



**Measure M Taxpayer Oversight Committee**  
550 S. Main Street, Orange CA, Room 07  
June 13, 2017 @ 5:00 p.m.

**AGENDA**

- 1. Welcome**
- 2. Pledge of Allegiance**
- 3. Approval of Minutes/Attendance Report for April 11, 2017**
- 4. Subcommittee Selection**
- 5. Action Items**
  - A. M2 Quarterly Revenue & Expenditure Report (March 17)  
Receive and File - Sean Murdock, Director, Finance and Administration
- 6. Presentation Items**
  - A. Project V Community-Based Transit Circulators Program Ridership Report  
Presentation - Sam Kaur, Section Manager Local Programs
  - B. Comprehensive Transportation Funding Programs Update  
Presentation - Sam Kaur, Section Manager Local Programs
  - C. OC Streetcar Update  
Presentation - Jim Beil, Executive Director, Capital Programs
  - D. Measure M2 Quarterly Progress Report for the Period of January 2017 Through March 2017  
Presentation - Tamara Warren, Measure M Program Manager
- 7. OCTA Staff Updates (5 minutes each)**
  - I-405 Funding Update - Andrew Oftelie, Executive Director, Finance and Administration
  - Other
- 8. Audit Subcommittee Report**
- 9. Environmental Oversight Committee Report**
- 10. Committee Member Reports**
- 11. Public Comments\***
- 12. Adjournment**

*The next meeting will be held on August 8, 2017*

\*Public Comments: At this time, members of the public may address the Taxpayer 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

<u>Staff Report Title</u>	<u>Board Meeting Date</u>
1. <b>Fiscal Year 2017-18 Measure M2 Maintenance of Effort Adjustment and Updates to the Eligibility and Local Signal Synchronization Plan Guidelines</b>	<b>April 10, 2017</b>
2. <b>First Quarter 2017 Debt and Investment Report</b>	<b>April 24, 2017</b>
3. <b>Taxpayer Oversight Committee Measure M Annual Public Hearing Results and Compliance Findings</b>	
4. <b>Capital Programs Division - Third Quarter Fiscal Year 2016-17 Capital Action Plan Performance Metrics</b>	<b>May 8, 2017</b>
5. <b>Measure M2 Eligibility Review Recommendations for Fiscal Year 2015-16 Expenditure Reports and City of San Juan Capistrano's Maintenance of Effort Benchmark</b>	
6. <b>Rail Programs and Facilities Engineering Quarterly Report</b>	<b>May 22, 2017</b>

\*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 Taxpayer Oversight Committee**  
**Orange County Transportation Authority**  
**550 S. Main Street, Orange CA, Room 07**  
**April 11, 2017 @ 6:00 p.m.**

**MEETING MINUTES**

**Committee Members Present:**

Richie Kerwin Lim, First District Representative  
Anthony Villa, First District Representative  
Margie Drilling, Second District Representative  
Alan P. Dubin, Second District Representative  
Eugene Fields, Third District Representative  
Dr. Ronald T. Randolph, Third District Representative, Co-Chairman  
Stanley F. Counts, Fourth District Representative  
Guita Sharifi, Fifth District Representative

**Committee Member(s) Absent:**

Eric Woolery, Orange County Auditor-Controller, Co-Chairman  
Sony Soegiarto, Fourth District Representative  
Matt McGuinness, Fifth District Representative

**Orange County Transportation Authority Staff Present:**

Julianne Brazeau, Public Reporter Specialist  
May Hout, Senior Transportation Funding Analyst  
Sam Kaur, Section Manager, Local Programs  
Kia Mortazavi, Executive Director, Planning  
Sean, Murdock, Director, Finance & Administration  
Andrew Oftelie, Executive Director, Finance & Administration  
Alice Rogan, Director, Marketing & Public Outreach  
Tamara Warren, Program Manager, M Program Management Office

**1. Welcome**

Co-Chairman Dr. Ronald Randolph welcomed everyone to the Orange County Transportation Authority (OCTA) Taxpayer Oversight Committee (TOC) meeting and Annual Public Hearing at 6:01 p.m.

**2. Pledge of Allegiance**

Co-Chairman Dr. Ronald Randolph led the Pledge of Allegiance to the Flag.

**3. Measure M Annual Public Hearing**

**A. Overview of Taxpayer Oversight Committee**

Dr. Ronald Randolph gave an overview of TOC responsibilities. TOC members introduced themselves. Dr. Randolph also provided an overview of Measure M2 as it pertains to the TOC.

**B. Review of the 2016 Taxpayer Oversight Committee Actions**

Dr. Ronald Randolph described the foundations of the TOC. Activities include: Review of FY 2016 Local Transportation Authority (LTA) Audit Results, review of Measure M Quarterly Revenue and Expenditures Forecast Summary Report, approving an amendment to Measure M2 investment program.

**C. Local Eligibility Subcommittee Report**

Stanley Counts, Chair of the Annual Eligibility Subcommittee, provided a review of committee responsibilities and findings. All cities were reviewed and found to be in compliance.

**D. Audit Subcommittee Report**

Margie Drilling, Chair of the Audit Subcommittee, introduced the Audit Subcommittee members and reviewed their responsibilities and findings.

**E. Public Comments**

There were no public comments.

**F. Adjournment of Public Hearing**

The Measure M Taxpayer Oversight Committee Public Hearing adjourned at 6:19 p.m.

**4. Approval of the Minutes/Attendance Report for February 9, 2016**

A motion was made by Richie Lim, seconded by Anthony Villa, and carried unanimously to approve the February 14, 2017 TOC Minutes/Attendance report as presented.

**5. Action Items**

**A. 2017 Measure M Annual Hearing Follow-Up and Compliance Findings**

Dr. Ronald Randolph, Co-Chairman, said the compliance finding is based on results of the annual LTA audit, the public hearing and all information the committee has received to date. The Audit Subcommittee has indicated that based on the Audit results presented, that OCTA has acted in compliance for the past year. Dr. Ronald Randolph asked for a motion to find that the OCLTA has been proceeding in accordance with the Renewed Measure M (M2) Transportation Ordinance and Investment Plan for 2016.

A motion was made by Eugene Fields and seconded by Richie Lim. The motion was carried unanimously to approve the April 11, 2017 Measure M Annual Hearing and Compliance Findings report as presented.

**B. Measure M2 Annual Eligibility Review Subcommittee Recommendations for Fiscal Year 2015/2016 Expenditure Reports**

Stanley Counts, Annual Eligibility Review (AER) Subcommittee Chair, reported Measure M2 Ordinance requires all local jurisdictions to satisfy eligibility requirements annually to receive Measure M2 funds. As a part of the FY 2016/17

Eligibility review, the TOC AER subcommittee reviewed the FY 2015/16 expenditure reports for 35 local jurisdictions.

The AER Subcommittee recommendations for full committee consideration include:

- Approval of the 35 local jurisdictions and the County of Orange's annual expenditure reports and find them eligible to receive Measure M2 revenues for FY 2016/17.
- Refer discussion to TOC Audit Subcommittee for further review of Maintenance of Effort (MOE) administration costs for the Cities of Aliso Viejo, Newport Beach, Seal Beach, Stanton and Westminster.
- Recommend to the Taxpayer Oversight Committee Audit Subcommittee that City of San Juan Capistrano's Senior Mobility Program be considered for audit next year.
- Direct OCTA staff to communicate concerns to the City of Rancho Santa Margarita regarding the Maintenance of Effort benchmark reported as actual expenditures.

Upon approval, recommendations from the TOC and OCTA staff will be presented to the OCTA Regional Planning and Highways Committee on May 1, 2017 and the Board of Directors for approval on May 8, 2017.

A motion was made by Stanley Counts and seconded by Alan Dubin. The motion was carried unanimously to approve the Local Jurisdictions 2015/16 Expenditure Reports – Eligibility Findings by the AER Subcommittee.

## **6. Presentation Items**

### **A. Regional Traffic Signal Synchronization Program**

Kia Mortazavi, Executive Director of Planning, reported on the Regional Traffic Signal Synchronization Program.

Margie Drilling asked why Pacific Coast Highway (PCH) is not included in the plan. Kia Mortazavi said PCH is controlled by the State of California. He said small portions of the highway are operated by cities and OCTA is working with them along with Caltrans to improve safety and signal synchronization.

Margie Drilling asked if the re-timing is done by OCTA or the local jurisdictions. Kia Mortazavi said it varies. He said sometimes local jurisdictions request OCTA take the lead especially when there are multiple jurisdictions involved.

Eugene Fields asked if there are any savings involved, like road wear and tear, due to the better traffic flow. Kia Mortazavi said there is not any savings because there is still the same wear and tear on roads, due to the same volume of vehicles and weight passing over the pavement.

Richie Lim asked how many more signals are projected to be re-timed or synchronized. Kia Mortazavi said OCTA's target is to complete a 750 mile grid.

Richie Lim asked if there would be excess revenue in the Signal Synchronization Program, since technology is getting better and most of the roads have already been synchronized. Kia Mortazavi said there is always need for new fiber, software and hardware. He said the equipment wears out quicker than the actual street. He also said Measure M has firewalls built in, so even if there was excess revenue within this project, it would still have to be used within the Streets and Roads Program.

Richie Lim said he read a provision in the Measure M Ordinance that allowed change of funds allocations, but it needs to be made-up during the duration of the Measure. Kia Mortazavi said funds can only be moved within each of the four modes. He said, for example, if money were to be taken out of the Streets and Roads Mode and given to the Freeway Mode, it would need to go back to the voters.

Richie Lim asked if the authors of the Measure M Ordinance allocated four percent to Signal Synchronization because they foresaw the need for hardware upgrades. Kia Mortazavi said yes, everything was taken into consideration and the numbers were developed with the overall program in mind.

Kia Mortazavi said every 10 years the programs are re-evaluated. He said during the first 10 years the program was successful. If during the second 10 years there are excess funds in the Signal Synchronization Program, then funds could be moved to street widening or something else within the Streets and Roads Mode.

Dr. Ronald Randolph asked if each jurisdiction controls their own signal synchronization. Kia Mortazavi said each local jurisdiction controls their own signal synchronization and they have the operational liability of the synchronization. He said OCTA helps to develop the plan among cities.

Margie Drilling asked how some intersections give priorities to left turners and some do not. Kia Mortazavi said it is the decisions of the city traffic engineers and they look at traffic volumes.

## **7. OCTA Staff Updates**

- Measure M2 Environmental Cleanup Program – Kia Mortazavi, Executive Director of Planning, presented a brief update on the Measure M2 Environmental Cleanup Program.

Guita Sharifi asked if OCTA manages sludge and the smell, specifically in the Balboa area. Kia Mortazavi said the cities handle that with the guidance of the Coast Commission.

Guita Sharifi asked if the 20 percent cash match could come from other funding sources. Kia Mortazavi said any source could be used.

- Other – Alice Rogan, Director of Marketing & Public Outreach, announced the beginning of the TOC member recruitment. There is an open position in the Second District and Third District.

Alice Rogan shared some of the Measure M materials. She said if committee members need materials to hand out to their constituents, please contact her.

#### **8. Environmental Oversight Committee (EOC) Report**

Anthony Villa gave a brief update. He said the Conservation Plan was approved by the OCTA Board of Directors last November and all final documents and permits are expected to be finalized in May. He said OCTA staff has initiated a pilot docent program for the equestrian events taking place on the Ferber Ranch Preserve. OCTA is partnering with a local equestrian group and has given them permission to access the property without OCTA staff present during scheduled equestrian events. OCTA staff looks forward to expanding their partnership with this group. He also announced that the first of 11 OCTA-funded restoration projects was completed in January. The Laguna Canyon Foundation's Big Bend Restoration Project was funded by OCTA and went from an abandoned piece of land to four acres of lush terrain filled with native plants like Coast Live Oak and California Sycamore. The 11 restoration projects were funded to remove invasive plant species and restore about 400 acres of preserved open space lands to their native habitat throughout Orange County.

#### **9. Committee Member Reports**

Eugene Fields said he drove to and from Phoenix and used the new Express Lanes through Corona. He said it was very nice to have the lanes open. He also noticed Phoenix did not have as good of signal synchronization as Orange County.

#### **10. Public Comments**

There were no Public Comments.

#### **11. Adjournment**

The Measure M Taxpayer Oversight Committee meeting adjourned at 6:58 p.m. The next meeting will be held on June 13, 2017.

# Taxpayer Oversight Committee Fiscal Year 2016-2017 Attendance Record



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

Meeting Date	12-Jul	9-Aug	13-Sep	11-Oct	8-Nov	13-Dec	10-Jan	14-Feb	14-Mar	11-Apr	9-May	13-Jun	
Stanley F. Counts		X		X		M E E T I N G  C A N C E L E D		X		X			
Margie Drilling		X		X				E			X		
Alan Dubin		X		X				X			X		
Eugene Fields		X		X				X			X		
Richie Kerwin Lim		X		X				X			X		
Matt McGuinness		X		E				X			*		
Ronald Randolph		E		X				X			X		
Guita Sharifi		X		X				X			X		
Sony Soegiarto		E		E				E			*		
Anthony Villa		X		X				X			X		
Eric Woolery		E		X				E			*		

### Absences Pending Approval

<u>Meeting Date</u>	<u>Name</u>	<u>Reason</u>
4/11/17	Matt McGuinness	Work Schedule Conflict
4/11/17	Sony Soegiarto	Personal
4/11/17	Eric Woolery	Personal

*Action  
Items*





**Measure M2**  
**Schedule of Revenues, Expenditures and Changes in Fund Balance**  
**as of March 31, 2017**  
**(Unaudited)**

(\$ in thousands)	Quarter Ended Mar 31, 2017	Year to Date Mar 31, 2017 (A)	Period from Inception to Mar 31, 2017 (B)
<b>Revenues:</b>			
Sales taxes	\$ 71,287	\$ 230,688	\$ 1,680,997
Other agencies' share of Measure M2 costs:			
Project related	29,790	57,019	533,214
Non-project related	34	49	488
Interest:			
Operating:			
Project related	36	36	38
Non-project related	1,724	5,142	22,224
Bond proceeds	3,239	6,482	42,479
Debt service	17	31	107
Commercial paper	-	-	393
Right-of-way leases	(6)	83	897
Proceeds on sale of assets held for resale	6,804	6,804	6,804
Miscellaneous:			
Project related	-	-	270
Non-project related	-	-	100
Total revenues	<u>112,925</u>	<u>306,334</u>	<u>2,288,011</u>
<b>Expenditures:</b>			
Supplies and services:			
State Board of Equalization (SBOE) fees	920	2,700	18,588
Professional services:			
Project related	10,820	21,699	294,548
Non-project related	518	1,219	16,262
Administration costs:			
Project related	2,132	6,394	50,934
Non-project related :			
Salaries and Benefits	591	1,774	19,214
Other	1,170	3,510	30,148
Other:			
Project related	3,062	3,126	4,804
Non-project related	3	23	3,823
Payments to local agencies:			
Project related	42,955	90,911	698,807
Capital outlay:			
Project related	13,687	29,481	575,974
Non-project related	-	-	31
Debt service:			
Principal payments on long-term debt	7,475	7,475	34,560
Interest on long-term debt and commercial paper	10,665	21,336	136,873
Total expenditures	<u>93,998</u>	<u>189,648</u>	<u>1,884,566</u>
Excess of revenues over expenditures	<u>18,927</u>	<u>116,686</u>	<u>403,445</u>
<b>Other financing sources (uses):</b>			
Transfers out:			
Project related	(2,516)	(4,180)	(26,839)
Transfers in:			
Project related	3,471	3,964	79,508
Non-project related	(3,471)	(3,964)	1,973
Bond proceeds	-	-	358,593
Total other financing sources (uses)	<u>(2,516)</u>	<u>(4,180)</u>	<u>413,235</u>
Excess of revenues over expenditures and other sources (uses)	<u>\$ 16,411</u>	<u>\$ 112,506</u>	<u>\$ 816,680</u>

**Measure M2**  
**Schedule of Calculations of Net Revenues and Net Bond Revenues (Debt Service)**  
**as of March 31, 2017**  
**(Unaudited)**

<i>(\$ in thousands)</i>	Quarter Ended Mar 31, 2017 (actual)	Year to Date Mar 31, 2017 (actual)	Period from Inception through Mar 31, 2017 (actual)	Period from April 1, 2017 through March 31, 2041 (forecast)	Total
	<i>(C.1)</i>	<i>(C.1)</i>	<i>(D.1)</i>	<i>(E.1)</i>	<i>(F.1)</i>
<b>Revenues:</b>					
Sales taxes	\$ 71,287	\$ 230,688	\$ 1,680,997	\$ 12,480,077	\$ 14,161,074
Operating interest	1,724	5,142	22,224	199,182	221,406
Subtotal	<u>73,011</u>	<u>235,830</u>	<u>1,703,221</u>	<u>12,679,259</u>	<u>14,382,480</u>
Other agencies share of M2 costs	34	49	488	-	488
Miscellaneous	-	-	100	-	100
Total revenues	<u>73,045</u>	<u>235,879</u>	<u>1,703,809</u>	<u>12,679,259</u>	<u>14,383,068</u>
<b>Administrative expenditures:</b>					
SBOE fees	920	2,700	18,588	187,276	205,864
Professional services	518	1,219	12,486	85,519	98,005
Administration costs :					
Salaries and Benefits	591	1,774	19,214	124,781	143,995
Other	1,170	3,510	30,148	210,247	240,395
Other	3	23	3,823	21,519	25,342
Capital outlay	-	-	31	-	31
Environmental cleanup	993	7,674	25,824	249,562	275,386
Total expenditures	<u>4,195</u>	<u>16,900</u>	<u>110,114</u>	<u>878,904</u>	<u>989,018</u>
Net revenues	<u>\$ 68,850</u>	<u>\$ 218,979</u>	<u>\$ 1,593,695</u>	<u>\$ 11,800,355</u>	<u>\$ 13,394,050</u>
<b>Bond revenues:</b>					
Proceeds from issuance of bonds	\$ -	\$ -	\$ 358,593	\$ 1,450,000	\$ 1,808,593
Interest revenue from bond proceeds	3,239	6,482	42,479	101,604	144,083
Interest revenue from debt service funds	17	31	107	3,881	3,988
Interest revenue from commercial paper	-	-	393	-	393
Total bond revenues	<u>3,256</u>	<u>6,513</u>	<u>401,572</u>	<u>1,555,485</u>	<u>1,957,057</u>
<b>Financing expenditures and uses:</b>					
Professional services	-	-	3,776	12,340	16,116
Bond debt principal	7,475	7,475	34,560	1,768,010	1,802,570
Bond debt and other interest expense	10,665	21,336	136,873	883,282	1,020,155
Other	-	-	-	-	-
Total financing expenditures and uses	<u>18,140</u>	<u>28,811</u>	<u>175,209</u>	<u>2,663,632</u>	<u>2,838,841</u>
Net bond revenues (debt service)	<u>\$ (14,884)</u>	<u>\$ (22,298)</u>	<u>\$ 226,363</u>	<u>\$ (1,108,147)</u>	<u>\$ (881,784)</u>

**Measure M2**  
**Schedule of Revenues and Expenditures Summary**  
**as of March 31, 2017**  
**(Unaudited)**

Project	Description	Net Revenues through Mar 31, 2017	Total Net Revenues	Expenditures through Mar 31, 2017	Reimbursements through Mar 31, 2017	Net M2 Cost
(G)	(H)	(I)	(J)	(K)	(L)	
(\$ in thousands)						
<b>Freeways (43% of Net Revenues)</b>						
A	I-5 Santa Ana Freeway Interchange Improvements	\$ 62,816	\$ 527,928	\$ 5,598	\$ 1,593	\$ 4,005
B	I-5 Santa Ana/SR-55 to El Toro	40,122	337,200	5,947	2,740	3,207
C	I-5 San Diego/South of El Toro	83,799	704,279	95,808	38,067	57,741
D	I-5 Santa Ana/San Diego Interchange Upgrades	34,482	289,799	1,803	527	1,276
E	SR-22 Garden Grove Freeway Access Improvements	16,038	134,790	4	-	4
F	SR-55 Costa Mesa Freeway Improvements	48,916	411,110	7,841	23	7,818
G	SR-57 Orange Freeway Improvements	34,575	290,585	45,292	10,314	34,978
H	SR-91 Improvements from I-5 to SR-57	18,711	157,255	32,972	809	32,163
I	SR-91 Improvements from SR-57 to SR-55	55,665	467,834	17,469	2,353	15,116
J	SR-91 Improvements from SR-55 to County Line	47,072	395,609	6,942	5,294	1,648
K	I-405 Improvements between I-605 to SR-55	143,380	1,205,024	71,062	3,267	67,795
L	I-405 Improvements between SR-55 to I-5	42,728	359,103	6,674	4,802	1,872
M	I-605 Freeway Access Improvements	2,673	22,465	858	16	842
N	All Freeway Service Patrol	20,048	168,488	266	-	266
	Freeway Mitigation	34,264	287,972	50,424	1,710	48,714
	Subtotal Projects	685,289	5,759,441	348,960	71,515	277,445
	Net (Bond Revenue)/Debt Service	-	-	35,752	-	35,752
	<b>Total Freeways</b>	<b>\$ 685,289</b>	<b>\$ 5,759,441</b>	<b>\$ 384,712</b>	<b>\$ 71,515</b>	<b>\$ 313,197</b>
	<b>%</b>					<b>28.4%</b>
<b>Street and Roads Projects (32% of Net Revenues)</b>						
O	Regional Capacity Program	\$ 159,372	\$ 1,339,422	\$ 650,268	\$ 385,120	\$ 265,148
P	Regional Traffic Signal Synchronization Program	63,746	535,745	30,232	4,879	25,353
Q	Local Fair Share Program	286,865	2,410,929	272,709	77	272,632
	Subtotal Projects	509,983	4,286,096	953,209	390,076	563,133
	Net (Bond Revenue)/Debt Service	-	-	39,710	-	39,710
	<b>Total Street and Roads Projects</b>	<b>\$ 509,983</b>	<b>\$ 4,286,096</b>	<b>\$ 992,919</b>	<b>\$ 390,076</b>	<b>\$ 602,843</b>
	<b>%</b>					<b>54.6%</b>
<b>Transit Projects (25% of Net Revenues)</b>						
R	High Frequency Metrolink Service	\$ 146,359	\$ 1,335,858	\$ 162,902	\$ 95,544	\$ 67,358
S	Transit Extensions to Metrolink	140,686	1,182,384	13,286	2,103	11,183
T	Metrolink Gateways	26,501	68,460	98,213	60,956	37,257
U	Expand Mobility Choices for Seniors and Persons with Disabilities	49,495	464,441	46,854	88	46,766
V	Community Based Transit/Circulators	31,865	267,810	2,461	131	2,330
W	Safe Transit Stops	3,517	29,560	198	26	172
	Subtotal Projects	398,423	3,348,513	323,914	158,848	165,066
	Net (Bond Revenue)/Debt Service	-	-	22,208	-	22,208
	<b>Total Transit Projects</b>	<b>\$ 398,423</b>	<b>\$ 3,348,513</b>	<b>\$ 346,122</b>	<b>\$ 158,848</b>	<b>\$ 187,274</b>
	<b>%</b>					<b>17.0%</b>
<b>Measure M2 Program</b>		<b>\$ 1,593,695</b>	<b>\$ 13,394,050</b>	<b>\$ 1,723,753</b>	<b>\$ 620,439</b>	<b>\$ 1,103,314</b>

**Measure M2**  
**Schedule of Revenues and Expenditures Summary**  
**as of March 31, 2017**  
**(Unaudited)**

Project	Description	Revenues through Mar 31, 2017 (H.1)	Total Revenues (I.1)	Expenditures through Mar 31, 2017 (J)	Reimbursements through Mar 31, 2017 (K)	Net M2 Cost (L)
	(G) (\$ in thousands)					
	<b>Environmental Cleanup (2% of Revenues)</b>					
X	Clean Up Highway and Street Runoff that Pollutes Beaches	\$ 34,064	\$ 287,650	\$ 25,823	\$ 292	\$ 25,531
	Net (Bond Revenue)/Debt Service	-	-	-	-	-
	<b>Total Environmental Cleanup</b>	<b>\$ 34,064</b>	<b>\$ 287,650</b>	<b>\$ 25,823</b>	<b>\$ 292</b>	<b>\$ 25,531</b>
	<b>%</b>					<b>1.5%</b>
	<b>Taxpayer Safeguards and Audits</b>					
	Collect Sales Taxes (1.5% of Sales Taxes)	\$ 25,215	\$ 212,416	\$ 18,588	\$ -	\$ 18,588
	<b>%</b>					<b>1.1%</b>
	Oversight and Annual Audits (1% of Revenues)	\$ 17,032	\$ 143,825	\$ 19,214	\$ 2,182	\$ 17,032
	<b>%</b>					<b>1.0%</b>

# *Presentation Items*





COMMITTEE TRANSMITTAL

*June 12, 2017*

**To:** Members of the Board of Directors  
**From:** Laurena Weinert, Clerk of the Board  
**Subject:** Project V Community-Based Transit Circulators Program  
Ridership Report

Transit Committee Meeting of June 8, 2017

**Present:** Directors Do, Jones, Murray, Shaw, and Winterbottom  
**Absent:** Directors Pulido and Tait

**Committee Vote**

This item was passed by the Members present.

**Committee Recommendation**

Receive and file as an information item.



**June 8, 2017**

**To:** Transit Committee

**From:** Darrell Johnson, Chief Executive Officer 

**Subject:** Project V Community-Based Transit Circulators Program Ridership Report

### **Overview**

Measure M2 establishes a competitive program through Project V to fund local transit services that complement regional transit. Since inception, the Orange County Transportation Authority Board of Directors has approved 22 projects for a total \$36.5 million in Project V funds. A ridership report on Project V services in operation today is provided for information purposes.

### **Recommendation**

Receive and file as an information item.

### **Background**

The Community-Based Transit Circulators Program (Project V) is a competitive element under Measure M2 (M2) that provides funding to develop and implement local transit services. Services eligible for this program include community-based circulators, shuttles, trolleys, and demand-responsive services that complement regional bus and rail services, and better suit local needs in areas not adequately served by regional transit. This is a competitive program that provides funding for both capital and operations. Daily services or seasonal/special event shuttles are eligible to compete for funding.

The Orange County Transportation Authority (OCTA) Board of Directors (Board) approved five projects for \$9.8 million in Project V funds in June 2013. The Board subsequently approved \$26.7 million for 17 projects in June 2016. Cities must provide a minimum match of ten percent for the capital costs. M2 Project V contributions towards the operations costs are capped at a maximum of 90 percent of total service cost or \$9 per boarding, whichever is less.



Consistent with the approved Project V Guidelines, Project V-funded services must achieve a performance standard of six passenger boardings per revenue vehicle hour (B/RVH) within the first 12 months of operations, and must achieve the ten B/RVH within the first 24 months of operations, and every year thereafter.

In August 2015, the OCTA Board directed staff to provide ridership reports to the OCTA Transit Committee for active Project V services. This report includes ridership information for the nine projects in operation through April 2017. The remaining projects will be included in the next report as additional services begin.

### ***Discussion***

Through April 2017, nine services were in operation using approved Project V grants (Attachment A). These services include a mixture of special event, fixed-route, and on-demand projects that meet a variety of community needs. On April 30, 2017, the City of Westminster cancelled the Little Saigon shuttle due to low productivity, leaving eight services in operation today.

The special event services are proving especially successful in meeting OCTA's performance standard, particularly when compared to the community fixed-route and other services (see below). Productivity for the special event services ranged from 17 to 23 B/RVH for this reporting period, well exceeding the productivity minimum of ten B/RVH.

However, the fixed-route services are not performing at the same level. For example, the community circulator service in the City of La Habra started in August 2015, was subsequently restructured in August 2016 (to improve productivity), and now must reach a performance target of ten B/RVH by August 2017, in order to continue. The Mission Viejo community circulator started in October 2016 and is required to meet the performance target of six B/RVH by October 2017, and ten B/RVH by October 2018. Both the La Habra and Mission Viejo services are currently under the performance target, and cities should consider route changes and additional marketing efforts that can improve productivity. OCTA staff will continue to monitor these services, as well as meet with staff on ideas and concepts to improve productivity.

