The American Recovery and Reinvestment Act, (Approved February 13, 2009). Provided \$787 billion in funding to spur economic activity in the forms of tax cuts, increases in funding to entitlement programs, and provide funding for federal contracts, grants, and loans. Provided approximately \$40 billion for transportation projects nationwide.
- Public Law 111-68 (123 Stat. 2023): Legislative Branch Appropriations Act, 2010, (Approved October 1, 2009). Provided a temporary extension of Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) transportation funding programs through October 31, 2009.
- Public Law 111-88: (123 Stat. 2904): Department of Interior, Environment, and Related Agencies Appropriation Act, 2010. (Approved October 30, 2009). Provided a temporary extension of SAFETEA-LU programs through December 18, 2009.
- Public Law 111-118 (123 Stat. 3409): Department of Defense Appropriations Act, 2010, (Approved December 19, 2009). Provided a temporary extension of SAFETEA-LU programs through February 28, 2010.

2010

- Public Law 111-144 (124 Stat. 42): Temporary Extension Act of 2010 (Approved March 2, 2010). Provided temporary extension of SAFETEA-LU programs through March 28, 2010.
- Public Law 111-147 (124 Stat. 71): Hiring Incentives to Restore Employment Act (Approved March 18, 2010). Provided a temporary extension of SAFETEA-LU programs through December 31, 2010.

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- Public Law 111-322 (124 Stat. 3518): Continuing Appropriations and Surface Transportation Extensions Act (Approved December 22, 2010). Provided a temporary extension of SAFETEA-LU programs through March 4, 2011.

2011

- Public Law 112-5 (125 Stat. 14): Surface Transportation Extension Act of 2011 (Approved March 4, 2011). Provided a temporary extension of SAFETEA-LU programs through September 30, 2011.
- Public Law 112-30 (125 Stat. 342): Surface and Air Transportation Programs Extension Act of 2011 (Approved September 16, 2011). Provided a temporary extension of SAFETEA-LU programs through March 31, 2012

2012

- Public Law 112-102 (126 Stat. 271): Surface Transportation Extension Act of 2012 (Approved March 30, 2012). Provided a temporary extension of SAFETEA-LU programs through June 30, 2012
- Public Law 112-141 (126 Stat. 405) Moving Ahead for Progress in the 21st Century Act (MAP-21) (Approved July 6, 2012). Funds federal transportation programs until September 30, 2014. Transfers \$18.8 billion in general funds to maintain current funding levels. Requires Metropolitan Planning Organizations (MPOs) to include representation of public transportation providers. Creates the Transportation Alternatives Program which folds into it the Transportation Enhancements, Safe Routes to Schools, and Recreational Trails Programs. Expands the Transportation Infrastructure Finance Innovation Act (TIFIA). Expands TIFIA funding to \$750 million in 2013, and \$1 billion in 2014. Increases the amount of a project that can be funded with loans and guarantees. Title One, Subtitle C several project streamlining provisions were provided as advocated for by OCTA's Breaking Down Barriers Initiative to accelerate project delivery, including the expansion of categorical exclusions for projects, thereby allowing them to be exempted from environmental assessment. Authorizes MPOs or states to develop programmatic mitigation plans. Increases funding of transit programs. Creates the State of Good Repair grants program. Permits the reconstruction or replacement of toll-free bridges or tunnels to be converted to a toll facility. Requires DOT to develop a National Freight Strategic Plan.

2014

- Public Law 113-159 (128 Stat. 1839) Highway and Transportation Funding Act of 2014 (Approved August 8, 2014). Provided a temporary extension of MAP-21 transportation funding programs through May 31, 2015

Appendix C State Legislation Potentially Impacting M2 Projects Enacted Since 2006

2006

- AB 32 (Chapter 488, Statutes of 2006): Global Warming Solutions Act: Required California Air Resources Board to adopt regulations to reduce statewide greenhouse gas emissions levels to 1990 levels by 2020.
- AB 372 (Chapter 262, Statutes of 2006): Extended existing law to allow transit operators to enter into design-build contracts until 2011.
- AB 713 (Chapter 44, Statutes of 2006): Postponed Proposition 1A, The Safe, Reliable High-Speed Passenger Train Bond Act for the 21st Century to the November 4, 2008, general election.
- AB 1467 (Chapter 32, Statutes of 2006): Authorizes Caltrans and regional transportation agencies to enter into eight comprehensive development lease agreements with public and private entities, and may charge tolls for those projects. Included clarifying provisions in AB 521 (Chapter 542, Statutes of 2006). Expires January 1, 2012.
- AB 2746 (Chapter 577, Statutes of 2006): Clarifies that local and state public agencies may allow nonprofit organizations to accept and hold real property interests required by the agency to mitigate adverse impacts of a permitted project or facility.
- SB 1266 (Chapter 25, Statutes of 2006): Authorized the placement of Proposition 1B on the fall 2006 ballot, which granted \$19.925 billion in general obligation bonds for transportation improvements.

2007

- AB 118 (Chapter 750, Statutes of 2007): Creates various funding programs targeting emission reductions within the transportation sector, administered by the California Air Resources Board and California Energy Commissions. Mostly relates to vehicle technology.
- AB 193 (Chapter 313, Statutes of 2007): For fiscal year (FY) 2007-2008, diverted all but \$200 million of available spillover funds to pay for general fund expenditures, decreasing the available funding for new transit capital projects and operations.
- AB 196 (Chapter 314, Statutes of 2007): Required the Controller to allocate the \$950 million in Proposition 1B Local Streets and Roads funds, \$400 million to counties and \$550 million to cities.
- AB 1246 (Chapter 330, Statutes of 2007): authorizes a state or local public agency that, in the development of its own project, is required to transfer an interest in real property to mitigate an adverse impact upon natural resources, to transfer the interest to a nonprofit organization.
- SB 79 (Chapter 173, Statutes of 2007): Redirected 50 percent of “spillover” revenue from the Public Transportation Account to cover general fund expenditures/bond debt service.
- SB 97 (Chapter 185, Statutes of 2007): Required the Office of Planning and Research to create guidelines for the feasible mitigation of greenhouse gas emissions as required under the California Environmental Quality Act (CEQA). Exempted certain projects funded by Proposition 1B from analyzing greenhouse gas emissions under CEQA prior to January 1, 2010.
- SB 184 (Chapter 462, Statutes of 2007): Extends the time under which regional agencies can be reimbursed for local funds advanced on projects programmed into the STIP but which have not yet received an allocation by they CTC.
- SB 717 (Chapter 733, Statutes of 2007): Continued the Transportation Investment Fund (Proposition 42) in existence, maintaining a 40/20/20 split in gasoline sales tax revenues, but modified the

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distribution of PTA funding, 75 percent to State Transit Assistance, and 25 percent to STIP (used to be 50/50).

2008

- AB 88 (Chapter 269, Statutes of 2008): Annual budget act. Significantly reduced State Transit Assistance funding to \$406.4 million, reducing OCTA's share by \$8.9 million.
- AB 268 (Chapter 756, Statutes of 2008): Continued the diversion of \$1.4 billion in Public Transportation Account funding for general fund purposes. Set the allocation formula for Proposition 1B PTMISEA, based on State Transit Assistance Formula.
- AB 1358 (Chapter 657, Statutes of 2008): Requires local governments, beginning January 1, 2011, to include in any revision of the circulation element of the general plan, a plan for a balanced, multimodal transportation network that meets the need for all safe and convenient travel, including that for bicyclists, children, persons with disabilities, and other identified parties, suitable for the rural, suburban, or urban context of the general plan.
- AB 2906 (Chapter 27, Statutes of 2009): Repealed provision of existing law which required high-occupancy vehicle (HOV) lanes on State Route 55 to be separated from adjacent mixed flow lanes by a buffer area of at least four feet.
- AB 3034 (Chapter 267, Statutes of 2008): Enacts new provisions for Proposition 1A: Safe, Reliable High-Speed Passenger Train Bond Act, including new provisions which required adding Anaheim to the initial San Francisco-Los Angeles operating segment.
- SB 375 (Chapter 728, Statutes of 2008): Requires regional transportation plans to include a sustainable communities strategy designed to achieve regional greenhouse gas emission reduction targets per AB 32 through coordination between transportation, land use and housing planning. Projects specifically listed in a local sales tax measure for transportation projects approved prior to December 31, 2008 are excluded. In addition, nothing is to require a transportation authority with a locally approved sales tax measure adopted prior to December 31, 2010, from changing the funding allocations for categories of transportation projects approved by voters.
- SB 732 (Chapter 729, Statutes of 2008): Established the Strategic Growth Council, to help coordinate activities to meet the goals of AB 32 through sustainable land use planning, which included coordinating activities of member agencies, including the Business, Transportation and Housing Agency (now the California State Transportation Agency).
- SB 1316 (Chapter 714, Statutes of 2008): Provided a framework for the extension of the 91 Express Lanes into Riverside County, extending the period which OCTA can issue bonds and collect tolls to 2065. Authorized broader use of toll revenues by allowing them to be used to provide improvements to the State Route 91 corridor, including transportation alternatives and operational and capacity improvements. Investments may be made along the State Route 91 corridor from the State Route 57 intersection in the west to the Riverside County line in the east.

2009

- AB 672 (Chapter 463, Statutes of 2009): Authorizes a regional or local lead agency, for a project or project component, funded or to be funded by Proposition 1B, to apply to the CTC for a letter of no prejudice that would allow the lead agency to use alternative funds under its control, including local sales tax money, to keep the project moving until bond funds become available.
- AB 729 (Chapter 466, Statutes of 2009): Extends the authority for transit operators to use design-build for project delivery until January 2015.

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- AB 798 (Chapter 474, Statutes of 2009): Creates the California Transportation Financing Authority within the Office of the Treasurer, to provide financing for the construction of new capacity or improvements through the issuance of bonds backed by various revenue streams, including toll revenues.
- AB 1072 (Chapter 271, Statutes of 2009): Extended the formula for allocating Proposition 1B PTMISEA funds for the remainder of the program, largely based on the State Transit Assistance formula.
- AB 1403 (Chapter 530, Statutes of 2009): Eliminates the \$1 million cap on the Southern California Association of Governments' share of funding provided through the Transportation Development Act.
- ABX2 8 (Chapter 8, Statutes of 2009): Exempts eight specific projects from CEQA, including the widening of State Route 91 from State Route 55 to Weir Canyon Road (benefit was limited due to delay in bill passage). Authorized a streamlined permit process for 10 projects, including three OCTA projects: (1) State Route 57 northbound widening from Katella to Lincoln; (2) State Route 91 widening from State Route 55 to Weir Canyon; and (3) addition of an auxiliary westbound lane to State Route 91 from Interstate 5 to State Route 57. Granted OCTA advanced ROW authority for two projects: (1) State Route 91 auxiliary from Interstate 5 to State Route 57 and the State Route 57 northbound widening from Katella to Lincoln.
- ABX3 20 (Chapter 21, Statutes of 2009): provided for the distribution of \$2.6 billion in federal economic stimulus funds (American Recovery and Reinvestment Act) for road and highway infrastructure projects. OCTA received approximately \$212 million for projects.
- ABX4 10 (Chapter 10, Statutes of 2009): Made additional transportation fund diversions to cover general fund costs, including \$561 million in spillover revenue. Directed all spillover revenue to the Mass Transportation Fund for transportation debt service until June 2013.
- SB 27 (Chapter 4, Statutes of 2009): Prohibits a city, county or city and county from entering into any form of an agreement which would result in the diversion, transfer, or rebate and reduction of Bradley-Burns local tax proceeds from another city or county when the agreement leads to the reduction in tax proceeds collected under Bradley-Burns from a retailer within the jurisdiction of the other city or county and the retailer continues to maintain a physical presence within the jurisdiction of the other city or county.
- SB 83 (Chapter 554, Statutes of 2009): Authorizes a countywide transportation planning agency, through a majority vote of its board, to impose an annual fee up to \$10 on motor vehicles registered within the county to be used for congestion mitigation projects and programs and pollution mitigation projects and programs.
- SB 391 (Chapter 585, Statutes of 2009): Requires updating of the California Transportation Plan to address how the State will update the transportation system to achieve the maximum feasible emission reductions in order to attain a statewide reduction of greenhouse gas emissions to 1990 levels by 2020 and 80 percent below 1990 levels by 2050.
- SB 575 (Chapter 354, Statutes of 2009): Clean-up legislation related to SB 375, modifying housing element schedules, clarifying public hearing process, sets forth requirements related to maintaining and publishing a current schedule of plan adoption.
- SB 783 (Chapter 618, Statutes of 2009): Revises the contents of the business plan of the California High-Speed Rail Authority and requires them to prepare, publish, adopt and submit to the Legislature a business plan no later than January 1, 2012, and every 2 years thereafter.
- SBX2 4 (Chapter 2, Statutes of 2009): Granted unlimited authority for Caltrans and regional transportation planning agencies to use public-private partnerships for transportation projects through January 1, 2017. Authorizes, subject to the approval of the California Transportation

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Commission, local transportation agencies to use design-build for up to five projects statewide relates to local streets and roads, bridges, tunnels or public transit; and Caltrans the authority for up to 10 state highway, bridge or tunnel projects.

- SBX2 9 (Chapter 7, Statutes of 2009): Directs the Department of Industrial Relations (DIR) to levy a fee on all future public works bond and non-bond funded public works projects to be used for prevailing wage enforcement by DIR.
- SBX3 7 (Chapter 14, Statutes of 2009): Authorized a variety of special fund shifts, including the suspension of the State Transit Assistance program.

2010

- AB 1500 (Chapter 37, Statutes of 2010): Extends to January 1, 2015, the expiration of the white stickers which allow specific super and ultra-low emission vehicles to use the high-occupancy vehicle lanes, regardless of occupancy.
- ABX8 6 (Chapter 11, Statutes of 2010): Enacted the “gas tax swap,” by increasing the gasoline excise tax by 17.3 cents and eliminating the state sales tax on gasoline (Proposition 42), effective July 1, 2010. This eliminated the availability of spillover funding, while attempting to provide greater stability in gas tax revenues. Also increased the sales tax on diesel by 1.75 percent and decreased the gas tax on diesel to 13.6 cents. Fundamentally changes the way State financed transportation.
- ABX8 9 (Chapter 12, Statutes of 2010): Companion bill to ABX8 6 to enact the “gas tax swap.” Restructured how revenues are expended. Increased gas tax revenue to be allocated 12 percent to SHOPP, 44 percent to local streets and roads and 44 percent to STIP.
- ABX8 11 (Chapter 7, Statutes of 2010): Granted LONP authority to projects funded under Proposition 116 (1990).
- SB 535 (Chapter 215, Statutes of 2010): Extends the authorization for yellow HOV stickers until July 1, 2011, and allowed the issuance of green stickers for advanced technology partial zero-emission vehicles, to expire on January 1, 2015. Stickers allowed single-occupant vehicles access to HOV lanes.
- SB 1371 (Chapter 292, Statutes of 2010): Authorized agencies eligible for Proposition 1A (2008) funding reserved for intercity, commuter and urban rail connectivity grants to apply to the California Transportation Commission (CTC) for a letter of no prejudice, allowing local funds to be used to implement approved projects while awaiting the sale of bonds.
- SB 1456 (Chapter 496, Statutes of 2010): Authorizes a lead agency when using a tiered environmental impact report (EIR) under CEQA, until January 1, 2016, to forgo the analysis of cumulative impacts at the project level if it is determined that the cumulative effect has been adequately addressed in a prior EIR.

2011

- AB 105 (Chapter 6, Statutes of 2011): Re-enacted the 2010 Gas Tax Swap to meet Proposition 26 (2010) requirements, redirected truck weight fees and non-article 19 transportation revenues to bond debt service.
- AB 436 (Chapter 378, Statutes of 2011): Provides that the requirement to pay a DIR enforcement fee for prevailing wage enforcement is waived on state bond funded projects and specified design-build projects if the awarding body has entered into a collective bargaining agreement that binds all contractors performing the work on the contract.

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- AB 892 (Chapter 482, Statutes of 2011): Extends the sunset provision to allow Caltrans to continue to carry out approval of National Environmental Policy Act (NEPA) requirements until January 1, 2017.
- SB 436 (Chapter 590, Statutes of 2011): Allows a state or local public agency to authorize a nonprofit organization, a special district, a for-profit entity, or other entity to hold title to and manage an interest for property held for mitigation purposes, as well as the long-term management of associated endowments.
- SB 468 (Chapter 535, Statutes of 2011): Imposes various requirements on SANDAG and Caltrans on the development of the North Coast Corridor project on Interstate 5 and on the LOSSAN rail corridor. Include mitigation requirements, transit and active transportation planning requirements, and authority to administer a HOT facility on Interstate 5.
- SB 922 (Chapter 431, Statutes of 2011): Authorizes public entities to use, enter into, or require contractors to enter into a project labor agreement (PLA) for a construction project if it meets certain requirements. If a charter city prohibits or is inconsistent with the requirements of this bill, state funding and/or financial assistance will be prohibited from being used on a project.

2012

- AB 441 (Chapter 365, Statutes of 2012): Requires the California Transportation Commission to include an attachment in the next revision of the Regional Transportation Plan guidelines to summarize best practices that have been conducted by metropolitan planning organizations related to health and health equity.
- AB 1458 (Chapter 138, Statutes of 2012): Specifies that in the establishment of the California State Transportation Agency, the California Transportation Commission is to retain independent authority to perform its duties and functions.
- AB 1532 (Chapter 807, Statutes of 2012): Established a process for allocating revenues deposited in the State's Greenhouse Gas Reduction Fund from the selling of allowances under the cap-and-trade program, including the creation of an investment plan, and eligible categories of investment including public transportation and sustainable infrastructure projects.
- AB 1706 (Chapter 771, Statutes of 2012): Authorizes any transit bus within a transit agency's fleet before January 1, 2013, to legally operate on state and local highways and roads, regardless of weight. Sets up a temporary procurement process for other overweight buses until January 1, 2015. Transit weight limitations to revert to 20,500 lbs again at that point.
- AB 2405 (Chapter 674, Statutes of 2012): Exempts, until January 1, 2015, vehicles that meet the State's enhanced advanced technology partial zero-emission vehicles standard from paying tolls on a toll road or highway, as specified.
- AB 2498 (Chapter 752, Statutes of 2012): Authorizes Caltrans to engage in the Construction Manager/General Contractor delivery method for the construction of a highway, bridge or tunnel, on up to 6 projects.
- SB 535 (Chapter 830, Statutes of 2012): Requires the California Environmental Protection Agency to identify disadvantaged communities within the State for investment opportunities, requiring a minimum of 25 percent of cap-and-trade revenues be invested to benefit such communities, and 10 percent to the funding of projects within such communities.
- SB 1018 (Chapter 39, Statutes of 2012): Establishes the Greenhouse Gas Reduction Fund, where revenues from AB 32's cap-and-trade system will be deposited for expenditure.

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- SB 1029 (Chapter 152, Statutes of 2012): Appropriates \$2.61 billion in Proposition 1A (2008) bonds for the initial construction segment of the high-speed rail project, and \$1.1 billion in Proposition 1A bonds to serve as a match for bookend investments, among other appropriations.
- SB 1094 (Chapter 705, Statutes of 2012): Clarifying legislation to 2011's SB 436, allowing exemptions whereby the endowment for mitigation lands can be held by entities other than those specified by law if certain requirements are met.
- SB 1225 (Chapter 802, Statutes of 2012): Authorizes Caltrans to enter into an Interagency Transfer Agreement to transfer the management/operation of intercity passenger rail service to a local joint powers authority in the Los Angeles-San Luis Obispo-San Diego (LOSSAN) corridor.

2013

- AB 14 (Chapter 223, Statutes of 2013): Requires the California State Transportation Agency to prepare a state freight plan to provide a comprehensive strategy to govern immediate and long term planning and capital investments related to the movement of freight within the State.
- AB 266 (Chapter 405, Statutes of 2013): Extends, until January 1, 2019, the allowances for single occupant low emission vehicles having a white or green decal to use the high-occupancy vehicle lanes and certain high-occupancy toll lanes for free. If federal law authorizing such use is eliminated, this authority would expire on September 30, 2017.
- AB 401 (Chapter 586, Statutes of 2013): Provides the authority, until January 1, 2024, for regional transportation agencies to utilize design-build procurement for an unlimited number of projects on, or adjacent to, the state highway system, as well as expressways that are part of a local sales tax measures approved before January 1, 2014.
- AB 466 (Chapter 736, Statutes of 2013): Updated State law to reflect the traditional formula used to allocate federal Congestion Management and Air Quality Improvement Program (CMAQ) funds to preserve traditional funding levels due to the deletion of the formula in federal law.
- AB 1222 (Chapter 527, Statutes of 2013): Temporarily exempts from the provisions of the California Public Employees' Pension Reform Act of 2013 (PEPRA), public transit employees whose collective bargaining rights are protected under subsection (b) of Section 5333 of Title 49 of the United States Code (13(c)). Exemption remains in effect until January 1, 2015, or until a federal district court rules whether rights of employees protected under 13(c) are infringed upon if they were subject to PEPRA. Allows federal transit grant monies to flow again, which were previously held up due to labor union challenges at the federal Department of Labor.
- SB 7 (Chapter 794, Statutes of 2013): Starting on January 1, 2015, would prohibit a charter city from receiving or using state funding or financial assistance for the construction of a public works project if the city has a charter provision or ordinance that authorizes a contractor not to comply with prevailing wage provisions on any public works project.
- SB 71 (Chapter 28, Statutes of 2013): Deletes the cap and the rate that the Department of Industrial Relations may charge an agency for the costs associated with enforcing compliance with prevailing wage requirements for public works projects.
- SB 85 (Chapter 35, Statutes of 2013): Allows for the ongoing diversion of vehicle weight fee revenues for transportation bond debt service.
- SB 99 (Chapter 359, Statutes of 2013): Creates the Active Transportation Program (ATP) within Caltrans to be funded through federal Transportation Alternatives Program funds and other safe routes to school and bicycle account funds.
- SB 142 (Chapter 655, Statutes of 2013): Until January 1, 2021, allows the governing board of a transit district, municipal operator, other public agency operating or contracting for the operation of

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transit, commuter rail, or intercity rail services, subject to a two-thirds vote of the operator's governing board, to levy a specific benefit assessment on real property to finance capital and operational transit needs.

- SB 286 (Chapter 414, Statutes of 2013): Same as AB 266.
- SB 425 (Chapter 252, Statutes of 2013): Allows a public agency, principally tasked with administering, planning, developing and operating a public works project, to establish a specified peer review group of persons qualified to give expert advice on the scientific and technical aspects of the public works project.
- SB 694 (Chapter 545, Statutes of 2013): Exempts from the Outdoor Advertising Act, advertising displays at a publicly-owned multimodal transit facility that is to serve as a station for the high-speed rail systems, with advertising revenues eligible for construction, operation and maintenance of the multimodal transit facility.
- SB 743 (Chapter 386, Statutes of 2013): Requires the Office of Planning and Research to propose revisions to the CEQA guidelines to establish new, non-level of service (LOS) criteria for determining transportation impacts of projects within "transit priority areas," potentially expanding criteria to other areas. Potential metrics include vehicle miles traveled, vehicles miles traveled per capita, etc.

2014

- AB 26 (Chapter 864, Statutes of 2014): Provides that prevailing wage requirements are to apply to post construction phases of a public works project.
- AB 52 (Chapter 532, Statutes of 2014): Sets forth that a project that may cause a substantial adverse change in the significance of a tribal cultural resource may have a significant effect under the California Environmental Quality Act.
- AB 1447 (Chapter 594, Statutes of 2014): Authorizes moneys in the Greenhouse Gas Reduction Fund to be allocated for traffic signal synchronization projects. Does not allocate money for this purpose.
- AB 1720 (Chapter 263, Statutes of 2014): Extends to January 1, 2016, the sunset date for the procurement process for transit buses that exceed the state transit bus axle weight limitations.
- AB 1721 (Chapter 526, Statutes of 2014): Requires certain low emission vehicles to receive a toll-free or reduced-rate passage in high-occupancy toll lanes for single occupant users.
- AB 1783 (Chapter 724, Statutes of 2014): Extends the exemption from PEPRA for public transit employees whose collective bargaining rights are protected under 13(c) until January 1, 2016, or until a federal district court rules whether the rights of employees protected under 13(c) are infringed upon via PEPRA. This would allow federal transit grant monies to continue to flow without being challenged at the federal Department of Labor certification stage. A legal decision was released late last year, in favor of the State and transit agencies. The Department of Labor has since said they will challenge this decision. Unclear impacts to federal transit grants at this time.
- AB 2013 (Chapter 527, Statutes of 2014): Increases the number of decals available under the State's Clean Air Vehicle Program for vehicles meeting the State's AT PZEV standard from 55,000 to 70,000.
- AB 2250 (Chapter 500, Statutes of 2014): Requires any toll revenues generated from a locally administered managed lane on the state highway system to be expended only within the respective corridor in which the managed lane is located.

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- SB 486 (Chapter 917, Statutes of 2014): Sets forth reform measures related to Caltrans planning and funding of projects, including the requirement to develop an interregional transportation strategic and development of an asset management plan to guide development of the SHOPP.
- SB 605 (Chapter 523, Statutes of 2014): Requires the California Air Resources Board to complete a comprehensive strategy to reduce emissions of short-lived climate pollutants by January 1, 2016. Measures included in the plan may relate to the transportations sector.
- SB 628 (Chapter 785, Statutes of 2014): Authorizes a city or county to establish an enhanced infrastructure financing district, adopt an infrastructure financing plan, and issue for bonds, upon approve of 55 percent of the voters.
- SB 785 (Chapter 931, Statutes of 2014): Provides for unlimited use of design-build authority for transit projects until January 1, 2025. Includes workforce requirements.
- SB 854 (Chapter 28, Statutes of 2014): Removes the requirement that the awarding body for a public works project pay the Department of Industrial Relations the costs for monitoring and enforcement of prevailing wage requirements.
- SB 862 (Chapter 36, Statutes of 2014): SB 862 sets forth a framework for allocating cap-and-trade revenues going forward: 25 percent to high-speed rail purposes, 20 percent to affordable housing and sustainable communities, 10 percent to capital investments in transit and intercity rail, and 5 percent for low carbon transit operations. The transit operations program is the only program allocated by formula.
- SB 1077 (Chapter 835, Statutes of 2014): Requires the development of a Road User Charge Task Force and implementation of a Road User Charge pilot program to identify and evaluate issues related to the use of a road user charge in California.
- SB 1183 (Chapter 516, Statutes of 2014): Authorizes cities, counties, and regional park districts, until January 1, 2025, to impose a surcharge of up to \$5 on motor vehicles within their jurisdictions to fund bicycle infrastructure improvements and maintenance projects, subject to a 2/3 vote.
- SB 1204 (Chapter 530, Statutes of 2014): Creates the Clean Truck, Bus, and Off-Road Vehicle and Equipment Technology Program, to be funded from cap-and-trade revenues to fund various demonstration programs for zero- and near-zero emission technology projects, with priority given to those located in disadvantaged areas. To be funded using cap-and-trade funding.
- SB 1228 (Chapter 787, Statutes of 2014): Continues the Trade Corridors Improvement Fund for purposes of funding goods movement projects, if potential cap-and-trade or federal funding become available for deposit.
- SB 1390 (Chapter 562, Statutes of 2014): Establishes the Santa Ana River Conservancy Program. To address the resource and recreational goals of the Santa Ana River region. Provides that the Conservancy cannot take an action the interferes, conflicts with, impedes, adversely impacts or prevents the planning and implementation of transportation projects contained in a Regional Transportation Plan approved by SCAG.

Measure M2 Freeway Program

Appendix D Measure M2 Project and Program Progress and Constraints

| M2 Project (July 2015) | Investment Plan Description | Current Status (April 2015) | Discussion / Constraints |
|---|---|--|--|
| Project A I-5 between SR-55 and SR- 57 | <p>Reduce freeway congestion through improvements at the SR-55/I-5 Interchange area between Fourth Street and Newport Boulevard ramps on I-5 and between Fourth Street and Edinger Avenue on SR-55. Also, add capacity on I-5 between SR-55 and SR-57 to relieve congestion at the “Orange Crush.”</p> <p>The project will generally be constructed within existing right-of-way. Specific improvements will be subject to approved plans developed in cooperation with local jurisdictions and affected communities.</p> | This project has been environmentally cleared and the design phase began in July 2015 | <p>The environmental document does not address improvements near the I-5/SR-55 Interchange as stated in M2 Plan due to opposition from the City of Santa Ana and Caltrans. Right-of-Way (ROW) constraints as well as City, community, and Caltrans opposition to options for realignment resulted in no ramp improvements on I-5 near the interchange which is consistent with the M2 Plan language having to do with subject to approved plans developed in cooperation with local jurisdictions and effected communities.</p> <p>Improvements to the SR-55 portion of the 5/55 interchange being studied as part of Project F.</p> |
| Project B I-5 between SR-55 and El Toro Y | <p>Build new lanes and improve interchanges in the area between SR-55 and the SR-133 (near the El Toro “Y”. The project will also make improvements at local interchanges, such as Jamboree Road.</p> <p>The project will generally be constructed within existing right-of-way. Specific improvements will be subject to approved plans developed in cooperation with local jurisdictions and affected communities.</p> | <p>The Project Study Report (PSR) was completed in 2011.</p> <p>An Environmental Study is underway (began in May 2014) and anticipated to be completed in December 2017.</p> | <p>Caltrans requested modification to OCTA’s traffic modeling assumptions (the same issue for Projects F, L, and I).</p> <p>The full standard alternative is very impactful to the community. Obtaining Caltrans agreement on implementation of nonstandard design will be critical to the success of this project, and support of local jurisdictions and affected communities.</p> |

Measure M2 Freeway Program

| M2 Project (July 2015) | Investment Plan Description | Current Status (April 2015) | Discussion / Constraints |
|--|---|--|--|
| Project C I-5 south of the Y | <p>Add new lanes in the vicinity of the El Toro Road Interchange in Lake Forest to the vicinity of SR-73 in Mission Viejo. Also add new lanes on I-5 between Pacific Coast Highway and Avenida Pico Interchanges to reduce freeway congestion in San Clemente. The project will also make major improvements at local interchanges as listed in Project D.</p> <p>The project will generally be constructed within existing right-of-way. Specific improvements will be subject to approved plans developed in cooperation with local jurisdictions and affected communities.</p> | <p>Design is underway for I-5 improvements for all three segments between SR-73 and El Toro Road.</p> <p>Anticipated design completion by segment:</p> <ol style="list-style-type: none"> 1. SR-73 to Oso Parkway: January 2018 2. Oso Parkway to Alicia Parkway: June 2017 3. Alicia Parkway to El Toro Road: June 2018 <p>Construction is underway for I-5 improvements between Avenida Pico and San Juan Creek Road for all three segments.</p> <p>Anticipated construction completion by segment:</p> <ol style="list-style-type: none"> 1. Avenida Pico to Vista Hermosa: August 2018 2. Vista Hermosa to Pacific Coast Highway: March 2017 3. Pacific Coast Highway to San Juan Creek Road: September 2016 | <p>Caltrans had indicated they were not able to perform the ROW work on the three segments of I-5 between SR-73 and El Toro Road since they are not the lead for design on this project. OCTA and Caltrans negotiated through this issue and staff anticipates that an agreement will be in place soon to get this project back on schedule.</p> <p>For the segment from Oso Parkway to Alicia Parkway, offsite soundwalls and private property 'touches' are a concern.</p> <p>Mainline improvements will need to be closely coordinated with the El Toro Road Interchange improvements provided under Project D.</p> <p>The southernmost segment between Avenida Pico and San Juan Creek Road is proceeding smoothly. However, a slope stabilization issue has been identified that will require additional funding to resolve. The ROW acquisition process at the Avenida Pico Interchange will have to be closely monitored due to the acquisition of two commercial properties.</p> |

Measure M2 Freeway Program

| M2 Project (July 2015) | Investment Plan Description | Current Status (April 2015) | Discussion / Constraints |
|--|--|--|---|
| Project D I-5 South: Five Local Interchanges | <p>Update and improve key I-5 interchanges such as El Toro Road, Avenida Pico, Ortega Highway, Avery Parkway, La Paz Road, and others to relieve street congestion around older interchanges and on ramps. Specific improvements will be subject to approved plans developed in cooperation with local jurisdictions and affected communities.</p> <p>Three interchange improvements at La Paz, Avery Parkway, and Avenida Pico are a part of Project C.</p> | <p>A Project Study Report was completed for El Toro Road in February 2015. Environmental is planned to begin in October 2016.</p> <p>Construction is underway on Ortega Highway and is anticipated to be complete in December 2015. Construction is also underway on Avenida Pico as part of the mainline project between Avenida Pico and Vista Hermosa. Construction is anticipated to be complete in August 2018.</p> <p>Avery Parkway is part of the mainline project between SR-73 and Oso Parkway, with design underway and expected to be complete January 2018. La Paz Road is part of the mainline project between Oso and Alicia Parkways, with design underway and expected to be complete June 2017.</p> | <p>Staff and Caltrans have finalized the Project Study Report for the El Toro Road Interchange. This project will be challenging to find a compromise between what Caltrans believes is needed to address congestion in the area and the cities concerns over ROW impacts.</p> <p>The other interchange projects are moving forward without issue at this time.</p> |
| Project E SR-22 Access Improvements | <p>Construct interchange improvements at Euclid Street, Brookhurst Street and Harbor Boulevard to reduce freeway and street congestion near these interchanges.</p> <p>Specific improvements will be subject to approved plans developed in cooperation with local jurisdictions and communities.</p> | <p>Improvements to the three interchanges were accomplished during the bonus M1 SR-22 improvement project.</p> | <p>Complete</p> |

Measure M2 Freeway Program

| M2 Project (July 2015) | Investment Plan Description | Current Status (April 2015) | Discussion / Constraints |
|--|---|--|--|
| Project F SR-55 between I-5 and I-405 | <p>Add new lanes to SR-55 between SR-22 and I-405, generally within the existing right-of-way, including merging lanes between interchanges to smooth traffic flow.</p> <p>The project will generally be constructed within existing right-of-way. Specific improvements will be subject to approved plans developed in cooperation with local jurisdictions and affected communities.</p> | <p>The environmental phase for the SR-55 between the I-405 and I-5 was delayed due to Caltrans requirement that OCTA revise completed traffic studies. The revised studies are currently being reviewed by Caltrans. Environmental is anticipated to be complete in November 2016.</p> <p>The draft Project Study Report for SR-55 between I-5 and SR-91 is complete. Environmental is anticipated to begin May 2016.</p> | <p>Caltrans has requested modification to OCTA's traffic modeling assumptions (same as for Projects B, L, and I). The Caltrans' request added months to the schedule. Technical studies have now been revised and are awaiting Caltrans approval to move forward.</p> <p>Caltrans' degradation and managed lane policy is not defined and they are looking project-to-project to address these needs. This issue has become a risk for all non-environmentally cleared M2 projects.</p> |
| Project G SR-57 between Orangewood Avenue and Tonner Canyon Road | <p>Build a new northbound lane between Orangewood Avenue and Lambert Road. Other projects include improvements to the Lambert interchange and the addition of a northbound truck climbing lane between Lambert and Tonner.</p> <p>The improvements will be designed and coordinated specifically to reduce congestion at the SR-57/SR-91 Interchange. The improvements will be made generally within existing right-of-way. Specific improvements will be subject to approved plans developed in cooperation with local jurisdictions and affected communities.</p> | <p>Construction is complete for the following segments:</p> <ul style="list-style-type: none"> • Yorba Linda Boulevard to Lambert Road • Katella Avenue to Lincoln Avenue • Orangethorpe Avenue to Yorba Linda Boulevard <p>The Project Study Report is complete for the segment from Orangewood Avenue to Katella Avenue, with environmental anticipated to begin November 2015.</p> <p>The environmental phase for the truck climbing lane from Lambert to Tonner Canyon roads is anticipated to start late 2016.</p> | <p>Improvements to the Lambert Interchange are included to address the widened freeway. Additionally, a larger project to improve the Lambert Interchange is being separately pursued by the City of Brea as a M2 CTFP project. Design refinements may include ROW and construction costs. The City will have design refinements ready for review in 2015.</p> <p>A Project Study Report on the truck climbing lane was completed several years ago. A quick update to the document will likely be needed to revalidate prior to moving into the environmental phase. This is one of the nine future projects to be cleared environmentally by 2020.</p> |

Measure M2 Freeway Program

| M2 Project (July 2015) | Investment Plan Description | Current Status (April 2015) | Discussion / Constraints |
|--|--|--|--|
| Project H SR-91 westbound from SR-57 to I-5 | Add capacity in the WB direction and provide operational improvements at on/off ramps to the SR-91 between I-5 and SR-57, generally within existing right-of-way, to smooth traffic flow and relieve the SR-57/SR-91 interchange. Specific improvements will be subject to approved plans developed in cooperation with local jurisdictions and affected communities. | Construction is underway and planned for completion in July 2016. | Nothing of significance to report at this time. |
| Project I <i>SR-91 between SR-55 and SR-57</i> <i>SR-91 from Tustin Avenue Interchange to SR-55</i> | <p>Improve the SR-91/SR-55 to SR-91/SR-57 interchange complex, including nearby local interchanges such as Tustin Avenue and Lakeview as well as adding freeway capacity between SR-55 and SR-57.</p> <p>The project will generally be constructed within existing right-of-way. Specific improvements will be subject to approved plans developed in cooperation with local jurisdictions and affected communities.</p> | <p>The Project Study Report was completed December 2014 for the segment between SR-57 and SR-55. The environmental phase is underway and anticipated to be complete in October 2018.</p> <p>Construction is underway on the segment between the Tustin Avenue Interchange and SR-55, and is planned for completion in July 2016.</p> | <p>Caltrans has requested modification to OCTA's traffic modeling assumptions on the segment between SR-55 and SR-57 (same issue on Projects F, B, and L).</p> <p>During the Project Study Report phase for this project, Caltrans required the completed report to include the realignment of the WB SR-91 to SB SR-55 Interchange connector as an alternative. OCTA does not believe this connector realignment alternative is a viable project alternative due to lack of downstream capacity and the high cost and ROW impacts. OCTA agreed to include it for further study during the environmental phase. The additional cost of the realignment to the interchange is not fundable with Measure M and will be an issue as it proceeds through the environmental review.</p> <p>No issues on the segment in construction at this time.</p> |

Measure M2 Freeway Program

| M2 Project (July 2015) | Investment Plan Description | Current Status (April 2015) | Discussion / Constraints |
|---|--|--|--|
| <p>Project J SR-91 between SR-55 and the County Line</p> | <p>This project adds capacity on SR-91 beginning at SR-55 and extending to the I-15 in Riverside County. The first priority will be to improve the segment of 91 east to SR-241. The goal is to provide up to four new lanes of capacity between SR-241 and County Line by making best use of available freeway property, adding reversible lanes, building elevated sections and improving connections with the SR-241.</p> <p>These project would be constructed in conjunction with similar coordinated improvements in RC extending to I-15 and provide a continuous set of improvements between SR-241 and I-15. The portion of improvements in Riverside County will be paid for from other sources. Specific improvements will be subject to approved plans developed in cooperation with local jurisdictions and affected communities.</p> | <p>A lane in each direction (six miles) between SR-55 and SR-241 was completed in December 2010.</p> <p>A lane in the eastbound direction (six miles) between SR-71 in Riverside County and SR-241 was completed January 2011. This improvement was to match an earlier lane (non-Measure M) completed in the westbound direction.</p> <p>Riverside County Transportation Commission (RCTC) is funding and managing the extension of the Express Lanes in Orange County to I-15 in Riverside County.</p> <p>An additional lane will be added between SR-241 and the County line as well as to the SR-71 by RCTC. This is later in the program and will need to be done in synchronization with RCTC.</p> | <p>Nothing of significance to report at this time.</p> |

Measure M2 Freeway Program

| M2 Project (July 2015) | Investment Plan Description | Current Status (April 2015) | Discussion / Constraints |
|---|--|--|--|
| <p>Project K I-405 between SR-55 and I-605</p> | <p>Add new lanes to the I-405 between the I-605 and SR-55, generally within the existing right-of-way. The project will make best use of available freeway property, update interchanges and widen all local overcrossings according to city and regional master plans.</p> <p>The improvements will be coordinated with other planned I-405 improvements in the I-405/SR-22/I-605 interchange are to the north and I-405/SR-73 improvements to the south. The improvements will adhere to recommendations of the I-405 MIS (as adopted by the OCTA Board on October 14, 2005) and will be developed in cooperation with local jurisdictions and affected communities.</p> | <p>The Final Project Report/Environmental Impact Report/Environmental Impact Statement was signed by Caltrans in March 2015. The project is now proceeding with Design/Build. Construction is anticipated to begin in February 2017.</p> | <p>On July 25, 2014, Caltrans chose Alternative 3 as the preferred alternative (PA) and identified \$82 million in up front funds to implement the express lane portion of the project. In lieu of losing local control on how the project would be built and ultimately operated as well as use of future revenue, the Board directed staff (February 2015) to return to the Board with a plan for OCTA to proceed as lead agency for full implementation of Caltrans' PA, including policies for operations, management, and excess revenue use.</p> <p>The cost of this project is being segregated to ensure that M2 only pays for the cost of the general purpose lane, and separate state and/or federal funds and toll revenue are used for the cost of the express lane.</p> <p>The high cost of this project presents a significant risk to the M freeway plan overall in terms of delivery, and any significant cost escalation can easily move the project beyond delivery reach.</p> |

Measure M2 Freeway Program

| M2 Project (July 2015) | Investment Plan Description | Current Status (April 2015) | Discussion / Constraints |
|--|--|---|---|
| Project L I-405 between SR-55 and I-5 | <p>Add new lanes to the freeway from the SR-55 to the I-5. The project will also improve chokepoints at interchanges and add merging lanes near on/off ramps such as Lake Forest Drive, Irvine Center Drive and SR-133 to improve the overall freeway operations in the I-405/I-5 El Toro Y area.</p> <p>The project will generally be constructed within existing right-of-way. Specific improvements will be subject to approved plans developed in cooperation with local jurisdictions and affected communities.</p> | <p>The Project Study Report was approved by Caltrans in 2013. Environmental phase is underway and anticipated to be completed in November 2017.</p> | <p>Caltrans has requested modification to OCTA's traffic modeling assumptions (same issue on Projects F, B, and I).</p> |
| Project M I-605 Interchange Improvements | <p>Improve freeway access and arterial Improve freeway access and arterial connection to I-605 serving the communities of Los Alamitos and Cypress.</p> <p>The project will be coordinated with other planned improvements along SR-22 and I-405. Specific improvements will be subject to approved plans developed in cooperation with local jurisdictions and affected communities.</p> | <p>The draft Project Study Report/Project Development Support document is complete. Environmental phase is anticipated to begin in July 2016.</p> | <p>Nothing of significance to report at this time.</p> |
| Project N Freeway Service Patrol | <p>FSP provides competitively bid, privately contracted tow truck service for motorists with disable vehicles on the freeway.</p> <p>This service helps stranded motorists and quickly clears disable vehicles out of the freeway lanes to minimize congestion caused by vehicles blocking traffic and passing motorists rubbernecking.</p> | <p>Service is in force. Funding is shared within M2 individual project costs, M2 Project N dollars, as well as registration fees.</p> | <p>Nothing of significance to report at this time.</p> |

Measure M2 Freeway Program

| M2 Project (July 2015) | Investment Plan Description | Current Status (April 2015) | Discussion / Constraints |
|-----------------------------------|--|--|---|
| Freeway Mitigation Program | <p>A minimum of \$243.5 million (2005 dollars) will be available subject to a Master Agreement, to provide for comprehensive, rather than piecemeal, mitigation of the environmental impacts of freeway improvements. Using a proactive, innovative approach, the Master Agreement negotiated between the OCLTA and state and federal resource agencies will provide higher-value environmental benefits such as habitat protection, wildlife corridors and resource preservation in exchange for streamlined project approvals for the freeway program as a whole.</p> <p>Freeway projects will also be planned, designed and constructed with consideration for their aesthetic, historic, and environmental impacts on nearby properties and communities using such elements as parkway style designs, locally native landscaping, sound reduction and aesthetic treatments that complement the surroundings.</p> | <p>The freeway mitigation environmental document is wrapping up with permits approval to follow.</p> <p>The final Natural Community Conservation Plan and Habitat Conservation Plan (NCCP/HCP) as well as the final Environmental Impact Report/Environmental Impact Study are both anticipated to be brought to the Board for adoption in late 2015/early 2016.</p> <p>Staff anticipates the release of separate preserve specific Resource Management Plans (RMP's) for the five properties covered in the NCCP/HCP to occur in late 2015.</p> <p>Seven properties have been acquired to date totaling 1,300 acres. Eleven properties have been funded to restore approximately 400 acres. \$55 million has been approved by the Board. This includes \$42 million for property acquisition, \$10.5 million for restoration and another \$2.5 million for conservation plan development and related efforts.</p> | <p>With the bulk of acquisition complete, OCTA will need to determine the long-term management plan for the properties.</p> <p>Also requiring careful consideration is public access. There is a strong desire to have public access to the acquired Preserves for passive recreational uses (e.g., hiking and horseback riding). The primary purpose of the program is to provide comprehensive mitigation to off-set environmental impacts of the Measure M2 freeway projects. Where the preservation of biological resources can work in tandem with public access, OCTA will work with the wildlife agencies towards this goal.</p> |

Measure M2 Streets and Roads Program

| M2 Project | Investment Plan Description | Current Status | Discussion / Constraints |
|---|---|---|---|
| Project O Regional Capacity Program | <p>This program, in combination with local matching funds, provides a funding source to complete 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 program allocates funds through a competitive process and targets projects that help traffic the most by considering factors such as degree of congestion relief, cost effectiveness, project readiness, etc.</p> <p>Local jurisdictions must provide a dollar-for-dollar match to qualify for funding, but can be rewarded with lower match requirements if they give priority to other key objectives, such as better road maintenance and regional signal synchronization.</p> | <p>Regional Capacity Program: To date, there have been five rounds of funding. A total of 125 projects in the amount of more than \$193 million have been awarded by the OCTA Board since 2011.</p> <p>OC Bridges Program: Placentia and Raymond Avenues are both open to traffic and complete. Construction is underway at Lakeview Avenue, Orangethorpe Avenue, Raymond Avenue, State College Boulevard and Tustin Avenue/Rose Drive grade separations.</p> | <p>The Regional Capacity Program is moving forward without issue. Funding availability has been affected due to the grade separation program needs where ROW costs and legal settlements have had a significant impact on the overall cost of project completion.</p> |

Measure M2 Streets and Roads Program

| M2 Project | Investment Plan Description | Current Status | Discussion / Constraints |
|---|---|--|--|
| Project P Regional Traffic Signal Synchronization Program | <p>This program targets over 2,000 signalized intersections across the County for coordinated operation. The goal is to improve the flow of traffic by developing and implementing regional signal coordination programs that cross jurisdictional boundaries.</p> <p>The County of Orange and Caltrans will be required to work together and prepare a common traffic signal synchronization plan and the necessary governance and legal arrangements before receiving funds. In addition, cities will be required to provide 20 percent of the costs. Once in place, the program will provide funding for ongoing maintenance and operation of the synchronization plan. Local jurisdictions will be required to publicly report on the performance of their signal synchronization efforts at least every three years.</p> | <p>To date, there have been five rounds of funding. A total of 69 projects in the amount of more than \$56 million have been awarded by the OCTA Board since 2011.</p> | <p>Nothing of significance to report at this time.</p> |
| Project Q Local Fair Share Program | <p>This element of the program will provide flexible funding to help cities and the County of Orange keep up with the rising cost of repairing the aging street system. In addition, cities can use these funds for other local transportation needs such as residential street projects, traffic and pedestrian safety near schools, signal priority for emergency vehicles, etc.</p> | <p>All local agencies have been found eligible to receive Local Fair Share funds. To date, approximately \$185 million in Local Fair Share payments have been provided to local agencies as of the end of the 4th quarter (FY14-15).</p> | <p>Nothing of significance to report at this time.</p> |

Measure M2 Transit Program

| M2 Project | Investment Plan Description | Current Status (April 2015) | Discussion (PMO) |
|--|---|---|---|
| <p>Project R High Frequency Metrolink Service</p> | <p>This project will increase rail services within the county and provide frequent Metrolink service north of Fullerton to Los Angeles. The project will provide for track improvements, more trains, and other related needs to accommodate the expanded service.</p> <p>The project is designed to build on the successes of Metrolink and complement service expansion made possible by the current Measure M, the service will include upgraded stations and added parking capacity, safety improvements and quiet zones along the tracks as well as frequent shuttle service and other means to move arriving passengers to nearby destinations.</p> <p>The project also includes funding for improving grade crossings and constructing over and underpasses at high volume arterial streets that cross the Metrolink tracks.</p> | <p>Safety enhancement of 52 at-grade rail-highway crossings was completed in 2011. OCTA deployed 10 new Metrolink intra-county trains. Effective April 5, 2015, several schedule changes were made to improve utilization of the intra-county trains, including creating a new connection between the 91 Line and intra-county service at Fullerton to allow a later southbound peak evening departure from LA to OC.</p> <p>The Sand Canyon grade separation opened to traffic in July 2014 with project completion in August 2015. Additional grade separations at 17th Street and Santa Ana Boulevard are in the environmental phase. Ball Road and State College are on hold pending additional external funds.</p> <p>A number of rail station improvements have been completed as well as more which are underway. Improvements such as parking expansion, better access to platforms, improvements to elevators and/or ramps, are examples.</p> | <p>Forecasts indicate that Metrolink operations are sustainable through 2041 at a reduced service level than originally planned. Future additional service as part of the Metrolink Service Expansion (Project R), has been scaled to correspond with available revenue, which results in a limited ability to provide more frequent service. This program has also been impacted by difficult negotiations with Burlington Northern Santa Fe, which owns portions of the railroad tracks, and new federal and state requirements such as positive train control and clean fuel locomotives. Providing additional funds to this program would allow the service to grow to meet future demand and also support sustainability goals by providing an attractive option for commuters using the freeway.</p> <p>The additional grade separations originally planned under Project R should be cleared environmentally and then put on hold until such time that a cost benefit analysis shows that moving forward with these projects is justified.</p> <p>OCTA's re-deployment plan involves providing new trips between Orange County and Los Angeles. Discussions with BNSF for additional redeployment of the Metrolink intra-county trains to serve inter-county needs is underway but is dependent on the completion of triple track between Fullerton and Los Angeles which is anticipated to be complete in 2016.</p> |

Measure M2 Transit Program

| M2 Project | Investment Plan Description | Current Status (April 2015) | Discussion (PMO) |
|--|--|---|---|
| <p>Project S</p> <p>Transit Extensions to Metrolink</p> | <p>Frequent service in the Metrolink corridor provides a high capacity transit system linking communities within the central core of Orange County. This project will establish a competitive program for local jurisdictions to broaden the reach of the rail system to other activity centers and communities. Proposals for extensions must be developed and supported by local jurisdictions and will be evaluated against well-defined and well-known criteria.</p> <p>This project shall not be used to fund transit routes that are not directly connected to or that would be redundant to the core rail service on the Metrolink corridor. The emphasis shall be on expanding access to the core rail system and on establishing connections to communities and major activity centers that are not immediately adjacent to the Metrolink corridor. It is intended that multiple transit projects be funded through a competitive process and no single project may be awarded all of the funds under this program.</p> | <p>Two fixed guideway project proposals are moving through the project development process. The ARC: Environmental Study continues as the City of Anaheim revisits their preferred alignment. For the Santa Ana/ Garden Grove street car project, the design phase began in October 2014. In February 2015, the Board selected a PMC consultant and in March, the FTA issued a Finding of No Significant Impact concluding the environmental phase. The project has now been renamed the OC Street Car and is moving into the design phase with high marks from FTA. Project is planned to go into construction in 2017 and completion is anticipated in late 2019/ early 2020.</p> <p>For Project S rubber tire – one round of funding has taken place with the Board awarding \$9.8 million for four vanpool projects serving local employers and train stations.</p> | <p>To ensure the OC Street Car project is competitive for federal New Starts funding, at the request of the City of Santa Ana and the City of Garden Grove, the Board agreed that OCTA will be the owner and operator of the street car project. This changes the nature of OCTA's role and introduces rail operations to the agency.</p> |

Measure M2 Transit Program

| M2 Project | Investment Plan Description | Current Status (April 2015) | Discussion (PMO) |
|---|---|--|---|
| Project T Convert Metrolink Station(s) to Regional Gateways to Connect Orange County with High-Speed Rail | This program will provide the local improvements that are necessary to connect planned future high-speed rail systems to stations on the Orange County Metrolink route. | Anaheim Regional Transportation Intermodal Center (ARTIC) is the only project that qualified through a competitive call for projects for Project T funding. The station was opened on December 6, 2014 and Project T is now considered complete. | Project T has a balance at the completion of the ARTIC if no additional projects are added. Remaining funds will be considered to backfill other Transit programs that are facing deficits. These may include Project R and Project U. |
| Project U Expand Mobility Choices for Seniors and Persons with Disabilities | This project will provide services and programs to meet the growing transportation needs of seniors and persons with disabilities as follows: <ul style="list-style-type: none"> • One percent of net revenues will stabilize fares and provide fare discounts for bus services, specialized ACCESS services and future rail services • One percent of net revenues will be available to continue and expand local community van service for seniors through the existing Senior Mobility Program • One percent will supplement existing countywide senior non-emergency medical transportation services | <p>Fare Stabilization: Since inception, more than 43 million related boardings were recorded on fixed route and ACCESS services. Approximately \$10.4M has been utilized for fare stabilization.</p> <p>Senior Mobility Program: 31 cities currently participate. Since inception, more than 908,000 trips have been provided under this program, and more than \$9.6M paid to the participating cities.</p> <p>Senior Non-Emergency Medical Transportation Services: Since inception, more than 232,000 trips have been provided under this program, and more than \$10.7M paid to the County.</p> | Regarding the Fare Stabilization Program, funding levels are insufficient and the program has begun to run a deficit (in FY 14/15), and will continue to incur annual shortfalls if there is no increase in revenue or a reduction in expenditures. The Board has received regular briefings on this issue and staff's recommendation is to consider addressing the shortfall using other M2 Transit category funds (possibly Project T which is complete and has a balance). |

Measure M2 Transit Program

| M2 Project | Investment Plan Description | Current Status (April 2015) | Discussion (PMO) |
|---|--|--|---|
| Project V Community Based Transit/Circulators | This project will establish a competitive program for local jurisdictions to develop local bus transit services such as community based circulators, shuttles and bus trolleys that complement regional bus and rail services, and meet needs in areas not adequately served by regional transit. Projects will need to meet performance criteria for ridership, connection to bus and rail services, and financial viability to be considered for funding. All projects must be competitively bid, and they cannot duplicate or compete with existing transit services. | Five cities have received funding through this competitive program for a variety of services. The next Project V Call for Projects is anticipated to be held in late 2015. | For the next revision of the guidelines which will occur prior to the Call for Projects, staff will make recommendations to the Board based on lessons learned through implementation of the La Habra Express and input from local jurisdictions. |
| Project W Safe Transit Stops | This project provides for passenger amenities at 100 busiest transit stops across the County. The stops will be designed to ease transfer between bus lines and provide passenger amenities such as improved shelters, lighting, current information on bus and train timetables and arrival times, and transit ticket vending machines. | <p>The OCTA Board of Directors approved the Project W framework at their March 10, 2014 meeting.</p> <p>At the July 14, 2014 Board meeting, the Board approved \$1,205,666 in M2 Project W funds for city-initiated improvements and \$370,000 for OCTA-initiated improvements in fiscal year 2014-15. Fifteen cities are eligible for Safe Transit Stops funding, seven cities applied for funds, and 51 projects will be funded.</p> | None of significance at this time. |

Measure M2 Environmental Cleanup Program

| M2 Project | Investment Plan Description | Current Status (April 2015) | Discussion /Constraints |
|--|---|---|---|
| <p>Project X</p> <p>Environmental Cleanup</p> | <p>Implement street and highway related water quality improvement programs and projects that will assist Orange County cities, the County and special districts to meet federal Clean Water Act standards for urban runoff.</p> <p>The Environmental Cleanup monies may be used for water quality improvements related to both existing and new transportation infrastructure, including capital and operations improvements such as:</p> <ul style="list-style-type: none"> • Catch basin screens, filters and inserts • Roadside bioswales and biofiltration channels • Wetlands protection and restoration • Continuous Deflective Separation Units • Maintenance of catch basins and bioswales • Other street-related “Best Management Practices” for capturing and treating urban runoff <p>The program is intended to augment, not replace existing transportation related water quality expenditures and to emphasize high-impact capital improvements over local operations and maintenance costs. In addition, all new freeway, street and transit capital projects will include water quality mitigation as part of project scope and cost.</p> | <p>To date, there have been five rounds of funding under the Tier 1 (local scale projects) grants program. A total of 122 projects totaling approximately \$13.8 million have been awarded by the OCTA Board since 2011.</p> <p>There have been two rounds of funding under the Tier 2 (regional scale projects) grants program. A total of 22 projects in the amount of \$27.89 million have been awarded by the OCTA Board since 2013. The third round of funding for the Tier 2 grants program is anticipated to occur in 2016.</p> <p>To date, 33 of the 34 Orange County cities plus the County of Orange have received funding under this program.</p> <p>This program has resulted in 213 million gallons of water conserved and nearly 500 cubic feet of trash removed.</p> | <p>Some of the future policy decisions will entail the appropriate Call for Projects cycle under both the Tier 1 and Tier 2 programs. In addition, a revisit of the objectives of the two funding programs to determine if they still meet the needs of the funding recipients as well as continue to meet water quality standards will be key in the upcoming years.</p> <p>There have been on average two Calls for Projects annually, consisting of the Tier 1 call for projects during the early part of the calendar year while the Tier 2 Call for Projects occurred during mid-year. Under the Tier 2-type of regional scale projects, the frequency of Call for Projects must be carefully examined to determine if OCTA is providing adequate time for applicants to develop their projects to a state where they are “shovel ready.” There will be an ongoing debate as to the amount of resources funding applicants are willing and able to expend upfront in order to be competitive.</p> <p>As the State Water Resources Control Board and regional water quality control boards morph policy and standards, it will be important for the program to morph to compliment changes. For example, staff is monitoring the progress of the Statewide Water Quality Control Plans for Trash to determine if any refinements are needed under Tier 1.</p> |

Appendix E L RTP Stakeholder Outreach Groups

L RTP Stakeholder Groups

- Active transportation
- Alliance for Healthy Orange County
- American Cancer Society Cancer Action Network, Southern California
- American Lung Association
- Beckman High School
- Brea Planning Commission
- California High-Speed Rail Authority
- Orange County Transportation Authority Citizens Advisory Committee
- California Walks
- Caltrans D12
- City Anaheim Department of Public Works
- City of Anaheim
- City of Fullerton
- City of Laguna Beach
- City of Laguna Niguel
- Community Health Action Network for Growth through Equity and Sustainability
- Cal State Fullerton ASI Board of Directors
- Cal State Fullerton ASI Executive Senate
- Downtown Inc.
- Elected officials
- Environmental Community
- Foothills High School
- General Public
- Irvine Senior Council
- KidWorks Community Development Coalition
- Latino Health Access
- Los Amigos High School
- Multicultural Leaders
- Natural Resources Defense Council
- NeighborWorks Orange County
- Orange County Emergency Services Organization
- Orange County Planning Directors
- Orange County Visitors Association
- Orange County Business Council
- Orange County Council of Governments
- Orange County Council of Governments Technical Advisory Committee
- Orange County Bicycle Coalition
- Safe Routes to School National Partnership
- San Diego Association of Governments Borders Committee
- Southern California Association of Governments Technical Working Group
- Southern California Association of Governments Transportation Committee
- Senior Citizens Advisory Council Housing/Transportation Committee
- Orange County Transportation Authority Special Needs Advisory Committee
- South Orange County Economic Coalition
- The Bicycle Tree
- Transit Advocates
- Transportation Engineers
- Tustin High School
- University of California, Irvine
- Urban Land Institute
- Women in Transportation Seminar Orange County

Appendix F

Measure M2 Infographic Flyer



Appendix G

Measure M2 Ten-Year Review Questionnaire Draft



Measure M
Ten-Year Review Questionnaire



Prior to taking this survey, had you heard of Measure M – Orange County’s voter-approved half cent transportation sale tax?

- ☐ Yes ☐ No ☐ Not Sure ☐ Prefer not to answer

Prior to taking this survey, which of the following Measure M transportation investments were you aware of? (Select all that apply.)

- ☐ Relieve congestion on the I-5, I-405, 22, 55, 57 and 91 freeways
☐ Fix potholes and resurface streets
☐ Expand Metrolink rail and connect it to local communities
☐ Provide transit services, at reduced rates, for seniors and disabled persons
☐ Synchronize traffic lights across the county
☐ Reduce air and water pollution, and protect local beaches by cleaning up oil runoff from roadways
☐ I was not aware of any transportation investments being made.
☐ Other (please specify)
-
-

Measure M allows for a variety of improvements to be made to Orange County’s transportation system. Using the list below, please indicate whether you think each program/project should be a high priority, a medium priority, or a low priority. Please keep in mind that not all improvements can be high priorities.

| Measure M Improvements | Priority | | | Shouldn't Do This Project | Not Sure |
|---|-----------------------|-----------------------|-----------------------|---------------------------------|-----------------------|
| | High | Medium | Low | | |
| Improve/widen the freeways | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Expand the Metrolink rail service | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Expand vanpool programs | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Improve ACCESS paratransit service for people with disabilities | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Construct roads over or under rail tracks where needed to improve traffic flow | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Coordinate traffic signals on major roadways to improve traffic flow | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Fix potholes and repair roadways | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Improve amenities at transit stops and stations | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Provide transit services to seniors and the disabled at a discounted rate | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Provide free assistance and tow truck service to motorists who break down on freeways | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

MEASURE M TEN-YEAR COMPREHENSIVE REVIEW

| Measure M Improvements (cont.) | High | Priority Medium | Low | Shouldn't Do This Project | Not Sure |
|---|-----------------------|-----------------------|-----------------------|---------------------------------|-----------------------|
| Clean up polluted runoff from roads to reduce water pollution and protect local beaches | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Close gaps, improve intersections, and reduce traffic congestion on major roads throughout the county | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Improve access to Metrolink stations using shuttles, light rail, and other transit services | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Add local bus and shuttle services in communities that aren't well served by regional transit services. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Preserve and restore open space land to offset the impacts of freeway improvement projects | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Cleanup and conserve water resulting from urban runoff | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Now that you have a bit more information about all the different Measure M programs/projects, do you feel that Measure M is on track to provide Orange County with transportation solutions?

☐ Yes ☐ For the most part ☐ No ☐ Not sure

Do you believe it is important to ensure that Measure M is delivered as promised to the voters?

☐ Yes ☐ For the most part ☐ No ☐ Not sure

How would you enhance these programs once all Measure M projects are delivered?

What is your number one transportation priority?

What is your primary mode of transportation?

(Please select one.)

☐ Drive freeways ☐ Drive local streets / roads ☐ Transit ☐ Bicycle / Walking

How long have you lived in Orange County?

☐ Less than 5 years ☐ 5 to 10 years
☐ 10 to 20 years ☐ More than 20 years
☐ While I don't live in Orange County, I do work in Orange County ☐ I don't live or work in Orange County

Please provide your postal ZIP Code: _____

Please provide your age (optional): _____

Please provide your name (optional): _____

MEASURE M TEN-YEAR COMPREHENSIVE REVIEW

Would you like to receive emails from OCTA about Measure M and related projects?

☐ Yes

☐ No

If yes, please provide your email address: _____

Thank you for your feedback! By completing this survey, you help ensure that Measure M delivers on its promise to the voters of Orange County and keeps us moving!

You can learn more about OCTA's delivery of Measure M at <http://www.octa.net/Measure-M>

Appendix H Media Alert – Measure M2 Survey



FOR MORE INFORMATION:

Joel Zlotnik (714) 560-5713
Eric Carpenter (714) 560-5697

FOR IMMEDIATE RELEASE:

Aug. 10, 2015

OCTA seeks public feedback on Measure M as part of 10-year review

Measure M program plans to deliver approximately \$15.7 billion worth of transportation improvements to Orange County by 2041

ORANGE – Nearly 10 years have passed since Measure M, a half-cent sales tax for transportation improvements, was renewed by nearly 70 percent of Orange County voters in 2006.

To help gauge the progress of the program so far, the Orange County Transportation Authority is asking residents to share their thoughts on Measure M in a new online survey.

Sales tax collection for Measure M began in April 2011. By the year 2041, the Measure M program plans to deliver approximately \$15.7 billion worth of transportation improvements to the region, making it safer, easier, and more pleasant to live and travel in Orange County.

So far, Measure M funds have been used to carry out \$900 million in freeway improvements, purchase 1,300 acres of open space for preservation as part of a freeway mitigation program and enhance 52 rail-highway grade crossings, among other upgrades.

Residents can learn more about these projects and others in the works that will improve Orange County neighborhoods and commutes at www.octa.net/Measure-M.



On the web page, residents may also click on the [Measure M2 Ten-Year Review Questionnaire](#) to share their opinions about Measure M and transportation improvement priorities for Orange County.


The feedback being collected is part of a requirement of the Measure M ordinance passed by voters, which calls for a comprehensive review of projects and programs at least every 10 years.


Measure M was extended for 30 years following the success of the first 20-year program approved by voters in 1990. The first Measure M brought more than \$4 billion worth of transportation improvements to Orange County, including adding 192 freeway lane miles, improving 170 intersections and 38 freeway interchanges, and implementing Metrolink service in Orange County.


###


Appendix I OCTA Blog Post – Learn About M2 and Share Your Thoughts





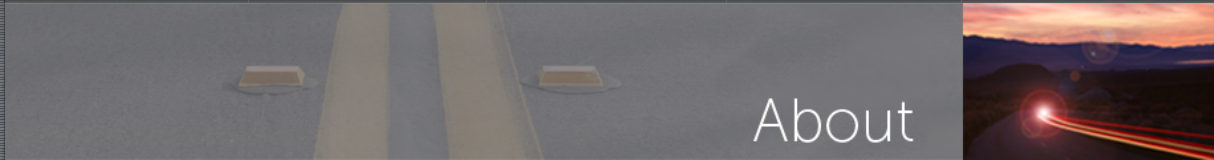
Bus


Metrolink


Share




Freeways & Streets


About





Learn about Measure M2 Transportation Improvements and Share Your Thoughts

Wednesday, June 17, 2015







Measure M2, Orange County's half-cent sales tax for transportation improvements, will reach its 10-year anniversary in November 2016 since being passed by nearly 70 percent of the voters in 2006. In this short amount of time, [Measure M2](#) has provided for \$900 million to improve freeways, purchased 1,300 acres of open space for preservation, and made enhancements to 52 rail-highway grade crossings. These are just a few of the Measure M2 milestones that have helped improve the lives of Orange County residents.



As part of the M2 Ten Year Review, OCTA is reaching out to residents to collect feedback regarding Measure M2. To learn more about Measure M2's progress and to provide your thoughts, [please click here](#).

COMPLETE THE QUESTIONNAIRE

A 30-year extension of an earlier program, Measure M2 was passed following the successful delivery of transportation improvements by its predecessor, Measure M1. Sales tax collection for Measure M2 began in April 2011.

sections

Bus

Metrolink

Share

Freeways & Streets

About

recent posts

▶ OCTA Helps Form New Vanpools to Reduce Car Traffic and Pollution

▶ Metrolink Labor Day Service Alert

▶ Ride Metrolink Free to San Juan Capistrano's Greek Festival

▶ On Labor Day Weekend, Take Metrolink to the Orange International Street Fair

▶ OCTA Increases Efforts to Raise Public Awareness and Provide Help to Human Trafficking Victims

Sex and labor trafficking
IT'S MODERN DAY SLAVERY.
MAKE A DIFFERENCE.

BE THE ONE
BT1
TO HELP OUT

Appendix J Newsletter Copy – Learn About M2 and Share Your Thoughts

Learn about Measure M2 Transportation Improvements and Share Your Thoughts



It has been nearly 10 years since Measure M2, Orange County's half-cent sales tax for transportation improvements, was approved by nearly 70 percent of the voters in 2006. A 30-year extension of an earlier program, Measure M2 was passed following the successful delivery of transportation improvements by its predecessor, Measure M1. Sales tax collection for M2 began in April 2011.

In this short amount of time, M2 has provided for \$900 million to improve freeways, purchased 1,300 acres of open space for preservation, and made enhancements to 52 rail-highway grade crossings. These are just a few of the Measure M2 milestones that have helped improve the lives of Orange County residents.

As part of the Measure M2 Ten-Year Review, the Orange County Transportation Authority (OCTA) is asking stakeholders, such as members of the Orange County Association of REALTORS, for feedback on the progress of M2 transportation improvements going on throughout Orange County. To learn more about Measure M2's progress and to provide your thoughts, [please click here](#).

COMPLETE THE QUESTIONNAIRE

Questions? Contact Emily Mason, OCTA Community Relations, at emason@octa.net or 714-560-5421.



Appendix K Letter to State and Federal Transportation Stakeholders

August 27, 2015

Dear Transportation Stakeholder:

It has been nearly 10 years since Measure M2, Orange County's half-cent sales tax for transportation improvements, was approved by nearly 70 percent of the voters in 2006. A 30-year extension of an earlier program, Measure M2 was passed following the successful delivery of transportation improvements by its predecessor, Measure M1. As part of the Measure M2 Ten-Year Comprehensive Program Review, OCTA is asking stakeholders to provide their feedback on all the different Measure M2 transportation improvements going on throughout Orange County.

If there are any specific comments you would like us to consider as part of this review, we encourage you to fill out the online survey which can be accessed at:

<http://www.octa.net/Measure-M/>

You can also find a Measure M2 Progress Report PowerPoint and Milestone Infographic at the above website. Since these recommendations are for time-sensitive documents, we would appreciate receiving your suggestions by September 18, 2015. When the Ten-Year Comprehensive Program Review report is completed, we can provide you with a copy for your review.

If you have any other ideas, comments or questions, please contact Brandon Bullock, Associate Government Relations Representative, at (714) 560-5389 or by email at bbullock@octa.net.

Sincerely,

Darrell Johnson
Chief Executive Officer

DJ:bb

Information Items



COMMITTEE TRANSMITTAL

August 10, 2015

To: Members of the Board of Directors

From: Laurena Weinert, Clerk of the Board

Subject: Measure M2 Comprehensive Transportation Funding Programs
- 2016 Annual Calls for Projects

Regional Planning and Highways Committee Meeting of August 3, 2015

Present: Directors Donchak, Lalloway, Miller, Nelson, Spitzer, and Ury
Absent: Director Bartlett

Committee Vote

This item was passed by the Members present.

Committee Recommendations

- A. Approve the proposed revisions to the Comprehensive Transportation Funding Programs guidelines.
- B. Authorize staff to issue the 2016 annual call for projects for the Regional Capacity Program for approximately \$38 million.
- C. Authorize staff to issue the 2016 annual call for projects for the Regional Traffic Signal Synchronization Program for approximately \$12 million.



ORANGE COUNTY TRANSPORTATION AUTHORITY


**Measure M2 Comprehensive Transportation Funding
Programs - 2016 Annual Calls for Projects**

Staff Report



August 3, 2015

To: Regional Planning and Highways Committee

From: Darrell Johnson, Chief Executive Officer 

Subject: Measure M2 Comprehensive Transportation Funding Programs - 2016 Annual Calls for Projects

Overview

The Comprehensive Transportation Funding Programs Guidelines provide the mechanism for the administration of the annual competitive calls for projects for the countywide Regional Capacity Program (Project O) and the Regional Traffic Signal Synchronization Program (Project P). Funding estimates, and the schedule for the 2016 Regional Capacity Program and Regional Traffic Signal Synchronization Program call for projects are presented for review and approval.

Recommendations

- A. Approve the proposed revisions to the Comprehensive Transportation Funding Programs guidelines.
- B. Authorize staff to issue the 2016 annual call for projects for the Regional Capacity Program for approximately \$38 million.
- C. Authorize staff to issue the 2016 annual call for projects for the Regional Traffic Signal Synchronization Program for approximately \$12 million.

Background

Measure M2 (M2) includes a number of competitive grant programs that provide funding for regional streets and roads projects. The Regional Capacity Program (RCP) provides funding for improvements to the Orange County Master Plan of Arterial Highways. The program provides for intersection improvements and other projects to help improve street operations and reduce congestion. The Regional Traffic Signal Synchronization Program (RTSSP) provides 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 flow by considering factors such as degree of congestion relief, cost effectiveness, and project readiness, among other factors.

On March 22, 2010, the Orange County Transportation Authority (OCTA) Board of Directors (Board) approved guidelines for the Comprehensive Transportation Funding Programs (CTFP), which serve as the mechanism for administration of the RCP and RTSSP. The CTFP Guidelines provide the procedures necessary for Orange County agencies to apply for funding and seek reimbursement for projects that have been allocated funds. Five annual calls for projects (call) have been issued to date for both the RCP and RTSSP and, collectively, OCTA has provided over \$246 million countywide for capacity and synchronization improvement projects. In preparation for the 2016 annual call, updates to the guidelines have been prepared.

Discussion

The call schedule and funding amounts are updated to reflect the amounts available for programming (\$38 million for the RCP, \$12 million for the RTSSP).

In addition, staff has worked with the Technical Advisory Committee (TAC) to determine areas of the program guidelines that needed to be adjusted. An effort was made to review the guidelines entirely to ensure consistency throughout the document. Primarily, the adjustments are administrative in nature, including one policy change and point assignment changes in the scoring criteria.

A summary of the administrative adjustments is provided in Attachment A, and a copy of the CTFP Guidelines manual with the proposed revisions is included in Attachment B. Policy change and adjustments to the scoring criteria are discussed in detail below.

Policy Change

Under the current guidelines, right-of-way (ROW) costs and improvements outside of the roadway ROW are ineligible for participation in the RCP. Recently, local agencies in the coastal zone have expressed issues with the replacement of on-street parking as a condition of a coastal development permit. A precept (number 41) was developed in cooperation with the TAC to address this situation. Current guidelines require parking replacement to be identified in the environmental document as environmental mitigation to be eligible for M2 funds. The environmental mitigation costs are capped at a maximum of 25 percent of the total eligible costs of the project. The policy adjustment recommended by the TAC removes the 25 percent cap, specifically for ROW costs for replacement parking within the coastal development permit area.

Scoring Adjustments

As part of the proposed guidelines update, minor adjustments to both the RCP and RTSSP scoring criteria are being recommended.

For the RCP, the project readiness category has been increased from five points to ten points. This gives additional weight to projects that are shovel ready. Additionally, the “operational efficiencies” category has become “operational attributes (within the roadway)”. This category now includes components for safety, sustainability, and water conservation.

For the RTSSP, the project readiness category has also been adjusted and increased from five points to ten points. Projects that have completed preliminary engineering or are requesting funding to retime the existing synchronized corridors are given additional consideration. Additionally, the “transportation significance” category has been adjusted to include recognition of projects that serve to close the gap on a synchronization corridor, linking two synchronized sections.

In addition to the policy and scoring criteria changes, formatting and clerical adjustments have been made throughout the guidelines. The proposed modifications were approved by the TAC on June 24, 2015, with unanimous support.

Next Steps

Following Board approval on August 10, 2015, staff anticipates sending out letters notifying local agencies of the call. Project applications would be due to OCTA by October 23, 2015. Based on the selection criteria, projects will be prioritized for the TAC and Board consideration in the spring of 2016.

Awards would be effective with Board approval and become available starting on July 1, 2016. Some projects may be programmed in subsequent fiscal years (FY) (FY 2017-18 and FY 2018-19), based on schedules provided by local agencies.

Summary

M2 provides funds for intersection and arterial improvements (through Project O) and signal synchronization (through Project P) in an effort to enhance street operations and reduce congestion. The CTFP serves as the mechanism OCTA uses to administer the competitive RCP and RTSSP funds. Staff is seeking approval of proposed modifications to the guidelines and authorization to release the 2016 annual call.

Attachments

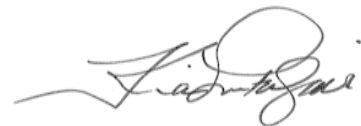
- A. Comprehensive Transportation Funding Programs – August 2015 Guidelines – Proposed Adjustment Summary
- B. Comprehensive Transportation Funding Programs – August 2015 Guidelines

Prepared by:



Roger Lopez
Senior Analyst, Measure M2 Local Programs
(714) 560-5438

Approved by:



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



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Measure M2 Comprehensive Transportation Funding
Programs - 2016 Annual Calls for Projects**

Attachment A

**Comprehensive Transportation Funding Programs
August 2015 Guidelines – Proposed Adjustment Summary**

Administrative Adjustments

- Ensured consistent use of terms and phraseology throughout.
- Additional definitions were added to ensure terms frequently used throughout the guidelines are clearly understood.
- Additional clarification on when the timely use of funds countdown begins for the right-of-way (ROW) phase.
- For all applications being submitted for ROW phase funding, a complete acquisition/disposal plan must be provided.
- Any requests for the modeling of proposed new facilities as part of the Regional Capacity Program (RCP) must be submitted no less than six weeks prior to the application submittal deadline.
- All applications for funding submitted under the RCP using escalated average daily trips (ADT) must include traffic/turning movement counts taken within the last 12 months. If a project application is not using an escalated ADT, traffic/turning movement counts taken within the previous 36 months are acceptable.
- For both the RCP and Regional Transportation Signal Synchronization Program (RTSSP) additional active transportation elements have been added as potentially eligible items.
- For the RTSSP additional clarification has been added to better define the deadline for the submittal of adopted resolutions of support for both the lead and partner agencies.
- For the RTSSP additional guidance has been provided on ways to avoid a timely use of funds extension request when issuing a combined contract for both the primary implementation and operations and maintenance phases.



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Measure M2 Comprehensive Transportation Funding
Programs - 2016 Annual Calls for Projects**

Attachment B



A HALF-CENT GOES A LONG WAY

COMPREHENSIVE TRANSPORTATION FUNDING PROGRAMS AUGUST 2015 GUIDELINES

ORANGE COUNTY TRANSPORTATION AUTHORITY

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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, 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

Comprehensive Transportation Funding Programs



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 details 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, multi-billion 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 (Project O), the Regional Traffic Signal Synchronization (Project P), the various transit programs (Projects S, T, V and W), and the Environmental Cleanup Program (Project X). Each program has a specific focus and evaluation criteria as outlined in the guidelines.

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

- Fifty percent based upon population
- Twenty-five percent based upon centerline miles on the existing Master Plan of Arterial Highways (MPAH)
- Twenty-five percent based upon local agency's share of countywide taxable sales

Projects that are wholly funded by M2 Fair Share 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 fair share 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 State Constitution (Article XIX)
- Include project in seven-year capital improvement plan (CIP)
- Consistency with MPAH, Pavement Management Program, and Signal Synchronization Master Plan

Comprehensive Transportation Funding Programs



As indicated above, M2 Fair Share 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 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 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) 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 right-of-way and construction phases (see Precept 13).
7. The term “environmental mitigation” is referred to as environmental clean-up/preservation measures made ~~as part of the roadway construction project that are required~~ as part of that projects environmental clearance.
8. The term “excess right-of-way” is right-of-way acquired for projects and deemed excess to the proposed transportation use. Excess right-of-way designation shall be acknowledged by applicant during the grant application process.
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 WFLR plus overhead (see Chapter 10)

Comprehensive Transportation Funding Programs



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 10.
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. 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 right-of-way engineering. The “right-of-way phase” shall include right-of-way acquisition, and the “construction phase” shall include construction and construction engineering.
21. The term “project phase completion” refers to the date all final 3rd party contractor invoices have been paid and any pending litigation has been adjudicated for either



the engineering phase or for the right-of-way 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.

22. 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.

23. 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.

- 23.24. “Sustainability”, as it applies to capacity enhancing infrastructure projects, refers to project elements that support environmental benefits as recognized through the Envision Process (www.sustainableinfrastructure.org).

- 24.25. The term “Work Force Labor Rates (WFLR)” include direct salaries plus direct fringe benefits.



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IV. Precepts

1. The OCTA Board of Directors (Board) approved these guidelines on March 22, 2010. The guidelines subsequently have been amended and approved by the Board as needed. The purpose is to provide procedures that assist in the administration of the CTFP under M2 where other superseding documents lack specificity. OCTA, or an agent acting on the authority's behalf, shall enforce these guidelines.
2. All eligible Orange County cities and the County of Orange may participate in the M2 competitive programs and federal funding programs included in the CTFP. Other agencies (e.g. Department of Transportation or local jurisdiction) may participate on a project, however, one local agency shall be designated as the implementing agency, shall be responsible for all funding requirements associated with the project, and shall be the recipient of funds through the program.
3. To participate in the CTFP, OCTA must declare that an agency is eligible to receive M2 Net Revenues which include local fair share distributions. Failure to meet minimum eligibility requirements after programming of funds will result in deferral or cancellation of funding.
4. The lead agency must execute a Master Funding Agreement with the OCTA. OCTA and lead agencies will periodically amend the agreement via letter to reflect funding changes through competitive calls for projects.
5. A separate cooperative funding agreement will be issued for any OCTA-led Regional Traffic Signal Synchronization Program projects.
6. An agency must have a fully executed letter agreement prior to the obligation of funds. Local agencies may be granted pre-award authority for M2 funded projects once the letter agreement is executed. Local agencies, at their own risk, may use this pre-award authority to advance an M2 funded project prior to the programmed year. Reimbursement will be available in the Board approved programmed year (see Chapter 10).
7. For transit programs not covered by the letter agreement process (e.g. Projects S, V and W), pre-award authority is granted upon the Board approval of the funding grant.
8. Local agencies shall scope projects, prepare estimates, and conduct design in cooperation with and in accordance with the standards and procedures required by

Comprehensive Transportation Funding Programs



the local agencies involved with the project (e.g., Caltrans, County, state/federal resource agencies).

9. Local agencies should select consultants based upon established contract management and applicable public contracting practices, with qualification based selection for architectural/engineering (A/E) services, and competitive bidding environments for construction contracts in accordance with the Public Contracts Code. Agencies must meet procurement and contracting requirements of non-M2 funding sources which may exceed those identified in the CTFP.
10. Based upon funding availability, a "Call for Projects" shall be considered annually but may be issued less frequently.
11. In each call cycle, OCTA shall program projects for a three year period, based upon an estimate of available funds.
12. OCTA will base funding grants on project cost estimates including up to 10 percent contingency for construction. During the programming process, OCTA adds an inflationary adjustment.
13. OCTA shall escalate project grants for years two and three for right-of-way and construction phases only. OCTA will base escalation rates on the Engineering News Record (ENR) Construction Cost Index (CCI) 20-city average.
14. Match rate commitments 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 and implementing agencies shall not reduce match rate commitments or split the match rate by phase. Actual project contributions by the local agency or OCTA are dependent on final project costs and may not be equal to the match rate if a local agency overmatch exists. Local agency contributions may exceed the committed local match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures cannot be considered when calculating the local match rate.
15. Where a project experiences savings, the local match percentage must be maintained.
16. OCTA shall program funds by fiscal year for each phase of a project.

Comprehensive Transportation Funding Programs



17. A grant for a specific project shall be cancelled if the funds are not encumbered within the fiscal year the funds are programmed, unless a ~~time extension~~delay has been granted by the OCTA Board.
18. Implementing agencies may request a delay not exceeding a total of 24 months per project grant. Agencies shall justify this request, receive City Council/Board of Supervisor concurrence, and seek approval of OCTA staff the Technical Advisory Committee (TAC), and the Board as part of the semi-annual review process. Extension requests must be received no less than ninety days prior to the encumbrance deadline and are not permitted for projects that seek "fast track" grants.
19. An administrative time extension may be granted for expiring M2 funds for a project that is clearly engaged in the procurement process (advertised but not yet awarded).
20. Funds that have been encumbered shall be used in a timely fashion. For project phases, excluding right-of-way, funds will expire after 36 months from encumbrance. For the right-of-way phase, funds will expire after 36 months from the date of the first offer letter and/or, if contract services are required, 36 months from the contract NTP. Extensions up to 24 months may be granted through the SAR. Extension requests must be received no less than 90 days prior to the encumbrance deadline. Additional extensions may be considered on a case by case basis for the Regional Capacity Program and the Regional Traffic Signal Synchronization Program.
- 20-21. Preliminary Engineering allocations can be programmed in two different fiscal years depending on the project schedule and when certain engineering costs will need to incur during the project development and implementation phases. Local agencies can issue a separate NTP on a single contract to ensure compliance with the timely use of funds requirement. Local agencies may also issue separate contracts for the funds programmed in different fiscal years. Local agencies are required to obligate the funds within the same fiscal year of the programming or request a delay at least 90 days prior to the obligation deadline.
- 21-22. For all construction projects awarded CTFP funds in excess of \$500,000 and/or exceeding a 90 day construction period schedule, the local agency shall install and remove signage in accordance with OCTA specifications during the construction period. The implementing agency may request OCTA furnished signage or it may choose to provide agency furnished signage so long as said signage conforms to OCTA specifications as follows: Signage shall include an M2 logo that is a minimum of 12" tall, an OCTA logo that is a minimum of 3" tall (image files provided by OCTA



upon request), verbiage stating “Street Improvements Funded by Measure M” in Myriad Pro, bold condensed font at 256 pt. and “Your dollars at Work” in Myriad Pro, bold condensed font at 180 pt. Agencies will be required to certify that these signage requirements have been met as part of the initial payment process (see chapter 10).

~~22.23.~~ OCTA shall reprogram funds derived from savings or project cancellation based upon final project status. An implementing agency may request to transfer 100 percent of savings of M2 funds between the phases within a project with approval from the TAC and Board. Funds can only be transferred to a phase 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 a semi-annual review. SLPP funds are not eligible for the transfer of savings. Agencies may only use savings as an aid for unanticipated cost overruns within the approved scope of work.

~~23. Where a project experiences savings, the local match percentage must be maintained.~~

24. Where the actual conditions of a roadway differs from the MPAH classification (e.g. number of through lanes), OCTA shall use the actual conditions for the purposes of competitive scoring. An agency may appeal to the TAC to request that the MPAH classification be adjusted/reconsidered.
25. For the purpose of calculated level of service (LOS), the capacity used in the volume over capacity calculation shall be 100 percent capacity, or LOS level “E”. Intersection Capacity Utilization (ICU) calculations shall use 1,700 vehicles per hour per lane with a .05 clearance interval.
26. OCTA shall consider matching fund credit(s) for an implementing agency’s proposed projects current and applicable environmental clearance expenditures. OCTA will review and consider these expenditures on a case by case basis at the time of funding approval.
27. An approved CTFP project may be determined ineligible for funding at any time if it is found that M2 funding has replaced all or a portion of funds or commitments that were to be provided by other sources such as: development conditions of approval, development deposits, fee programs, redevelopment programs or other dedicated local funding sources (i.e., assessment districts, community facilities districts, bonds, certificates of participation, etc.). Appeals may be made in accordance with Precept 39.



28. OCTA may fund environmental mitigation, up to 25 percent of the total eligible project cost by phase, as required for the proposed project ~~and as~~ contained in the environmental document. Participating environmental mitigation expenditures are eligible for funding under certain programs, but not all.
29. Construction Engineering, Construction Management and/or Project Management shall not exceed 15 percent of the total eligible project cost. The cap is applied to the sum of eligible expenses, contract change orders (within the scope of work), equipment and materials (e.g. eligible traffic signal equipment).
30. Contract change orders are only eligible for reimbursement of work due to unforeseen changed conditions within the original scope of work and not exceeding 10 percent contingency provided in the application cost estimate.
31. OCTA shall evaluate “whole” projects during the initial review process. Subsequent phase application reviews shall not include prior phases in the evaluation unless locally funded and pledged as a match and are subject to OCTA verification. The criteria for ranking project applications is included in these guidelines as part of each program component chapter.
32. Projects that receive competitive CTFP funds shall not use other M2 competitive funds as a local match source. Lead agencies may request project consolidation. The TAC and Board must approve consolidation requests. OCTA shall use the average match rate of the consolidated project’s individual segments.
33. OCTA shall conduct a semi-annual review of all active CTFP projects. All agencies shall participate in these sessions through a process established by OCTA. Currently, OCTA administers the semi-annual review through OCFundtracker. OCTA shall: 1) verify project schedule, 2) confirm project’s continued viability, 3) discuss project changes to ensure successful and timely implementation, and 4) request sufficient information from agencies to administer the CTFP. 5) any potential issues with external fund sources committed as match against the competitive funds.
34. For any project experiencing cost increases exceeding 10 percent of the originally contracted amount, a revised cost estimate must be submitted to OCTA as part of the semi-annual review process. This is applicable even if the increase is within the overall grant amount.
35. Agencies shall submit payment requests to OCTA in a timely fashion. Agencies may request an initial payment for M2 (generally up to 75 percent of programmed amount or eligible expenditures, see Chapter 10) once the funds have been



encumbered. The final 25 percent of the available programmed balance will be released upon the submission of an approved final report.

36. The amount withheld pending the submittal of an approved final report shall be capped at \$500,000 per project phase, but shall in no case be less than 10 percent of the grant or the contract amount, whichever is less. Should the 75 percent/25 percent 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 threshold is reached. At no time will the final payment retention be less than 10 percent.
37. When a project phase is complete, an agency shall notify OCTA in writing within 30 days of completion. The date of project phase completion will begin the 180 day requirement for the submission of a project final report as required by the M2 Ordinance, Attachment B, Section III.A.9.
38. An agency shall provide final accounting in an approved final report format (see Chapter 10) within 180 days of project phase completion. The process for untimely final reports is described in Chapter 10. Failure to provide a final accounting shall result in repayment of applicable M2 funds received for the project phase in a manner consistent with the Master Funding Agreement. Projects funded with M2 funding require a project final report within 180 days of project phase completion as part of eligibility compliance. Failure to meet eligibility requirements, including submittal of final reports within 180 days of project phase completion may result in suspension of all net revenues including fair share funds.
39. The payment distribution ratio referenced in Precept 35 may be modified to a reimbursement process, at the discretion of the Board, in the event that financing or bonding is required to meet OCTA's cash flow needs.
40. Agencies may appeal to the TAC on issues that the agency and OCTA staff cannot resolve. An agency may file an appeal by submitting a brief written statement of the facts and circumstances to OCTA staff. The appellant local agency must submit a written statement which proposes an action for TAC consideration. The TSC shall recommend specific action for an appeal to the TAC. The Board shall have final approval on appeals.

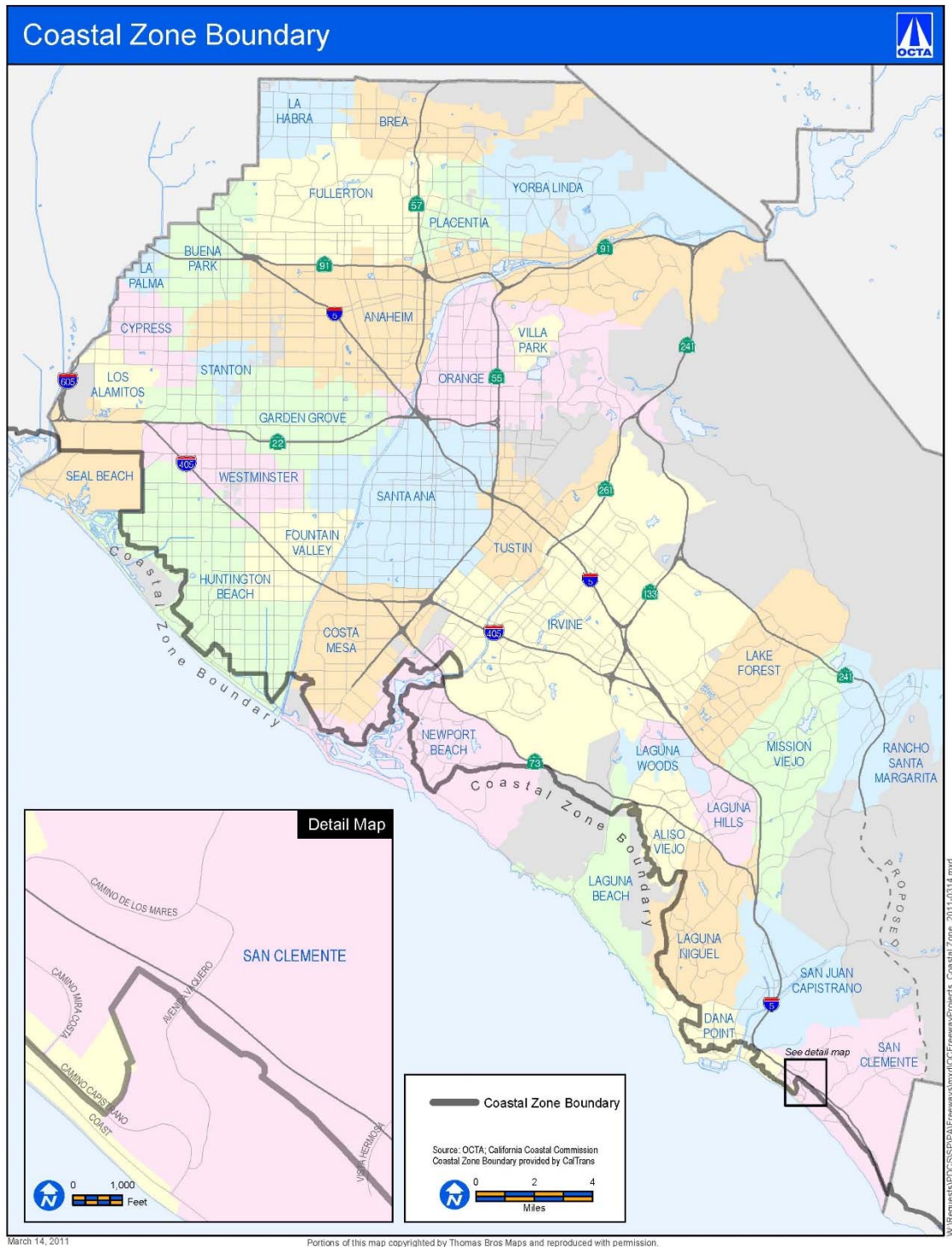
~~40-41.~~ Projects within the Coastal Zone Boundary, as a requirement of a Coast Development Permit, may be required to replace existing on-street parking removed as a result of a roadway widening project. Right-of-way costs to replace the existing on-street parking can be considered an eligible expense for coastal zone cities only

Comprehensive Transportation Funding Programs



(see exhibit IV-1). OCTA staff will work with the local agency staff during the project application process to determine eligibility of these costs and to identify any excess right-of-way that will require a disposal plan. OCTA and the local agency will also establish any savings that will revert back to the Measure M Program after project completion. The cost of right-of-way required to replace parking should be fair and reasonable in comparison to the total cost of the project.

Exhibit IV-1





V. 2016 Call for Projects – Regional Capacity Program

The ~~2015-2016~~ Call for Projects (call) for Project O – the Regional Capacity Program (RCP) – under M2 will provide approximately ~~\$35–38~~ million for streets and roads improvements across Orange County.

Funding will be provided for the three RCP funding programs: ACE, ICE, and FAST (see Chapter 7). 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 ~~15/16–17/18~~ 16/17–18/19), 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. OCTA shall require agencies to submit both online and hardcopy applications for the ~~2015-2016~~ call for projects by **5:00 p.m. on Friday, October ~~24~~23, ~~2014~~2015**. **Late submittals will not be accepted.**

The agency must submit the application and any supporting documentation via OCFundtracker (see Chapter 9). Additionally, **three (3) unbound hardcopies** of the application and any supporting documentation must be submitted to OCTA by the application deadline. Hardcopy applications can be mailed to:

OCTA
Attention: Roger Lopez
550 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

Comprehensive Transportation Funding Programs



Application Review Process

Once applications are reviewed and ranked according to the Board approved scoring criteria, a recommended funding program will be developed by OCTA staff. These programming recommendations will be presented to the TAC for review and comment. The TAC approved programming recommendations will then be presented to the OCTA Highways Committee and Board for review and final 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 ~~2014~~2015

Applications ~~due to OCTA~~ submittal deadline: October ~~24, 2014~~23, 2015

TSC/TAC Review: February/March ~~2015~~2016

Committee/Board approval: May ~~2015~~2016

M2 Project O Funding

M2 Project O funding will be used for this call.

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 Fair Share 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
- 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
- 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/m2Eligibility.pdf>). Agencies will submit a CIP through an electronic database application (see <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

Chapter 1 – Eligibility



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 (ACE, ICE, and FAST) 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 smaller programming window (3 years), as well as a sequential funding approach for M2 projects. OCTA expects this new approach to aid in a more timely 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 right-of-way engineering activities. Step Two, also known as the implementation phase, includes right-of-way engineering/acquisition and construction activities. Right-of-way 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 and the agency will complete the activities within six months of the programmed year.

OR

- An agency may request a Fast Track approach, seeking implementation funding as part of the planning phase. The agency must demonstrate that the policy



Chapter 2 – Project Programming

variance is necessary for timely implementation. The agency will waive the opportunity to request a project delay under this approach.

Each call for projects will cover a three-year period which 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.

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 right-of-way and construction projects in years two and three. The ~~minimum-match rate~~ commitments-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 Engineering News Record (ENR) Construction Cost Index 20 City Average (CCI) 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 right-of-way 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.



Chapter 2 – Project Programming

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 right-of-way 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 3 of the funding cycle, then OCTA will escalate the costs by the CCI-based adjustment factor, compounded annually, beginning in year 1 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 tiered approach has been revised. In general, to program grants for Step Two (right-of-way or construction phases), a project must either have:

1. Approval for environmental clearance (CEQA) for M2 programs, (NEPA and CEQA for federally funded programs), or;
2. Exempt (categorically or statutorily) under CEQA and/or NEPA (as applicable).

OCTA may consider exceptions to these programming rules, on a case by case basis, if an agency can confirm that a project will receive environmental clearance prior to the scheduled start of right-of-way and construction. OCTA will not approve payment requests for right-of-way and construction until a project receives environmental clearance.

Programming Policies

OCTA will not increase grants after the initial programming for each phase except through project savings transfers, where applicable.

In order to receive right-of-way 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.



Chapter 2 – Project Programming

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. 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 semi-annual review 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 semi-annual review process. These reviews are typically held in Fall and Spring. Emergency extensions after the Spring semi-annual review may be considered on a case by case basis, but no less than 90 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 semi-annual review 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 right-of-way, funds will expire after 36 months from encumbrance. For the right-of-way 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



Chapter 2 – Project Programming

SAR. Extension requests must be received no less than 90 days prior to the encumbrance deadline. Additional extensions may be considered on a case by case basis for the Regional Capacity Program and the Regional Traffic Signal Synchronization Program.

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 semi-annual review. 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 10). Prior approval is not necessary if the project is being advanced through local funds.



Chapter 2 – Project Programming

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 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 operations and maintenance expenditures (e.g. Environmental Cleanup Program)
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 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 **Time Extension Policy**:



Chapter 2 – Project Programming

- 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).
- Agencies that have requested Fast Track funding cannot request time extensions.

Environmental Cleanup Program Operations and Maintenance Reporting

For Tier 1 of the Environmental Cleanup Program, ongoing operations and maintenance of the project can be pledged as a match (page 12-6). As part of the semi-annual review reporting process, OCTA will verify local agency operations and maintenance expenditures to ensure minimum match rate commitments are being met. Local agencies must complete Form 10-17 (available for download from OCFundtracker) for each ECP grant as part of their semi-annual review updates.



Chapter 7 – Regional Capacity Program (Project O)

Introduction

The RCP 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. In the case of any ambiguity related to Article XIX, the California State Controllers Guidelines Relating to Gas Tax Expenditures will provide additional clarification.

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 Rail 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 CTC to receive TCIF. TCIF allocations required an additional local funding commitment. To meet this need, the Board approved the commitment of \$160 million in RCP funds to be allocated from M2. The RGSP captures these prior funding commitments. Future calls for projects for grade separations are not anticipated.



Chapter 7 – Regional Capacity Program (Project O)

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 set aside has been established for street widening.



Chapter 7 – Regional Capacity Program (Project O)

Section 7.1 – 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, right-of-way 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
- Right-of-way acquisition
- Construction (including curb-to-curb, ~~landscaping~~, lighting, drainage, etc.)



Chapter 7 – Regional Capacity Program (Project O)

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
- 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 right-of-way (eligible improvements up to 10 percent 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 right-of-way settlement agreement
- Utility relocation where the serving utility has prior rights as evidenced by a recorded legal document
- Roadway grading within the right-of-way (inclusive of any temporary construction easements and/or right-of-way 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, right-of-way agreements) to justify the additional grading.
- Additional right-of-way 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 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 of the total eligible construction cost) of an



Chapter 7 – Regional Capacity Program (Project O)

eligible improvement. Program participation shall not exceed 10 percent 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 right-of-way 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 of the total eligible project 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. Rough roadway grading must be complete prior to project start.

Utility Relocations

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

- 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 10). 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 right-of-way 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.



Chapter 7 – Regional Capacity Program (Project O)

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. 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

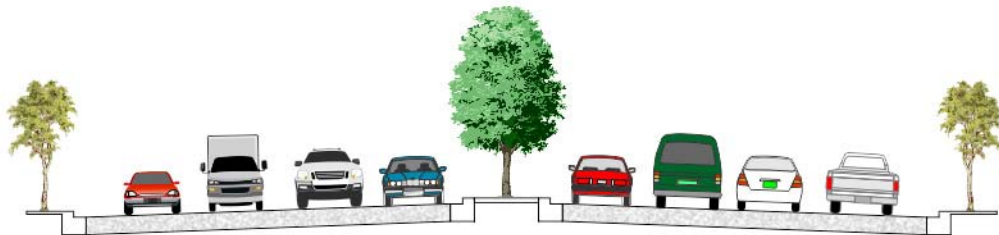
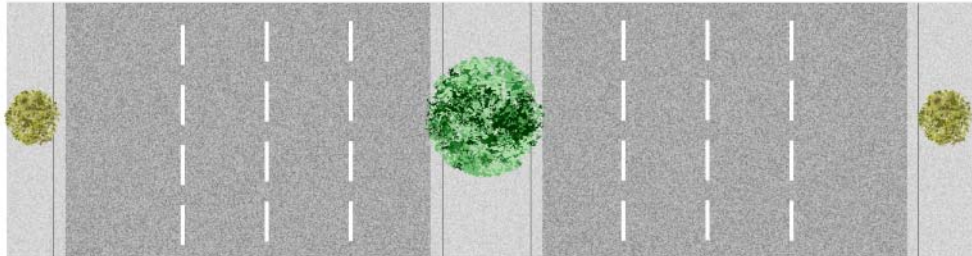
Items that are not eligible under the ACE Program are:

- Grading outside of the roadway right-of-way not related to a temporary construction easement or right-of-way agreement.
- Rehabilitation (unless performed as component of capacity enhancement project)
- Reconstruction (unless performed as component of capacity enhancement project)
- Grade Separation Projects
- Enhanced landscaping and aesthetics (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape)
- Right-of-way acquisition and construction costs for improvements greater than the typical right-of-way width for the applicable MPAH Roadway Classification. (See standard MPAH cross sections in Exhibit 7-1) Where full parcel acquisitions are necessary to meet typical right-of-way 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

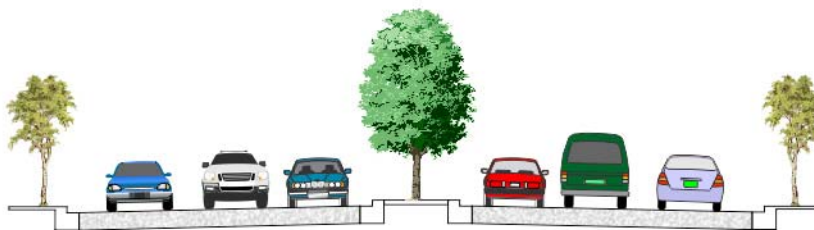
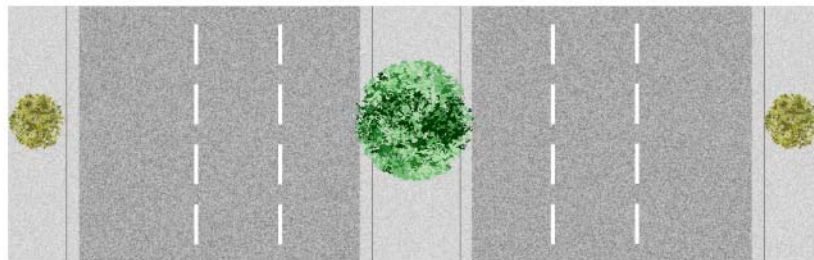
Chapter 7 – Regional Capacity Program (Project O)



Exhibit 7-1
Standard MPAH Cross Sections

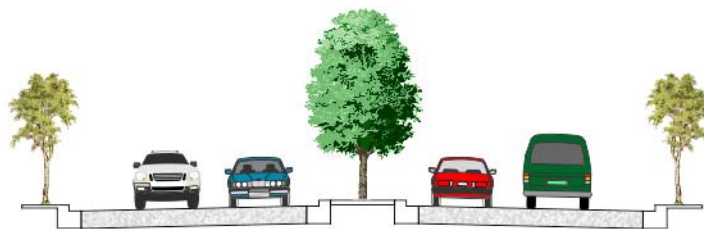
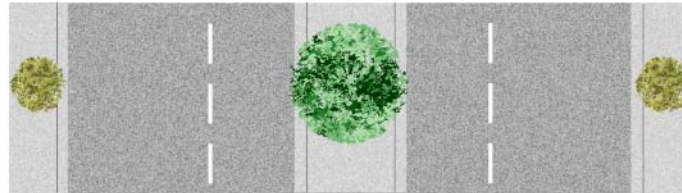


PRINCIPAL
144 FT
(8 LANES, DIVIDED)

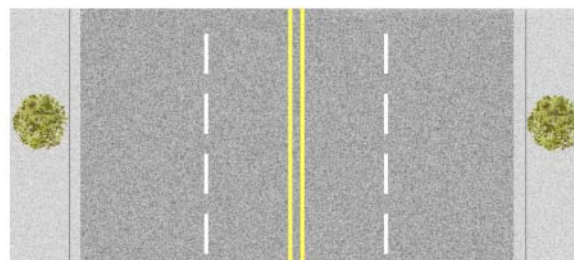


MAJOR
120FT
(6 LANES, DIVIDED)

Exhibit 7-1 *continued*
Standard MPAH Cross Sections

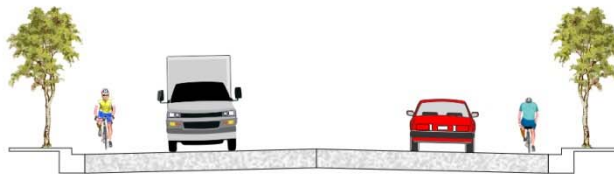
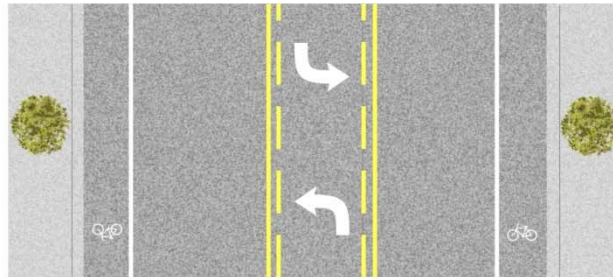


PRIMARY
100 FT
(4 LANES, DIVIDED)

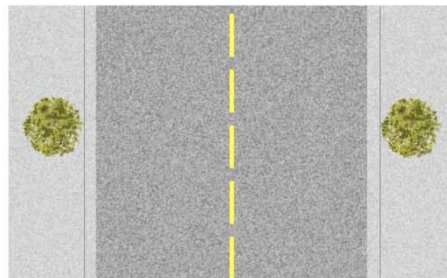


SECONDARY
80 FT
(4 LANES, UNDIVIDED)

Exhibit 7-1 *continued*
Standard MPAH Cross Sections



DIVIDED COLLECTOR
80 FT
(2 LANES, DIVIDED)



COLLECTOR
56 FT
(2 LANES, UNDIVIDED)



Chapter 7 – Regional Capacity Program (Project O)

Master Plan of Arterial Highway Capacities

Below are the approximate roadway capacities that will be used in the determination of level of service:

| Type of Arterial | Level of Service | | | | |
|---------------------|------------------|---------------|---------------|---------------|----------------|
| | A | B | C | D | E |
| | .51 - .60 v/c | .61 - .70 v/c | .71 - .80 v/c | .81 - .90 v/c | .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 (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 ~~or current OCTA Traffic Flow Map data~~ 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. ~~Regarding "current" OCTA Traffic Flow Map data, it is defined as counts provided within the preceding 36 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 preceding



Chapter 7 – Regional Capacity Program (Project O)

36 months. ~~-Note:~~ New facilities ~~will~~must be modeled through OCTAM and requests should be submitted to OCTA ~~with sufficient time to generate reports~~ a minimum of six (6) weeks prior to ~~submittal of~~ application submittal deadline. 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.

Current Project Readiness: This category is additive. Points are earned for ~~each satisfied readiness stage~~ the highest qualifying designation at the time applications are submitted.

- Right-of-Way (All easements and titles) – applies where no right-of-way is needed for the project or where all right-of-way has been acquired/dedicated.
- Right-of-Way (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 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 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 is pledged, points are earned for the 15 percent 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.



Chapter 7 – Regional Capacity Program (Project O)

MPAH Needs Assessment Category: Segment designation as shown in the RCP Needs Assessment study.

Operational ~~Efficiencies~~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 (Class I or II)
- Median (Raised): Installation of a mid-block raised median where none exists today. Can be provided in conjunction with meeting MPAH standards.
- Remove On-street Parking: Elimination of on-street parking in conjunction with roadway widening project. Can be provided in conjunction with meeting MPAH standards and installation of new bike lanes.
- Sustainability Elements: Includes the use of recycled materials during the roadway construction process (recycled aggregate or rubberized asphalt) or the installation of solar lighting within the roadway cross section. Other elements of sustainability may be considered on a case by case basis.
- 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.
- 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:



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- 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.
- 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 (averaging AM/PM peaks) 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. These will be considered by the TAC and granted a technical variance on a case by case basis. 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 an 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 Chapter 9.

- 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



Chapter 7 – Regional Capacity Program (Project O)

- Right-of-way status and ~~strategy for~~detailed plan for -acquisition/disposal of excess right-of-way. The right-of-way acquisition/disposal plan must be submitted using the “right-of-way 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.

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 Board for consideration and funding approval.

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.

Facility Modeling: For consistency purposes, all proposed new facilities will be modeled by OCTA using the most current version of ~~Orange County Transportation Analysis Model (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.



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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 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 Project Study Report (PSR) or equivalent, 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



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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.

Pavement Management Supporting Documentation: The M2 Ordinance provides for a 10 percent reduction in the required local match if the agency can demonstrate a measurable improvement in Pavement Condition Index (PCI) (1 point increase or greater) over the previous reporting period, or if the agency can demonstrate a PCI that is within the highest 20 percent of the scale (PCI of 75 or greater). If an agency is electing to take the 10 percent local match reduction, **supporting documentation indicating either the PCI improvement or PCI scale must be provided.**

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 right-of-way 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 10 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 rightright-of-way funding received for property acquisition prior to cancellation shall be repaid upon cancellation even if property has been acquired. ~~Construction~~All construction funding received prior to cancellation shall be repaid upon cancellation.

Cancelled projects will be eligible ~~for re-application~~to reapply upon resolution of issues that led to original project termination. Agencies can resubmit an application for funding

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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 11).

Proceeds from the sale of excess right-of-way acquired with program funding must be paid back to the project fund as described in Chapter 10 and the Master Funding Agreement.



TABLE 7-1

Regional Capacity Program Street Widening

| | Category | Points Possible | Percentage | |
|-------------------------------|----------------------------------|-------------------------|---------------------------|----------------|
| Facility Usage | | | | 25% 30% |
| | Existing ADT | 10 | 10% | |
| | Existing VMT | 10 | 10% | |
| | Current Project Readiness | 5 10 | 5% 10% | |
| Economic Effectiveness | | | | 20% 15% |
| | Cost Benefit | 15 10 | 15% 10% | |
| | Funding Over-Match | 5 | 5% | |
| Facility Importance | | | | 20% |
| | Transportation Significance | 5 | 5% | |
| | MPAH Assessment Category | 10 5 | 10% 5% | |
| | Operational Efficiency | 5 10 | 5% 10% | |
| Benefit | | | | 35% |
| | Improvement Characteristics | 10 | 10% | |
| | Level of Improvement and Service | 25 | 25% | |
| TOTAL | | 100 | 100% | |



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Table 7-2
Point Breakdown for Arterial Capacity Enhancement Projects
Maximum Points = 100

| | | | | | |
|---|----------|--------------|--|--|-------------|
| Facility Usage Points: 25 30 | | | Facility Importance Points: 20 | | |
| Existing ADT | | | Transportation Significance | | |
| Range | | Points | Range | | Points |
| 45+ | thousand | 10 | Principal or CMP Route | | 5 |
| 40-44 | thousand | 8 | Major | | 4 |
| 35 - 39 | thousand | 6 | Primary | | 3 |
| 30 - 34 | thousand | 5 | Secondary | | 2 |
| 25 - 29 | thousand | 4 | Collector | | 1 |
| 20 - 24 | thousand | 3 | | | |
| 15 - 19 | thousand | 2 | | | |
| 10-14 | thousand | 1 | | | |
| <10 | thousand | 0 | | | |
| VTM | | | MPAH Assessment Category | | |
| Range | | Points | Range | | Points |
| 31+ | thousand | 10 | Category 1 | | 10 5 |
| 26-30 | thousand | 8 | Category 2 | | 8 4 |
| 22-25 | thousand | 6 | Category 3 | | 6 3 |
| 18-21 | thousand | 5 | Category 4 | | 4 2 |
| 14-17 | thousand | 4 | Category 5 | | 2 1 |
| 11-13 | thousand | 3 | | | |
| 8-10 | thousand | 2 | | | |
| 4-7 | thousand | 1 | | | |
| <4,000 | thousand | 0 | | | |
| Current Project Readiness Max Points: 5 10 | | | Operational Attributes (w within the roadway) Maximum 5 10 points | | |
| | | Points | | | Points |
| Environmental Approvals | | 4 2 | Pedestrian Facilities (New) | | 3 |
| Preliminary Design (35%) | | 4 2 | Meets MPAH Configs. | | 3 |
| Right Of Way (All offers issued) | | 4 2 | Bike Lanes (New) | | 3 |
| Final Design (PS&E) | | 4 4 | Active Transit Route(s) | | 2 |
| Right Of Way (All easement and titles) | | 3 5 | Bus Turnouts | | 2 |
| | | | Median (Raised) | | 2 |
| | | | Remove On-Street Parking | | 2 |
| | | | Water Conservation Elements | | - 2 |
| | | | Safety Improvements | | - 2 |
| | | | Sustainability | | - 2 |
| Economic Effectiveness Points: 20 15 | | | Benefit: Points: 35 | | |
| Cost Benefit (Total \$/ADT) | | | Improvement Characteristics | | |
| Range* | | Points | | | Points |
| <25 | | 15 | Gap Closure | | 10 |
| 25-49 | | 13 | New Facility/Extension | | 8 |
| 50 - 99 <25 - 99 | | 11 10 | Bridge Crossing | | 8 |
| 100 - 149 | | 9 | Adds Capacity | | 6 |
| 150 - 199 | | 7 | Improves Traffic Flow | | 2 |
| 200 - 249 | | 5 | | | |
| 250 - 299 | | 4 | | | |
| 300 - 349 | | 3 | | | |
| 350 - 399 | | 2 | | | |
| 400 - 499 | | 1 | | | |
| 500+ | | 0 | | | |
| Funding Over-Match (local match/project cost) minus minimum local match requirement | | | LOS Improvement Max Points: 25 | | |
| Range* | | Points | Calculation: LOS Imp x LOS Starting Pt. | | |
| 25+ | % | 5 | Existing LOS Starting Point | | |
| 20 - 24 | % | 4 | Range | | Points |
| 15 - 19 | % | 3 | 1.01+ | | 5 |
| 10 - 14 | % | 2 | .96 - 1.00 | | 4 |
| 5-9 | % | 1 | .91 - .95 | | 3 |
| 0-4 | % | 0 | .86-.90 | | 2 |
| | | | .81-.85 | | 1 |
| | | | | | |
| | | | LOS Improvement W/Project (exist. volume) | | |
| | | | Range | | Points |
| | | | .20+ | | 5 |
| | | | .16 - .19 | | 4 |
| | | | .1 - .15 | | 3 |
| | | | .05 - .09 | | 2 |
| | | | .01 - .05 | | 1 |
| | | | | | |
| *Range refers to % points above agency minimum requirement | | | Note: recommended changes shown in bold/red. | | |



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Section 7.2 – 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 Technical Steering Committee 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, right-of-way 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



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Eligible Activities

- Planning, environmental clearance
- Design (plans, specifications, and estimates)
- Right-of-way 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 right-of-way (eligible improvements up to 10 percent 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 right-of-way 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 right-of-way (inclusive of any temporary construction easements and/or right-of-way 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, right-of-way agreements) to justify the additional grading.

Ineligible Items

- Grading outside of the roadway right-of-way not related to a temporary construction easement or right-of-way agreement.



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- Right-of-way acquisition greater than the typical right-of-way width for the applicable MPAH Roadway Classification. Additional turn lanes not exceeding 12 feet in width needed to maintain an intersection LOS D requiring right-of-way in excess of the typical right-of-way width for the applicable MPAH classification shall be fully eligible. Where full parcel acquisitions are necessary to meet typical right-of-way requirements for the MPAH classification any excess parcels shall be disposed of in accordance with ~~the provisions of these guidelines and~~ 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 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 of the total eligible improvement cost) of an eligible improvement. Program participation shall not exceed 10 percent 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 right-of-way 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 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 considered an ineligible item.



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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 10). 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 right-of-way 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 ~~or current OCTA Traffic Flow Map data~~ 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



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“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. Regarding “current” OCTA Traffic Flow Map data, it is defined as counts provided 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, Average Annual Daily Traffic (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.

- Right-of-Way (All easements and titles) – applies where no right-of-way is needed for the project or where all right-of-way has been acquired/dedicated.
- Right-of-Way (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. Documentation of right-of-way possession will be required with application submittal.
- Final Design (PS&E) – applies where the jurisdiction’s City Engineer or other authorized person has approved the final design.
- Preliminary design (35 percent 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 (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 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 is pledged, points are earned for the 15 percent 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.



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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.

MPAH Needs Assessment Category: Segment designation as shown in the RCP Needs Assessment study.

Operational ~~Efficiencies~~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 (Class I or II) 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 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 volume/capacity– or v/c -- and LOS improvement "with project" using Intersection



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Capacity Utilization (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 current 24-hour traffic counts/turning movements (averaging AM/PM peaks) 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. These will be considered by the TAC and granted a technical variance on a case by case basis. 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 an 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 Chapter 9.

- 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
 - Right-of-way status and strategy for acquisitiona detailed plan for acquisition/disposal of excess right-of-way. The right-of-way acquisition/disposal plan must be submitted using the “right-of-way 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



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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.

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 Board for consideration and funding approval.

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 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.**



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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.

Pavement Management Supporting Documentation: The M2 Ordinance provides for a 10 percent reduction in the required local match if the agency can demonstrate a measurable improvement in PCI (1 point or greater) over the previous reporting period, or if the agency can demonstrate a PCI that is within the highest 20 percent of the scale (PCI of 75 or greater). If an agency is electing to take the 10 percent match rate reduction, supporting documentation indicating either the PCI improvement or PCI scale must be provided.

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 right-of-way 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 10 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. Right-of-way 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.

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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 11).

Proceeds from the sale of excess right-of-way acquired with program funding must be paid back to the project fund as described in Chapter 10 and the Master Funding Agreement.