The City of San Clemente (City) is providing demand-responsive rideshare services along the same area as formerly served by OCTA bus routes 191 and 193. These two routes were eliminated in October 2016. Since this was the first time for funding and deployment of a project of this nature in Orange County, the Board approved this concept as a pilot program for two years.

On October 9, 2016, the City executed an agreement with LYFT, INC (Lyft) to provide on-demand rideshare services. Unfortunately, the ridership reports provided by Lyft have proven inadequate and lacking relevant details (e.g., drop-off and pick-up locations, etc.). As a result, OCTA staff has expressed concerns as it relates to the data included in the ridership reports provided by Lyft. A letter was sent to the City on April 28, 2017, requesting information that can be used to verify the ridership data provided by Lyft in their reports to the City to support reimbursement. OCTA staff is unable to verify the accuracy of the information absent the requested data and, therefore, did not report the ridership information for this update. Staff will continue to work through the City to obtain the necessary information to verify usage for this service.

The ridership information for the Project V-funded services is provided in Attachment B. Staff will continue to work collaboratively with the local agencies and monitor these services. The next update will be provided to the Board in December 2017.

**Summary**

Current Project V services include a mixture of special event, fixed-route, and on-demand projects. A status report on Project V services is provided for information purposes. The special event services are outperforming the fixed-route services and well-exceeding performance requirements. Information on additional projects services starting later this year will be provided in future reports.

**Attachments**

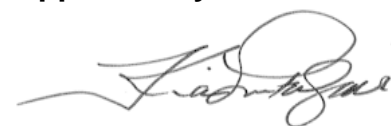
- A. Project V Services - Project Details
- B. Project V Services – Ridership Report

**Prepared by:**



Sam Kaur  
Manager, Measure M Local Programs  
(714) 560-5673

**Approved by:**



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

**Project V Services – Project Details**

City of Dana Point (Dana Point): Project V provided over \$2,456,511 over seven years for the capital and operations cost to provide summer trolley and seasonal shuttle services. Dana Point provides a minimum match of 11 percent for capital improvements that will cover the leasing cost of the vehicles. For the service, Dana Point provides a ten percent match in the first year of service, 20 percent in the second year, and 28.68 percent for the remaining years (fiscal years 2016/17-2021). The maximum that the Orange County Transportation Authority (OCTA) pays is \$8 per passenger for the service. Dana Point began operating Project V services in summer 2015.

City of Huntington Beach (Huntington Beach) Service: Project V provided \$93,287 for the Huntington Beach Holiday and Event Shuttle over seven years. Huntington Beach is paying 30 percent in match, and the service cost is estimated to be \$12,000 per year. Services consist of operating five shuttles on the 4th of July, between 8:00 a.m. and 11:00 p.m., and five shuttles during the U.S. Open Event from 8:00 am to 11:00 pm. This service began operations in July 2015.

City of La Habra (La Habra) Service: OCTA provided \$1,719,839 over seven years in Project V funds for the capital and operations costs, which included the purchase of two buses and related bus stops amenities, including shelters, benches, sidewalks, and curb and gutter ramps. In August 2015, the OCTA Board of Directors (Board) reduced La Habra's Project V funding by \$929,820 due to the cancellation of one of the routes. La Habra provides at least ten percent match for the operating cost. La Habra Express Service started on August 4, 2014, and currently provides weekday service. The service runs within the City of La Habra, with additional stops at St. Jude Medical Center and the Fullerton Transportation Center for approximately 10 hours per day.

La Habra Special Event Shuttle Service: OCTA provided \$96,810 in Project V funds for the City of La Habra Special Event Shuttle services for seven years. La Habra will provide ten percent in match, and service cost is estimated to be approximately \$15,000 per year. Service consists of operating three shuttles for the special Events the City identified in their Project V application. The service operated for the City's Tamale Festival in November 2016.

City of Laguna Beach (Laguna Beach): Project V provided \$3,559,860 for the vehicle purchase and to cover operational cost over seven years. Laguna Beach started this service in 2015. The project provides seasonal service for 24 weekends through the year, and can increase up to 42 weekends based on the demand. This service operates on Fridays from 4:00 p.m. to 11:00 p.m., Saturdays from 9:00 a.m. to 11:00 p.m., and on Sundays from 11:00 a.m. to 8:00 p.m., with six trolleys on a fixed-route. Laguna Beach's match for this project is ten percent for the purchase of trolleys, 42 percent for the first year of service, and then 20 percent for the remaining time period.

## Project V Services – Project Details

City of Lake Forest (Lake Forest): Project V provides \$74,844 over seven years to support vanpool services for Oakley. Service costs are approximately \$12,000 per year, and Lake Forest is providing a minimum match of ten percent. This service, which was implemented in 2015, runs three ten-passenger shuttles to Oakley.

City of Mission Viejo (Mission Viejo) Local Circulator: Project V provides \$3,332,879 over seven years for the capital and operational cost to operate the Mission Viejo Circulator. Mission Viejo provides a minimum match of 30 percent for capital improvements and a minimum ten percent match for the operating costs. On behalf of Mission Viejo, OCTA started operating the service in October 2016. The local community circulator connects Laguna Niguel/Mission Viejo Metrolink Station, The Shops at Mission Viejo, Mission Hospital, Saddleback College, residential areas, community center, and Capistrano Valley High School. This service operates for approximately 12 hours a day during the week Monday through Friday.

City of Westminster (Westminster) Local Circulator: OCTA provided \$3,688,214 to the City of Westminster to operate the Little Saigon Shuttle over a seven year period. OCTA operated the service on behalf of Westminster from October 2016 to May 2017. The circulators traveled in clockwise and counterclockwise directions along Magnolia Street, Bolsa Avenue, Brookhurst Street, and Bishop Place, seven days a week, approximately ten hours per day. The project has been cancelled by Westminster due to the low demand and performance of the route.

City of San Clemente (San Clemente) Rideshare Service: Project V provides \$914,400 to support on demand rideshare services in San Clemente. San Clemente provides a minimum match of ten percent. San Clemente contracted with Lyft to implement a year-round rideshare program. The On Demand Rideshare Program service is provided within 500 feet of Route 191/193 bus stops previously served by OCTA.

**Project V Services - Ridership Report**

<b>Agency</b>	<b>Service Description</b>	<b>Project V Funding</b>	<b>Service Start Year</b>	<b>Boardings Per Revenue Vehicle Hour</b>
Dana Point	Summer Trolley and Seasonal Shuttle	\$ 2,456,511	2015	19
Huntington Beach	Holiday and Event Shuttle	\$ 93,287	2015	18
La Habra	Local Community Circulator	\$ 1,719,839	2015	8
La Habra	Special Event Service	\$ 96,810	2016	17
Laguna Beach	Summer Trolley and Seasonal Shuttle	\$ 3,559,860	2015	32
Lake Forest	Vanpool Shuttle Service	\$ 74,844	2015	10
Mission Viejo	Local Community Circulator	\$ 332,879	2016	3
Westminster <sup>±</sup>	Local Community Circulator	\$ 3,688,214	2016	<2
San Clemente <sup>**</sup>	On-Demand Rideshare	\$ 914,400	2016	--

<sup>±</sup>This service has been cancelled by the City of Westminster due to low productivity

<sup>\*\*</sup> The average ridership for this service cannot be confirmed at this time. Awaiting confirmation from the service provider, Lyft





COMMITTEE TRANSMITTAL

**June 12, 2017**

**To:** Members of the Board of Directors

**From:**  Laurena Weinert, Clerk of the Board

**Subject:** Comprehensive Transportation Funding Programs Semi-Annual Review - March 2017

Regional Planning and Highways Committee Meeting of June 5, 2017

**Present:** Directors Delgleize, Do, Donchak, M. Murphy, and Steel

**Absent:** Directors Nelson and Spitzer

**Committee Vote**

This item was passed by the Members present.


**Committee Recommendation**

Approve adjustments to the Comprehensive Transportation Funding Programs projects and Local Fair Share funds.



**June 5, 2017**

**To:** Regional Planning and Highways Committee

**From:** Darrell Johnson, Chief Executive Officer 

**Subject:** Comprehensive Transportation Funding Programs Semi-Annual Review – March 2017

### **Overview**

The Orange County Transportation Authority recently completed the semi-annual review of projects funded through the Comprehensive Transportation Funding Programs. This process reviews the status of Measure M2 grant-funded projects and provides an opportunity for local agencies to update project information and request project modifications. Recommended project adjustments are presented for review and approval.

### **Recommendation**

Approve adjustments to the Comprehensive Transportation Funding Programs projects and Local Fair Share funds.

### **Background**

The Comprehensive Transportation Funding Programs (CTFP) is the mechanism the Orange County Transportation Authority (OCTA) uses to administer funding for street, road, signal, transit, and water quality projects. The CTFP contains a variety of funding programs and sources, including Measure M2 (M2) revenues and State-Local Partnership Program funds. The CTFP provides local agencies with a comprehensive set of guidelines for administration and delivery of various transportation funding grants.

As needed, OCTA staff meets with representatives from local agencies to review the status of projects and proposed changes in March and September of each year. This process is commonly referred to as the semi-annual review (SAR). The goals of the SAR process are to review project status, determine the continued viability of projects, address local agency concerns, confirm the availability of local match funds, and ensure timely closeout of all projects funded under the CTFP.



***Discussion***

The March 2017 SAR adjustments are itemized in Attachment A and further described in Attachment B. The CTFP adjustments include 17 delays, 27 timely-use of funds extension requests, nine scope changes, and two transfers. These changes affect ten percent of the overall program and 90 percent remains unchanged. In addition, OCTA has received seven timely-use of funds extension requests for Local Fair Share funds.

OCTA staff has identified several reasons for timely-use of funds extensions and other requested changes that include: unforeseen delays in acquiring right-of-way parcels, encroachment permits required from the California Department of Transportation, unanticipated utility conflicts, and additional coordination needed between contractors and participating agencies.

Since the start of M2, OCTA has issued a number of calls for projects and awarded \$369.6 million in competitive funds for the following programs:

- M2 Regional Capacity Program (Project O)
- Traffic Signal Synchronization Program (Project P)
- Environmental Cleanup Program (Project X)
- Community-Based Transit Circulators (Project V)
- Safe Transit Stops (Project W)

Below is a summary of the CTFP allocations using M2 funds, comparing the last SAR changes with the proposed changes in the March 2017 SAR. As of March 2017, 81 percent of project have been initiated or are in some stage of completion. Another 19 percent of the projects will be underway in the next two years.

M2 CTFP Summary				
Project Status	September 2016		March 2017	
	Project Phases	Allocations	Project Phases	Allocations <sup>1</sup> (after adjustments)
Planned <sup>2</sup>	138	\$116.4	101	\$85.4
Started <sup>3</sup>	163	\$151.8	170	\$156.0
Pending <sup>4</sup>	84	\$40.0	75	\$46.5
Completed <sup>5</sup>	157	\$61.4	196	\$81.7
<b>Total Allocations</b>	<b>542</b>	<b>\$369.6</b>	<b>542</b>	<b>\$369.6</b>

1. Allocations in millions, pending Board of Directors approval of the March 2017 SAR.  
 2. Planned - indicates that funds have not been obligated and/or are pending contract award.  
 3. Started - indicates that the project is underway and funds are obligated.  
 4. Pending - indicates that the project work is completed and the final report submittal/approval is pending.  
 5. Completed - indicates that the project work is complete, final report approved, and final payment has been made.

Local agencies started 44 project phases and closed out 39 project phases between September 2016 and March 2017.

**Summary**

OCTA has recently reviewed the status of grant-funded streets and roads projects funded through the CTFP. Staff recommends approval of the project adjustments requested by local agencies including 17 delays, 27 timely-use of funds extension requests, nine scope changes, and two transfers for CTFP projects. In addition, seven timely-use of funds extension requests for Local Fair Share funds are recommended. The next SAR is currently scheduled for September 2017.

**Attachments**

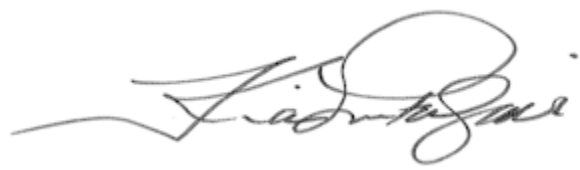
- A. Comprehensive Transportation Funding Programs, March 2017  
Semi-Annual Review Adjustment Requests
- B. Comprehensive Transportation Funding Programs, March 2017  
Semi-Annual Review Adjustment Request Descriptions

Prepared by:



Sam Kaur  
Manager, Measure M2 Local Programs  
(714) 560-5673

Approved by:



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

**Comprehensive Transportation Funding Programs**  
**March 2017 Semi-Annual Review Adjustment Requests**

Delay Requests								
Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Proposed Delay	Proposed FY
Anaheim	15-ANAH-ICE-3764	O	Ball Road and Anaheim Boulevard Intersection	C	FY 2016-17	\$ 2,886,658	24 Months	FY 2018-19
Costa Mesa	16-CMSA-ACE-3803	O	Newport Boulevard Widening (19th Street to Superior Avenue)	E	FY 2016-17	\$ 281,250	24 Months	FY 2018-19
Costa Mesa	16-CMSA-ACE-3804	O	Wilson Street Widening (College Avenue to Fairview Road)	E	FY 2016-17	\$ 281,250	24 Months	FY 2018-19
Costa Mesa	16-CMSA-TSP-3790	P	Fairview Road Signal Synchronization	I	FY 2016-17	\$ 1,629,870	24 Months	FY 2018-19
Costa Mesa	16-CMSA-TSP-3790	P	Fairview Road Signal Synchronization	O&M	FY 2017-18	\$ 65,280	24 Months	FY 2019-20
County of Orange	16-ORCO-ICE-3805	O	Oso Parkway and Antonio Parkway Intersection Improvements	C	FY 2016-17	\$ 792,669	24 Months	FY 2018-19
Irvine	14-IRVN-ICE-3716	O	Jamboree Road and Barranca Parkway Intersection Improvements	C	FY 2016-17	\$ 381,566	24 Months	FY 2018-19
La Habra	16-LHAB-ICE-3809	O	Whittier Boulevard and Hacienda Road Intersection Improvements	C	FY 2016-17	\$ 1,230,548	24 Months	FY 2018-19
La Palma	16-LPMA-ACE-3810	O	La Palma Avenue and Del Amo Boulevard over Coyote Creek Bridge - PA&ED component	E	FY 2016-17	\$ 375,000	24 Months	FY 2018-19
La Palma	16-LPMA-ACE-3810	O	La Palma Avenue and Del Amo Boulevard over Coyote Creek Bridge - PS&E component	E	FY 2018-19	\$ 600,000	24 Months	FY 2020-21
Lake Forest	16-LFOR-CBT-3830	V	Shuttle Service Between Train Station and Oakley	O&M	FY 2016-17	\$ 43,320	24 Months	FY 2018-19
OCTA	15-OCTA-TSP-3774	P	Alicia Parkway Signal Synchronization	O&M	FY 2016-17	\$ 92,800	24 Months	FY 2018-19
OCTA	15-OCTA-TSP-3783	P	Chapman Avenue Corridor Signal Synchronization	O&M	FY 2016-17	\$ 155,200	24 Months	FY 2018-19
OCTA	15-OCTA-TSP-3786	P	Westminster Avenue and 17th Street Corridor Signal Synchronization	O&M	FY 2016-17	\$ 115,200	24 Months	FY 2018-19
Santa Ana	15-SNTA-ACE-3787	O	Bristol Street Widening (Civic Center Drive to Washington Avenue)	C	FY 2016-17	\$ 2,485,597	24 Months	FY 2018-19
Santa Ana	15-SNTA-ACE-3788	O	Bristol Street Widening (Warner Avenue to Saint Andrew Place)	C	FY 2016-17	\$ 5,629,845	24 Months	FY 2018-19
Santa Ana	16-SNTA-ACE-3814	O	Warner Avenue Improvements & Widening (Main Street to Oak Street)	R	FY 2016-17	\$ 5,200,000	24 Months	FY 2018-19
<b>Delays - Total Phase Allocations (17)</b>						<b>\$ 22,246,053</b>		

FY - Fiscal year

C - Construction

E- Engineering

I - Primary implementation

O&M - Operations & maintenance

R - Right-of-way

Project O - Regional Capacity Program

Project P - Regional Traffic Signal Synchronization Program

Project V - Community-Based Transit/Circulators

PA&ED - Project approval and environmental document

PS&E - Plans, specifications, and estimate

OCTA - Orange County Transportation Authority

**ATTACHMENT A**

## Comprehensive Transportation Funding Programs (CTFP)

March 2017 Semi-Annual Review Adjustment Requests

Timely-Use of Funds Extension Requests - Comprehensive Transportation Funding Programs								
Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Proposed Time Extension	Proposed Expenditure Deadline
Anaheim	13-ANAH-ACE-3650	O	Brookhurst Street Widening (Interstate 5 to State Route 91)	R	FY 2013-14	\$ 10,563,632	24 Months	14-May-19
Anaheim	14-ANAH-TSP-3701	P	Anaheim Boulevard Signal Synchronization	I	FY 2014-15	\$ 696,860	24 Months	2-Jun-20
Anaheim	14-ANAH-TSP-3701	P	Anaheim Boulevard Signal Synchronization	O&M	FY 2015-16	\$ 91,080	24 Months	2-Jun-20
Anaheim	14-ANAH-TSP-3705	P	Orangewood Avenue Signal Synchronization (Harbor Boulevard to Batavia Street)	I	FY 2014-15	\$ 615,520	24 Months	16-Jun-20
Anaheim	14-ANAH-TSP-3705	P	Orangewood Avenue Signal Synchronization (Harbor Boulevard to Batavia Street)	O&M	FY 2015-16	\$ 67,808	24 Months	16-Jun-20
Anaheim	15-ANAH-TSP-3765	P	La Palma Avenue Signal Synchronization (Woodland Drive to Chrisden Street)	I	FY 2015-16	\$ 2,313,922	24 Months	17-May-21
Anaheim	15-ANAH-TSP-3765	P	La Palma Avenue Signal Synchronization (Woodland Drive to Chrisden Street)	O&M	FY 2016-17	\$ 204,224	24 Months	17-May-21
County of Orange	14-ORCO-ACE-3727	O	Brea Boulevard and Brea Canyon Road Widening Improvements	E	FY 2014-15	\$ 2,308,500	24 Months	13-Jun-19
County of Orange	14-ORCO-ECP-3739	X	Wagon Wheel Creek Restoration and Stormwater Management	C	FY 2014-15	\$ 1,020,030	24 Months	25-Aug-19
OCTA	13-OCTA-TSP-3663	P	Adams Avenue Signal Synchronization (Lake Street to Fairview Road)	O&M	FY 2014-15	\$ 35,904	24 Months	20-May-19
OCTA	13-OCTA-TSP-3664	P	Antonio Parkway Signal Synchronization (Ortega Highway to Santa Margarita Parkway)	O&M	FY 2014-15	\$ 62,400	24 Months	16-Jun-19
OCTA	13-OCTA-TSP-3665	P	Bake Parkway Signal Synchronization (Irvine Center Drive to Portola Parkway)	I	FY 2013-14	\$ 496,123	24 Months	16-Jun-19
OCTA	13-OCTA-TSP-3665	P	Bake Parkway Signal Synchronization (Irvine Center Drive to Portola Parkway)	O&M	FY 2014-15	\$ 36,480	24 Months	16-Jun-19
OCTA	13-OCTA-TSP-3666	P	Kraemer Boulevard Signal Synchronization	I	FY 2013-14	\$ 2,275,120	24 Months	1-Jun-19
OCTA	13-OCTA-TSP-3666	P	Kraemer Boulevard Signal Synchronization	O&M	FY 2014-15	\$ 158,400	24 Months	1-Jun-19
OCTA	13-OCTA-TSP-3667	P	Newport Avenue and Newport Boulevard Signal Synchronization (North)	I	FY 2013-14	\$ 886,141	24 Months	23-Jun-19
OCTA	13-OCTA-TSP-3667	P	Newport Avenue and Newport Boulevard Signal Synchronization (North)	O&M	FY 2014-15	\$ 59,904	24 Months	23-Jun-19
OCTA	13-OCTA-TSP-3668	P	Newport Boulevard Signal Synchronization (South)	I	FY 2013-14	\$ 1,287,976	24 Months	30-Jun-19
OCTA	13-OCTA-TSP-3668	P	Newport Boulevard Signal Synchronization (South)	O&M	FY 2014-15	\$ 16,620	24 Months	30-Jun-19
OCTA	13-OCTA-TSP-3669	P	Jeronimo Road Signal Synchronization (Lake Forest Drive to Olympiad Road)	O&M	FY 2014-15	\$ 28,800	24 Months	20-May-19
OCTA	13-OCTA-TSP-3671	P	Trabuco Road Signal Synchronization (Paseo Sombra to Marguerite Parkway)	O&M	FY 2014-15	\$ 26,880	24 Months	11-Apr-19
OCTA	13-OCTA-TSP-3670	P	State College Boulevard Signal Synchronization (Via Burton to Garden Grove Boulevard)	I	FY 2013-14	\$ 895,979	24 Months	1-Jun-19

## Comprehensive Transportation Funding Programs (CTFP)

### March 2017 Semi-Annual Review Adjustment Requests

Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Proposed Time Extension	Proposed Expenditure Deadline
OCTA	13-OCTA-TSP-3670	P	State College Boulevard Signal Synchronization (Via Burton to Garden Grove Boulevard)	O&M	FY 2014-15	\$ 145,600	24 Months	1-Jun-19
Santa Ana	13-SNTA-ACE-3658	O	Warner Avenue Widening (Main Street to Oak Street)	E	FY 2013-14	\$ 323,775	24 Months	30-Apr-19
Santa Ana	14-SNTA-TSP-3710	P	Harbor Boulevard Corridor Signal Synchronization	I	FY 2014-15	\$ 1,769,520	24 Months	21-Apr-20
Santa Ana	14-SNTA-TSP-3710	P	Harbor Boulevard Corridor Signal Synchronization	O&M	FY 2015-16	\$ 82,560	24 Months	21-Apr-20
Seal Beach	13-SBCH-TSP-3673	P	Seal Beach TMC Relocation and Fiber Optic Bridge Gap	I	FY 2013-14	\$ 500,320	12 Months	14-Apr-18
<b>CTFP Timely-Use of Funds Extensions (27) - Total Phase Allocations</b>						<b>\$ 26,970,078</b>		

FY - Fiscal year

C - Construction

E- Engineering

I- Primary implementation

O&M - Operations and maintenance

R - Right of Way

Project O - Regional Capacity Program

Project P - Regional Traffic Signal Synchronization Program

Project X - Environmental Cleanup Program

**Comprehensive Transportation Funding Programs**  
**March 2017 Semi-Annual Review Adjustment Requests**

<b>Timely-Use of Funds Extension Request(s) - LFS</b>							
<b>Agency</b>	<b>Project Number</b>	<b>Project</b>	<b>Project Title</b>	<b>Phase</b>	<b>Current FY</b>	<b>Proposed Allocation Extension</b>	<b>Proposed Time Extension</b>
Aliso Viejo	N/A	Q	Several City Projects	N/A	FY 2013-14	\$ 287,940	24 Months
Aliso Viejo	N/A	Q	Several City Projects	N/A	FY 2014-15	\$ 99,083	24 Months
Santa Ana	N/A	Q	Several City Projects	N/A	FY 2013-14	\$ 710,483	24 Months
Santa Ana	N/A	Q	Several City Projects	N/A	FY 2014-15	\$ 690,832	24 Months
Stanton	N/A	Q	Several City Projects	N/A	FY 2013-14	\$ 137,701	12 Months
Stanton	N/A	Q	Several City Projects	N/A	FY 2014-15	\$ 74,989	12 Months
Yorba Linda	N/A	Q	Several City Projects	N/A	FY 2014-15	\$ 135,735	24 Months
<b>LFS-Timely Use of Funds Extensions - Total Phase Allocations</b>						<b>\$ 2,136,763</b>	

LFS - Local Fair Share

FY - Fiscal year

N/A - Not applicable

Project Q - Local Fair Share Program

**Comprehensive Transportation Funding Programs**  
**March 2017 Semi-Annual Review Adjustment Requests**

<b>Scope Change Requests</b>						
<b>Agency</b>	<b>Project Number</b>	<b>Project</b>	<b>Project Title</b>	<b>Phase</b>	<b>Current FY</b>	<b>Current Allocation</b>
County of Orange	16-ORCO-ECP-3850	X	Trash Booms Phase I	C	FY 2016-17	\$ 200,000
Fullerton	11-FULL-TSP-3550	P	Euclid Street Corridor Signal Synchronization	I	FY 2011-12	\$ 841,600
Fullerton	12-FULL-TSP-3608	P	Brea Boulevard Signal Synchronization	I	FY 2012-13	\$ 281,600
Fullerton	12-FULL-TSP-3609	P	Commonwealth Avenue Signal Synchronization	I	FY 2012-13	\$ 528,000
OCTA	13-OCTA-TSP-3671	P	Trabuco Road Signal Synchronization	I	FY 2013-14	\$ 240,091
OCTA	14-OCTA-TSP-3704	P	Bristol Street Signal Synchronization	I	FY 2014-15	\$ 1,805,900
OCTA	15-OCTA-TSP-3786	P	Westminster Avenue and 17th Street Corridor Signal Synchronization	I	FY 2015-16	\$ 2,704,902
Orange	16-ORNG-ECP-3856	X	Orangewood Avenue Bio Clean Unit Installation	C	FY 2016-17	\$ 150,000
Westminster	16-WEST-ECP-3859	X	Catch Basin Screen Installation	C	FY 2016-17	\$ 86,250
<b>Scope Changes (9) - Total Phase Allocations</b>						<b>\$ 6,838,343</b>

FY - Fiscal year

C - Construction

I - Primary implementation

Project P - Regional Traffic Signal Synchronization Program

Project X - Environmental Cleanup Program

**Comprehensive Transportation Funding Programs**  
 March 2017 Semi-Annual Review Adjustment Requests

<b>Transfer Requests</b>								
Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Transfer Amount	Proposed Allocation
Newport Beach	16-NBCH-CBT-3832	V	Balboa Peninsula Trolley	CAP	FY 2016-17	\$ 507,871	\$ (145,311)	\$ 362,560
Newport Beach	16-NBCH-CBT-3832	V	Balboa Peninsula Trolley	OPS	Multiple	\$ 177,583	\$ 145,311	\$ 322,894
<b>Transfer Requests (2) - Total Phase Allocations</b>						<b>\$ 685,454</b>	<b>\$ -</b>	<b>\$ 685,454</b>

FY - Fiscal year

CAP - Capital

OPS - Operations

Project V - Community-Based Transit/Circulators



**Comprehensive Transportation Funding Programs  
March 2017 Semi-Annual Review Adjustment Request Descriptions**

**Delays**

Local agencies may request a one-time delay of up to 24-months to obligate funds. During this semi-annual review cycle, 17 delays have been submitted.

The City of Anaheim is requesting a 24-month delay for the construction phase of the Ball Road and Anaheim Boulevard Intersection project (15-ANAH-ICE-3764). The City is requesting the delay due to unexpected conditions that occurred during the acquisition of the right-of-way (ROW). The additional time will provide the City with the necessary time to complete the ROW phase. The City anticipates starting construction within 24-months.

The City of Costa Mesa is requesting a 24-month delay on the following four phases due to their current volume of work combined with limited staff resources:

- The engineering phase of the Newport Boulevard widening project from 19th Street to Superior Avenue (16-CMSA-ACE-3803)
- The engineering phase of the Wilson Street widening project from College Avenue to Fairview Road (16-CMSA-ACE-3804)
- Both the primary implementation and operations and maintenance phases of the Fairview Road Signal Synchronization Project (16-CMSA-TSP-3790)

The County of Orange (County) is requesting a 24-month delay for awarding the construction contract for the Oso Parkway and Antonio Parkway Intersection Improvements Project (16-ORCO-ICE-3805). The delay is requested due to anticipated complications from another project in the area, Oso Parkway Bridge Project, which is scheduled to commence in the fall 2017. If constructed concurrently, this has the potential to cause traffic delays. The additional 24-months will allow for the completion of the bridge project prior to the County starting construction on this project.