TABLE 7-3

Regional Capacity Program Intersection Improvement

| | Category | Points Possible | Percentage | |
|-------------------------------|--------------------------------------|-------------------------|---------------------------|---------------------------|
| Facility Usage | Existing ADT | 15 | 15% | 20% 25% |
| | Current Project Readiness | 5 10 | 5% 10% | |
| Economic Effectiveness | Cost Benefit | 15 10 | 15% 10% | 25% 20% |
| | Funding Over-Match | 5 | 5% | |
| | Coordination with Contiguous Project | 5 | 5% | |
| Facility Importance | Transportation Significance | 5 | 5% | 30% |
| | MPAH Assessment Category | 10 5 | 10% 5% | |
| | Operational Efficiency | 15 20 | 15% 20% | |
| Benefit | LOS Improvement | 25 | 25% | 25% |
| TOTAL | | 100 | 100% | |



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Table 7-4
Point Breakdown for Intersection Capacity Enhancement Projects
Maximum Points = 100

| Facility Usage | | Points: 20 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 | |
| * Sum of AVG ADT for all four legs based upon OCTA Traffic Flow Map | | |
| Current Project Readiness | Max Points: 5-10 | |
| Range* | Points | |
| Environmental Approvals | 4 2 | |
| Preliminary Design (35%) | 4 2 | |
| Right Of Way (All offers issued) | 4 2 | |
| Final Design (PS&E) | 4 4 | |
| Right Of Way (All easement and titles) | 3 5 | |
| Points are additive, Design and ROW limited to highest qualifying designation | | |
| Economic Effectiveness | | Points: 25 20 |
| Cost Benefit (Total \$/ADT) | | |
| Range* | Points | |
| <40 | 45 | |
| 41- 20 <10 - 20 | 42 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 | |
| 5-9 % | 1 | |
| 0-4 % | 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 | 5 | |
| Major | 4 | |
| Primary | 3 | |
| Secondary | 2 | |
| Collector | 1 | |
| MPAH Assessment Category | | |
| Range | Points | |
| Category 1 | 10 5 | |
| Category 2 | 8 4 | |
| Category 3 | 6 3 | |
| Category 4 | 4 2 | |
| Category 5 | 2 1 | |
| Operational Attributes (within the roadway) | Max Points: 15-20 | |
| Grade separations | 10 | |
| Bus turnouts | 4 | |
| Bike lanes | 4 | |
| Ped. facilities (new) | 4 | |
| Free right | 4 | |
| Low ers density | 3 | |
| Channels traffic | 3 | |
| Protected/Permissive left turn | 2 | |
| Water Conservation Elements | - 2 | |
| Safety Improvements | - 2 | |
| Sustainability | - 2 | |
| Benefit: | | Points: 25 |
| LOS Improvement | Max Points: 25 | |
| Calculation: LOS Imp x LOS Starting Pt. | | |
| Existing LOS (Peak Hour) | | |
| Range | Points | |
| 1.01+ | 5 | |
| .96 - 1.00 | 4 | |
| .91 - .95 | 3 | |
| .86-.90 | 2 | |
| .81 - .85 | 1 | |
| LOS Reduction W/Project (exist. volume) | | |
| Range | Points | |
| .20+ | 5 | |
| .16 - .19 | 4 | |
| .10 - .15 | 3 | |
| .05 - .09 | 2 | |
| .01 - .05 | 1 | |

Note: recommended changes shown in bold/red.

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Section 7.3 – 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
- Provide timely investment of M2 revenues

Project Participation Categories

The FAST category provides capital improvement funding (including planning, design, right-of-way 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
- Right-of-way acquisition
- Construction (including ramps, intersection and structural improvements/reconstruction incidental to project)
- Signal equipment (as incidental component of the program)



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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 right-of-way (eligible improvements up to 10 percent 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 right-of-way settlement agreement
- Utility relocation where the serving utility has prior rights as evidenced by a recorded legal document
- Roadway grading within the right-of-way should not to exceed a depth for normal roadway excavation (e.g. structural section) or as required by temporary construction easements, and/or right-of-way 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 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 of the total eligible improvement cost) of an eligible improvement. Program participation shall not exceed 10 percent 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 right-of-way 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.



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Soundwalls are eligible only if they are required as part of the environmental mitigation for the proposed project and shall not exceed 25 percent of the total eligible project cost. Aesthetic enhancements and landscaping in excess of minimum environmental mitigation requirements are ~~subject to limitations described in this section above~~ eligible at up to 10 percent 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 temporary construction easements). OCTA assumes rough roadway grading is complete prior to project start and is considered an ineligible item.

Utility Relocations

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

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

Liability can be determined by property rights, franchise rights/agreements, state and local statutes/ordinances, permits, a finding by the local agency's counsel, or other recorded legal document. Documentation providing proof of the local agency's liability for the costs of utility relocation must be submitted with an initial payment request (see Chapter 10). 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 right-of-way phase costs and clearly identified in the project application submittal. For eligible relocations to be performed during the construction phase by the local agency's contractor, the work should be included in the plans and specifications similar to other construction activities. Adjustment of existing utilities to grade (e.g. water valves, manhole frames and covers), due to new roadway cross sections are generally eligible in the construction phase.

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



Ineligible Projects

- Seismic retrofit projects (unless combined with eligible capacity enhancements)
- Enhanced landscaping and aesthetics (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 ~~or current OCTA Traffic Flow Map data~~ 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. ~~Regarding “current” OCTA Traffic Flow Map data, it is defined as counts provided 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, Average Annual Daily Traffic (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.

- Right-of-Way (all easements and titles) – applies where no right-of-way is needed for the project or where all right-of-way has been acquired/dedicated).
- Right-of-Way (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.



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- Final Design (PS&E) – applies where the jurisdiction's City engineer or other authorized person has approved the final design.
- Preliminary design (35 percent 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 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 is pledged, points are earned for the 15 percent 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.

MPAH Needs Assessment Category: Segment designation as shown in the RCP Needs Assessment study.

Operational 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



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- Sustainability Elements: Includes the use of recycled materials during the roadway construction process (recycled aggregate or rubberized asphalt) or the installation of solar lighting within the roadway cross section. Other elements of sustainability may be considered on a case by case basis.
- 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 volume/capacity– or v/c -- and LOS improvement "with project". **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/turning movements (averaging AM/PM peaks) 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. These will be considered by the TAC and granted a technical variance on a case by case basis. 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 an 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.



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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
 - Right-of-way status and ~~strategy for acquisition~~ a detailed plan for acquisition/disposal of excess right-of-way. The right-of-way acquisition/disposal plan must be submitted using the "right-of-way 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.

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 TAC and Board for consideration and funding approval.

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 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



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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 right-of-way 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 10.

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.

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



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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. Right-of-way 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 11).

Proceeds from the sale of excess right-of-way acquired with program funding must be paid back to the project fund as described in Chapter 10 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-



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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.

Pavement Management Supporting Documentation: The M2 Ordinance provides for a 10 percent reduction in the required local match if the agency can demonstrate a measurable improvement in PCI (1 point or greater) over the previous reporting period, or if the agency can demonstrate a PCI that is within the highest 20 percent of the scale (PCI of 75 or greater). If an agency is electing to take the 10 percent local match rate reduction, supporting documentation indicating either the PCI improvement or PCI scale must be provided.

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 Improvements

| | Category | Points Possible | Percentage |
|-------------------------------|-----------------------------------|------------------|--------------------|
| Facility Usage | Existing ADT | 10 | 10% |
| | Current Project Readiness | 10 | 10% |
| Economic Effectiveness | Cost Benefit | 10 | 10% |
| | Matching Funds | 10 | 10% |
| | Coordination with Freeway Project | 5 | 5% |
| Facility Importance | Transportation Significance | 5 | 5% |
| | MPAH Assessment Category | 40 5 | 40% 5% |
| | Operational Efficiencies | 40 15 | 40% 15% |
| Benefit | Existing LOS | 10 | 10% |
| | LOS Reduction W/Project | 10 | 10% |
| | Improvement Characteristics | 10 | 10% |
| TOTAL | | 100 | 100% |



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Table 7-4

Point Breakdown for Freeway/Arterial Street Transitions Program
Maximum Points = 100

| Facility Usage | | Points: 20 | |
|---|---------|------------|-----------|
| ADT (Arterial plus daily exist volume) | | Points | |
| range | | | |
| 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 | |
| Current Project Readiness | Max. 10 | | |
| range | Points | | |
| Right Of Way (All easement and titles) | 6 | | |
| Right Of Way (All offers issued) | 4 | | |
| Final Design (PS&E) | 3 | 4 | |
| PA/ED | 2 | | |
| Project Study Report or Equiv. | 1 | | |
| Points are additive, ROW is highest qualifying designation | | | |
| Economic Effectiveness | | Points: 25 | |
| Cost Benefit (Total \$/ADT) | | Points | |
| range | | | |
| <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 | | Points | |
| range | | | |
| 30+ % | | 10 | |
| 25-29 % | | 8 | |
| 20-24 % | | 6 | |
| 15-19 % | | 4 | |
| 10-14 % | | 2 | |
| 0-9 % | | 1 | |
| Range refers to % points above agency min. req. | | | |
| Coordination with Freeway Project | | Points | |
| Range | | | |
| yes | | 5 | |
| no | | 0 | |
| Note: recommended changes shown in bold/red. | | | |
| Facility Importance | | Points: 25 | |
| Transportation Significance | | Points | |
| range | | | |
| Principal or CMP Route | | 5 | |
| Major | | 4 | |
| Primary | | 3 | |
| Secondary | | 2 | |
| Collector | | 1 | |
| MPAH Assessment Category | | Points | |
| range | | | |
| Category 1 | 40 | 5 | |
| Category 2 | 8 | 4 | |
| Category 3 | 6 | 3 | |
| Category 4 | 4 | 2 | |
| Category 5 | 2 | 1 | |
| Operational Attributes (within the roadway) | | Max. 40 | 15 |
| | | Points | |
| Eliminate left turn conflict | | 3 | |
| Coordinated signal | | 2 | |
| Add turn lanes | | 3 | |
| Add traffic Control | | 1 | |
| Enhanced ramp storage | | 3 | |
| Pedestrian Facilities (New) | | 3 | |
| Water Conservation Elements | | - | 2 |
| Safety Improvements | | - | 2 |
| Sustainability | | - | 2 |
| Benefit | | Points: 30 | |
| LOS Improvement | | Max: 20 | |
| Calculation: Ave LOS Imp + Ave LOS Starting Pt. | | | |
| LOS Reduction W/Project (exist. volume) | | Points | |
| range | | | |
| .20+ | | 10 | |
| .16-.19 | | 8 | |
| .1-.15 | | 6 | |
| .05-.09 | | 4 | |
| <.05 | | 2 | |
| Existing LOS | | Points | |
| range | | | |
| 1.06+ | | 10 | |
| 1.01 - 1.05 | | 8 | |
| .96 - 1.00 | | 6 | |
| .91 - .95 | | 4 | |
| .86-.90 | | 2 | |
| .81 - .85 | | 1 | |
| Improvement Characteristics | | Points | |
| New facility (full interchange) | | 10 | |
| New facility (partial interchange) | | 8 | |
| Interchange reconstruction | | 6 | |
| Ramp reconfiguration | | 4 | |
| Ramp metering | | 2 | |



Chapter 7 – Regional Capacity Program

Section 7.4 – Regional Grade Separation Program (RGSP)

Background

Seven rail crossing projects along the Master Plan of Arterial Highways (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 Regional Capacity Program funds to be allocated from M2. The RGSP captures these prior funding commitments.

Future calls for projects for grade separations are not anticipated.



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Chapter 8 – Regional Traffic Signal Synchronization Program



Overview

The Project P/ Regional Traffic Signal Synchronization Program (RTSSP) includes competitive funding for the coordination of traffic signals across jurisdictional boundaries in addition to 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

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" dated April 2014. 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
- ~~2015-2016~~ 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.

Chapter 8 – Regional Traffic Signal Synchronization Program



Section 8.1 – Funding Guidelines

Objectives

- Synchronize traffic signals across jurisdictions
- Monitor and regularly improve the synchronization
- Synchronize signals on a corridor basis reflecting existing traffic patterns

Project Definition

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

Projects must consist of a corridor along the priority corridor network, signal synchronization network, or the Master Plan of Arterial Highways (MPAH). Projects previously awarded RTSSP funding must be complete with a final report submitted and approved by OCTA. Projects can be the full length of the corridor or a segment that complies with the project requirements identified later in the chapter. Communication system improvements that directly benefit signal synchronization along the project corridor limits, but are not physically within the project corridor, are eligible for inclusion in a project.

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

Eligible Activities

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

- Signal Coordination
 - Developing and implementing new signal synchronization timing and parameters based on current travel patterns
 - Monitor (minimum quarterly/maximum monthly) and regularly improve the signal synchronization timing and parameters after project signal timing is implemented for remainder of the project

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- “Before” and “after” studies for the project using travel times, average speeds, green lights to red lights, average stops per mile, and 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, with the exception of communications that are installed from a central location to the project corridor. All improvements must be designed to enhance the specific project. The following are a list of potentially eligible items as part of a signal coordination project:

- New or upgraded detection
 - Upgrade detection along the signal synchronization corridors to ensure necessary conditions for signal synchronization: inductive loops, video detection, other types of detection systems
- New or upgraded communication systems
 - Contemporary communication system improvements (e.g. Ethernet)
 - Replacement fiber optic or copper cabling for network communication
 - Software and hardware for system traffic control
 - Control and monitoring interconnect conduit (including upgrades or replacement of existing systems)
- Communications and detection support
 - Monitor, maintain, and repair communication and detection along synchronized corridors to ensure necessary conditions for signal synchronization including interconnect and communications equipment
- Intersection/field system modernization and replacement
 - Traffic signal controller replacement of antiquated units
 - Controller cabinet replacements that can be shown to enhance signal synchronization
 - Closed circuit television (CCTV)
 - Uninterruptible power supply (UPS) for field equipment
- Minor signal operational improvements (new)
 - Emergency vehicle preempt (signal equipment only)
 - Transit signal priority (signal equipment only)
 - Channelization improvements required for traffic signal phasing but not requiring street construction

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- Traffic signal phasing improvements that will improve traffic flow and system performance including protective permissive left turns
 - Improvements to comply with new federal or state standards for traffic signal design as related to signal synchronization
 - Pedestrian countdown heads
- Traffic management center (TMC)/traffic operations centers (TOC) and motorist information
 - New TMCs or TOCs (any project funded under this category must be planned or built to be center-to-center communication “ready” with nearby agencies and/or OCTA)
 - Upgrades to existing TMCs or TOCs (any project funded under this category must be planned or built to be center-to-center communication “ready” with nearby agencies and/or OCTA)
 - Motorist information systems (up to 10 percent of total project costs)
 - Video display equipment, including wall monitors, screens, mounting cabinets, and optical engines (up to 10 percent of total project costs)
- Real-time traffic actuated operations and demonstration projects
 - Adaptive traffic signal systems
- Caltrans encroachment permits
 - Includes eligible Caltrans labor, capital, and permitting expenses
- Active Transportation/Pedestrian Safety related elements
 - Installation of new traffic control devices to improve the accessibility, mobility and safety of the facility for pedestrians and bicyclists
 - Improvements to existing traffic control devices to improve the accessibility, mobility and safety of the facility for pedestrians and bicyclists

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

Ineligible Expenditures

- Isolated traffic signal improvements
- Traffic hardware (pole, mast arms, lights, electrical, signs, etc.)
- Regular signal operation and maintenance (such as replacement of light bulbs)
- Field display equipment (signal heads)
- Feasibility studies
- Relocation of utilities

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- Battery backup systems for TMC
- Right-of-way

Funding Estimates

The streets and roads component of M2 is to receive 32 percent of net revenues, 4 percent 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 \$60,000 per signal or \$200,000 per project corridor mile included as part of each project (whichever is higher) has been established for the call for projects.

Selection Criteria

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

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

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

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

| Cost Benefit: Total project cost divided by Existing VMT . (maximum: ~~15~~10 points)

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

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Transportation Significance: Points are earned based on the corridor being on the priority corridor network or the signal synchronization network. (maximum: 10 points)

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

Project Scale: Points are earned for including more intersections along priority corridor network, signal synchronization network, or serving as a signal corridor "gap closure" or MPAH as part of the project. (maximum: 10 points)

Number of Local Agencies: Points are earned for including multiple local agencies as part of the project. (maximum: 20 points)

Current Project Readiness: Points are earned based on the ~~start date~~current status of the project development. (maximum: ~~5-10~~ points)

Funding Rate: The percentages shown in Table 8-1 apply to match rates above a local agency's minimum match requirement. M2 requires a 20 percent local match for RTSSP projects. Project match rates above 20 percent is limited to dollar match only. (maximum: 5 points)

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Table 8-1
Point Breakdown for Regional Traffic Signal Synchronization Projects
Maximum Points = 100

| <p>Vehicle Miles Travelled (VMT) Points: 20</p> <table> <tr> <th>VMT Range</th><th>Points</th></tr> <tr> <td>250+ thousand</td><td>20</td></tr> <tr> <td>200 - 249 thousand</td><td>15</td></tr> <tr> <td>150 - 199 thousand</td><td>10</td></tr> <tr> <td>100 - 149 thousand</td><td>6</td></tr> <tr> <td>50 - 99 thousand</td><td>3</td></tr> <tr> <td>0 - 49 thousand</td><td>1</td></tr> </table> <p>Calculation: ADT x segment length (Applies only to coordinated segments of project)</p> | 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 | <p>Project Scale Points: 10</p> <table> <tr> <th>Number of Signals Coordinated by Project Range</th><th>Points</th></tr> <tr> <td>50+</td><td>5</td></tr> <tr> <td>40 - 49</td><td>4</td></tr> <tr> <td>30 - 39</td><td>3</td></tr> <tr> <td>20 - 29</td><td>2</td></tr> <tr> <td>10 - 19</td><td>1</td></tr> <tr> <td>< 10</td><td>0</td></tr> </table> <p>AND</p> <table> <tr> <th>Percent of Corridor Signals Being Retimed Range</th><th>Points</th></tr> <tr> <td>90% or above</td><td>5</td></tr> <tr> <td>80 - 89%</td><td>4</td></tr> <tr> <td>70 - 79%</td><td>3</td></tr> <tr> <td>60 - 69%</td><td>2</td></tr> <tr> <td>50 - 59%</td><td>1</td></tr> <tr> <td>< 50%</td><td>0</td></tr> </table> <p>Calculation: Number of signals in project divided by total signals in full corridor length</p> | Number of Signals Coordinated by Project Range | Points | 50+ | 5 | 40 - 49 | 4 | 30 - 39 | 3 | 20 - 29 | 2 | 10 - 19 | 1 | < 10 | 0 | Percent of Corridor Signals Being Retimed Range | Points | 90% or above | 5 | 80 - 89% | 4 | 70 - 79% | 3 | 60 - 69% | 2 | 50 - 59% | 1 | < 50% | 0 | | |
|--|------------------------------------|---------|----------------------------------|-------|--|------|---------------------------|------|---|-----|---|-----------------|----------------------------------|------|---|--|--------------------------------------|----------|--|----------------|---------|----------------------------------|---|--|--------|---------------------------------|----|------------------|----|---|--------|--------------|---|----------|---|---|-------|----------|----|----------|----|----------|---|-------|---|
| 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 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Number of Signals Coordinated by Project Range | Points | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 50+ | 5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 40 - 49 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 30 - 39 | 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 20 - 29 | 2 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 10 - 19 | 1 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| < 10 | 0 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Percent of Corridor Signals Being Retimed Range | Points | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 90% or above | 5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 80 - 89% | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 70 - 79% | 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 60 - 69% | 2 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 50 - 59% | 1 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| < 50% | 0 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>Economic Effectiveness Points: 15 10</p> <table> <tr> <th>Cost Benefit (Total \$/VMT) Range*</th><th>Points</th></tr> <tr> <td>< 3</td><td>15 10</td></tr> <tr> <td>3 - 5</td><td>13 9</td></tr> <tr> <td>6 - 8</td><td>11 8</td></tr> <tr> <td>9 - 11</td><td>9 7</td></tr> <tr> <td>12 - 14</td><td>7 6</td></tr> <tr> <td>15 - 17</td><td>5</td></tr> <tr> <td>18 - 20</td><td>3 4</td></tr> <tr> <td>21 - 23</td><td>2 3</td></tr> <tr> <td>24 - 26</td><td>1 2</td></tr> <tr> <td>27+</td><td>0 1</td></tr> </table> | Cost Benefit (Total \$/VMT) Range* | Points | < 3 | 15 10 | 3 - 5 | 13 9 | 6 - 8 | 11 8 | 9 - 11 | 9 7 | 12 - 14 | 7 6 | 15 - 17 | 5 | 18 - 20 | 3 4 | 21 - 23 | 2 3 | 24 - 26 | 1 2 | 27+ | 0 1 | <p>Number of Jurisdictions Points: 20</p> <table> <tr> <th>Total Number of Involved Jurisdictions Range</th><th>Points</th></tr> <tr> <td>5 or more</td><td>20</td></tr> <tr> <td>4</td><td>16</td></tr> <tr> <td>3</td><td>12</td></tr> <tr> <td>2</td><td>8</td></tr> <tr> <td>1</td><td>0</td></tr> </table> <p>OR</p> <table> <tr> <th>% of Priority Corridor Jurisdictions Involved Range</th><th>Point</th></tr> <tr> <td>100%</td><td>20</td></tr> <tr> <td>75 - 99%</td><td>12</td></tr> <tr> <td>50 - 75%</td><td>6</td></tr> <tr> <td>< 50%</td><td>0</td></tr> </table> | Total Number of Involved Jurisdictions Range | Points | 5 or more | 20 | 4 | 16 | 3 | 12 | 2 | 8 | 1 | 0 | % of Priority Corridor Jurisdictions Involved Range | Point | 100% | 20 | 75 - 99% | 12 | 50 - 75% | 6 | < 50% | 0 |
| Cost Benefit (Total \$/VMT) Range* | Points | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| < 3 | 15 10 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 3 - 5 | 13 9 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 6 - 8 | 11 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 9 - 11 | 9 7 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 12 - 14 | 7 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 15 - 17 | 5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 18 - 20 | 3 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 21 - 23 | 2 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 24 - 26 | 1 2 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 27+ | 0 1 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total Number of Involved Jurisdictions Range | Points | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5 or more | 20 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 4 | 16 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 3 | 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 1 | 0 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| % of Priority Corridor Jurisdictions Involved Range | Point | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 100% | 20 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 75 - 99% | 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 50 - 75% | 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| < 50% | 0 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>Project Characteristics Points: 10</p> <table> <tr> <th>Project Feature</th><th>Points</th></tr> <tr> <td>TMC/TOC and motorist information</td><td>2</td></tr> <tr> <td>New or upgraded communications systems</td><td>2</td></tr> <tr> <td>New or upgraded detection</td><td>2</td></tr> <tr> <td>Intersection/field system modernization</td><td>2</td></tr> <tr> <td>Minor signal operational improvements</td><td>2</td></tr> <tr> <td>New Protected/Permissive signals</td><td>3</td></tr> <tr> <td>Adaptive traffic and demonstration projects</td><td>3</td></tr> <tr> <td>TMC/CMC Connections between agencies</td><td>- 3</td></tr> </table> <p>Points are additive to maximum of 10 points</p> | Project Feature | Points | TMC/TOC and motorist information | 2 | New or upgraded communications systems | 2 | New or upgraded detection | 2 | Intersection/field system modernization | 2 | Minor signal operational improvements | 2 | New Protected/Permissive signals | 3 | Adaptive traffic and demonstration projects | 3 | TMC/CMC Connections between agencies | - 3 | <p>Current Project Readiness Points: 5 10</p> <table> <tr> <th>Project Status</th><th>Points*</th></tr> <tr> <td>Preliminary Engineering Complete</td><td>- 5</td></tr> <tr> <td>Re-timing of prior RTSSP project</td><td>- 3</td></tr> <tr> <td>Implementation within 12 months</td><td>5</td></tr> <tr> <td>Within 24 months</td><td>3</td></tr> <tr> <td>Within 36 months</td><td>1</td></tr> </table> | Project Status | Points* | Preliminary Engineering Complete | - 5 | Re-timing of prior RTSSP project | - 3 | Implementation within 12 months | 5 | Within 24 months | 3 | Within 36 months | 1 | | | | | | | | | | | | | | |
| Project Feature | Points | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| TMC/TOC and motorist information | 2 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| New or upgraded communications systems | 2 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| New or upgraded detection | 2 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Intersection/field system modernization | 2 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Minor signal operational improvements | 2 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| New Protected/Permissive signals | 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Adaptive traffic and demonstration projects | 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| TMC/CMC Connections between agencies | - 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Project Status | Points* | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Preliminary Engineering Complete | - 5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Re-timing of prior RTSSP project | - 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Implementation within 12 months | 5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Within 24 months | 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Within 36 months | 1 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>Transportation Significance Points: 10</p> <table> <tr> <th>Corridor Type</th><th>Points*</th></tr> <tr> <td>Priority Corridor</td><td>10</td></tr> <tr> <td>Signal Synchronization Corridor</td><td>5</td></tr> <tr> <td>Corridor "Gap Closure"</td><td>- 5</td></tr> <tr> <td>Local TSSP Route / MPAH</td><td>0</td></tr> </table> | Corridor Type | Points* | Priority Corridor | 10 | Signal Synchronization Corridor | 5 | Corridor "Gap Closure" | - 5 | Local TSSP Route / MPAH | 0 | <p>Funding Match Points: 5</p> <table> <tr> <th>Overall Match %</th><th>Points</th></tr> <tr> <td>50+%</td><td>5</td></tr> <tr> <td>40 - 49%</td><td>4</td></tr> <tr> <td>35 - 39%</td><td>3</td></tr> <tr> <td>30 - 34%</td><td>2</td></tr> <tr> <td>25 - 29%</td><td>1</td></tr> <tr> <td><25%</td><td>0</td></tr> </table> | Overall Match % | Points | 50+% | 5 | 40 - 49% | 4 | 35 - 39% | 3 | 30 - 34% | 2 | 25 - 29% | 1 | <25% | 0 | | | | | | | | | | | | | | | | | | | | |
| Corridor Type | Points* | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Priority Corridor | 10 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Signal Synchronization Corridor | 5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Corridor "Gap Closure" | - 5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Local TSSP Route / MPAH | 0 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Overall Match % | Points | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 50+% | 5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 40 - 49% | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 35 - 39% | 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 30 - 34% | 2 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 25 - 29% | 1 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <25% | 0 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>Maintenance of Effort Points: 5</p> <table> <tr> <th>MOE after Grant Period</th><th>Points</th></tr> <tr> <td>3 years</td><td>5</td></tr> <tr> <td>2 years</td><td>3</td></tr> <tr> <td>1 year</td><td>1</td></tr> <tr> <td>None</td><td>0</td></tr> </table> <p>* Points are additive to category maximum</p> | MOE after Grant Period | Points | 3 years | 5 | 2 years | 3 | 1 year | 1 | None | 0 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| MOE after Grant Period | Points | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 3 years | 5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 years | 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 1 year | 1 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| None | 0 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Note: recommended changes shown in bold/red.

Chapter 8 – Regional Traffic Signal Synchronization Program



Application Process

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

- Funding needs by phase and fiscal year
- Percent match rate including funds type, source, and description (minimum 20 percent)
- Lead agency Option 1 (default – local agency) or Option 2 (OCTA)
- Lead and supporting agencies names
- Supporting technical information
- Project development and implementation schedule
- Environmental clearances and other permits
- Any additional information deemed relevant by the applicant
- Complete photographic field review (including cabinet interiors and communication facilities) for all projects that either exceed one million dollars in capital improvements or request OCTA serve as lead agency regardless of capital improvement budget.

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.

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.

Application Instructions

An application should be submitted for a single corridor project. Multiple corridors, related systems of corridors, and corridors that form a “grid” must be submitted as separate corridor projects. The following instructions should be used in developing project applications.

Chapter 8 – Regional Traffic Signal Synchronization Program



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:

- Vehicle Miles Traveled
- Cost Benefit
- Project Characteristics
- Transportation Significance
- Maintenance of Effort
- Project Scale
- Number of Local agencies
- Current Project Readiness
- Funding Match Rate

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 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 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 priority corridor network, 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

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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 priority corridor or signal synchronization network corridor, or MPAH corridor

Matching Funds

Local agencies along the corridor are required to provide minimum local match funding of 20 percent 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. Staff time charged to a project is limited to the caps as described in these guidelines. Allowable signal system investment would be improvements that are “eligible activities” per the funding guidelines, which can be shown to improve signal synchronization and would not include any prior investments made by the agency.

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

| 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 |
| Traffic management center/traffic operations centers and motorist information systems | Cash match |

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| | |
|--|------------|
| Real-time traffic actuated operations and demonstration projects | Cash match |
|--|------------|

* Project match beyond 20 percent is limited to cash match only.

** In-kind services are subject to audit.

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

- Staffing commitment
 - Staff position
 - Number of hours
 - Hourly (fully burdened) rate
 - Total cost
- New signal system investment
 - Cost of any signal system investment
 - Benefit to project

Projects submitted as OCTA led require a 20 percent cash match for Primary Implementation activities with a nominal in-kind allowance for local agency oversight. Operations and Maintenance activities will be permitted in-kind match only for local agency oversight functions. Contract activities will require cash match.

OCTA staff will review in detail the presented cash and in-kind match by local agency for reasonableness. Additional requirements on in-kind match as part of the upcoming call are provided in Section 8.2.

Other Application Materials

Supporting documentation is required to fully consider each project application. A Supplemental Application Template is required to be completed for each project application. 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: Lead agency for the project must be identified: local agency or OCTA.

Participating Agencies: All participating agencies must be identified and adopted City Council resolutions or Minute Order actions authorizing the participating agency's support

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

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

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

Lead Agency

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

Local Agency Lead: Only the lead agency will receive payments in accordance with the CTFP Guidelines regarding payment for costs related to project for optimized signal timing development, capital improvements, planning, and related design. Payments will be disbursed consistent with Chapter 10. 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: OCTA may, at the request of the involved local agencies, act as the lead agency for RTSSP projects. If the involved local agencies would like OCTA to implement a project on the signal synchronization network, the local agency shall work cooperatively with OCTA to develop the scope of work and cost elements of the project. The lead local agency shall contact OCTA with a written request by September 11, 2015. Projects nominated for OCTA lead must be discussed at the Traffic Forum. **Applications must include a complete photographic field review (as outlined above) when submitted.** The

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application will be scored using the criteria outlined in the previous sections. Based on local agency interest and OCTA resource availability, a limited number of projects will be developed and implemented by OCTA. Recent calls have resulted in OCTA implementing seven projects per year.

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).

Additionally, for projects designating OCTA as lead agency, a consultant traffic engineering firm will 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 should be limited. The following will be used as a guide for staffing commitment, when the local agency develops the application:

- Primary Implementation (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 Maintenance and Monitoring (24 months) - Each local agency 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 of

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Ongoing Maintenance and Monitoring. In addition, each local agency traffic engineer or equivalent reviews consultant developed draft and final project 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, Ongoing Maintenance and Monitoring 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).

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 Notice to Proceed (NTP) while combining contracts for both the PI and O & M phases. NTP requirement should be identified in the initial contract/agreement to avoid obligation of both phases at the same time. If this procedure is followed by the local agency the NTP date will be considered the date of encumbrance for the O & M phase.

Audits

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

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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 collected as part of any funded project shall be provided to OCTA in one of the two following digital formats: 1) 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 in the ROADS database. OCTA shall provide a listing of intersections and corresponding unique node ID numbers. Each count data file shall adhere to the following file naming or csv. As an example, a turning movement count file for the intersection of Harbor Boulevard and Wilson Street in Costa Mesa would be given the filename CostaMesa_Harbor-Wilson_4534.csv.

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 6 csv Universal Traffic Data Format (UTDF) format and version 7 combined data UTDF format. This data shall include the network layout, node, link, lane, volume, timing, and phase data for all coordinated times. All such data shall be consistent with the OCTA ROADS database.

Section 8.2 – ~~2015-2016~~ Call for Projects

The following information provides an overview of the ~~2015-2016~~ RTSSP Call for Projects.

1. For this RTSSP Call for Projects, projects totaling up to \$~~12~~ million in M2 funds will be available to local agencies.
2. Projects must result in new, optimized, and field-implemented coordination timing.
3. Project must be a single contiguous corridor. Multiple corridors, related systems of corridors, and corridors that form a “grid” must be submitted as separate corridor projects.
4. Projects selected will be programmed after July 1 of the programmed year (July 1 – June 30).

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5. Project delays resulting in a time extension request will fall within the process outlined in the CTFP Guidelines.
6. Projects are funded for a grant period of three (3) years and are divided into two phases:
 - a. Primary Implementation – includes the required implementation of optimized signal timing as well as any signal improvements proposed as part of a project. As an exception to Precept 16, Primary Implementation of the project must be completed within one (1) year of the initial payment.
 - b. Ongoing Maintenance and Operations – includes the required monitoring and improving optimized signal timing in addition to any optional communications and detection support. Ongoing Maintenance and Operations will begin after the optimized signal timing is implemented and be required for the remainder of the project (typically 2 Years). A project final report is required at the conclusion of this phase.
7. Projects shall include a Before and After Study. This study shall collect morning and evening peak period using travel times, average speeds, green lights to red lights, stops per mile, and the derived corridor system performance index (CSPI) metric. This information shall be collected both before any signal timing changes have been made and after the Primary Implementation. The study shall compare the information collected both before and after the timing changes. Comparisons shall identify the absolute and percent differences for the entire corridor, by segment, direction, and time period. Segments will be defined by major traffic movements as observed during the project (e.g. commuting segments between freeways, pedestrian-friendly segments in a downtown area, etc.). The Before and After Study shall be submitted after the Primary Implementation phase is completed.
8. 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.
9. Section 8.1 identifies the selection criteria for projects, eligible activities, minimum project requirements, data compatibility required as part of any funded project, and other key information.

Applications

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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 Friday, October 23, 2015**. Late submittals will not be accepted. The local agency responsible for the project application must submit the application and any supporting documentation via OCFundtracker as outlined below.

Project Submittal

A separate application package must be completed for each individual project and uploaded to OCFundtracker. **Three (3) unbound printed copies** 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: Roger Lopez

Application Review and Program Adoption

1. 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.
2. The TSC will receive and evaluate the project applications and funding grants.
3. Based on recommendations from the TSC, a program will be presented to the TAC for review and endorsement.
4. Recommendations from the TAC will be presented to the Board, who will approve projects for funding under the CTFP.
5. 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).

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Checklist Guide

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

Sample Resolution Form

A resolution or minute action must be approved by the local agency's governing body. A sample resolution is included as Exhibit 8-2. 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.

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Exhibit 8-1

Project P Regional Traffic Signal Synchronization Program Application Checklist

| Project P Application Checklist | Included |
|---|----------|
| RTSSP Online Application – submitted through OCFundTracker | |
| <ol style="list-style-type: none"> 1. Vehicle Miles Traveled 2. Benefic Cost Ratio 3. Project Characteristics 4. Transportation Significance 5. Maintenance of Effort 6. Project Scale 7. Number of Jurisdictions 8. Current Project Readiness 9. Funding Over-Match | |
| Section 1: Key technical information <ol style="list-style-type: none"> a. Project limits of the corridor to synchronize b. Designation of the corridor to synchronize: priority corridor, signal synchronization network corridor, or master plan of arterial highways corridor c. Project start date and end date, including any commitment to operate signal synchronization beyond the three year grant period d. Signalized intersections that are part of the project e. Traffic Forum members | |
| Section 2: Lead agency | |
| Section 3: Resolutions of support from the project's Traffic Forum members | |
| Section 4: Preliminary plans for the proposed project <p>The plans shall include details about both phases of the project: <u>Primary Implementation</u> and the <u>Ongoing Maintenance and Operation</u>. The plan should be organized using the following setup.</p> <p><u>Primary Implementation</u> shall include details about the following:</p> <ol style="list-style-type: none"> a. Developing and implementing optimized signal synchronization timing (required) b. Producing a Before and After Study for the proposed project (required) c. Proposed signal improvements (optional): <ol style="list-style-type: none"> i. New or upgraded detection ii. New or upgraded communication systems iii. Intersection/field system modernization and replacement iv. Minor signal operation improvements v. Traffic management centers vi. Real-time traffic actuated operations and demonstration projects <p><u>Ongoing Maintenance and Operation</u> will begin after the <u>Primary Implementation</u> of the project is completed. It shall include details about the following:</p> <ol style="list-style-type: none"> a. Monitoring and improving optimized signal timing (required) b. Communications and detection support (optional) | |
| Section 5: Total Proposed Project Cost by Task | |
| Section 6: Project Schedule by Task for the 3 Year Grant Period | |
| 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 | |

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EXHIBIT 8-2

Sample Resolution for Candidate Orange County Regional Transportation 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 Transportation 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.
- (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 Signal Synchronization Program. Said funds 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):



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Project Submittal

RCP and RTSSSP calls for projects are planned annually. A separate application package must be completed for each individual project and uploaded to OCFundtracker. Only one application may be submitted for each individual project. Multiple variations of the same application (e.g. with different local match rates) will not be considered. **Three (3) unbound copies** of each application should also be mailed to:

OCTA
Attention: Roger Lopez
550 S. Main Street
P.O. Box 14184
Orange, CA 92863-1584

Hardcopy applications can be hand delivered to:

Attention: Roger Lopez
600 S. Main Street
Orange, CA 92868

Application Review and Program Adoption

1. 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.
2. The TSC will receive and evaluate the project applications and funding grants.
3. Based on recommendations from the TSC, a program will be presented to the TAC for review and endorsement.
4. Recommendations from the TAC will be presented to the Board, who will approve projects for funding under the CTFP.



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5. OCTA shall distribute copies of the approved program to all participating local agencies with any qualifying conditions stipulated for the jurisdiction's funded project(s).

Project Guidelines

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 right-of-way 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. Right-of-way 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.



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Application Instructions

A single application should be submitted for each phase of a project. **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.** Final applications **MUST** be submitted via OCFundtracker and in hard copy format.

Checklist Guide

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 9-1, 9-2, and 9-3). 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 should be provided as a cover sheet for **each** application submitted. For any items that are required for the candidate project or program that are missing or incomplete, an explanation should be included in a cover letter with the application. 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.

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. Right-of-way cost estimate should include parcel information (including project area needed), improvements taken, severance damages, right-of-way engineering, appraisal and legal costs. Construction should include a listing



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of all bid items including a maximum 10 percent allowance for contingencies and a maximum 15 percent 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 9-4. 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.**

Pavement Management Supporting Documentation

The M2 Ordinance provides for a 10 percent reduction in the required local match if the agency can demonstrate a measurable improvement in PCI (1 point or greater) over the previous reporting period, or if the agency can demonstrate a PCI that is within the highest 20 percent of the scale (PCI of 75 or greater). If an agency is electing to take the 10 percent match rate reduction, supporting documentation indicating either the PCI improvement or PCI scale must be provided.

Right-of-way Acquisition/Disposal Plan

For all projects requesting right-of-way phase funding, a detailed plan for acquisition/disposal of excess right-of-way, along with any reasonable labor costs expected, must be included. The right-of-way acquisition/disposal plan and labor cost estimate must be submitted using the "right-of-way acquisition/disposal plan" form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.



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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.**

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 right-of-way (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.



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- 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. ~~In lieu of current traffic counts, current OCTA Traffic Flow Map data for the proposed segment will be used, provided it has been updated based on local agency provided counts within the preceding 36 months.~~ Projects submitted without “current counts” will be considered incomplete and non-responsive.



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Exhibit 9-1 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
- Peak Hour Turning Movement 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)
- ~~Potential-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*

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*

NOTE: To qualify for the 10 percent local match discount for measureable 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.



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Exhibit 9-2 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 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)
- ~~Potential-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*

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*

NOTE: To qualify for the 10 percent local match discount for measureable 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.



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Exhibit 9-3 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 and LOS Calculations
- 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)
- ~~Potential~~ 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*

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*

NOTE: To qualify for the 10 percent local match discount for measureable 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.



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Exhibit 9-4
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 provide a minimum in __% in matching funds for the _____ project as required by the Orange County Comprehensive Transportation Funding Programs Guidelines; and

(e) WHEREAS, the Orange County Transportation Authority intends to allocate funds for transportation improvement projects within the incorporated cities and the County; and

(f) WHEREAS, the City of _____ will not use M2 funds to supplant Developer Fees or other commitments; and

(g) 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.

(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.

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 Programs. Said funds 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



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Chapter 10 – 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 for one parcel of right-of-way, or by providing expense reports 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.⁴

OCTA will release funds through two payments. The initial payment will provide up to 75 percent of the contract award or programmed amount, whichever is less. OCTA will disburse the final payment, 25 percent of eligible funds, after it approves the final report.

For situation 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 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 threshold is reached (See Precept 32).

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 33). 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 project completion date refers to the date all final invoices have been paid and any pending litigation has been adjudicated for either the engineering phase or for the right-of-way phase, and all liens/claims have been settled for the construction phase.

OCTA will provide a separate CTFP payment supplement that includes sample forms and instructions for payment submittals and can be downloaded from the OCFundtracker website at https://ocfundtracker.octa.net/report_payment_excel.asp. 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

⁴ Funds from state and federal sources funds will undertake a separate process. Local agencies must contact Caltrans local assistance for reimbursement.



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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.

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. Right-of-way 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.



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Section 10.1 – 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 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 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 payment requests:

1. Invoice – For initial payments, an agency shall invoice for 75 percent of the contract amount or programmed amount, whichever is less. 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 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. For situations where a grant exceeds \$2 million, the final report



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retention shall be capped at \$500,000 per project phase, but shall in no case be less than 10 percent 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 threshold is reached (See Precept 32). -Agencies seeking initial payment for the planning, environmental and preliminary engineering work performed by local agency forces, must submit payroll records with the initial payment request. The payroll records should identify the project name, date of expenditures, amount, and employee position. 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 (see https://ocfundtracker.octa.net/report_payment_excel.asp). This will include the certification that the project being reimbursed has meet the signage requirements laid out in Precept 18.
3. Minutes – The agency shall submit a minute order, agency resolution, or other council/board action showing award of the contract and the contract amount. 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 (see https://ocfundtracker.octa.net/report_payment_excel.asp).
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.
6. Right-of-Way Documents – Each parcel shall include an appraiser's invoice, 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.
7. Plans, Specifications, & Estimate (PS&E) Certification – Agencies shall submit a PS&E certification using the PS&E Certification form (see https://ocfundtracker.octa.net/report_payment_excel.asp). 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.



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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 **construction 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 of the contract award 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 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 threshold is reached (See Precept 32). Examples of calculating the initial funding request for a standard 75/25 payment are described below.



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Example A - **Contract** is awarded for **less than** the estimated construction cost.

Given:

\$160,000 = CTFP Allocation ~~Construction contract award (CTFP share)~~
\$40,000 = City Share
\$200,000 = Total Contract Award for Project X

Calculations:

75% of ~~contract amount~~ CTFP allocation = $\$160,000 \times 0.75 = \underline{\$120,000}$.

Example B - **Contract** is awarded for **more than** the estimated construction cost.

Given:

\$200,000 = Total CTFP funds programmed for Project Y
\$280,000 = Construction contract award (CTFP share)

Calculations:

Construction costs = \$280,000
Since this amount exceeds \$200,000 programmed, the initial payment is limited to
75% of the programmed amount.
75% of contract amount = $\$200,000 \times 0.75 = \underline{\$150,000}$.



Chapter 10 – Reimbursements and Reporting

Section 10.2 – 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 amount, the minimum local 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.

Additional Documentation Requirements

The items listed below are to be submitted to complete the final reporting process. If the local jurisdiction has not submitted a final report for any previous phases of the project, the reporting requirements outlined in Section 10.1 must be followed, with exception to the initial report forms, in addition to the Final Report requirements listed below.

1. Final Report Form – The local agency shall prepare a final report form using the final report form (see https://ocfundtracker.octa.net/report_payment_excel.asp).



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2. OCTA shall reimburse general lump sum pay items, appraisal cost, design, and construction engineering in the same ratio as the total right-of-way acquisition or construction costs.
3. Proof of Project Payment and Division of Costs –Documentation required as proof of payment includes approved contract invoices and may also include, but is not limited to, supportive material for agency work forces, equipment, and material. For the division of costs, original contract bid item lists can be supplied. If these are not available, the Proof of Project Payment and Division of Costs form can be used (see https://ocfundtracker.octa.net/report_payment_excel.asp). Supportive material shall equal the division of costs totals that are located in the final report form.
4. Summary of Right-of-Way Acquisition – Agencies shall submit a summary of right-of-way acquisition as described in the Summary of right-of-way acquisition form (see https://ocfundtracker.octa.net/report_payment_excel.asp).
5. Notice of Completion – An agency may submit a recorded Notice of Completion (NOC) or where a NOC is not typically used, the Notice of Completion form may be used to certify the phase completion date. (see https://ocfundtracker.octa.net/report_payment_excel.asp).
6. Before and After Project Photos – 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 notice to the 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. The reminder notice will



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include an offer from OCTA for a consultant to assist in preparation of the final report. The agency shall reimburse OCTA for the consultant services if used.

4. OCTA to issue a final notice letter to the 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 120 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 Local Fair Share programs) to acquire project right-of-way 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, et. Seq. and the right-of-way acquisition/disposal plan submitted as part of the application process, and to 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 right-of-way shall be returned to OCTA in proportion to the amount of M2 funds used in the purchase.

Agencies shall submit right-of-way documents for all parcels utilizing M2 Net Revenues. Agencies must submit the following documents:

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



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OCTA shall consider excess right-of-way with a value of \$10,000.00 or less as an uneconomic remnant. OCTA shall determine if excess right-of-way 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 right-of-way 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 right-of-way final report.

OCTA shall retain from the final payment the value of excess right-of-way that is proportional to OCTA's percentage match rate to the project up to OCTA's match rate of right-of-way 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 right-of-way grant.

An agency shall begin the process to sell excess right-of-way within 60 days after acceptance of the construction improvements.

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

Example:

| | | |
|-----------------------------|------------------|-----------|
| OCTA's right-of-way grant: | \$500,000 | |
| OCTA grant match rate | | 75% |
| Parcel Costs: | | |
| Cost – Parcel 1: | \$300,000 | |
| Cost – Parcel 2: | \$380,000 | |
| Cost – Parcel 3: | \$120,000 | |
| Cost – Parcel 4: | <u>\$100,000</u> | |
| Total right-of-way Costs: | | \$900,000 |
| Payment with no excess ROW: | \$500,000 | |
| Excess right-of-way: | | |



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| | |
|--|-------------|
| Value of excess right-of-way for parcel 1: | \$200,000 |
| Value of excess right-of-way for parcel 2: | \$105,000 |
| Value of excess right-of-way for parcel 3: | \$ 0 |
| Value of excess right-of-way for parcel 4: | <u>\$ 0</u> |
| Total Value of excess right-of-way: | \$305,000 |

OCTA contribution to right-of-way acquisition:

CTFP right-of-way contribution ÷ Agency total cost of right-of-way
 $\$500,000 \div \$900,000 = 56\%$

OCTA's shall reduce the final right-of-way payment by:

| | | |
|-----------|---------------------|------------------|
| Parcel 1: | \$200,000 x 56% = | \$112,000 |
| Parcel 2: | \$105,000 x 56% = + | <u>\$ 58,800</u> |
| Total: | | \$170,800 |

| | |
|--|------------------|
| Payment (incorporating excess right-of-way): | \$500,000 |
| | <u>\$170,800</u> |
| | \$329,200 |

Agency Workforce and Equipment Rental

An agency must provide supporting documentation for work completed by agency staff. 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 of payroll and fringe benefits. Where an agency due to size cannot calculate its specific overhead rate, an agency may refer to the Cost Accounting Policies and Procedures Manual (CAPP) of the California Uniform Public Construction Cost Accounting Commission, which allows for a fixed overhead rate billing dependent on city size. Where an agency has actual overhead costs that exceed 30 percent, these will be accepted when a fully audited cost allocation plan is provided and approved by the appropriate governmental entity listed in the CAPP or 2 Code of Federal Regulations Part 225.

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



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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 right-of-way 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 11 for independent audit requirements beyond the technical/field review.

Reporting of Local Fair Share

For the purposes of reporting non-project work (maintenance, repair, and other non-project related costs) funded by Measure M local fair share funds, the Measure M expenditure report cited M2 Ordinance, Section III(B)(8) shall satisfy reporting requirements. If local fair share funds are used for projects, the local agency shall also include a list of those funds and/or other Measure M funds in the Project Final Report cited in Section III(B)(9).



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Section 10.3 – 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 Project P as part of the reimbursement process.

Procedures for Receiving Funds

Regional Traffic Signal Synchronization Program funds projects with a three (3) year grant. Projects are divided into two components for the purposes of reimbursements and reporting: Primary Implementation and Ongoing Maintenance and Operations. The Primary Implementation of the project must be completed within one (1) year of the initial payment. Ongoing Maintenance and Operations will begin after the Primary Implementation 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 includes the following:

- Project administration (required)
- Developing and implementing optimized signal synchronization timing (required)
- Producing a 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 Maintenance and Operation will begin after the Primary Implementation of the project is completed. Includes the following:

- Monitoring and improving optimized signal timing (required)



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- Communications and detection support (optional)
- Final 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 Primary Implementation with lead agency or participating agency staff. Once an agency encumbers Project P funds for Primary Implementation, 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: <http://ocfundtracker.octa.net>. Additional details about the retention caps, timely payment requests, project closeout, and payment are available in Section 10.1 and 10.2 of the chapter.

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 of funds for the Primary Implementation of the project. The following information specific to the Regional Traffic Signal Synchronization Project is provided regarding the documentation requirements for initial payment of Primary Implementation after an agency encumbers funds for the project.

The interactive electronic versions of all payment forms can be downloaded via OCFundtracker (see https://ocfundtracker.octa.net/report_payment_excel.asp).

The Primary Implementation 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 Primary Implementation Report prior to approving the request. The electronic versions of the forms are available through the OCFundtracker.



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Below is additional information updating Section 10.1 of this chapter 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 of the contract amount or programmed amount of the project's Primary Implementation, whichever is less. For final payments of the Primary Implementation, the lead agency shall invoice the remaining balance of the project's Primary Implementation phase contract amount or programmed amount, whichever is less
- Project Certification Letter
- Revised Cost Estimate
- Plans, Specifications, and Estimate (PS&E) Certification
- Certification of Phase
- Final Report Submission
- Division of Cost Schedule
- Work Schedule - OCTA requires a complete project schedule, including expected start and completion dates for tasks in the Primary Implementation and Ongoing Maintenance and Operation phases
- Right-of-Way Documents - No requirements as Right-of-Way is not a part of RTSSP

Detail on other aspects on Initial Payment Requests for Primary Implementation including project advancement and reimbursement is available in section 10.1 of this chapter.

Final Payment Requests for Primary Implementation

OCTA will release the remaining balance to the lead agency, approximately 25 percent of funds for the Primary Implementation, when the project's Primary Implementation 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



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corridor system performance index (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 Primary Implementation. 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 Before and After Study for RTSSP shall be included as a requirement at the end of the Primary Implementation phase and as part of the Final Report for reimbursement purposes.

Payment Requests for Ongoing Maintenance and Operations

The payments for the Ongoing Maintenance and Operations portion of the project award will cover the remainder of the three (3) year grant period after Primary Implementation is completed and will be paid as a reimbursement upon proof of work/payment and receipt of invoice. The invoice should include details on the ongoing maintenance and operation work done including on the required (1) work monitoring and improving optimized signal timing; and optional (2) communications and detection support.

Project Final Report

The project final report shall be completed in accordance with all CTFP Guidelines upon the end of the three year grant period. In addition, the final report shall summarize the full project through the three-year grant period, include the Before and After Study from the Primary Implementation phase, and report on additional updates/information that result from the Ongoing Maintenance and Operation phase.



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Example of Reimbursement

\$1,000,000 = Total RTSSP funds programmed for Example Street Signal Synchronization allocated in Fiscal Year 2011/2012. The grant period is for three years.

\$900,000 for Primary Implementation – This amount of the project award is subject to the 75 percent initial payment and 25 percent final payment split as defined in the CTFP Guidelines.

Initial Payment = $\$900,000 \times 0.75 = \$675,000$

Final Payment upon completion, submission, and acceptance by OCTA of project Before and After Study to OCTA

Approximate Final Payment = $\$900,000 \times 0.25 = \$225,000$

\$100,000 for Ongoing Maintenance and Operation – This amount of the project award will cover the remainder of the three year grant period after Primary Implementation is completed and will be paid upon proof of payment and receipt of invoice.



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Section 10.4 – Environmental Cleanup Program Reimbursements and Reporting Requirements

Sections 10.1 and 10.2 of this chapter outline the process and requirements regarding reimbursements and reporting for the Regional Capacity Program. The CTFP Payment Supplement provides instructions and sample forms for ECP 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 with the following exceptions:

- For an initial payment, ECP Initial Report Form (see https://ocfundtracker.octa.net/report_payment_excel.asp) must be submitted.
- For a final payment, ECP Final Report Form (see https://ocfundtracker.octa.net/report_payment_excel.asp) must be submitted. Supporting documentation for O & M costs (if used as local match) and location maps must also be submitted.
- A final report must be filed within 180 days of the project phase completion with information as shown on the ECP Final Report Form (see https://ocfundtracker.octa.net/report_payment_excel.asp).
- 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.

For Tier 1 of the Environmental Cleanup Program, ongoing operations and maintenance of the project can be pledged as a local match. As part of the semi-annual review reporting process, OCTA will verify local agency operations and maintenance expenditures to ensure local match commitments are being met. Local agencies must complete the In-Kind O&M Report form (see https://ocfundtracker.octa.net/report_payment_excel.asp) for each ECP grant as part of their SAR updates.



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COMMITTEE TRANSMITTAL

August 10, 2015

To: Members of the Board of Directors

From: Laurena Weinert, Clerk of the Board

Subject: Measure M2 Environmental Cleanup Program – 2015 Tier 1 Water Quality Grant Funding Allocations

Regional Planning and Highways Committee Meeting of August 3, 2015

Present: Directors Donchak, Lalloway, Miller, Nelson, Spitzer, and Ury
Absent: Director Bartlett

Committee Vote

This item was passed by the Members present.

Committee Recommendations

- A. Approve the Tier 1 programming recommendations for \$2,865,899 of Measure M2 Environmental Cleanup Program funding.
- B. Conditionally approve the Tier 1 programming recommendations for the cities of Garden Grove and Westminster contingent on the cities submitting approved resolutions by August 28, 2015.



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Measure M2 Environmental Cleanup Program – 2015 Tier 1
Water Quality Grant Funding Allocations**

Staff Report



August 3, 2015

To: Regional Planning and Highways Committee

From: Darrell Johnson, Chief Executive Officer

Subject: Measure M2 Environmental Cleanup Program – 2015 Tier 1 Water Quality Grant Funding Allocations

Overview

The Orange County Transportation Authority's Environmental Cleanup Program (Project X) provides Measure M2 funding for water quality improvement projects to address transportation-generated pollution. The Tier 1 Grant Program fiscal year 2015-16 call for projects was issued on March 16, 2015. Evaluations have been completed, and a list of projects is presented for review and approval of funding allocations.

Recommendations

- A. Approve the Tier 1 programming recommendations for \$2,865,899 of Measure M2 Environmental Cleanup Program funding.
- B. Conditionally approve the Tier 1 programming recommendations for the cities of Garden Grove and Westminster contingent on the cities submitting approved resolutions by August 28, 2015.

Background

In May 2010, the Orange County Transportation Authority (OCTA) Board of Directors (Board) approved a two-tiered approach to fund the Measure M2 (M2) Environmental Cleanup Program, Project X. The funding plan called for up to \$19.5 million in Tier 1 grants on a "pay-as-you-go" basis through seven funding cycles. Approximately \$2.8 million is available for each cycle of Tier 1 calls for projects (call). The fiscal year (FY) 2015-16 call is the fifth cycle. In addition, the Board approved up to \$38 million in Tier 2 grants via bonding through two to three cycles of calls.

The Tier 1 Grant Program is designed to remove the more visible forms of pollutants, such as litter and debris, which collect on the roadways and in the catch basins (storm drains) prior to being deposited in waterways and the ocean.

These funds are available for Orange County local governments to purchase equipment and upgrades for existing catch basins and other related best management practices (BMP) that supplement current requirements. Examples include screens, filters, and inserts for catch basins, as well as other devices designed to remove the above mentioned pollutants.

The Board has approved funding for 102 projects through four Tier 1 calls, totaling just over \$11 million. Staff has estimated that nearly a half million cubic feet of trash has been captured as a result of the installation of Tier 1 devices since the inception of the Tier 1 program in 2011.

Discussion

OCTA issued the FY 2015-16 Tier 1 call on March 16, 2015. Twenty-six applications were submitted from 20 cities and the County of Orange by May 15, 2015. Applications were reviewed and evaluated by OCTA staff and the Vice Chairman of the OCTA Environmental Cleanup Allocation Committee (ECAC).

The applications were ranked based on the Board-approved criteria: (a) the proposed project's effectiveness at removing trash and debris, (b) identification of the affected waterway and the pollutant(s) treated by the proposed BMP, (c) an operations and maintenance plan adequate to maintain the efficiency of the proposed BMP for regularly scheduled inspections, maintenance, and cleaning/disposal of pollutants, (d) a clear and detailed work plan with a specific implementation period, (e) project readiness, and (f) the highest priority project from each agency.

The 18 Tier 1 proposals recommended for funding by the ECAC (Attachment A) generally include three types of projects. A brief description of each project type and the number of projects in each category is provided below:

- 1) Automatic retractable screens and other debris screens or inserts (16 projects): Screen or insert units prevent debris from entering the storm drain system.
- 2) Continuous deflective separator (CDS) (one project): CDS units divert runoff away from waterways and screen storm drain flows from trash and debris. CDS units screen, separate, and trap debris, sediment, oil, and grease from storm water runoff.
- 3) Biofiltration system (one project): Pollutants are captured and immobilized into the filtration system. Storm water and runoff continues to flow into the drain system where the treated water is discharged.

The evaluation team recommended 18 projects for funding based on total points earned. This item was presented to the ECAC for review and discussion on July 9, 2015. The ECAC endorsed the action to move forward with the recommendation to approve funding for 18 projects in the amount of \$2,865,899.

As part of this grant program, local agencies agree to contribute a minimum match of 25 percent of the project cost. These matching funds can be provided with capital funding and/or in-kind services such as the cost of maintenance and operations of the improvements. Attachment B lists projects that were beyond the funding capacity of this cycle. Staff will continue outreach efforts to the sponsor agencies and offer assistance on how their applications can be strengthened.

Per the Comprehensive Transportation Funding Programs (CTFP) Guidelines, a resolution or minute action must be approved by the local jurisdiction's governing body prior to the Board approval of grant funds. Due to city council meeting scheduling conflicts, two cities were unable to submit approved resolutions prior to the proposed Board approval date. The cities of Garden Grove and Westminster have committed to provide an approved resolution by August 28, 2015. This date was chosen because it is sufficient to meet the timeline for execution of the letter agreement under the M2 master funding agreement. If they fail to provide by this date, the projects will not be funded for this round.

Next Steps

Upon approval of the recommendation by the Board, each agency will be requested to execute a letter agreement. Further, staff will continue to monitor project status and project delivery through the CTFP semi-annual review process.

The next Tier 1 call is anticipated in mid-2016. It is anticipated that approximately \$2.8 million will be available. Prior to the release of the next call, the ECAC will review the CTFP Guidelines and scoring criteria to determine if changes should be recommended.

Fiscal Impact

This project was approved in OCTA's FY 2015-16 Budget, Planning Division, Account 0017-7831-MX001-T6S, and is funded with M2 funds.

Summary

Proposed programming recommendations for the Measure M2 Environmental Cleanup Program Tier 1 Water Quality Grant Program have been developed by staff and endorsed by the Environmental Cleanup Allocation Committee. Staff is seeking Board of Directors' approval to fund 18 projects, totaling \$2,865,899.