The City of Irvine is requesting a 24-month delay for the construction phase of the Jamboree Road and Barranca Parkway Intersection Improvements Project (14-IRVN-ICE-3716). Unforeseen delays in acquiring ROW have caused the City to be unable to meet the grant funding requirement award deadline. The delay will allow sufficient time for the City to complete ROW and award the construction phase.

The City of La Habra is requesting a 24-month delay of funds for the construction phase of the Whittier Boulevard and Hacienda Road Intersection Improvements Project (16-LHAB-ICE-3809). The construction phase is set to start after the completion of the ROW phase which is not scheduled to be completed until December 2017. The additional time will allow the City additional time necessary to complete the ROW phase, finalize the construction bid documents, and award the construction contract.

## **Comprehensive Transportation Funding Programs March 2017 Semi-Annual Review Adjustment Request Descriptions**

The City of La Palma is requesting a 24-month delay for the contract award for both the project approval and environmental document (PA&ED) and plans, specifications, and estimate (PS&E) engineering phases of the La Palma Avenue and Del Amo Boulevard over Coyote Creek Bridge Replacement Project (16-LPMA-ACE-3810). This project is a collaborated project with the City of Cerritos. The City previously anticipated receiving funding for their portion of the engineering phase from Los Angeles County's Measure R, which did not materialize. The City is actively pursuing alternative funding sources for this project. The City of La Palma's PA&ED delay request will allow the City of Cerritos additional time to secure funding for their portion of the project. The PS&E phase will subsequently be delayed as final PS&E cannot start until PA&ED tasks are complete.

The City of Lake Forest is requesting a delay of 24-months for the operations phase of the Shuttle Service between Train Station and Oakley Project (16-LFOR-CBT-3830). The additional time is needed in order to allow Oakley more time to promote the shuttle service and to grow interest and ridership.

The Orange County Transportation Authority (OCTA), as the administrative lead agency for the cities of Aliso Viejo, Garden Grove, Laguna Hills, Laguna Niguel, Mission Viejo, Orange, Santa Ana, Seal Beach, Tustin, Westminster, and the County is requesting a delay of 24-months. The additional time will enable OCTA time to complete the efforts necessary to complete the primary implementation phases. The requested delays are for the operations and maintenance phases of the following three projects:

- Alicia Parkway Signal Synchronization Project (15-OCTA-TSP-3774)
- Chapman Avenue Corridor Signal Synchronization Project (15-OCTA-TSP-3783)
- Westminster Avenue and 17th Street Corridor Signal Synchronization Project (15-OCTA-TSP-3786)

The City of Santa is requesting a 24-month delay on the following three phases:

- The construction phases of Bristol Street Widening project from Civic Center to Washington Avenue (15-SNTA-ACE-3787) and the Bristol Street Widening Project from Warner Avenue to Saint Andrew Place (15-SNTA-ACE-3788). The City continues to work on ROW phase and will need additional time before construction contract can be awarded.
- The ROW phase for Warner Avenue Widening Project from Main Street to Oak Street (16-SNTA-ACE-3814). Additional time is needed in order to secure additional funds. The City will begin the ROW acquisition process in fiscal year (FY) 2017-18.

## **Comprehensive Transportation Funding Programs March 2017 Semi-Annual Review Adjustment Request Descriptions**

### Timely-Use of Funds Extensions

Once obligated, the Combined Transportation Funding Programs (CTFP) funds expire 36 months from the contract award date. Per the CTFP Guidelines, local agencies may request extensions up to 24-months through the semi-annual review. During this semi-annual review cycle, 27 timely-use of funds extension requests were submitted for CTFP projects.

The City of Anaheim is requesting a 24-month timely use of funds extensions for the following seven project phases:

- The ROW phase of the Brookhurst Street Improvement Project, from Interstate 5 to State Route 91, (13-ANAH-ACE-3650) from May 2017 to May 2019. The project requires a transfer of ROW from the City of Anaheim to the State of California Department of Transportation (Caltrans). Caltrans requires the street improvements to be constructed before the transfer of ROW. The project is currently under construction and is anticipated to be completed in November 2017. The additional time would enable the City to complete the construction and subsequently transfer of vesting the ROW to Caltrans.
- Anaheim Boulevard Signal Synchronization Project (14-ANAH-TSP-3701) for both the primary implementation and operations and maintenance phase from June 2018 to June 2020. The contractor has been experiencing longer than expected delays for procuring and integrating specialized performance measure equipment.
- Orangewood Avenue Signal Synchronization Project (14-ANAH-TSP-3705) for both the primary implementation and operations and maintenance phase from June 2018 to June 2020. The contractor has been experiencing longer than expected delays for installing traffic signal cabinet foundations and integrating wireless communications equipment.
- La Palma Avenue Signal Synchronization Project (15-ANAH-TSP-3765) for both the primary implementation and operations and maintenance phase from May 2019 to May 2021. The contractor has been experiencing longer than expected delays for procuring armored fiber optic cable.

The County is requesting a 24-month timely use of funds extension for the Brea Boulevard and Brea Canyon Road Widening Improvements Project (14-ORCO-ACE-3727) from June 2017 to June 2019. The engineering phase commenced shortly after grant award and a preferred alignment has been studied and selected. Preliminary engineering studies and findings identified several environmental and ROW factors that have major impacts to the design, environmental, drainage, ROW, utilities and construction cost aspects of the project. The additional time will enable the County to complete investigations and studies needed to complete the design phase.

## **Comprehensive Transportation Funding Programs March 2017 Semi-Annual Review Adjustment Request Descriptions**

Orange County Parks, on behalf of the County, is requesting a 24-month funds extension for the Wagon Wheel Creek Restoration and Stormwater Management Project (14-ORCO-ECP-3739) from August 2017 to August 2019. The project schedule has been lengthened due to delays in the procurement and regulatory permit processes. Several rain delays and forthcoming rain events have also impacted the construction schedule. A time extension is needed to ensure the construction, plant maintenance, and all the construction close-out items are completed before the grant funds expires.

OCTA, as the administrative lead agency for the cities of Anaheim, Brea, Costa Mesa, County, Huntington Beach, Lake Forest, Mission Viejo, Newport Beach, Orange, Placentia, Rancho Santa Margarita, Santa Ana, and Tustin, is requesting a 24-month timely use of funds extension for the following projects:

- Adams Avenue Signal Synchronization Project (13-OCTA-TSP-3663) and Antonio Parkway Signal Synchronization Project (13-OCTA-TSP-3664) for the operations and maintenance phases from May 2017 to May 2019, and June 2017 to June 2019, respectively. Delays were caused due to the coordination with Caltrans in sharing of communications facilities. A separate cooperative agreement between the agencies and Caltrans needs to be executed before work can be started or finished.
- Bake Parkway Signal Synchronization Project (13-OCTA-TSP-3665) for both primary implementation and operations and maintenance phases from June 2017 to June 2019. Delays were caused due to unforeseen circumstances faced during the construction phase, which delays the schedule for both phases.
- Kraemer Boulevard Signal Synchronization Project (13-OCTA-TSP-3666) for both primary implementation and operations and maintenance phases from June 2017 to June 2019. Additional time was needed for negotiations with Caltrans for an encroachment permit in order to install required communications equipment that transects their ROW. Other utility and agency issues also contributed to the delay in construction.
- Newport Avenue and Newport Boulevard Signal Synchronization (North) Project (13-OCTA-TSP-3667) for both primary implementation and operations and maintenance phases from June 2017 to June 2019. Additional time is needed due to delays caused by the necessary coordination with Caltrans to utilize their facilities to bring communication back to the County's Traffic Management Center (TMC).
- Newport Boulevard Signal Synchronization (South) Project (13-OCTA-TSP-3668) for both primary implementation and operations and maintenance phases from June 2017 to June 2019. Delays were caused by required coordination with Caltrans to enter into a cooperative agreement to install equipment in their ROW.

## **Comprehensive Transportation Funding Programs March 2017 Semi-Annual Review Adjustment Request Descriptions**

- Jeronimo Road Signal Synchronization Project (13-OCTA-TSP-3669) and Trabuco Road Signal Synchronization Project (13-OCTA-TSP-3671) for the operations and maintenance phases from April 2017 to April 2019 and May 2017 to May 2019 respectively. The additional time is needed to execute cooperative agreements with the participating agencies.
- State College Boulevard Signal Synchronization Project (13-OCTA-TSP-3670) for both primary implementation and operations and maintenance phases from June 2017 to June 2019. The additional time is needed due to delays caused by faulty equipment that had to be repaired.

The City of Santa Ana is requesting a 24-month timely use of funds extension for three phases:

- The engineering phase of the Warner Avenue Widening Project from Main Street to Oak Street (13 -SNTA-ACE-3658) from April 2017 to April 2019. The additional time will provide the City the opportunity to modify the final plans addressing the changes during the latest coordination with OCTA.
- The Harbor Boulevard Corridor Signal Synchronization Project (14-SNTA-TSP-3710) for both primary implementation and operations and maintenance phases from April 2018 to April 2020. A major construction delay was encountered in Costa Mesa where the contractor discovered a long segment of damaged conduit that was intended to be used for the installation of new fiber optic cable. The contractor has determined that the conduit needs to be repaired or replaced.

The City of Seal Beach is requesting a 12-month timely use of funds extension for the primary implementation phase of TMC Relocation and Fiber Optic Bridge Gap Project (13-SBCH-TSP-3673) from April 2017 to April 2018. Additional time is necessary to resolve outstanding issues with the contractor.

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

The City of Aliso Viejo received \$583,666 of LFS funds in fiscal year (FY) 2013-14 and \$619,100 in FY 2014-15. The City is requesting a one-time 24-month timely-use of funds extension of \$287,940 of LFS funds remaining from FY 2013-14, and \$99,083 remaining from FY 2014-15. The total funds being considered for extension, \$387,023. were disbursed in four separate installments: \$96,009 disbursed on March 11, 2014 and must be expended by March 11, 2019; \$89,898 disbursed on May 15, 2014 and must be expended by May 15, 2019; \$102,033 disbursed on June 30, 2014 and must be expended by June 30, 2019; and \$99,083 disbursed on September 9, 2014 and must be expended by September 9, 2019. The extension will provide the City the ability to expend the funds on specific projects beyond the initial expenditures deadline.

## **Comprehensive Transportation Funding Programs March 2017 Semi-Annual Review Adjustment Request Descriptions**

The City of Santa Ana received \$4,064,201 of LFS funds in FY 2013-14 and \$4,307,484 in FY 2014-15. The City is requesting a one-time 24-month timely-use of funds extension of \$710,483 of LFS funds remaining from FY 2013-14 and \$690,832 from FY 2014-15. The total funds being considered for extension, \$1,401,315, were disbursed in two separate installments: \$710,483 disbursed on June 30, 2014, and must be expended by June 30, 2019; and \$690,832 disbursed on September 9, 2014, and must be expended by September 9, 2019. The extension will provide the City the ability to complete project phases and pay invoices beyond the initial expenditure deadlines.

The City of Stanton received \$463,286 of LFS funds in FY 2013-14 and \$466,536 in FY 2014-15. The City is requesting a one-time 24-month timely-use of funds extension of \$134,597 of LFS funds, plus \$3,104 of interest earned on LFS funds remaining from FY 2013-14 and \$74,989 from FY 2014-15. The funds were disbursed in four separate installments: \$53,608 of the unspent balance disbursed on May 15, 2014, and must be expended by May 15, 2019; \$80,989, disbursed on June 30, 2014, and the LFS funds, plus the \$3,104 interest earned must be expended by June 30, 2019; \$74,989 disbursed on September 9, 2014, and must be expended by September 9, 2019. The extension will provide the City the ability to expend the funds on specific projects beyond the initial expenditures deadline.

The City of Yorba Linda received \$933,270 of LFS funds in FY 2014-15 and is requesting a one-time 24-month timely-use of funds extension of \$135,735. The funds were disbursed in one installment: \$135,735 of the unspent balance disbursed on September 9, 2014 and must be expended by September 9, 2019. The extension will provide the City the ability to expend the funds on specific projects beyond the initial expenditures deadline.

### Scope Change

The County is requesting a scope adjustment to amend the quantities and locations for the Trash Booms Phase I Project (16-ORCO-ECP-3850). The County originally proposed six new locations and five re-install locations for trash. However, three of these proposed new locations are situated in earthen unimproved trapezoidal flood control channels that may undergo major improvements within the next two to five years. Therefore, the installation in these locations will be deferred. Additionally three re-install locations have been identified for a total of eight booms to be reinstalled and three new locations.

The City of Fullerton, acting as administrative lead agency for Caltrans and the cities of La Habra, Anaheim, Garden Grove, Santa Ana and Fountain Valley is requesting a scope change for the primary implementation phase of the Euclid Street Corridor Signal Synchronization Project (11-FULL-TSP-3550). The scope changes include three main categories. First, reconfiguration of the proposed communications network to utilize existing hardwire interconnect or unappropriated fiber-optic cables along the project corridor to supplement the proposed fiber-optic cable installation. Prior to being connected, fiber identification and integrity testing procedures were conducted on the re-purposed cables. No additional funding is requested since the cost to conduct the fiber integrity testing and re-pull the existing cables is offset by the savings in the fiber cable

## **Comprehensive Transportation Funding Programs March 2017 Semi-Annual Review Adjustment Request Descriptions**

acquisition cost. Additionally, utilization of controller equipment/software upgrades in lieu of complete equipment change outs for relatively newer traffic signal controllers throughout the project corridor. Lastly, an additional wireless radio installation in the City of Fullerton. During the design phase, it was identified that an additional radio would enhance the stability of the communication path to the Fullerton TMC.

The City of Fullerton, acting as administrative lead agency for Caltrans and the cities of Brea, and Buena Park, is requesting a scope change for the primary implementation phases of the Brea Boulevard Corridor Signal Synchronization (12-FULL-TSP-3608) and Commonwealth Avenue Corridor Signal Synchronization (12-FULL-TSP-3609) projects. The scope change covers the installation of a closed circuit television camera at Brea Boulevard and Harbor Boulevard in the City of Fullerton and at Commonwealth Avenue and Dale Street in the City of Buena Park. The installation will benefit the overall intent of the project as it will provide incident detection and verification at this busy intersection.

OCTA, as the Administrative Lead Agency for the cities of Lake Forest and Mission Viejo requests a change in scope of work on the Trabuco Road Signal Synchronization Project (13-OCTA-TSP-3671). This request is the result of cost savings from intersection improvements. The original application included the installation of a Type 3 service cabinet and pedestrian signals at 8 locations. However, the Type 3 service cabinet at Trabuco Road and Los Alisos Boulevard will be provided as part of another project. Also during field investigation, it was discovered that pedestrian signals were already installed as part of another project. Consequently, both the Type 3 cabinet and pedestrian signals are not needed on this project. OCTA is requesting to use these cost savings towards additional unforeseen Southern California Edison (SCE) fees. Additionally, SCE is requiring the depth of these new conduits to be a minimum of five feet below grade. This requires extensive additional labor and materials cost for deep trenching and required safety shoring which was unanticipated during the application.

OCTA, as Administrative Lead Agency for the cities of Costa Mesa, Newport Beach, and Santa Ana, is requesting a change in scope of work on the Bristol Street Signal Synchronization Project (14-OCTA-TSP-3704). New design requirements placed on the project by SCE required modification to original plans which resulted in additional conduit and cabling installed, as well as additional labor charges incurred. Also, during the construction design phase, newer controllers from Econolite needed to be factored into the project.

OCTA, as the Administrative Lead Agency for the cities of Santa Ana, Garden Grove, Seal Beach, Tustin, Westminster, and the County of Orange is requesting a scope change for the Westminster Avenue and 17th Street Corridor Signal Synchronization Project (15-OCTA-TSP-3786). This request is the result of a recent commitment from Caltrans to participate in the project. Adding Caltrans to the project will facilitate continuous flow along the length of the corridor instead of having to stop at every freeway interchange. In addition, the City of Tustin is requesting to add conduit. The original application requested the installation of single mode fiber optic cable in existing conduit.

## **Comprehensive Transportation Funding Programs March 2017 Semi-Annual Review Adjustment Request Descriptions**

However, during field review, it was discovered that the conduit does not exist, so new conduit and pull boxes must be installed along with the new cable.

The City of Orange is requesting a scope change for the Orangewood Avenue Bio Clean Unit Installation Project (16-ORNG-ECP-3856). The City is requesting this modification in order to keep the project within the available budget. Bids were opened on November 26, 2017, with the low bid being \$313,400, which is significantly higher than the budgeted amount. The main reason for the project being over budget was the need to design a bypass with two large manholes since the BioClean unit could not be installed in line with the large 78" storm drain. This created a financial hardship for the City and resulted in a rejection on all bids. Subsequent to rejecting the bids, a 48" storm drain was located on Glassell Street just north of the Collins Channel. This channel receives storm water from a predominantly industrial area and is an excellent candidate for the BioClean unit installation.

The City of Westminster is requesting a scope adjustment for the Catch Basin Screen Installation Project (16-WEST-ECP-3859). Proposed catch basin screen installation locations approved in the application package, serves a residential neighborhood that had sustained severe flooding during the storm event of January/February 2017. Due to concerns for the safety of this neighborhood, City is requesting the removal of screen installation from these catch basins.

### Transfers

The City of Newport Beach is requesting to transfer future cost savings for the Balboa Peninsula Trolley Project (16-NBCH-CBT-3832). The City requests lowering the capital allocation of \$507,871 to \$362,560 and distributing those funds across the seven years and requests transferring the capital savings (\$145,311) to the operations allocation and distribute across seven years.





## COMMITTEE TRANSMITTAL

**April 10, 2017**

**To:** Members of the Board of Directors

**From:** Laurena Weinert, Clerk of the Board

**Subject:** Comprehensive Transportation Funding Programs - 2017 Call for Projects Programming Recommendations

Regional Planning and Highways Committee Meeting of April 3, 2017

**Present:** Directors Delgleize, Do, Donchak, Nelson, and Steel

**Absent:** Directors M. Murphy and Spitzer

**Committee Vote**

This item was passed by the Members present.

**Committee Recommendations**


- A. Approve the 2017 Regional Capacity Program to fund 13 projects, in an amount totaling \$32.24 million.
- B. Approve the 2017 Regional Traffic Signal Synchronization Program to fund five projects, in an amount totaling \$2.5 million.

**Note:** Attachment B was revised to make a correction to the acronym "ICE" to read - Intersection Capacity Enhancements. Included in the Board agenda packet is the "Revised Attachment B."



**April 3, 2017**

**To:** Regional Planning and Highways Committee

**From:** Darrell Johnson, Chief Executive Officer 

**Subject:** Comprehensive Transportation Funding Programs – 2017 Call for Projects Programming Recommendations

### **Overview**

The Orange County Transportation Authority issued the 2017 annual Measure M2 Regional Capacity Program and Regional Traffic Signal Synchronization Program call for projects in August 2016. This call for projects made available up to \$40 million in grant funding for streets and roads projects countywide. A list of projects recommended for funding is presented for review and approval.

### **Recommendations**

- A. Approve the 2017 Regional Capacity Program to fund 13 projects, in an amount totaling \$32.24 million.
- B. Approve the 2017 Regional Traffic Signal Synchronization Program to fund five projects, in an amount totaling \$2.5 million.

### **Background**

The Regional Capacity Program (RCP), Project O, is the Measure M2 (M2) funding program that provides funds for capital improvements to congested streets, roads, intersections, and interchanges. The Comprehensive Transportation Funding Programs (CTFP) Guidelines (Guidelines) emphasize bringing relief to congested roads. Less congested roads could also get funded given available capacity.

The Regional Traffic Signal Synchronization Program (RTSSP), Project P, is the M2 program which provides funding for multi-jurisdictional signal synchronization projects along Orange County streets and roads. Funding is typically provided for a three-year period that includes the implementation of signal synchronization, as well as a limited amount of funding for ongoing maintenance and monitoring to keep the investments in optimal condition.

The 2017 Guidelines call for projects (call) allowed elements such as new traffic signal cabinets, controllers, software, communications equipment and operations and maintenance activities.

Both programs are included in the CTFP. The CTFP allocates funds through a competitive process using a common set of guidelines and scoring criteria. The Guidelines are developed in collaboration with the Technical Advisory Committee (TAC). The Guidelines for the 2017 call were approved by the Orange County Transportation Authority (OCTA) Board of Directors (Board) on August 8, 2016. The 2017 Guidelines established a tiered funding approach to prioritize high scoring RCP projects with funding availability for small and large projects. The first tier is for projects scoring 50 points or higher, and the second tier is for qualified projects after Tier 1. Within Tier 1, two categories were established: Category 1, with 60 percent of M2 funds available for smaller projects requesting \$5 million or less, and Category 2, with 40 percent of M2 funds available for larger projects requesting \$5 million or more. There were no tiering provisions for the RTSSP call.

On August 8, 2016, the Board authorized staff to issue a call, making available approximately \$32 million in RCP funding and \$8 million in RTSSP funding.

***Discussion***

RCP

On October 21, 2016, OCTA received 16 applications requesting \$46 million in RCP funding, as reflected in Attachment A. The applications were evaluated and ranked per the scoring criteria identified in the Guidelines.

Per the tiered approach, \$32 million is first split between Category 1 and Category 2 Tier 1 projects, as shown in the table below.

2017 RCP Projects Summary		
Total Funds Available	Tier 1 Category 1 (60 percent) M2 Request < \$5 million Project Score > 50	Tier 1 Category 2 (40 percent) M2 Request > \$5 million Project Score > 50
\$32 million	\$19.2 million	\$12.8 million

The staff recommendation is to program approximately \$32.24 million to fund 13 projects shown in Attachment B. The project application submitted by the City of Newport Beach (City) for the implementation phase of the Old Newport Beach and Pacific Coast Highway Project was considered incomplete due to the absence of the California Department of Transportation’s approval on the environmental document. The City can resubmit the application during the future call upon receiving the necessary approvals specified in the Guidelines. The City of Buena Park withdrew their application for the Orangethorpe Avenue Street Widening Project. Although the project application submitted by the City of Brea scored 50 points, OCTA is unable to fully fund the project, as the requested allocation exceeded the available funds. The City of Brea may re-apply during a future call.

Staff prepared the final funding recommendations in (escalated final values) per the tiered funding approach outlined above and described in the 2017 CTFP Guidelines. (Attachment B) This recommendation provides an additional \$243,000 for RCP projects, which is slightly above the \$32 million amount released for the call. This amount can be addressed given available capacity within the total \$40 million target.

RTSSP

OCTA received five applications requesting \$2.5 million in RTSSP funding. All applications were reviewed for eligibility, consistency, and adherence to guidelines and program objectives. Staff worked with the local agencies to address technical issues related to excess right-of-way, construction unit costs, and project scopes.

The staff recommendation is to program \$2.5 million to fund the five projects. All of the recommended RTSSP projects will be implemented in fiscal year 2017-18. The details of projects recommended for funding for the RTSSP are shown in Attachment C. Although the Board authorized \$8 million in funding for the 2017 call cycle, the remaining balance of \$5.5 million will be carried forward into the next call.

The table below provides an overall summary of the funding recommendations:

2017 CTFP Call Summary (\$ in millions)			
	RCP	RTSSP	Total
Number of Applications Recommended for Approval	13	5	18
Amount Recommended for Approval (escalated)	\$32.24	\$2.5	\$34.74

Recommendations presented in the report are consistent with the 2017 Guidelines approved by the Board. Staff recommends programming \$34.74 million for 18 projects under RCP and RTSSP.

The recommended project programming was approved by the Technical Steering Committee and the TAC on February 22, 2017. If approved, the new projects will be incorporated into the master funding agreement between OCTA and all local agencies. Staff will continue to monitor the project status and project delivery throughout the semi-annual review process.

**Summary**

The proposed programming recommendations for projects in the RCP and RTSSP have been developed by staff. Funding for 18 projects totaling \$34.74 million in M2 funds is proposed. Staff is seeking Board approval of the programming recommendations presented.

**Attachments**

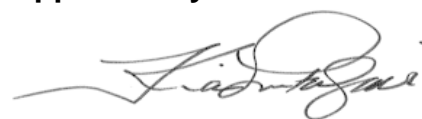
- A. 2017 Measure M2 Regional Capacity Program Call for Projects – Applications Received
- B. 2017 Measure M2 Regional Capacity Program Call for Projects – Programming Recommendations
- C. 2017 Measure M2 RTSSP Call for Projects – Programming Recommendation

**Prepared by:**



Sam Kaur  
Section Manager, Local Programs  
(714) 560-5673

**Approved by:**



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

2017 Measure M2 Regional Capacity Program Call for Projects - Applications Received

Agency	Project	Fund	Phase	Score	Total	ENG	ROW	CON
Orange County	Ortega Highway Widening Improvements (PA&ED Phase)	ACE	E	69	\$ 1,950,000	\$ 1,950,000		
Santa Ana	Warner Avenue Improvements from Oak Street to Grand Avenue	ACE	E	61	\$ 811,125	\$ 811,125		
Santa Ana	Warner Avenue Improvements from Main Street to Orange Avenue	ACE	R	58	\$ 8,586,900		\$ 8,586,900	
Irvine	University/Ridgeline Intersection Improvement	ICE	C	57	\$ 1,690,054			\$ 1,690,054
Orange County	Cow Camp Road Segment 2A and 2B Construction	ACE	C	56	\$ 14,278,770			\$ 14,278,770
Brea	SR-57 and Lambert Road Interchange Improvements Project Phase 1	FAST	C	54	\$ 12,400,000			\$ 12,400,000
Anaheim	Lincoln Avenue from East Street to Evergreen Street	ACE	R	51	\$ 1,147,669		\$ 1,147,669	
Orange	Tustin/Meats Intersection Right Turn Lane Addition	ICE	C	47	\$ 712,500			\$ 712,500
Garden Grove	Euclid Street and Westminster Avenue Intersection Improvement	ICE	R	45	\$ 784,326		\$ 784,326	
Mission Viejo	Los Alisos Boulevard and Santa Margarita Parkway ICE Project	ICE	E, C	45	\$ 203,698	\$ 14,552		\$ 189,146
Costa Mesa	Hyland Avenue at MacArthur Boulevard Intersection Improvements	ICE	R, C	44	\$ 403,449		\$ 129,972	\$ 273,477
Santa Ana	Bristol Street and Memory Lane Intersection Improvements	ICE	R	43	\$ 1,167,244		\$ 1,167,244	
Orange	Tustin Street and Chapman Avenue Intersection Widening	ICE	C	38	\$ 375,000			\$ 375,000
Santa Ana	Warner Avenue and Flower Street Intersection Improvements	ICE	C	34	\$ 87,187			\$ 87,187
					\$ 44,597,922			

**UNFUNDED (Project Withdrawn by Applicant)**

Buena Park	Orangethorpe Avenue Street Widening of the South Side	ACE	C		\$ 300,000			
------------	---	-----	---	--	------------	--	--	--

**UNFUNDED (Application Incomplete - Environmental Approval Required)**

Newport Beach	Old Newport Boulevard and Pacific Coast Highway	ACE	C		\$ 1,275,000			
---------------	---	-----	---	--	--------------	--	--	--

**Acronyms:**

- ENG/E - Engineering
- ROW/R - Right-of-way
- CON/C - Construction
- PA&ED - Project Approval and Environmental Documentation,
- ACE - Arterial Capacity Enhancements
- ICE - Independent Cost Estimate
- SR-57 - State Route 57
- FAST - Fixing America's Surface Transportation Act

**2017 Measure M2 Regional Capacity Program Call for Projects - Programming Recommendations**

<b>Tier 1 Projects - Category 1 (60 percent) Measure M Funds Request &lt;\$5 million and Project Score &gt; 50</b>						
<b>Agency</b>	<b>Project</b>	<b>Fund</b>	<b>Phase</b>	<b>Score</b>	<b>Funding</b>	<b>Balance</b>
					Beginning Balance	\$ 19,200,000
Orange County	Ortega Highway Widening Improvements (PA&ED Phase)	ACE	E	69	\$ 1,950,000	\$17,250,000
Santa Ana	Warner Avenue Improvements from Oak Street to Grand Avenue	ACE	E	61	\$ 811,125	\$16,438,875
Irvine	University/Ridgeline Intersection Improvement	ICE	C	57	\$ 1,724,024	\$14,714,851
Anaheim	Lincoln Avenue from East Street to Evergreen Street	ACE	R	51	\$ 1,147,669	\$13,567,182
					Sub-Total: \$	5,632,818 \$13,567,182

<b>Tier 1 projects - Category 2 (40 percent) Measure M Funds Request &gt;\$5 million and Project Score &gt; 50</b>						
<b>Agency</b>	<b>Project</b>	<b>Fund</b>	<b>Phase</b>	<b>Score</b>	<b>Funding</b>	<b>Balance</b>
					Beginning Balance	\$ 12,800,000
Santa Ana	Warner Avenue Improvements from Main Street to Orange Avenue	ACE	R	58	\$ 8,586,900	\$ 4,213,100
					Sub-Total: \$	8,586,900 \$ 4,213,100

**Tier 1 Total: \$ 14,219,718**

**Balance available for Tier 2 Projects \$17,780,282**

<b>Tier 2 Projects - No Category Split - Qualifying Projects After Tier 1</b>						
<b>Agency</b>	<b>Project</b>	<b>Fund</b>	<b>Phase</b>	<b>Score</b>	<b>Funding</b>	<b>Balance</b>
					Beginning Balance	\$ 17,780,282
Orange County	Cow Camp Road Segment 2A and 2B Construction	ACE	C	56	\$ 14,278,770	\$3,501,512
Orange	Tustin/Meats Intersection Right Turn Lane Addition	ICE	C	47	\$ 719,625	\$2,781,887
Garden Grove	Euclid Street and Westminster Avenue Intersection Improvement	ICE	R	45	\$ 784,326	\$1,997,561
Mission Viejo	Los Alisos Boulevard and Santa Margarita Parkway ICE Project	ICE	E, C	45	\$ 205,589	\$1,791,972
Costa Mesa	Hyland Avenue at MacArthur Boulevard Intersection Improvements	ICE	R, C	44	\$ 406,184	\$1,385,788
Santa Ana	Bristol Street and Memory Lane Intersection Improvements	ICE	R	43	\$ 1,167,244	\$218,544
Orange	Tustin Street and Chapman Avenue Intersection Widening	ICE	C	38	\$ 375,000	-\$156,456
Santa Ana	Warner Avenue and Flower Street Intersection Improvements	ICE	C	34	\$ 87,187	-\$243,643
					Tier 2 Total: \$	18,023,925

**Tier 1 and 2 Total: \$ 32,243,643**

Brea	SR-57 and Lambert Road Interchange Improvements Project Phase 1	FAST	C	50	\$ 12,400,000	
------	---	------	---	----	---------------	--

\* All projects recommended for funding met the minimum requirement of level of service "D".

Acronyms:

PA&ED - Project Approval and Environmental Documentation, ACE - Arterial Capacity Enhancements, E - Engineering,

ICE - Intersection Capacity Enhancements, C - Construction, R - Right-of-Way, SR-57 - State Route 57, FAST - Fixing America's Surface Transportation Act

**2017 Measure M2 RTSSP Call for Projects - Programming Recommendations**

Agency	Project	Fund	Signals	Primary Implementation	Maintenance and Operations	Total Funding	Score
Irvine	Irvine Boulevard Signal Synchronization Project	RTSSP	29	\$ 297,526	\$ 80,640	\$ 378,166	61
Fullerton	Gilbert Street / Idaho Street Corridor RTSSP	RTSSP	19	\$ 862,560	\$ 54,720	\$ 917,280	51
San Clemente	Camino Vera Cruz	RTSSP	5	\$ 182,606	\$ 10,080	\$ 192,686	37
Costa Mesa	Bear Street Signal Synchronization	RTSSP	14	\$ 467,872	\$ 26,880	\$ 494,752	35
Mission Viejo	Olympiad Road - Felipe Road Corridor	RTSSP	20	\$ 486,280	\$ 29,376	\$ 515,656	31
			<b>Total</b>	<b>\$ 2,296,844</b>	<b>\$ 201,696</b>	<b>\$ 2,498,540</b>	

All submitted projects meet minimum eligibility requirements.

RTSSP - Regional Traffic Signal Synchronization Program





COMMITTEE TRANSMITTAL

**May 22, 2017**

**To:** Members of the Board of Directors  
**From:** Laurena Weinert, Clerk of the Board  
**Subject:** OC Streetcar Full Funding Grant Agreement

Transit Committee Meeting of May 11, 2017

**Present:** Directors Do, Jones, Murray, Pulido, Shaw, and Tait  
**Absent:** Director Winterbottom

**Committee Vote**

This item was passed by the Members present.

Director Tait voted in opposition.

**Committee Recommendations**

- A. Approve the revised OC Streetcar project funding plan consistent with the outcome of the Federal Transit Administration Risk Assessment Workshop conducted on the 60 percent design.
- B. Authorize the use of an additional \$1.43 million in Congestion Mitigation Air Quality Improvement Program funding, increasing the total project funding from \$297.91 million to \$299.34 million.
- C. Approve the Interim Comprehensive Business Plan and Financial Commitment Policy Statement to address the Orange County Transportation Authority's commitments to its bus and rail operations as required to support the request for a Full Funding Grant Agreement.
- D. Authorize the Chief Executive Officer to request and enter into a Full Funding Grant Agreement to secure a federal contribution of \$148.96 million through the Section 5309 Capital Investment Grant Program.
- E. Authorize staff to make all necessary amendments to the Federal Transportation Improvement Program and execute any required agreements or amendments to facilitate the recommendation above.



*May 11, 2017*

**To:** Transit Committee *Y. Kenneth Pruitt for*  
**From:** Darrell Johnson, Chief Executive Officer  
**Subject:** OC Streetcar Full Funding Grant Agreement

**Overview**

Design of the OC Streetcar project is advancing rapidly, and staff is ready to submit the final documentation demonstrating the Orange County Transportation Authority's readiness to receive a Full Funding Grant Agreement through the federal Section 5309 Capital Investment Grant Program. Staff is seeking Board of Directors' approval to request and enter into a Full Funding Grant Agreement with the Federal Transit Administration for the OC Streetcar project.

**Recommendations**

- A. Approve the revised OC Streetcar project funding plan consistent with the outcome of the Federal Transit Administration Risk Assessment Workshop conducted on the 60 percent design.
- B. Authorize the use of an additional \$1.43 million in Congestion Mitigation Air Quality Improvement Program funding, increasing the total project funding from \$297.91 million to \$299.34 million.
- C. Approve the Interim Comprehensive Business Plan and Financial Commitment Policy Statement to address the Orange County Transportation Authority's commitments to its bus and rail operations as required to support the request for a Full Funding Grant Agreement.
- D. Authorize the Chief Executive Officer to request and enter into a Full Funding Grant Agreement to secure a federal contribution of \$148.96 million through the Section 5309 Capital Investment Grant Program.
- E. Authorize staff to make all necessary amendments to the Federal Transportation Improvement Program and execute any required agreements or amendments to facilitate the recommendation above.

***Background***

Since being approved into the New Starts Engineering phase on January 11, 2017, Orange County Transportation Authority (OCTA) staff have been undertaking the extensive work to be eligible to receive the Full Funding Grant Agreement (FFGA). Design work, which commenced in February 2016, is currently 90 percent complete. Work to finalize the procurement for the invitation for bid (IFB) for construction is underway and is scheduled to be issued this fall. Additional coordination with the Federal Transit Administration (FTA) has focused on demonstrating OCTA's technical capacity to undertake the OC Streetcar project (Project). Finally, FTA and its program management oversight consultants have conducted a mandatory risk assessment to finalize the Project's scope, cost, and schedule. With these tasks completed, OCTA is now prepared to request an FFGA, the final phase of the New Starts Program.

***Discussion***

The FTA's FFGA is a contract between the federal government and OCTA. The purpose of the FFGA is to define roles and responsibilities, and establish funding commitments as follows:

- Commit federal financial assistance to OCTA for the Project;
- Define the scope of the Project;
- Identify the mutual terms and conditions related to implementing the Project, the future management and operation of the Project, and the manner in which the Project's real property and equipment will be used;
- Establish the maximum federal New Starts financial contribution for the Project, in which all future federal funds for the Project will be awarded;
- Establish OCTA's required commitments to the Project, including the financial and operating commitments.

To receive an FFGA, a project must:

- Complete the planning, project development, and environmental review processes;
- Meet project readiness requirements (technical capacity, firm and final cost estimate, and all funding committed);
- Receive a "medium" or higher overall rating for the New Starts Program project justification and financial criteria;
- Satisfy all other federal requirements, including executing third party agreements, securing right-of-way (ROW), obtaining California Public Utility Commission (CPUC) approval of the Safety and Security Certification Plan, and completing a Title VI equity analysis of the streetcar and supporting bus service.

The above noted requirements are being met. An environmental analysis for minor design modifications has been completed, and staff is coordinating with FTA to obtain approval on the Section 130(c) determination, completing the federal environmental review process. The required Project readiness documents are being submitted, with the final documents scheduled to be submitted by late May 2017. Agreements have been executed with the cities of Santa Ana and Garden Grove, and the utility agreements are currently being finalized. On April 27, 2017, CPUC approved the Project's Safety and Security Certification Plan.

The Project received a medium-high rating in the federal fiscal year (FFY) 2017 FTA Annual New Starts report, based upon the Project justification and financial criteria. Staff anticipates receiving a similar rating for the FFY 2018 Annual New Starts report, exceeding the medium rating that is required for the New Starts Program.

With the completion of these efforts, staff seeks Board approval to request an FFGA from FTA. Key components of the application are discussed below.

#### Project Scope

The Project is a 4.1-mile modern streetcar, extending between the Santa Ana Regional Transportation Center, through downtown Santa Ana to Harbor Boulevard and Westminster Avenue. The Project includes acquisition of eight modern streetcars, spare parts and tools, four traction-power substations, ten street stops, and a maintenance and storage facility.

#### Revenue Service Date

The Project is scheduled for revenue service operations in December 2020. This revenue service date is contingent upon the Project meeting several significant critical path milestones in the near future, including release of the construction IFB and the request for proposals for the operations and maintenance contract (October 2017), and award of the vehicle manufacturing and delivery contract (November 2017).

Based on FTA's Risk Assessment Workshop conducted in March 2017, the timeline is achievable. However, FTA requires a 25 percent schedule contingency that represents a "worst case" revenue service date. Assuming realization of schedule contingency risk, the Project revenue service date would be August 2021. While staff is committed to the December 2020 revenue service date, FTA will use the August 2021 date in the FFGA to satisfy risk potential.

#### Capital Cost Estimate

At the completion of 30 percent design in May 2016, the capital cost estimate for the Project was \$297.91 million, in year of expenditure (YOE) dollars. Following

completion of 60 percent design in December 2016, the Project cost was updated to reflect a better understanding of key requirements, including utilities, ROW, and professional services. In addition, the estimating of construction costs was undertaken at a more detailed level, using estimates of quantities and unit prices based on the more advanced level of design.

Key items that changed from the cost estimate presented to the OCTA Board of Directors (Board) in July 2016, include the following:

- Vehicle costs were increased to reflect costs associated with a new procurement instead of securing vehicles through a piggyback arrangement;
- Design costs were increased to account for additional work not contemplated in the scope of the project, including designing additional safety improvements requested by CPUC. A staff report seeking Board approval of the modifications to the design consultant contract is being processed concurrently.

Most of the increased vehicle and design costs were offset by cost reductions in other elements based upon further refinement of project design, as well as a reduction in the overall Project contingency (27 percent to 20.5 percent).

The cost estimate was also adjusted to reflect the results of a risk assessment conducted by FTA and its consultant team in March 2017. The risk assessment, which is required prior to the FFGA, is a tool used by FTA to validate a grantee's project budget, schedule, and contingency assumptions. Risks and opportunities related to key elements associated with the Project implementation were identified and values assigned based upon the probability of occurrence, the anticipated schedule, and cost impact. While the results of the FTA risk assessment were favorable, FTA requested the Project base cost be increased by \$850,000 to address three potential risk areas: settlement at the approaches to the bridge over the Santa Ana River, increased corrosion protection of utilities within the rail corridor, and additional design costs.

Based upon these updates, the project cost estimate increased by less than one half of one percent (0.5 percent) from the July 2016 estimate to \$299.34 million (YOE dollars). A 20.5 percent contingency is included in the cost estimate, the contingency level recommended by FTA at the stage of project development.

### Funding Plan

Consistent with Board-adopted capital programming policies and the Measure M2 (M2) ordinance, which requires that every effort be made to maximize state and federal funding for M2 projects, staff has developed a revised Project

funding plan reflecting the updated capital cost estimate and incorporation of an additional federal funding source. Staff is recommending the use of additional Congestion Mitigation and Air Quality Improvement Program (CMAQ) funds to support the funding plan increase. This is an eligible use for CMAQ, and Board policy directs these funds to M2 fixed-guideway and/or M2 high-occupancy or high-occupancy toll operational improvements as a priority. Funding is available from prior year CMAQ apportionment which was de-obligated from the west county high-occupancy vehicle connector at close-out.

The updated Capital Funding Plan is provided in the table below.

Funding Sources (millions)	Prior Plan	Updated Plan	Difference	% of Project Funding
Federal New Starts	\$148.96	\$148.96	\$0.00	
Federal CMAQ	\$53.03	\$54.46	\$1.43	
Federal FTA 5307	\$13.26	\$13.26	\$0.00	
<b>Sub-Total Federal</b>	\$215.25	\$216.68	\$1.43	72%
State Cap-and-Trade	\$25.52	\$25.52	\$0.00	9%
<b>Sub-Total State and Federal</b>	\$240.76	\$242.19	\$1.43	81%
M2 - Project S	\$57.15	\$57.15	\$0.00	19%
<b>TOTAL</b>	\$297.91	\$299.34	\$1.43	100%

The Section 5309 funding amount remains unchanged. FTA sets the maximum amount of Section 5309 funding when the project is approved into the New Starts Engineering phase; this amount is the \$148.96 million included in the funding plan approved by the Board on August 16, 2016.

The updated capital funding plan is also provided in Attachment A, which provides summary information funding on commuter rail projects and fixed-guideway capital projects.

#### Financial Plan and Commitments

The adopted fiscal year (FY) 2014-15 Comprehensive Business Plan (CBP) has been the basis for the Project's financial plan through each phase of the FTA New Starts process. As described in the attached Interim CBP and Financial Commitment Policy Statement, the financial plan to be submitted with the FFGA request reflects refinements to the FY 2014-15 CBP financial model based on updated sales tax forecasts, impacts of Senate Bill-1, actual revenues received over the last two years, updated ridership estimates, and refined costs and funding sources for the Project.

Given the ongoing activities to address ridership challenges for the Bus Program, including activation of the OC Bus 360° Program, the Board has not adopted a revised CBP in 2017. To address the financial commitment expectations and requirements associated with the FTA's FFGA, it is

recommended that the Board adopt a financial commitment policy statement. The commitments are detailed in the Interim CBP and Financial Commitment Policy Statement (Attachment B) and include the following:

- Reiterating the Board-approved non-Section 5309 capital funds to support construction of the Project;
- Approving funding for the future operation and maintenance of the Project and continuing the financial responsibilities to operate, maintain, and reinvest in the transit system;
- Maintaining the service plans for the Project and the supporting bus service that were used to calculate the benefit measures that address FTA's New Starts project justification criteria for five years after the revenue start date.

The Bus Program commitments involve continued actions to maintain a financially sustainable Bus Program, including continued implementation of the OC Bus 360° Program and the annual review of transit services and revenue projections conducted as part of the budget process. Any significant changes to the Bus Program will reflect the results of an extensive public outreach program and may include, but not be limited to, the following:

- Reallocating resources to reflect changing demographics and ridership demands;
- Implementing alternative service delivery approaches to provide more cost effective services;
- Adjusting fare policy for fixed-route and paratransit services;
- Implementing non-service related cost reduction strategies; and
- Identifying and implementing supplemental revenue opportunities for the Bus Program.

An additional commitment addresses the total program of transit services operated, with OCTA continuing the current practice of fully funding a state of good repair program for the transit program.

#### Next Steps

Upon Board adoption of the action, staff will submit an FFGA application to the FTA in late May 2017, as well as the remaining Project readiness documents. Following review by FTA Region IX staff, the final FFGA application would be transmitted to FTA Headquarters for approval. A 30-day Congressional review would then occur. Execution of the FFGA is expected in the November/December 2017 timeframe.

**Summary**

The application for an FFGA is the final step in the FTA Capital Investment Grant Program. Staff is seeking Board approval of the revised funding plan for the Project, as well as to request and execute the FFGA.

**Attachments**

- A. Capital Funding Program Report
- B. Interim Comprehensive Business Plan and Financial Commitment Policy Statement

**Prepared by:**



Mary Shavalier  
Program Manager  
(714) 560-5856

**Approved by:**



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





# Capital Funding Program Report

Pending Board of Directors (Board) Approval - May 22, 2017

## Rail Project

Project Title	M Code	Total Funding	State Funds		Federal Funds		Local Funds		
			STIP/Other	State Bonds	RSTP/CMAQ	Other Fed.	M1	M2	Local - Other
Fullerton Transportation Center Parking Expansion Project	M1/R	\$33,667	\$11,250	\$11,035			\$9,718		\$1,664
Laguna Niguel-Mission Viejo Station Parking Improvements and Expansion	M1/R	\$15,134			\$6,500		\$8,634		
Orange Transportation Center Parking Structure	M1/R	\$33,175	\$13,762		\$4,073	\$3,298	\$1,850	\$420	\$9,772
Sand Canyon Avenue Grade Separation Project	M1/R	\$61,962		\$28,104	\$10,536		\$3,116	\$5,352	\$14,854
M2 Project S Fixed-Guideway Anaheim Rapid Connection	M1/S	\$10,286				\$1,516	\$6,000	\$1,335	\$1,435
OC Streetcar (Proposed New Starts) <sup>1</sup>	M1/S	\$299,342	\$25,518		\$54,465	\$162,213		\$57,146	
OC Streetcar Preliminary Studies and Environmental	M1/S	\$7,014				\$341	\$4,977	\$554	\$1,142
Anaheim Regional Intermodal Transportation Center (ARTIC) Construction	M1/T	\$184,164	\$29,219		\$33,250	\$40,754	\$43,900	\$35,291	\$1,750
Fullerton Transportation Station Expansion Planning, Environmental PSR	M1/T	\$771			\$671		\$100		
17th Street Grade Separation Environmental	R	\$3,500						\$3,500	
Anaheim Canyon Station Improvements	R	\$20,051			\$18,050	\$2,001			
Control Point at 4th Street	R	\$4,000				\$4,000			
Future Video Surveillance Systems	R	\$217				\$174			\$43
Laguna Niguel to San Juan Capistrano Passing Siding	R	\$30,830	\$6,000	\$2,483	\$22,347				
Metrolink Rehabilitation/Renovation - fiscal years 2011-12 to 2021-22	R	\$125,447				\$125,447			
Metrolink Station and Track Improvements, and Rehabilitation	R	\$2,230				\$1,784			\$446
Placentia Commuter Rail Station	R	\$34,825	\$2,500	\$400	\$50			\$8,000	\$23,875
Positive Train Control (Metrolink)	R	\$39,916		\$34,190		\$5,726			
Rail Station Platform Safety Improvements (Fullerton, Irvine, and Tustin)	R	\$553		\$553					
San Juan Creek Bridge Replacement	R	\$34,200		\$3,612		\$29,375		\$1,213	
Slope Stabilization Laguna Niguel-Lake Forest	R	\$4,139				\$4,000		\$139	
State College Grade Separation (LOSSAN)	R	\$79,284		\$46,000				\$33,284	
Ticket Vending Machines	R	\$6,857				\$6,857			
Video Surveillance Systems at Commuter Rail Stations	R	\$4,493		\$140		\$3,594			\$759
M2 Project S Transit Extensions to Metrolink (Rubber Tire)	S	\$733						\$733	
<b>Rail Project Totals</b>		<b>\$1,036,790</b>	<b>\$88,249</b>	<b>\$126,517</b>	<b>\$149,942</b>	<b>\$391,080</b>	<b>\$78,295</b>	<b>\$146,967</b>	<b>\$55,740</b>

<b>State Funding Total</b>	<b>\$214,766</b>
<b>Federal Funding Total</b>	<b>\$541,022</b>
<b>Local Funding Total</b>	<b>\$281,002</b>
<b>Total Funding (000's)</b>	<b>\$1,036,790</b>

## Rail Project Completed

Project Title	M Code	Total Funding	State Funds		Federal Funds		Local Funds		
			STIP/Other	State Bonds	RSTP/CMAQ	Other Fed.	M1	M2	Local - Other
Metrolink Grade Crossing Safety Improvements (OCX)	M1/R	\$85,009		\$18,595			\$6,305	\$36,299	\$23,810
Metrolink Rolling Stock	M1/R	\$158,009		\$36,300	\$42,230	\$35,390	\$44,089		
Metrolink Service Track Expansion	M1/R	\$119,957		\$51,399			\$68,558		
Santa Ana Grade Separation Planning and Environmental PSR	M1/T	\$1,333			\$1,180		\$153		



# Capital Funding Program Report

## Rail Project Completed

Project Title	M Code	Total Funding	State Funds		Federal Funds		Local Funds		
			STIP/Other	State Bonds	RSTP/CMAQ	Other Fed.	M1	M2	Local - Other
Santa Ana Transportation Station Planning and Environmental PSR	M1/T	\$1,003			\$888		\$115		
Control Point Stadium Crossover	R	\$6,490		\$3,245		\$3,245			
LOSSAN Corridor Grade Separations PSR in Anaheim, Orange, and Santa Ana	R	\$2,699						\$2,699	
Metrolink Grade Crossing Safety Improvements ROW	R	\$3,025						\$3,025	
North Beach Crossings Safety Enhancements	R	\$348		\$166				\$182	
Rail Crossing Signal Lights and Pedestrian Gates	R	\$252		\$252					
Safety Repairs for San Clemente Pier Station	R	\$122		\$122					
San Clemente Beach Trail Crossings Safety Enhancements	R	\$5,103		\$2,170				\$2,311	\$622
Transit Rail Security (Monitors, Fencing, Video Surveillance)	R	\$163		\$163					
Go Local	S	\$7,730					\$7,730		
ARTIC Environmental, ROW, Program Management Support, Site Plan <sup>2</sup>	M1	\$41,369					\$41,369		
Fiber Optics Installation (Metrolink)	M1	\$24,600		\$12,300		\$10,903	\$1,397		
Laguna Niguel-Mission Viejo Station Parking Expansion (South Lot)	M1	\$4,135		\$695			\$3,440		
Tustin Rail Station Parking Expansion	M1	\$15,389	\$1,100	\$7,181			\$7,108		
<b>Rail Project Totals</b>		<b>\$476,736</b>	<b>\$1,100</b>	<b>\$132,588</b>	<b>\$44,298</b>	<b>\$49,538</b>	<b>\$180,264</b>	<b>\$44,516</b>	<b>\$24,432</b>
<b>State Funding Total</b>		<b>\$133,688</b>							
<b>Federal Funding Total</b>		<b>\$93,836</b>							
<b>Local Funding Total</b>		<b>\$249,212</b>							
<b>Total Funding (000's)</b>		<b>\$476,736</b>							

Acronyms:

M Code - M1 = Measure M1, otherwise Project Codes in Measure M2 Program  
 STIP - State Transportation Improvement Program  
 RSTP/CMAQ - Regional Surface Transportation Program/Congestion Mitigation and Air Quality Improvement Program  
 M1/M2 - Measure M1/Measure M2  
 PSR - Project Study Report  
 LOSSAN - Los Angeles-San Diego-San Luis Obispo Rail Corridor  
 OCX - Rail-Highway Grade Crossing/Safety Enhancement Project  
 ROW - Right-of-way

Board Notes:

1. Requesting Board to authorize the use of an additional \$1.43 million in CMAQ funding, increasing the total project funding from \$297.91 million to \$299.34 million.

Project Notes:

2. Updated funding from \$41.75 million to \$41.37 million to reflect project funding.

# Interim Comprehensive Business Plan and Financial Commitment Policy Statement



*Submitted by*

**Orange County Transportation Authority**

*April 28, 2017*



## Table of Contents

<b>1.0</b>	<b>Overview .....</b>	<b>3</b>
<b>2.0</b>	<b>Background.....</b>	<b>4</b>
<b>3.0</b>	<b>Bus Program Actions .....</b>	<b>5</b>
<b>4.0</b>	<b>Financial Commitment Policy Statement.....</b>	<b>6</b>





## 1.0 Overview

When the Orange County Transportation Authority (OCTA) submits the Request for the OC Streetcar New Starts Full Funding Grant Agreement (FFGA), the request includes a financial commitment from the Authority to provide all non-Section 5309 grant funds to construct the Streetcar Project and to provide locally controlled funding to operate and maintain the Streetcar and the transit system, including the bus-rail station interface, for five years after the start of streetcar service. The revised Financial Plan that will be submitted as part of the Request for the FFGA documents the Bus Program and Streetcar service plans, capital investments, and associated cost, revenue, and ridership assumptions that are the basis for OCTA's financial commitments to FTA. When the FFGA is executed, these commitments represent a contractual agreement between FTA and OCTA.

As described in the following sections, the adopted fiscal year (FY) 2014-15 Comprehensive Business Plan (CBP) has been the basis for the OC Streetcar Financial Plan through each phase of the FTA New Starts process. Adjustments have been made to the CBP financial model over the last year to reflect the revised sales tax methodology, impacts of Senate Bill-1, and updated cost and revenue assumptions for the OC Streetcar, including the operations and maintenance costs.

Since the FY 2014-15 CBP was adopted, among OCTA's six operating programs, the bus program has experienced a few significant changes in assumptions. These changes include a revised sales tax forecasting methodology and additional revenue based on the passage of SB-1. Additionally, OCTA has initiated operational changes to address the ridership declines and associated reductions in fare revenue and is evaluating further actions that will not be completed before the end of 2017. As a result, staff will not be able to finalize the financial plan for the Bus Program in order to complete and request Board adoption of an updated CBP. Recognizing an updated CBP will not be adopted by the Board prior to the Request for the New Starts FFGA, it is recommended that the Board adopt a Financial Commitment Policy Statement to address FTA local financial commitment expectations and requirements.

## 2.0 Background

The Revised Financial Plan supporting the request to execute the FFGA will be the third iteration the FTA has reviewed to evaluate OCTA's ability to construct the OC Streetcar and operate and maintain the entire transit system over a 20-year period since the OC Streetcar entered the FTA New Starts Project Development phase in the summer of 2015.

- **September 2015 Submittal:** The initial Financial Plan submitted reflected the Fiscal Year (FY) 2014-15 CBP that was adopted by the Board in January 2015. With the exception of updating cost and revenue assumptions in Measure M2, Project S for the OC Streetcar, the Financial Plan reflected the cost and revenue forecasts included in the adopted CBP.
- **September 2016 Submittal:** This iteration of the Financial Plan supported OCTA's request to enter the Engineering Phase of the New Starts Process. The primary changes in the Financial Plan reflected the impact of the new sales tax forecasting methodology that was approved by the Board in March 2016. Specifically, the new sales tax forecast provided to OCTA in August 2016 resulted in Measure M2 and State Local Transportation Fund (LTF) sales tax revenue levels over the next five years projected to be approximately \$114 million and \$91 million less than the September 2015 Financial Plan. Additionally, through FY 2036, Measure M2 levels are projected to be \$920 million lower and LTF levels \$1,207 million lower than the methodology included in the September 2015 Financial Plan.