Attachments

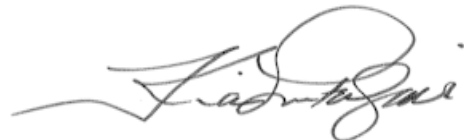
- A. 2015 Orange County Transportation Authority Environmental Cleanup Program – Tier 1 Call for Projects Funding Recommendations – Funded Projects List
- B. 2015 Orange County Transportation Authority Environmental Cleanup Program – Unfunded Projects List

Prepared by:



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Approved by:



Kia Mortazavi
Executive Director, Planning
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ORANGE COUNTY TRANSPORTATION AUTHORITY

**Measure M2 Environmental Cleanup Program – 2015 Tier 1
Water Quality Grant Funding Allocations**

Attachment A

ATTACHMENT A

2015 Orange County Transportation Authority Environmental Cleanup Program - Tier 1 Call for Projects Funding Recommendations – Funded Projects List

| | Agency | Project Title | Project Description | Funds Requested | Local Match | Project Cost | Score |
|---------------|------------------------|--|---|--------------------|------------------|--------------------|-------|
| 1 | Fullerton | Catch Basin Enhancement Project | Install approximately 90 curb inlet filters and approximately 224 automatic retractable screens (ARS) at various locations throughout the City of Fullerton | \$200,000 | \$263,439 | \$463,439 | 89 |
| 2 | La Habra | Installation of Catch Basin Screens Phase 2 | Install 124 ARS and 10 connector pipe screens (CPS) in catch basins near several school locations throughout the City of La Habra | \$150,000 | \$50,000 | \$200,000 | 86 |
| 3 | County of Orange | Catch Basin Screens V | Retrofit approximately 240 existing catch basins with CPS in the unincorporated community of Ladera Ranch | \$160,425 | \$53,475 | \$213,900 | 83 |
| 4 | Orange | Collins Avenue Bio Clean Unit Installation | Install a BioClean hydrodynamic separator at the downstream end of a 48-inch storm drain line on Collins Avenue | \$150,000 | \$50,000 | \$200,000 | 83 |
| 5 | Westminster | Fiscal Year (FY) 2015-16 City Wide Catch Basin Screen Installation Project | Install ARS and CPS at 77 catch basins near industrial, commercial and high density residential areas within the City of Westminster | \$125,414 | \$44,475 | \$169,889 | 82 |
| 6 | Mission Viejo | Marguerite Parkway Roadway Pollutant and Runoff Abatement Project | Install nine ARS units and replace overhead spray nozzles with laser drip irrigation within within 30,190 square feet of roadway median | \$200,000 | \$67,000 | \$267,000 | 80 |
| 7 | Tustin | Catch Basin Retrofits | Retrofit 414 catch basins with CPS in high trash areas in the City of Tustin | \$119,018 | \$39,673 | \$158,691 | 80 |
| 8 | Buena Park | G2 Full Capture Basin Insert Project | Install 121 ARS and CPS on the busiest arterial streets of Cypress such as Beach Boulevard, Artesia Boulevard, Crescent Avenue, Lincoln Avenue, and La Palma Avenue | \$199,887 | \$76,230 | \$276,117 | 79 |
| 9 | Lake Forest | Automatic Retractable Screen Catch Basin Retrofit, Phase 5 | Retrofit approximately 101 catch basins with CPS and install approximately 30 ARS at various locations in the City of Lake Forest | \$100,000 | \$33,334 | \$133,334 | 78 |
| 10 | Fountain Valley | FY 2015 Ocean Protection and Environmental Cleanup Project | Install 20 weather-based irrigation control systems along arterial roadway median islands and ten catch basin filter inserts along roadways not controlled by weather based irrigation sensors. | \$200,000 | \$120,000 | \$320,000 | 76 |
| 11 | Placentia | Catch Basin Inserts Project - Phase 2 | Install ARS and CPS units at 52 catch basins within the City of Placentia | \$71,192 | \$23,731 | \$94,922 | 76 |
| 12 | Rancho Santa Margarita | Catch Basin Connector Pipe Screen Installation Project | Retrofit 329 catch basins with CPS in close proximity to commercial centers, industrial business parks, bus stops and high density residential areas in the City of Rancho Santa Margarita | \$114,964 | \$38,321 | \$153,285 | 74 |
| 13 | Irvine | Catch Basin Filter Installation Project #1 | Install approximately 80 curb inlet filters throughout the Irvine Business Complex and the Woodbury/Stonegate residential community | \$200,000 | \$66,667 | \$266,667 | 73 |
| 14 | Cypress | Automatic Retractable Screen Installation Project No. 2 | Install 145 ARS and skimmer boxes throughout the City of Cypress | \$200,000 | \$103,523 | \$303,523 | 69 |
| 15 | Garden Grove | Magnolia Street Irrigation Retrofit and Bio Clean Curb Inlet Filters | Retrofit the median irrigation system with a drip irrigation system and install eight curb inlet filters on Magnolia Street from Westminster Avenue to Trask Avenue and Lampson Avenue to Champman Avenue | \$200,000 | \$85,780 | \$285,780 | 68.5 |
| 16 | Anaheim | Green Alley Bio-Infiltration Project | Bio-infiltration trench, pervious concrete, and parkway biofilters in an alley and along adjacent parkways between North Street and Wilhelmina Avenue in Anaheim | \$200,000 | \$85,100 | \$285,100 | 68 |
| 17 | Brea | Citywide Catch Basin Inserts Project 7524 - Phase 5 | Install 119 BioClean curb inlet baskets and grate inlet skimmer boxes into storm drain inlets throughout the City of Brea | \$200,000 | \$366,128 | \$566,128 | 68 |
| 18 | Laguna Hills | Laguna Hills Debris Gates Project Phase V | Install 46 ARS on collector and residential streets with heavy pedestrian traffic throughout the City of Laguna Hills | \$75,000 | \$25,668 | \$100,668 | 67 |
| TOTALS | | | | \$2,865,899 | 1,592,544 | \$4,458,443 | |



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Measure M2 Environmental Cleanup Program – 2015 Tier 1
Water Quality Grant Funding Allocations**

Attachment B

2015 Orange County Transportation Authority Environmental Cleanup Program - Unfunded Projects List

| | Agency | Project Title | Project Description | Funds Requested | Local Match | Project Cost | Score |
|----|---------------------|--|--|-----------------|-------------|--------------|-------|
| 19 | Aliso Viejo | Aliso Viejo Stormwater Litter Control Project - Phase IV | Install 109 BioClean high capacity filter inserts into stormdrains throughout the City of Aliso Viejo | \$199,999 | \$111,180 | \$311,179 | 63 |
| 20 | Villa Park | Catch Basin Debris Filters Installation Project - Round 3 | Install 115 round curb inlet baskets throughout the southwest portion of the City of Villa Park | \$200,000 | \$66,667 | \$266,667 | 63 |
| 21 | Irvine | Catch Basin Filter Installation Project #2 | Install approximately 80 curb inlet filters throughout the Irvine Spectrum Center, University Park and University Town Center | \$200,000 | \$66,667 | \$266,667 | 56 |
| 22 | Garden Grove | Euclid Street Irrigation Retrofit and Bio Clean Curb Inlet Filters | Retrofit the median irrigation system with a drip irrigation system and install three curb inlet filters on Euclid Street from Westminster Avenue to Trask Avenue and Chapman Avenue to Katella Avenue | \$200,000 | \$107,720 | \$307,720 | 54 |
| 23 | Brea | Citywide Catch Basin Inserts Project 7524 - Phase 6 | Install 121 BioClean curb inlet baskets and grate inlet skimmer boxes into storm drain inlets throughout the City of Brea | \$200,000 | \$370,870 | \$570,870 | 53 |
| 24 | Brea | Citywide Catch Basin Inserts Project 7524 - Phase 7 | Install 54 BioClean curb inlet baskets and grate inlet skimmer boxes into storm drain inlets throughout the City of Brea | \$100,000 | \$184,111 | \$284,111 | 53 |
| 25 | Garden Grove | Euclid Street Irrigation Retrofit and Bio Clean Curb Inlet Filters | Retrofit the median irrigation system with a drip irrigation system and install one curb inlet filter on Euclid Street from Lampson Avenue to Chapman Avenue | \$100,000 | \$35,300 | \$135,300 | 53 |
| 26 | Los Alamitos | Los Alamitos Storm Drain Screen Project | Install 62 automatic retractable screens throughout the City of Los Alamitos | \$75,000 | \$25,000 | \$100,000 | 39 |



COMMITTEE TRANSMITTAL

August 10, 2015

To: Members of the Board of Directors

From:  Laurena Weinert, Clerk of the Board

Subject: Capital Programs Division - Fourth Quarter Fiscal Year 2014-15
and Planned Fiscal Year 2015-16 Capital Action Plan
Performance Metrics

Executive Committee Meeting of August 3, 2015

Present: Directors Donchak, Lalloway, Murray, Spitzer, Steel, and Ury
Absent: Directors Hennessey and Nelson

Committee Vote

Following a discussion on this item, no action was taken on this receive and file information item.

Staff Recommendation

Receive and file as an information item.



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Capital Programs Division - Fourth Quarter Fiscal Year
2014-15 and Planned Fiscal Year 2015-16 Capital Action
Plan Performance Metrics**

Staff Report



August 3, 2015

To: Executive Committee

From: Darrell Johnson, Chief Executive Officer

Subject: Capital Programs Division - Fourth Quarter Fiscal Year 2014-15 and Planned Fiscal Year 2015-16 Capital Action Plan Performance Metrics

Overview

The Orange County Transportation Authority's Strategic Plan key strategies and objectives to achieve the goals for Mobility and Stewardship include delivery of all Capital Action Plan projects on time and within budget. The Capital Action Plan is used to create a performance metric to assess capital project delivery progress on highway, grade separation, rail, and facility projects. This report provides an update on the Capital Action Plan delivery and performance metrics.

Recommendation

Receive and file as an information item.

Background

The Orange County Transportation Authority (OCTA) Capital Programs Division is responsible for project development and delivery of highway, grade separation, rail, and facility projects from the beginning of the environmental approval phase through construction completion. Project delivery commitments reflect defined project scope, costs, and schedules. Project delivery commitments shown in the Capital Action Plan (CAP) are key strategies and objectives to achieve the Strategic Plan goals for Mobility and Stewardship.

This report provides an update on the CAP performance metrics, which are the fiscal year (FY) snapshot of the planned CAP project delivery milestones in the budgeted FY. The Capital Programs Division also provides Metrolink commuter rail ridership, revenue, and on-time performance reports and metrics in quarterly rail program updates.

Discussion

The Capital Programs Division objective is to deliver projects on schedule and within the approved project budget. Key projects' cost and schedule commitments are captured in the CAP which is regularly updated with new projects and project status (Attachment A). The CAP is categorized into four key groupings of projects; freeway projects, grade separation projects, rail and station projects, and key facility projects. Simple milestones are used as performance indicators of progress in project delivery. The CAP performance metric provides a FY snapshot of the milestones targeted for delivery in the budgeted FY, and provide both transparency and measurement of annual capital project delivery performance.

The CAP project cost represents the total cost of the project across all phases of project delivery, including support costs, and right-of-way (ROW) and construction capital costs. The planned or budgeted cost is shown in comparison to either the actual or forecast cost. The planned or budgeted total project costs may be shown as to-be-determined (TBD) if project scoping studies or other project scoping documents have not been approved, and may be updated as project delivery progresses and milestones are achieved. Actual or forecast costs represent the total project cost across all project delivery phases. Measure M2 (M2) projects are identified with the corresponding project letter and the M2 logo. The CAP update is also included in the M2 Quarterly Report.

The CAP summarizes the very complex capital project critical path delivery schedules into eight key milestones.

| | |
|------------------------|--|
| Begin Environmental | The date work on the environmental clearance, project report, or preliminary engineering phase begins. |
| Complete Environmental | The date environmental clearance and project approval is achieved. |
| Begin Design | The date final design work begins, or the date when a design-build contract begins. |
| Complete Design | The date final design work is 100 percent complete and approved. |

| | |
|----------------------------|---|
| Construction Ready | The date contract bid documents are ready for advertisement, including certification of ROW, all agreements executed, and contract constraints cleared. |
| Advertise for Construction | The date a construction contract is advertised for bids. |
| Award Contract | The date the construction contract is awarded. |
| Construction Complete | The date all construction work is completed, and the project is open to public use. |

These delivery milestones reflect progression across the project delivery phases shown below.



Project schedules reflect the approved milestone dates in comparison to the forecast or actual milestone dates. Milestone dates may be shown as TBD if project scoping or approval documents have not been finalized and approved, or if the delivery schedule has not been negotiated with the agency or consultant implementing the specific phase of a project. Planned milestone dates can be revised to reflect new dates from approved baseline schedule changes. Actual dates will be updated when milestones are achieved, and forecast dates will be updated to reflect project delivery status.

Key Findings

CAP fourth quarter FY 2014-15 milestones achieved include:

Freeway Projects

- The complete environmental milestone for the Interstate 5 (I-5) widening from State Route 55 (SR-55) to State Route 57 (SR-57) was completed. In addition, a design consultant was selected and the begin design milestone was achieved.

- The Interstate 405 (I-405) Improvement Project from State Route 73 (SR-73) to Interstate 605 (I-605) achieved both federal and state environmental clearance.
- The complete environmental milestone for the I-5 continuous access carpool lane striping project was completed.
- The begin design milestone for the I-5 widening project between Alicia Parkway and El Toro Road, the third of three project segments, was achieved.
- The construction contract for the Fullerton Transportation Center elevator upgrades was awarded by the City of Fullerton.
- Construction was completed on the SR-57 northbound widening from Katella Avenue to Lincoln Avenue.

The following CAP milestones missed the planned delivery through the fourth quarter of FY 2014-15.

Freeway Projects

- The complete design, construction ready, and advertise construction milestones for the I-405 Improvement Project from SR-73 to I-605 were missed. These milestones for this project equate to the release of the design-build request for proposals, which is now scheduled in April 2016.
- The complete design and the construction ready milestones for the northbound SR-57 landscape replacement project was previously delayed into FY 2014-15 to assure the final landscape and irrigation design accounts for as-built conditions of the recently completed roadway widening construction contracts. The design is scheduled to be completed in the third quarter of FY 2015-16, and the construction ready and advertise construction milestones in the fourth quarter FY 2015-16.
- The West County Connector replacement planting project construction ready milestone was missed. The final design submittal to the California Department of Transportation (Caltrans) for final review and bid packaging was delayed due to comments from Caltrans on the draft 95 percent complete design package. In addition, the quality of the consultant's draft design package was poor and Caltrans' comments have been extensive

resulting in substantial rework of the design. OCTA staff is also working to address Caltrans' requests for additional scope to be added to the project. The contract will be construction ready in the second quarter of FY 2015-16.

Rail and Station Projects

- As previously reported, the complete environmental, complete design, and construction ready milestone for the Orange Metrolink Parking Expansion project were delayed into FY 2015-16. The City of Orange indicates the environmental approval and design are currently forecast to be completed in the second quarter of FY 2015-16.
- The begin design milestone for the Santa Ana/Garden Grove Streetcar project was missed. The design consultant procurement is underway and final design should begin the second quarter of FY 2015-16.
- As previously reported, the complete design, construction ready, advertise construction, and award contract milestones for the Laguna Niguel/Mission Viejo Metrolink Station access ramps were missed. Utility verification work identified a 33-inch Moulton Niguel Water District (MNWD) sewer line to be in conflict with the project. Staff has coordinated the relocation design with MNWD and has included the sewer line relocation in the project construction contract. The OCTA Board of Directors approved release of the invitation for construction bids on July 27, 2015.
- The construction completion milestone for the Sand Canyon Railroad Grade Separation was missed. Final punch list work has been completed, and the construction acceptance package is being prepared for the City of Irvine for completion in the first quarter of FY 2015-16.

Recap of FY 2014-15 Performance Metrics

The performance metrics snapshot provided at the beginning of FY 2014-15 reflected 40 planned major project delivery milestones to accomplish. Two additional delivery milestones not originally planned for delivery in the FY were accomplished earlier than planned in the fourth quarter of FY 2014-15. The CAP and performance metrics have been updated to reflect both milestones achieved and missed throughout FY 2014-15 (Attachment B). In FY 2014-15, 27 of 40 milestones (67.5 percent) were completed, including two additional milestones achieved that were not on the original plan.

FY 2015-16 Performance Metrics

The new forecast project milestones are included in the CAP and the FY 2015-16 performance metrics (Attachment C). There are 34 major project milestones planned to be accomplished in FY 2015-16.

As reported in the fourth quarter of FY 2013-14, the complete environmental milestone for the SR-55 widening between I-405 and I-5 continues to be delayed due to Caltrans' requests for additional modifications to the traffic demand study, which is used as the basis for all of the project technical studies. An agreement was reached with Caltrans, and a revised traffic demand study was produced. Caltrans has yet to accept the new traffic demand study. The schedule to complete the environmental and all remaining project milestones will be added to the CAP and performance metrics once Caltrans concurs with a revised traffic demand study.

The Placentia Metrolink Station project delivery milestones have not yet been re-established. The City of Placentia is continuing to work on revisions to the station parking scheme and private development agreements, including a plan to implement a mixed-use commuter/business district parking structure. This impacts the scope of the final design of the planned station and parking. The project schedule will be updated, and the new milestones will be added to the CAP and performance metric when changes to the station design, based on the final parking and development plans from the City of Placentia, are received.

FY 2015-16 Performance Metric Risks

Per Caltrans directive, should the California drought conditions persist through next winter, replacement planting included in roadway widening projects, and standalone replacement planting and landscape construction projects, could be delayed until the drought condition subsides.

Summary

Significant capital project delivery progress has been achieved and reflected in the CAP. The planned FY 2015-16 performance metrics created from forecast project schedules will be used as a general project delivery performance indicator. Staff will continue to manage project costs and schedules across all project phases to meet project delivery commitments.

Attachments

- A. Capital Action Plan, Status Through June 2015
- B. Capital Programs Division, Fiscal Year 2014-15 Performance Metrics
Status Through June 2015
- C. Capital Programs Division, Fiscal Year 2015-16 Performance Metrics

Prepared by:



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ORANGE COUNTY TRANSPORTATION AUTHORITY
















**Capital Programs Division - Fourth Quarter Fiscal Year
2014-15 and Planned Fiscal Year 2015-16 Capital Action
Plan Performance Metrics**

Attachment A

Capital Action Plan

Status Through Jun 2015
















Updated: Jul 17, 2015

| Capital Projects | Cost Budget/Forecast (millions) | Schedule Plan/Forecast | | | | | | | |
|---|---|---------------------------|---------------------------|-----------------|--------------------|-----------------------|---------------------------|----------------|--------------------------|
| | | Begin Environmental | Complete Environmental | Begin Design | Complete Design | Construction Ready | Advertise Construction | Award Contract | Complete Construction |
| | | | | | | | | | |
| Freeway Projects: | | | | | | | | | |
|  I-5, Pico to Vista Hermosa | \$113.0 | Jun-09 | Dec-11 | Jun-11 | Oct-13 | Feb-14 | Oct-14 | Dec-14 | Aug-18 |
| Project C | \$91.9 | Jun-09 | Oct-11 | Jun-11 | Oct-13 | May-14 | Sep-14 | Dec-14 | Aug-18 |
|  I-5, Vista Hermosa to Pacific Coast Highway | \$75.6 | Jun-09 | Dec-11 | Jun-11 | Feb-13 | Jun-13 | Oct-13 | Dec-13 | Mar-17 |
| Project C | \$71.5 | Jun-09 | Oct-11 | Jun-11 | May-13 | Aug-13 | Feb-14 | Jun-14 | Mar-17 |
|  I-5, Pacific Coast Highway to San Juan Creek Road | \$70.7 | Jun-09 | Dec-11 | Jun-11 | Jan-13 | May-13 | Aug-13 | Oct-13 | Sep-16 |
| Project C | \$60.2 | Jun-09 | Oct-11 | Jun-11 | Jan-13 | Apr-13 | Aug-13 | Dec-13 | Sep-16 |
|  I-5, I-5/Ortega Interchange | \$90.9 | Sep-05 | Jun-09 | Jan-09 | Nov-11 | Mar-12 | Jun-12 | Aug-12 | Sep-15 |
| Project D | \$81.3 | Sep-05 | Jun-09 | Jan-09 | Dec-11 | Apr-12 | Jun-12 | Aug-12 | Dec-15 |
|  I-5, I-5/Ortega Interchange (Landscape) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Project D | N/A | N/A | N/A | Jan-14 | Oct-14 | Feb-15 | Oct-15 | Jan-16 | Jan-17 |
|  I-5, SR-73 to Oso Parkway | \$151.9 | Sep-11 | Jun-14 | TBD | Jan-18 | May-18 | Aug-18 | Dec-18 | Apr-22 |
| Project C & D | \$151.9 | Oct-11 | May-14 | Mar-15 | Jan-18 | May-18 | Aug-18 | Dec-18 | Apr-22 |
|  I-5, Oso Parkway to Alicia Parkway | \$196.2 | Sep-11 | Jun-14 | Nov-14 | Jun-17 | Dec-17 | Feb-18 | Jun-18 | Mar-22 |
| Project C & D | \$196.2 | Oct-11 | May-14 | Nov-14 | Jun-17 | Dec-17 | Feb-18 | Jun-18 | Mar-22 |
|  I-5, Alicia Parkway to El Toro Road | \$133.6 | Sep-11 | Jun-14 | Mar-15 | Jun-18 | Dec-18 | Jan-19 | May-20 | Sep-22 |
| Project C | \$133.6 | Oct-11 | May-14 | Mar-15 | Jun-18 | Dec-18 | Jan-19 | May-20 | Sep-22 |
|  I-5, I-5/El Toro Road Interchange | TBD | TBD | TBD | TBD | TBD | TBD | TBD | TBD | TBD |
| Project D | TBD | Oct-16 | Sep-19 | TBD | TBD | TBD | TBD | TBD | TBD |
|  I-5, I-405 to SR-55 | TBD | May-14 | Apr-17 | TBD | TBD | TBD | TBD | TBD | TBD |
| Project B | TBD | May-14 | Dec-17 | TBD | TBD | TBD | TBD | TBD | TBD |
|  I-5, SR-55 to SR-57 | \$37.1 | Jul-11 | Jun-13 | Jun-15 | TBD | TBD | TBD | TBD | TBD |
| Project A | \$36.9 | Jun-11 | Apr-15 | Jun-15 | Feb-17 | Jun-17 | Aug-17 | Nov-17 | Dec-19 |
| I-5, Continuous HOV Lane Access | TBD | Jul-11 | Apr-15 | Feb-12 | May-16 | Aug-16 | Oct-16 | Jan-17 | Jan-18 |
| | \$5.9 | Aug-11 | Apr-15 | Mar-12 | Oct-16 | Dec-16 | Mar-17 | Jun-17 | Jun-18 |
|  SR-55, I-405 to I-5 | TBD | Feb-11 | Nov-13 | TBD | TBD | TBD | TBD | TBD | TBD |
| Project F | \$274.6 | May-11 | Nov-16 | Apr-17 | Feb-20 | Aug-20 | Sep-20 | Dec-20 | Dec-23 |
|  SR-55, I-5 to SR-91 | TBD | TBD | TBD | TBD | TBD | TBD | TBD | TBD | TBD |
| Project F | TBD | May-16 | Nov-18 | TBD | TBD | TBD | TBD | TBD | TBD |
|  SR-57 Northbound (NB), Orangewood Avenue to Katella Avenue | TBD | TBD | TBD | TBD | TBD | TBD | TBD | TBD | TBD |
| Project G | TBD | Nov-15 | Nov-17 | TBD | TBD | TBD | TBD | TBD | TBD |
|  SR-57 (NB), Katella Avenue to Lincoln Avenue | \$78.7 | Apr-08 | Jul-09 | Jul-08 | Nov-10 | Mar-11 | May-11 | Aug-11 | Sep-14 |
| Project G | \$40.7 | Apr-08 | Nov-09 | Aug-08 | Dec-10 | Apr-11 | Jul-11 | Oct-11 | Apr-15 |

Capital Action Plan

Status Through Jun 2015

Updated: Jul 17, 2015

| | Capital Projects | Cost | Schedule | | | | | | | |
|--|--|-------------------|---------------------|------------------------|------------------|------------------|--------------------|------------------------|------------------|-----------------------|
| | | Budget/Forecast | Plan/Forecast | | | | | | | |
| | | (millions) | Begin Environmental | Complete Environmental | Begin Design | Complete Design | Construction Ready | Advertise Construction | Award Contract | Complete Construction |
|  | SR-57 (NB), Katella Avenue to Lincoln Avenue (Landscape) Project G | N/A N/A | N/A N/A | N/A N/A | N/A May-09 | N/A Jul-10 | N/A Apr-16 | N/A May-16 | N/A Jul-16 | N/A Aug-17 |
|  | SR-57 (NB), Orangethorpe Avenue to Yorba Linda Boulevard Project G | \$80.2 \$52.9 | Aug-05 Aug-05 | Dec-07 Dec-07 | Feb-08 Feb-08 | Dec-09 Jul-09 | Apr-10 Dec-09 | Jun-10 May-10 | Oct-10 Oct-10 | May-14 Nov-14 |
|  | SR-57 (NB), Yorba Linda Boulevard to Lambert Road Project G | \$79.3 \$54.6 | Aug-05 Aug-05 | Dec-07 Dec-07 | Feb-08 Feb-08 | Dec-09 Jul-09 | Apr-10 Mar-10 | Jun-10 May-10 | Oct-10 Oct-10 | Sep-14 May-14 |
|  | SR-57 (NB), Orangethorpe Avenue to Lambert Road (Landscape) Project G | N/A N/A | N/A N/A | N/A N/A | N/A Oct-14 | N/A Feb-16 | N/A Apr-16 | N/A May-16 | N/A Jul-16 | N/A Aug-17 |
|  | SR-57 (NB), Lambert Road to Tonner Canyon (On Hold) Project G | TBD TBD | TBD Aug-16 | TBD Jul-19 | TBD TBD | TBD TBD | TBD TBD | TBD TBD | TBD TBD | TBD TBD |
|  | SR-91 Westbound (WB), I-5 to SR-57 Project H | \$78.1 \$63.5 | Jul-07 Jul-07 | Apr-10 Jun-10 | Oct-09 Mar-10 | Feb-12 Apr-12 | Jul-12 Aug-12 | Aug-12 Oct-12 | Nov-12 Jan-13 | Apr-16 Jul-16 |
|  | SR-91 Westbound (WB), I-5 to SR-57 (Landscape) Project H | N/A N/A | N/A N/A | N/A N/A | N/A Nov-14 | N/A Feb-16 | N/A May-16 | N/A Jul-16 | N/A Sep-16 | N/A Sep-17 |
|  | SR-91, SR-57 to SR-55 Project I | TBD TBD | Jan-15 Jan-15 | Oct-18 Oct-18 | TBD TBD | TBD TBD | TBD TBD | TBD TBD | TBD TBD | TBD TBD |
|  | SR-91 (WB), Tustin Interchange to SR-55 Project I | \$49.9 \$47.8 | Jul-08 Jul-08 | Jul-11 May-11 | Jul-11 Jun-11 | Mar-13 Feb-13 | Jul-13 Apr-13 | Aug-13 Jun-13 | Oct-13 Oct-13 | Jul-16 Jul-16 |
|  | SR-91, SR-55 to SR-241 Project J | \$128.4 \$79.9 | Jul-07 Jul-07 | Jul-09 Apr-09 | Jun-09 Apr-09 | Jan-11 Aug-10 | Apr-11 Dec-10 | Jun-11 Feb-11 | Sep-11 May-11 | Dec-12 Mar-13 |
|  | SR-91, SR-55 to SR-241 (Landscape) Project J | N/A N/A | N/A N/A | N/A N/A | N/A May-12 | N/A Feb-13 | N/A Apr-13 | N/A Jul-13 | N/A Oct-13 | N/A Feb-15 |
|  | SR-91 Eastbound, SR-241 to SR-71 Project J | \$104.5 \$57.8 | Mar-05 Mar-05 | Dec-07 Dec-07 | Jul-07 Jul-07 | Dec-08 Dec-08 | Mar-09 May-09 | May-09 Jun-09 | Jul-09 Aug-09 | Nov-10 Jan-11 |
|  | SR-241/91 Express Lanes Connector | TBD | N/A | N/A | TBD | TBD | TBD | TBD | TBD | TBD |
| | | TBD | Nov-13 | Mar-17 | TBD | TBD | TBD | TBD | TBD | TBD |
| | I-405, I-5 to SR-55 Project L | TBD TBD | Dec-14 Dec-14 | Aug-17 Nov-17 | TBD TBD | TBD TBD | TBD TBD | TBD TBD | TBD TBD | TBD TBD |
|  | I-405 Southbound, SR-133 to University Drive Project L | TBD \$16.4 | Mar-15 Mar-15 | Aug-16 Aug-16 | TBD May-17 | TBD Mar-18 | TBD Jun-18 | TBD Aug-18 | TBD Nov-18 | TBD Nov-19 |
|  | I-405, SR-55 to I-605 (Design-Build) Project K | TBD \$1,791.0 | Mar-09 Mar-09 | Mar-13 May-15 | Mar-14 Mar-14 | TBD Nov-15 | TBD Apr-16 | TBD Apr-16 | TBD Feb-17 | TBD Oct-22 |
| | I-405/SR-22 HOV Connector | \$195.9 | N/A | N/A | Sep-07 | Sep-09 | Mar-10 | May-10 | Aug-10 | Aug-14 |
| | | \$124.0 | N/A | N/A | Sep-07 | Jun-09 | Sep-09 | Feb-10 | Jun-10 | Mar-15 |

Capital Action Plan

Status Through Jun 2015




Updated: Jul 17, 2015

| Capital Projects | Cost | Schedule | | | | | | | |
|---|-----------------|---------------------|------------------------|--------------|-----------------|--------------------|------------------------|----------------|-----------------------|
| | Budget/Forecast | Plan/Forecast | | | | | | | |
| | (millions) | Begin Environmental | Complete Environmental | Begin Design | Complete Design | Construction Ready | Advertise Construction | Award Contract | Complete Construction |
| I-405/I-605 HOV Connector | \$260.4 | N/A | N/A | Sep-07 | Sep-09 | Mar-10 | May-10 | Oct-10 | Jan-15 |
| | \$174.4 | N/A | N/A | Sep-07 | Sep-09 | Feb-10 | May-10 | Oct-10 | Mar-15 |
| I-405/SR-22/I-605 HOV Connector (Landscape) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| | N/A | N/A | N/A | Jun-08 | May-09 | Nov-15 | Jan-16 | Mar-16 | Apr-17 |
| I-605, I-605/Katella Interchange (Draft) | TBD | TBD | TBD | TBD | TBD | TBD | TBD | TBD | TBD |
| Project M | TBD | Jul-16 | Jun-18 | TBD | TBD | TBD | TBD | TBD | TBD |
| Grade Separation Projects: | | | | | | | | | |
| Sand Canyon Avenue Railroad Grade Separation | \$55.6 | N/A | Sep-03 | Jan-04 | Jul-10 | Jul-10 | Oct-10 | Feb-11 | May-14 |
| Project R | \$63.7 | N/A | Sep-03 | Jan-04 | Jul-10 | Jul-10 | Oct-10 | Feb-11 | Jul-15 |
| Raymond Avenue Railroad Grade Separation | \$77.2 | Feb-09 | Nov-09 | Mar-10 | Aug-12 | Nov-12 | Feb-13 | May-13 | Aug-18 |
| Project O | \$116.3 | Feb-09 | Nov-09 | Mar-10 | Dec-12 | Jul-13 | Oct-13 | Feb-14 | Aug-18 |
| State College Boulevard Railroad Grade Separation (Fullerton) | \$73.6 | Dec-08 | Jan-11 | Jul-06 | Aug-12 | Nov-12 | Feb-13 | May-13 | May-18 |
| Project O | \$92.8 | Dec-08 | Apr-11 | Jul-06 | Feb-13 | May-13 | Sep-13 | Feb-14 | May-18 |
| Placentia Avenue Railroad Grade Separation | \$78.2 | Jan-01 | May-01 | Jan-09 | Mar-10 | May-10 | Mar-11 | Jun-11 | Nov-14 |
| Project O | \$61.3 | Jan-01 | May-01 | Jan-09 | Jun-10 | Jan-11 | Mar-11 | Jul-11 | Dec-14 |
| Kraemer Boulevard Railroad Grade Separation | \$70.4 | Jan-01 | Sep-09 | Jan-09 | Jul-10 | Jul-10 | Apr-11 | Aug-11 | Oct-14 |
| Project O | \$64.2 | Jan-01 | Sep-09 | Feb-09 | Jul-10 | Jan-11 | Jun-11 | Sep-11 | Dec-14 |
| Orangethorpe Avenue Railroad Grade Separation | \$117.4 | Jan-01 | Sep-09 | Feb-09 | Dec-11 | Dec-11 | Feb-12 | May-12 | Sep-16 |
| Project O | \$104.6 | Jan-01 | Sep-09 | Feb-09 | Oct-11 | Apr-12 | Sep-12 | Jan-13 | Sep-16 |
| Tustin Avenue/Rose Drive Railroad Grade Separation | \$103.0 | Jan-01 | Sep-09 | Feb-09 | Dec-11 | Mar-12 | May-12 | Aug-12 | May-16 |
| Project O | \$99.2 | Jan-01 | Sep-09 | Feb-09 | Jul-11 | Jun-12 | Oct-12 | Feb-13 | May-16 |
| Lakeview Avenue Railroad Grade Separation | \$70.2 | Jan-01 | Sep-09 | Feb-09 | Oct-11 | Oct-12 | Feb-13 | May-13 | Mar-17 |
| Project O | \$99.2 | Jan-01 | Sep-09 | Feb-09 | Jan-13 | Apr-13 | Sep-13 | Nov-13 | Mar-17 |
| 17th Street Railroad Grade Separation | TBD | Oct-14 | Jun-16 | TBD | TBD | TBD | TBD | TBD | TBD |
| Project R | TBD | Oct-14 | Jun-16 | TBD | TBD | TBD | TBD | TBD | TBD |
| Rail and Station Projects: | | | | | | | | | |
| Rail-Highway Grade Crossing Safety Enhancement | \$94.4 | Jan-08 | Oct-08 | Jan-08 | Sep-08 | Sep-08 | Sep-08 | Aug-09 | Dec-11 |
| Project R | \$94.4 | Jan-08 | Oct-08 | Jan-08 | Sep-08 | Sep-08 | Sep-08 | Aug-09 | Dec-11 |
| San Clemente Beach Trail Safety Enhancements | \$6.0 | Sep-10 | Jul-11 | Feb-12 | Apr-12 | Apr-12 | Jul-12 | Oct-12 | Jan-14 |
| Project R | \$4.9 | Sep-10 | Jul-11 | Feb-12 | Jun-12 | Jun-12 | Oct-12 | May-13 | Mar-14 |
| San Juan Capistrano Passing Siding | \$25.3 | Aug-11 | Jan-13 | Mar-15 | May-16 | May-16 | Aug-16 | Dec-16 | Jan-19 |
| | \$25.3 | Aug-11 | Mar-14 | Mar-15 | May-16 | May-16 | Aug-16 | Dec-16 | Jan-19 |
| Anaheim Rapid Connection (schedule on hold) | TBD | Jan-09 | Oct-14 | TBD | TBD | TBD | TBD | TBD | TBD |
| Project S | TBD | Jan-09 | TBD | TBD | TBD | TBD | TBD | TBD | TBD |

Capital Action Plan

Status Through Jun 2015

Updated: Jul 17, 2015

| Capital Projects | Cost | Schedule | | | | | | | |
|---|-----------------|---------------------|------------------------|---------------|-----------------|--------------------|------------------------|----------------|-----------------------|
| | Budget/Forecast | Plan/Forecast | | | | | | | |
| | (millions) | Begin Environmental | Complete Environmental | Begin Design | Complete Design | Construction Ready | Advertise Construction | Award Contract | Complete Construction |
|  OC Streetcar  Project S | TBD | Aug-09 | Mar-12 | TBD | TBD | TBD | TBD | TBD | TBD |
| | TBD | Aug-09 | Mar-15 | Jan-16 | May-17 | Aug-17 | Sep-17 | Nov-17 | Dec-19 |
| Placentia Metrolink Station and Parking Structure | TBD | Jan-03 | May-07 | Oct-08 | Jan-11 | TBD | TBD | TBD | TBD |
| | TBD | Jan-03 | May-07 | Oct-08 | Feb-11 | TBD | TBD | TBD | TBD |
| Anaheim Canyon Station | TBD | TBD | TBD | TBD | TBD | TBD | TBD | TBD | TBD |
| | \$21.0 | Dec-15 | Jan-17 | Sep-17 | Nov-18 | Nov-18 | Jan-19 | May-19 | Jul-20 |
| Orange Station Parking Expansion | \$18.6 | Dec-09 | Dec-12 | Nov-10 | Apr-13 | TBD | TBD | TBD | TBD |
| | \$18.6 | Dec-09 | Jan-16 | Nov-10 | Jan-16 | Feb-16 | Feb-16 | Apr-16 | Jun-17 |
| Fullerton Transportation Center - Elevator Upgrades | \$3.5 | N/A | N/A | Jan-12 | Dec-13 | Dec-13 | Jun-14 | Sep-14 | Jan-16 |
| | \$4.0 | N/A | N/A | Jan-12 | Dec-13 | Dec-13 | Aug-14 | Apr-15 | Aug-16 |
| Laguna Niguel/Mission Viejo Metrolink Station ADA Ramps | \$3.5 | Jul-13 | Jan-14 | Jul-13 | Aug-14 | Aug-14 | Sep-14 | Jan-15 | Feb-16 |
| | \$3.8 | Jul-13 | Feb-14 | Jul-13 | Jul-15 | Jul-15 | Jul-15 | Nov-15 | Feb-17 |
|  Anaheim Regional Transportation Intermodal Center Project R & T | \$227.4 | Apr-09 | Feb-11 | Jun-09 | Feb-12 | Feb-12 | May-12 | Jul-12 | Nov-14 |
| | \$230.4 | Apr-09 | Feb-12 | Jun-09 | May-12 | May-12 | May-12 | Sep-12 | Dec-14 |

Note: Costs associated with landscape projects are included in respective freeway projects.

Grey = Milestone achieved

Green = Forecast milestone meets or exceeds plan

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

Red = Forecast milestone is over three months later than plan

Begin Environmental: The date work on the environmental clearance, project report, or preliminary engineering phase begins.

Complete Environmental: The date environmental clearance and project approval is achieved.

Begin Design: The date final design work begins, or the date when a design-build contract begins.

Complete Design: The date final design work is 100 percent complete and approved.

Construction Ready: The date contract bid documents are ready for advertisement, including certification of right-of-way, all agreements executed, contract constraints are cleared.

Advertise for Construction: The date a construction contract is both funded and advertised for bids.

Award Contract: The date the construction contract is awarded.

Construction Complete: The date all construction work is completed and the project is open to public use.

Acronyms

I-5 - Santa Ana Freeway (Interstate 5)

SR-73 - San Joaquin Freeway (State Route 73)

SR-55 - Costa Mesa Freeway (State Route 55)

SR-57 - Orange Freeway (State Route 57)

SR-91 - Riverside Freeway (State Route 91)

SR-133 - Laguna Freeway (State Route 133)

SR-22 - Garden Grove Freeway (State Route 22)

I-405 - San Diego Freeway (Interstate 405)

SR-241 - Foothill/Eastern Transportation Corridor (State Route 241)

I-605 - San Gabriel River Freeway (Interstate 605)

SR-71 - Corona Expressway (State Route 71)

HOV - High-occupancy vehicle

ADA - Americans with Disabilities Act



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Capital Programs Division - Fourth Quarter Fiscal Year
2014-15 and Planned Fiscal Year 2015-16 Capital Action
Plan Performance Metrics**

Attachment B

Capital Programs Division

Fiscal Year 2014-15 Performance Metrics Status Through June 2015

Begin Environmental

| Project Description | FY 15 Qtr 1 | | FY 15 Qtr 2 | | FY 15 Qtr 3 | | FY 15 Qtr 4 | | FY 15 Fcst |
|--|-------------|--------|-------------|--------|-------------|--------|-------------|--------|------------|
| | Fcst | Actual | Fcst | Actual | Fcst | Actual | Fcst | Actual | |
| 17th Street Railroad Grade Separation | X | | | ✓ | | | | | |
| SR-91, SR-57 to SR-55 | | | X | | | ✓ | | | |
| I-405, I-5 to SR-55 | | | X | ✓ | | | | | |
| I-405 (Southbound), SR-133 to University Drive | | | | | X | ✓ | | | |
| Total Forecast/Actual | 1 | 0 | 2 | 2 | 1 | 2 | 0 | 0 | 4 |

Complete Environmental

| Project Description | FY 15 Qtr 1 | | FY 15 Qtr 2 | | FY 15 Qtr 3 | | FY 15 Qtr 4 | | FY 15 Fcst |
|--|-------------|--------|-------------|--------|-------------|--------|-------------|--------|------------|
| | Fcst | Actual | Fcst | Actual | Fcst | Actual | Fcst | Actual | |
| Santa Ana/Garden Grove Fixed-Guideway | | | X | | | ✓ | | | |
| Orange Metrolink Station Parking Expansion | | | X | | | | | | (missed) |
| I-5, SR-55 to SR-57 | | | | | X | | | ✓ | |
| I-405, SR-55 to I-605 (Design-Build) | | | | | | | X | ✓ | |
| I-5 Continuous HOV Lane Access | | | | | | | | ✓ | (added) |
| Total Forecast/Actual | 0 | 0 | 2 | 0 | 1 | 1 | 1 | 3 | 4 |

Begin Design

| Project Description | FY 15 Qtr 1 | | FY 15 Qtr 2 | | FY 15 Qtr 3 | | FY 15 Qtr 4 | | FY 15 Fcst |
|---|-------------|--------|-------------|--------|-------------|--------|-------------|--------|------------|
| | Fcst | Actual | Fcst | Actual | Fcst | Actual | Fcst | Actual | |
| I-5, Oso Parkway to Alicia Parkway | X | | | ✓ | | | | | |
| I-5, SR-73 to Oso Parkway | | | X | | | ✓ | | | |
| San Juan Capistrano Passing Siding | | | X | | | ✓ | | | |
| I-5, I-5/Ortega Interchange Landscape | | | | | X | ✓ | | | |
| I-5, Alicia Parkway to El Toro Road | | | | | X | | | ✓ | |
| SR-91 (Westbound), I-5 to SR-57 Landscape | | | | | X | ✓ | | | |
| Santa Ana/Garden Grove Fixed-Guideway | | | | | | | X | | (missed) |
| I-5, SR-55 to SR-57 | | | | | | | | ✓ | (added) |
| Total Forecast/Actual | 1 | 0 | 2 | 1 | 3 | 4 | 1 | 2 | 7 |

Complete Design

| Project Description | FY 15 Qtr 1 | | FY 15 Qtr 2 | | FY 15 Qtr 3 | | FY 15 Qtr 4 | | FY 15 Fcst |
|---|-------------|--------|-------------|--------|-------------|--------|-------------|--------|------------|
| | Fcst | Actual | Fcst | Actual | Fcst | Actual | Fcst | Actual | |
| I-405, SR-55 to I-605 (Design-Build) | | | | | X | | | | (missed) |
| Laguna Niguel/Mission Viejo Station ADA Ramps | | | | | X | | | | (missed) |
| SR-57 (Northbound), Orangethorpe Avenue to Lambert Road Landscape | | | | | | | X | | (missed) |
| Orange Metrolink Station Parking Expansion | | | | | | | X | | (missed) |
| Total Forecast/Actual | 0 | 0 | 0 | 0 | 2 | 0 | 2 | 0 | 4 |

Construction Ready

| Project Description | FY 15 Qtr 1 | | FY 15 Qtr 2 | | FY 15 Qtr 3 | | FY 15 Qtr 4 | | FY 15 Fcst |
|---|-------------|--------|-------------|--------|-------------|--------|-------------|--------|------------|
| | Fcst | Actual | Fcst | Actual | Fcst | Actual | Fcst | Actual | |
| Laguna Niguel/Mission Viejo Station ADA Ramps | | | | | X | | | | (missed) |
| SR-57 (Northbound), Orangethorpe Avenue to Lambert Road Landscape | | | | | | | X | | (missed) |
| I-405, SR-55 to I-605 (Design-Build) | | | | | | | X | | (missed) |
| I-405/SR-22/I-605 HOV Connector Landscape | | | | | | | X | | (missed) |
| Orange Metrolink Station Parking Expansion | | | | | | | X | | (missed) |
| Total Forecast/Actual | 0 | 0 | 0 | 0 | 1 | 0 | 4 | 0 | 5 |

Capital Programs Division

Fiscal Year 2014-15 Performance Metrics Status Through June 2015

Advertise Construction

| Project Description | FY 15 Qtr 1 | | FY 15 Qtr 2 | | FY 15 Qtr 3 | | FY 15 Qtr 4 | | FY 15 Fcst |
|---|-------------|--------|-------------|--------|-------------|--------|-------------|--------|------------|
| | Fcst | Actual | Fcst | Actual | Fcst | Actual | Fcst | Actual | |
| I-5, Avenida Pico to Avenida Vista Hermosa | X | ✓ | | | | | | | |
| Fullerton Transportation Center Elevator Upgrades | X | ✓ | | | | | | | |
| Laguna Niguel/Mission Viejo Metrolink Station ADA Ramps | | | | | X | | | | (missed) |
| I-405, SR-55 to I-605 (Design-Build) | | | | | | | X | | (missed) |
| Total Forecast/Actual | 2 | 2 | 0 | 0 | 1 | 0 | 1 | 0 | 4 |

Award Contract

| Project Description | FY 15 Qtr 1 | | FY 15 Qtr 2 | | FY 15 Qtr 3 | | FY 15 Qtr 4 | | FY 15 Fcst |
|---|-------------|--------|-------------|--------|-------------|--------|-------------|--------|------------|
| | Fcst | Actual | Fcst | Actual | Fcst | Actual | Fcst | Actual | |
| Fullerton Transportation Center Elevator Upgrades | X | | | | | | | ✓ | |
| I-5, Avenida Pico to Vista Hermosa | | | X | ✓ | | | | | |
| Laguna Niguel/Mission Viejo Metrolink Station ADA Ramps | | | | | | | X | | (missed) |
| Total Forecast/Actual | 1 | 0 | 1 | 1 | 0 | 0 | 1 | 1 | 3 |

Complete Construction

| Project Description | FY 15 Qtr 1 | | FY 15 Qtr 2 | | FY 15 Qtr 3 | | FY 15 Qtr 4 | | FY 15 Fcst |
|--|-------------|--------|-------------|--------|-------------|--------|-------------|--------|------------|
| | Fcst | Actual | Fcst | Actual | Fcst | Actual | Fcst | Actual | |
| SR-57 (Northbound), Orangethorpe Avenue to Yorba Linda | X | | | ✓ | | | | | |
| Placentia Avenue Railroad Grade Separation | X | | | ✓ | | | | | |
| Kraemer Boulevard Railroad Grade Separation | X | | | ✓ | | | | | |
| SR-91, SR-55 to SR-241 Landscape | | | X | | | ✓ | | | |
| Sand Canyon Avenue Railroad Grade Separation | | | X | | | | | | (missed) |
| Anaheim Regional Transportation Intermodal Center | | | X | ✓ | | | | | |
| SR-57 (Northbound), Katella Avenue to Lincoln Avenue | | | | | X | | | ✓ | |
| I-405/SR-22 HOV Connector | | | | | X | ✓ | | | |
| I-405/I-605 HOV Connector | | | | | X | ✓ | | | |
| Total Forecast/Actual | 3 | 0 | 3 | 4 | 3 | 3 | 0 | 1 | 9 |

| | | | | | | | | | |
|--------|---|---|----|---|----|----|----|---|----|
| Totals | 8 | 2 | 10 | 8 | 12 | 10 | 10 | 7 | 40 |
|--------|---|---|----|---|----|----|----|---|----|

Begin Environmental: The date work on the environmental clearance, project report, or preliminary engineering phase begins.

Complete Environmental: The date environmental clearance and project approval is achieved.

Begin Design: The date final design work begins or the date when a design-build contract begins.

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Construction Ready: The date contract bid documents are ready for advertisement, right-of-way certified, all agreements executed, and contract constraints are cleared.

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Acronyms

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 SR-73 - San Joaquin Freeway (State Route 73)
 SR-55 - Costa Mesa Freeway (State Route 55)
 SR-57 - Orange Freeway (State Route 57)
 SR-91 - Riverside Freeway (State Route 91)
 I-605 - San Gabriel River Freeway (Interstate 605)
 I-405 - San Diego Freeway (Interstate 405)
 SR-241 - Foothill/Eastern Transportation Corridor (State Route 241)
 SR-133 - Laguna Freeway (State Route 133)
 SR-22 - Garden Grove Freeway (State Route 22)
 ADA - Americans with Disability Act
 HOV - High-occupancy vehicle

X = milestone forecast in quarter

✓ = milestone accomplished in quarter



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Capital Programs Division - Fourth Quarter Fiscal Year
2014-15 and Planned Fiscal Year 2015-16 Capital Action
Plan Performance Metrics**

Attachment C

Capital Programs Division Fiscal Year 2015-16 Performance Metrics

Begin Environmental

| Project Description | FY 15 Qtr 1 | | FY 15 Qtr 2 | | FY 15 Qtr 3 | | FY 15 Qtr 4 | | FY 15 Fcst |
|---|-------------|--------|-------------|--------|-------------|--------|-------------|--------|---------------|
| | Fcst | Actual | Fcst | Actual | Fcst | Actual | Fcst | Actual | |
| SR-57 (Northbound), Orangewood Avenue to Katella Avenue | | | X | | | | | | |
| Anaheim Canyon Metrolink Station | | | X | | | | | | |
| SR-55, I-5 to SR-91 | | | | | | | X | | |
| Total Forecast/Actual | 0 | 0 | 2 | 0 | 0 | 0 | 1 | 0 | 3 |

Complete Environmental

| Project Description | FY 15 Qtr 1 | | FY 15 Qtr 2 | | FY 15 Qtr 3 | | FY 15 Qtr 4 | | FY 15 Fcst |
|--|-------------|--------|-------------|--------|-------------|--------|-------------|--------|---------------|
| | Fcst | Actual | Fcst | Actual | Fcst | Actual | Fcst | Actual | |
| Orange Metrolink Station Parking Expansion | | | | | X | | | | |
| 17th Street Railroad Grade Separation | | | | | | | X | | |
| Total Forecast/Actual | 0 | 0 | 0 | 0 | 1 | 0 | 1 | 0 | 2 |

Begin Design

| Project Description | FY 15 Qtr 1 | | FY 15 Qtr 2 | | FY 15 Qtr 3 | | FY 15 Qtr 4 | | FY 15 Fcst |
|-----------------------|-------------|--------|-------------|--------|-------------|--------|-------------|--------|---------------|
| | Fcst | Actual | Fcst | Actual | Fcst | Actual | Fcst | Actual | |
| OC Streetcar | | | | | X | | | | |
| Total Forecast/Actual | 0 | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 1 |

Complete Design

| Project Description | FY 15 Qtr 1 | | FY 15 Qtr 2 | | FY 15 Qtr 3 | | FY 15 Qtr 4 | | FY 15 Fcst |
|---|-------------|--------|-------------|--------|-------------|--------|-------------|--------|---------------|
| | Fcst | Actual | Fcst | Actual | Fcst | Actual | Fcst | Actual | |
| Laguna Niguel/Mission Viejo Metrolink Station ADA Ramps | X | | | | | | | | |
| I-405, SR-55 to I-605 (Design-Build) | | | X | | | | | | |
| SR-57 (Northbound), Orangethorpe Avenue to Lambert Road Landscape | | | | | X | | | | |
| SR-91 (Westbound), I-5 to SR-57 Landscape | | | | | X | | | | |
| Orange Metrolink Station Parking Expansion | | | | | X | | | | |
| San Juan Capistrano Passing Siding | | | | | | | X | | |
| Total Forecast/Actual | 1 | 0 | 1 | 0 | 3 | 0 | 1 | 0 | 6 |

Construction Ready

| Project Description | FY 15 Qtr 1 | | FY 15 Qtr 2 | | FY 15 Qtr 3 | | FY 15 Qtr 4 | | FY 15 Fcst |
|---|-------------|--------|-------------|--------|-------------|--------|-------------|--------|---------------|
| | Fcst | Actual | Fcst | Actual | Fcst | Actual | Fcst | Actual | |
| Laguna Niguel/Mission Viejo Metrolink Station ADA Ramps | X | | | | | | | | |
| I-405/SR-22/I-605 HOV Connector Landscape | | | X | | | | | | |
| Orange Metrolink Station Parking Expansion | | | | | X | | | | |
| SR-57 (Northbound), Katella Avenue to Lincoln Avenue Landscape | | | | | | | X | | |
| SR-57 (Northbound), Orangethorpe Avenue to Lambert Road Landscape | | | | | | | X | | |
| SR-91 (Westbound), I-5 to SR-57 Landscape | | | | | | | X | | |
| I-405, SR-55 to I-605 (Design-Build) | | | | | | | X | | |
| San Juan Capistrano Passing Siding | | | | | | | X | | |
| Total Forecast/Actual | 1 | 0 | 1 | 0 | 1 | 0 | 5 | 0 | 8 |

Advertise Construction

| Project Description | FY 15 Qtr 1 | | FY 15 Qtr 2 | | FY 15 Qtr 3 | | FY 15 Qtr 4 | | FY 15 Fcst |
|---|-------------|--------|-------------|--------|-------------|--------|-------------|--------|---------------|
| | Fcst | Actual | Fcst | Actual | Fcst | Actual | Fcst | Actual | |
| Laguna Niguel/Mission Viejo Metrolink Station ADA Ramps | X | | | | | | | | |
| I-5/Ortega Highway Interchange Landscape | | | X | | | | | | |
| I-405/SR-22/I-605 HOV Connector Landscape | | | | | X | | | | |
| Orange Metrolink Station Parking Expansion | | | | | X | | | | |
| SR-57 (Northbound), Katella Avenue to Lincoln Avenue Landscape | | | | | | | X | | |
| SR-57 (Northbound), Orangethorpe Avenue to Lambert Road Landscape | | | | | | | X | | |
| I-405, SR-55 to I-605 (Design-Build) | | | | | | | X | | |
| Total Forecast/Actual | 1 | 0 | 1 | 0 | 2 | 0 | 3 | 0 | 7 |

Capital Programs Division

Fiscal Year 2015-16 Performance Metrics

Award Contract

| Project Description | FY 15 Qtr 1 | | FY 15 Qtr 2 | | FY 15 Qtr 3 | | FY 15 Qtr 4 | | FY 15 Fcst |
|---|-------------|--------|-------------|--------|-------------|--------|-------------|--------|------------|
| | Fcst | Actual | Fcst | Actual | Fcst | Actual | Fcst | Actual | |
| Laguna Niguel/Mission Viejo Metrolink Station ADA Ramps | | | X | | | | | | |
| I-5/Ortega Highway Interchange Landscape | | | | | X | | | | |
| I-405/SR-22/I-605 HOV Connector Landscape | | | | | X | | | | |
| Orange Metrolink Station Parking Expansion | | | | | | | X | | |
| Total Forecast/Actual | 0 | 0 | 1 | 0 | 2 | 0 | 1 | 0 | 4 |

Complete Construction

| Project Description | FY 15 Qtr 1 | | FY 15 Qtr 2 | | FY 15 Qtr 3 | | FY 15 Qtr 4 | | FY 15 Fcst |
|--|-------------|--------|-------------|--------|-------------|--------|-------------|--------|------------|
| | Fcst | Actual | Fcst | Actual | Fcst | Actual | Fcst | Actual | |
| Sand Canyon Avenue Railroad Grade Separation | X | | | | | | | | |
| I-5/Ortega Highway Interchange | | | X | | | | | | |
| Tustin Avenue/Rose Drive Railroad Grade Separation | | | | | | | X | | |
| Total Forecast/Actual | 1 | 0 | 1 | 0 | 0 | 0 | 1 | 0 | 3 |
| Totals | 4 | 0 | 7 | 0 | 10 | 0 | 13 | 0 | 34 |

Begin Environmental: The date work on the environmental clearance, project report, or preliminary engineering phase begins.

Complete Environmental: The date environmental clearance and project approval is achieved.

Begin Design: The date final design work begins or the date when a design-build contract begins.

Complete Design: The date final design work is 100 percent complete and approved.

Construction Ready: The date contract bid documents are ready for advertisement, right-of-way certified, all agreements executed, and contract constraints are cleared.

Advertise for Construction: The date a construction contract is both funded and advertised for bids.

Award Contract: The date the construction contract is awarded.

Construction Complete: The date all construction work is completed and the project is open to public use.

Acronyms

I-5 - Santa Ana Freeway (Interstate 5)

SR-73 - San Joaquin Freeway (State Route 73)

SR-55 - Costa Mesa Freeway (State Route 55)

SR-57 - Orange Freeway (State Route 57)

SR-91 - Riverside Freeway (State Route 91)

I-605 - San Gabriel River Freeway (Interstate 605)

I-405 - San Diego Freeway (Interstate 405)


SR-241 - Foothill/Eastern Transportation Corridor (State Route 241)

SR-22 - Garden Grove Freeway (State Route 22)

ADA - Americans with Disability Act

HOV - high-occupancy vehicle

X = milestone forecast in quarter

 = milestone accomplished in quarter



COMMITTEE TRANSMITTAL

September 14, 2015

To: Members of the Board of Directors

From:  Laurena Weinert, Clerk of the Board

Subject: Measure M2 Progress Report for the Period of April 2015
Through June 2015 and Ten-Year Review

Executive Committee Meeting of September 11, 2015

Present: Chairman Lalloway, Vice Chair Donchak, and Directors Murray,
Spitzer, Steel, and Ury

Absent: Directors Hennessey and Nelson

Committee Vote

Following the discussion on this item, no action was taken on this receive and file information item.

Staff Recommendation

Receive and file as an information item.



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Measure M2 Progress Report for the Period of April 2015
Through June 2015 and Ten-Year Review**

Staff Report



September 11, 2015

To: Executive Committee

From: Darrell Johnson, Chief Executive Officer 

Subject: Measure M2 Quarterly Progress Report for the Period of April 2015 Through June 2015 and Ten-Year Review Update

Overview

Staff has prepared a Measure M2 quarterly progress report for the period of April 2015 through June 2015, along with a Ten-Year Review update for the Orange County Transportation Authority Board of Directors. Implementation of Measure M2 continues at a fast pace. This report highlights progress on Measure M2 projects and programs and will be available to the public via the Orange County Transportation Authority website.

Recommendation

Receive and file as an information item.

Background

On November 7, 2006, Orange County voters, by a margin of 69.7 percent, approved the renewal of the Measure M Plan (Plan), a one half-cent sales tax for transportation improvements. The Plan provides a 30-year revenue stream for a broad range of transportation and environmental improvements, as well as a governing ordinance which defines all the requirements for implementing the Plan. The ordinance designates the Orange County Transportation Authority (OCTA) as responsible for administering the Plan and ensuring OCTA's contract with the voters is followed.

OCTA is committed to fulfilling the promises made in Measure M2 (M2). This means not only completing the projects described in the Plan, but adhering to numerous specific requirements and high standards of quality called for in the measure as identified in the M2 Ordinance and Transportation Investment Plan. Ordinance No. 3 requires quarterly status reports regarding the major projects detailed in the plan be brought to the OCTA Board of Directors (Board).

All M2 progress reports are posted online for public review. Additionally, Ordinance No. 3 also requires a Ten-Year Review which is currently underway, and a brief update on staff's progress in conducting this review is included in this report.

Discussion

This quarterly report reflects current activities and progress within the overall M2 Program for the period of April 1, 2015 through June 30, 2015 (Attachment A).

The quarterly report is designed to be easy to navigate and public friendly, reflecting OCTA's Strategic Plan transparency goals. The report includes budget and schedule information included in the Capital Action Plan, Local Fair Share Program, and Senior Mobility Program payments made to cities this quarter, as well as total payments from M2 inception through June 2015.

M2020 Plan

Pages one through four of Attachment A (in every M2 quarterly report) include OCTA's progress on delivering the 14 objectives identified in the M2020 Plan. In summary, all 14 objectives are on track to be delivered as adopted by the Board. The Program Management Office (PMO), working closely with OCTA's division directors and project managers, will continue to monitor and analyze risks associated with delivering the M2 program of projects. Staff will continue to keep the Board informed on these challenges through Capital Programs metrics staff reports, separate project specific staff reports, and these quarterly progress reports.

Additionally, Attachment A includes a summary of M2 PMO activities that have taken place during the quarter. One area in particular is highlighted below.

M2 Ten-Year Review

M2 Ordinance No. 3 requires that a comprehensive review take place at least every ten years to include all M2 project and program elements included in the Transportation Investment Plan. The PMO is leading the Ten-Year Review with participation from each of the divisions. On April 13, 2015, staff presented to the Board the outline of the activities and identified the following objectives:

1. Research and identify external policy and/or regulatory changes at the local, state, and federal level, as well as changes in land use, travel, and growth projections that require consideration.
2. Evaluate current project and program cost estimates, and the financial capacity of the sales tax revenue through 2041 to confirm Plan delivery.

3. Review M2 program and project elements to determine if there are performance issues or constraints to the promised delivery.
4. Assess public and stakeholder support for the Plan.
5. Identify OCTA and local jurisdictions progress in implementing the Plan.

The review is well underway with research and analysis taking place. Three of the five objectives are nearly complete. The bulk of the remaining work will focus on evaluating the financial capacity of the M2 Program, as well as assessing public and stakeholder support. In addition to the regular updates provided in these quarterly reports, staff anticipates bringing a draft Ten-Year Review report to the Board in October 2015. A final report for the Board's review is planned for November 2015.