To address potential FTA concerns regarding OCTA financial stability, the September 2016 Financial Plan documented:

- The reduced levels of sales tax revenue would not impact the implementation or long term operation of the Streetcar Project. Specifically, the Board had taken action to commit Measure M2 revenues for construction and long term operations for the Streetcar.
- The Bus Program would be impacted the most by the reduced sales tax revenue projections and the Financial Plan reflected staff's initial assumptions for a revised service plan including restructuring the system and using alternative service delivery approaches in order for the Program to remain financially sustainable.
- The Financial Plan continues to document OCTA's "funding firewall" policy among the Authority's Programs. Going back to the initial Measure M Ordinance in the early 1990's, OCTA has maintained a financial practice of not transferring funds dedicated to a specific Program to another Program which may be in need of additional revenue. Specifically related to the Streetcar Project, this policy continues to provide a strong statement to FTA that the agency will not be impacted by funding challenges of the Bus Program.

## **3.0 Bus Program Actions**

Since the September 2016 submittal, the State of California passed SB-1 which makes additional operating and capital funds available for the bus program. This additional revenue erases the negative impact of the revised sales tax forecasting methodology implemented by OCTA in 2016, and provides financial sustainability for the bus program over the 20-year horizon of the CBP. The bus program does however continue to face the challenge of decreasing ridership and fare revenue. As reported to the Board in January 2016, the reduced ridership trend appears to largely be the result of external factors that are also impacting other transit agencies in Southern California and across the country. External factors impacting bus ridership vary by county and area, but may include employment changes from the great recession, high housing costs relative to household incomes, and the growth of competing travel modes. For example, between 2009 and 2015, Orange County's population increased by 4.7 percent, but driver licenses and car registrations were up by 9.9 percent and 16.9 percent, respectively, for the same period. Furthermore, the cost of living in Orange County continues to be a challenge given housing affordability. In 2015, an hourly wage of \$25.50/hour (\$53,040 annually) was needed to afford an average one-bedroom apartment in Orange County, which is well beyond the average hourly pay for most bus customers.

OCTA has already taken action to implement a comprehensive effort to reposition the bus system in response to changing market conditions. The overall strategy to improve transit service by examining it from many angles is an initiative named OC Bus 360°. The goals are to reverse ridership declines, and increase ridership by reducing passenger travel times, improving travel speeds, and designing services to benefit existing customers and attract new customers. In October 2016, the first phase of OC Bus 360 was implemented with the introduction of new bus routes that offered customers up to a 30 percent travel time improvement; redeployment of approximately 160,000 revenue vehicle hours (10% of total service hours) to high-demand transit corridors, which was one of the largest changes to bus service in OCTA's history.

Another component of OC Bus 360° is the initiation the OC Transit Vision. Scheduled to be completed by the end of 2017, the OC Transit Vision Report will establish a long-term transit plan for Orange County and will document operating, capital, and programmatic priorities; funding and implementation strategies; and land use and other policies to support the growth of OCTA's transit services.

## **4.0 Financial Commitment Policy Statement**

The Financial Plan submitted with the request to execute the FFGA for the OC Streetcar reflects refinements to the FY 2014-15 CBP financial model based on updated sales tax forecasts, impacts of SB-1, actual revenues received the last two years, updated ridership estimates, and refined costs and funding sources for the OC Streetcar. Given the on-going activities to address ridership challenges for the Bus Program, the Board has not adopted a revised CBP in 2017. However, the Board is committed to the financial requirements of the OC Streetcar FFGA including:

- Approving all non-Section 5309 capital funds to support construction;
- Approving funding the future operation and maintenance of the OC Streetcar and continuing the financial responsibilities to operate, maintain and reinvest in the transit system; and
- Maintaining the service plans for OC Streetcar, bus-rail station interface for five years after the start of revenue service.

With regards to the overall Bus Program, the Board is committed to continue to take actions to maintain a financially sustainable Bus Program. The actions will reflect continued implementation of the OC Bus 360° Program, including the OC Transit Vision Plan, and the annual review of transit services with respect to near-term and long range funding projections as part of the Budget process. Any significant changes to the Bus Program will reflect the results of an extensive public outreach program and may include but not be limited to:

- Reallocating resources to reflect changing demographics and ridership demands;
- Where appropriate implementing alternative service delivery approaches to provide more cost effective services;
- Adjusting fare policy for fixed route and paratransit services;
- Implementing non-service related cost reduction strategies; and
- Identifying and implementing supplemental revenue opportunities for the Bus Program.

Finally, OCTA will continue the current practice of fully funding a state of good repair program for all transit services.





## COMMITTEE TRANSMITTAL

**June 12, 2017**

**To:** Members of the Board of Directors

**From:** *RW*  
Laurena Weinert, Clerk of the Board

**Subject:** Measure M2 Quarterly Progress Report for the Period of January 2017 Through March 2017

### Executive Committee Meeting of June 5, 2017

**Present:** Chairman Hennessey, Vice Chair Bartlett, and Directors Do, Donchak, Murray, and Shaw

**Absent:** Director Nelson

### **Committee Vote**

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

### **Staff Recommendation**

Receive and file as an information item.


### **Committee Discussion**

At the June 5, 2017 Executive Committee, Director Donchak requested that staff include managing the Measure M2 (M2) sales tax revenue forecast as one of the highlighted program delivery challenges. Director Donchak indicated that while Orange County is out of the recession, we continue to be challenged in terms of the M2 revenue outlook. Staff shared that the Orange County Transportation Authority is currently receiving the annual updated forecasts from the universities and Muni Services. Individual presentations from each are going through the Finance and Administration Committee. Once all are received and presented, the blended forecast will be prepared and presented to the Board of Directors in the fall timeframe. It is anticipated that some adjustment to the M2 Plan may be needed going forward relative to a reduced long-term forecast as we continue to see a shift in how people purchase goods and services.



**June 5, 2017**

**To:** Executive Committee

**From:** Darrell Johnson, Chief Executive Officer 

**Subject:** Measure M2 Quarterly Progress Report for the Period of January 2017 Through March 2017

**Overview**

Staff has prepared a Measure M2 quarterly progress report for the period of January 2017 through March 2017, for review by the Orange County Transportation Authority Board of Directors. This report highlights progress on Measure M2 projects and programs and will be available to the public via the Orange County Transportation Authority website.

**Recommendation**

Receive and file as an information item.

**Background**

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

OCTA is committed to fulfilling the promises made in M2. This means not only completing the projects described in the Plan, but adhering to numerous specific requirements and high standards of quality called for in the measure, as identified in the ordinance. Ordinance No. 3 requires that quarterly status reports regarding the major projects detailed in the Plan be brought to the OCTA Board of Directors (Board). All M2 progress reports are posted online for public review.

### ***Discussion***

This quarterly report reflects current activities and progress across all M2 programs for the period of January 1, 2017 through March 31, 2017 (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 distributions from M2 inception through March 2017.

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

### **Next 10 Delivery Plan**

On November 14, 2016, the Board adopted the Next 10 Delivery Plan, which provides guidance to staff on delivery of M2 projects and programs between 2017 and 2026. During the Next 10 time period, more than \$6 billion in transportation improvements promised to the voters in M2 are to be completed or underway by 2026. To ensure the Next 10 Plan remains deliverable as adopted, staff developed a tracking mechanism to monitor original Next 10 cash flow assumptions against updated project cost estimates and contingency usage. The tracking system is intended to ensure staff is able to cumulatively watch the impact of project cost changes. If a significant impact is identified that would impact OCTA's ability to deliver the Next 10 Plan, this information will be brought to the Board for action.

Also part of the Next 10 Plan adoption, the Board directed staff to conduct a market analysis to analyze current resource demands and provide information on the impact on OCTA's delivery of M2 projects. Consultant selection for this effort has concluded, and the market conditions analysis is underway. Staff anticipates receiving a draft report in late summer.

### **Progress Update**

The following highlights M2 Program accomplishments that occurred during the third quarter:

- On January 31, 2017, the design-build contract for the Interstate 405 (I-405) Improvement Project between State Route 55 (SR-55) and Interstate 605 project was executed with the design builder, OC 405 Partners, and Notice to Proceed No. 1 was issued.

While the winning bid was higher than the engineers estimate, the project contingency was able to cover the increase and the project cost was unchanged (Project K).

- Additionally, negotiations on the Transportation Infrastructure Finance and Innovation Act loan agreement for the I-405 Improvement Project continue to move forward, but are requiring more time due to staffing changes in the federal administration. Staff has been keeping the Board Members apprised through updates on the loan pursuit efforts at the Finance and Administration Committee and the Board meeting, which took place this quarter on February 22 and February 27, 2017 (Project K).
- In January 2017, the OC Streetcar was approved by the Federal Transit Administration (FTA) into the New Starts Engineering phase. This significant milestone was preceded by the completion of 60 percent design in December 2016, as well as submission of project readiness documents. FTA conducted a Risk Assessment Workshop in March, reviewing the project's cost, schedule, and scope as defined by the 60 percent design plans. Results of the Risk Assessment Workshop will be presented to the Board in May 2017 (Project S).
- The Sand Canyon Grade Separation Project completed the one-year warranty period and no repairs were identified. The project was closed out in mid-January 2017 (Project R).
- Preliminary plans for the Anaheim Canyon Metrolink Station were complete, and the California Environmental Quality Act clearance was obtained in January 2017. National Environmental Policy Act clearance and a request for proposal for final design are expected to be forthcoming in April 2017 (Project R).
- On February 13, 2017, the Board approved funding for a new restoration project within the Environmental Mitigation Program (EMP), the United States Forest Service San Juan Creek Restoration Project. This project will help meet the remaining mitigation needs of the Natural Community Conservation Plan/Habitat Conservation Plan (NCCP/HCP).
- The first deposit for the EMP endowment took place this quarter. Additionally, on March 31, 2017, the United States Fish and Wildlife Service (USFWS) issued a 30-day notice of availability that the final environmental document (ED) was completed, and also announced receipt of a final NCCP/HCP from OCTA. The implementing agreement will be executed by the USFWS and California Department of Fish and Wildlife, and the freeway program permit issuance is anticipated in early summer.

- On March 13, 2017, the Board approved the fiscal year (FY) 2017-18 Environmental Cleanup Program Tier 1 call for projects, totaling \$3.1 million (Project X). Applications are due May 17, 2017.
- On March 29, 2017, Governor Brown signed into law AB 28 (Chapter 486, Statutes 2007), reauthorizing the Federal Highway Administration's signing authority delegation to the California Department of Transportation (Caltrans) for environmental decisions and approvals on highway projects, eliminating the risk of project delays.
- The Board received a Regional Traffic Signal Synchronization Program overview on March 13, 2017. OCTA and local agencies have successfully implemented new cooperative traffic signal synchronization timing on 59 corridors. Another 29 projects are planned or underway (Project P).
- Staff updated the Board on the SR-55 Improvement Project, between I-405 and Interstate 5 (I-5) on March 13, 2017. The supplemental draft ED and project report are currently being finalized before public review. Additionally, the cost estimate for Alternative 3 Modified is being finalized. Lastly, staff is discussing project schedule acceleration and work sharing with Caltrans (Project F).
- Two milestones were completed on the State Route 91 post-widening replacement planting project between State Route 57 (SR-57) and I-5 as the contract was both advertised for construction and awarded by Caltrans.

A critical factor in delivering M2 freeway projects is to ensure project scope, schedules, and budgets remain on target. Project scope increases, schedule delays, and resulting cost increases can quickly affect project delivery and have a cascading effect on other activities. In light of the recent reduction in the sales tax revenue forecast, this factor is even more significant.

Project delivery is monitored closely, and progress, as well as challenges, are presented to the Board through these quarterly staff reports, individual project staff reports, as well as through the Capital Action Plan quarterly performance metrics reports from the Capital Programs Division. This quarter, cost pressures occurred on the I-405 Improvement Project as the winning bid for the design build contract was higher than the engineers estimate. Since the possibility of this occurring was anticipated, the total project cost included extra contingency to cover the increase and resulted in no change to the overall project cost.

Caltrans and OCTA continue to work together to move projects forward. Looking ahead, Caltrans' strategic policy direction now includes a focus on construction and/or enhancement of a managed lanes system, including high-occupancy vehicle (HOV) lanes, which is a particular challenge. This policy shift and associated risks will continue to be of concern over how non-M2-focused priorities may delay or impact the remaining M2 freeway projects.

OCTA continues to advise Caltrans that these new state policies need to take voter commitments into consideration and be implemented as additive projects to M2 improvements where appropriate.

Another continued challenge that the program has faced is the reduction in Orange County's share of State Transportation Improvement Program (STIP) funding of \$42.2 million, and delays to previously programmed M2 projects. Although the recent passage of the state transportation funding bill, SB 1 (Chapter 728, Statutes 2008) represents a significant win for transportation, it does not alleviate our funding shortfall. SB 1 centers its funding on "fix-it-first" versus new capacity projects. Staff sent a letter to the California Transportation Commission requesting an amendment to the STIP to restore funding in the correct funding year to keep three critical projects on schedule and eliminate cost escalation impacts. OCTA is requesting a STIP amendment to return I-5 widening (State Route 73 to Oso Parkway, and I-5 HOV lanes (SR-55 to SR-57) to the previously approved programming FY, and the advancement of the SR-57 Lambert Road interchange improvements. Staff will seek the Board's direction next quarter on how to address funding for these projects.


### ***Summary***

As required by M2 Ordinance No. 3, a quarterly report covering activities from January 2017 through March 2017 is provided to update progress in implementing the Plan. 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 – Third Quarter of Fiscal Year 2016-17 –  
January 1, 2017 through March 31, 2017

**Prepared by:**



Tamara Warren  
Manager, Program Management Office  
(714) 560-5590

**Approved by:**



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



# DESIGN-BUILD CONTRACT

## CONTRACT NO. C-5-3843

### FOR THE DESIGN AND CONSTRUCTION OF THE I-405 IMPROVEMENT PROJECT

BETWEEN THE

ORANGE COUNTY TRANSPORTATION AUTHORITY

AND

OC 405 PARTNERS, JOINT VENTURE



Orange County Transportation Authority  
P.O. Box 14184  
Orange, CA 92863-1584  
714-560-OCTA(6282)  
[www.octa.net](http://www.octa.net)

Orange County Transportation Authority  
I-405 Improvement Project

WITNESS WHEREOF, the Contract has been executed as of 1/31/17, 2017.

OC 405 PARTNERS

By: *[Signature]*  
Bagheri  
Executive

ORANGE COUNTY TRANSPORTATION AUTHORITY

By: *[Signature]*  
Darrell Johnson  
Chief Executive Officer

APPROVED AS TO FORM:

By: *[Signature]*  
James M. Donich  
General Counsel

APPROVED:

By: *[Signature]*  
Jim Beil, P.E.  
Executive Director, Capital Programs

Date: 1/23/17

#### THIRD QUARTER HIGHLIGHTS:

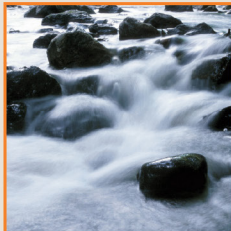
- Freeway Projects
- Streets and Roads
- Environmental Cleanup & Water Quality
- Freeway Mitigation Program
- Finance Matters
- Program Management Office
- Summary

I-405 Design-Build Contract Award and Notice to Proceed No.1 Issued

# Measure M2

## Progress Report

Third Quarter of Fiscal Year 2016-17  
January 1, 2017 through March 31, 2017







### SUMMARY

As required by the Measure M2 (M2) Ordinance No. 3, a quarterly report covering activities from **January 1, 2017 through March 31, 2017** 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.

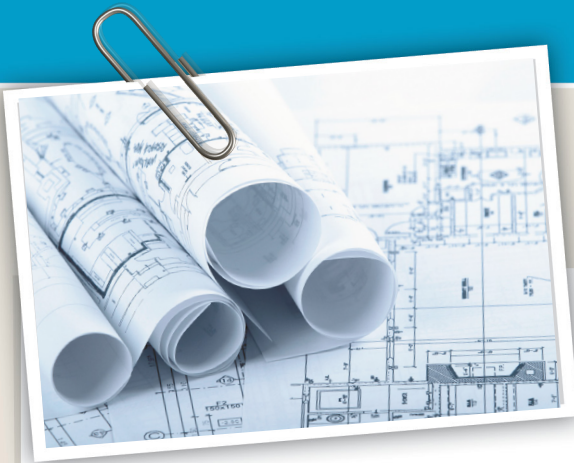


Cover photo shown commemorates a milestone for the I-405 Design-Build Project. On January 31, 2017, the design-build contract was executed with the design-builder OC 405 Partners, and Notice to Proceed No. 1 was issued.

# Measure M2

## Progress Report

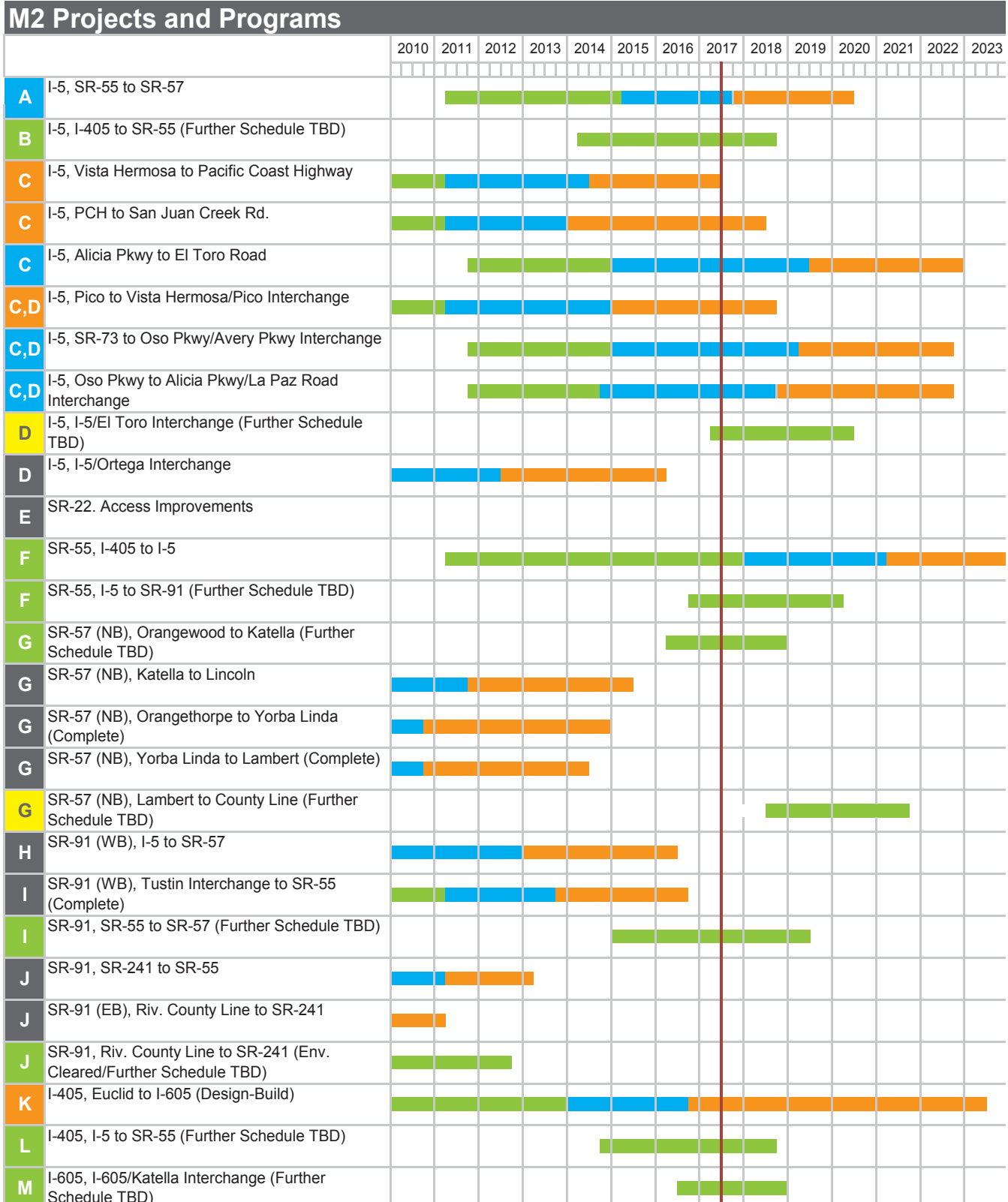
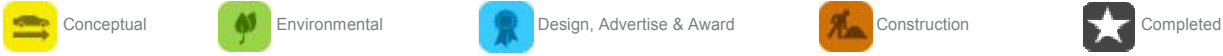
### TABLE OF CONTENTS



SECTION	PROJECT	PAGE
M2 Delivery Risk Update		1
Next 10 Plan Update		3
<b>Freeway Program (Projects A - N)</b>		<b>7</b>
Interstate 5 (I-5) Projects	[A – D]	7
State Route 22 (SR-22) Project	E	10
State Route 55 (SR-55) Projects	F	11
State Route 57 (SR-57) Projects	G	12
State Route 91 (SR-91) Projects	[H – J]	13
Interstate 405 (I-405) Projects	[K – L]	15
Interstate 605 (I-605) Project	M	17
Freeway Service Patrol	N	17
<b>Streets and Roads (Projects O, P and Q)</b>		<b>18</b>
Regional Capacity Program	O	18
Regional Traffic Signal Synchronization	P	21
Local Fair Share Program	Q	21
<b>Transit Programs (Projects R, S, T, U, V and W)</b>		<b>23</b>
High Frequency Metrolink Service	R	23
Transit Extensions to Metrolink	S	26
Regional Gateways for High-Speed Rail	T	28
Expand Mobility Choices for Seniors and Persons with Disabilities	U	29
Community Based Transit / Circulators	V	30
Safe Transit Stops	W	31
<b>Environmental (Project X and Freeway Mitigation Program)</b>		<b>33</b>
Environmental Cleanup	X	33
Freeway Mitigation Program (Part of Projects A – M)		33
Program Management Office		36
M2 Financing and Schedule of Funding		39
Local Fair Share M2 Funding by Agency		47
Capital Action Plan Status		49



### M2 Project Schedules



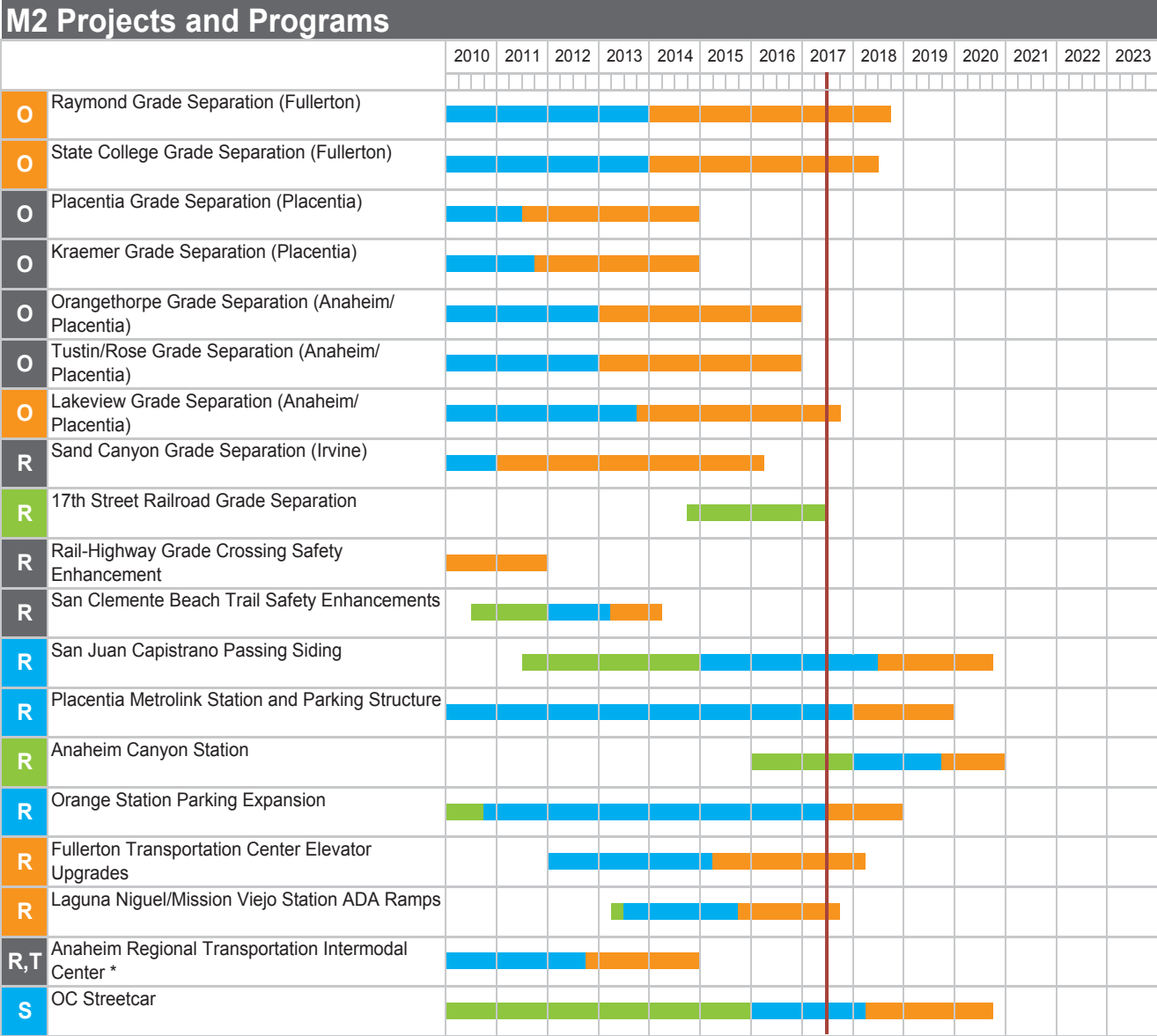
Continues on the next page...

# Measure M2

## Progress Report



Continued from the previous page...



\*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

This section discusses the risks and challenges related to overall Measure M2 and Next 10 Plan delivery that the Measure M Program Management Office is watching – complete with associated explanations and proposed actions. The below risks have been identified in the Board-adopted Next 10 Delivery Plan.

Delivery Risk	Explanation	Proposed Action
<b>Financial</b>		
<b>1</b>	Continuation of a lower-than-projected M2 revenue forecast of \$14.2 billion or a reduction in external revenue assumptions would impact delivery.	<p>The original projection in 2005 was \$24.3 billion. With the revised Board-adopted forecast methodology in place to ensure more accurate projections, the forecast is 42% lower and the delivery plan has a greater reliance on external funding.</p> <p>Continue to actively pursue all available state and federal revenue.</p> <p>As a result of the STIP funding delay, the freeway program may require additional local funding. In the interim, Staff has requested a STIP amendment on three projects in an effort to move the projects back on schedule.</p>
<b>2</b>	Revenue assumptions related to Project K (I-405) not fulfilled.	<p>The M2 cash flow assumes receipt of \$245 million in Transportation Infrastructure Finance and Innovation Act (TIFIA) funds for the M2 portion of Project K.</p> <p>If the TIFIA loan is not approved at the level assumed, a revised cash flow will be required to determine the need for revised delivery schedules and additional revenue sources.</p>
<b>3</b>	The inability to scale the Freeway Program to available revenue with large freeway capital projects moving forward in the Next 10 timeframe.	<p>Management of project scopes and schedules is key to the successful delivery of the overall Freeway Program.</p> <p>Given the magnitude of upcoming projects (e.g. Project K), any length of delay with associated cost escalation can be impactful and will need to be tightly managed.</p> <p>Staff will work closely with project managers and Caltrans to seek cost-saving measures on freeway projects through changes in design parameters where possible.</p> <p>Tight monitoring of project schedules and scopes will be required to ensure delivery of the entire Freeway Program.</p>
<b>4</b>	Rising cost of operating Metrolink train service.	<p>Operational cost of Metrolink service continues to grow as new regulations are imposed, such as Positive Train Control, track-sharing arrangements with Burlington Northern Santa Fe, and new locomotive requirements.</p> <p>Staff will continue to work closely with Metrolink and our partners to ensure cost increases are minimized while service is optimized.</p>
<b>5</b>	Timeframe for establishment of an endowment fund for long-term management of seven conservation properties (Preserves), as part of the Freeway Environmental Mitigation Program (EMP), may be extended.	<p>A portion of the annual revenues for the EMP will be dedicated to the endowment deposits. If sales tax revenues continue to decline, it may take longer to establish the endowment and OCTA will need to continue to pay for the interim management of the Preserves.</p> <p>Staff will continue to engage state and federal resource agencies to minimize management costs for the Preserves. Where successful, this will reduce the overall endowment obligation, enabling OCTA to set up the endowment in the prescribed ten-to-twelve year period.</p>

# Measure M2

## Progress Report

### M2 DELIVERY RISK UPDATE



Continued from previous page...

Delivery Risk	Explanation	Proposed Action		
<b>Organizational</b>				
6	Availability of specialized staff, given the scope of Right-of-Way (ROW) activities for various freeway construction activities.	Timely ROW acquisition and utility clearance has proven to be a key factor in reducing risk on construction projects. Early acquisition is challenged by the heavy demand on Caltrans' ROW resources. This is further challenged by a change in meeting frequency by the California Transportation Commission, a necessary step in ROW settlement.		
Expert and timely coordination between OCTA and Caltrans is imperative to manage this risk. If resource issues become a problem, OCTA should consider taking full responsibility for ROW activities. Staff is currently working with Caltrans to ensure ROW resource needs are met.	7	New operational responsibilities with both the I-405 Express Lanes and OC Streetcar		
With the implementation of both the I-405 Express Lanes and the OC Streetcar service, OCTA will be increasing its overall role in operations.	OCTA holds a strong track record in operating the 91 Express Lanes. Additionally, OCTA will look to augment staff's capabilities to provide guidance for operating the OC Streetcar.	<b>Policy</b>		
8	New statewide directives creating additional hurdles for the Freeway Program in particular.	With new statewide directives focused on greenhouse gas reductions, it will be more difficult to environmentally clear the remaining M2 general purpose lane projects.  Additionally, within the recently completed Caltrans managed lanes study, inclusion of managed lanes is suggested for M2 project corridors where the promise to the voters is the addition of a general purpose lane. Projects currently in the environmental phase are at possible risk.	OCTA will need to ensure that when freeway improvement projects are reviewed for environmental clearance, they are viewed as part of a larger suite of transportation improvements.  OCTA staff will work closely with Caltrans to emphasize the importance of keeping the promise to the voters.	
<b>Market</b>				
9	Major capital work underway in the Southern California region impacting OCTA's ability to secure resources needed for project and program delivery.	Competition for available resources for capital projects in the Southern California region has increased with the major capital work currently underway in Riverside, Los Angeles, and San Diego County. For future projects going forward, engineers, right-of-way experts, and materials will be in higher demand.	A market research analysis is currently underway. The analysis will evaluate staffing and resource needs to implement the Next 10 Plan and help guide OCTA in navigating the bidding environment. Any identified resource needs for Plan implementation will be brought to the Board as part of future budget adoption or in separate Board requests.	



## Next 10 Plan Update

**Contact:** Tami Warren, PMO Manager  
(714) 560-5590

On November 14, 2016, the Board of Directors (Board) approved the Next 10 Delivery Plan, a ten-year plan that outlines projects and programs for all modes of transportation to be delivered on an expedited schedule between 2017 and the year 2026. The plan identified ten deliverables for what is to be accomplished, with the overarching goal of successfully delivering the M2 Program by 2041 as promised.

Next 10 revenue, expense, and schedule sequencing assumptions have been incorporated into the M2 cash flow model. Tight monitoring of cash flow assumptions versus actual revenue, expense, and schedule activity is underway. This quarter, staff developed a tracking mechanism to monitor original Next 10 cash flow assumptions, against updated project cost estimates and contingency usage. Additionally, External Affairs, in collaboration with Government Relations and the Measure M Program Management Office, have successfully implemented the Next 10 communication plan. External stakeholders have been notified of the adoption of the Next 10 Delivery Plan through formal mailings, email, and digital communications.

### Next 10 Plan Deliverables

#### **1. Deliver \$3 billion of freeway improvements promised in M2020 (Projects A-M).**

The M2 freeway program currently consists of 27 projects or project segments. Of this amount, nine are already complete, and another nine are designated to be complete within the Next 10 time-frame. Together, the nine segments designated for completion make up the \$3 billion delivery promise. Segments to be complete by 2026 include: three segments of I-5 between Avenida Pico and San Juan Creek Road (Project C) which are currently in construction, one project on I-405 between SR-55 and I-605 (Project K) in the Design-Build phase, another four segments on I-5 (one between SR-55 and SR-57 and the other three between SR-73 and El Toro Road) that are in design, and one segment on SR-55 (between I-405 and I-5) that is in the environmental phase. For more details, see previous page (Project Schedules) and the project updates contained in the following pages.

#### **2. Invest approximately \$1.2 billion more in revenues, bringing the completed Freeway Program improvements to \$4.2 billion (Projects A-M).**

The final nine remaining project segments (of the 27 total) are on track to be environmentally cleared by 2020, making them “shelf ready” for future advancement as revenues become available. The Next 10 Plan designated another \$1.2 billion (in addition to the \$3 billion promised above) toward moving one or two projects from the nine into construction by 2026. Environmentally cleared projects that rank highest in congestion levels, readiness, and cost risk will be recommended to the Board to advance into the construction phase. Project I (between SR-55 and SR-57) meets the above criteria and was designated as a priority project by the Board in the Next 10 Plan.



*Continued from previous page...*

**3. Allocate \$1 billion, with \$400 million in competitive funding to local jurisdictions to expand roadway capacity and synchronize signals (Project O and P) and \$630 million in flexible funding to local jurisdictions to help maintain aging streets or for use on other transportation needs, as appropriate (Project Q).**

Since M2 inception, OCTA invested approximately \$231 million in M2 funds into the Regional Capacity Program (Project O), \$70 million in Regional Traffic Signal Synchronization Program (Project P), and \$271.4 million in the Local Fair Share Program (Project Q). Since the adoption of Next 10 Plan, a total of \$27.2 million in Local Fair Share funds have been distributed to local agencies. Final funding recommendations for the 2017 Project O and P call for projects will be presented to the Board next quarter.

**a. Complete the remaining three grade separation projects (Project O).**

Grade Separation projects under construction include: Raymond Avenue, State College Boulevard, and Lakeview Avenue. Construction on Lakeview is anticipated to be complete by summer 2017. Construction on Raymond and State College is expected to be complete in spring 2018. To date, the Board has approved \$664 million in committed M2 and external funds for all seven of the OC Bridges Program grade separation projects.

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

The Riverside County Transportation Commission (RCTC), Los Angeles County Metropolitan Transportation Authority (Metro), and OCTA continue to work together to secure approval of a Memorandum of Understanding (MOU) with Burlington Northern Santa Fe (BNSF) Railway, which is necessary to operate train service on BNSF-owned tracks. Metrolink has taken the lead in the discussions with the BNSF Railway to evaluate the current shared use and indemnification/liability agreements that govern the use of each agency's respective railroad rights of way. Special counsel has been brought in to assist in these discussions.

Within this program, funding is provided for rail corridor and station improvements to accommodate increased train service and commuter use - including station upgrades, parking expansions, and safety enhancements. The Next 10 Plan identifies six projects to be completed by 2026, which include: Laguna Niguel/ Mission Viejo Metrolink station ADA ramps (construction 43% complete), Orange Metrolink station parking structure (construction to begin in summer 2017), Placentia Metrolink station (construction to begin in spring 2018), Anaheim Canyon Metrolink station improvement project (construction to begin in late 2019), Fullerton Transportation Center elevators (construction is 5% complete), and San Clemente Pier Metrolink/Amtrak station lighting (construction 100% complete). For more details, see the project updates contained in the following pages.

**5. Complete design, construction and begin operating the OC Streetcar (Project S) and complete the Orange County Transit Vision and the Harbor Corridor Transit Study to guide development of future transit connections (Project S).**

OC Streetcar

To date, the Board has approved up to \$306.4 million for the OC Streetcar project, including preliminary studies, environmental, project development and construction. The Federal Transit Administration (FTA) has shown strong support for this project, including ascribing an overall medium-high rating to it in their 2016 Annual New Starts Report. The full Notice to Proceed for design was issued in February 2016. Approval for entry into the New Starts Engineering phase was obtained from the FTA in January 2017.

*Continues on the next page...*



*Continued from previous page...*

### OC Transit Vision

During this quarter the “State of OC Transit” report was completed. This report provides an overview of existing transit service in Orange County, including the context in which it operates, the built environment, travel patterns, and demographics. It also summarizes important local and regional plans and policies, describes best practices in the development of rapid-transit corridors, and discusses emerging transportation trends and technologies. Finally, the report includes the transit-related opinions, perceptions, and priorities of a broad range of local stakeholders. The report can be downloaded from the project website at [www.octa.net/octransitvision](http://www.octa.net/octransitvision). The completed OC Transit Vision is expected to be presented to the Board in November 2017.

### Harbor Corridor Transit Study

During the quarter, the Harbor Study team finalized a set of draft alternatives; and conducted outreach to share twelve (12) draft alternatives and solicit input from the public and stakeholders prior to the evaluation process. The outreach campaign was conducted from mid-February to mid-April and included: presentation of the draft alternatives to the OCTA Board and Transit Committee, two public open houses, a meeting with the stakeholder working group, updates to city councils in the study area and other organizations, and a social media campaign which included surveys and study updates, and options for providing comments.

With the outreach activities completed, the Harbor Study will focus on the final phase of the study in the fourth quarter. The final phase will evaluate the twelve (12) draft conceptual alternatives and present the evaluation results and a summary of the public comments to the OCTA Board during the month of July.

### **6. Provide up to \$120 million in funding to expand mobility choices for seniors and persons with disabilities (Project U).**

Since M2 inception, more than \$45 million in Project U funds has been provided for the Senior Mobility Program (SMP), the Senior Non-emergency Medical Transportation Program (SNEMT), and the Fare Stabilization Program. Included in this amount, approximately \$5.2 million has been provided for the SMP, SNEMT, and Fare Stabilization programs since Next 10 Plan adoption.

### **7. Support local agency efforts to deliver Board-approved community transit projects and provide grant opportunities for local agencies to implement effective local transit services (Project V).**

Since 2013, the Board has approved approximately \$36.86 million to fund 29 community-based transit service projects (22 capital and operations grants and 7 planning grants). Approved projects service areas in 19 cities and the County of Orange: Anaheim, Costa Mesa, County of Orange, Dana Point, Fountain Valley, Garden Grove, Huntington Beach, Irvine, La Habra, Laguna Beach, Laguna Niguel, Lake Forest, Mission Viejo, Newport Beach, Placentia, Rancho Santa Margarita, San Clemente, San Juan Capistrano, Tustin, and Westminster. OCTA receives ridership reports from local agencies on a regular basis to monitor the success of these services against performance measures adopted by the Board. Staff continuously monitors these services to ensure the performance standards are met and provide reports to the Board on a regular basis. For more details on program performance and service see page 30.

*Continued from previous page...*

**8. Allocate \$9 million in funding to improve the top 100 busiest bus stops in Orange County and support the modernization of the bus system to enhance the customer experience (Project W).**

Between M2 inception and Next 10 Plan adoption, the Board approved up to \$1,205,666 for supporting 51 city-initiated improvements and \$370,000 for OCTA-initiated improvements. The \$370,000 contribution was invested towards a mobile ticketing application (app) to make it more convenient for bus customers to purchase bus passes, obtain trip information, and board buses using smart phone devices to display bus passes as proof of payment. Following implementation of the existing projects, staff will work with local agencies to assess future funding needs. Future funding recommendations will be brought to the Board.

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

The Freeway Mitigation Program is proceeding as planned, with seven properties (Preserves) acquired (1,300 acres), and 12 restoration projects approved for funding by the Board, totaling approximately 350 acres. These Preserves and restoration projects are folded into the OCTA Natural Community Conservation Plan/Habitat Conservation Plan (NCCP/HCP), which contributes mitigation to streamline the permitting process for M2 freeway projects. The program's Conservation Plan and Final Environmental Impact Report and Environmental Impact Statement (EIR/EIS) were approved by the Board in November 2016. As part of the NCCP/HCP process, an endowment is required to be established to pay for the long-term management of the Preserves. As anticipated, the first deposit for the endowment was made in early 2017. In February 2017, the Board approved the funding of a new restoration project, the United State Forest Service San Juan Creek Restoration Project. This will help meet the remaining mitigation needs of the NCCP/HCP. Staff will continue to oversee and manage the Preserves until a long-term manager(s) is established. Additionally, staff will monitor the progress of all restoration projects and provide status updates to the Environmental Oversight Committee until each project is implemented.

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

Prior to Next 10 adoption, the Board awarded approximately \$45 million for 138 Tier 1 and 22 Tier 2 projects. On March 13, 2017, the Board approved the FY 2017-18 Environmental Cleanup Program Tier 1 call for projects, totaling approximately \$3.1 million. Staff is working with the ECAC to determine the best timing for the next Tier 2 call based on projected cash flow and local jurisdictions' interest in potential viable Tier 2 projects.



## Interstate 5 (I-5) Projects

### Project A

#### I-5 (SR-55 to SR-57)

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** Design Phase Underway - 90% Complete

**Summary:** This project will increase HOV capacity by adding a second HOV lane in both directions along I-5 between SR-55 and SR-57 in Santa Ana. This quarter, Caltrans completed their review of 95 percent Engineering Plans, Specifications & Estimates (PS&E). Safety review identified additional features that will be incorporated into the final design plans. The design phase is expected to be complete by mid-2017. Funding for the construction phase of this project was impacted by the STIP reductions. Staff is working with the California Transportation Commission (CTC) as well as evaluating alternative funding in hopes of keeping this project on schedule.

### Project B

#### I-5 (SR-55 to the El Toro "Y" Area)

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** Environmental Phase Underway - 59% Complete

**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 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 consultant continued working on technical studies and obtained approval on some. The final Environmental Document is expected to be complete in August of 2018.

# Measure M2

## Progress Report

### FREEWAYS



## Project C & Part of Project D

### I-5 (SR-73 to Oso Parkway/ Avery Parkway Interchange) Segment 1

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** Design Phase Underway - 80% Complete

**Summary:** This project will make improvements along I-5 between SR-73 and Oso Parkway in the cities of Laguna Hills, Laguna Niguel, and Mission Viejo. The proposed improvements include the addition of a general purpose lane in each direction and reconstruction of the Avery Parkway Interchange (part of Project D). During the quarter, comments were received from Caltrans on ROW maps. All comments were addressed and maps were re-submitted on March 20, 2017 for final review. Staff continued to work with Caltrans regarding ROW support services. Work continued on the preparation of 95 percent PS&E submittal. Design work is anticipated to be complete in 2018. Due to extended ROW coordination, this project is marked “red” in the Capital Action Plan, signifying a delay of over three months beyond the original schedule.

### I-5 (Oso Parkway to Alicia Parkway/ La Paz Road Interchange) Segment 2

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** Design Phase Underway - 85% Complete

**Summary:** This project will make improvements along I-5 between Oso Parkway and Alicia Parkway in the cities of Mission Viejo, Laguna Hills, and Lake Forest. The proposed improvements include the addition of a 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 receiving comments from Caltrans on the 95 percent PS&E submittal, continued coordination on the aesthetics concept plan, off-site sound walls, service contract with Southern California Rail Road Association (SCRRA) and Metrolink, and with Caltrans on ROW and utilities. Federal authorization to begin work on the ROW phase was granted in December. Due to extended ROW coordination, this project is marked “yellow” in the Capital Action Plan, signifying a delay of one to three months beyond the original schedule.

### I-5 (Alicia Parkway to El Toro Road) Segment 3

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** Design Phase Underway - 75% Complete

**Summary:** This project will make improvements along 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. Major activities this quarter included providing responses to comments received from the 65 percent submittal and completing meetings with the functional units for concurrence, continued coordination on the aesthetics concept plan, and the continued development of a plan to address potential impacts to Avenida De La Carlota and Southern California Edison power lines therein. Also held meetings with other utility agencies to determine the need, extent and schedules for third party relocations/protection. Due to extended ROW coordination, this project is marked “yellow” in the Capital Action Plan, signifying a delay of one to three months beyond the original schedule.

*Continues on the next page...*



# Measure M2

## Progress Report

### FREEWAYS



*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 - 63% Complete

**Summary:** This segment adds a carpool lane in each direction on 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), which will also provide bicycle lanes in both directions of Avenida Pico. Construction began in February 2015. During the quarter, Pile driving for the easterly half of Avenida Pico Undercrossing bridge was completed. Construction of both abutments for the easterly half of Avenida Pico Undercrossing bridge were completed and the false work installed. Construction of Avenida Pico retaining wall is in progress, and construction of the roadway section is ongoing. Construction is scheduled to be 100 percent complete in early 2018.

#### **I-5 (Avenida Vista Hermosa to PCH)**

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** Construction Underway - 95% Complete

**Summary:** This segment adds a carpool lane in each direction of I-5 between Avenida Vista Hermosa and Pacific Coast Highway (PCH) in San Clemente, and also includes reconstructing on and off ramps at Avenida Vista Hermosa and Camino de Estrella. Construction began in September 2014. During the quarter, Hot Mix Asphalt (HMA) paving work in the southbound and northbound directions was completed. Continued working on landscaping, installation of signs and electrical systems throughout the job. Construction is scheduled to be 100 percent complete in June 2017. The added carpool lanes will be open to traffic when the segments at either side of this improvement are complete in early 2018. Due to numerous rain delays and some construction related work, this project is marked "yellow" in the Capital Action Plan, signifying a delay of two months beyond the original schedule.

#### **I-5 (PCH to San Juan Creek Road)**

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** Construction Underway - 88% Complete

**Summary:** This segment will add one carpool lane in each direction of the I-5 between PCH and San Juan Creek Road in the cities of San Clemente, Dana Point, and San Juan Capistrano. Project improvements also include reconstructing on and off ramps at PCH/Camino Las Ramblas. Construction began in March 2014. During the quarter, construction of the roadway section, including the PCH connector bridge work and Hot Mix Asphalt (HMA) paving was completed. Traffic in both directions was shifted to the outside lanes and work on the median began. A soil issue identified in fall 2015 that was brought to the Board will delay the project completion. As a result, this project is marked "red" in the Capital Action Plan, signifying a delay of more than three months, with a revised completion date extending at least 19 months past the original schedule (September 2016). Construction work is scheduled to be 100 percent complete in spring 2018.



## Project D

This Project will update and improve key I-5 interchanges 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:** Rose Casey, Highways  
(714) 560-5729

**Status:** Environmental Phase Pending

**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 next quarter. The Cooperative Agreement for the Environmental Phase between OCTA and Caltrans was approved by the Board on October 10, 2016. The E-76 package to allow Caltrans to begin work was submitted to Caltrans for their processing and approval, and approval by FHWA. Work is anticipated to officially begin in the fourth quarter. An update by Caltrans on this study will be provided to the Board each quarter. The first update is scheduled to take place in May.

### I-5/ Ortega Highway Interchange

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** PROJECT COMPLETE



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

## State Route 22 (SR-22) Project

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



## State Route 55 (SR-55) Projects

### Project F

#### SR-55 (I-405 to I-5)

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** Environmental Phase Underway - 90% Complete

**Summary:** This project will widen SR-55 in the cities of Irvine, Santa Ana, and Tustin. The PDT has updated all technical studies and completed the Supplemental Draft Project Report and Environmental Document (SDPR & ED). The SDPR & ED will be circulated for public review and comment from April 3 to May 3 and a public hearing will be held on April 20, 2017. The project is ahead of the target schedule and staff is working with Caltrans to further accelerate the project schedule. The project is marked “red” in the Capital Action Plan, signifying a delay of more than three months. This project has been delayed by more than six years from its original schedule, due to differences in project determination between OCTA and Caltrans.

#### SR-55 (I-5 to SR-91)

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** Environmental Phase Underway - 5% Complete

**Summary:** This project will add capacity between 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. The environmental study will consider 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. During the quarter, the first PDT meeting was held and the development of work-plans for technical studies were initiated. The Environmental Phase is anticipated to be complete in 2019.



## State Route 57 (SR-57) Projects

### Project G

#### SR-57 NB (Lambert Road to Tonner Canyon Road)

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** Conceptual Phase Complete, Further Schedule TBD

**Summary:** Caltrans previously completed a 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 in the city of Brea. 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 (Metro) across the county line. Funding for environmental phase for this project was proposed to be included in the 2016 STIP but was removed due to funding constraints. Staff will evaluate alternative funding sources.

#### SR-57 NB (Yorba Linda Boulevard to Lambert Road)

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** PROJECT COMPLETE



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

#### SR-57 NB (Orangethorpe Avenue to Yorba Linda Boulevard)

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** PROJECT COMPLETE



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





*Project G continued from previous page...*

#### **SR-57 NB (Katella Avenue to Lincoln Avenue)**

**Status:** PROJECT COMPLETE



**Contact:** Rose Casey, Highways  
(714) 560-5729

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

#### **SR-57 NB (Orangewood Avenue to Katella Avenue)**

**Status:** Environmental Phase Underway - 10% Complete

**Contact:** Rose Casey, Highways  
(714) 560-5729

**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 opened to traffic in 2014 between Katella Avenue and Lincoln Avenue. During the quarter, technical studies continued and outreach is preparing for an initial public information meeting which is expected to take place next quarter. The Environmental Phase is anticipated to be complete in late 2018.

## **State Route 91 (SR-91) Projects**

### **Project H**

#### **SR-91 WB (SR-57 to I-5)**

**Status:** PROJECT COMPLETE



**Contact:** Rose Casey, Highways  
(714) 560-5729

**Summary:** This project increased capacity in the westbound direction of SR-91 by adding an additional general purpose lane in the westbound direction between Anaheim and Fullerton, and provided operational improvements at on and off-ramps between Brookhurst Street and State College Boulevard. This quarter, closeout activities continued, including developing the final construction estimate. Construction is 100 percent complete, as of June 23, 2016. Consultant-supplied construction management services ended on September 29, 2016. The general purpose lane was opened to traffic on March 7, 2016.



## Project I

### SR-91 (SR-55 to Tustin Avenue Interchange)

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** PROJECT COMPLETE



**Summary:** This project improved traffic flow at the SR-55/SR-91 interchange by adding a westbound auxiliary lane beginning at the northbound SR-55 to westbound SR-91 connector through the Tustin Avenue interchange in the City of Anaheim. The project was intended to relieve weaving congestion in the area and included reconstruction of the westbound side of the Santa Ana River Bridge to accommodate the additional lane. This quarter, closeout activities took place, including development of the preliminary final construction estimate. The bypass lane was open to traffic on May 14, 2016. Construction is 100 percent complete. Contract Acceptance was granted on October 31, 2016.

### SR-91 (SR-57 to SR-55)

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** Environmental Phase Underway - 33% Complete

**Summary:** This project will improve traffic flow and operations along SR-91 within the cities of Fullerton and Anaheim. The study will look at the addition of one general purpose lane eastbound 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 others within the project limits. This quarter, the consultant continued working on technical documents. M2 and federal funds would pay for the mainline freeway improvements and future funding would need to be identified for connector portions of the project. Due to Caltrans requiring extra work for the unfunded study, this project has been delayed by more than one year from its original schedule. The project is being re-baselined and the environmental phase is expected to be complete in early 2019.

## Project J

### SR-91 Eastbound (SR-241 to SR-71)

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** PROJECT COMPLETE



**Summary:** Completed in January 2011, this segment added six miles through a key stretch of SR-91 between Orange County's SR-241 and Riverside County's SR-71. The project improves mobility and operations by reducing traffic weaving from traffic exiting at SR-71 and Green River Road. An additional eastbound 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.

# Measure M2

## Progress Report

### FREeways



*Project J continued from previous page...*

#### **SR-91 (SR-241 to SR-55)**

**Status:** PROJECT COMPLETE



**Contact:** Rose Casey, Highways  
(714) 560-5729

**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 12 lane miles to SR-91, the project also delivered a much needed second eastbound exit lane at the Lakeview Avenue, Imperial Highway and Yorba Linda Boulevard/Weir Canyon Road off-ramps. Beyond these capital improvements, crews completed work on safety barriers, lane striping and soundwalls. Completion of this project in March 2013 means a total of 18 lane miles have been added to SR-91 since December 2010.

#### **SR-91 (SR-241 to I-15)**

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

**Contact:** Rose Casey, Highways  
(714) 560-5729

**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, (completed March 20, 2017) 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 2016 SR-91 Implementation Plan.

## **Interstate 405 (I-405) Projects**

### **Project K**

#### **I-405 (SR-55 to I-605)**

**Status:** Design-Build Contract Underway

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Summary:** OCTA and Caltrans are working together to widen I-405 through the cities of Costa Mesa, Fountain Valley, Garden Grove, Huntington Beach, Los Alamitos, Seal Beach, and Westminster. These improvements will add one

# Measure M2

## Progress Report

### FREEWAYS



*Project K continued from previous page...*

general purpose lane, a second HOV lane to be combined with the existing HOV lane providing a dual express lane facility, and improve the local interchanges along the corridor from SR-73 to I-605. \*

On January 31, 2017, the design-build contract was executed with the design builder, OC 405 Partners, and Notice to Proceed No. 1 was issued. While the bid received from OC 405 Partners was higher than the engineer's estimate, the increase was accommodated in the project contingency. As a result, there was no change to the overall project cost.

On February 2 and 27, 2017, staff provided an update on the TIFIA loan pursuit efforts to the Finance and Administration Committee and the Board an update on the TIFIA loan pursuit efforts.

During the quarter, work continued on right of way acquisition, utility coordination, environmental re-validations, execution of toll operating agreement with Caltrans, TIFIA loan pursuit, and development of the toll lanes system integrator procurement documents. Other work includes review of design builder submittals including the draft baseline schedule, quality management plan, and transportation management plan.

\*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 that OCTA would 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.

## Project L

### I-405 (SR-55 to the I-5)

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** Environmental Phase Underway - 75% Complete

**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 consultant continued working on technical





studies and obtained approval on most of the environmental technical studies and a number of engineering technical studies. The final Environmental Document is expected to be complete in July 2018.

## Interstate 605 (I-605) Project

### Project M

#### I-605/Katella Interchange Improvements

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** Environmental Phase Underway - 22% 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. The PSR/PDS was signed on May 11, 2015 by Caltrans. Three alternatives were approved within the document, including modification of interchange ramps and lane configurations on Katella Avenue from Coyote Creek Channel to Civic Center Drive. During the quarter, the consultant continued working on technical studies, as a result, Alternative 4 has been removed from further consideration. The final Environmental Document is anticipated to be completed in November 2018.

## Freeway Service Patrol

### Project N

#### Freeway Service Patrol

**Contact:** Sue Zuhlke, Motorist Services  
(714) 560-5574

**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 help quickly clear freeway lanes and minimize congestion. During the quarter, the midday service provided assistance to 1,578 motorists, weekend service provided assistance to 773 motorists, and construction service provided assistance to 369 motorists. Since inception, M2 and construction-funded FSP has provided a total of 56,095 assists to motorists on the Orange County freeway system.



## Project O

### Regional Capacity Program

**Contact:** Sam Kaur, Planning  
(714) 560-5673

**Status:** 2017 Call for Projects in Development

**Summary:** This program, in combination with required local matching funds, provides funding for improvements on Orange County's Master Plan of Arterial Highways. On August 8, 2016, the Board approved the release of the 2017 Call for Projects. This seventh Call for Projects will make approximately \$32 million available to fund additional road improvements throughout the County. Applications were due October 21, 2016. OCTA received 16 applications for a total of \$50.3 million in funding requests. Staff has evaluated local agency applications and the recommendations to fund 13 projects for \$32.24 million were approved by the Technical Advisory Committee on February 22, 2017. Final funding recommendations will be presented to the Board in April 2017. Since 2011, 122 projects totaling more than \$231 million have been awarded by the Board to date.

### OC Bridges Railroad Program

This program will build seven grade separations (either under or over passes) where high volume streets are impacted by freight trains along the BNSF Railroad in North County. A status for each of the seven projects is included below. As of the end of this quarter, three grade separation projects are under construction, four are complete (Kraemer, Placentia, Orangethorpe, and Tustin/Rose), and the remaining projects are scheduled to be completed in 2017 and 2018.