The following highlights M2 Program accomplishments that occurred during the second quarter:

- The final environmental document and the final project report for Interstate 5 (I-5), between State Route 55 (SR-55) and State Route 57 (SR-57) was approved by the California Department of Transportation (Caltrans), respectively, on April 8, 2015 and May 1, 2015. The design phase began on June 30, 2015 (Project A).
- The project study report/project development support (PSR/PDS) document for Interstate 605 (I-605)/Katella Avenue was approved by Caltrans. This is the final M2 freeway project to complete the PSR/PDS phase of work. The project is now eligible to advance to the environmental phase of the project development process.
- Staff completed review of Letters of Interest submitted by eight local agencies and conducted meetings with the ten agencies that expressed interest in the Community-Based Transit Circulator (Project V). On June 24, 2015, OCTA held a Project V Workshop with the Technical Advisory Committee (TAC) to obtain feedback on the guidelines and provide information to encourage applicants for the next call for projects (call). Staff plans to present the revised Project V Guidelines to the TAC in August 2015, and to the Board in October 2015, as well as announce the next call.
- With the successful conclusion of the environmental phase for the Santa Ana/Garden Grove OC Streetcar Project (Project S), OCTA has assumed lead agency responsibility. On April 14, 2015, OCTA hosted a

project update and alignment tour meeting with staff from the Federal Transit Administration (FTA) Headquarters and their local Region 9 office. During this meeting, the FTA expressed strong support for the project. On May 5, 2015, the FTA formally approved the project to move into the project development phase of the federal New Starts Program. Consistent with guidance provided by FTA during the April meeting, OCTA staff is currently working on the project application for entry into engineering for submission in September 2015.

- On April 27, 2015, the Board authorized the design-build cooperative agreement for the Interstate 405 (I-405) Project (Project), between State Route 73 (SR-73) and I-605 (Project K), approved the terms and conditions negotiated with Caltrans, and directed staff to take steps to implement the Project preferred alternative.
- On June 8, 2015, the Board approved the selection of Jacobs Project Management Co. to provide construction management services for Project K. Also on June 8, 2015, the Board approved an amendment to the agreement with Parsons Transportation Group to prepare an Investment Grade Traffic and Revenue Study for the Project. During the quarter, the federal Record of Decision was issued on May 15, 2015, and the state Notice of Determination was issued on June 17, 2015. In addition, the revised design-build request for qualifications was issued on May 28, 2015.
- At the April 13, 2015 Board meeting, the Board approved project funding for the fifth round of the Regional Capacity Program (Project O). This brings the total projects funded to 103, with a total of \$193 million awarded by the Board since 2011.
- Also on April 13, 2015, the Board approved funding for the fifth round in the Regional Traffic Signal Synchronization Program (RTSSP) (Project P). This brings the total projects funded to 72, with a total of \$57.1 million awarded since 2011.
- On April 5, 2015, several schedule changes to the Metrolink Service Expansion Program (Project R) service were made effective. A new connection was added between the 91 Line and the intra-county service at Fullerton to allow a later southbound peak evening departure from Los Angeles to Orange County. Staff will continue to monitor ridership on these trains, but initial data through June 2015 indicates ridership increased as a result of these schedule changes.

- The fifth Tier 1 call for environmental cleanup projects (Project X) was completed on May 15, 2015. A total of 26 applications were received from 21 agencies. Staff anticipates seeking Board approval for Tier 1 funding recommendations in August 2015.

The following recent accomplishments have taken place after the close of the fourth quarter:

- On July 13, 2015 the Board approved a draft memorandum of understanding between OCTA and the City of Santa Ana for the OC Streetcar Project (Project S), outlining general terms and conditions for project development, implementation, and operations and maintenance of the project. The Board also adopted findings and facts as required by the California Environmental Quality Act regarding the environmental impact report for the project that was prepared by the City of Santa Ana.
- Invitation for bids for construction of the Laguna Niguel/Mission Viejo Metrolink Station Improvements to provide Americans with Disabilities Act compliant access ramps to the existing pedestrian undercrossing was released by the Board on July 27, 2015, with the bid opening on August 27, 2015. This project is anticipated to seek Board approval for construction at the October 26, 2015 meeting.
- On July 27, 2015, the Board officially named the Santa Ana/Garden Grove Streetcar the OC Streetcar (Project S), which will assist in the public outreach and marketing program to create awareness of and interest in this new service scheduled to start operation in 2019.
- With direction from the Board on August 10, 2015, OCTA staff is working with Caltrans to enter into a cooperative agreement to provide independent quality assurance and approvals for the preparation of the environmental document for the SR-55 project between I-5 and State Route 91 (SR-91).
- The request for proposals for consultant services to prepare the environmental document for SR-55, from I-5 to SR-91, was issued on August 10, 2015, following Board approval.
- With approval by the Board on August 10, 2015, the Comprehensive Transportation Funding Programs Guidelines were revised and the 2016 annual call for the Regional Capacity Program for approximately \$38 million, and the RTSSP for approximately \$12 million was issued.

- On August 10, 2015 the Board approved a list of 18 water quality improvement projects totaling \$2.9 million to receive M2 Environmental Cleanup Program funding.
- The Board granted a one-year extension to the City of La Habra on August 24, 2015 to meet the minimum performance target for the Project V La Habra Shuttle Service Route 103B, and decrease Measure M Project V operating reserve by \$929,820 through 2020.
- A consultant was selected on August 24, 2015 to conduct preliminary engineering and environmental services for the Anaheim Canyon Metrolink Station Project to construct a second main track and platform, lengthen the existing platform, and improve pedestrian circulation, benches, and shade structures.
- On August 24, 2015 the Board approved a funding plan and provided additional direction for continued advancement of the OC Streetcar Project.

A critical factor in delivering M2 freeway projects is to ensure project scope, schedule, and budget remain on target. Project scope increases, project delays, and resulting cost increases can quickly affect project delivery.

The I-405 Project between SR-73 and I-605 currently has an estimated project cost of more than \$1 billion and is, therefore, required by the Federal Highway Administration to go through a rigorous Cost Estimate Review process. In order to be valid, the assessment needs to take place within 12 months of the start of construction. OCTA will perform this analysis early next year to ensure it is conducted within the 12-month window. The results of this effort will determine the final cost estimate.

Caltrans and OCTA continue to work together to move projects forward; however, as with any program, there are a number of issues that remain a challenge. Several projects are the topic of continued discussions between Caltrans and OCTA on the assumptions related to traffic studies for projects in the environmental phase, which include I-5 between SR-55 and I-405 (Project B), I-405 between SR-55 and I-5 (Project L), and SR-91 from SR-57 to SR-55 (Project I). Additionally, staff continues to work with Caltrans to seek approval on the revised traffic operations analysis on SR-55 between I-5 and I-405 (Project F), and to determine roles and responsibilities for the right-of-way phase on the I-5 project between SR-73 and El Toro Road (Project C).

Summary

As required by M2 Ordinance No. 3, a quarterly report covering activities from April 2015 through June 2015 is provided to update progress in implementing the M2 Transportation Investment Plan. Additionally, work is well underway on completing the Ten-Year Review, which is also a requirement of Ordinance No. 3. A draft review is planned to be brought to the Board in October 2015. The above information and the attached details indicate significant progress on the overall M2 Program. To be cost-effective and to facilitate accessibility and transparency of information available to stakeholders and the public, the M2 quarterly progress report is presented on the OCTA website. Hard copies are available by mail upon request.

Attachment

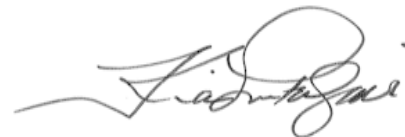
- A. Measure M2 Progress Report – Fourth Quarter of Fiscal Year 2014-15 – April 1, 2015 through June 30, 2015.

Prepared by:



Tamara Warren
Manager, Program Management Office
(714) 560-5590

Approved by:



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



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Measure M2 Progress Report for the Period of April 2015
Through June 2015 and Ten-Year Review**

Attachment A



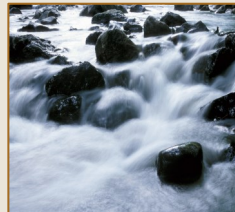
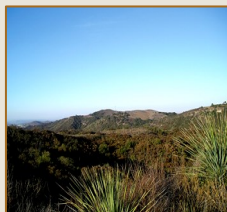
FOURTH QUARTER HIGHLIGHTS:

- Freeway Projects
- Streets & Roads
- Transit
- Environmental Cleanup & Water Quality
- Freeway Mitigation Program

Measure M2

Progress Report

Fourth Quarter of Fiscal Year 2014-15
April 1, 2015 through June 30, 2015



Measure M2

Progress Report



SUMMARY

As required by the Measure M2 (M2) Ordinance No. 3, a quarterly report covering activities **from April 1, 2015 through June 30, 2015** is provided to update progress in implementing the M2 Transportation Investment Plan.

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



Measure M2

Progress Report

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Measure M2

Progress Report



Project Schedules



Conceptual



Environmental



Design, Advertise & Award

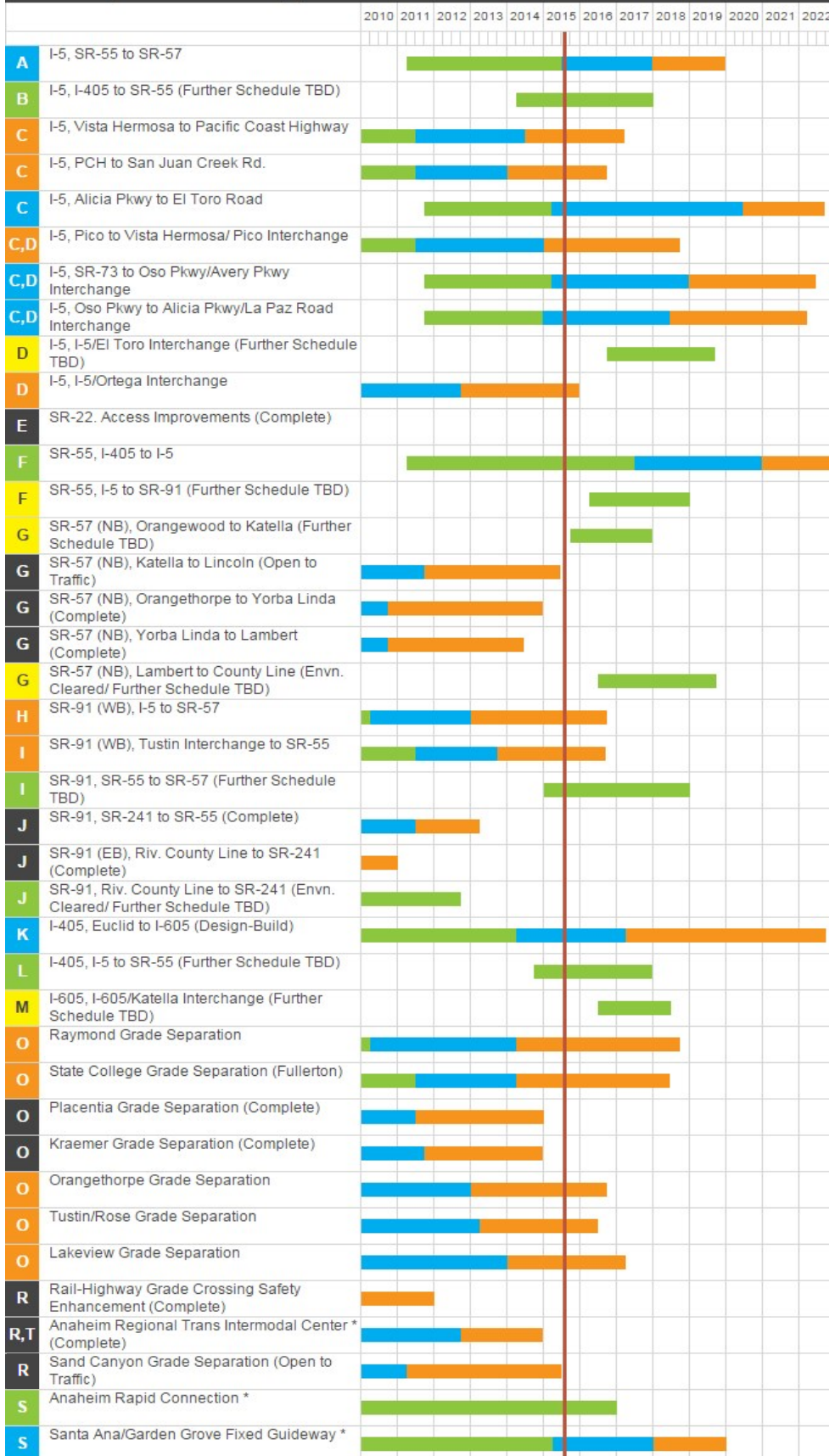


Construction



Completed

M2 Projects and Programs



* Projects managed by local agencies.

Project K is a Design-Build project, with some overlap in activities during phases. Phase work can be concurrent.

Shown schedules are subject to change.

Measure M2

Progress Report

M2 DELIVERY RISK UPDATE



Key:



One To Watch

At Risk

M2 Delivery Risk Update

Risks and challenges to overall Measure M2 delivery are described below with associated proposed actions and explanations. Originally, this section was dedicated to discussing the risks that were identified in the M2020 Plan, but now focuses on current M2 risks. This section will continue to be used to discuss overall risks and challenges to M2 that the Measure M Program Management Office is watching.

| Delivery Risk | Explanation | Proposed Action |
|---|---|---|
| 1 Delay in project phases affecting overall costs and ability to deliver projects. Caltrans and OCTA maintain varying perspectives with regard to freeway program delivery. | A critical factor in delivering M2 is keeping project costs and schedules on target. All projects must remain on-track to ensure overall Plan delivery. Additionally, Caltrans and OCTA must remain coordinated, despite varying charges. OCTA is the funding agency, whose M2 mandate is to deliver projects promised to the voters while limiting impacts to the community. Caltrans' strategy is to address ultimate need for long-term solutions whenever possible. The challenge is how to balance these strategies. | Identify critical program activities and develop strategies to minimize delays. OCTA and Caltrans will work together to find common ground and allow for project delivery, which is critical to the success of both agencies. Projects experiencing delays will continue to be highlighted in these quarterly reports as well as divisional metric reports as appropriate. If a project is nearing a critical delay, a separate and specific project staff report will be presented to the Board to ensure awareness. |
| 2 Availability of specialized staff given the scope of right-of-way (ROW) activities for the various freeway construction activities. The heavy demand on Caltrans' ROW resources will be a challenge for early acquisition. This is further challenged by a change in meeting frequency by the California Transportation Commission, a necessary step in ROW settlement. | Timely ROW acquisition and utility clearance has proven to be a key factor in reducing risk on construction projects. Expert and timely coordination between OCTA and Caltrans is imperative to manage this risk. With the exception of Project K (I-405), OCTA relies on our partner Caltrans for this work effort. | OCTA and Caltrans will need to work closely to address the risk associated with Caltrans' limited ROW resources. OCTA and Caltrans are currently in talks to determine ROW lead on the I-5 segment between Oso Parkway and El Toro Road; an item is expected to go to the Board in late summer. |
| 3 Availability of management and technical capabilities to deliver/operate future rail guideway projects. | In February 2015, the OCTA Board approved the procurement of project management consultant services for the upcoming engineering and construction phases of the Santa Ana/Garden Grove O.C. Streetcar Project. The selected project management consultant will assist OCTA in the development of plans related to project delivery, as well as management and operations. | The FTA requires the preparation of a Project Management Plan that OCTA will develop. The plan will demonstrate that we have the technical/ management capacity to construct and operate the OC Streetcar. This will have to be approved by FTA before construction. Rolled into this will be a Risk Management Plan. |
| 4 Changes in priorities over the life of the program. | The Plan of Finance adopted by the Board in 2012 included M2020 Plan Priorities and Commitments with 12 core principles to guide the Board in the event of a needed change. | Staff regularly monitors Plan performance and delivery constraints. This will also be looked at as part of the Ten Year Review process, which will be completed in late 2015 and will be brought to the Board next in October 2015. |

Measure M2

Progress Report

M2020 UPDATE



M2020 Plan Update

Contact: Tami Warren, PMO Manager
(714) 560-5590

On September 10, 2012, the OCTA Board of Directors (Board) approved the M2020 Plan which is an eight-year plan that outlines projects and programs for all modes of transportation to be delivered on an expedited schedule between now and the year 2020. The plan also positions OCTA on a course to go beyond the early implementation projects if additional external funds can be accessed. Below is a summary of our progress towards meeting the eight-year objectives, including a summary of the risks identified in the adopted plan, as well as other identified risks or delivery challenges.

Progress Update

The M2020 Plan identifies 14 objectives. Significant progress has been made with several projects advancing to construction. A summary of the progress to date for each of the 14 objectives identified in the Plan is outlined below.

M2020 Plan Objectives

1. Deliver 14 M2 freeway projects.

Four of the 14 projects are complete, SR-91 between SR-55 and SR-241 (Project J), SR-57 between Yorba Linda Boulevard and Lambert Road (Project G), SR-57 between Orangethorpe Avenue and Yorba Linda Boulevard and SR-57 between Katella Avenue and Lincoln Avenue (Project G). Additionally, another six projects are currently under construction. Another 3 are in design, this includes the I-5 project between SR-73 and El Toro Road (Project C), the I-405 project between SR-55 and I-605 (Project K) and the I-5 between SR-55 and SR-57. One of the 14 projects is in the environmental phase. For more details, see previous page (Project Schedules) and the project updates contained in the following pages.

2. Complete environmental phase for 9 remaining M2 freeway projects.

One of the nine projects is already environmentally cleared: SR-91 between SR-241 and SR-15 (Project J) was cleared as part of RCTC's Corridor Improvement Program. Three projects are currently in the environmental phase, with another two projects slated to begin the environmental phase in late 2015 or early 2016. The remaining four projects are scheduled to begin the environmental phase as shown on the previous page (Project Schedules), and be environmentally cleared by 2020.

3. Invest \$1.2 billion for Streets and Roads projects (Projects O, P, and Q).

To date, OCTA has awarded local agencies nearly \$246 million in Project O and Project P funds and has paid out nearly \$52 million or 21% of the awarded funding for local streets and roads improvements, which have either started construction or are scheduled to start construction in the next 3-5 years. Additionally, more than \$634 million is Board approved for the OC Bridges Program's grade separation projects. This accounts for the Project O and P portion of the proposed \$1.2 billion to date. In addition, since inception, approximately \$185 million of Local Fair Share funds (Project Q) has already been distributed to local agencies. Approximately \$55 million will be distributed this FY year, and this amount will grow annually.

...Continued from previous page

4. Synchronize 2,000 traffic signals across Orange County (Project P).

Through M2 Calls for Projects so far, more than 2,000 signalized intersections have been designated for improvements. To date, OCTA and local agencies have synchronized 1,413 intersections along 363 miles of streets. The signal program will meet the target early (prior to 2020) of synchronizing at least 2,000 signalized intersections by early 2017. There have been four rounds of funding to date, providing a total of 69 projects with more than \$56.3 million in funding awarded by the Board since 2011.

5. Expand Metrolink peak capacity and improve rail stations and operating facilities (Project R).

Although well underway before the M2020 Plan was adopted, part of Project R (Metrolink Grade Crossing Improvements) was completed in conjunction with the Metrolink Service Expansion Plan (MSEP). This enhanced 52 Orange County rail-highway grade crossings with safety improvements, whereby the cities of Anaheim, Dana Point, Irvine, Orange, Santa Ana, San Clemente, San Juan Capistrano, and Tustin have established quiet zones at respective crossings. Additionally, within this Measure M program, funding is provided for rail line and station improvements to accommodate for increased service. Rail station parking lot expansions, such as improvements at Fullerton, Orange and Tustin stations, better access to platforms through improvements to elevators and/or ramps, and a passing siding project between Laguna Niguel and San Juan Capistrano have been made or are underway.

6. Expand Metrolink service into Los Angeles (Project R).

The Riverside County Transportation Commission, Los Angeles County Metropolitan Transportation Authority and OCTA continue to work to secure approval of a Memorandum of Understanding (MOU) with BNSF Railway, which is necessary to operate the trains. On April 5, 2015, several schedule changes were made in an effort to improve utilization of the intra-county trains, including creating a new connection between the 91 Line and intra-county service at Fullerton to allow a later southbound peak evening departure from Los Angeles to Orange County. Initial data through June 2015 indicates ridership increases on MSEP as a result of these schedule changes.

7. Provide up to \$575 million to implement fixed-guideway projects (Project S).

On April 2015, the Federal Transit Administration (FTA) issued a Finding of No Significant Impact on the Santa Ana/Garden Grove Street Car Project, which completed the environmental phase. The project can now advance into further design and engineering. On May 5, 2015 the FTA formally approved the project to move into the Project Development phase of the federal New Starts program. For the Anaheim Rapid Connection Project, preparation of environmental documentation is underway. To address concerns regarding project costs and right-of-way needs, the City of Anaheim is continuing to evaluate alternative alignments during the environmental process. The City of Anaheim will provide OCTA with an updated project schedule, project definition, and supporting technical studies in September 2015. To date, the Board has awarded funding through preliminary engineering of approximately \$18 million to the City of Anaheim and approximately \$11 million to the City of Santa Ana, totaling approximately \$29 million. This total is in addition to the proposed \$575 million to implement the fixed-guideway projects.

...Continued from previous page

8. Deliver improvements that position Orange County for connections to planned high-speed rail project (Project T).

The City of Anaheim, which led the construction effort to build the Anaheim Regional Transportation Intermodal Center (ARTIC), opened the facility to rail and bus service on December 6, 2014 with a ribbon cutting ceremony on December 8, 2014 and a grand opening celebration on December 13, 2014. The former Metrolink and Amtrak Anaheim Station is no longer in use and service has shifted to the new location at ARTIC. The City of Anaheim reported substantial completion on December 31, 2014; total project closeout and acceptance is anticipated by fall 2015.

9. Provide up to \$75 million of funding to expand mobility choices for seniors and persons with disabilities (Project U).

To date, approximately \$31 million in Project U funding has been provided under M2 for the Senior Mobility Program (SMP), the Senior Non-emergency Medical Transportation Program (SNEMT), and the Fare Stabilization Program.

10. Provide up to \$50 million of funding for community-based transit services (Project V).

On June 24, 2013, the OCTA Board of Directors approved up to \$9.8 million to fund five projects received as part of the first Call for Projects. This has been the only round of funding to date. On February 9, 2015, OCTA staff provided a project status update to the Board. The Board directed staff to meet with local agencies interested in the next Call for Projects, and return with revised Project V Guidelines. Staff anticipates presenting the revised Project V Guidelines to the Technical Advisory Committee in August 2015, and to the Board in October 2015, with the announcement of the 2016 Call for Projects.

11. Acquire and preserve 1,000 acres of open space, establish long-term land management, and restore approximately 180 acres of habitat in exchange for expediting the permit process for 13 of the M2 freeway projects (Projects A-M).

The Freeway Mitigation Program is proceeding as planned, with seven properties acquired (1,300 acres), and eight of the 11 restoration projects approved by the Board, totaling approximately 400 acres. To date, the Board has authorized \$42 million for property acquisitions (inclusive of setting aside funds to pay for long-term property maintenance), \$10.5 million to fund habitat restoration activities, and \$2.5 million for conservation plan development and program support, for a total of approximately \$55 million.

12. Complete resource management plans to determine appropriate public access on acquired properties.

The draft NCCP/HCP along with the draft environmental document (EIR/EIS) are currently being finalized after the public comments period, which closed on February 6, 2015. Comments received during the public comment period will be incorporated into the final NCCP/HCP and EIR/EIS, which is anticipated to be brought to the Board for adoption in late 2015 or early 2016. Staff anticipates the public release of separate preserve specific Resource Management Plans (RMP's) for the five properties within Trabuco and Silverado Canyons to occur in late summer 2015. These RMP's will determine the appropriate management needs (consistent with the NCCP/HCP) of each of the acquired properties. The remaining two properties (Hayashi and Aliso Canyon) will be the subject of future releases and will follow a similar process.

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13. Implement water quality improvements of up to \$20 million to prevent flow of roadside trash into waterways (Project X).

To date, there have been four rounds of funding under the Tier 1 grants program. A total of 104 projects in the amount of over \$11 million have been awarded by the OCTA Board since 2011. The Board approved the release of the fifth Tier 1 Call for Projects on March 9, 2015. The fifth Tier 1 Call for Projects was released on March 16, 2015 and closed on May 15, 2015. Staff anticipates seeking Board approval for funding recommendations in August 2015.

14. Provide up to \$38 million to fund up to three major regional water quality improvement projects as part of the Environmental Cleanup Program (Project X).

There have been two rounds of funding under the Tier 2 grants program. A total of 22 projects in the amount of over \$27 million have been awarded by the OCTA Board since 2013.

Measure M2

Progress Report

FREEWAYS



Interstate 5 (I-5) Projects

Project A

I-5 (SR-55 to SR-57)

Contact: Rose Casey, Highways
(714) 560-5729

Status: Final Environmental Document and Project Report Approved and Design Phase to begin soon

Summary: This project will increase HOV lane capacity by adding a second HOV lane in both directions along I-5 between SR-55 and SR-57 in Santa Ana. This quarter, the final Environmental Document and the final Project Report was approved by Caltrans respectively on April 8, 2015 and May 1, 2015. The design phase began on June 30, 2015.

Project B

I-5 (SR-55 to the El Toro “Y” Area)

Contact: Rose Casey, Highways
(714) 560-5729

Status: Environmental Phase Underway

Summary: This project will add one general purpose lane in each direction of the I-5 corridor and improve the interchanges in the area between SR-55 and SR-133 (near the El Toro “Y” and I-405) in Tustin and Irvine. The environmental study will consider the addition of one general purpose lane on the I-5 between just north of I-405 to SR-55. Additional features of Project B include improvements to various interchange ramps. Auxiliary lanes could be added in some areas and re-established in other areas within the project limits. During the quarter, the Project Development Team continued engineering and environmental work. The project schedule has been delayed while Caltrans and OCTA management have continued discussions on the traffic methodology for all the projects in environmental phase. This project is marked in red in the Capital Action Plan, indicating at least a three month delay. The draft Project Report and draft Environmental Document are expected to be complete in March 2017, and the final Environmental Document is expected to be complete in December of 2017.

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Project C & Part of Project D

I-5 (SR-73 to Oso Parkway/ Avery Parkway Interchange)

Contact: Rose Casey, Highways
(714) 560-5729

Status: Design Phase Underway

Summary: This project will make improvements along the I-5 between the SR-73 and Oso Parkway in the cities of Laguna Hills, Laguna Niguel, and Mission Viejo. The proposed improvements include the addition of a general purpose lane in each direction from Avery Parkway to Alicia Parkway and reconstruction of the Avery Parkway Interchange (part of Project D). During the quarter, 35% plans are in progress. Major activities this quarter included completing the Field survey, obtaining Caltrans approval for second phase investigation boring locations, and re-configuring the design of the proposed bridge to accommodate three additional feet for bike lanes in each direction of Avery Parkway. Staff continued to work with Caltrans regarding the right-of-way support services cooperative agreement. An agreement must be reached and the cooperative agreement executed soon for the project to stay on schedule. Design work is anticipated to be complete in late 2018, assuming the project is not delayed.

I-5 (Oso Parkway to Alicia Parkway/ La Paz Road Interchange)

Contact: Rose Casey, Highways
(714) 560-5729

Status: Design Phase Underway

Summary: This project will make improvements along the I-5 between Oso Parkway and Alicia Parkway in the cities of Laguna Hills and Mission Viejo. The proposed improvements include the addition of a general purpose lane in each direction and reconstruction of the La Paz Road Interchange. The design phase is currently underway. Major activities this quarter included coordination with local cities and stakeholders on the aesthetics concept plan, coordination with SCRRA, utility potholing and geotechnical investigations, and the submittal of 35% plans to Caltrans. Staff continued to work with Caltrans regarding the right-of-way support services cooperative agreement. An agreement must be reached and the cooperative agreement executed soon for the project to stay on schedule. Design work is anticipated to be complete in 2017, assuming the schedule is not delayed.

I-5 (Alicia Parkway to El Toro Road)

Contact: Rose Casey, Highways
(714) 560-5729

Status: Begin Design Phase

Summary: This project will make improvements along the I-5 between Alicia Parkway to El Toro Road in the cities of Lake Forest, Laguna Hills, Laguna Woods and Mission Viejo, including the extension of the second HOV lane from Alicia Parkway to El Toro Road. This quarter, the design phase began. Staff continued to work with Caltrans regarding the right-of-way support services cooperative agreement. An agreement must be reached and the cooperative agreement executed soon for the project to stay on schedule. Design work is anticipated to be complete in 2018, assuming the schedule is not delayed.

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...Project C & Part of Project D continued from previous page

I-5 (Avenida Pico to Avenida Vista Hermosa)

Contact: Rose Casey, Highways
(714) 560-5729

Status: Construction Underway

Summary: This segment adds a carpool lane in each direction on the I-5 between Avenida Pico and Avenida Vista Hermosa in San Clemente, and also includes major improvements to the Avenida Pico Interchange (part of Project D). This quarter, the center median was demolished and the area repaved, allowing crews to restripe and shift all eight lanes of traffic toward the east side of the freeway. Next, crews demolished 40 feet of the Avenida Pico bridge on the west side of I-5 to make room for the first phase of the new bridge. As part of that effort, massive piles of dirt (known as surcharges) were placed on each side of Pico, where the bridge abutments will be built. The piles stay in place for about 90 days to compact the soil beneath so that when the abutments are constructed, the ground beneath them is already settled. Outreach efforts this quarter included several community outreach meetings with the public, elected officials and with local schools. Construction began in February 2015 and is 11 percent completed. This project is anticipated to be complete in mid-2018.

Contact: Rose Casey, Highways
(714) 560-5729

I-5 (Avenida Vista Hermosa to PCH)

Status: Construction Underway

Summary: This segment adds a carpool lane in each direction of the I-5 between Avenida Vista Hermosa and Pacific Coast Highway in San Clemente. Construction began in September 2014. This quarter, work continued on 13 retaining walls and sound walls, with major excavation and construction on both sides of I-5, primarily between Avenida Vista Hermosa and just north of Camino de Estrella. In addition, crews are driving piles for the widening of the bridge over the Avenida Vaquero undercrossing. Roadway and shoulder excavation work will begin next quarter. Public outreach efforts have focused on residents affected by sound wall and retaining wall work. Construction is 24 percent completed and scheduled to finish in March 2017.

Contact: Rose Casey, Highway
(714) 560-5729

I-5 (PCH to San Juan Creek Road)

Status: Construction Underway

Summary: This segment will add a carpool lane in each direction of the I-5 between Pacific Coast Highway (PCH) and San Juan Creek Road in the cities of San Clemente, Dana Point, and San Juan Capistrano. Construction began in March 2014. During this quarter, construction crews continued work on the PCH Connector Bridge, Camino Capistrano on-ramp, sound walls and roadway excavation. Construction work is 50 percent completed, and is anticipated to be complete in September 2016.

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...Project D continued from previous page

Project D

This Project will update and improve key I-5 interchange at Avenida Pico, Ortega Highway, Avery Parkway, La Paz, and at El Toro Road. Three interchange improvements at La Paz, Avery Parkway, and Avenida Pico are part of Project C.

I-5 El Toro Road Interchange

Contact: Charlie Larwood, Planning
(714) 560-5683

Status: Project Study Report/ Project Development Support Document Complete

Summary: Caltrans approved the Project Study Report/ Project Development Support (PSR-PDS) on February 20, 2015 and the document is considered final and complete. The PSR-PDS includes alternatives that consider modifications to the existing interchange to provide a new access ramp to El Toro Road and one alternate access point adjacent to the interchange. The project can now advance to the Environmental Phase for further detailed engineering and project development efforts, which is anticipated to begin in late 2016.

I-5/ Ortega Highway Interchange

Contact: Rose Casey, Highway
(714) 560-5729

Status: Construction Underway

Summary: Construction began in February 2013 to reconstruct the SR-74 Ortega Highway Bridge over the I-5, and improve local traffic flow along the SR-74 and Del Obispo Street in the City of San Juan Capistrano. During the quarter, demolition and reconstruction activities on the north-half of the bridge continued. Falsework for the second half of the bridge has been placed. Construction of the northbound on-ramp and south bound off-ramp are in progress. All project areas west of the I-5 are now open to traffic. Construction is 82 percent completed, and the project is expected to be complete in December 2015.

State Route 22 (SR-22) Projects

Project E

SR-22 Access Improvements



Contact: Rose Casey, Highways
(714) 560-5729

Status: PROJECT COMPLETE

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

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State Route 55 (SR-55) Projects

Project F

Contact: Rose Casey, Highway
(714) 560-5729

SR-55 (I-405 to I-5)

Status: Environmental Phase

Summary: This project will widen SR-55 in the cities of Irvine, Santa Ana, and Tustin. Last quarter, the OCTA Board approved additional project funding to revise project studies requested by Caltrans. The Project Development Team (PDT) developed a schedule to revise technical studies and complete the environmental phase by May 2016. Caltrans approval of the Traffic Volume Report is a critical milestone toward meeting the project schedule developed by the PDT. Caltrans approval is expected July 14, 2015, after which the results will be incorporated into the remaining technical studies including noise, air quality and traffic analysis. The Draft Environmental Document is scheduled to be released for Public Circulation in December. The project is marked “red” in the Capital Action Plan, indicating at least a three month delay which is a result of the time needed to complete the additional traffic studies requested by Caltrans.

Contact: Charlie Larwood, Planning
(714) 560-5683

SR-55 (I-5 to SR-91)

Status: Project Study Report/Project Development Support Document Completed

Summary: The Project Study Report/ Project Development Support (PSR-PDS) was signed by Caltrans on January 12, 2015, completing the project initiation document phase. Once implemented, this project will add capacity between the I-5 and SR 22, and provide operational improvements between SR-22 and SR-91 in the cities of Orange, Santa Ana, Tustin, and Anaheim. All of the project alternatives in the draft Project Study Report/ Project Development Support (PSR-PDS) document include the addition of one general purpose lane in each direction between SR-22 and Fourth Street and operational improvements between Lincoln Avenue and SR-91. Other improvements being considered consist mostly of operational improvements at ramps and merge locations between SR-22 and SR-91, as well as a potential interchange project at First Street and the I-5 connector ramp. With the PSR/PDS approved, the project can now advance to the Environmental Phase for further detailed engineering and project development efforts, which is anticipated to begin in mid-2016.

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State Route 57 (SR-57) Projects

Project G

SR-57 NB (Lambert Road to Tonner Canyon Road)

Contact: Rose Casey, Highway
(714) 560-5729

Status: Conceptual Phase Complete

Summary: OCTA previously completed a Project Study Report/Project Development Support (PSR-PDS) document for the Lambert Road to Tonner Canyon Road segment, which will add a truck-climbing lane from Lambert Road to Tonner Canyon Road. The segment will be cleared environmentally by 2020. Future work will be planned so that it coincides with related work by the Los Angeles Metropolitan Transportation Authority across the county line.

SR-57 NB (Yorba Linda Boulevard and Lambert Road)



Contact: Rose Casey, Highway
(714) 560-5729

Status: PROJECT COMPLETE

Summary: This project increased capacity and improved operations by widening the northbound SR-57 between Yorba Linda Boulevard and Lambert Road with the addition of a new general purpose lane, as well as on and off-ramp improvements, and the addition of soundwalls. Construction was completed on May 2, 2014 for this segment.

SR-57 NB (Orangethorpe Avenue and Yorba Linda Boulevard)



Contact: Rose Casey, Highway
(714) 560-5729

Status: PROJECT COMPLETE

Summary: This project increased capacity and improved operations by widening the northbound SR-57 between Orangethorpe Avenue and Yorba Linda Boulevard with the addition of a new general purpose lane, as well as on and off-ramp improvements, and the addition of soundwalls. Final traffic striping was completed on this segment and the new general purpose lane was opened to traffic on April 27, 2014. The project was completed on November 06, 2014.

SR-57 NB (Katella Avenue and Lincoln Avenue)



Contact: Rose Casey, Highway
(714) 560-5729

Status: PROJECT COMPLETE

Summary: This project increased capacity and improved operations by widening the northbound SR-57 between Katella Avenue and Lincoln Avenue with the addition of a new general purpose lane, as well as on and off-ramp improvements, and the addition of sound walls. The project was completed on April 21, 2015.

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Project G continued from the previous page...

SR-57 NB (Orangewood Avenue to Katella Avenue)

Contact: Charlie Larwood, Planning
(714) 560-5683

Status: Procurement for the Environmental Phase Underway

Summary: This project will add capacity in the northbound direction of SR-57 from Orangewood Avenue to Katella Avenue in the cities of Anaheim and Orange. Improvements under study include adding a northbound general purpose lane to join the northbound general purpose lane which was recently opened to traffic between Katella Avenue and Lincoln Avenue. Procurement for the environmental phase was initiated last quarter and this quarter, on May 11, 2015 a consultant was selected and approved by the Board. The Environmental Phase is anticipated to begin in November 2015 and be complete in mid-2018.

State Route 91 (SR-91) Projects

Project H

SR-91 WB (SR-57 to I-5)

Contact: Rose Casey, Highway
(714) 560-5729

Status: Construction Underway

Summary: This project will add capacity in the westbound direction of SR-91 by adding an additional general purpose lane in the westbound direction between Anaheim and Fullerton, and provide operational improvements at on and off-ramps between Brookhurst Street and State College Boulevard. This quarter, installation of the reinforced concrete beams was completed on four of the six bridges that require widening. The bridges remain open to traffic. Construction is approximately 76 percent complete and is anticipated to be complete in early-2016.

Project I

SR-91 (SR-55 to Tustin Avenue Interchange)

Contact: Rose Casey, Highway
(714) 560-5729

Status: Construction Underway

Summary: This project will improve traffic flow at the SR-55/ SR-91 interchange by adding a westbound auxiliary lane beginning at the northbound SR-55 to westbound SR-91 connector through the Tustin Avenue interchange in the City of Anaheim. The project is intended to relieve weaving congestion in this area. The project includes reconstruction of the westbound side of the Santa Ana River Bridge to accommodate the additional lane. This quarter, work was completed on all of the piers for the Santa Ana River Bridge widening. Construction is approximately 63 percent complete. The project is anticipated to be complete in mid-2016.

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Progress Report

FREEWAYS



Project I continued from the previous page...

SR-91 (SR-57 to SR-55)

Contact: Rose Casey, Highway
(714) 560-5729

Status: Environmental Phase Underway

Summary: This project will improve traffic flow and operations along the eastbound SR-91 within the cities of Fullerton and Anaheim. The study will look at the addition of one general purpose lane between SR-57 and SR-55, and one general purpose lane westbound from Glassell Street to State College Boulevard. Additional features of this project include improvements to various interchanges. Auxiliary lanes will be added in some segments and re-established in other segments within the project limits. The PSR-PDS was approved by Caltrans in October 2014. The Environmental Phase began in January 2015. This quarter the consultant continued working on the SR-91/SR-55 interchange feasibility study portion of the environmental phase and developed, with Caltrans approval, three alternatives to study further. The feasibility study is anticipated to be complete in September 2015. The environmental phase is expected to be complete in late 2018.

Project J

SR-91 Eastbound (SR-241 to SR-71)



Contact: Rose Casey, Highway
(714) 560-5729

Status: PROJECT COMPLETE

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

SR-91 (SR-241 to SR-55)



Contact: Rose Casey, Highway
(714) 560-5729

Status: PROJECT COMPLETE

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

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Project J continued from the previous page...

SR-91 (SR-241 to I-15)

Contact: Rose Casey, Highway
(714) 560-5729

Status: RCTC's Design-Build Construction Underway

Summary: The purpose of this project is to extend the 91 Express Lanes eastward from its current terminus in Anaheim to I-15 in Riverside County. This project will also add one general purpose lane in each direction of SR-91, from SR-71 to I-15, and construct various interchange and operational improvements. On December 11, 2013, the Riverside County Transportation Commission's (RCTC) contractors broke ground on this \$1.3 billion freeway improvement project. While the portion of this project between SR-241 and the Orange County/ Riverside County line is part of OCTA's M2 Project J, the matching segment between the county line and SR-71 is part of RCTC's Measure A. With RCTC's focus on extending the 91 Express Lanes and adding a general purpose lane east of SR-71, construction of the final additional general purpose lane between SR-241 and SR-71 will take place post-2035. (RCTC is responsible for the lane between Green River and SR-71 while OCTA will be responsible for the lane west of Green River to SR-241.) To maintain synchronization, these general purpose lanes improvements, which span both counties, will be scheduled to ensure coordinated delivery of both portions of the project, and will provide a continuous segment that stretches from SR-241 to SR 71. This action is consistent with the 2014 SR-91 Implementation Plan.

Interstate 405 (I-405) Projects

Project K

I-405 (SR-55 to I-605)

Contact: Rose Casey, Highway
(714) 560-5729

Status: Design-Build Procurement Underway

Summary: OCTA and Caltrans have finalized the environmental studies to widen the I-405 through the cities of Costa Mesa, Fountain Valley, Garden Grove, Huntington Beach, Los Alamitos, Seal Beach, and Westminster. These improvements will add mainline capacity and improve the local interchanges along the corridor from SR-73 to the I-605.

On July 25, 2014, despite OCTA's Board recommendation to select Alternative 1 (the Measure M, single general purpose lane alternative) Caltrans informed OCTA that Alternative 3 (general purpose lane and second HOV lane to be combined with existing HOV lane providing dual tolled express lane facility) would be the Project preferred alternative. To ensure local control over how the express lane facility would be operated, the Board decided to lead this project with the clear understanding that Measure M would only fund the general purpose lane portion of the project and that the second HOV lane/ Express lane facility would be funded separately.

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Project K continued from the previous page...

On April 27, 2015, the Board authorized the DB cooperative agreement, approved the terms and conditions negotiated with Caltrans and directed staff to take steps to implement the Project preferred alternative. On May 11, 2015, the Board authorized staff to initiate discussions with property owners and utility companies and execute agreements for acquisition of necessary interests in real property. On June 8, 2015, the Board approved the selection of Jacobs to provide construction management services for the Project. Also on June 8, 2015, the Board approved an amendment to the agreement with Parsons to prepare an Investment Grade Traffic and Revenue Study for the Project.

During the quarter, the federal Record of Decision was issued on May 15, 2015 and the state Notice of Determination was issued on June 17, 2015. In addition, the Revised DB Request for Qualifications was issued on May 28, 2015. Work continued on preliminary engineering tasks, DB procurement documents, third party and stakeholder coordination and right of way tasks. The project is marked “red” in the Capital Action Plan, indicating at least a three month delay. Additional project risks include potential legal actions by opponents of the project, potential escalation of costs associated with further delay and compression of time available for right-of-way acquisition.

Project L

I-405 (SR-55 to the I-5)

Status: Environmental Phase Underway

Summary: This project will add one general purpose lane in each direction of the I-405 corridor and improve the interchanges in the area between I-5 and SR-55 in Irvine. Additional features of Project L include improvements to various interchanges, auxiliary lanes and ramps. During the quarter, the Project Development Team continued engineering and environmental work. Discussions are underway between Caltrans and OCTA management on the traffic methodology for this project as well as all other projects in the environmental phase. The draft Project Report and draft Environmental Document are expected to be complete in March 2017, and the final Environmental Document is expected to be complete in November 2017, assuming the schedule is not further delayed.

Contact: Rose Casey, Highway
(714) 560-5729

Measure M2

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FREEWAYS



Interstate 605 (I-605) Projects

Project M

Contact: Charlie Larwood, Planning
(714) 560-5683

I-605 Interchange Improvements

Status: Final Project Study Report/ Project Development Support Document Signed and Complete

Summary: This project will improve freeway access and arterial connection to I-605 at Katella Avenue in the City of Los Alamitos and the County of Orange. Improvements under this project may include enhancements at the on-ramps and off-ramps in addition to operational improvements on Katella Avenue at the I-605 Interchange. Last quarter, the Project Study Team finalized three conceptual project alternatives to be studied as part of the Project Study Report/ Project Development Support (PSR-PDS) document. During the quarter, this PSR/PDS was signed on May 11, 2015 by Caltrans Executive Management, and the document is now final. The project is now eligible to advance to the PA/ED phase of the project development process.

Project N

Contact: Sue Zuhlke, Motorist Services
(714) 560-5574

Freeway Service Patrol

Status: Service Ongoing

Summary: M2's Freeway Service Patrol (FSP) began operation in June 2012 and provides tow truck service for motorists with disabled vehicles on the freeway system to quickly clear freeway lanes and minimize congestion. During this quarter, the mid-day service provided assistance to 1,580 motorists, weekend service provided assistance to 1,047 motorists, and construction service provided assistance to 879 motorists. Since inception, M2 and Construction funded FSP has provided a total of 34,887 assists to motorists on the Orange County freeway system.

Measure M2

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STREETS & ROADS



Project O

Regional Capacity Program

Contact: Roger Lopez, Planning
(714) 560-5438

Status: 2016 Call for Projects in Development

Summary: This program, in combination with required local matching funds, provides a funding source to complete the Orange County Master Plan of Arterial Highways. On April 13, 2015 the Board approved the 23 recommended projects resulting from the 2015 Call for Projects. OCTA worked with the local agencies to execute the necessary agreements so that the projects could begin July 1, 2015. Additionally, staff worked with the Technical Advisory Committee to make adjustments to the competitive program guidelines in preparation for the 2016 Call for Projects. Staff will seek Board approval for the release of the next call for projects on August 10, 2015. The 2016 Call for Projects will be the sixth call and will make approximately \$38 million available to fund additional road improvements throughout the county. To date, after five completed Call for Projects, a total of 103 projects in the amount of more than \$193 million have been awarded by the Board since 2011.

OC Bridges Railroad Program

Contact: Rose Casey, Highway
(714) 560-5729

This program will build seven grade separations (either under or over passes) where high volume streets are impacted by freight trains along the Burlington Northern Santa Fe Railroad in North County. A status for each of the seven projects follows. As of the end of this quarter, five grade separation projects are under construction and two are complete (Kraemer and Placentia).

Kraemer Boulevard Grade Separation



Contact: Rose Casey, Highway
(714) 560-5729

Status: PROJECT COMPLETE

Summary: The project located at Kraemer Boulevard railroad crossing is now grade separated and open to traffic. The project separated the local street from railroad tracks in the City of Placentia by building an underpass for vehicular traffic. The grade separation was opened to traffic on June 28, 2014, and an event was held on July 8, 2014 to commemorate the opening. Construction is complete and construction close-out activities were performed this quarter. Project acceptance by the City of Anaheim and the City of Placentia, respectively, occurred in December 2014 and OCTA has turned over the maintenance responsibilities to the cities and commenced the one year warranty.

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Progress Report

STREETS & ROADS



...Project O continued from previous page

Lakeview Avenue Grade Separation

Contact: Rose Casey, Highway
(714) 560-5729

Status: Construction Underway

Summary: The project located at Lakeview Avenue railroad crossing will grade separate the local street from railroad tracks in the cities of Anaheim and Placentia by building a bridge for vehicular traffic over the railroad crossing and reconfigure the intersection of Lakeview and Orangethorpe. Construction began on July 1, 2014. Project activities this quarter continued to include utility relocation work, sewer and street drainage facility work, waterlines, and retaining walls. In addition, the pile driving for bridge abutment was initiated. Lakeview Avenue north of Orangethorpe Avenue was closed to traffic on February 25, 2015 and is expected to reopen in November 2016. Lakeview Avenue south of Orangethorpe Avenue was closed to through traffic on March 13, 2015 and is also expected to reopen in November 2016. Local access to all businesses will continue to be maintained. Construction progress is approximately 28 percent complete and is expected to be complete by early 2017.

Orangethorpe Avenue Grade Separation

Status: Construction Underway

Contact: Rose Casey, Highway
(714) 560-5729

Summary: The project located at Orangethorpe Avenue railroad crossing will grade separate the local street from railroad tracks in the cities of Placentia and Anaheim by building a bridge for vehicular traffic over the railroad tracks. OCTA is overseeing construction, which continued during the quarter. Construction activities this quarter included utility relocation, building columns for Orangethorpe bridge, building soffit for Miller Avenue bridge, building retaining walls, and raising the elevation of Orangethorpe Avenue/Chapman Avenue intersection. Orangethorpe Avenue, from Miller Street to Chapman Avenue, was closed to traffic on August 11, 2014 and is expected to reopen in early 2016. Chapman Avenue was closed on January 5, 2015 and is expected to be opened by the end of 2015. Construction progress is approximately 63 percent complete and the project is expected to be completed by mid-2016.

Placentia Avenue Grade Separation

Status: PROJECT COMPLETE

Contact: Rose Casey, Highway
(714) 560-5729

Summary: The project located at Placentia Avenue railroad crossing is now grade separated and open to traffic. The project separated the local street from railroad tracks in the city of Placentia by building an underpass for vehicular traffic. An event was held on March 12, 2014 to commemorate the opening to traffic. Construction is complete and construction close-out activities were performed this quarter. Project acceptance by the City of Anaheim and the City of Placentia, respectively, occurred in December 2014 and OCTA has turned over the maintenance responsibilities to the cities and commenced the one year warranty.



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STREETS & ROADS



Project O continued from the previous page...

Raymond Avenue Grade Separation

Contact: Rose Casey, Highway
(714) 560-5729

Status: Construction Underway

Summary: The project located at Raymond Avenue railroad crossing will grade separate the local street from railroad tracks in the City of Fullerton by taking vehicular traffic under the railroad crossing. The City of Fullerton is managing construction and OCTA will provide construction oversight, public outreach, railroad coordination and right-of-way support. Construction began on June 2, 2014. Activities this quarter continued to include advanced utility work, temporary bypass road grading, various street drainage facility work, sewer and waterline relocation work and railroad retaining wall construction and grading. The BNSF track laying machine placed shoofly tracks on the eastern portion of the project on June 10, 2015. Construction progress is approximately 45 percent complete and is expected to be complete in mid-2018.

State College Boulevard Grade Separation

Contact: Rose Casey, Highway
(714) 560-5729

Status: Construction Underway

Summary: The project located at State College Boulevard railroad crossing will grade separate the local street from railroad tracks in the City of Fullerton by taking vehicular traffic under the railroad crossing. The City of Fullerton is managing the construction and OCTA is providing construction oversight, public outreach, railroad coordination and right-of-way support. Construction activities this quarter continued to include retaining wall shoring, various street drainage facility work, railroad retaining wall construction and grading, as well as sewer, waterline and utility relocation work. The BNSF track laying machine placed the shoofly tracks on June 9, 2015. The intersection of State College Boulevard and East Valencia Drive was closed on January 9, 2015 for approximately 2.5 years to allow for the construction of the new bridge at the railroad tracks. Construction progress is approximately 31 percent complete and is expected to be completed by early-2018.

Tustin Avenue/ Rose Drive Grade Separation

Contact: Rose Casey, Highway
(714) 560-5729

Status: Construction Underway

Summary: The project located at Tustin Avenue/Rose Drive railroad crossing will grade separate the local street from railroad tracks in the cities of Placentia and Anaheim by building a bridge for vehicular traffic over the railroad crossing. OCTA is overseeing construction for this project. Construction activities this quarter continued to include grading, retaining walls, embankments, drainage and sewer facilities, and large diameter foundation piles. In addition, bridge columns and falsework for bridge soffit were initiated. Construction progress is approximately 62 percent complete and is expected to be completed by mid-2016.

Measure M2

Progress Report

STREETS & ROADS



Project P

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

Regional Traffic Signal Synchronization Program (RTSSP)

Status: Ongoing (See current RTSSP projects' statuses illustrated on the map on the next page)

Summary: This program provides funding and assistance to implement multi-agency signal synchronization. The target of the program is to regularly coordinate signals along 2,000 intersections as the basis for synchronized operation across Orange County. The program will enhance the efficiency of the street grid and reduce travel delay. To date, OCTA and local agencies have synchronized 1,413 intersections along 363 miles of streets. There have been five rounds of funding to date, providing a total of 69 projects with more than \$56.3 million in funding awarded by the OCTA Board since 2011.

Sixteen Regional Traffic Signal Synchronization Program (RTSSP) projects programmed for FY 2011/12 are all underway. Fifteen of the sixteen projects will have signal synchronization completed by December 2015, with the sixteenth project expected to have timing implemented by the end of the second quarter of FY 15/16. These projects synchronize 550 intersections on 151 miles of roadways.

Twenty-three RTSSP projects programmed for FY 2012/13 are underway with implementation of signal timing and signal system improvements. These projects will synchronize an additional 522 intersections on 136 miles of roadways. Completion is anticipated in December 2015.

Thirteen RTSSP projects programmed for FY 2013/14 are underway. Administrative cooperative agreements have been executed between the stakeholder agencies for the thirteen projects. All projects have begun with implementation of signal timing and signal system improvements. These projects will synchronize an additional 366 intersections on 101 miles of roadways. Completion of these projects is anticipated for July 2016.

Ten RTSSP projects programmed in FY 2014/15 are underway, two of which are led by OCTA staff. OCTA has commenced work on the two projects it is leading. It is anticipated that these two projects will implement synchronized signal timing by December 2016.

In April 2015, \$16.3 million was allocated for seven projects programmed for FY 2015-16, four of which are led by OCTA staff. OCTA has commenced work on executing administrative cooperative agreements.

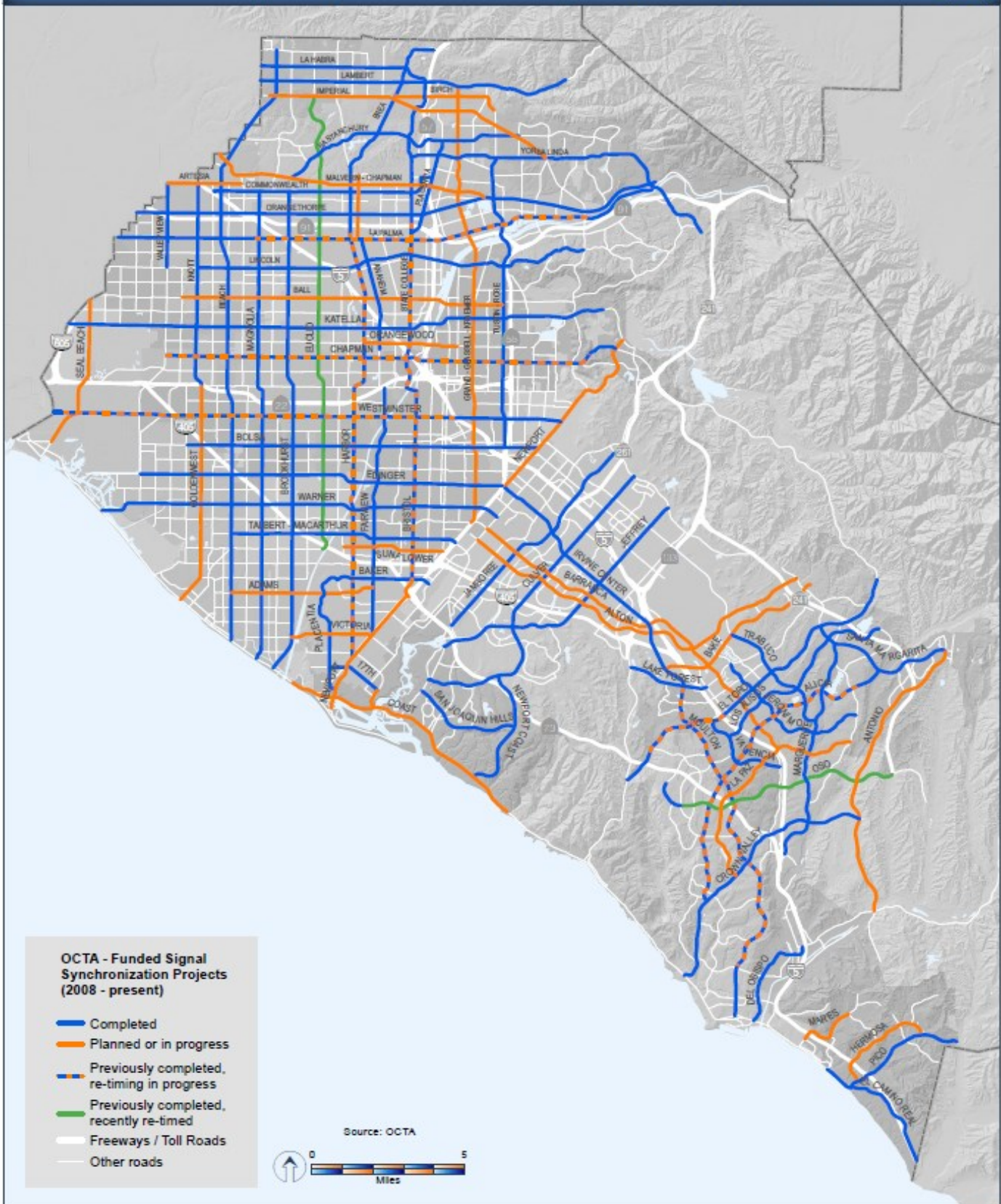
As part of the 2016 annual Call for Projects for the Regional Traffic Signal Synchronization Program, more than \$12 million will be available for signal synchronization projects. The Call for Projects will open on August 10, 2015.

Measure M2

Progress Report STREETS & ROADS



OCTA - Funded Signal Synchronization Projects (2008 - present)



Measure M2

Progress Report

STREETS & ROADS



Project Q

Contact: Vicki Austin, Finance
(714) 560-5692

Local Fair Share Program

Status: Ongoing

Summary: This program provides flexible funding to help cities and the County of Orange keep up with the rising cost of repairing the aging street system. This program is intended to augment, not replace, existing transportation expenditures of the cities and the County. All local agencies have been found eligible to receive Local Fair Share funds. On a bi-monthly basis, 18 percent of net revenues are allocated to local agencies by formula. To date, approximately \$185 million in Local Fair Share payments have been provided to local agencies as of the end of this quarter.

See page 40 for funding allocation by local agency.

Measure M2

Progress Report

TRANSIT



Project R

High Frequency Metrolink Service

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

Metrolink Grade Crossing Improvements



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

Status: PROJECT COMPLETE

Summary: Enhancement of the designated 52 Orange County at-grade rail-highway crossings was completed as part of the Metrolink Service Expansion Program (MSEP) in October 2012. Completion of the safety improvements provides each corridor city with the opportunity to establish a “quiet zone” at their respective crossings. Quiet zones are intended to prohibit the sounding of train horns through designated crossings, except in the case of emergencies, construction work, or safety concerns identified by the train engineer. The cities of Anaheim, Dana Point, Irvine, Orange, Santa Ana, San Clemente, San Juan Capistrano, and Tustin have established quiet zones within their communities.

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

Metrolink Service Expansion Program

Status: Service Ongoing

Summary: Following the completion of the Metrolink Service Expansion Program (MSEP) improvements in 2011, OCTA deployed a total of ten new Metrolink intra-county trains operating between Fullerton and Laguna Niguel/ Mission Viejo, primarily during mid-day and evening hours. Despite marketing efforts, ridership on the intra-county MSEP trains has been lower than desired. Efforts to increase ridership through a redeployment of the trains, without significantly impacting operating costs have been underway. On April 5, 2015, several schedule changes were made effective. A new connection was added between the 91 Line and the intra-county service at Fullerton to allow a later southbound peak evening departure from Los Angeles to Orange County. Staff will continue to monitor ridership on these trains, but initial data through June 2015 indicates ridership increases as a result of these schedule changes. Two of the intracounty trains are also utilized to provide the popular Angels Express service from south Orange County to Anaheim, resulting in strong ridership on game nights.

Part of OCTA’s re-deployment plan involves providing new trips from Orange County to Los Angeles County. Staff continues to work with the Burlington Northern Santa Fe Railroad (BNSF), the Riverside County Transportation Commission (RCTC), and the Los Angeles County Metropolitan Transportation Authority (Metro) to address track-sharing issues, operating constraints and funding that will impact the options for redeployment. Operation of

Continues on the next page...

Measure M2

Progress Report

TRANSIT



Project R continued from the previous page...

additional Metrolink trains to Los Angeles is contingent on completion of a triple track project on the BNSF Railway between Fullerton and Los Angeles, currently anticipated in mid-2016.