#### Kraemer Boulevard Grade Separation



**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** PROJECT COMPLETE

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

#### Lakeview Avenue Grade Separation

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** Construction Underway - 93% Complete

# Measure M2

## Progress Report STREETS & ROADS



*Project O continued from previous page...*

**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 reconfiguring the intersection of Lakeview Avenue and Orangethorpe Avenue. Construction began on July 1, 2014. Project activities this quarter continued to include street drainage facility work, irrigation, landscaping, parking lots restoration, barrier slabs, underground electrical conduits, lighting, signals, pilasters, metal railing, and falsework placement for Atwood Channel Bridges soffit. The deck for the new Atwood Channel bridge was poured and completed in late February 2017. Lakeview Avenue (north of Orangethorpe Avenue) was closed to traffic on February 25, 2015, and was reopened with the connector road in late July 2016. Lakeview Avenue (south of Orangethorpe Avenue) was closed to through traffic on March 13, 2015, and is expected to reopen by summer 2017. Local access to all businesses will continue to be maintained. Construction is expected to be 100 percent complete by summer 2017. Due to utility conflicts and design changes, completion has been delayed four months. As a result, this project is marked “red” in the Capital Action Plan, signifying a delay of more than three months beyond the original schedule.

### Orangethorpe Avenue Grade Separation

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** PROJECT COMPLETE



**Summary:** The project located at Orangethorpe Avenue railroad crossing is grade separated and open to traffic. The project separated the local street from railroad tracks in the cities of Placentia and Anaheim by building a bridge for vehicular traffic over the railroad tracks. On May 17, 2016, a joint-grand opening event was held to commemorate the opening to traffic for the Orangethorpe and Tustin/Rose Grade Separation projects. OCTA oversaw construction of the project which was completed during the quarter. Final construction activities included landscaping, irrigation, survey monumentation, and construction close-out activities. Construction was completed in October 2016 and construction acceptance was obtained from the cities of Anaheim and Placentia on October 25, 2016. OCTA has turned over the maintenance responsibilities to the cities and commenced the one-year warranty.

### Placentia Avenue Grade Separation

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** PROJECT COMPLETE



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

# Measure M2

## Progress Report STREETS & ROADS



*Project O continued from previous page...*

identified.

### Raymond Avenue Grade Separation

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** Construction Underway - **80% Complete**

**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 is providing construction oversight, public outreach, railroad coordination and ROW support. Construction began on June 2, 2014. Activities this quarter continued to include retaining walls and Valencia Drive bridge approach slabs, pump station, storm drain, waterline, roadway pavement and mass excavation. Construction is expected to be 100 percent complete by spring 2018.

### State College Boulevard Grade Separation

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** Construction Underway - **80% Complete**

**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 walls, pump station, mass excavation, electrical, storm drain, street lighting, traffic signal, and roadway pavement. The intersection of State College Boulevard and East Valencia Drive was closed on January 9, 2015, for approximately two and a half years to allow for the construction of the new bridge at the railroad tracks. State College Boulevard, north of the railroad bridge, was opened to vehicular traffic on January 4, 2017. Construction is expected to be 100 percent complete by spring 2018.

### Tustin Avenue/ Rose Drive Grade Separation

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** **PROJECT COMPLETE**



**Summary:** The project located at Tustin Avenue/Rose Drive railroad crossing is grade separated and open to traffic. The project separated the local street from railroad tracks in the cities of Placentia and Anaheim by building a bridge for vehicular traffic over the railroad crossing. On May 17, 2016, a joint-grand opening event was held to commemorate the opening to traffic for the Orangethorpe and Tustin/Rose Grade Separation projects. OCTA oversaw construction of the project, which was completed during the quarter. Final construction activities included traffic signal controller, landscaping, irrigation, survey monumentation, and construction close-out and warranty activities. Construction was completed in October 2016 and construction acceptance was obtained from the cities of Anaheim and Placentia on





October 25, 2016. OCTA has turned over the maintenance responsibilities to the cities and commenced the one-year warranty.

## 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 for 2,000 intersections along 750 miles of roadway as the basis for synchronized operation across Orange County. The program will enhance the efficiency of the street grid and reduce travel delay.

On August 8, 2016, the Board approved the release of the 2017 RTSSP Call for Projects. This seventh Call for Projects will make approximately \$8 million available to fund additional local agency signal synchronization projects throughout the County. Final funding recommendations for the 2017 Project P Call for Projects will be presented to the Board in April 2017.

To date, OCTA and local agencies have synchronized more than 1,600 intersections along more than 430 miles of streets (or 38 projects). There have been six rounds of funding to date, providing a total of 79 projects with more than \$69.56 million in funding awarded by the Board since 2011.

## Project Q

### Local Fair Share Program

**Contact:** Vicki Austin, Finance  
(714) 560-5692

**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 \$271.4 million in Local Fair Share payments have been provided to local agencies as of the end of this quarter.

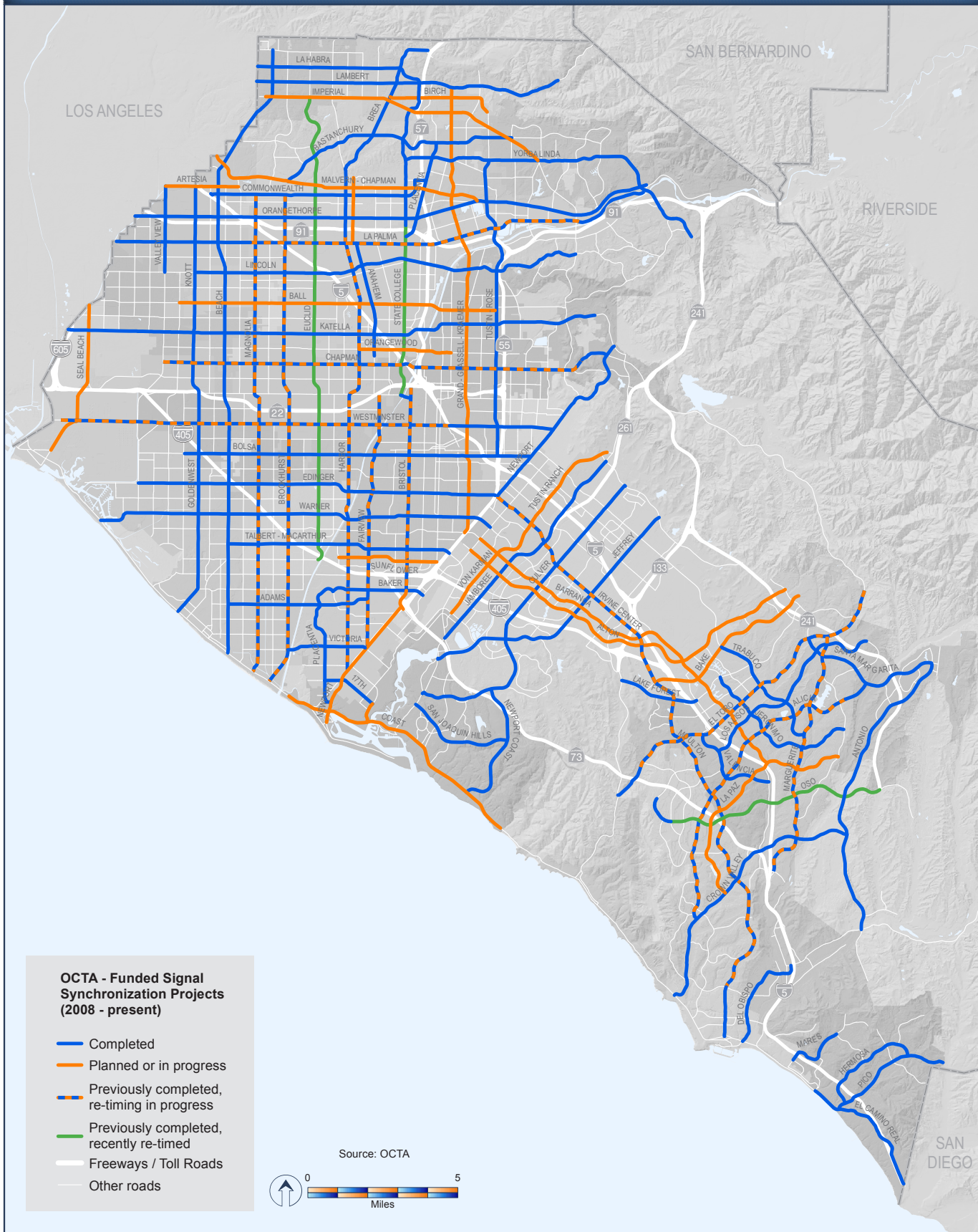
See pages 47-48 for funding allocation by local agency.

# Measure M2

## Progress Report STREETS & ROADS



### OCTA - Funded Signal Synchronization Projects (2008 - present)



#### OCTA - Funded Signal Synchronization Projects (2008 - present)

- Completed
- Planned or in progress
- Previously completed, re-timing in progress
- Previously completed, recently re-timed
- Freeways / Toll Roads
- Other roads

Source: OCTA





## 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

**Status:** PROJECT COMPLETE



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

**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 provided each corridor city with the opportunity to establish a “quiet zone” at their respective crossings. Quiet zones are intended to prohibit the sounding of train horns through designated crossings, except in the case of emergencies, construction work, or safety concerns identified by the train engineer. The cities of Anaheim, Dana Point, Irvine, Orange, Santa Ana, San Clemente, San Juan Capistrano, and Tustin have established quiet zones within their communities.

### Metrolink Service Expansion Program

**Status:** Service Ongoing

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

**Summary:** Following the completion of the Metrolink Service Expansion Program (MSEP) improvements in 2012, OCTA deployed a total of ten new Metrolink intra-county trains operating between Fullerton and Laguna Niguel/Mission Viejo, primarily during midday and evening hours. Efforts to increase ridership through a redeployment of the trains without significantly impacting operating costs have been underway since 2014. In April 2015, several schedule changes added a connection 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 data through December 2016 shows sustained ridership as a result of these schedule changes.

Part of OCTA’s re-deployment plan involves providing new trips from Orange County to Los Angeles. Staff continues to work with BNSF, RCTC, and Metro to address track-sharing issues, operating constraints and funding that will impact the options for redeployment. Metrolink has taken the lead in the discussions with the BNSF Railway to evaluate the current shared use and indemnification/liability agreements that govern the use of each agencies respective railroad rights of way. These discussions are ongoing and special counsel has been brought in to assist. Operation of additional Metrolink trains to Los Angeles is contingent on addressing indemnification and liability agreements and the completion of a triple track project on the BNSF Railway between Fullerton and Los Angeles,

*Continues on the next page...*



# Measure M2

## Progress Report

### TRANSIT



*Project R continued from previous page...*

which is currently anticipated in late 2017. Metrolink is the lead agency responsible for the negotiations.

#### Rail Corridor & 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, among other improvements 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.

#### **Anaheim Canyon Metrolink Station**

This OCTA-led project will include construction of a second main track and platform, lengthening the existing platform, improved pedestrian circulation, added benches, shade structures, and Ticket Vending Machines (TVM) at the Anaheim Canyon Metrolink Station. Preliminary plans are complete and CEQA was obtained in January 2017. NEPA clearance is expected in April 2017. A Request for Proposals (RFP) for final design will be released by the Board in April.

#### **Fullerton Transportation Center Improvements - 5% Complete**

Completed early on, a new 5-level parking structure, accommodating approximately 821 public parking spaces, was constructed to provide additional transit parking at the Fullerton Transportation Center for both intercity rail service and commuter rail passengers. This City-led project was completed on June 19, 2012. After completion, an elevator upgrade project was proposed with leftover savings. The elevator project will modify the existing pedestrian bridge to add two new traction elevators, one on each side. The City of Fullerton is the lead on this project as well. Notice to Proceed was issued in January 2016 and improvements to the public restrooms were completed; however, the elevator portion of the project has experienced several delays due to sub-contractor issues and utility conflicts. The schedule is being revised by the contractor and construction is expected to take one year.

#### **Laguna Niguel/Mission Viejo Station - 43% Complete**

The Laguna Niguel/Mission Viejo station accessibility improvements project is currently in the construction phase. Improvements include new Americans with Disabilities Act (ADA)-compliant access ramps on either side of the pedestrian undercrossing and a unisex ADA-compliant restroom. The contractor has finished relocation of the sewer line. The contractor continued with forming and placement of reinforcing steel on the west side. Excavation and shoring activities on the east side of the project has begun. The foundations of three new canopies have been poured and completion is anticipated in April. Due to various submittal requirements taking longer than expected, staff is anticipating the project will be completed 1-3 months beyond the original schedule. As a result, this project is marked "yellow" in the Capital Action Plan. The project is expected to be complete in July 2017.

#### **Orange Parking Structure**

OCTA is the lead for the construction phase of this project. The City of Orange is the lead for the design phase. An Invitation for Bids (IFB) was released in July 2016, and a bid opening was held on September 20, 2016. The

*Continues on the next page...*

# Measure M2

## Progress Report

### TRANSIT



*Project R continued from previous page...*

plans were deemed non-compliant with federal Buy America provisions and the procurement was cancelled. The construction contract was re-bid in November 2016 and due to complications, the procurement was canceled. A new procurement is underway and award of the construction contract is anticipated in June 2017 with construction to begin in the Summer of 2017. In September 2016, the Board approved the selection of a construction management firm. A contract will be signed once the construction contract is awarded by the Board. The completed project will be a 611-space, 5-level shared use parking structure that will be located on Lemon Street between Chapman Avenue and Maple Street in Orange. This project is marked “red” in the Capital Action Plan, signifying a delay of more than three months.

#### ***Placentia Station***

Plans for the proposed Placentia Metrolink Station Project were near completion but the City of Placentia requested to modify the plans to include a parking structure to be built where surface parking had been designed. On June 27, 2016, the Board approved a new cooperative agreement with the City that revised the scope of the project and budget. There will now be a parking structure as part of the project and the City will contribute towards the cost. OCTA revised the agreement with the engineer of record and revisions to the plans are 60% complete. An RFP for construction management services was released in August 2016 and a selection was approved by the Board in December 2016. A contract for these services is expected to be in place in May 2017 so a constructability review can be done. The project is anticipated to begin construction in spring 2018 and is anticipated to be complete in fall 2019.

#### ***San Clemente Pier Station Lighting - 100% Complete***

This project was completed on March 17, 2017, and is in the closeout phase. OCTA was the lead for design and installation of this project which added lighting to the existing platform and new decorative hand rails at the San Clemente Pier Station.

#### ***San Juan Capistrano/Laguna Niguel Passing Siding Project***

Currently in the design phase, this project will add approximately 1.8 miles of new passing siding railroad track adjacent to the existing mainline track, which will enhance operational efficiency of passenger services within the LOSSAN rail corridor. The 90 percent design plans have been reviewed by SCRRA and the City of San Juan Capistrano (City). The design will remain at 90 percent as OCTA continues to work with the California Public Utilities Commission and the City to resolve the at-grade crossing status. The overall project cost impacts are currently estimated at \$5.6 million above the original project budget of \$25.3 million, which was based on a preliminary design in 2013. The project cost increase was due to necessary changes to the specified retaining wall type, height, and length due to site constraints, removal of Control Point (CP) Avery, replacement of an existing 1940 wooden trestle bridge, and other adjustments to project support costs and construction cost escalations. Completion of the design phase is expected in November 2017 and construction is expected to begin in mid-2018 due to continued discussion to resolve the crossing issue. Project completion is expected in late 2020. The project team continues to reduce the

# Measure M2

## Progress Report

### TRANSIT



*Project R continued from previous page...*

overall schedule impact wherever possible. This project is marked “red” in the Capital Action Plan, signifying a delay of more than three months.

#### ***Tustin Parking Structure -100% Complete***

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

Additional rail corridor improvements include: completion of the San Clemente Beach Trail Audible Warning System (AWS) project, which provides additional safety improvements and AWS devices at seven pedestrian grade crossings along the beach trail (AWS activation occurred on June 24, 2016); completed PSR’s or environmental clearance for six potential grade separation projects along the LOSSAN corridor (State College Avenue, Ball Road, 17th Street, Santa Ana Boulevard, Grand Avenue, and Orangethorpe Avenue); replacement of the San Juan Creek railroad bridge in the City of San Juan Capistrano, which will also accommodate a future bike trail on the south end along the creek (design is 60 percent complete); the Control Point project at Fourth Street in the City of Santa Ana, which will provide rail operational efficiencies; the Railroad ROW Slope Stabilization project, which includes eight locations within the OCTA-owned LOSSAN rail corridor that have been identified for improvements to prevent future erosion and slope instability; video surveillance, and continued implementation of Positive Train Control.

#### **Sand Canyon Grade Separation**

**Contact:** Rose Casey, Highways  
(714) 560-5729

**Status:** PROJECT COMPLETE



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

## Project S

#### **Transit Extensions to Metrolink**

In order to broaden the reach of Metrolink to other Orange County cities, communities, and activity centers, Project S includes a competitive program which allows cities to apply for funding to connect passengers to their final destination via transit extension. 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 previous page...*

## OC Streetcar Project

**Status:** Design Phase Underway

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

**Summary:** OCTA is serving as the lead agency for the OC Streetcar project. FTA formally advanced the project into the Project Development phase of the federal New Starts program in May 2015. FTA has shown strong support for this project, including ascribing an overall medium-high rating to it in their Annual New Starts Report, which was released in February 2016. The full Notice to Proceed for design was issued in February 2016, and a consultant team was selected to prepare design plans (PS&E) for the project.

In January 2017, the OC Streetcar was approved by the Federal Transit Administration (FTA) into the New Starts Engineering phase. This significant milestone was preceded by the completion of 60 percent design in December 2016 as well as submission of project readiness documents. During the reporting period, staff continued to submit additional project readiness documents to FTA as required for the Full Funding Grant Agreement (FFGA) application. The FFGA application is anticipated to be submitted in May 2017, pending OCTA Board approval. FTA conducted a Risk Assessment workshop in March reviewing the Project's cost, schedule and scope as defined by the 60% design plans. Results of the Risk Assessment workshop will be presented to the Board in May 2017.

The Construction Manager performed an initial constructability review of the 60% design plans and provided input on construction elements, including schedule, phasing and contract specifications. This effort will be further refined upon 90% design completion that is scheduled for late April 2017.

Staff continued meetings with utility owners to identify utility conflicts and assist with their response to relocation claim letters. Additionally, negotiations continued regarding acquisition of properties required for the Maintenance and Storage Facility and relocation assistance for the residential and commercial tenants.

Meetings were held with the Safety and Security Committee to review the 60 percent design plans as well as with the California Public Utilities Commission (CPUC) to discuss the grade crossing applications, the traffic-related elements required for streetcar operations as well as approval of the required safety and security certification plan.

A pre-proposal meeting was held in January on the vehicle manufacturing and delivery procurement which was released in December 2016. Several addendums were issued to respond to proposers' questions, with the due date for proposals extended to late May 2017. Staff conducted interviews for the Public Awareness Campaign (PAC) Request For Proposals. Award of the PAC contract is scheduled for April 2017.

Efforts to secure the required agreements with the City of Santa Ana and City of Garden Grove continued. The public way use agreement was executed by the OCTA Board and City of Santa Ana. Negotiations were finalized for the construction agreements with the City of Santa Ana and City of Garden Grove and the agreement with the City of Santa Ana for incorporation of streetcar elements at the Santa Ana Regional Transportation Center. The latter agreements are scheduled to be considered by the OCTA Board and City Councils in April 2017.



*Project S continued from previous page...*

Based upon an evaluation of multiple organizational models as well as a set of key considerations, the Board approved the contracting out of operations and maintenance services for the OC Streetcar. An RFP is anticipated to be released for Operation and Maintenance services in Fall 2017.

### Bus and Station Van Extension Projects

**Contact:** Sam Kaur, Planning  
(714) 560-5673

**Status:** Service Ongoing for Oakley Vanpool and Anaheim Canyon Metrolink Bus Connection

**Summary:** Bus and Station Van Extension projects help enhance the frequency of service in the Metrolink corridor by linking communities within the central core of Orange County. To date, the Board has approved one round of funding for bus and van extension projects, totaling over \$730,000. Four projects located within the cities of Anaheim and Lake Forest were approved for funding by the Board on July 23, 2012. Two projects have implemented service, one has been revised with a scope change, and the other has been cancelled. 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. Following detailed discussions with OCTA staff, the Board approved a scope change submitted by the City on behalf of Panasonic Avionics in December 2015, which utilizes the City's established shuttle program to provide trips between the Irvine Metrolink Station and the Panasonic employment center as an alternative to providing vanpool services. Service associated with Invensys Incorporated in the City of Lake Forest was cancelled at the request of the participant, and the funds have been returned to the program for use in future calls for projects. Service provided in the City of Anaheim carries approximately 90 passengers per day between the station and Anaheim Resort area.

## 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:** PROJECT COMPLETE



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





*Project U continued from previous page...*

## Project U

Project U expands mobility choices for seniors and persons with disabilities, and includes the Senior Mobility Program (SMP), the Senior Non-emergency Medical Transportation Program (SNEMT), and the Fare Stabilization Program. Since inception, a total of approximately \$45 million in Project U funding has been provided under M2.

### Senior Mobility Program (SMP)

**Contact:** Curt Burlingame, Transit  
(714) 560-5921

**Status:** Ongoing

**Summary:** This program provides one percent of net M2 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 \$14.98 million and 1,708,000 boardings have been provided for seniors traveling to medical appointments, nutrition programs shopping destinations, and senior and community center activities. This quarter, more than \$987,400 was paid out to the 31 participating cities during the month of January and March\*.

*\*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:** Curt Burlingame, Transit  
(714) 560-5921

**Status:** Ongoing

**Summary:** This program provides one percent of net M2 revenues to supplement existing countywide senior non-emergency medical transportation services. Including this quarter and since inception of the program, more than \$15.08 million and 547,000 SNEMT boardings have been provided. This quarter, more than \$1 million in SNEMT funding was paid to the County of Orange\*.

*\*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.*

### Fare Stabilization Program

**Contact:** Sean Murdock, Finance  
(714) 560-5685

**Status:** Ongoing

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

*Continues on the next page...*

# Measure M2

## Progress Report

### TRANSIT



*Project U continued from previous page...*

Approximately \$844,293 in revenue was allocated this quarter to support the Fare Stabilization Program. The amount of funding utilized each quarter varies based on ridership. Throughout the quarter, approximately 3,224,986 program-related boardings were recorded on fixed route and ACCESS services. Since inception of the program, more than \$16.7 million and 79,225,000 program-related boardings have been provided.

## Project V

**Contact:** Sam Kaur, Planning  
(714) 560-5673

### Community Based Transit / Circulators

**Status:** 2012 Call for Projects Service Ongoing, 2016 Call for Projects Service Begun

**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 the first round of funding for \$9.8 million to fund five funding proposals from the cities of Dana Point, Huntington Beach, La Habra, Laguna Beach, and Lake Forest. Funding was approved 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. Prior to the second Call for Projects, Project V Guidelines were revised in 2015, per Board direction, to encourage more local agency participation. On June 13, 2016 the Board approved \$26.7 million in Project V funds for 17 Capital and Operations grants and \$323,780 for seven planning grants. OCTA staff has completed agreements with the local agencies to implement these projects. Services for the Cities of Westminster, Mission Viejo and San Clemente started in October 2016. OCTA receives ridership reports from local agencies on a regular basis to monitor the success of these services against performance measures adopted by the Board. In general, special event services are performing at high productivity levels. Since fixed route services are struggling to meet the ridership target, OCTA made recommendations to local agencies to conduct outreach efforts and route changes that can help improve the ridership. Staff will continue to monitor these services to ensure the performance standards are met and will provide reports to the Board on a regular basis.

*Continues on the next page...*



## Project W

**Contact:** Sam Kaur, Planning  
(714) 560-5673

### Safe Transit Stops

**Status:** City-Initiated Improvements Underway or Complete; Mobile Ticketing in Use

**Summary:** This project provides funding for passenger amenities at the 100 busiest transit stops across the County, determined by average daily weekday passenger boardings. Stop improvements will be designed to ease transfers between bus lines and provide passenger amenities such as improved shelters and lighting. On July 14, 2014, the Board determined that 80 percent of available Project W funding (\$4.47 million) would be designated for supporting city-initiated projects, and the remaining 20 percent (\$1.12 million) would be directed towards the development and implementation of regional, customer-facing technologies that benefit the 100 busiest stops. On the same date, the Board approved up to \$1,205,666 for city-initiated improvements and \$370,000 for OCTA-initiated improvements in fiscal year 2014-15.

According to October 2012 ridership data, 15 cities (containing at least one of the 100 busiest stops) are eligible for Safe Transit Stops funding. Seven cities applied for funds, and 51 projects were approved for funding per the July 2014 Board approval. Letter agreements with local agencies to allow the use of funds are complete. The City of Anaheim was not able to initiate the improvements for their projects and will reapply for funds through the next Call for Projects. The remaining 43 projects have been moving forward. The Cities of Irvine, Westminster, Costa Mesa, Orange, and Brea have completed their projects. The City of Santa Ana awarded their contract in April 2016 and will report completion of the projects to OCTA in the future.

For OCTA-initiated improvements, the \$370,000 investment has been contributed towards a mobile ticketing application (app) that will make it more convenient for bus customers to purchase bus passes, obtain trip information, and board buses by allowing riders to use their smart phones to display proof of payment or "mobile ticketing." The smart phone app was launched on June 15, 2016, for OC Fair and Express Bus users and received positive reviews. It is planned to be expanded to include regular fixed route and college pass purchases next quarter, and then to include reduced fare purchases (for Seniors and Persons with Disabilities) early next year.



This Page Intentionally  
Left Blank



## Project X

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

### Environmental Cleanup

**Status:** Ongoing

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

Project X is composed of a two-tiered funding process focusing on early priorities (Tier 1), and a second program designed to prepare for more comprehensive capital investments (Tier 2). To date, there have been six rounds of funding under the Tier 1 grants program. A total of 138 projects, amounting to nearly \$17 million, have been awarded by the Board since 2011. There have been two rounds of funding under the Tier 2 grants program. A total of 22 projects in the amount of \$27.89 million have been awarded by the Board since 2013. To date, 33 of the 34 Orange County cities plus the County of Orange have received funding under this program. The seventh Tier 1 Call for Projects was released on March 13, 2017, providing approximately \$3.1 million.

Staff continues to work with the ECAC and the County of Orange to recommend the appropriate timing of a third Tier 2 Call for Projects.

## Part of Projects A-M

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

### Freeway Mitigation Program

**Status:** Final Conservation Plan and EIR/EIS Approved by the Board

**Summary:** The Freeway 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 program is proceeding as planned, with seven properties (Preserves) acquired (1,300 acres), and 12 restoration projects approved for funding by the Board, totaling approximately 350 acres. The restoration project plans have been approved by the wildlife agencies and are currently at various stages of implementation. 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



# Measure M2

## Progress Report

### ENVIRONMENTAL



*Part of Projects A-M continued from previous page...*

of approximately \$55 million.

The program's Final Natural Community Conservation Plan/Habitat Conservation Plan (Conservation Plan) and Final Environmental Impact Report and Environmental Impact Statement (EIR/EIS) were approved by the Board in November 2016. As part of the Conservation Plan process, an endowment is required to be established to pay for the long-term management of the Preserves. In September 2016, the Board approved Staff's recommendation to retain the California Community Foundation to establish the endowment. It is estimated that it will take up to fifteen years to fully fund the endowment. As anticipated, the first deposit for the endowment was made in early 2017. Staff will continue to oversee and manage the Preserves until a long-term manager(s) is established. Additionally, staff will monitor the progress of all restoration projects and provide status updates to the Environmental Oversight Committee until each project is implemented.

Separate Preserve-specific RMPs for five Preserves within Trabuco and Silverado Canyons are currently being finalized and will determine the appropriate management needs (consistent with the Conservation Plan), which will include an assessment of recreational uses for each of the Preserves. In addition, the RMPs are also under development for the more recently acquired MacPherson and Aliso Canyon Preserves. Public access events will continue to be held on the Ferber Preserve as well as the O'Neill Oaks and Aliso Canyon Preserves. A list of scheduled 2017 wilderness Preserve hiking and equestrian riding tours is available on the M2 website at [www.PreservingOurLegacy.org](http://www.PreservingOurLegacy.org).