Rail Line & Station Improvements

Additionally under the Metrolink Service Expansion Program, funding is provided for rail line and station improvements to accommodate increased service. Rail station parking lot expansions, better access to platforms through improvements to elevators and/or ramps, and a passing siding project between Laguna Niguel and San Juan Capistrano have been made or are underway. For schedule information on station improvement projects, please see the Capital Action Plan pages at the back of this report.

Sand Canyon Avenue Grade Separation

Contact: Rose Casey, Highway
(714) 560-5729

Status: Open to Traffic

Summary: The project located at Sand Canyon Avenue railroad crossing is now grade separated and open to traffic. The project grade separated the local street from railroad tracks in the City of Irvine by constructing an underpass for vehicular traffic. The westbound lanes were opened to traffic on June 12, 2014 and the eastbound lanes were opened to traffic on July 14, 2014. A road opening ceremony was held on August 11, 2014. Though currently open to traffic, project work continues and includes work on the pump station, sewer line, traffic signalization, street lighting, landscaping and final pavement. The project completion has been extended to July 2015 to finish all work and project completion punch list items.

Project S

Transit Extensions to Metrolink

Project S includes a competitive program which allows cities to apply for funding to connect passengers to their final destinations using transit in order to broaden the reach of Metrolink to other Orange County cities, communities and activity centers. There are currently two areas of this program, a fixed guideway program (Street Car) and a rubber tire transit program.

Continues on the next page...

Measure M2

Progress Report

TRANSIT



Project S continued from the previous page...

Anaheim Rapid Connection (ARC) Project

Status: Environmental Phase Underway

Summary: Preparation of environmental documentation for the ARC project is ongoing. As part of this effort, the City of Anaheim is continuing to evaluate alternative alignments to address concerns regarding project costs and ROW needs. Once the City of Anaheim selects the alternatives to carry forward in the environmental documentation, an updated project schedule, project definition, and supporting technical studies will be provided to OCTA. This update is anticipated for September 2015.

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

Santa Ana-Garden Grove Fixed Guideway (OC Street Car) Project

Status: Environmental Phase completed/ Currently in FTA's New Starts Project Development Phase

Summary: The cities of Santa Ana/Garden Grove completed the revised environmental assessment/final environmental impact report (REA/FEIR) in December 2014, representing a major milestone for the project. The Santa Ana City Council took action to certify completion of the EIR in January 2015, and the City of Garden Grove took action on the locally preferred alternative in February 2015. The FTA issued a Finding of No Significant Impact in April 2015, completing the environmental process for the project.

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

With the successful conclusion of the environmental phase, OCTA has assumed lead agency responsibility. On May 5, 2015, the FTA formally approved the project to move into the Project Development phase of the federal New Starts program. To support OCTA in these efforts, the Board approved a project management consultant (PMC) services contract on February 23, 2015. To provide immediate assistance in progressing the Project, a limited notice to proceed (NTP) was issued on February 25, 2015 for the PMC. On April 14, 2015, OCTA hosted a project update and alignment tour meeting with staff from FTA Headquarters and their local Region 9 office. During this meeting, the FTA expressed strong support for the project. Consistent with guidance provided by FTA during that meeting, OCTA staff is currently working on the project application for Entry into Engineering for submission in September 2015. In addition, OCTA is currently procuring a design consultant for the Project. NTP is anticipated during the last quarter of 2015.

Continues on the next page...

Measure M2

Progress Report

TRANSIT



Project S continued from the previous page...

Contact: Roger Lopez, Planning
(714) 560-5438

Bus and Station Van Extension Projects

Status: Service Ongoing for Oakley Vanpool and Anaheim Canyon Metrolink Bus Connection

Summary: Bus and Station Van Extension Projects will enhance the frequency of service in the Metrolink corridor to aid in linking communities within the central core of Orange County. To date, the Board has approved one round of funding, totaling over \$9.8 million. Four projects were approved for funding by the Board on July 23, 2012 and two of those have implemented service. The vanpool connection from the Irvine Metrolink Station to the Oakley employment center in the City of Lake Forest began in December 2012 and the Anaheim Canyon Metrolink Station Bus Connection began service in February 2013. Currently, the City of Lake Forest is discussing different alternatives to provide vanpool service from the Irvine Metrolink Station to the Panasonic employment center.

Project T

Convert Metrolink Stations to Regional Gateways that Connect Orange County with High-Speed Rail Systems

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

Status: Facility Opened

Summary: This project constructed the Anaheim Regional Transportation Intermodal Center (ARTIC) located at 2626 East Katella Avenue in the City of Anaheim, which connects OCTA bus service, Metrolink, Amtrak, shuttles and charter bus service, taxis, bikes, and other public/private transportation, as well as, accommodates future high-speed trains. This quarter, the City's contractor continued to work on performing punch list items on the site, rail corridor, and terminal building improvements. The City of Anaheim, which led the construction effort, opened the facility to rail and bus service on December 6, 2014, held a ribbon cutting ceremony on December 8, 2014 and a grand opening celebration on December 13, 2014. The former Anaheim station located in the stadium parking lot is no longer in use with the opening of ARTIC. The City of Anaheim reported substantial completion on December 31, 2014; total project closeout and acceptance is anticipated next quarter.

Measure M2

Progress Report

TRANSIT



Project U

Project U expands mobility choices for seniors and persons with disabilities, including the Senior Mobility Program (SMP), the Senior Non-emergency Medical Transportation Program (SNEMT), and the Fare Stabilization Program. In total since inception, approximately \$31 million in Project U funding has been provided under M2.

**Last quarter the total number was incorrectly reported. It should have shown \$29 million.*

Senior Mobility Program (SMP)

Contact: Dana Wiemiller, ACCESS
(714) 560-5718

Status: Ongoing

Summary: This program provides one percent of M2 net revenues to continue and expand local community transportation service for seniors under the SMP. Including this quarter and since inception of the program, more than 1,000,000 boardings have been provided for seniors traveling to medical appointments, nutrition programs, shopping destinations, and senior and community center activities. This quarter, more than \$394,000 in SMP funding was paid out to the 31 participating cities during the month of May 2015*.

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

Senior Non-emergency Medical Transportation Program (SNEMT)

Contact: Dana Wiemiller, ACCESS
(714) 560-5718

Status: Ongoing

Summary: This program provides one percent of M2 net revenues to supplement existing countywide senior non-emergency medical transportation services. Including this quarter and since inception of the program, more than 301,000 SNEMT boardings have been provided. This quarter, more than \$416,000 in SNEMT Program funding was paid to the County of Orange. This amount reflects monies paid out during the month of May 2015*.

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

Continues on the next page...

Measure M2

Progress Report

TRANSIT



Project U continued from the previous page...

Fare Stabilization Program

Contact: Sean Murdock, Finance
(714) 560-5685

Status: Ongoing

Summary: One percent of net revenues are dedicated to stabilize fares and provide fare discounts for bus services and specialized ACCESS services for seniors and persons with disabilities. Approximately \$935,841 in revenue was allocated this quarter to support the Fare Stabilization Program. Throughout the quarter approximately 3,574,676 program related boardings were recorded on fixed route and ACCESS services. The amount of funding utilized each quarter varies based on ridership. Since inception of the Fare Stabilization Program, staff has been providing regular updates to the OCTA Board of Directors to reflect a concern with funding levels for the program due to the impacts of the recession. The last program update to the Board in June 2014 reported that funding levels are insufficient and the program will continue to incur annual shortfalls without an increase in revenue or a reduction in expenditures. Staff was directed by the Board to continue to explore viable solutions and return to the Board annually with program updates. Status of the Fare Stabilization Program will be continually monitored, and any necessary amendments to the program will be discussed with the Board and considered as part of the Ten-Year Comprehensive Program Review which is currently underway with a draft report planned to go to the Board in Fall 2015.

Project V

Contact: Sam Kaur, Planning
(714) 560-5673

Community Based Transit/ Circulators

Status: Service Ongoing in the Cities of Lake Forest and La Habra; Service started in Dana Point and Laguna Beach; Agreements have been executed for all agencies including: Laguna Beach, Dana Point and Huntington Beach.

Summary: This project establishes a competitive program for local jurisdictions to develop local bus transit services such as community based circulators and shuttles that complement regional bus and rail services, and meet needs in areas not adequately served by regional transit. On June 24, 2013, the Board approved \$9.8 million to fund five funding proposals from the cities of Dana Point, Huntington Beach, La Habra, Laguna Beach, and Lake Forest. This has been the only round of funding to date. The funding is used to implement vanpool services from local employment centers to transportation hubs, special event and seasonal services that operate during heavy traffic periods, and local community circulators that carry passengers between various shopping, medical, and transportation related centers. During the quarter, staff completed review of Letters of Interest submitted by eight local agencies and meetings with the ten agencies which expressed interest to gain insight in their Project V related ideas. On June 24, 2015 OCTA held a Project V Workshop with the Technical Advisory Committee to obtain feedback on Project V guidelines and provide information to encourage applicants for the next call for projects. Staff is anticipating to present the revised Project V Guidelines to the Technical Advisory Committee in August 2015 and to the Board in October 2015 as well as announce the next call for projects.

Measure M2

Progress Report

TRANSIT



Project W

Safe Transit Stops

Contact: Sam Kaur, Planning
(714) 560-5673

Status: Executed All Agreement Documents

Summary: This project provides for passenger amenities at the 100 busiest transit stops across the County. The stops will be designed to ease transfers between bus lines and provide passenger amenities such as improved shelters and lighting. At the July 14, 2014 Board meeting, the Board approved \$1,205,666 in M2 Project W funds for city-initiated improvements and \$370,000 for OCTA-initiated improvements in fiscal year 2014-15. Fifteen cities are eligible for Safe Transit Stops' funding, seven cities applied for funds, and 51 projects will be funded per the July 2014 Board approval. Letter agreements with local agencies to allow the use of funds are complete. Per the established guidelines, local agencies have until June 30, 2015 to award the contracts, but can request up to a 24-month extension during the semi-annual review process. During the March 2015 Semi-Annual Review, two agencies (Santa Ana and Brea) requested a 12-month extension to award their respective funds. City of Orange requested admin delay of six months due to the higher bids received for the project. Other agencies including Costa Mesa, Irvine, Anaheim, and Westminster reported that projects have been awarded as of June 30, 2015. Information on project implementation status will be provided as projects move forward.



Project X

Environmental Cleanup Program

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

Status: On-going

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

Project X is composed of a two-tiered funding process focusing on early priorities (Tier 1), and to prepare for more comprehensive capital investments (Tier 2). To date, there have been four rounds of funding under the Tier 1 grants program. A total of 104 projects in the amount of just over \$11 million have been awarded by the OCTA Board since 2011. There have been two rounds of funding under the Tier 2 grants program. A total of 22 projects in the amount of \$27.89 million have been awarded by the OCTA Board since 2013. To date, 33 of the 34 Orange County cities plus the County of Orange have received funding under this program.

The fifth Tier 1 Call for Projects was completed on May 15, 2015. A total of 26 applications were received by 21 agencies. Staff anticipates seeking Board approval for Tier 1 funding recommendations in August 2015. With approximately \$10 million in Tier 2 funding remaining, staff continues to work with the M2 Allocation Committee to recommend the appropriate timing of a third Tier 2 Call for Projects in 2016.

Measure M2

Progress Report

ENVIRONMENTAL



Part of Projects A-M

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

Freeway Mitigation Program

Status: Executing Agreement Documents; Final Conservation Plan and EIR/ EIS Under Development

Summary: The Freeway Mitigation Program (Mitigation Program) provides higher-value environmental benefits such as habitat protection, wildlife corridors, and resource preservation in exchange for streamlined project approvals and greater certainty in the delivery of Projects A-M. The Mitigation Program is proceeding as planned, with seven properties acquired (1,300 acres), and eight of the 11 restoration projects approved by the OCTA Board of Directors (Board), totaling approximately 400 acres. To date, the Board has authorized \$42 million for property acquisitions, \$10.5 million to fund habitat restoration activities, and \$2.5 million for conservation plan development and program support, for a total of approximately \$55 million.

The Mitigation Program Draft Natural Community Conservation Plan/Habitat Conservation Plan (NCCP/HCP) and Draft Environmental Impact Report and Environmental Impact Statement (EIR/EIS) are currently being finalized after the public comments period, which closed during the first quarter. Comments received during the public comment period will be incorporated into the final NCCP/HCP and EIR/EIS, which is anticipated to be brought to the Board for adoption in late 2015 or early 2016.

Staff anticipates the release of separate preserve specific Resource Management Plans (RMP's) for the five properties covered in the NCCP/HCP to occur in August 2015. These RMP's will determine the appropriate management needs of each of the acquired properties (consistent with the NCCP/HCP). The public will have an opportunity to comment on the draft RMPs before they are finalized. The remaining RMPs will be developed once biological surveys have been conducted and will follow the same process.

On May 22, 2015, the OCTA Board approved a framework for the use of remaining Mitigation Program revenues to off-set environmental impacts from future state highway improvement projects. Guiding principles were developed along with a long-term funding strategy in order to establish a framework for potential future expenditures. The Board also directed staff to review environmental issues on a cross regional basis. On June 8, 2015, as part of the Mitigation Program biennial status update, the Board also approved staff's recommendation to revise the New Irvine Ranch Conservancy's restoration projects (Agua Chinon, Lower Silverado Canyon, and West Loma) to off-set increased project cost resulting from the Army Corps of Engineer's additional requirements.

Continues on the next page...

Measure M2

Progress Report

ENVIRONMENTAL



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*The 12-member Environmental Oversight Committee (EOC) makes funding allocation recommendations to assist OCTA in acquiring land and restoring habitats in exchange for streamlined project approvals for the M2 freeway improvement projects (A-M).



Measure M2

Progress Report

PROGRAM MGMT



Program Management Office

Contact: Tami Warren, PMO Manager
(714) 560-5590

The Measure M (M1 and M2) Program Management Office (PMO) provides interdivisional coordination for all M-related projects and programs. To ensure agency-wide compliance, the PMO also holds a bi-monthly committee meeting made up of executive directors and key staff from each of the divisions, which meets to review significant issues and activities within the Measure M programs. This quarter, the focus of the PMO has been on several major items, including the following.

M2020 Plan Review

The PMO regularly reviews and reports on the progress of the M2020 Plan objectives. The last comprehensive review was September 2013 and is currently being analyzed as part of the Ten-Year Review. Page one through four of this report includes an update on OCTA's progress on delivering the 14 objectives identified in the M2020 Plan and the accompanying staff report provides an overview of challenges.

10-Year Review

M2 Ordinance No. 3 requires that a comprehensive review take place at least every ten years to include all M2 project and program elements included in the Transportation Investment Plan. The PMO is leading the Ten-Year Review with participation from each of the divisions. Following the precedent set with the triennial performance reviews, the ten-year period is assumed to have begun on November 8, 2006 (effective date of Ordinance No.3), and would conclude on November 7, 2016. On April 6, 2015 staff presented an overview and status report on the review effort. With the recent completion of the 2014 update of Orange County's Long-Range Transportation Plan (LRTP) and the fact that M2 is the cornerstone of that plan, OCTA staff will capitalize on this effort and use research and outreach performed as part of the LRTP update, as appropriate, to assist with the M2 Ten-Year review. Additional research and analysis will be performed to review all elements as identified in Ordinance No. 3. The completion of the review is planned for late 2015. In addition to the discussion included in the accompanying staff report, a draft report is anticipated to go to the Board in October 2015.

2012-2015 M2 Performance Assessment Update

Measure M2's Ordinance No. 3 requires that a M2 performance assessment be conducted every three years. To date there have been two prior performance assessments and this one will review the time period of July 1, 2012 through June 30, 2015. The PMO released a request for proposals in early May 2015 and selected a consultant to perform this effort. The assessment will begin in July 2015 and is anticipated to take six to nine months to complete. The result of the Performance Assessment including any findings will be brought to the Taxpayers Oversight Committee for information and to the Board for review and action in early 2016.

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Measure M1 Closeout

The M1 fund was officially closed out as scheduled on June 30, 2015. The PMO led the closeout of the remaining open M1 contracts meeting with division leads and relevant project managers to ensure all projects that could be closed were closed on time. Four projects needed to remain open in order to complete the project closeout process. These projects were moved into the general fund as presented with the 2015-16 budget and will remain there until complete. Staff will bring the final quarterly report along with the complete closeout plan in October 2015, when all of the final accounting is complete for the M1 program. This will be presented to the Board with any necessary actions required to officially closeout M1.

M2 Administrative Cost Safeguards

Both M1 and M2 include 1 percent caps on administrative expenses for salaries and benefits of OCTA administrative staff, but the M2 language sets the cap on an annual basis, whereas the M1 cap was set as an annual average over the life of the measure. In a legal opinion on M2, it was determined that in years where administrative salaries and benefits are above 1 percent, only 1 percent can be allocated with the difference borrowed from other, non-Measure M fund sources. Conversely, in years where administrative salaries and benefits are below 1 percent, OCTA can still allocate the full 1 percent for administrative salaries and benefits but may use the unused portion to repay the amount borrowed from prior years in which administrative salaries and benefits were above 1 percent.

Based on the original M2 revenue projections, OCTA expected to receive \$24.3 billion in M2 funds, with 1 percent of total revenues available to fund administrative salaries and benefits over the life of the program. As M2 revenue projections declined as a result of economic conditions, the funds available to support administrative salaries and benefits have also declined from the original expectations. While revenue has declined, the administrative effort needed to deliver M2 remains the same. Additionally, the initiation of the EAP in 2007 required administrative functions four years prior to revenue collection. While the EAP resulted in project savings and significant acceleration of the program, administrative functions were required during this time with associated administrative costs.

As a result of the above mentioned factors, OCTA has incurred higher than 1 percent administrative costs. OCTA currently has Board approval to use funds from the Orange County Unified Transportation Trust (OCUTT) fund to cover costs above the 1 percent, with the understanding that those funds will be repaid with interest in future years that OCTA administrative costs fall below the 1 percent cap. As of June 30, 2012, OCTA had borrowed approximately \$5.2 million from OCUTT. Following recommendations received through the February 2013 M2 Performance Assessment Final Report, staff adjusted the approach to apply the allocation of state planning funds to areas that are subject to the 1 percent administration cap and adjusted OCTA's cost allocation plan to ensure that administrative charges are more precisely captured. Beginning in 2013, OCTA has continually underrun the 1 percent administration cap and has been making payments to OCUTT to reduce the outstanding balance. As of June 30, 2015 the outstanding balance is \$2.3 million.

Staff continues to meet quarterly to review all labor costs to ensure proper cost allocation to both M1 and M2. During the quarter, staff met on April 15, 2015 to review the labor reports to ensure costs attributed to the 1 percent cap were accurately reported and there were no misplaced project related costs as well as to ensure project costs were applied to the correct projects. Staff will meet again on July 21, 2015 to conduct this quarterly review.

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Taxpayer Oversight Committee

The M2 Ordinance requires a Taxpayer Oversight Committee (TOC) to oversee the implementation of the M2 plan. With the exception of the elected Auditor/Controller of Orange County who in Ordinance No. 3 is identified as the chair of the TOC, all other members are not elected or appointed officials. Members are recruited and screened for expertise and experience by the Orange County Grand Jurors Association, and are selected from the qualified pool by lottery. The TOC meets every other month. The TOC upholds the integrity of the measure by monitoring the use of Measure M funds and ensuring that all revenue collected from Measure M is spent on voter-approved transportation projects. The responsibilities of the 11-member Measure M TOC are to: ensure all transportation revenue collected from Measure M is spent on the projects approved by the voters as part of the plan; ratify any changes in the plan and recommend any major changes go back to the voters for approval; participate in ensuring that all jurisdictions in Orange County conform with the requirements of Measure M before receipt of any tax monies for local projects; hold annual public meetings regarding the expenditure and status of funds generated by Measure M; review independent audits of issues regarding the plan and performance of the Orange County local Transportation Authority regarding the expenditure of Measure M sales tax monies; and, annually certify whether Measure M funds have been spent in compliance with the plan. The TOC met on April 14, 2015 to receive updated financial information and to hear project updates. New member recruitment for four member term expirations took place this quarter with four new members selected by lottery by the Board.

Measure M2

Progress Report

FINANCE MATTERS



M2 Financing

Contact: Sean Murdock, Finance
(714) 560-5685

Revenue Forecast and Collection

OCTA contracts with three universities to provide a long-range forecast of taxable sales to forecast Measure M2 revenues for purposes of planning projects and program expenditures. Annually, in the past OCTA has taken an average of the three university taxable sales projections to develop a long-range forecast of Measure M2 taxable sales. However, on June 8, 2015, after reviewing the actuals on sales tax revenue, the Board decided to take a more conservative approach and use the Chapman University forecast, 5.68%, which happens to be the lowest of the three universities' forecasts. Revenue forecast information is updated quarterly based on the actual revenues received for the previous quarter. As required by law, OCTA pays the State Board of Equalization a fee to collect the sales tax. The M2 Ordinance estimated this fee to be 1.5 percent of the revenues collected over the life of the program.

Current Forecast

Based on updated long term forecasts received in May, OCTA staff forecasts total nominal sales tax collections over the life of M2 will be approximately \$15.7 billion. This incorporates the Board's desire to be conservative. Original projections in 2005 estimated total nominal M2 sales tax collections at \$24.3 billion. Based on the current estimated forecast of \$15.7 billion sales tax revenue will run approximately \$8.6 billion (35%) less than the original 2005 projection of \$24.3 billion. The revenue forecast for the life of the M2 Program varies based on actual sales tax receipts.

Sales tax receipts through the third quarter of FY 2014-15 (i.e. March 31, 2015) were received in May and reflected a growth in sales tax revenue of 4.2% over the same period of the prior fiscal year. The growth; while positive, is less than the budgeted sales tax growth rate of 6.7% for FY 2014-15. As a result, the FY 2015-16 M2 sales tax budget is based on a more conservative sales tax growth rate of 5.68%. Staff will continue to closely monitor sales tax receipts. At this time, no changes are required to the budget.

Measure M2

Progress Report

REVENUE & EXPENDITURES



Measure M2

Schedule of Revenues, Expenditures and Changes in Fund Balance as of June 3, 2015 (Unaudited)

Schedule 1

| (\$ in thousands) | Year to Date June 30, 2015 (A) | Period from Inception to June 30, 2015 (B) |
|---|--------------------------------------|---|
| Revenues: | | |
| Sales taxes | \$ 289,678 | \$ 1,147,493 |
| Other agencies' share of Measure M2 costs: | | |
| Project related | 99,206 | 376,619 |
| Non-project related | 231 | 365 |
| Interest: | | |
| Operating: | | |
| Project related | 2 | 2 |
| Non-project related | 3,529 | 9,338 |
| Bond proceeds | 5,098 | 26,745 |
| Debt service | 4 | 42 |
| Commercial paper | - | 393 |
| Right-of-way leases | 122 | 704 |
| Miscellaneous | | |
| Project related | (181) | 17 |
| Non-project related | - | 7 |
| Total revenues | 397,689 | 1,561,725 |
| Expenditures: | | |
| Supplies and services: | | |
| State Board of Equalization (SBOE) fees | 3,387 | 12,317 |
| Professional services: | | |
| Project related | 37,639 | 219,654 |
| Non-project related | 1,441 | 12,764 |
| Administration costs: | | |
| Project related | 7,620 | 34,975 |
| Non-project related : | | |
| Salaries and Benefits | 1,852 | 13,841 |
| Other | 5,197 | 22,705 |
| Other: | | |
| Project related | 189 | 1,402 |
| Non-project related | 116 | 3,684 |
| Payments to local agencies: | | |
| Project related | 113,776 | 502,017 |
| Capital outlay: | | |
| Project related | 100,775 | 454,637 |
| Non-project related | - | 31 |
| Debt service: | | |
| Principal payments on long-term debt | 6,865 | 19,875 |
| Interest on long-term debt and commercial paper | 21,953 | 93,924 |
| Total expenditures | 300,810 | 1,391,826 |
| Excess (deficiency) of revenues over (under) expenditures | 96,879 | 169,899 |
| Other financing sources (uses): | | |
| Transfers out: | | |
| Project related | (3,357) | (12,037) |
| Transfers in: | | |
| Project related | 6,526 | 51,804 |
| Non-project related | 14,474 | 21,868 |
| Bond proceeds | - | 358,593 |
| Total other financing sources (uses) | 17,643 | 420,228 |
| Excess (deficiency) of revenues over (under) expenditures and other sources (uses) | \$ 114,522 | \$ 590,127 |

Measure M2

Progress Report

REVENUE & EXPENDITURES



Measure M2

Schedule of Calculations of Net Tax Revenues and Net Bond Revenues (Debt Service) as of June 30, 2015 (Unaudited)

Schedule 2

| (\$ in thousands) | Year Ended June 30, 2015 (actual) (C.1) | Period from Inception through June 30, 2015 (actual) (D.1) | Period from July 1, 2015 through March 31, 2041 (forecast) (E.1) | Total (F.1) |
|--|--|---|---|-----------------------|
| Revenues: | | | | |
| Sales taxes | \$ 289,678 | \$ 1,147,493 | \$ 14,572,357 | \$ 15,719,850 |
| Operating interest | 3,529 | 9,338 | 294,504 | 303,842 |
| Subtotal | <u>293,207</u> | <u>1,156,831</u> | <u>14,866,862</u> | <u>16,023,693</u> |
| Other agencies share of M2 costs | 231 | 365 | - | 365 |
| Miscellaneous | - | 7 | - | 7 |
| Total revenues | <u>293,438</u> | <u>1,157,203</u> | <u>14,866,862</u> | <u>16,024,065</u> |
| Administrative expenditures: | | | | |
| SBOE fees | 3,387 | 12,317 | 218,673 | 230,990 |
| Professional services | 1,227 | 8,988 | 99,449 | 108,437 |
| Administration costs : | | | | |
| Salaries and Benefits | 1,852 | 13,841 | 145,700 | 159,541 |
| Other | 5,197 | 22,705 | 207,640 | 230,345 |
| Other | 116 | 3,684 | 25,109 | 28,793 |
| Capital outlay | - | 31 | - | 31 |
| Environmental cleanup | 2,220 | 8,562 | 291,447 | 300,009 |
| Total expenditures | <u>13,999</u> | <u>70,128</u> | <u>988,018</u> | <u>1,058,146</u> |
| Net revenues | <u>\$ 279,439</u> | <u>\$ 1,087,075</u> | <u>\$ 13,878,843</u> | <u>\$ 14,965,918</u> |
| | (C.2) | (D.2) | (E.2) | (F.2) |
| Bond revenues: | | | | |
| Proceeds from issuance of bonds | \$ - | \$ 358,593 | \$ 1,450,000 | \$ 1,808,593 |
| Interest revenue from bond proceeds | 5,098 | 26,745 | 25,760 | 52,505 |
| Interest revenue from debt service funds | 4 | 42 | 54 | 96 |
| Interest revenue from commercial paper | - | 393 | - | 393 |
| Total bond revenues | <u>5,102</u> | <u>385,773</u> | <u>1,475,814</u> | <u>1,861,587</u> |
| Financing expenditures and uses: | | | | |
| Professional services | 214 | 3,776 | 12,340 | 16,116 |
| Bond debt principal | 6,865 | 19,875 | 1,788,652 | 1,808,527 |
| Bond debt and other interest expense | 21,953 | 93,924 | 1,417,105 | 1,511,029 |
| Total financing expenditures and uses | <u>29,032</u> | <u>117,575</u> | <u>3,218,097</u> | <u>3,335,672</u> |
| Net bond revenues (debt service) | <u>\$ (23,930)</u> | <u>\$ 268,198</u> | <u>\$ (1,742,283)</u> | <u>\$ (1,474,085)</u> |

Measure M2

Progress Report

REVENUE & EXPENDITURES



Measure M2

Schedule of Revenues and Expenditures

Summary as of June 30, 2015 (Unaudited)

Schedule 3

| Project | Description | Net Revenues through June 30, 2015 | Total Net Revenues | Expenditures through June 30, 2015 | Reimbursements through June 30, 2015 | Net M2 Cost |
|--|--|--|-----------------------|--|--|-------------------|
| (G) | (H) | (I) | (J) | (K) | (L) | |
| | (\$ in thousands) | | | | | |
| Freeways (43% of Net Revenues) | | | | | | |
| A | I-5 Santa Ana Freeway Interchange Improvements | \$ 42,847 | \$ 589,883 | \$ 2,243 | \$ 2 | \$ 2,241 |
| B | I-5 Santa Ana/SR-55 to El Toro | 27,368 | 376,772 | 3,688 | 1,439 | 2,249 |
| C | I-5 San Diego/South of El Toro | 57,160 | 786,930 | 53,652 | 12,443 | 41,209 |
| D | I-5 Santa Ana/San Diego Interchange Upgrades | 23,520 | 323,808 | 1,644 | 456 | 1,188 |
| E | SR-22 Garden Grove Freeway Access Improvements | 10,940 | 150,609 | 4 | - | 4 |
| F | SR-55 Costa Mesa Freeway Improvements | 33,366 | 459,356 | 6,723 | 23 | 6,700 |
| G | SR-57 Orange Freeway Improvements | 23,584 | 324,687 | 44,331 | 9,822 | 34,509 |
| H | SR-91 Improvements from I-5 to SR-57 | 12,763 | 175,710 | 25,625 | 503 | 25,122 |
| I | SR-91 Improvements from SR-57 to SR-55 | 37,970 | 522,737 | 11,976 | 894 | 11,082 |
| J | SR-91 Improvements from SR-55 to County Line | 32,108 | 442,037 | 6,962 | 5,294 | 1,668 |
| K | I-405 Improvements between I-605 to SR-55 | 97,801 | 1,346,440 | 33,937 | 3,192 | 30,745 |
| L | I-405 Improvements between SR-55 to I-5 | 29,145 | 401,246 | 2,469 | 44 | 2,425 |
| M | I-605 Freeway Access Improvements | 1,823 | 25,101 | 614 | 16 | 598 |
| N | All Freeway Service Patrol | 13,675 | 188,261 | 95 | - | 95 |
| | Freeway Mitigation | 23,372 | 321,767 | 43,571 | 1,688 | 41,883 |
| | Subtotal Projects | 467,442 | 6,435,344 | 237,534 | 35,816 | 201,718 |
| | Net (Bond Revenue)/Debt Service | - | - | 24,810 | - | 24,810 |
| | Total Freeways | \$ 467,442 | \$ 6,435,344 | \$ 262,344 | \$ 35,816 | \$ 226,528 |
| | % | | | | | 26.4% |
| Street and Roads Projects (32% of Net Revenues) | | | | | | |
| O | Regional Capacity Program | \$ 108,709 | \$ 1,496,611 | \$ 488,020 | \$ 246,320 | \$ 241,700 |
| P | Regional Traffic Signal Synchronization Program | 43,481 | 598,618 | 16,449 | 1,257 | 15,192 |
| Q | Local Fair Share Program | 195,674 | 2,693,865 | 185,496 | 77 | 185,419 |
| | Subtotal Projects | 347,864 | 4,789,094 | 689,965 | 247,654 | 442,311 |
| | Net (Bond Revenue)/Debt Service | - | - | 28,880 | - | 28,880 |
| | Total Street and Roads Projects | \$ 347,864 | \$ 4,789,094 | \$ 718,845 | \$ 247,654 | \$ 471,191 |
| | % | | | | | 54.9% |
| Transit Projects (25% of Net Revenues) | | | | | | |
| R | High Frequency Metrolink Service | \$ 97,317 | \$ 1,339,772 | \$ 154,739 | \$ 82,851 | \$ 71,888 |
| S | Transit Extensions to Metrolink | 95,964 | 1,321,144 | 3,755 | 1,443 | 2,312 |
| T | Metrolink Gateways | 21,745 | 299,371 | 98,207 | 60,956 | 37,251 |
| U | Expand Mobility Choices for Seniors and Persons with Disabilities | 32,608 | 448,925 | 30,878 | 17 | 30,861 |
| V | Community Based Transit/Circulators | 21,736 | 299,239 | 1,008 | 91 | 917 |
| W | Safe Transit Stops | 2,399 | 33,029 | 74 | 26 | 48 |
| | Subtotal Projects | 271,769 | 3,741,480 | 288,661 | 145,384 | 143,277 |
| | Net (Bond Revenue)/Debt Service | - | - | 16,802 | - | 16,802 |
| | Total Transit Projects | \$ 271,769 | \$ 3,741,480 | \$ 305,463 | \$ 145,384 | \$ 160,079 |
| | % | | | | | 18.7% |
| | Measure M2 Program | \$ 1,087,075 | \$ 14,965,918 | \$ 1,286,652 | \$ 428,854 | \$ 857,798 |
| Environmental Cleanup (2% of Revenues) | | | | | | |
| X | Clean Up Highway and Street Runoff that Pollutes Beaches | \$ 23,137 | \$ 320,474 | \$ 8,562 | \$ 292 | \$ 8,270 |
| | Net (Bond Revenue)/Debt Service | - | - | 28 | - | 28 |
| | Total Environmental Cleanup | \$ 23,137 | \$ 320,474 | \$ 8,590 | \$ 292 | \$ 8,298 |
| | % | | | | | 0.7% |
| Taxpayer Safeguards and Audits | | | | | | |
| | Collect Sales Taxes (1.5% of Sales Taxes) | \$ 17,212 | \$ 235,798 | \$ 12,317 | \$ - | \$ 12,317 |
| | % | | | | | 1.1% |
| | Oversight and Annual Audits (1% of Revenues) | \$ 11,568 | \$ 160,237 | \$ 13,841 | \$ 2,273 | \$ 11,568 |
| | % | | | | | 1.0% |

Measure M2

Progress Report



M2 FUNDS

| ENTITY | 4th Quarter FY 2014/15 | FUNDS TO DATE |
|------------------|---------------------------|-----------------|
| ALISO VIEJO | \$201,730.81 | \$2,314,047.63 |
| ANAHEIM | \$1,737,165.99 | \$19,931,002.74 |
| BREA | \$288,403.66 | \$3,382,498.97 |
| BUENA PARK | \$478,716.05 | \$5,448,654.71 |
| COSTA MESA | \$731,786.97 | \$8,385,572.72 |
| CYPRESS | \$269,678.30 | \$3,160,660.26 |
| DANA POINT | \$164,372.48 | \$1,921,825.85 |
| FOUNTAIN VALLEY | \$318,204.13 | \$3,679,476.21 |
| FULLERTON | \$662,728.12 | \$7,621,069.50 |
| GARDEN GROVE | \$758,610.91 | \$8,753,353.69 |
| HUNTINGTON BEACH | \$983,438.85 | \$11,381,944.10 |
| IRVINE | \$1,355,139.91 | \$15,123,641.70 |
| LAGUNA BEACH | \$129,240.37 | \$1,483,786.07 |
| LAGUNA HILLS | \$174,357.99 | \$2,003,672.04 |
| LAGUNA NIGUEL | \$339,945.20 | \$3,942,926.62 |
| LAGUNA WOODS | \$65,247.74 | \$758,740.86 |
| LA HABRA | \$267,017.35 | \$3,120,001.17 |
| LAKE FOREST | \$397,568.30 | \$4,569,327.11 |

Measure M2

Progress Report LOCAL FAIR SHARE



M2 FUNDS

| ENTITY | 4th Quarter FY 2014/15 | FUNDS TO DATE |
|------------------------|---------------------------|-------------------------|
| LA PALMA | \$82,505.89 | \$1,043,195.28 |
| LOS ALAMITOS | \$65,995.88 | \$757,167.96 |
| MISSION VIEJO | \$474,814.94 | \$5,499,813.79 |
| NEWPORT BEACH | \$554,541.38 | \$6,411,526.25 |
| ORANGE | \$835,146.77 | \$9,571,716.53 |
| PLACENTIA | \$241,291.89 | \$2,771,902.90 |
| RANCHO SNATA MARGARITA | \$216,378.02 | \$2,490,543.64 |
| SAN CLEMENTE | \$281,049.70 | \$3,249,280.29 |
| SAN JUAN CAPISTRANO | \$195,290.26 | \$2,230,434.63 |
| SANTA ANA | \$1,403,573.05 | \$16,196,639.59 |
| SEAL BEACH | \$128,479.86 | \$1,533,209.24 |
| STANTON | \$152,018.63 | \$1,770,384.44 |
| TUSTIN | \$453,659.18 | \$5,164,095.34 |
| VILLA PARK | \$26,568.87 | \$304,953.69 |
| WESTMINSTER | \$433,874.23 | \$5,005,862.06 |
| YORBA LINDA | \$304,101.48 | \$3,502,854.10 |
| COUNTY UNINCORPORATED | \$927,697.76 | \$10,596,461.38 |
| TOTAL M2 FUNDS | \$16,100,340.92 | \$185,082,243.06 |

Measure M2

Progress Report

CAPITAL ACTION PLAN



Grey = Milestone achieved

Green = Forecast milestone meets or exceeds plan

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

Red = Forecast milestone is over three months later than plan

| Capital Projects * | Cost Budget/ Forecast (in millions) | Schedule Plan/Forecast | | | |
|--|--|------------------------|---------------------------|--------------------|--------------------------|
| | | Begin Environmental | Complete Environmental | Complete Design | Complete Construction |
| FREEWAY PROJECTS | | | | | |
| I-5, Pico to Vista Hermosa | \$113.0 | Jun-09 | Dec-11 | Oct-13 | Aug-18 |
| Project C | \$91.9 | Jun-09 | Oct-11 | Oct-13 | Aug-18 |
| I-5, Vista Hermosa to Pacific Coast Highway | \$75.6 | Jun-09 | Dec-11 | Feb-13 | Mar-17 |
| Project C | \$71.5 | Jun-09 | Oct-11 | May-13 | Mar-17 |
| I-5, Pacific Coast Highway to San Juan Creek Rd. | \$70.7 | Jun-09 | Dec-11 | Jan-13 | Sep-16 |
| Project C | \$60.2 | Jun-09 | Oct-11 | Jan-13 | Sep-16 |
| I-5, I-5/Ortega Interchange | \$90.9 | Sep-05 | Jun-09 | Nov-11 | Sep-15 |
| Project D | \$81.3 | Sep-05 | Jun-09 | Dec-11 | Dec-15 |
| I-5, I-5/Ortega Interchange (Landscape) | N/A | N/A | N/A | N/A | N/A |
| Project D | N/A | N/A | N/A | Oct-14 | Jan-17 |
| I-5, SR-73 to Oso Parkway | \$151.9 | Sep-11 | Jun-14 | Jan-18 | Apr-22 |
| Project C & D | \$151.9 | Oct-11 | May-14 | Jan-18 | Apr-22 |
| I-5, Oso Parkway to Alicia Parkway | \$196.2 | Sep-11 | Jun-14 | Jun-17 | Mar-22 |
| Project C & D | \$196.2 | Oct-11 | May-14 | Jun-17 | Mar-22 |
| I-5, Alicia Parkway to El Toro Road | \$133.6 | Sep-11 | Jun-14 | Jun-18 | Sep-22 |
| Project C | \$133.6 | Oct-11 | May-14 | Jun-18 | Sep-22 |
| I-5, I-5/El Toro Road Interchange | TBD | TBD | TBD | TBD | TBD |
| Project D | TBD | Oct-16 | Sep-19 | TBD | TBD |
| I-5, I-405 to SR-55 | TBD | May-14 | Apr-17 | TBD | TBD |
| Project B | TBD | May-14 | Dec-17 | TBD | TBD |
| I-5, SR-55 to SR-57 | \$37.1 | Jul-11 | Jun-13 | TBD | TBD |
| Project A | \$36.9 | Jun-11 | Apr-15 | Feb-17 | Dec-19 |

*For detailed project status information, please refer to the individual project section within this report.

Measure M2

Progress Report

CAPITAL ACTION PLAN



Grey = Milestone achieved

Green = Forecast milestone meets or exceeds plan

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

Red = Forecast milestone is over three months later than plan

| Capital Projects* | Cost Budget/ Forecast (in millions) | Schedule Plan/Forecast | | | |
|---|--|------------------------|---------------------------|--------------------|--------------------------|
| | | Begin Environmental | Complete Environmental | Complete Design | Complete Construction |
| SR-55, I-405 to I-5 | TBD | Feb-11 | Nov-13 | TBD | TBD |
| Project F | \$274.6 | May-11 | Nov-16 | Feb-20 | Dec-23 |
| SR-55, I-5 to SR-91 (Draft) | TBD | TBD | TBD | TBD | TBD |
| Project F | TBD | May-16 | Nov-18 | TBD | TBD |
| SR-57 Northbound (NB), Orangewood to Katella | TBD | TBD | TBD | TBD | TBD |
| Project G | TBD | Nov-15 | Nov-17 | TBD | TBD |
| SR-57 (NB), Katella to Lincoln | \$78.7 | Apr-08 | Jul-09 | Nov-10 | Sep-14 |
| Project G | \$40.7 | Apr-08 | Nov-09 | Dec-10 | Apr-15 |
| SR-57 (NB), Katella to Lincoln (Landscape) | N/A | N/A | N/A | N/A | N/A |
| Project G | N/A | N/A | N/A | Jul-10 | Aug-17 |
| SR-57 (NB), Orangethorpe to Yorba Linda | \$80.2 | Aug-05 | Dec-07 | Dec-09 | May-14 |
| Project G | \$52.9 | Aug-05 | Dec-07 | Jul-09 | Nov-14 |
| SR-57 (NB), Yorba Linda to Lambert | \$79.3 | Aug-05 | Dec-07 | Dec-09 | Sep-14 |
| Project G | \$54.6 | Aug-05 | Dec-07 | Jul-09 | May-14 |
| SR-57 (NB), Orangethorpe to Lambert (Landscape) | N/A | N/A | N/A | N/A | N/A |
| Project G | N/A | N/A | N/A | Feb-16 | Aug-17 |
| SR-57 (NB), Lambert to Tonner Canyon (Draft) | TBD | TBD | TBD | TBD | TBD |
| Project G | TBD | Aug-16 | Jul-19 | TBD | TBD |
| SR-91 Westbound (WB), I-5 to SR-57 | \$78.1 | Jul-07 | Apr-10 | Feb-12 | Apr-16 |
| Project H | \$63.5 | Jul-07 | Jun-10 | Apr-12 | Jul-16 |
| SR-91 Westbound (WB), I-5 to SR-57 (Landscape) | N/A | N/A | N/A | N/A | N/A |
| Project H | N/A | N/A | N/A | Feb-16 | Sep-17 |

*For detailed project status information, please refer to the individual project section within this report.

Measure M2

Progress Report

CAPITAL ACTION PLAN



Grey = Milestone achieved

Green = Forecast milestone meets or exceeds plan

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

Red = Forecast milestone is over three months later than plan

| Capital Projects* | Cost Budget/ Forecast (in millions) | Schedule Plan/Forecast | | | |
|--|--|------------------------|---------------------------|--------------------|--------------------------|
| | | Begin Environmental | Complete Environmental | Complete Design | Complete Construction |
| SR-91, SR-57 to SR-55 | TBD | Jan-15 | Oct-18 | TBD | TBD |
| Project I | TBD | Jan-15 | Oct-18 | TBD | TBD |
| SR-91 (WB), Tustin Interchange to SR-55 | \$49.9 | Jul-08 | Jul-11 | Mar-13 | Jul-16 |
| Project I | \$47.8 | Jul-08 | May-11 | Feb-13 | Jul-16 |
| SR-91, SR-55 to SR-241 | \$128.4 | Jul-07 | Jul-09 | Jan-11 | Dec-12 |
| Project J | \$79.9 | Jul-07 | Apr-09 | Aug-10 | Mar-13 |
| SR-91, SR-55 to SR-241 (Landscape) | N/A | N/A | N/A | N/A | N/A |
| Project J | N/A | N/A | N/A | Feb-13 | Feb-15 |
| SR-91 Eastbound, SR-241 to SR-71 | \$104.5 | Mar-05 | Dec-07 | Dec-08 | Nov-10 |
| Project J | \$57.8 | Mar-05 | Dec-07 | Dec-08 | Jan-11 |
| I-405, I-5 to SR-55 | TBD | Dec-14 | Aug-17 | TBD | TBD |
| Project L | TBD | Dec-14 | Nov-17 | TBD | TBD |
| I-405 Southbound, SR-133 to University Dr. | TBD | Mar-15 | Aug-16 | TBD | TBD |
| Project L | \$16.4 | Mar-15 | Aug-16 | Mar-18 | Nov-19 |
| I-405, SR-55 to I-605 (Design-Build) | TBD | Mar-09 | Mar-13 | TBD | TBD |
| Project K | \$1,700.0** | Mar-09 | May-15 | Nov-15 | Oct-22 |
| I-605, I-605/Katella Interchange (Draft) | TBD | TBD | TBD | TBD | TBD |
| Project M | TBD | Jul-16 | Jun-18 | TBD | TBD |
| GRADE SEPARATION PROJECTS: | | | | | |
| Sand Canyon Ave. Grade Separation | \$55.6 | N/A | Sep-03 | Jul-10 | May-14 |
| Project R | \$63.7 | N/A | Sep-03 | Jul-10 | Jul-15 |
| Raymond Ave. Grade Separation | \$77.2 | Feb-09 | Nov-09 | Aug-12 | Aug-18 |
| Project O | \$116.3 | Feb-09 | Nov-09 | Dec-12 | Aug-18 |

*For detailed project status information, please refer to the individual project section within this report.

**Project cost will undergo a rigorous review through the FHWA required Cost Estimate Review (CER) process which will take place early 2016.

Measure M2

Progress Report

CAPITAL ACTION PLAN



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Red = Forecast milestone is over three months later than plan

| Capital Projects* | Cost Budget/ Forecast (in millions) | Schedule Plan/Forecast | | | |
|--|--|------------------------|---------------------------|--------------------|--------------------------|
| | | Begin Environmental | Complete Environmental | Complete Design | Complete Construction |
| State College Blvd. Grade Separation (Fullerton) | \$73.6 | Dec-08 | Jan-11 | Aug-12 | May-18 |
| Project O | \$92.8 | Dec-08 | Apr-11 | Feb-13 | May-18 |
| Placentia Ave. Grade Separation | \$78.2 | Jan-01 | May-01 | Mar-10 | Nov-14 |
| Project O | \$61.3 | Jan-01 | May-01 | Jun-10 | Dec-14 |
| Kraemer Blvd. Grade Separation | \$70.4 | Jan-01 | Sep-09 | Jul-10 | Oct-14 |
| Project O | \$64.2 | Jan-01 | Sep-09 | Jul-10 | Dec-14 |
| Orangethorpe Ave. Grade Separation | \$117.4 | Jan-01 | Sep-09 | Dec-11 | Sep-16 |
| Project O | \$104.6 | Jan-01 | Sep-09 | Oct-11 | Sep-16 |
| Tustin Ave./Rose Dr. Grade Separation | \$103.0 | Jan-01 | Sep-09 | Dec-11 | May-16 |
| Project O | \$99.2 | Jan-01 | Sep-09 | Jul-11 | May-16 |
| Lakeview Ave. Grade Separation | \$70.2 | Jan-01 | Sep-09 | Oct-11 | Mar-17 |
| Project O | \$99.2 | Jan-01 | Sep-09 | Jan-13 | Mar-17 |
| 17th St. Grade Separation | TBD | Oct-14 | Jun-16 | TBD | TBD |
| Project R | TBD | Oct-14 | Jun-16 | TBD | TBD |
| RAIL AND STATION PROJECTS: | | | | | |
| Rail-Highway Grade Crossing Safety Enhancements | \$94.4 | Jan-08 | Oct-08 | Sep-08 | Dec-11 |
| Project R | \$94.4 | Jan-08 | Oct-08 | Sep-08 | Dec-11 |
| San Clemente Beach Trail Safety Enhancements | \$6.0 | Sep-10 | Jul-11 | Apr-12 | Jan-14 |
| Project R | \$4.9 | Sep-10 | Jul-11 | Jun-12 | Mar-14 |
| San Juan Capistrano Passing Siding | \$25.3 | Aug-11 | Jan-13 | May-16 | Jan-19 |
| Project R | \$25.3 | Aug-11 | Mar-14 | May-16 | Jan-19 |

*For detailed project status information, please refer to the individual project section within this report.

Measure M2

Progress Report

CAPITAL ACTION PLAN



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

Red = Forecast milestone is over three months later than plan

| Capital Projects* | Cost Budget/ Forecast (in millions) | Schedule Plan/Forecast | | | |
|---|--|------------------------|---------------------------|--------------------|--------------------------|
| | | Begin Environmental | Complete Environmental | Complete Design | Complete Construction |
| Anaheim Rapid Connection (schedule on hold) | TBD | Jan-09 | Oct-14 | TBD | TBD |
| Project S | TBD | Jan-09 | TBD | TBD | TBD |
| Santa Ana/Garden Grove Fixed Guideway | TBD | Aug-09 | Mar-12 | TBD | TBD |
| Project S | TBD | Aug-09 | Mar-15 | May-17 | Dec-19 |
| Placentia Metrolink Station & Parking Structure | TBD | Jan-03 | May-07 | Jan-11 | TBD |
| Project R | TBD | Jan-03 | May-07 | Feb-11 | TBD |
| Orange Station Parking Expansion | \$18.6 | Dec-09 | Dec-12 | Apr-13 | TBD |
| Project R | \$18.6 | Dec-09 | Jan-16 | Jan-16 | Jun-17 |
| Fullerton Transportation Center - Elevator Upgrades | \$3.5 | N/A | N/A | Dec-13 | Jan-16 |
| Project R | \$4.0 | N/A | N/A | Dec-13 | Aug-16 |
| Laguna Niguel/Mission Viejo Station ADA Ramps | \$3.5 | Jul-13 | Jan-14 | Aug-14 | Feb-16 |
| Project R | \$3.8 | Jul-13 | Feb-14 | Jul-15 | Feb-17 |
| Anaheim Regional Transportation Intermodal Center | \$227.4 | Apr-09 | Feb-11 | Feb-12 | Nov-14 |
| Project R & T | \$230.4 | Apr-09 | Feb-12 | May-12 | Dec-14 |

*For detailed project status information, please refer to the individual project section within this report.

**For detailed project status information, please refer to the transit summary within the separate staff report for the Measure M1 Quarterly Update.

LOS ANGELES

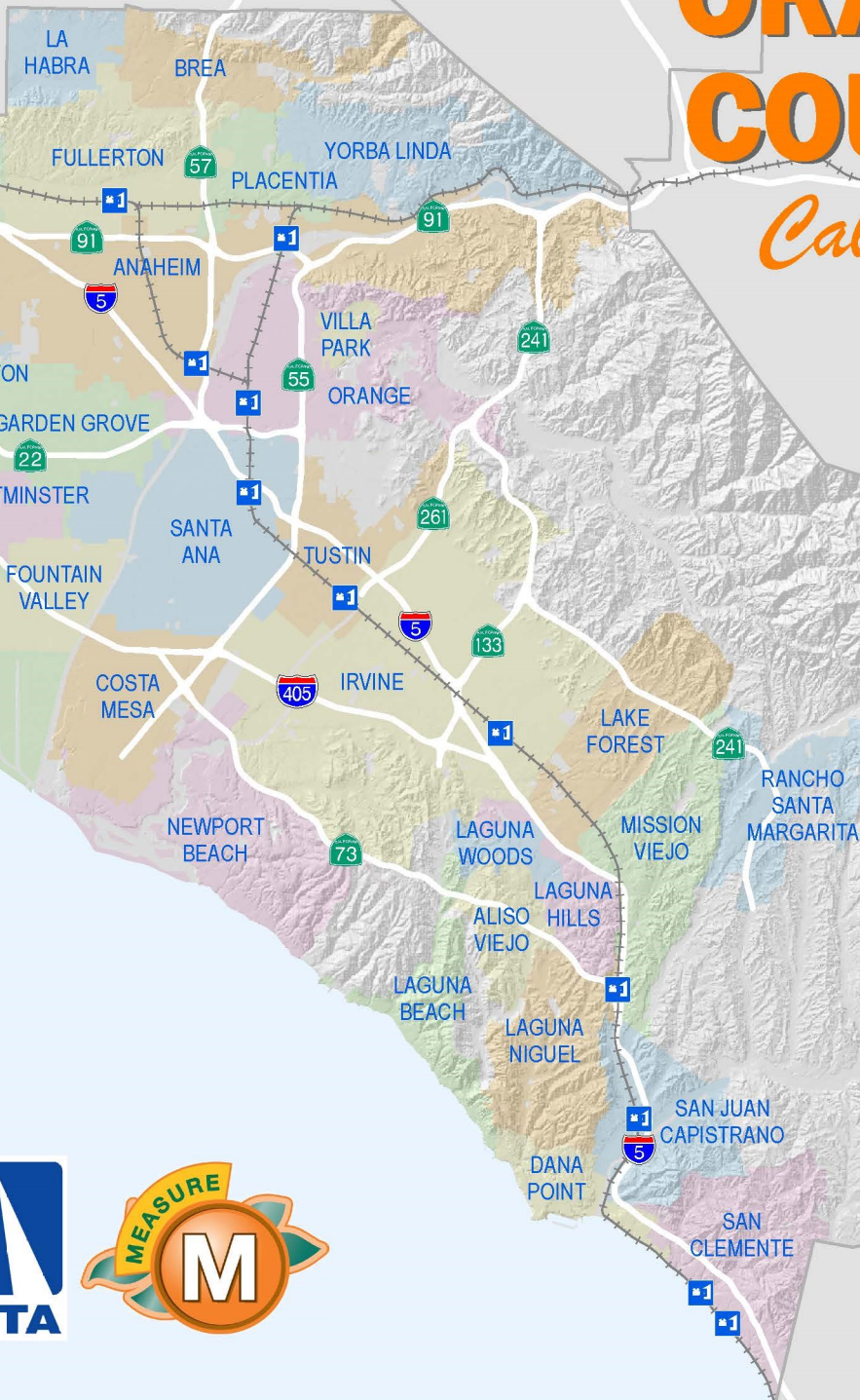
SAN BERNARDINO

ORANGE COUNTY

California

RIVERSIDE


SAN DIEGO





COMMITTEE TRANSMITTAL

September 28, 2015

To: Members of the Board of Directors
From: Laurena Weinert , Clerk of the Board
Subject: Measure M2 Fare Stabilization Update

Finance and Administration Committee Meeting of September 23, 2015

Present: Directors Hennessey, Miller, Murray, Shaw, Spitzer, Steel, and Ury
Absent: Director Jones

Committee Vote

This item was passed by the Members present.

Committee Recommendation

Receive and file as an information item.



ORANGE COUNTY TRANSPORTATION AUTHORITY

Measure M2 Fare Stabilization Update

Staff Report



September 23, 2015

To: Finance and Administration Committee
From: Darrell Johnson, Chief Executive Officer
Subject: Measure M2 Fare Stabilization Update

Overview

Measure M2 allocates one percent of net revenues to stabilize fares for seniors and persons with disabilities under Project U. Due to the significant decrease in projected revenue available for Project U as compared to the original projections in 2005, it is anticipated that the one percent allocation will be insufficient to meet projected expenditures over the life of the Measure M2 Program.

Recommendation

Receive and file as an information item.

Background

Since inception in 1991, the Measure M1 (M1) Program transit mode has included funding for the stabilization of senior and disabled passenger fares. The M1 Program allocated \$20 million (\$1 million per year) to fund this program. Age eligibility for a senior during M1 was consistent with the Federal Transit Administration's definition of a senior, which was age 65 or greater. The M1 Ordinance was silent as to the required percentage of fares that M1 would stabilize. As a result, the Orange County Transportation Authority (OCTA) Board of Directors (Board) approved a policy that stabilized fares for seniors and persons with disabilities at an amount that matched the \$20 million in M1 revenues.

Measure M2 (M2) Project U continued funding for the stabilization of senior and disabled passenger fares by allocating one percent of the net revenues for this purpose. M2 applies a less restrictive age eligibility requirement, defining a senior as age 60 or greater. Unlike M1, M2 provides specific guidance that fares will be stabilized "in an amount equal to the percentage of partial funding of fares for seniors and persons with disabilities as of the effective date of the ordinance."

When the M2 Program was developed in fiscal year (FY) 2005-06, sales tax revenue based on the original three-university forecast was anticipated to reach \$232 million over the 30-year period for the Fare Stabilization Program. Based on projected ridership figures at the time, this amount of revenue was sufficient to meet the ordinance requirements of the percentage of partial funding of fares, while also lowering the age requirement from 65 to 60.

Forecasts for M2 sales tax collections based on the May 2015 three-university forecast are now lower than the original estimate by approximately 37 percent. As a result, the amount of M2 sales tax revenues projected for the Fare Stabilization Program has dropped from \$232 million to \$147 million over the 30-year period. Despite the large reduction in forecasted revenue, the M2 Ordinance still requires the Fare Stabilization Program to fund the same percentage of partial funding as of the effective date of the M2 Ordinance, which was November 8, 2006. This requirement limits OCTA's flexibility to reduce fare stabilization expenditures commensurate with the reduction in revenue.

Staff has continually monitored the financial viability of the Fare Stabilization Program. On February 14, 2011, the Board approved M2 Project U Funding and Policy Guidelines. At that time, a potential shortfall in the Fare Stabilization Program was already being forecasted due to the decrease in M2 sales tax collections. As a result, the Board directed staff to utilize unallocated funds from the Senior Mobility Program (SMP), also a Project U Program, to help backfill the shortfall in the Fare Stabilization Program. Over the 30-year period of M2, this provides approximately \$5 million to the Fare Stabilization Program, but the amount available is subject to changes in the number of cities participating in the program.

On June 23, 2014, staff presented a series of alternatives that could be used to address the projected funding shortfall. The alternatives included using the projected surplus within the M2 transit mode to pay the shortfall, allowing the program to run an annual shortfall that would be absorbed by bus operations, making annual transfers to cover the entire cost of the program, and discontinue the program once the funds are exhausted (estimated to be in FY 2035-36), or amending the Ordinance, thereby allowing OCTA to reduce expenditures by increasing the eligibility age or eliminating the requirement that the Fare Stabilization Program fund the same percentage of funding as of the effective date of the M2 Ordinance. The Board directed staff to make a recommendation to address the shortfall as part of the M2 Ten-Year Review Comprehensive Program Review. It is anticipated that the M2 Ten-Year Review Comprehensive Program Review will be brought to the Board later this year.

On June 23, 2014, the Board also directed staff to continue to update the Finance and Administration Committee on an annual basis.

Discussion

Current projections estimate that the amount of M2 sales tax revenue, including excess SMP funds, dedicated to the Fare Stabilization Program will be \$152 million over the life of the M2 Program. The projected need to fulfill the M2 Ordinance requirement is \$221 million, which leaves a shortfall of \$69 million. Per Board direction, staff is analyzing a series of alternatives that could be used to address the shortfall and will include a recommendation as part of the M2 Ten-Year Comprehensive Program Review. Preliminary analysis for the M2 Ten-Year Comprehensive Program Review indicates that the M2 transit mode will have excess funds available to fully fund the Fare Stabilization Program for the life of the M2 Program.

Summary

Current projections indicate that the M2 Fare Stabilization Program will need approximately \$69 million in additional funding to fulfill the requirement of the M2 Ordinance. Per Board direction, a recommendation to address the shortfall will be included as part of the M2 Ten-Year Comprehensive Program Review which is scheduled to be brought to the Board in October of this year.

Attachment

None.

Prepared by:

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Director,
Finance and Administration
714-560-5685

Approved by:


Andrew Oftelie
Executive Director,
Finance and Administration
714-560-5649



COMMITTEE TRANSMITTAL

September 28, 2015

To: Members of the Board of Directors

From: Laurena Weinert  Clerk of the Board

Subject: Federal Incentive Payment Program, Modified Settlement Delegation Authority, and Adoption of California Environmental Quality Act Findings for the Interstate 405 Improvement Project

Regional Planning and Highways Committee Meeting of September 11, 2015

Present: Directors Bartlett, Donchak, Lalloway, Miller, Spitzer, and Ury
Absent: Director Nelson

Committee Vote

This item was passed by the Members present.

Director Donchak was not present to vote on this item.

Director Miller voted to oppose.

Committee Recommendations

- A. Adopt findings and facts in support of Findings and Statement of Overriding Considerations, and the Mitigation Monitoring and Reporting Program, and approve the Interstate 405 Improvement Project as identified and approved by the California Department of Transportation, the lead agency under the California Environmental Quality Act.
- B. Authorize the Chief Executive Officer, or his designee, to implement the Interstate 405 Acquisition – Incentive Payment Program to acquire needed right-of-way for the Interstate 405 Improvement Project which is consistent with Federal Highways Administration and California Department of Transportation guidelines.
- C. Authorize the Chief Executive Officer, or his designee, to execute agreements to acquire needed right-of-way in accordance with the modified settlement delegation authority for the Interstate 405 Improvement Project.



Committee Discussion

Board Chairman Lalloway requested that the Chief Executive Officer provide a monthly report to the Board regarding the Interstate 405 Improvement Project administrative and legal settlements entered into for property acquisitions.



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Federal Incentive Payment Program, Modified Settlement
Delegation Authority, and Adoption of California
Environmental Quality Act Findings for the Interstate 405
Improvement Project**

Staff Report



September 11, 2015

To: Regional Planning and Highways Committee

From: Darrell Johnson, Chief Executive Officer

Subject: Federal Incentive Payment Program, Modified Settlement Delegation Authority, and Adoption of California Environmental Quality Act Findings for the Interstate 405 Improvement Project

Overview

The Orange County Transportation Authority is implementing the Interstate 405 Improvement Project, which requires acquisition of property from public and private parties for the construction of freeway improvements. The Orange County Transportation Authority's ability to enter into agreements with property owners to acquire needed right-of-way in an expedited manner is necessary to assist in maintaining the design-build project delivery schedule. Additionally, the California Environmental Quality Act requires the Orange County Transportation Authority to consider the environmental impact report prepared by the California Department of Transportation and adopt specific findings.

Recommendations

- A. Adopt findings and facts in support of Findings and Statement of Overriding Considerations, and the Mitigation and Monitoring Reporting Program, and approve the Interstate 405 Improvement Project as identified and approved by the California Department of Transportation, the lead agency under the California Environmental Quality Act.
- B. Authorize the Chief Executive Officer, or his designee, to implement the Interstate 405 Acquisition – Incentive Payment Program to acquire needed right-of-way for the Interstate 405 Improvement Project which is consistent with Federal Highway Administration and California Department of Transportation guidelines.
- C. Authorize the Chief Executive Officer, or his designee, to execute agreements to acquire needed right-of-way in accordance with the modified settlement delegation authority for the Interstate 405 Improvement Project.

Background

On April 27, 2015, the Orange County Transportation Authority (OCTA) Board of Directors (Board) authorized the negotiation and execution of the design-build (DB) cooperative agreement with the California Department of Transportation (Caltrans) for OCTA to construct and implement the Interstate 405 (I-405) Improvement Project (Project). The Project will add one general purpose lane in each direction from Euclid Street to Interstate 605 (I-605), consistent with the voter-approved Measure M2 (M2) Project K. The Project will also construct an additional lane in each direction that will be combined with the existing high-occupancy vehicle lane to provide dual express lanes in each direction from State Route 73 to I-605.

Pursuant to the DB cooperative agreement, Project construction and implementation was made contingent upon the completion of all required environmental review and clearances under the California Environmental Quality Act (CEQA) and the National Environmental Protection Act. The Project's final environmental impact report (EIR)/environmental impact statement was recently completed and approved by Caltrans. Throughout the environmental and preliminary engineering process, OCTA and Caltrans have made extensive efforts to minimize the impacts to property owners; however, the Project will require the acquisition of both public and private lands. Pursuant to the DB cooperative agreement, OCTA will acquire all necessary property for the Project.

OCTA has adopted Real Property Department Policies and Procedures (RPDPP) to properly handle the acquisition of property rights. The RPDPP incorporates requirements set by the Uniform Relocation Assistance and Real Property Acquisition Policies Act (Uniform Act). The Uniform Act was enacted by the federal government to ensure real property is acquired, and that relocation of persons, businesses, and personal property is performed in an equitable, consistent, and equal manner. The RPDPP also incorporates State of California laws and regulations enacted to provide benefits and safeguards to property owners.

Discussion

The Project is being implemented through a DB contract, which requires all right-of-way (ROW) needed to implement the Project be available to the DB contractor at prescribed points in the contract. Failure to acquire and obtain possession of the needed property for the Project will create significant risk of DB contractor delay claims against OCTA. ROW acquisition is a critical path

activity in carrying out the Project implementation. Staff is recommending the following two actions to expedite the acquisition of property.

I-405 Acquisition – Incentive Payment Program

In accordance with federal and state laws and regulations, statutory offers for purchase will be made for an amount established as just compensation which shall be determined through the appraisal process. Pursuant to these laws, OCTA is required to offer property owners the full amount of the appraisal. In an effort to expedite agreements with property owners, staff requests approval of the proposed I-405 Acquisition – Incentive Payment Program (Payment Program) to acquire needed ROW for the Project (Attachment A). OCTA's Payment Program will be consistent with Federal Highway Administration (FHWA)- and Caltrans-adopted guidelines, as shown in the Caltrans memorandum in Attachment B.

The Payment Program will provide an incentive to all property owners that execute an agreement within 60 days of the first written offer. The Payment Program incentive will allow payment of a lump sum of 20 percent above the appraised value, with a minimum payment of \$1,000, and a maximum payment of \$100,000 for each acquisition. The Payment Program is intended to help maintain the Project's DB delivery schedule, reduce the possibility of impasses in negotiations with property owners, and reduce Project legal and administrative costs in trying to reach settlements. Recent studies by FHWA on the use of incentive payments on transportation projects demonstrate that incentive payments can be effective in decreasing the time to acquire needed ROW. Considering fluctuating cost trends for real estate and construction labor and materials, as well as legal expense and Project delay cost risks associated with eminent domain, it is in the interest of the public and OCTA to use any method available to produce transportation projects quickly with as little reliance on eminent domain as possible. In 2013, Caltrans District 12 was the first agency to implement this type of incentive program in California. The State Route 91 Westbound Widening Project from State Route 55 to Tustin Avenue required 19 separate acquisitions consisting of both private and public ownerships. The Caltrans incentive payment program utilized a ten to 20 percent incentive payment based on the value of appraisal, provided the owner executed a contract within 60 days of the first written offer. Caltrans was successful in acquiring 18 of the 19 required parcels for the project as a result of the incentive payment. Caltrans has also recommended that OCTA implement the Payment Program using a 20 percent incentive payment.

I-405 Acquisition Modified Settlement Delegation Authority

A second method recommended to expedite the acquisition of property to help maintain the Project's DB delivery schedule is to implement modifications to the existing Board-approved settlement delegation authority thresholds approved in the RPDPP. The requested modification would be related to ROW acquisition, negotiation, and eminent domain only for the Project. The proposed modifications authorize the Chief Executive Officer (CEO) to approve a settlement when the difference between the approved appraisal and the proposed settlement is no more than 50 percent over the approved appraisal, and no more than \$500,000. This is an increase in settlement authority of \$250,000 from the existing policy. The CEO will also be authorized to approve a settlement when the difference between the approved appraisal and the proposed settlement is more than 50 percent over the approved appraisal, but not more than \$100,000. This is an increase in settlement authority of \$75,000 from the existing policy. This \$100,000 threshold is intended to resolve issues for smaller-valued parcels. A comparison of the existing settlement delegation authority to the proposed Project-only settlement delegation authority is shown in Attachment C. The Project requires staff to enter into hundreds of ROW agreements over the next three years. The modifications to the settlement authority are intended to allow staff to react more quickly to reach a resolution of issues with property owners and reduce administrative and legal costs of lengthy negotiations. Based on the cost estimates for the Project, it is anticipated that a majority of the appraised values and subsequent ROW agreements with property owners will fall within the range of the requested modified Project-only settlement delegation authority. All proposed settlements will still require legal review and written justification that the proposed settlement is fair and reasonable.

It is critical to acquire as much ROW as possible prior to the beginning of construction, as shown in the ROW delivery schedule (Attachment D). The acquisition of property early in the DB process reduces OCTA's risk by providing more flexibility in the contractor's planning and performance of work, and will result in a more favorable pricing for construction. The proposed Payment Program and modifications to the existing settlement delegation authority will be useful tools to allow staff to streamline the delivery of ROW, lessens the risk to OCTA for construction delays, and takes full advantage of the DB delivery method.

Environmental Review

OCTA has been involved in the Project environmental review process since its initiation in 2009. Since OCTA is primarily responsible under the DB cooperative agreement for constructing and implementing the Project, it is considered a responsible agency. As defined by CEQA, a responsible agency is a public agency, other than the lead agency, that is responsible for carrying out or approving a project for which a lead agency has prepared an EIR or negative declaration. The responsible agency may rely on the lead agency's environmental document. When an EIR has been certified and it identifies one or more significant environmental effects, the responsible agency also needs to adopt Findings and Statement of Overriding Considerations as appropriate.

Since OCTA will be the agency responsible for constructing and implementing the Project, CEQA requires OCTA to approve similar actions as those taken by Caltrans to approve the Project. On June 17, 2015, Caltrans, as the lead agency under CEQA, took several actions that completed the CEQA environmental phase for the Project which included:

1. Certifying the final EIR;
2. Adopting the Findings and Statement of Overriding Considerations for the Project;
3. Adopting the Mitigation and Monitoring Reporting Program for the Project; and
4. Approving the Project.

OCTA's role as a responsible agency in reviewing the final EIR is to consider the Project's environmental impacts, the extent to which impacts have been lessened or avoided, and for those significant environmental impacts that remain, whether to adopt a Statement of Overriding Considerations. OCTA must make its own findings for each significant effect of the Project. If approved, OCTA will file a Notice of Determination stating that it considered the final EIR and approved the Project.

OCTA and Caltrans staff implemented an extensive outreach effort to collect comments on the draft EIR, and those comments were subsequently addressed in the final EIR which is available on the Project website. The comments received from the public and from public agencies resulted in new traffic analysis to identify potential traffic impacts in the Long Beach area that were presented and publicly circulated in a supplemental draft EIR and for which a public hearing was held. The information presented in the supplemental draft EIR was

incorporated into the final EIR. The supplemental draft EIR resulted in additional mitigation measures being added to the final EIR.

The findings adopted by Caltrans identified the following environmental categories that will result in less than significant impacts through the adoption of feasible mitigation measures (paleontological/cultural resources, geology and soils, and hazards and hazardous materials). The findings identify environmental categories (visual quality and/or character, permanent increased urbanization, and temporary construction detours and closures) that will result in significant environmental impacts, even with the implementation of mitigation measures. The findings identify a possible category (transportation/traffic) that may result in significant cumulative impacts if the cost differential were not paid by other entities, causing cumulative traffic impacts, resulting in failure to implement the proposed mitigation measures. The attached Findings for the Project summarizes the evidence relied upon by Caltrans in making its findings (Attachment E).

To address the unavoidable significant environmental impacts noted in the paragraph above, Caltrans adopted a Statement of Overriding Considerations concluding that the free-flow conditions in the Express Lanes, encouragement of carpooling and transit use, air quality improvements, lower travel time and higher travel speeds, enhanced trip reliability, construction employment, provision of safe Americans with Disabilities Act-compliant pedestrian facilities, or other benefits of the Project outweigh the unavoidable significant visual impacts, urbanization impacts, temporary construction detour and closure impacts, and possible cumulative traffic impacts created by Project construction (Attachment F). The Statement of Overriding Considerations summarizes those benefits found by Caltrans to outweigh the impacts, which are also summarized in the Statement of Overriding Considerations.

A Mitigation Monitoring and Reporting Program to ensure implementation of measures to reduce or eliminate other Project environmental impacts was approved by Caltrans and is included as Attachment G.

During the CEQA process, OCTA reviewed all comments on the draft EIR, supplemental draft EIR, and final EIR, and assisted with the preparation of written responses to those comments. Ultimately, all issues identified in comment letters were in OCTA staff's opinion appropriately addressed in the final EIR. Staff concurs with the findings made by Caltrans and recommends the OCTA Board adopt the Findings and Statement of Overriding Considerations and the Mitigation and Monitoring Reporting Program for the Project as identified and approved by Caltrans.

Next Steps

Pending Board approval of these items, OCTA will modify the settlement delegation authority for the Project in accordance with this report and implement the incentive payment for property acquisition. Additionally, OCTA will file a Notice of Determination with the Orange County Clerk and the State Clearinghouse to document that OCTA, as a responsible agency, considered the EIR as certified by Caltrans.

Fiscal Impact

The anticipated apparent costs for the Payment Program is estimated up to \$5,000,000 and is anticipated to be offset by cost savings through a reduction in legal fees and additional administrative costs. The Project is included in OCTA's Fiscal Year 2015-16 Budget, Capital Programs Division, Account 0017-9021-FK101-ODW, and is funded with M2, state, and federal funds.

Summary

Staff requests the Board of Directors to adopt Findings and Statement of Overriding Considerations and the Mitigation and Monitoring Reporting Program, approve the Interstate 405 Improvement Project as identified and approved by the California Department of Transportation, and authorize the Chief Executive Officer, or his designee, to implement the Interstate 405 Acquisition – Incentive Payment Program and to execute agreements in accordance with the modified Interstate 405 settlement delegation authority.

Attachments

- A. Orange County Transportation Authority Interstate 405 Acquisition – Incentive Payment Program
- B. California Department of Transportation Memorandum on Acquisition – Incentive Payment Program
- C. Interstate 405 Improvement Project Modified Settlement Delegation Authority
- D. Right-of-Way Delivery Schedule
- E. Findings for the Interstate 405 Improvement Project Between State Route 73 and Interstate 605
- F. California Department of Transportation Statement of Overriding Considerations for the Interstate 405 Improvement Project Between State Route 73 and Interstate 605
- G. Mitigation and Monitoring Reporting Program

Prepared by:



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Approved by:



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ORANGE COUNTY TRANSPORTATION AUTHORITY

**Federal Incentive Payment Program, Modified Settlement
Delegation Authority, and Adoption of California
Environmental Quality Act Findings for the Interstate 405
Design-Build Improvement Project**

Attachment A

ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERSTATE 405 ACQUISITION – INCENTIVE PAYMENT PROGRAM

The Orange County Transportation Authority (OCTA) Acquisition – Incentive Payment Program (Payment Program) encourages the expeditious acquisition of needed real property and is consistent with the intent of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Uniform Act). The Federal Highway Administration (FHWA), Office of Real Estate Services, has determined that the FHWA may participate in right-of-way acquisition incentive payments made under the FHWA-approved plan or program. Acquisition incentive payments are payments that are over and above the just compensation offer provided by the Uniform Act.

The authority for the FHWA to participate in incentive payments is found in 23 CFR 710.203(b)(2)(ii) which allows federal participation in relocation assistance and payments provided under the law of the State that may exceed the requirements of 49 CFR Part 24. The FHWA has the general authority to participate in the costs of construction that includes costs of right-of-way acquisition (See 23 U.S.C. §101(a)(3)). The use of incentive programs for right-of-way acquisition is analogous to the use of incentive/disincentive provisions for early completion in contracts for construction of federal aid projects (See 23 CFR 635.127(d)).

On June 12, 2014, the California Department of Transportation (Caltrans) adopted an Acquisition – Incentive Payment Program.

Based on the authority granted by the OCTA Board of Directors and the concurrence of FHWA and Caltrans, OCTA shall implement the I-405 Payment Program as follows:

Written offers to owners for the purchase of their property shall be based on the fair market value of the property (just compensation). The I-405 Payment Program payment (Payment) amounts will be based on the appraised value. The use of the Payment does not preclude the use of administrative and legal settlements, and each administrative and legal settlement will require independent support.

The procedures on the Payment shall incorporate the same level of safeguard against coercive negotiation practices as do standard OCTA's Real Estate Policies and Procedures and Caltrans' Right-of-Way Procedures. Per federal regulation, OCTA is required to allow at least 30 days for property owners to consider an offer prior to initiating the condemnation process (See 49 CFR 24.102(f) and Appendix A). Parcels acquired using acquisition incentive offers will be subject to the same quality control and quality assurance processes that are used for OCTA's right-of-way activities.

The Payment will be offered for both permanent and temporary acquisitions.

For all offers, the Payment for a permanent or temporary acquisition will be based on a lump sum payment of 20 percent of the appraised value of all parcels under the same ownership with a minimum payment of \$1,000, and a maximum payment of \$100,000.

The Payment amount will be calculated on the final appraised value and will then be rounded separately from the final appraised value based on the rounding rules found in Section 7.02.11 of the Caltrans' Right-of-Way Manual.

The Payment is a standing offer for 60 days. The 60 days starts with the Initiation of Negotiations (ION) as day one. The 60 days includes weekends and holidays. For mailed offers, it starts on the date the offer was received by certified mail.

If the 60th day falls on a weekend or holiday and the OCTA acquisition agent working with the grantor will not be available to conduct business with the grantor, the agent may end the incentive period on the first working day after the 60-day period is complete. Personal leave of the OCTA acquisition agent working with the grantor will not be cause to extend the incentive period. An alternate OCTA acquisition agent should be identified to address the issue.

The Payment offer will end at the execution of the right-of-way contract or at 5:00 p.m. on the 60th day if a right-of-way contract has not been signed by grantor. The 60 days will restart with a new offer based on an approved appraisal revision if one is deemed necessary by OCTA. An appraisal revision may result in a change in the Payment amount.

The Payment is a standing offer for 60 days regardless of OCTA initiating eminent domain proceedings. Additionally, this time period will be sufficient to allow the property owner the opportunity to obtain their own appraisal where OCTA pays the reasonable cost of the appraisal up to \$5,000, as provided by California Code of Civil Procedure section 1263.025.

The following clause will be used in right-of-way contracts pertaining to the Payment Program for the Interstate 405 Improvement Project (Project):

“In addition to the Fair Market Value, it is agreed by and between the parties hereto that the amount in clause XX above includes the sum of \$ _____ as an incentive to the grantor for the timely signing of this Right of Way Contract. This incentive payment offer expires sixty (60) days from the Initiation of Negotiations (DATE).”

The I-405 Payment Program will be applied to all parcels in the Project, including public agencies, regardless of type, size, appraisal, amount, or ownership.

I-405 Acquisition – Incentive Payment Program

| Acquisition Type | Incentive Amount | Minimum Payment | Maximum Payment |
|------------------------|------------------|-----------------|-----------------|
| Temporary or Permanent | 20% of Appraisal | \$1,000 | \$100,000 |

Example 1 (Minimum Payment)

| | |
|--|----------------|
| Appraised Value | \$4,500 |
| Calculated at 20% | \$900 |
| Minimum Payment | \$1,000 |
| Incentive Payment for Acquisition | \$1,000 |
| Total Amount of Just Compensation | \$5,500 |

Example 2 (20% Payment)

| | |
|--|-----------------|
| Appraised Value | \$50,000 |
| Calculated at 20% | \$10,000 |
| Incentive Payment for Acquisition | \$10,000 |
| Total Amount of Just Compensation | \$60,000 |

Example 3 (Maximum Payment)

| | |
|--|--------------------|
| Appraised Value | \$1,000,000 |
| Calculated at 20% | \$ 200,000 |
| Maximum Payment | \$ 100,000 |
| Incentive Payment for Acquisition | \$ 100,000 |
| Total Amount of Just Compensation | \$1,100,000 |



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Federal Incentive Payment Program, Modified Settlement
Delegation Authority, and Adoption of California
Environmental Quality Act Findings for the Interstate 405
Design-Build Improvement Project**

Attachment B

M e m o r a n d u m*Serious drought.
Help Save Water!***To:** DISTRICT DIRECTORS
DISTRICT REGION RIGHT OF WAY MANAGERS**Date:** June 12, 2014**File:** Acquisition**From:** BRENT L. GREEN 
Chief
Division of Right of Way and Land Surveys**Subject: ACQUISITION – INCENTIVE PAYMENT PROGRAM**

The Federal Highway Administration (FHWA), Office of Real Estate Services has determined that the FHWA may participate in right-of-way acquisition incentive payments made under an FHWA approved plan or program. Acquisition incentive payments (Payments) are payments that are over and above the just compensation offer provided by the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Uniform Act). Recent studies on the use of incentive payments on transportation projects demonstrate that they can be effective in decreasing the time needed to acquire and clear needed rights-of-way.

The authority for the FHWA to participate in incentive payments is found in 23 CFR 710.203(b)(2)(ii) which allows Federal participation in relocation assistance and payments provided under the law of the State that may exceed the requirements of 49 CFR Part 24. The FHWA has the general authority to participate in the costs of construction that includes costs of right-of-way acquisition (See 23 U.S.C. §101(a)(3)). The use of incentive payments for right-of-way acquisition is analogous to the use of incentive/disincentive provisions for early completion in contracts for construction of Federal aid projects (See 23 CFR 635.127(d)).

This policy is consistent with the intent of the Uniform Act in that it encourages the expeditious acquisition of real property. Language in the implementing regulation focuses on the assurance that property owners and displaced persons receive at least the level of benefits to which they are entitled.

Considering fluctuating costs and trends for real estate and construction labor and materials, as well as the negative public perception of the court expense and project delay costs associated with the application of eminent domain, it is clearly in the public interest to use any tool available to produce transportation projects quickly with as little reliance on condemnation as possible.

The California Department of Transportation (Caltrans) is authorized to make incentive payments under California Law. Although California statutes do not specifically address incentive payments, they do require that written offers to owners for the purchase of their property be based on the fair market value of the property (just compensation). Caltrans has long

applied administrative settlements (justified offers above appraised amounts) during negotiations which have as their foundation the appraised value. Similarly, Payment amounts will be based on the appraised value. In fact, the use of Payments does not preclude the use of administrative settlements and each administrative settlement will require independent support.

The procedures on Payments incorporate the same level of safeguard against coercive negotiation practices as do standard Caltrans Right of Way procedures. Per Federal regulation, Caltrans is required to allow at least thirty (30) days for property owners to consider an offer prior to initiating the condemnation process (See 49 CFR 24.102(f) and Appendix A). Projects and parcels acquired using acquisition incentive offers will be subject to the same quality control and quality assurance processes that are used for all Caltrans Right of Way activities.

The Division of Right of Way and Land Surveys is implementing an acquisition incentive program to encourage property owners to sign Right of Way (ROW) contracts within sixty (60) days of the Initiation of Negotiations (ION) or any offer based on an approved appraisal revision. Payments will be offered for both permanent and temporary acquisitions.

The Payment for a permanent or temporary acquisition will be based on a lump sum payment of 10% of the appraised value of all parcels under the same ownership with a minimum payment of \$1,000 and a maximum payment of \$100,000.

| Acquisition Type | Incentive Amount | Minimum Payment | Maximum Payment |
|------------------------|------------------|-----------------|-----------------|
| Temporary or Permanent | 10% of Appraisal | \$1,000 | \$100,000 |

The Payment amount will be calculated on the final appraised value and will then be rounded separately from the final appraised value based on the rounding rules found in Section 7.02.11 of the Right of Way Manual.

Example 1:

| | | |
|--|-----------|-----------------|
| Appraised Value | \$ | 22,400.00 |
| Calculated at 10% | \$ | 2,240.00 |
| Rounded (R/ W Manual 7.02.11) | \$ | 2,250.00 |
| Incentive Payment for Acquisition | \$ | 2,250.00 |

Example 2:

| | | |
|--|-----------|---------------|
| Appraised Value | \$ | 359,000 |
| Calculated at 10% | \$ | 35,900 |
| Rounded (R/ W Manual 7.02.11) | \$ | 35,900 |
| Incentive Payment for Acquisition | \$ | 35,900 |

Example 3:

| | | |
|--|-----------|----------------|
| Appraised Value | \$ | 2,658,000 |
| Calculated at 10% | \$ | 265,800 |
| Maximum Incentive Payment = \$100,000.00 | \$ | 100,000 |
| Incentive Payment for Acquisition | \$ | 100,000 |

The Payment is a standing offer for sixty (60) days. The 60 days starts with the Initiation of Negotiations (ION) as day one (1). The 60 days includes weekends and holidays. For mailed offers it starts on the date the offer was received by certified mail.

If the 60th day falls on a weekend or holiday and the agent working with the grantor will not be available to conduct business with the grantor, the agent may end the incentive period on the first state working day after the 60 day period is complete. Personal leave of the agent working with the grantor will not be cause to extend the incentive period. An alternate agent should be identified to address the issue.

The Payment offer will end at the execution of the right of way contract or at 5:00 pm of the 60th day if a right of way contract has not been signed by the grantor. The 60 days will restart with a new offer based on an approved appraisal revision if one is deemed necessary by Caltrans. An appraisal revision may result in a change in the Payment amount.

The Payment is a standing offer for sixty days regardless of Caltrans initiating eminent domain proceedings. Additionally, this time period will be sufficient to allow the property owner the opportunity to obtain their own appraisal where Caltrans pays the reasonable cost of the appraisal up to \$5,000 as provided by California Code of Civil Procedure section 1263.025.

The following clause will be used in Right of Way contracts when the Payment program is used on a project:

“In addition to the Fair Market Value, it is agreed by and between the parties hereto that the amount in clause ## above includes the sum of \$_____ as an incentive to the grantor for the timely signing of this Right of Way Contract. This incentive payment offer expires sixty (60) days from the Initiation of Negotiations (DATE).”

The Payment program may be used on any project that will benefit a district or region. If the Payment program is used on a project it must be applied to all parcels in the project regardless of type, size, appraisal amount, or ownership including public agencies.

The Payment program has the potential to add significant costs to Right of Way capital expenses. Project estimates (i.e., ROW data sheets and/or related documents) may need to be updated to reflect additional costs of Payments. It is advisable to consult with the District/Regional Right of Way Planning and Management Office and the Project Manager to ensure the project has funds available to participate in the Payment program. In order to track these Payments, attached is a sample Federal Participation Memo with the appropriate coding to be used.

While this is the initial Caltrans Payment program, other similar incentive programs may be developed that have different formulae for determining the amounts and/or situations (i.e. Relocation Assistance Program incentives). Such other incentive programs will be established via separate memoranda.

cc: Suzette M. Musetti, Chief, Office of Appraisals and Local Programs, ROW/LS
Mark Turner, Chief, Office of Land Surveys, ROW/LS
Michael J. Rodrigues, Chief, Office of Real Property Services, ROW/LS
Rene Fletcher, Chief, Office of Project Delivery, ROW/LS
Ben Martin, Chief, Office of Railroads & Utility, ROW/LS
Lori Brownell, Chief, Office of Planning & Management, ROW/LS
Paul Pham, Senior Right of Way Agent, ROW/LS
Robert W. Dauffenbach, Senior Right of Way Agent, ROW/LS
Mark Zgombic, Senior Right of Way Agent, ROW/LS
Melani Millard, FHWA

DEPARTMENT OF TRANSPORTATION

DISTRICT 12

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July 14, 2015

Mr. Joe Gallardo, Manager
Real Property
Orange County Transportation Authority
550 South Main Street
P.O. Box 14184
Orange, CA 92863-1584

Via email: jgallardo@octa.net

Dear Mr. Gallardo;

In response to Orange County Transportation Authority's (OCTA) letter, dated February 3, 2015, requesting use and modification of the Acquisition Incentive Payment Program (Program) on the Interstate 405 Improvement Design-Build Project (Project), California Department of Transportation has approved a modified proposal. OCTA can proceed with the standard 10% incentive payment for all property owners on the Project or a one-time 20% incentive payment to all property owners on the Project, regardless of the appraised value of the parcel, with limits remaining the same, minimum \$1,000 to maximum \$100,000.

Per the Federal Highway Administration, Uniform Act compliance standards require fair and equitable treatment of all property owners and should be afforded to all participants.

Should you have any questions or require further information, please do not hesitate to contact me at (949) 724-2386. Thank you.

Sincerely,

A handwritten signature in blue ink, appearing to read "Ricky Rodriguez", written over a blue circular stamp.

RICKY RODRIGUEZ

Office Chief

Office of Right of Way & Land Surveys

District 12



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Federal Incentive Payment Program, Modified Settlement
Delegation Authority, and Adoption of California
Environmental Quality Act Findings for the Interstate 405
Design-Build Improvement Project**

Attachment C

**Interstate 405 Improvement Project
Modified Settlement Delegation Authority**

Administrative and legal settlement delegation authority threshold (real property interests only, excludes relocation assistance):

1. The Chief Executive Officer is authorized to approve an administrative or legal settlement when the difference between the approved appraisal and the proposed settlement is no more than 50% over the approved appraisal and no more than \$500,000 over the approved appraisal;
2. The Chief Executive Officer is also authorized to approve an administrative or legal settlement when the difference between the approved appraisal and the proposed settlement is more than 50% over the approved appraisal, but not more than \$100,000 over the approved appraisal;
3. The Orange County Transportation Authority (OCTA) Board of Directors must approve an administrative or legal settlement when the difference between the approved appraisal and the proposed settlement is more than 50% and more than \$500,000 over the approved appraisal, and must approve all administrative or legal settlements when the proposed settlement is more than 50% over the approved appraisal and is more than \$100,000 over the approved appraisal.

The Executive Director, Capital Programs settlement authority described in the Real Property Department Policy and Procedures remains unchanged. The Interstate 405 Improvement Project Modified Settlement Delegation Authority thresholds described in this sub-paragraph may not be increased by amendment, as described on Page 12, Paragraph XIV, Procedures Amendments of the OCTA Policies and Procedures Manual. Any increase in thresholds require approval by the OCTA Board of Directors.

Settlement Delegation Authority Comparison

| | Existing | |
|--|-------------------------|---------------------------|
| | Percentage of Appraisal | Maximum \$ Over Appraisal |
| Executive Director, Capital Programs (1) | ≤ 20% | ≤ \$250,000 |
| Chief Executive Officer (2) | ≤ 50% | ≤ \$250,000 |
| | ≥ 50% | ≤ \$25,000 |
| OCTA Board of Directors | > 50% | > \$25,000 |
| | ----- | > \$250,000 |

| | Proposed | |
|--|-------------------------|---------------------------|
| | Percentage of Appraisal | Maximum \$ Over Appraisal |
| Executive Director, Capital Programs (1) | ≤ 20% | ≤ \$250,000 |
| Chief Executive Officer (2) | ≤ 50% | ≤ \$500,000 |
| | ≥ 50% | ≤ \$100,000 |
| OCTA Board of Directors | > 50% | > \$100,000 |
| | ----- | > \$500,000 |

- 1) Recommended by Real Property Manager
 Concurred with by Director of Highways Programs
 Approved by Executive Director of Capital Programs

- 2) Recommended by Real Property Manager
 Concurred with by Director of Highways Programs
 Concurred with by Executive Director of Capital Programs
 Approved by Chief Executive Officer

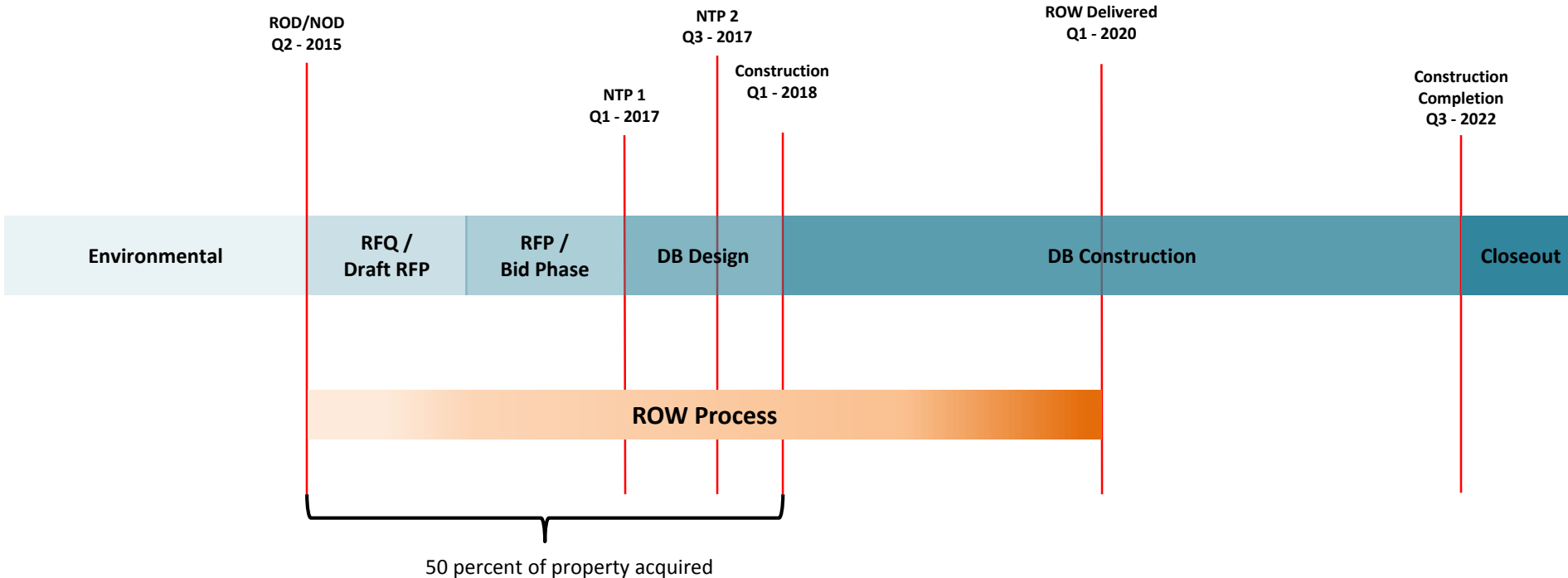


ORANGE COUNTY TRANSPORTATION AUTHORITY

**Federal Incentive Payment Program, Modified Settlement
Delegation Authority, and Adoption of California
Environmental Quality Act Findings for the Interstate 405
Design-Build Improvement Project**

Attachment D

Right-of-Way Delivery Schedule



DEFINITIONS/TERMS:

Right-of-Way (ROW)

Request for Qualifications (RFQ)

Request for Proposals (RFP)

Record of Decision (ROD)/Notice of Determination (NOD) – California Environmental Quality Act/National Environmental Policy Act Environmental Approval

Notice to Proceed (NTP) 1 – Design-Build (DB) NTP with administrative tasks and final design

NTP 2 – DB full NTP with limited construction within existing and acquired ROW

Construction – DB begins major construction

Construction Completion – mainline and improvements open for traffic

ROW Process – appraisals, offers, negotiations, acquisitions, settlements, certifications



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Federal Incentive Payment Program, Modified Settlement
Delegation Authority, and Adoption of California
Environmental Quality Act Findings for the Interstate 405
Design-Build Improvement Project**

Attachment E

FINDINGS FOR THE INTERSTATE 405 IMPROVEMENT PROJECT BETWEEN STATE ROUTE 73 AND INTERSTATE 605

The following information is presented to comply with State CEQA Guidelines (Title 14 California Code of Regulations, Chapter 3, Section 15901) and the Department of Transportation and California Transportation Commission Environmental Regulations (Title 21, California Code of Regulations, Chapter 11, Section 1501). Reference is made to the Final Environmental Impact Report (FEIR) for the project, which is the basic source for the information.

The following impacts have been identified in the FEIR as resulting from the project. Impacts found not to be significant have not been included.

Paleontological/Cultural Resources

Significant Environmental Impacts:

Pleistocene vertebrates have been found at 10 to 15 ft below ground level, and deeper near the project; and vertebrate fossils have been recovered from borings in the project vicinity. The selected alternative's (Alternative 3) improvements are situated above paleontologically sensitive sediments, however disturbance of sediments below grade has the potential to directly affect paleontological resources along most of the Caltrans Right-of-Way (ROW). Anticipated impacts would be where augering for overhead signage and where the overcrossings and railroad overheads are replaced, particularly in the foundations and augering. Project redesign to avoid these sites proved to be infeasible, which could significantly impact paleontological resources within the project ROW.

The United States Navy conditioned the transfer of the proposed easement in the northern Naval Weapons Station (NAVWPNSTA) with construction of various Cost to Cure Items within their boundaries. These activities included relocation of the perimeter/security fencing and farm roads, installation of perimeter security lighting, various utilities associated with the lighting, and agricultural farmland. Construction of these activities occurred in 2011 during the course of the SR-22 West County Connector (WCC) project in the same area. The Navy required construction activities within the NAVWPNSTA be monitored by a qualified Native American and Archaeologist. Monitoring was conducted during the Cost to Cure project within the NAVWPNSTA and one isolate was identified.

Findings:

Changes or alterations have been designed in, or incorporated into, the project, which avoid or substantially lessen the significant environmental impact as identified in the final EIR. Incorporated by reference from the SR-22 WCC Project, is the Navy's Native American and Archaeological monitoring requirement for work on the NAVWPNSTA (CUL-4).

Statement of Facts:

To reduce potential direct impacts to paleontological resources, a Paleontological Mitigation Plan, as described in Mitigation Measure PAL-1, will be required. With the

implementation of PAL-1, the selected alternative's impacts on paleontological resources would be less than significant.

With the implementation of CUL-4, the selected alternative's impacts on previously unknown archaeological resources within the NAVWPNSTA would be less than significant.

Geology and Soils

Significant Environmental Impacts:

The project is located in a State of California mapped Liquefaction Hazard Zone. The project area has relatively shallow groundwater, layers of loose to medium dense saturated granular soils, and moderate to high earthquake accelerations. Liquefiable soils are expansive and are considered unstable or could become unstable due to liquefaction.

Findings:

Changes or alterations have been designed in, or incorporated into the project, which avoid or substantially lessen the significant environmental impact as identified in the final EIR.

Statement of Facts:

The design and construction of the selected alternative to current highway and structure design standards, including applicable seismic standards which would minimize the potential impacts due to seismic events on the project facilities. These potential impacts are addressed in Mitigation Measures GEO-1 through GEO-7, which require specific surveys and the treatment of these conditions as part of the final design. With the implementation of Mitigation Measures GEO-1 through GEO-7, the selected alternative's potential project impacts on geology and soils would be less than significant.

Hazards and Hazardous Materials

Significant Environmental Impacts:

Some partial acquisitions of properties are considered Recognized Environmental Conditions (RECs). Also, other site concerns related to Leaking Underground Storage Tanks (LUSTs), historical spills along I-405, Lead-Based Paint (LBP), Aerially-Deposited Lead (ADL), Asbestos-Containing Materials (ACMs), and abandoned drums and soil exist within or adjacent to the project area. As a result, property acquisition or disturbance without further investigation or characterization could result in a significant hazard to the public.

Significant impacts to emergency response plan could occur during the construction of the project which would occur over 54 months. Proposed mainline improvements would necessitate the construction of up to 8 new structures, 18 structure replacements, and 6 structure widening/modifications, which would result in construction-related delays along I-405, I-605, SR-22, SR-73, interchanges, and on surrounding local arterials.

Findings:

Changes or alterations have been designed in, or incorporated into, the project, which avoid or substantially lessen the significant environmental impact as identified in the final EIR.

Statement of Facts:

The project would incorporate procedures for hazardous materials investigation which are addressed in Measures HAZ-1 through HAZ-4 of the final environmental document. With the implementation of Measures HAZ-1 through HAZ-4, the selected alternative's potential impacts on properties potentially containing hazardous materials would be less than significant.

Project-construction-related closures would be addressed through a comprehensive Traffic Management Plan (TMP), as required by Mitigation Measure T-1, which includes requirements for coordination with and notification to the corridor cities and emergency responders. Additionally, Mitigation Measures T-2 through T-9 and T-12 would improve circulation on the affected local arterials. With the implementation of Measures T-1 through T-9 and T-12, the selected alternative's potential impacts on adopted emergency response or evacuation plans would be less than significant.

Community/Public Services

Significant Environmental Impacts:

Proposed mainline improvements would necessitate construction of up to 8 new structures, 18 structure replacements, and 6 structure widening/modifications over a 54 month duration, which would result in construction-related delays along I-405, I-605, SR-22, and SR-73, interchanges, and on surrounding local arterials: and could result in significant impacts on emergency response.

Construction of the selected alternative would result in temporary increases in automobile and/or pedestrian access to businesses, public services, schools, and other facilities. There may be temporary impacts during construction to pedestrian service within a 0.25 to 0.5 mile radius of the project that changes/reduces pedestrian access used by the disabled, resulting in a longer route that could indirectly reduce their access to community facilities. Additionally, construction may result in increases in local traffic as residents travel longer distances on local streets to enter I-405 at the limited access points.

Following completion of construction, most of the overcrossings and undercrossings will be wider to accommodate the additional lanes of I-405 and bring crossings to MPAH standards; as a result, this would increase the lengths of the roads and sidewalks that are on the overcrossings or in the undercrossings. Therefore, the amount of time pedestrians and bicyclists spend on these overcrossings or in the undercrossings would increase compared to existing conditions. The new features of the undercrossings would include lighting for vehicles and pedestrians consistent with local standards; however, the segments of those roads under the existing overcrossings would experience a reduction in the amount of natural light, which could be perceived by pedestrians and bicyclists as adversely affecting their experiences crossing under I-405.

Findings:

Changes or alterations have been designed in, or incorporated into, the project, which avoid or substantially lessen the significant environmental impact as identified in the final EIR. Measure T-1 requires implementation during construction of methods to avoid and minimize construction-related traffic and circulation impacts and minimize impacts to pedestrian and bicycle access, including ADA-compliant features, as a result of the proposed project. The provision of appropriate lighting in the new features of the undercrossings and potential additional lighting in the existing features of the undercrossings is included in the project.

Statement of Facts:

Project impacts on the community have been mitigated to the maximum extent practicable; however, the increased urbanization subsequent to completion of the project (i.e., expanded pavement and ROW, new and widened bridges/overcrossings/ undercrossings, new retaining walls and soundwalls, and replacement/removal of mature vegetation) and the temporary construction-related impacts on freeway users and corridor cities (i.e., 54-month construction period, increased congestion associated with construction, detours, ramp, lane and arterial closures, potential reduced incident response times, and reduced access to the freeway, businesses, and pedestrian facilities) are considered significant and unavoidable. Caltrans/OCTA has a robust public outreach process for this project, which will continue through completion of the project.

None of the temporary long-term closures that have been identified would result in any substantial impact on emergency access or response times. A Final TMP (Mitigation Measure T-1) will be prepared in coordination with local jurisdictions and emergency service providers (e.g., CHP, local police, fire, paramedics) to identify emergency service routes that serve hospitals, fire/police stations, emergency shelters, emergency command centers, and other facilities that provide essential services in times of emergency within the study area. All emergency service routes would be maintained during construction, or alternate routes would be provided. Mitigation Measure UT-2 requires emergency service providers to be alerted in advance of any temporary road closures and delays so that they have adequate time to make appropriate accommodations to ensure prompt emergency response times that fulfill their responsibilities and defined service objectives. In addition to T-1 and UT-2, Mitigation Measures COM-1 through COM-11 would further minimize potential project impacts on acceptable service ratios, response times, or other performance objectives of public services. With the implementation of Mitigation Measures T-1, UT-2, and COM-1 through COM-11, the selected alternative's potential impacts on police and fire emergency response would be less than significant.

Measures to avoid, minimize, and mitigate these potentially significant impacts during construction have been incorporated into the project; however, the related project impacts on the community within the corridor cannot be fully mitigated.

Transportation/Traffic

Significant Environmental Impacts:

Orange County

A. Future Selected Alternative Compared to Existing Condition

A comparison of the selected alternative in 2020 and 2040 to the existing condition reveals that in 2020, there are 11 intersections with a significant cumulative impact; and in 2040, there are 14 intersections with a significant cumulative impact.

Furthermore, with regard to freeway segments, an increase in the volume/capacity (v/c) ratio of a freeway segment is an indication of a cumulative traffic impact on the freeway mainline. Under the selected alternative, on I-405, between SR-73 and I-605, in 2020 and in 2040, LOS F conditions are anticipated during peak hours in the GP lanes, except for LOS D northbound from SR-73 to Brookhurst Street during the a.m. peak hour in 2020. Under the existing condition LOS F conditions occur during peak hours in the GP lanes, except for LOS D in the northbound direction during the a.m. peak hour and southbound during the p.m. peak hour between SR-73 and Brookhurst Street. Under the selected alternative, in 2020, v/c ratios range from 0.05 lower to 0.20 greater than existing conditions. In 2040, v/c ratios range from 0.13 to 0.45 greater than existing conditions. As a result, based on the increases in freeway GP lane v/c ratios, there is a cumulative impact on the freeway mainline.

B. Future Selected Alternative Compared to Future No Build

A comparison of selected alternative in 2020 and 2040 to the No Build Alternative in 2020 and 2040 identifies the contribution of the selected alternative to cumulative impacts. All v/c ratios for the freeway mainline under the selected alternative are lower than under the No Build Alternative. Therefore, the contribution of the selected alternative to the cumulative impact on the freeway mainline is less than significant.

Additionally, there are eight intersections with project contributions to cumulative traffic impacts that are significant. However, mitigation measures are proposed to mitigate those significant impacts, as discussed below in the statement of facts. With all improvements including mitigation, five intersections are anticipated to have significant cumulative impacts in 2020. In 2040, with all improvements including mitigation, 10 intersections are anticipated to have significant cumulative impacts. However, there are no intersections in 2020 or 2040 where the contribution of the selected alternative to the cumulative impacts is significant with the proposed mitigation in place.

As such, there are no significant impacts from the selected alternative on the performance or LOS of the circulation system.

Los Angeles County

A. Future Selected Alternative Compared to Existing Condition

A comparison of the selected alternative in 2020 and 2040 to the existing condition reveals that in 2020, there are five intersections in the Los Angeles County traffic study area with a significant cumulative impact; and in 2040, there are nine intersections with a significant cumulative impact.

Furthermore, with regard to freeway segments, an increase in the vehicle/capacity (v/c) ratio of a freeway segment is an indication of a cumulative impact on the freeway mainline. Under the selected alternative on I-405 north of I-605 to Lakewood Boulevard in 2020,

LOS F conditions are anticipated during peak hours in the GP lanes, except for LOS D and E in the southbound direction between I-605 and Studebaker Road during the AM and PM peak hours, respectively. In 2040, LOS F conditions are anticipated during peak hours in the GP lanes, except for LOS E in the southbound direction between I-605 and Studebaker Road during the AM peak hour. Under the existing condition, LOS D to F conditions occur during peak hours in the GP lanes. Under the selected alternative in 2020, v/c ratios in the GP lanes range from 0.01 to 0.61 greater than under existing conditions. In 2040, v/c ratios range from 0.09 to 0.72 greater than under existing conditions. Moreover, on I-405 north of I-605 to Lakewood Boulevard, HOV lanes are anticipated to operate at LOS F during peak hours in 2020 with v/c ratios in excess of 1.00, except southbound during the AM peak hour; the 2020 v/c ratios in the I-405 HOV lanes range from 0.94 to 1.24 in 2020. Under the existing condition, v/c ratios range from 0.50 to 1.06. In 2040, HOV lanes are anticipated to operate at LOS F during peak hours because v/c ratios are all forecast to be over capacity ranging from 1.25 to 1.65. In 2020, the selected alternative v/c ratios in the HOV lanes range from 0.05 lower to 0.46 greater than under existing conditions. In 2040, v/c ratios range from 0.19 to 0.86 greater than under existing conditions. As a result, based on the increases in freeway GP and HOV lane v/c ratios, there is a cumulative impact on the I-405 freeway mainline.

B. Future Selected Alternative Compared to Future No Build

A comparison of the selected alternative in 2020 and 2040 to the No Build Alternative in 2020 and 2040 identifies the contribution of the selected alternative to cumulative impacts. V/c ratios for the I-405 freeway mainline under the selected alternative are 0.03 to 0.13 higher than under the No Build Alternative in 2020 and 0.02 to 0.13 higher in 2040. Although there are some increases in v/c ratios, the contribution of the selected alternative to the cumulative impact on the freeway mainline is less than significant because LOS is F under the No Build Alternative or the maximum increase in v/c ratios is 0.05.

Additionally, there are seven intersections with project contributions to cumulative impacts that are significant. However, mitigation measures T-10 and T-11 are proposed to mitigate those significant impacts, as discussed below in the statement of facts. With all improvements, including mitigation, three intersections are anticipated to have significant cumulative impacts in either 2020 or 2040. However, there are no intersections where the contribution of the selected alternative to the cumulative impacts is significant with the proposed mitigations in place.

As such, there are no significant impacts from the selected alternative on the performance or the LOS of the circulation system.

Findings:

Changes or alterations have been designed in, or incorporated into, the project, which avoid or substantially lessen the significant environmental impact as identified in the final EIR.

Statement of Facts:

Mitigation measures T-10 and T-11 as identified in the FEIR address cumulative intersection operations/impacts in the portions of the study area within Los Angeles County (T-10 applies to City of Long Beach and T-11 applies to Caltrans). The project's fair share contributions are payments of a fair share towards overall construction costs of proposed mitigation improvements which would include shares from other projects with an identified impact/share. This is consistent with CEQA Guidelines Section 15130(a)(3). There are two possible payment options: payment could either be made by the project proponent to the City of Long Beach/Caltrans and they can implement the projects or, alternatively (applies to T-11 only), the project proponent shall hold the fair share mitigation funds until Caltrans pays the differential between the cost of the mitigation project and the retained funds to the project proponent and the project proponent would then program and construct the projects. If these measures are implemented as discussed above, traffic or transportation-related direct or indirect cumulative impacts are not anticipated to be significant. However, as discussed in T-10 and T-11, if the cost differential was not paid by other entities causing cumulative traffic impacts, then significant cumulative impacts would continue to occur at those intersections.

Visual/Aesthetics

Significant Environmental Impacts:

Construction of the selected alternative would result in changes to the visual quality and/or character associated with vegetation removal, construction activities, and the introduction of new and modified permanent structures. For the selected alternative, the removal of the eucalyptus trees and other vegetation within the interchange areas would likely have the greatest impact on the visual quality; however, this impact would remain until trees grow back to existing conditions. Other elements, such as replacement structures, new retaining walls, and soundwalls, would be a permanent visual change within the existing viewsheds along the corridor, including some areas where visual impacts were determined Moderately High.

Findings:

Changes or alterations have been designed in, or incorporated into the project, which avoid or substantially lessen the significant environmental impact as identified in the final EIR.

Statement of Facts:

Given the significance of impacts to visual/aesthetics, avoidance, minimization, and mitigation measures VIS-1 through VIS-21 have been incorporated to reduce significant unavoidable impacts on the visual character and quality of the project surroundings to the maximum extent practicable.

Greenhouse Gas Emissions

Significant Environmental Impacts:

Proposed mainline improvements would add capacity by adding one GP lane and one tolled express lane, which would result in increased throughput at higher speeds along I-405, I-605, SR-22, and SR-73. Greenhouse gas emissions for transportation projects can be divided into those produced during construction and those produced during operations. Construction GHG emissions include emissions produced as a result of material processing, emissions produced by onsite construction equipment, and emissions arising from traffic delays due to construction. These emissions would be produced at different levels throughout the construction phase; their frequency and occurrence can be reduced through innovations in plans and specifications and by implementing better traffic management during construction phases. During the operational phase, it is anticipated that the project will not result in an increase in operational GHG emissions. Based on the project resulting in less congestion and more efficient system operations, Caltrans anticipates that GHG emissions will decrease in the future build conditions when compared to existing conditions.

Findings:

It is Caltrans' determination that, in the absence of further regulatory or scientific information related to GHG emissions and CEQA significance, it is too speculative to make a determination regarding the significance of the project's direct impact and its contribution on the cumulative scale to global climate change. However, Caltrans is firmly committed to implementing measures to help reduce the potential effects of the project. These measurements are outlined in the following sections.

Statement of Facts:

The project's specific measures to reduce these impacts include the following:

- For on-highway vehicles used for this project, contractors are encouraged to meet or exceed the USEPA exhaust emissions standards for model year 2010 and newer heavy-duty on-highway compression-ignition engines (e.g., long-haul trucks, refuse haulers, shuttle buses, etc.).
- For non-road vehicles & equipment used for this project, contractors are encouraged to meet or exceed the USEPA Tier 4 exhaust emissions standards for heavy-duty non-road compression-ignition engines (e.g., construction equipment, non-road trucks, etc.).
- Contractors are encouraged to demonstrate and deploy heavy-duty technologies that exceed the latest USEPA emission performance standards for the equipment categories that are relevant for this project (e.g., plug-in hybrid-electric vehicles-PHEVs, battery-electric vehicles BEVs, fuel cell electric vehicles-FCEVs, etc.).
- The construction traffic management plan will be followed to maintain traffic flow in order to reduce emissions.
- Encourage the use of cement blended with the maximum feasible amount of fly ash or other materials that reduce GHG emissions from cement production.



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Federal Incentive Payment Program, Modified Settlement
Delegation Authority, and Adoption of California
Environmental Quality Act Findings for the Interstate 405
Design-Build Improvement Project**

Attachment F

**CALIFORNIA DEPARTMENT OF TRANSPORTATION
STATEMENT OF OVERRIDING CONSIDERATIONS
FOR THE INTERSTATE 405 IMPROVEMENT PROJECT
BETWEEN STATE ROUTE 73 AND INTERSTATE 605**

The following information is presented to comply with State CEQA Guidelines (Title 14 California Code of Regulations, Chapter 3, Section 15903), and the Department of Transportation and California Transportation Commission Environmental Regulations (Title 21 California Code of Regulations, Chapter 11, Section 1501). Reference is made to the Final Environmental Impact Report (FEIR) for the project, which is the basic source for the information.

The following impacts have been identified as significant and not fully mitigable:

- Construction of the build alternatives would result in changes to the visual quality and/or character associated with vegetation removal, construction activities, and the introduction of new and modified permanent structures. For the build alternatives, the removal of the eucalyptus trees and other vegetation within the interchange areas would likely have the greatest impact on the visual quality; however, this effect would remain until trees grow back to existing conditions. Other elements, such as replacement structures, new retaining walls, and soundwalls, would be a permanent change to the elements within the existing viewsheds along the corridor, including some areas where visual impacts were determined to be Moderately High.
- Project effects on the community have been mitigated to the maximum extent practicable; however, the increased urbanization subsequent to completion of the project (i.e., expanded pavement and ROW, new and widened bridges/overcrossings/ undercrossings, new retaining walls and soundwalls, and replacement/removal of mature vegetation) and the temporary construction-related effects on freeway users and corridor cities (i.e., 54-month construction period, increased congestion associated with construction, detours, ramp, lane and arterial closures, potential reduced incident response times, and reduced access to the freeway, businesses, and pedestrian facilities) are considered significant and unavoidable. Accordingly, avoidance, minimization, and mitigation measures have been incorporated to reduce significant unavoidable effects on the corridor cities and traveling public to the maximum extent practicable.
- If the mitigation measures related to cumulative intersection operations/impacts in the portions of the study area within Los Angeles County are implemented, traffic or transportation-related direct or indirect cumulative impacts are not anticipated to be significant. However, the implementing agencies, being the City of Long Beach and Caltrans, are outside the control of the project proponent; should these measures not be implemented, after the fair share mitigation contribution, significant cumulative impacts would continue to occur at those intersections.

Given the significance of impacts to aesthetic/visual resources, community, and traffic pertaining to fair share mitigation, avoidance, minimization, and mitigation measures have been incorporated to reduce significant unavoidable effects to the maximum extent practicable.

Overriding considerations that support approval of this recommended project are as follows:

The selected alternative (Alternative 3) is considered a viable project alternative because it would achieve the project's purpose and need. The project purpose is a set of objectives the project is intended to meet. The project need is the range of transportation deficiencies that the project was initiated to address.

Accordingly, the purpose of the proposed action is to:

- Reduce congestion;
- Enhance operations;
- Increase mobility, improve trip reliability, maximize throughput, and optimize operations; and
- Minimize environmental impacts and right-of-way (ROW) acquisition.

In furtherance of the project's purpose, the following objective is established:

- To be consistent with regional plans and find a cost-effective early project solution for delivery.

Furthermore, current deficiencies of Interstate 405 (I-405) within the project limits are summarized below:

- The I-405 mainline general purpose (GP) lanes peak-period traffic demand exceeds available capacity;
- The I-405 mainline high-occupancy vehicle (HOV) lanes peak-period traffic demand exceeds available capacity;
- The I-405 mainline GP traffic lanes have operational and geometric deficiencies;
- The interchanges along I-405 within the study area have geometric, storage, and operational capacity deficiencies; and
- I-405 currently has limitations in detecting traffic incidents and providing rapid response and clearance due to lack of capacity and technological infrastructure.

Capacity and Level of Service (LOS)

With the current configuration, there is insufficient capacity within the I-405 corridor on the freeway and adjacent arterial streets to accommodate existing and projected travel demands between SR-73 and I-605. Furthermore, sections of the I-405 corridor currently operate at unacceptable levels of traffic congestion.

Existing and Future Traffic Volumes

By 2040, traffic volumes are projected to grow by approximately 30 to 35 percent along the project corridor.

Regional Population and Employment Growth Trends

Projected population and employment growth trends indicate that transportation demand in the I-405 corridor will continue to increase in future years.

Projected Delay and Level of Service Degradation

STATEMENT OF OVERRIDING CONSIDERATIONS

Without any improvements in the I-405 corridor, additional traffic congestion resulting from regional growth will further degrade traffic Level of Service (LOS) and worsen operational deficiencies in the future. During the morning and evening peak hours in years 2020 and 2040, traffic is forecasted to operate at LOS F along the entire corridor, with volume to capacity (V/C) ratios of 1.14 to 1.61.

Without any improvements in the I-405 corridor, future increased traffic congestion will result in substantially reduced travel speeds and substantially increased commute times.

Safety

The proposed project would relieve congestion by widening I-405, reconstructing interchanges and widening ramps, thus providing safety improvements within the project limits by reducing:

- Congestion-related collisions on the mainline of I-405;
- Off-ramp queuing onto the freeway mainline; and
- On-ramp queuing onto arterials due to mainline congestion and ramp meter operation.

Roadway and Operational Deficiencies

Operational problems occur on I-405 primarily because of physical bottlenecks. Moreover, a variety of interchange and ramp deficiencies in the I-405 corridor result in traffic queue backups onto the freeway and local streets.

Consistency with Regional Plans

Improvements in the proposed alternatives for the I-405 project corridor demonstrate consistency with the goals and objectives of the following regional plans:

- SCAG 2012 Regional Transportation Plan (RTP);
- SCAG 2015 Federal Transportation Improvement Program (FTIP);
- OCTA 2006 Long-Range Transportation Plan;
- OCTA Master Plan of Arterial Highways (2009 and 2007)
- OCTA 2009 Commuter Bikeways Strategic Plan

Modal Inter-Relationships and System Linkages

I-405 represents a major link to other freeway systems within the Orange County area and is a strategic component of the county's transportation system. Serving as a major link between Orange and Los Angeles Counties, the freeway begins at the "El Toro Y" in southeast Irvine and terminates near Mission Hills in the San Fernando Valley section of the City of Los Angeles. I-405 is part of the National Highway System and is considered a bypass route to I-5 (the Santa Ana/Golden State Freeway) providing intra-regional and inter-regional access between Orange and Los Angeles Counties.

With regard to local access, two highways parallel I-405 exist within the county: Pacific Coast Highway (Highway 1) to the south and I-5 to the north; however, these are not considered effective alternates for travel through the study area because of their distance from I-405 and because of their limited ability to accept additional traffic, particularly in the case of Pacific Coast Highway.

Improving interchange efficiency would provide a higher level of operation and throughput for entering and exiting traffic along I-405. Improving interchanges would likely enhance interchange safety. Adding ramp storage capacity would reduce queuing of vehicles back onto the freeway mainline and surface streets. Improving intersection efficiency would provide a higher level of operation and throughput for local street and ramp traffic.

On a regional level, I-405 provides access between cities in Orange and Los Angeles Counties. I-405 is used for commuting and inter-regional travel, along with direct and indirect access to employment centers, recreational attractions, shopping malls, medical centers, universities, airports, and other land uses. The northern segment, between Valley View Street and the I-605, is considered one of the heaviest traveled sections of freeway in the nation.

The entire length of I-405 is part of the National Highway System, the Department of Defense Priority Network, the Interstate Highway System, and the Strategic Highway Corridor Network. The 1990 Federal Surface Transportation Assistance Act (STAA) identifies I-405 as a “National Network” route for STAA trucks (Department 2007). Strategically, I-405 is a transportation link for national defense and transportation security, providing direct and indirect access to major military installations in the west, including Los Angeles Air Force Base to the north, and NAVWPNSTA Seal Beach, Air Force Reserve Center Los Alamitos, and Camp Pendleton to the south.

Project Benefits

In addition, project benefits include but are not limited to:

- The selected alternative best fulfills the purpose and need of the project; by providing tolled express lanes along an important travel corridor with free-flow conditions for future decades, access along the corridor will be greatly enhanced.
- This improvement, via tolled express lanes, will provide major benefits for the communities along the corridor, including Orange & Los Angeles County commuters by encouraging HOVs and transit bus services, as well enhancing response times for emergency vehicles. With free-flow conditions for such vehicles, livability along the corridor would be improved as lanes would be able to serve the community better.
- Air quality improvements associated with reduced congestion could improve health.
- The selected alternative has lower travel times and higher travel speeds due to the component of tolled express lanes. General purpose lanes will not deliver service life for the design year as demand exceeds capacity. But tolled express lanes can preserve mobility beyond the design year.
- Although, the construction costs will be higher for the selected alternative, the revenue generation from toll collection, the long-term operational benefits and transit/carpool encouragement outweigh any increase in construction cost.
- Additionally, the trip reliability for transit/carpools will be enhanced because they will be able to utilize the managed lanes, as opposed to being forced to use the general purpose lanes.
- The Project will provide construction jobs as well as other long-term employment opportunities for the businesses in Orange County and surrounding cities.
- The Project will support local and regional sustainability goals through urban infill.
- The Project will generate community benefits by maximizing available ROW opportunities and providing an efficient transportation corridor with State-of-the-Art improvements.

STATEMENT OF OVERRIDING CONSIDERATIONS

- The Project will provide safe access for pedestrians and special need people through ADA compliant facilities.

Conclusion

Pursuant to §15093 of the State *CEQA Guidelines*, decision-makers are required to balance the benefits of a project against its unavoidable environmental risks in determining whether to approve a project. In the event the benefits of a project outweigh the unavoidable adverse effects, the adverse environmental effects may be considered “acceptable”. The State *CEQA Guidelines* require that, when a public agency allows for the occurrence of significant effects which are identified in the Final Environmental Impact Report but are not at least substantially mitigated, the agency shall state in writing the specific reasons the action was supported. Any statement of overriding considerations should be included in the record of project approval and should be mentioned in the Notice of Determination.

To the extent the significant effects of the project are not avoided or substantially lessened to a level of insignificance, Caltrans, having reviewed and considered the information contained in the Final Environmental Impact Report for the Project, and having reviewed and considered the information contained in the public record, and having balanced the benefits of the Project against the unavoidable effects which remain, finds that such unmitigated effects to be acceptable in consideration of the overriding considerations discussed herein.

Caltrans finds that all feasible mitigation measures have been imposed to lessen unavoidable Project impacts to the extent possible. As such, Caltrans, as the Lead Agency for the Project, has reviewed and considered the information contained in the Draft, Supplemental, and Final Environmental Impact Reports prepared for the I-405 Improvement Project and the public record. Accordingly, the Lead Agency makes the following finding, pursuant to §15093 of the State *CEQA Guidelines*, with regard to the Statement of Overriding Considerations for the I-405 Improvement Project:

California Administrative Code, Title 14, Section 15093(a) states: “If the specific economic, legal, social, technological, or other benefits of a proposed project outweigh the unavoidable adverse environmental effects, the adverse environmental effects may be considered ‘acceptable’.” Based on the above discussion and on the evidence presented, Caltrans therefore finds that the benefits of the proposed project outweigh the adverse impacts on Aesthetic/Visual Resources, community, and traffic impacts related to fair share mitigation from the I-405 Improvement Project, which cannot be eliminated or reduced to a level less than significant.



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Federal Incentive Payment Program, Modified Settlement
Delegation Authority, and Adoption of California
Environmental Quality Act Findings for the Interstate 405
Improvement Project**

Attachment G

Date: June 2015
Environmental Coordinator: Iffat Qamar
Phone No. 949-724-2886

MITIGATION AND MONITORING REPORTING PROGRAM

12-Orange-405
PM: 12-ORA-405 PM 9.3/24.2 / 07-LA-405 PM 0.0/1.2
12-ORA-22 PM R0.7/R3.8 / 12-ORA-22 PM R0.5/R0.7
12-ORA-73 PM R27.2/R27.8 / 12-ORA-605 PM 3.5/R1.6
07-LA-605 PM R0.0/R1.2
EA: 0H100
EFIS: 1200000180
San Diego Freeway (I-405) Improvement Project

| Section and Measure Number | Avoidance, Minimization, and/or Mitigation Measure and Brief Description | Responsible Party* | Timing / Phase | Compliance Action | Verification of Compliance | | Remarks |
|----------------------------|--|--------------------|-----------------|-------------------|----------------------------|------|---------|
| | | | | | Initial | Date | |
| | Land Use | | | | | | |
| LU-1 | If a build alternative is identified for implementation, either Caltrans or OCTA shall request the County of Orange and the cities along the project corridor to amend their respective General Plans to reflect the identified build alternative and the modification of land use designations for properties that would be acquired for the project that are not currently designated for transportation uses. | Caltrans/OCTA | Construction | | | | |
| LU-2 | Caltrans shall implement a TMP throughout the duration of the construction activities and make this document available to the public. A purpose of the TMP is to minimize project-related construction disruptions and would include traffic strategies designed in coordination with local jurisdictions. | Resident Engineer | Construction | | | | |
| LU-3 | Pedestrian access shall be maintained via detour at Pleasant View Park at all times during construction of the project. | Resident Engineer | Construction | | | | |
| LU-4 | Existing vegetation or landscaping at Buckingham Park that is damaged or removed during construction shall be replaced. Replacement plantings shall be consistent with any existing preserved vegetation. Replacement plantings shall be reviewed and approved by a Caltrans District 12 Landscape Architect. | Resident Engineer | Construction | | | | |
| LU-5 | Existing vegetation or landscaping at Cascade Park that is damaged or removed during construction shall be replaced. Replacement plantings shall be consistent with any existing preserved vegetation. Replacement plantings shall be reviewed and approved by a Caltrans District 12 Landscape Architect. | Design Engineer | Design | | | | |
| LU-6 | To avoid temporary closures of both riverbank trails of the Santa Ana River Trail, phased construction of the Euclid Street southbound I-405 on-ramp from Ellis Avenue shall provide access to at least one of the riverbank trails at all times during construction. | Resident Engineer | Construction | | | | |
| COM-13 | Where acquisition and relocation are unavoidable, the provisions of the Federal Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (as amended), Title 49 CFR Part 24 and, where applicable, the California Public Park Preservation Act of 1971 will be followed. An appraisal of the affected property will be obtained, and an offer for the full appraisal will be made. | Caltrans/OCTA | Row Acquisition | | | | |
| | COMMUNITY IMPACTS | | | | | | |
| COM-1** | No two consecutive/adjacent off-ramps or two consecutive/adjacent on-ramps in the same direction will be closed concurrently. | Resident Engineer | Construction | | | | |
| COM-2** | Business access will be maintained at all times during construction, consistent with Section 7-1.03 Public Convenience of Standard Specifications (2010). | Resident Engineer | Construction | | | | |
| COM-3** | Ramps that provide access immediately adjacent to South Coast Plaza (South Coast Drive northbound off-ramp), Bella Terra (Beach Boulevard off-ramps), or Westminster Mall (Bolsa Avenue northbound and Goldenwest Street southbound off-ramps) will not be closed from November 1 to January 31. | Caltrans/OCTA | ROW Acquisition | | | | |
| COM-4** | Provision of motorist information (i.e., existing changeable message signs, portable changeable message signs, stationary ground-mounted signs, traffic radio announcements, and the Caltrans Highway Information Network [CHIN]). | Resident Engineer | Construction | | | | |
| COM-5** | Incorporation of traffic circulation construction strategies (i.e., lane closure restrictions during holidays and special local events, closure of secondary streets during construction to allow quick construction and reopening, lane modifications [i.e., lane reductions, shifts] to maintain the number of lanes needed, allowing night work and extended weekend work, maintaining business access, and maintaining pedestrian and bicycle access). In addition, see Traffic Measure T-1 for public information regarding the TMP. Upon completion, the final TMP can be obtained by request from OCTA. | Resident Engineer | Construction | | | | |
| COM-6** | Implementation of alternate and detour routes strategies (i.e., street/intersection improvements [e.g., widening, pavement rehabilitation, removal of median, restriping]) to provide added capacity to handle detour traffic, signal improvements, adjustment of signal timing and/or signal coordination to increase vehicle throughput, improve traffic flow and optimize intersection capacity, turn restrictions at intersections and roadways necessary to reduce congestion and improve safety, parking restrictions on alternate and detour routes during work hours to increase capacity, reduce traffic conflicts, and improve access. | Resident Engineer | Construction | | | | |
| COM-7** | Coordination with the relevant parks and recreation departments of affected parks shall occur during construction to ensure the access and safety of users in the parks and trails adjacent to the proposed project. | OCTA/Caltrans | Construction | | | | |
| COM-8** | Coordination with utility service providers and the implementation of public outreach program will be conducted to surrounding communities. | Design Engineer | Design | | | | |
| COM-9** | Close coordination with railroad owners and operators will be conducted during final design and construction phases to minimize impacts to railroad operations. | OCTA/Caltrans | Design | | | | |
| COM-10** | During design and construction, OCTA shall work closely with affected property owners to identify means to avoid and minimize parking impacts, including space management such as restriping of parking areas and identifying parking replacement options. When required, property owners shall receive compensation for the partial loss of property through the ROW acquisition process. | Caltrans/OCTA | ROW Acquisition | | | | |

*The implementing agency will be responsible subject to any changes resulting from a future cooperative agreement(s) between OCTA and Caltrans.

**Mitigation for significant impacts under CEQA

MITIGATION AND MONITORING REPORTING PROGRAM

I-405 Improvement Project from State Route (SR) 73 to Interstate 605 (I-605) in Orange and Los Angeles Counties, California

| Section and Measure Number | Avoidance, Minimization, and/or Mitigation Measure and Brief Description | Responsible Party* | Timing / Phase | Compliance Action | Verification of Compliance | | Remarks |
|----------------------------|--|--------------------|-----------------|-------------------|----------------------------|------|---------|
| | | | | | Initial | Date | |
| COM-11** | Maintain good public relations with the community to minimize objections to the unavoidable construction impacts. OCTA will implement a community information plan to maintain good community relations with the public by providing timely information about anticipated construction activities to affected citizens and adjacent property owners. Notification methods could include, but are not limited to, website, fliers, mailers, e-mail blasts, and electronic messaging on the freeway. | Caltrans/OCTA | Construction | | | | |
| COM-12** | The existing Heil Avenue pedestrian crossing will remain open for use until the replacement crossing has been completed. | Caltrans/OCTA | ROW Acquisition | | | | |
| COM-13 | Where acquisition and relocation are unavoidable, the provisions of the Federal Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (as amended), Title 49 CFR Part 24 and, where applicable, the California Public Park Preservation Act of 1971 will be followed. | Caltrans/OCTA | ROW Acquisition | | | | |
| COM-14 | Caltrans and OCTA commit to working with the City of Costa Mesa to minimize impacts to the extent practicable through continuous coordination. | Caltrans/OCTA | Design | | | | |
| COM-15 | Caltrans and OCTA commit to working with the City of Seal Beach to minimize impacts to the extent practicable through continuous coordination. This includes striving to meet minimum City street standards and ensuring that any improvements meet the requirements of the Americans with Disabilities Act and provide safe passage for emergency service vehicles. | Caltrans/OCTA | Design | | | | |
| | UTILITIES | | | | | | |
| UT-1 | During final design, utility providers will be made aware of project developments and be involved in the planning of utility rerouting, identification of potential conflicts, and the formulation of strategies to deal with unanticipated problems that may arise during construction. | Design Engineer | Design | | | | |
| UT-2** | During construction, emergency service providers will be alerted in advance of any temporary road closures and delays so that they have adequate time to make appropriate accommodations to ensure prompt emergency response times that fulfill their responsibilities and defined service objectives. | Resident Engineer | Construction | | | | |
| | TRAFFIC AND TRANSPORTATION/PEDESTRIAN AND BICYCLE FACILITIES | | | | | | |
| T1** | A Final TMP will be prepared prior to project construction that identifies methods to avoid and minimize construction-related traffic and circulation effects and minimize impacts to pedestrian and bicycle access, including ADA-compliant features, as a result of the proposed project. During construction, the contractor shall implement the methods identified in the Final TMP. | Design Engineer | Design | | | | |
| T-2** | During final design, plans shall be prepared to incorporate the following improvements at the Slater Avenue/Brookhurst Street intersection, which the contractor shall implement during construction: <ul style="list-style-type: none">• Convert the southbound right-turn lane on Brookhurst Street to a fourth through lane (with right turns shared).• Convert the existing second eastbound through lane on Slater Avenue at Brookhurst Street to a shared through/right-turn lane. Retain the existing eastbound exclusive right-turn lane.• Provide increased queue storage areas for northbound right-turn, northbound left-turn, eastbound right-turn, and westbound left-turn movements. | Design Engineer | Design | | | | |
| T-3** | During final design, plans shall be prepared to incorporate the following improvements at the Talbert Avenue/Brookhurst Street intersection, which the contractor shall implement during construction: <ul style="list-style-type: none">• Add a third westbound through lane on Talbert Avenue. Retain the existing westbound exclusive right-turn lane.• Convert the southbound right-turn lane on Brookhurst Street to a fourth through lane (with right turns shared).• Convert the eastbound right-turn lane on Talbert Avenue to a fourth through lane (with right turns shared). Convert the existing third northbound through lane on Brookhurst Street to a shared through/right-turn lane. Retain the existing northbound exclusive right-turn lane. | Design Engineer | Design | | | | |
| T-4** | During final design, plans shall be prepared to incorporate the following improvements at the Warner Avenue/Magnolia Street intersection, which the contractor shall implement during construction: <ul style="list-style-type: none">• Convert the southbound right-turn lane on Magnolia Street at Warner Avenue to a shared through/right-turn lane. Extend the third southbound through lane on Magnolia Street south of the intersection.• Provide dual northbound left-turn lanes on Magnolia Street at Warner Avenue.• Extend the southbound dual left-turn pocket from the existing 200 ft to approximately 440 ft of queue storage. | Design Engineer | Design | | | | |
| T-5** | During final design, plans shall be prepared to incorporate the following improvements at the McFadden Avenue/Beach Boulevard intersection, which the contractor shall implement during construction: <ul style="list-style-type: none">• Provide an exclusive northbound right-turn lane on Beach Boulevard.• Provide increased queue storage areas for eastbound right-turn and westbound left-turn movements. | Design Engineer | Design | | | | |
| T-6** | During final design, plans shall be prepared to incorporate the following improvements at the Center Avenue/Beach Boulevard intersection, which the contractor shall implement during construction: <ul style="list-style-type: none">• Provide an exclusive right-turn lane and a shared through/right-turn lane on southbound Beach Boulevard.• Add a third eastbound right-turn lane on Center Avenue at Beach Boulevard. Increase the eastbound Center Avenue left-turn queue storage to 270 ft per lane and right-turn queue storage to 450 ft per lane.• Provide a fifth northbound through lane on Beach Boulevard. | Design Engineer | Design | | | | |
| T-7** | During final design, plans shall be prepared to incorporate the following improvements at the Edinger Avenue/Beach Boulevard intersection, which the contractor shall implement during construction: | Design Engineer | Design | | | | |

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**Mitigation for Potentially Significant Impacts and Less than Significant with Mitigation under CEQA.

MITIGATION AND MONITORING REPORTING PROGRAM

I-405 Improvement Project from State Route (SR) 73 to Interstate 605 (I-605) in Orange and Los Angeles Counties, California

| Section and Measure Number | Avoidance, Minimization, and/or Mitigation Measure and Brief Description | Responsible Party* | Timing / Phase | Compliance Action | Verification of Compliance | | Remarks |
|----------------------------|---|--------------------|----------------|-------------------|----------------------------|------|---------|
| | | | | | Initial | Date | |
| | <ul style="list-style-type: none">• Add a fourth northbound through lane on Beach Boulevard at Edinger Avenue.• Convert the existing eastbound right-turn only lane on Edinger Avenue at Beach Boulevard to a fourth through lane (with a shared right turn) and extend the lane to Parkside Lane to increase vehicle queue storage. Sign and stripe to allow two curb lanes on eastbound Edinger Avenue at Beach Boulevard as freeway access lanes (to the southbound on-ramp at Edinger Avenue).• Extend the existing southbound dual left-turn lanes on Beach Boulevard from the existing queue storage of 240 ft to an average of 300 ft per lane.• Widen the Edinger Avenue overcrossing to provide two westbound through lanes and two eastbound through lanes. The third eastbound through lane on Edinger Avenue from Beach Boulevard is dropped at the bridge overcrossing.• At the intersection of eastbound Edinger Avenue and the I-405 southbound on-ramp, provide an exclusive right-turn and a shared through/right-turn lane on eastbound Edinger Avenue, thereby allowing two lanes onto the southbound ramp.• Provide increased queue storage areas for southbound left-turn, eastbound left-turn, and westbound left-turn movements. | | | | | | |
| T-8** | <p>During final design, plans shall be prepared to incorporate the following improvements at the Bolsa Avenue/Goldenwest Street intersection, which the contractor shall implement during construction:</p> <ul style="list-style-type: none">• Widen the southbound approach on Goldenwest Street to provide an exclusive right-turn lane and a second left-turn lane. The southbound left-turn pocket is extended past the Goldenwest Street/Westminster Mall Road intersection.• Widen the northbound approach on Goldenwest Street at Bolsa Avenue to provide an exclusive right-turn lane with queue storage of approximately 430 ft.• Convert the eastbound right-turn lane on Bolsa Avenue to a fourth through lane (with right turns shared). Widen the south side of Bolsa Avenue between Goldenwest Street and the I-405 southbound on-ramp. Sign and stripe to allow two curb lanes on eastbound Bolsa Avenue at Goldenwest Street as freeway access lanes (to the I-405 southbound on-ramp from Bolsa Avenue).• Widen the westbound approach to provide extended queue storage of 750 ft for the right-turn lane and increased queue storage of 280 ft for the left-turn lanes. | Design Engineer | Design | | | | |
| T-9** | <p>During final design, plans shall be prepared to incorporate the following improvements at the Garden Grove Boulevard and Bolsa Chica Road/Valley View Street intersection, which the contractor shall implement during construction:</p> <ul style="list-style-type: none">• Add a third westbound right-turn lane on Garden Grove Boulevard.• Add a third through lane on northbound Bolsa Chica Road/Valley View Street.• Extend the northbound right-turn lane on Bolsa Chica Road/Valley View Street and increase the existing queue storage of 400 ft to approximately 800 ft. | Design Engineer | Design | | | | |
| T-10** | <p>A payment shall be made by OCTA (Phase 1) and Caltrans (Phase 2) to the City of Long Beach based on a Cooperative Agreement to be negotiated and executed between OCTA and the City of Long Beach. The Cooperative Agreement shall identify the project's fair share of the costs for the improvements at intersections owned by the City of Long Beach based on the Preferred Alternative (PA) and in accordance with the fair share percentages for each location identified below. The Cooperative Agreement shall provide:</p> <ul style="list-style-type: none">• That the City of Long Beach's Transportation Mitigation Program will be revised to include the locations listed below under A, B, or C for the PA;• That the payment made by OCTA shall be placed into the City of Long Beach Transportation Mitigation Program and shall only be used to provide improvements to remedy impacts of the PA at the intersections listed below under A, B, or C for the PA;• The amount of the total payment to be applied to each location; and• That the proposed improvements shall be implemented by the City of Long Beach, with the City of Long Beach bearing responsibility for necessary clearances and permits.• If the implementing agency of this measure decides not to move forward with these improvements, these cumulative impacts would remain adverse. <p>A. If PA is Alternative 1:</p> <ul style="list-style-type: none">• Los Coyotes Diagonal and Bellflower Boulevard intersection:<ul style="list-style-type: none">◦ Add a second left-turn lane to eastbound approach.◦ Fair Share Percentage: 4.45%. (estimated total construction cost in 2013 dollars is \$250,000) <p>B. If PA is Alternative 2:</p> <ul style="list-style-type: none">• Willow Street and Bellflower Boulevard intersection:<ul style="list-style-type: none">◦ Add an exclusive right-turn lane to eastbound approach;◦ Add a second left-turn lane to westbound approach; and◦ Add a second left-turn lane to southbound approach.◦ Fair Share Percentage: 10.41%. (estimated total construction cost in 2013 dollars is \$810,000)• Willow Street and Los Coyotes Diagonal intersection:<ul style="list-style-type: none">◦ Add a second left-turn lane to eastbound approach; and◦ Add a second left-turn lane to southbound approach.◦ Fair Share Percentage: 31.57%. (estimated total construction cost in 2013 dollars is \$440,000)• Willow Street and Woodruff Avenue intersection:<ul style="list-style-type: none">◦ Add a second left-turn lane to northbound approach.◦ Fair Share Percentage: 10.40%. (estimated total construction cost in 2013 dollars is \$240,000) | OCTA | Design | | | | |

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**Mitigation for Potentially Significant Impacts and Less than Significant with Mitigation under CEQA.

MITIGATION AND MONITORING REPORTING PROGRAM

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|----------------------------|--|--------------------|----------------|-------------------|----------------------------|------|---------|
| | | | | | Initial | Date | |
| | <p>C. If PA is Alternative 3:</p> <ul style="list-style-type: none">Willow Street and Bellflower Boulevard intersection:<ul style="list-style-type: none">Add an exclusive right-turn lane to eastbound approach;Add a second left-turn lane to westbound approach; andAdd a second left-turn lane to southbound approach.Fair Share Percentage: 10.41%. (estimated total construction cost in 2013 dollars is \$810,000)Los Coyotes Diagonal and Bellflower Boulevard intersection:<ul style="list-style-type: none">Add a second left-turn lane to eastbound approach.Fair Share Percentage: 8.32%. (estimated total construction cost in 2013 dollars is \$250,000)Willow Street and Los Coyotes Diagonal intersection:<ul style="list-style-type: none">Add a second left-turn lane to eastbound approach; andAdd a second left-turn lane to southbound approach.Fair Share Percentage: 30.03%. (estimated total construction cost in 2013 dollars is \$440,000) | | | | | | |
| T-11** | <p>A payment shall be made by OCTA to Caltrans based on a Traffic Mitigation Agreement Fair Share Deferment to be negotiated and executed between OCTA and Caltrans. The Traffic Mitigation Agreement Fair Share Deferment shall identify the project's fair share of the costs for the improvements at intersections owned by the State of California based on the PA and in accordance with the fair share percentages for each location identified below. The Traffic Mitigation Agreement Fair Share Deferment shall provide:</p> <ul style="list-style-type: none">That Caltrans will establish separate accounts for each of the locations listed below under A, B, or C for the PA;That the payment made by OCTA shall be held by Caltrans and shall only be used to provide improvements to remedy impacts of the PA at the intersections listed below under A, B, or C for the PA;The amount of the total payment to be applied to each location;That the amounts for different locations shall not be commingled; andThat the proposed improvements shall be implemented by Caltrans, with Caltrans bearing responsibility for necessary clearances and permits.If the implementing agency of this measure decides not to move forward with these improvements, these cumulative impacts would remain adverse. <p>It should be noted that the State of California would implement a project only when enough funds have been collectively received for that specific mitigation measure.</p> <p>A. If PA is Alternative 1:</p> <ul style="list-style-type: none">SR-22 westbound on-/off-ramp and College Park Drive intersection:<ul style="list-style-type: none">Add a second northbound through lane to the off-ramp approach to College Park Drive starting approximately 300 ft south of their intersection; andReplace existing traffic control with a traffic signal.Fair Share Percentage: 12.11%. (estimated total construction cost in 2013 dollars is \$1,570,000)7th Street and Pacific Coast Highway intersection:<ul style="list-style-type: none">Add protected/permitted signal phasing to the eastbound and westbound approaches of Pacific Coast Highway to Bellflower Boulevard.Fair Share Percentage: 11.70%. (estimated total construction cost in 2013 dollars is \$450,000)7th Street and West Campus Drive intersection:<ul style="list-style-type: none">Add an exclusive right-turn lane to westbound approach, modifying traffic signals as needed.Fair Share Percentage: 9.16%. (estimated total construction cost in 2013 dollars is \$300,000)7th Street and Bellflower Boulevard intersection:<ul style="list-style-type: none">Add a second left-turn lane to eastbound approach, modifying signals and adjusting sidewalk as necessary.Fair Share Percentage: 11.70%. (estimated total construction cost in 2013 dollars is \$640,000) <p>B. If PA is Alternative 2:</p> <ul style="list-style-type: none">SR-22 westbound on-/off-ramp and College Park Drive intersection:<ul style="list-style-type: none">Add a second northbound through lane to the off-ramp approach to College Park Drive starting approximately 300 ft south of their intersection; andReplace existing traffic control with a traffic signal.Fair Share Percentage: 33.25%. (estimated total construction cost in 2013 dollars is \$1,570,000)7th Street and Pacific Coast Highway intersection:<ul style="list-style-type: none">Add protected/permitted signal phasing to the eastbound and westbound approaches of Pacific Coast Highway to Bellflower Boulevard.Fair Share Percentage: 7.84%. (estimated total construction cost in 2013 dollars is \$450,000)7th Street and Bellflower Boulevard intersection:<ul style="list-style-type: none">Add a second left-turn lane to eastbound approach, modifying signals and adjusting sidewalk as necessary.Fair Share Percentage: 16.92%. (estimated total construction cost in 2013 dollars is \$640,000)7th Street and Channel Drive intersection:<ul style="list-style-type: none">Add a second left-turn lane to westbound approach, modifying signals as necessary; andProvide dual southbound exclusive left-turn lanes.Fair Share Percentage: 13.59%. (estimated total construction cost in 2013 dollars is \$240,000) | OCTA | Design | | | | |

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MITIGATION AND MONITORING REPORTING PROGRAM

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| | | | | | Initial | Date | |
| | <ul style="list-style-type: none">7th Street and West Campus Drive intersection:<ul style="list-style-type: none">Add an exclusive right-turn lane to westbound approach, modifying traffic signals as necessary.Fair Share Percentage: 27.34%. (estimated total construction cost in 2013 dollars is \$300,000)7th Street and East Campus Drive intersection:<ul style="list-style-type: none">Add a right-turn lane to westbound approach, modifying traffic signals as necessary and maximizing eastbound and westbound left-turn pocket lengths.Fair Share Percentage: 21.30%. (estimated total construction cost in 2013 dollars is \$450,000) <p>C. If PA is Alternative 3:</p> <ul style="list-style-type: none">7th Street and Pacific Coast Highway intersection:<ul style="list-style-type: none">Add protected/permitted signal phasing to the eastbound and westbound approaches of Pacific Coast Highway to Bellflower Boulevard.Fair Share Percentage: 8.08%. (estimated total construction cost in 2013 dollars is \$450,000)7th Street and Bellflower Boulevard intersection:<ul style="list-style-type: none">Add a second left-turn lane to eastbound approach, modifying signals and adjusting sidewalk as necessary.Fair Share Percentage: 17.64%. (estimated total construction cost in 2013 dollars is \$640,000)7th Street and Channel Drive intersection:<ul style="list-style-type: none">Add a second left-turn lane to westbound approach, modifying signals as necessary; andProvide dual southbound exclusive left-turn lanes.Fair Share Percentage: 14.01%. (estimated total construction cost in 2013 dollars is \$240,000)7th Street and West Campus Drive intersection:<ul style="list-style-type: none">Add an exclusive right-turn lane to westbound approach, modifying traffic signals as necessary.Fair Share Percentage: 25.02%. (estimated total construction cost in 2013 dollars is \$300,000)7th Street and East Campus Drive intersection:<ul style="list-style-type: none">Add a right-turn lane to westbound approach, modifying traffic signals as necessary and maximizing eastbound and westbound left-turn pocket lengths.Fair Share Percentage: 7.39%. (estimated total construction cost in 2013 dollars is \$450,000) | | | | | | |
| T-12** | To address the potential operational challenge on the express lanes (under the HOV2+ free policy), a process will be developed to address the issue by considering HOV occupancy policy which may include, but not limited to: <ul style="list-style-type: none">adjusting to HOV3+ free with HOV2s discounted tollsadjusting to HOV3+ free with HOV2s full tollsadjusting to tolling HOV2s on individual tolling segments such as direct connectors to or from other freewaysperiodic adjustments of tolling rates to maintain operations on individual tolling segments | | | | | | |
| | VISUAL/AESTHETICS | | | | | | |
| VIS-1** | Beginning with preliminary design and continuing through final design and construction, plan, save, and protect as much existing vegetation in the corridor, especially eucalyptus and other skyline trees, as feasible. | Design Engineer/ Resident Engineer | Design Construction | | | | |
| VIS-2** | Survey exact locations for existing trees and include in plans. | Design Engineer | Design | | | | |
| VIS-3** | Protect with temporary fencing large infield areas of existing plantings to be preserved. | Design Engineer/ Resident Engineer/ Biologist | Design/ Construction | | | | |
| VIS-4** | Transplant, relocate, protect, and maintain existing trees that are in conflict with the proposed improvements, per Caltrans District 12 Landscape Architect approval. | Resident Engineer/ Biologist | Construction | | | | |
| VIS-5** | Beginning with preliminary design and continuing through final design and construction, develop construction plans that apply architectural detailing to the proposed soundwalls, retaining walls, and bridges, including textures, colors, and patterns. Include elements such as caps, columns, pier caps, parapets, fencing, and abutment and wing walls as shown in the Aesthetics and Landscape Master Plan. In addition, bridge or architectural elements on ramps, bridges, and soundwalls will include forms and lines to match the existing built-environment features. | Design Engineer/ Resident Engineer | Design/ Construction | | | | |
| VIS-6** | Beginning with preliminary design and continuing through final design and construction, landscape and revegetate disturbed areas to the greatest extent feasible. | Design Engineer/ Resident Engineer | Design / Construction | | | | |
| VIS-7** | Include skyline trees in the planting palette to bring down the scale of the new freeway elements. | Design Engineer | Design | | | | |
| VIS-8** | Fund from this parent project and accomplish by separate contract a 3-year extended plant establishment project to assure a well-established highway planting. This separate contract must begin as soon as possible upon completion of the 1-year plant establishment period that may be accomplished with the roadway contract. | OCTA | Construction | | | | |
| VIS-9** | Design basins so that they appear to be a natural landscape feature, such as a dry streambed or a riparian pool. They shall be shaped in an informal, curvilinear manner. | Design Engineer/ | Design/ | | | | |

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| | | Resident Engineer | Construction | | | | |
| VIS-10** | Basin slope grading will incorporate slope rounding, variable gradients, and be similar to the surrounding topography to de-emphasize the edge. If a wall or hard feature is necessary, it shall be worked into the overall design concept. | Design Engineer/ Resident Engineer | Design/ Construction | | | | |
| VIS-11** | Employ grading design of any ponds or swales, wherever possible, to be sympathetic to the Aesthetic and Landscape Master Plan. | Design Engineer/ Resident Engineer | Design/ Construction | | | | |
| VIS-12** | Locate maintenance access drives in unobtrusive areas away from local streets. Such drives must consist of inert materials or herbaceous groundcover that is visually compatible with the surrounding landscape. | Design Engineer | Design | | | | |
| VIS-13** | Design all basins so that chain-link perimeter fencing is not required. | Design Engineer | Design | | | | |
| VIS-14** | Design all visible concrete structures and surfaces to adhere to the Aesthetic and Landscape Master Plan when developed. | Design Engineer | Design | | | | |
| VIS-15** | Design rock slope protection to consist of aesthetically pleasing material with a variety of sizes. | Design Engineer | Design | | | | |
| VIS-16** | Limit the use of bioswales within corridor landscape areas. If they must be used, locate them in nonobtrusive areas and design to appear as natural features. | Design Engineer | Design | | | | |
| VIS-17** | Caltrans has existing ongoing maintenance programs for the control and removal of graffiti, which would apply to all new and modified structures on public and private property, as appropriate. Key components of those programs are: <ul style="list-style-type: none"> Chapter D1, Litter, Debris, and Graffiti (July 2006), in the Caltrans Maintenance Manual (Volume I, January 2011) describes Caltrans maintenance program for the control and removal of graffiti. Key program components applicable to the project features are: <ul style="list-style-type: none"> Use of recycled paint for various structures and matching paint used to cover graffiti with the original paint color on the structure. Use of physical devices, such as rat guards, sign hoods, razor wire, and glare screen patches, to limit access to facilities targeted by taggers. Replacement of ground-mounted signs with signs that have protective coatings or application of protective coatings to signs. | Design Engineer | Design | | | | |
| VIS-18** | Provide vine planting on soundwalls and retaining walls where feasible and appropriate. Per Highway Design Manual, Index 902.3(5), vine planting should be included with all sound barrier projects to reduce the potential for graffiti and to soften the appearance of the wall. | Design Engineer | Design/ Construction | | | | |
| VIS-19** | Protect with temporary fencing the drip line of existing isolated trees identified on plans as to remain. | Design Engineer | Design/ Construction | | | | |
| VIS-20** | Plant biostrips and bioswales with vegetative cover that includes a combination of low-growing shrubs and groundcover per the NPDES Construction General Permit, A.9 Definitions: 1) Vegetative Cover. | Design Engineer | Design/ Construction | | | | |
| VIS-21** | Glare shields shall be used wherever possible to reduce lighting impacts, and to redirect light onto the facility and away from adjacent homes and areas of wildlife habitat. | Design Engineer | Design/ Construction | | | | |
| | CULTURAL RESOURCES | | | | | | |
| CUL-1 | Work shall be halted in the vicinity of any previously known or unknown buried cultural materials unearthed during construction until a qualified archaeologist can assess the significance of the materials. Any further mitigation measures required will be developed in accordance with the requirements of Caltrans Section 106 PA – Stipulation XV in accordance with 36 CFR 800.13. Any mitigation measures required by the archaeologist will be implemented, including, if necessary, supplemental environmental documentation. | Design Engineer/ Resident Engineer/ Archaeologist | Design/ Construction | | | | |
| CUL-2 | If human remains and associated artifacts are encountered during ground-disturbing activities, then the provisions of Public Law 101-601, Section 5097.98 and .99 of the PRC, and Section 7050 of the Health and Safety Code, will be followed. Any further mitigation measures required shall be developed in accordance with the requirements of 36 CFR 800.13, the post review discovery provision of the regulations implementing Section 106 of the NHPA. | Design Engineer/ Resident Engineer/ Archaeologist | Design/ Construction | | | | |
| CUL-3 | If any buildings and/or structures in the project APE are determined eligible for listing in the NRHP subsequent to finalizing the Final EIR/EIS, then such buildings and/or structures shall not be destroyed or significantly altered as part of construction of this project. Proper coordination shall be undertaken with the entity responsible for such listing. | Design Engineer/ Resident Engineer/ Architectural Historian | Design/ Construction | | | | |
| CUL-4** | Navy requirement that a qualified Native American and qualified Archaeologist monitor earthmoving activities associated with project construction in the vicinity of the NAVVPNSTA Seal Beach, located along the south of I-405 within the project limits. The areas along the southern I-405 and the northern boundary of the NAVVPNSTA property that require monitoring, will be designated as an Archaeological Monitoring Area (AMA) on the final plans and included in the specifications and estimates for the project. The Native American and Archaeologist will prepare daily monitoring logs and a final report summarizing findings will be submitted to both Caltrans and the Navy following construction completion. | Design Engineer/ Resident Engineer/ Archaeologist | Design/ Construction Post-Construction | | | | |

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| | HYDROLOGY AND FLOODPLAINS | | | | | | |
| HYD-1 | Project design elements will include bridge pier alignment paralleling the direction of flow to minimize flow obstruction. | Design Engineer | Design | | | | |
| HYD-2 | Bridges will be designed with sufficient freeboard above the 100-year water surface elevation to prevent the bridge deck from impacting flood flows. | Design Engineer | Design | | | | |
| HYD-3 | Positive drainage will be provided during construction and refrain from diverting flows. | Resident Engineer | Construction | | | | |
| HYD-4 | Recommended BMPs will be implemented. | Resident Engineer | Construction | | | | |
| HYD-5 | In-river construction and post construction shall include erosion control and water quality protection | Resident Engineer | Construction | | | | |
| HYD-6 | A contingency plan shall be developed for unforeseen discovery of underground contaminants. | Resident Engineer | Construction | | | | |
| HYD-7 | Construction activities between October and May (rainy season) shall be limited to those actions that can adequately withstand high flows and entrainment of construction materials. | Resident Engineer | Construction | | | | |
| HYD-8 | Adequate conveyance capacity will be provided at bridge crossings to ensure no net increase in velocity. | Design Engineer/ | Design/ | | | | |
| | | Resident Engineer | Construction | | | | |
| | WATER QUALITY AND STORMWATER RUNOFF | | | | | | |
| WQ-1 | Conforming to the requirements of the Caltrans Statewide NPDES Storm Water Permit, Order No. 2012-0011-DWQ, NPDES No. CAS000003, adopted by the SWRCB on September 19, 2012, in addition to the BMPs specified in the Caltrans <i>Storm Water Management Plan</i> (SWMP) (Caltrans 2003a). The Contractor shall also conform to the requirements of the General NPDES Permit for Construction Activities, Order No. 2009-0009-DWQ, NPDES No. CAS000002 and any subsequent permit in effect at the time of construction | Design Engineer/ Resident Engineer | Design/ Construction | | | | |
| WQ-2 | Preparing and implementing the SWPPP. The SWPPP shall address all State and federal water control requirements and regulations. The SWPPP shall address all construction-related activities, equipment, and materials that have the potential to impact water quality. All Construction Site BMPs will follow the latest edition of the Storm Water Quality Handbooks, Construction Site BMP Manual to control and minimize the impacts of construction-related pollutants. The SWPPP shall include BMPs to control pollutants, sediment from erosion, stormwater runoff, and other construction-related impacts. In addition, the SWPPP shall include implementation of specific stormwater effluent monitoring requirements based on the project's risk level to ensure that the implemented BMPs are effective in preventing the exceedance of any water quality standards. All work will conform to the Construction Site BMP (Category II) requirements specified in the latest edition of the Caltrans SWMP to control and minimize the impacts of construction and construction-related activities, materials, and pollutants on the watershed(s). These include, but are not limited to, temporary sediment control, temporary soil stabilization, scheduling, waste management, materials handling, and other nonstormwater BMPs. For a complete list, refer to Section 4.5 of the Caltrans SWMP (2003a). | Design Engineer/ Resident Engineer | Design/ Construction | | | | |
| WQ-3 | Dewatering is anticipated for the proposed project; therefore, this project will fully conform to Order No. R8-2009-0003 NPDES No. CAG998001, <i>General Waste Discharge Requirements for Discharges to Surface Water which Pose an Insignificant (De Minimus) Threat to Water Quality</i> , from the Santa Ana RWQCB. Dewatering BMPs will be used to control sediments and pollutants. A laboratory, certified under either the Environmental Laboratory Accreditation Program or the National Environmental Laboratory Accreditation Program, will test and monitor any discharge for compliance with RWQCB requirements. | Design Engineer/ Resident Engineer | Design/ Construction | | | | |
| WQ-4 | Maintenance BMPs – Maintenance BMPs will be adhered to in accordance with Caltrans policies, including routine maintenance work, such as litter pickup, toxics control, street sweeping, drainage, and channel cleaning. | Design Engineer/ Resident Engineer | Design/ Construction | | | | |
| WQ-5 | Design Pollution Prevention BMPs – Permanent soil stabilization systems will be incorporated into project design, such as preservation of existing vegetation, concentrated flow conveyance systems (e.g., drainage ditches, dikes, berms, swales), and slope/surface protection systems that utilize either vegetated or hard surfaces. Identification of Design Pollution Prevention BMPs will occur during final design. | Design Engineer/ Resident Engineer | Design/ Construction | | | | |
| WQ-6 | Treatment BMPs – All Caltrans-approved Treatment BMPs will be implemented to the MEP. Treatment BMPs may include traction sand traps, infiltration devices, detention devices, biofiltration strips/swales, dry weather flow diversion, media filters, multi-chamber treatment trains, wet basins, and gross solids removal devices. | Design Engineer/ Resident Engineer | Design | | | | |
| | GEOLOGY/SOILS/SEISMIC/TOPOGRAPHY | | | | | | |
| GEO-1** | In accordance with standard Caltrans requirements, detailed geotechnical studies shall be conducted during the project's future PS&E phase. If results of these studies find high potential for seismic slope instability or lateral spreading, additional measures will need to be incorporated for new structures associated with the project, including bridges, embankments, and retaining walls. Resulting recommendations from the detailed studies shall be incorporated into the project's final design plans to address seismic safety, liquefaction, and load-bearing concerns present in the project area. | Design Engineer | Design | | | | |
| GEO-2** | Selection of earth-retaining system types should be based on consideration of foundation-bearing capacity, anticipated settlement and ability of the system to tolerate settlements, overall slope stability, constructability, and cost. | Resident Engineer | Construction | | | | |
| GEO-3** | Depending on locations, drilled piles (for sign foundations or soundwalls) may extend below the groundwater and will require appropriate construction methods. | Resident Engineer | Construction | | | | |

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| GEO-4** | Corrosion mitigation for steel and concrete structures should generally follow Caltrans Corrosion Guidelines (2003 or latest). The latest Caltrans Highway Design Manual (Section 855) provides corrosion requirements for roadway structures (e.g., culverts, signs) for a 50-year design life (Caltrans, 2010). | Design Engineer | Design | | | | |
| GEO-5** | The project engineer shall request a Materials Report in the early stage of PS&E. The report shall include the results of field tests and sampling for corrosion (i.e., pH, sulfate, chloride, and minimum resistivity) for use in recommending culvert materials and concrete mix designs. Sampling and testing shall be performed in accordance with Caltrans Corrosion Guidelines (2003 or latest). | Design Engineer | Design | | | | |
| GEO-6** | In general, earthwork should be performed in accordance with Sections 6 and 19 of the Caltrans Standard Specifications. The new construction will have to be carefully planned to protect the many existing utilities in the area. | Resident Engineer | Construction | | | | |
| GEO-7** | Monitoring during construction shall be done by a licensed geologist and engineer to ensure that the construction site was properly characterized by the geotechnical studies and that the project design is in compliance with geotechnical and seismic safety standards and practices included in the final design package. | Resident Engineer | Construction | | | | |
| | PALEONTOLOGY | | | | | | |
| PAL-1** | <p>If auguring or foundation construction will penetrate 5 ft or more into undisturbed sediment, Caltrans shall ensure that a PMP is prepared and adhered to during construction of the portions that are identified as having high paleontological sensitivity. The PMP shall include, but not be limited to, the following instructions:</p> <ul style="list-style-type: none">• A qualified principal paleontologist (MS or PhD in paleontology or geology familiar with paleontological procedures and techniques) will be retained to prepare a Paleontological Mitigation Plan (PMP) following the Caltrans Standard Environmental Reference (SER) if auguring or foundation construction will penetrate 5 ft or more into undisturbed sediment.• The paleontologist will be present to consult with construction contractors at pre-grading meetings.• Paleontological monitoring under the direction of the qualified principal paleontologist will be performed for subsurface construction activities involving sensitive geologic formations.• When fossils are discovered, the paleontologist (or paleontological monitor) will recover them. Construction work in these areas will be halted or diverted to allow recovery of fossil remains in a timely manner.• Fossil remains collected during the monitoring and salvage portion of the mitigation program will be prepared and cataloged.• Prepared fossils, along with copies of all pertinent field notes, photos, and maps will then be deposited in a scientific institution with paleontological collections.• A final report will be completed that outlines the results of the mitigation program. | Design Engineer/ Resident Engineer/ Paleontologist | Design/ Pre-Construction/ Construction/ Post-Construction | | | | |
| | HAZARDOUS MATERIALS | | | | | | |
| HAZ-1** | Prior to completion of the Final Design, sampling for ADL shall be conducted by OCTA within unpaved locations adjacent to the existing roadway ROW within the study area if such locations have not been tested. | OCTA | PS&E | | | | |
| HAZ-2** | Prior to construction, if still present, two 30-gallon open trash bins and two 5 gallon buckets that were dumped in the I-405 northbound shoulder just south of the I-605 interchange shall be removed and properly disposed of by the contractor. | OCTA | Pre-Construction | | | | |
| HAZ-3** | During the construction phase, the upper 2 ft of soil excavated along the I-405 northbound shoulder from the I-605/I-405 connector to approximately 1,000 ft south of the I-605/I-405 connector shall be set aside and tested for TPH (gasoline and diesel) by the contractor before being disposed of or reused at the site. | OCTA | Construction | | | | |
| HAZ-4** | If signs of potential impact (e.g., odors, discolored soil, and any hazardous waste) are observed during construction activity, construction shall cease and the California Department of Transportation's Unknown Procedures for Construction shall be followed. If groundwater is encountered during construction activities, or if construction dewatering is necessary, then sampling and analysis of groundwater shall be conducted to identify the appropriate management and disposal of the groundwater. | Resident Engineer | Construction | | | | |
| | AIR QUALITY | | | | | | |
| AQ-1 | The construction contractor shall comply with Caltrans Standard Specifications Section 14 (2010). Section 14-9.01specifically requires compliance by the contractor with all applicable laws and regulations related to air quality, including air pollution control district and air quality management district regulations and local ordinances. Section 14-9.02 is directed at controlling dust. If dust palliative materials other than water are to be used, material specifications are contained in Section 18. | Design Engineer/ Resident Engineer | Design/ Construction | | | | |
| AQ-2 | The construction contractor shall apply water or dust palliative to the site and equipment as frequently as necessary to control fugitive dust emissions. Fugitive emissions generally must meet a “no visible dust” criterion either at the point of emission or at the ROW line, depending on local regulations. | Resident Engineer | Construction | | | | |
| AQ-3 | The construction contractor shall spread soil binder on any unpaved roads used for construction purposes, and all project construction parking areas. | Resident Engineer | Construction | | | | |
| AQ-4 | The construction contractor shall wash off trucks as they leave the ROW, as necessary, to control fugitive dust emissions. | Resident Engineer | Construction | | | | |
| AQ-5 | The construction contractor shall properly tune and maintain construction equipment and vehicles. | Resident Engineer | Construction | | | | |
| AQ-6 | The construction contractor shall use low-sulfur fuel in all construction equipment as provided in CCR Title 17, Section 93114. | Resident Engineer | Construction | | | | |

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| AQ-7 | The construction contractor shall develop a dust control plan documenting sprinkling, temporary paving, speed limits, and expedited re-vegetation of disturbed slopes as needed to minimize construction impacts to existing communities. | Resident Engineer | Construction | | | | |
| AQ-8 | The construction contractor shall locate equipment and materials storage sites as far away from residential and park uses as practical. Construction areas shall be kept clean and orderly. | Resident Engineer | Construction | | | | |
| AQ-9 | The construction contractor shall establish environmentally sensitive areas for sensitive air receptors within which construction activities involving extended idling of diesel equipment would be prohibited, to the extent that is feasible. | Resident Engineer | Construction | | | | |
| AQ-10 | The construction contractor shall use track-out reduction measures, such as gravel pads, at project access points to minimize dust and mud deposits on roads affected by construction traffic. | Resident Engineer | Construction | | | | |
| AQ-11 | The construction contractor shall cover all transported loads of soils and wet materials prior to transport, or provide adequate freeboard (space from the top of the material to the top of the truck) to reduce PM ₁₀ and deposition of PM during transportation. | Resident Engineer | Construction | | | | |
| AQ-12 | The construction contractor shall remove dust and mud that are deposited on paved, public roads due to construction activity and traffic to decrease PM. | Resident Engineer | Construction | | | | |
| AQ-13 | The construction contractor shall route and schedule construction traffic to avoid peak travel times as much as possible to reduce congestion and related air quality impacts caused by idling vehicles along local roads. | Resident Engineer | Construction | | | | |
| AQ-14 | The construction contractor shall install mulch or plant vegetation as soon as practical after grading to reduce windblown particulate in the area. | Resident Engineer | Construction | | | | |
| AQ-15 | When hauling material and operating non-earthmoving equipment, the contractor shall prevent spillage, and limit speeds including those of earth moving equipment. | Resident Engineer | Construction | | | | |
| AQ-16 | The contractor shall minimize use, trips, and unnecessary idling of heavy equipment. | Resident Engineer | Construction | | | | |
| AQ-17 | The contractor shall maintain and tune engines per manufacturer's specifications to perform at United States Environmental Protection Agency (USEPA) certification levels, where applicable. | Resident Engineer | Construction | | | | |
| AQ-18 | The contractor shall prohibit any tampering with engines and require continuing adherence to manufacturer's recommendations. | Resident Engineer | Construction | | | | |
| AQ-19 | For on-highway vehicles used for this project, contractors are encouraged to meet or exceed the USEPA exhaust emissions standards for model year 2010 and newer heavy-duty on-highway compression-ignition engines (e.g., long-haul trucks, refuse haulers, shuttle buses, etc.). | Resident Engineer | Construction | | | | |
| AQ-20 | For non-road vehicles & equipment used for this project, contractors are encouraged to meet or exceed the USEPA Tier 4 exhaust emissions standards for heavy-duty non-road compression-ignition engines (e.g., construction equipment, non-road trucks, etc.). | Resident Engineer | Construction | | | | |
| AQ-21 | Contractors are encouraged to demonstrate and deploy heavy-duty technologies that exceed the latest USEPA emission performance standards for the equipment categories that are relevant for this project (e.g., plug-in hybrid-electric vehicles-PHEVs, battery-electric vehicles BEVs, fuel cell electric vehicles-FCEVs, etc.). | Resident Engineer | Construction | | | | |
| AQ-22 | Contractors shall prepare an inventory of all equipment prior to construction. | Resident Engineer | Construction | | | | |
| AQ-23 | The construction traffic management plan will be followed to maintain traffic flow in order to reduce emissions. | Resident Engineer | Construction | | | | |
| AQ-24 | Caltrans and OCTA will identify where implementation of mitigation measures is rejected based on economic infeasibility. | Resident Engineer | Construction | | | | |
| AQ-25 | The construction contractor shall route and schedule construction traffic to avoid peak travel times as much as possible to reduce congestion and related air quality impacts caused by idling vehicles along local roads. | Resident Engineer | Construction | | | | |
| AQ-26 | The construction contractor shall install mulch or plant vegetation as soon as practical after grading to reduce windblown particulate in the area. | Resident Engineer | Construction | | | | |
| AQ-27 | Encourage the use of lighting systems that are energy efficient, such as LED technology. | Resident Engineer | Construction | | | | |
| AQ-28 | Encourage the use of lighter-colored pavement where feasible. | Resident Engineer | Construction | | | | |
| AQ-29 | Encourage the use of appropriate recycle construction debris to the maximum extent feasible; all of the AC and PCC pavement and concrete structures removed will be ground up and reused as base. Steel such as MBGR, reinforcing in structures and sign panels to name a few would be recycled by the contractor for their salvage value. The project will also use a great deal of rubberized AC to meet the State's requirement for tire recycling. | Resident Engineer | Construction | | | | |
| AQ-30 | Encourage the use of cement blended with the maximum feasible amount of fly ash or other materials that reduce GHG emissions from cement production. | Resident Engineer | Construction | | | | |
| | NOISE | | | | | | |
| NOI-1 | Design and install noise barriers at the locations as recommended in the NADR, as shown for the build alternatives in Appendix N, Sections N2, N3, and N4. | Design Engineer/ Resident Engineer | Design/ Construction | | | | |
| NOI-2 | Sound control shall conform to the provisions in Section 14-8.02, "Noise Control," of the Standard Specifications. According to requirements of this specification, construction noise cannot exceed 86 dBA at 50 ft from the jobsite activities from 9:00 p.m. to 6:00 a.m. | Resident Engineer | Construction | | | | |

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| NOI-3 | All internal combustion engines shall be equipped with the manufacturer-recommended muffler. An internal combustion engine cannot be operated on the jobsite without the appropriate muffler. | Resident Engineer | Construction | | | | |
| NOI-4 | The contractor shall prepare a Noise and Vibration Monitoring and Mitigation Plan by a qualified Acoustical Engineer and submit it for approval. The Plan must outline noise and vibration monitoring procedures at predetermined noise and vibration sensitive sites, as well as historic properties. The Noise and Vibration Monitoring and Mitigation Plan also must include calculated noise and vibration levels for various construction phases and mitigation measures that would be needed to meet the project specifications. The contractor shall not start any construction work or operate any noise-generating construction equipment at the construction site before approval of the Noise and Vibration Monitoring and Mitigation Plan. The Noise and Vibration Monitoring and Mitigation Plan must be updated every three3 months or sooner if there are any changes to the construction activities. | OCTA/ Resident Engineer | Pre-Construction/ Construction | | | | |
| NOI-5 | <p>It is predicted that construction activities that use vibratory compaction rollers and pile drivers could cause some human annoyance impacts. There are cases where it may be necessary to use this type of equipment in close proximity to residential and commercial buildings. The following are procedures that could be used to minimize the potential for human annoyance from construction vibration:</p> <ul style="list-style-type: none">• Conduct vibration monitoring during vibration-intensive activities.• Properly maintain all motorized equipment in a state of good repair to limit wear-induced vibration.• Where feasible, avoid the use of impact -type pile driving near residences; instead use drilled piles or the use of a sonic or vibratory pile driver, which cause lower vibration levels (where the geological conditions permit their use).• When there is a possibility of human annoyance from construction activities, such as the operation of vibratory rollers, absent urgent and unexpected circumstances, conduct such activity only during weekday daytime hours when the ambient background noise and vibration is higher and many residents are away from their homes at work.• Develop a phasing plan so that high vibration -generating activities do not occur within the same time period isn close proximity to each other, to the maximum extent practicable. <p>Avoid the use of large vibratory rollers and packers near sensitive areas, when possible, and use smaller equipment with smaller lifts.</p> | OCTA/ Resident Engineer | Construction | | | | |
| | BIOLOGICAL ENVIRONMENT | | | | | | |
| BIO-1 | Prior to clearing or construction, highly visible barriers (e.g., orange construction fencing) will be installed around riparian/riverine vegetation adjacent to the project footprint to designate Environmentally Sensitive Areas (ESA) to be preserved. No grading or fill activity of any type will be permitted within these ESAs. In addition, heavy equipment, including motor vehicles, will not be allowed to operate within the ESAs. All construction equipment will be operated in a manner to prevent accidental damage to nearby preserved areas. No structure of any kind, or incidental storage of equipment or supplies, will be allowed within these protected zones. Silt fence barriers will be installed at the ESA boundary to prevent accidental deposition of fill material in areas where vegetation is immediately adjacent to planned grading activities. | Design Engineer/ OCTA/ Resident Engineer | Design/ Pre-Construction/ Construction | | | | |
| BIO-2 | During Design, Caltrans/OCTA shall consult with the appropriate responsible resource agency (e.g., CDFG, USACE, and RWQCB) to verify delineation results, determine permanent losses and temporary impact areas, and identify compensatory mitigation, as applicable. Prior to undertaking ground-disturbing activities within or immediately adjacent to any aquatic resource areas, OCTA and/or their consultant shall obtain all obligatory discretionary permits/authorizations. | Caltrans Biologist/ Resident Engineer | PA/ED/ Pre-Construction | | | | |
| BIO-3 | Prior to clearing or construction, highly visible barriers (e.g., orange construction fencing) will be installed around jurisdictional areas and designated as Environmentally Sensitive Areas (ESA) to be preserved. ESAs will extend from the end of the permitted area to the edge of the construction footprint (within existing and proposed ROW and also within any temporary construction easements) to preserve all other waters of the U.S./State that are not otherwise permitted in accordance with BIO-3. | Design Engineer/ OCTA / Biologist/ Resident Engineer | Design/ Pre-Construction | | | | |
| BIO-4 | Although no special status plant species were observed during preliminary surveys, pre-construction special status plant surveys will be conducted prior to any ground disturbing activities. | Design Engineer/ OCTA / Biologist/ Resident Engineer | Design/ Construction | | | | |
| BIO-5 | To avoid impacts to nesting birds, any native vegetation removal or tree (i.e., native or exotic) trimming activities will occur outside of the nesting bird season (February 15 through August 31). If vegetation clearing is necessary during the nesting season, a qualified biologist will conduct a preconstruction survey to identify the locations of nests. Should nesting birds be found, an exclusionary buffer will be established by the biologist. This buffer shall be clearly marked in the field by construction personnel under guidance of the biologist, and construction or clearing will not be conducted within this zone until the biologist determines that the young have fledged or the nest is no longer active. | Design Engineer/ OCTA / Biologist/ Resident Engineer | Design/ Construction | | | | |
| BIO-6 | To ensure that any owls that may occupy the site are not affected by construction activities, preconstruction burrowing owl surveys and potential owl relocation will be required prior to any phase of construction. These preconstruction surveys are also required to comply with the MBTA and the California Fish and Game Code. If any of the preconstruction surveys determine that the species is | OCTA/ Biologist/ | Pre-Construction/ Construction | | | | |

*The implementing agency will be responsible subject to any changes resulting from a future cooperative agreement(s) between OCTA and Caltrans.

**Mitigation for Potentially Significant Impacts and Less than Significant with Mitigation under CEQA.

MITIGATION AND MONITORING REPORTING PROGRAM

I-405 Improvement Project from State Route (SR) 73 to Interstate 605 (I-605) in Orange and Los Angeles Counties, California

| Section and Measure Number | Avoidance, Minimization, and/or Mitigation Measure and Brief Description | Responsible Party* | Timing / Phase | Compliance Action | Verification of Compliance | | Remarks |
|----------------------------|---|---|---------------------------------|-------------------|----------------------------|------|---------|
| | | | | | Initial | Date | |
| | present, one or more of the following measures may be required: (1) avoidance of active nests and surrounding buffer area during construction activities; (2) passive relocation of individual owls; (3) active relocation of individual owls; and (4) preservation of onsite habitat with long-term conservation value for the owl. | Resident Engineer | | | | | |
| BIO-7 | To avoid impacts to raptors, all new highway lighting adjacent to NAVWPNSTA Seal Beach shall not contain features that allow for raptor perches, as feasible. | OCTA/ Resident Engineer | Construction | | | | |
| BIO-8 | To avoid impacts to migratory birds at the Seal Beach National Wildlife Refuge, all new highway lighting adjacent to NAVWPNSTA Seal Beach shall be directed down towards the highway itself. | Design Engineer/ OCTA / Biologist/ Resident Engineer | Design/ Construction | | | | |
| BIO-9 | <p>A qualified bat biologist shall conduct a preconstruction bat habitat suitability assessment to determine if the construction area contains potential bat habitat within the project footprint or immediate surroundings, including roosting sites, foraging sites, and/or maternity colonies. The surveys shall include a combination of inspection, sampling, exit counts, and acoustic surveys. The survey shall be completed in June or at a time determined appropriate by a qualified bat biologist prior to construction, because maternity roosts are generally formed in late spring.</p> <p>If occupied or historic roosting sites, foraging sites, and/or maternity colonies are identified during the preconstruction bat habitat suitability assessment, construction activities shall not be initiated at the location until the bats have been excluded from the location, using CDFGCDFW-approved exclusion devices, and the qualified bat biologist certifies the location bat free. All exclusion activities will be coordinated with CDFG CDFW and completed under the supervision of a qualified bat biologist. Once installed, exclusion devices will be maintained throughout the duration of the construction activities or until construction at the location is deemed complete and bat use is again acceptable.</p> <p>If maternity sites are identified during the preconstruction bat habitat suitability assessment, no construction activities at the location containing the maternity roost will be allowed during the maternity season (April 1 through July 30), unless a qualified bat biologist has determined that young have been weaned. If present, and it is anticipated that construction activities cannot be completed outside of the maternity season, then bat exclusion at maternity roost sites shall be completed either as soon as allowed by the qualified bat biologist after the young have been weaned or outside of the maternity season, prior to initiating construction activities or as otherwise approved by the qualified bat biologist in coordination with CDFGW.</p> | Design Engineer/ OCTA / Biologist/ Resident Engineer | Design/ Pre-Construction | | | | |
| BIO-10 | <p>In compliance with EO 13112, weed control will be performed to minimize the importation of nonnative plant material during and after construction. Eradication strategies will be employed should an invasion occur. Measures addressing invasive species abatement and eradication will be included in the project design and contract specifications. These measures may include, but not be limited to:</p> <ul style="list-style-type: none">• During design phase, the landscape pallet will be sent and reviewed by the Caltrans biologist.• All construction site BMPs from the SWPPP will be followed.• During construction, all construction equipment will be cleaned of mud or other debris that may contain invasive plants and/or seeds and will be inspected to reduce the potential of spreading noxious weeds before mobilizing to arrive at the site and before leaving the site. This will be included in project provisions.• After construction, affected areas adjacent to native vegetation will be revegetated with plant species native to the southern California region approved by the Caltrans District Biologist. <p>After construction, all revegetated areas will be prohibited from the use of species listed in the Cal-IPC California Invasive Plant Inventory that have a high or moderate rating.</p> | Design Engineer/ OCTA / Biologist/ Resident Engineer | Design/ Construction | | | | |

*The implementing agency will be responsible subject to any changes resulting from a future cooperative agreement(s) between OCTA and Caltrans.

**Mitigation for Potentially Significant Impacts and Less than Significant with Mitigation under CEQA.