As part of the safeguards in place for the M2 Program, a 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).

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

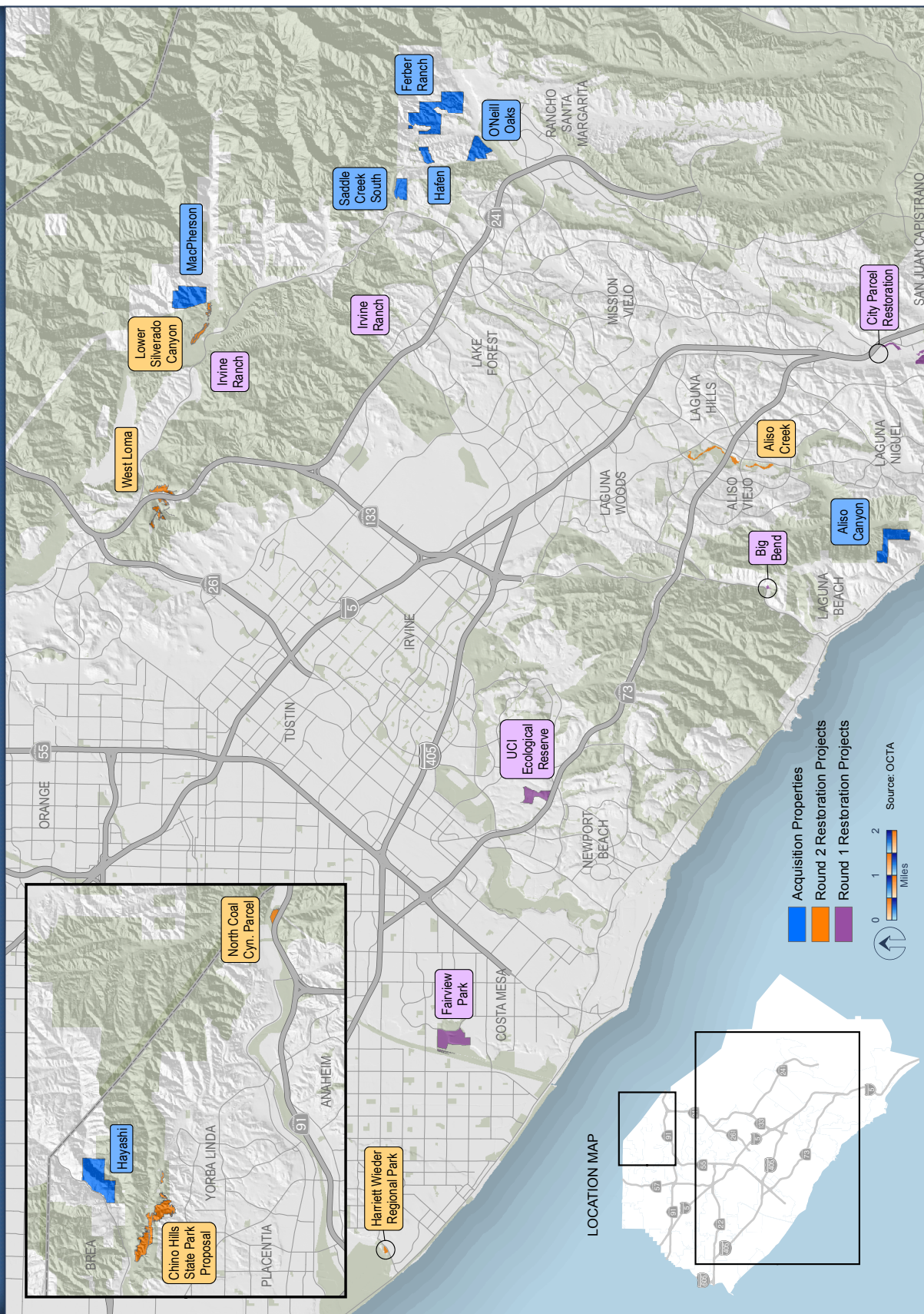
# Measure M2

## Progress Report

### ENVIRONMENTAL



## Acquisition Properties and Funded Restoration Projects







## 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.

### Next 10 Delivery Plan

On November 14, 2016, the Board of Directors adopted the Next 10 Delivery Plan providing staff guidance on delivery of M2 projects and programs between 2017 and 2026. The Next 10 Plan takes into account the revised sales tax revenue forecast (supplemented with external revenue – Federal, State and local dollars), updated project cost and schedules, and outlines key M2 project and program milestones to be delivered in the next 10 years. During the Next 10 time period, more than \$6 billion in transportation improvements promised to the voters in M2 are to be completed or underway by 2026.

This quarter, staff developed a tracking mechanism to monitor original Next 10 cash flow assumptions, against updated project cost estimates and contingency usage. The tracking system is intended to ensure staff is able to cumulatively watch the impact of project cost changes. If a significant impact is identified that would impact OCTA's ability to deliver the Next 10 Plan as adopted, this information will be brought to the Board for action.

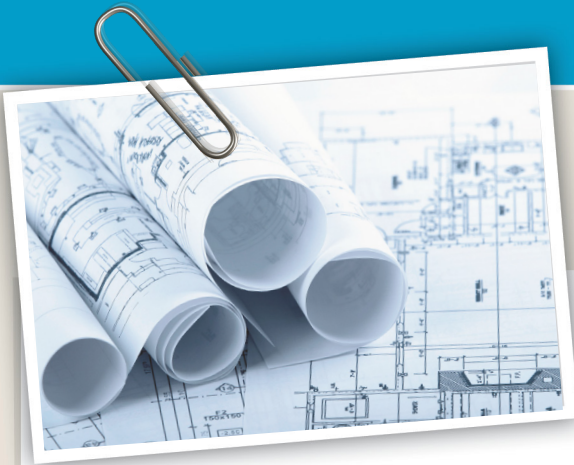
### 2012-2015 M2 Performance Assessment Update

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 the most recent assessment reviewed the time period of July 1, 2012 through June 30, 2015. The final report and findings were presented to the Board on August 8, 2016 for approval. Overall, the FY 2012-13 through FY 2014-15 assessment commends OCTA's commitment to the effective and efficient management and delivery of the M2 Program. While there were no significant findings, recommendations for improvements were made. A total of 9 recommendations were identified and staff has been working to address and close out all recommendations. As planned, staff is on track to bring a closeout item to the Board by the end of the calendar year.

### M2 Awareness and Signage

M2 Signage Guidelines were being developed in response to Performance Assessment findings regarding M2 awareness and public perception. These uniform guidelines will document signage procedures to follow for each of the M2 programs (Freeway, Streets & Roads, Transit, and Environmental projects) and will be designed to create a common brand across all modes. The effort was stalled due to concern over the continued use of Measure M in Orange County. With the passage of LA Metro's "Measure M" staff shared with the Board that a proposal will be brought forward to change the measure's logo. With the most common and visible use of the Measure M logo being on freeway funding signs and local





*PMO continued from previous page...*

street funding signs, staff has been working on some concepts. These will be brought forward in the coming months for consensus and approval.

### **M2 Administrative Cost Safeguards**

Both M1 and M2 include one 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 one percent, only one 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 one percent, OCTA can still allocate the full one percent for administrative salaries and benefits but may use the unused portion to repay the amount borrowed from prior years in which administrative salaries and benefits were above one percent.

Based on the original M2 revenue projections, OCTA expected to receive \$24.3 billion in M2 funds, with one percent of total revenues available to fund administrative salaries and benefits over the life of the program. As M2 revenue projections declined (currently projected to be 41.6 percent) 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 Early Action Plan (EAP) in 2007 required administrative functions four years prior to revenue collection. While the EAP resulted in project savings and significant acceleration of the program, administrative functions were required during this time with associated administrative costs.

As a result of the aforementioned factors, OCTA has incurred higher than one percent administrative costs. OCTA currently has Board approval to use funds from the Orange County Unified Transportation Trust (OCUTT) fund to cover costs above the one percent, with the understanding that those funds will be repaid with interest in future years that OCTA administrative costs fall below the one percent cap. As of June 30, 2012, OCTA had borrowed approximately \$5.2 million from OCUTT. Over the last few years, OCTA has experienced underruns in the one percent administration cap and has made payments to OCUTT to reduce the outstanding balance. As of the most recent March 2017 Taxpayer Oversight Committee Report, the outstanding balance was \$2.2 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 January 18, 2017, to review labor reports to ensure costs attributed to the one 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 May 4, 2017, to conduct this quarterly review.

### **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.

# Measure M2

## Progress Report

### PROGRAM MGMT



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
- Annually certify whether Measure M funds have been spent in compliance with the plan.

The TOC met on February 14, 2017 to receive updated financial information on the M2 Quarterly Revenue & Expenditure Report (June 16, Sept. 16 and Dec. 16), approve the AER Subcommittee Eligibility Report FY 16-17, and hear presentations/updates on the Fourth Quarter 2016 Debt and Investment Report, I-405 Improvement Project, Final Natural Community Conservation Plan/Habitat Conservation Plan and Associated Environmental Impact Report/Environmental Impact Statement for the Measure M2 Environmental Mitigation Program, Measure M Next 10 Plan, and OC Streetcar.

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



## M2 Financing

**Contact:** Sean Murdock, Finance  
(714) 560-5685

### Revenue Forecast and Collection

OCTA contracts with three universities (Chapman University; University of California, Los Angeles; and California State University, Fullerton) to provide a long-range forecast of taxable sales to forecast Measure M2 revenues for purposes of planning projects and program expenditures. 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. On March 28, 2016, as part of the FY 2016-17 budget development process, the Board approved a new sales tax forecast methodology. This methodology includes a more conservative approach by utilizing a five-year forecast from MuniServices, Inc. Historically, MuniServices, Inc. has been more conservative than the three universities over the first five years of M2 revenue collection (2011-2016).

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 long term forecasts received in July 2016, OCTA staff forecasts total nominal sales tax collections over the life of M2 to be approximately \$14.2 billion. Original projections in 2005 estimated total nominal M2 sales tax collections at \$24.3 billion. Based on the current estimated forecast of \$14.2 billion, sales tax revenue will run approximately \$10.1 billion (41.7 percent) less than the original 2005 projection. The revenue forecast for the life of the M2 Program will vary as actual sales tax revenue data is incorporated.

Final sales tax receipts through the second quarter of fiscal year 2016-17 (December 31, 2016) were received in March 2017, and reflected a growth in sales tax revenue of 2.79 percent over the same period of the prior fiscal year. The growth, while positive, is less than the budgeted sales tax growth rate of 4.4 percent for fiscal year 2016-17. Staff will continue to closely monitor sales tax receipts. At this time, no changes are required to the budget.



This Page Intentionally  
Left Blank

# Measure M2

## Progress Report

### REVENUE & EXPENDITURES



Schedule 1

**Measure M2**  
**Schedule of Revenues, Expenditures and Changes in Fund Balance**  
**as of March 31, 2017**  
**(Unaudited)**

<i>(\$ in thousands)</i>	Quarter Ended Mar 31, 2017	Year to Date Mar 31, 2017 (A)	Period from Inception to Mar 31, 2017 (B)
<b>Revenues:</b>			
Sales taxes	\$ 71,287	\$ 230,688	\$ 1,680,997
Other agencies' share of Measure M2 costs:			
Project related	29,790	57,019	533,214
Non-project related	34	49	488
Interest:			
Operating:			
Project related	36	36	38
Non-project related	1,724	5,142	22,224
Bond proceeds	3,239	6,482	42,479
Debt service	17	31	107
Commercial paper	-	-	393
Right-of-way leases	(6)	83	897
Proceeds on sale of assets held for resale	6,804	6,804	6,804
Miscellaneous:			
Project related	-	-	270
Non-project related	-	-	100
<b>Total revenues</b>	<b>112,925</b>	<b>306,334</b>	<b>2,288,011</b>
<b>Expenditures:</b>			
Supplies and services:			
State Board of Equalization (SBOE) fees	920	2,700	18,588
Professional services:			
Project related	10,820	21,699	294,548
Non-project related	518	1,219	16,262
Administration costs:			
Project related	2,132	6,394	50,934
Non-project related :			
Salaries and Benefits	591	1,774	19,214
Other	1,170	3,510	30,148
Other:			
Project related	3,062	3,126	4,804
Non-project related	3	23	3,823
Payments to local agencies:			
Project related	42,955	90,911	698,807
Capital outlay:			
Project related	13,687	29,481	575,974
Non-project related	-	-	31
Debt service:			
Principal payments on long-term debt	7,475	7,475	34,560
Interest on long-term debt and commercial paper	10,665	21,336	136,873
<b>Total expenditures</b>	<b>93,998</b>	<b>189,648</b>	<b>1,884,566</b>
<b>Excess of revenues over expenditures</b>	<b>18,927</b>	<b>116,686</b>	<b>403,445</b>
<b>Other financing sources (uses):</b>			
Transfers out:			
Project related	(2,516)	(4,180)	(26,839)
Transfers in:			
Project related	3,471	3,964	79,508
Non-project related	(3,471)	(3,964)	1,973
Bond proceeds	-	-	358,593
<b>Total other financing sources (uses)</b>	<b>(2,516)</b>	<b>(4,180)</b>	<b>413,235</b>
<b>Excess of revenues over expenditures and other sources (uses)</b>	<b>\$ 16,411</b>	<b>\$ 112,506</b>	<b>\$ 816,680</b>

# Measure M2

## Progress Report

### REVENUE & EXPENDITURES



Schedule 2

#### Measure M2 Schedule of Calculations of Net Revenues and Net Bond Revenues (Debt Service) as of March 31, 2017 (Unaudited)

<i>(\$ in thousands)</i>	Quarter Ended Mar 31, 2017 (actual)	Year to Date Mar 31, 2017 (actual) (C.1)	Period from Inception through Mar 31, 2017 (actual) (D.1)	Period from April 1, 2017 through March 31, 2041 (forecast) (E.1)	Total (F.1)
<b>Revenues:</b>					
Sales taxes	\$ 71,287	\$ 230,688	\$ 1,680,997	\$ 12,480,077	\$ 14,161,074
Operating interest	1,724	5,142	22,224	199,182	221,406
Subtotal	<u>73,011</u>	<u>235,830</u>	<u>1,703,221</u>	<u>12,679,259</u>	<u>14,382,480</u>
Other agencies share of M2 costs	34	49	488	-	488
Miscellaneous	-	-	100	-	100
Total revenues	<u>73,045</u>	<u>235,879</u>	<u>1,703,809</u>	<u>12,679,259</u>	<u>14,383,068</u>
<b>Administrative expenditures:</b>					
SBOE fees	920	2,700	18,588	187,276	205,864
Professional services	518	1,219	12,486	85,519	98,005
Administration costs :					
Salaries and Benefits	591	1,774	19,214	124,781	143,995
Other	1,170	3,510	30,148	210,247	240,395
Other	3	23	3,823	21,519	25,342
Capital outlay	-	-	31	-	31
Environmental cleanup	993	7,674	25,824	249,562	275,386
Total expenditures	<u>4,195</u>	<u>16,900</u>	<u>110,114</u>	<u>878,904</u>	<u>989,018</u>
Net revenues	<u>\$ 68,850</u>	<u>\$ 218,979</u>	<u>\$ 1,593,695</u>	<u>\$ 11,800,355</u>	<u>\$ 13,394,050</u>
<hr/>					
(C.2)                      (D.2)                      (E.2)                      (F.2)					
<b>Bond revenues:</b>					
Proceeds from issuance of bonds	\$ -	\$ -	\$ 358,593	\$ 1,450,000	\$ 1,808,593
Interest revenue from bond proceeds	3,239	6,482	42,479	101,604	144,083
Interest revenue from debt service funds	17	31	107	3,881	3,988
Interest revenue from commercial paper	-	-	393	-	393
Total bond revenues	<u>3,256</u>	<u>6,513</u>	<u>401,572</u>	<u>1,555,485</u>	<u>1,957,057</u>
<b>Financing expenditures and uses:</b>					
Professional services	-	-	3,776	12,340	16,116
Bond debt principal	7,475	7,475	34,560	1,768,010	1,802,570
Bond debt and other interest expense	10,665	21,336	136,873	883,282	1,020,155
Other	-	-	-	-	-
Total financing expenditures and uses	<u>18,140</u>	<u>28,811</u>	<u>175,209</u>	<u>2,663,632</u>	<u>2,838,841</u>
Net bond revenues (debt service)	<u>\$ (14,884)</u>	<u>\$ (22,298)</u>	<u>\$ 226,363</u>	<u>\$ (1,108,147)</u>	<u>\$ (881,784)</u>



# Measure M2

## Progress Report

### REVENUE & EXPENDITURES



**Measure M2**  
**Schedule of Revenues and Expenditures Summary**  
**as of March 31, 2017**  
**(Unaudited)**

Schedule 3

Project	Description	Net Revenues through Mar 31, 2017	Total Net Revenues
(G)		(H)	(I)
<i>(\$ in thousands)</i>			
<b>Freeways (43% of Net Revenues)</b>			
A	I-5 Santa Ana Freeway Interchange Improvements	\$ 62,816	\$ 527,928
B	I-5 Santa Ana/SR-55 to El Toro	40,122	337,200
C	I-5 San Diego/South of El Toro	83,799	704,279
D	I-5 Santa Ana/San Diego Interchange Upgrades	34,482	289,799
E	SR-22 Garden Grove Freeway Access Improvements	16,038	134,790
F	SR-55 Costa Mesa Freeway Improvements	48,916	411,110
G	SR-57 Orange Freeway Improvements	34,575	290,585
H	SR-91 Improvements from I-5 to SR-57	18,711	157,255
I	SR-91 Improvements from SR-57 to SR-55	55,665	467,834
J	SR-91 Improvements from SR-55 to County Line	47,072	395,609
K	I-405 Improvements between I-605 to SR-55	143,380	1,205,024
L	I-405 Improvements between SR-55 to I-5	42,728	359,103
M	I-605 Freeway Access Improvements	2,673	22,465
N	All Freeway Service Patrol	20,048	168,488
	Freeway Mitigation	34,264	287,972
Subtotal Projects		685,289	5,759,441
Net (Bond Revenue)/Debt Service		-	-
<b>Total Freeways</b>		<b>\$ 685,289</b>	<b>\$ 5,759,441</b>
%			
<b>Street and Roads Projects (32% of Net Revenues)</b>			
O	Regional Capacity Program	\$ 159,372	\$ 1,339,422
P	Regional Traffic Signal Synchronization Program	63,746	535,745
Q	Local Fair Share Program	286,865	2,410,929
Subtotal Projects		509,983	4,286,096
Net (Bond Revenue)/Debt Service		-	-
<b>Total Street and Roads Projects</b>		<b>\$ 509,983</b>	<b>\$ 4,286,096</b>
%			

# Measure M2

## Progress Report

### REVENUE & EXPENDITURES



**Measure M2**  
**Schedule of Revenues and Expenditures Summary**  
**as of March 31, 2017**  
**(Unaudited)**

Schedule 3

Expenditures through Mar 31, 2017 (J)	Reimbursements through Mar 31, 2017 (K)	Net M2 Cost (L)
\$ 5,598	\$ 1,593	\$ 4,005
5,947	2,740	3,207
95,808	38,067	57,741
1,803	527	1,276
4	-	4
7,841	23	7,818
45,292	10,314	34,978
32,972	809	32,163
17,469	2,353	15,116
6,942	5,294	1,648
71,062	3,267	67,795
6,674	4,802	1,872
858	16	842
266	-	266
50,424	1,710	48,714
<hr/>	<hr/>	<hr/>
348,960	71,515	277,445
35,752	-	35,752
<hr/>	<hr/>	<hr/>
\$ 384,712	\$ 71,515	\$ 313,197
		28.4%
<hr/>	<hr/>	<hr/>
\$ 650,268	\$ 385,120	\$ 265,148
30,232	4,879	25,353
272,709	77	272,632
<hr/>	<hr/>	<hr/>
953,209	390,076	563,133
39,710	-	39,710
<hr/>	<hr/>	<hr/>
\$ 992,919	\$ 390,076	\$ 602,843
		54.6%
<hr/>	<hr/>	<hr/>

Continues on following page...



# Measure M2

## Progress Report

### REVENUE & EXPENDITURES



**Measure M2**  
**Schedule of Revenues and Expenditures Summary**  
**as of March 31, 2017**  
**(Unaudited)**

Schedule 3

Project	Description	Revenues through Mar 31, 2017	Total Revenues
	(G)	(H.1)	(I.1)
	(\$ in thousands)		
<b>Transit Projects (25% of Net Revenues)</b>			
R	High Frequency Metrolink Service	\$ 146,359	\$ 1,335,858
S	Transit Extensions to Metrolink	140,686	1,182,384
T	Metrolink Gateways	26,501	68,460
U	Expand Mobility Choices for Seniors and Persons with Disabilities	49,495	464,441
V	Community Based Transit/Circulators	31,865	267,810
W	Safe Transit Stops	3,517	29,560
	Subtotal Projects	398,423	3,348,513
	Net (Bond Revenue)/Debt Service	-	-
	<b>Total Transit Projects</b>	<b>\$ 398,423</b>	<b>\$ 3,348,513</b>
	%		
	<b>Measure M2 Program</b>	<b>\$ 1,593,695</b>	<b>\$ 13,394,050</b>
<b>Environmental Cleanup (2% of Revenues)</b>			
X	Clean Up Highway and Street Runoff that Pollutes Beaches	\$ 34,064	\$ 287,650
	Net (Bond Revenue)/Debt Service	-	-
	<b>Total Environmental Cleanup</b>	<b>\$ 34,064</b>	<b>\$ 287,650</b>
	%		
<b>Taxpayer Safeguards and Audits</b>			
	Collect Sales Taxes (1.5% of Sales Taxes)	\$ 25,215	\$ 212,416
	%		
	Oversight and Annual Audits (1% of Revenues)	\$ 17,032	\$ 143,825
	%		

# Measure M2

## Progress Report

### REVENUE & EXPENDITURES



**Measure M2**  
**Schedule of Revenues and Expenditures Summary**  
**as of March 31, 2017**  
**(Unaudited)**

Schedule 3

Expenditures through Mar 31, 2017 (J)	Reimbursements through Mar 31, 2017 (K)	Net M2 Cost (L)
\$ 162,902	\$ 95,544	\$ 67,358
13,286	2,103	11,183
98,213	60,956	37,257
46,854	88	46,766
2,461	131	2,330
198	26	172
<u>323,914</u>	<u>158,848</u>	<u>165,066</u>
<u>22,208</u>	<u>-</u>	<u>22,208</u>
<u>\$ 346,122</u>	<u>\$ 158,848</u>	<u>\$ 187,274</u>
		17.0%
<u><u>\$ 1,723,753</u></u>	<u><u>\$ 620,439</u></u>	<u><u>\$ 1,103,314</u></u>
<u>\$ 25,823</u>	<u>\$ 292</u>	<u>\$ 25,531</u>
<u>-</u>	<u>-</u>	<u>-</u>
<u>\$ 25,823</u>	<u>\$ 292</u>	<u>\$ 25,531</u>
		1.5%
<u>\$ 18,588</u>	<u>\$ -</u>	<u>\$ 18,588</u>
		1.1%
<u>\$ 19,214</u>	<u>\$ 2,182</u>	<u>\$ 17,032</u>
		1.0%

# Measure M2

## Progress Report

### LOCAL FAIR SHARE



#### M2 FUNDS

ENTITY	3rd Quarter FY 2016/17	FUNDS TO DATE
ALISO VIEJO	\$228,940.58	\$3,382,327.01
ANAHEIM	\$2,090,470.29	\$29,342,316.85
BREA	\$337,335.98	\$4,917,096.39
BUENA PARK	\$463,328.44	\$7,855,049.10
COSTA MESA	\$877,480.10	\$12,355,820.43
CYPRESS	\$309,124.74	\$4,588,197.81
DANA POINT	\$187,076.26	\$2,798,422.94
FOUNTAIN VALLEY	\$357,325.17	\$5,355,956.38
FULLERTON	\$ 758,091.64	\$11,144,745.71
GARDEN GROVE	\$879,315.63	\$12,769,933.34
HUNTINGTON BEACH	\$1,129,980.60	\$16,632,146.90
IRVINE	\$1,629,528.58	\$22,543,011.41
LAGUNA BEACH	\$151,727.83	\$2,922,981.88
LAGUNA HILLS	\$197,245.43	\$2,725,736.45
LAGUNA NIGUEL	\$385,608.12	\$5,747,567.92
LAGUNA WOODS	\$73,599.32	\$1,102,582.53
LA HABRA	\$303,580.80	\$4,538,821.42
LAKE FOREST	\$472,879.21	\$6,710,310.59

# Measure M2

Progress Report

LOCAL FAIR SHARE



## M2 FUNDS

ENTITY	3rd Quarter FY 2016/17	FUNDS TO DATE
LA PALMA	\$81,411.91	\$1,479,974.16
LOS ALAMITOS	\$76,309.92	\$1,109,864.04
MISSION VIEJO	\$548,103.87	\$8,041,921.94
NEWPORT BEACH	\$647,311.19	\$9,406,639.05
ORANGE	\$977,380.02	\$14,071,538.82
PLACENTIA	\$283,743.90	\$4,066,001.90
RANCHO SANTA MARGARITA	\$247,750.16	\$3,636,831.98
SAN CLEMENTE	\$333,969.78	\$4,763,141.34
SAN JUAN CAPISTRANO	\$216,825.15	\$3,256,668.41
SANTA ANA	\$1,655,070.79	\$23,751,294.34
SEAL BEACH	\$140,088.21	\$2,194,593.42
STANTON	\$175,219.63	\$2,582,056.93
TUSTIN	\$ 529,122.90	\$7,600,761.20
VILLA PARK	\$31,002.45	\$447,023.62
WESTMINSTER	\$508,962.03	\$7,319,871.84
YORBA LINDA	\$354,536.35	\$5,133,248.99
COUNTY UNINCORPORATED	\$1,134,828.52	\$15,699,604.44
<b>TOTAL M2 FUNDS</b>	<b>\$18,774,275.50</b>	<b>\$271,446,544.85</b>

# 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
<b>FREEWAY PROJECTS</b>					
I-5, Pico to Vista Hermosa	\$113.0	Jun-09	Dec-11	Oct-13	Aug-18
Project C	\$89.6	<b>Jun-09</b>	<b>Oct-11</b>	<b>Oct-13</b>	Aug-18
I-5, Vista Hermosa to Pacific Coast Highway	\$75.6	Jun-09	Dec-11	Feb-13	Mar-17
Project C	\$71.1	<b>Jun-09</b>	<b>Oct-11</b>	<b>May-13</b>	May-17
I-5, PCH to San Juan Creek Rd.	\$70.7	Jun-09	Dec-11	Jan-13	Sep-16
Project C	\$71.0	<b>Jun-09</b>	<b>Oct-11</b>	<b>Jan-13</b>	Apr-18
I-5, I-5/Ortega Interchange	\$90.9	Sep-05	Jun-09	Nov-11	Sep-15
Project D	\$80.3	<b>Sep-05</b>	<b>Jun-09</b>	<b>Dec-11</b>	<b>Jan-16</b>
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	<b>Oct-14</b>	<b>Sep-16</b>
I-5, SR-73 to Oso Parkway	\$151.9	Sep-11	Jun-14	Jan-18	Apr-22
Project C & D	\$151.9	<b>Oct-11</b>	<b>May-14</b>	Jan-18	Sep-22
I-5, Oso Parkway to Alicia Parkway	\$196.2	Sep-11	Jun-14	Jun-17	Mar-22
Project C & D	\$196.2	<b>Oct-11</b>	<b>May-14</b>	Dec-17	Aug-22
I-5, Alicia Parkway to El Toro Road	\$133.6	Sep-11	Jun-14	Jun-18	Sep-22
Project C	\$133.6	<b>Oct-11</b>	<b>May-14</b>	Sep-18	Dec-22
I-5, I-5/El Toro Road Interchange	TBD	TBD	TBD	TBD	TBD
Project D	TBD	May-17	Apr-20	TBD	TBD
I-5, I-405 to SR-55	TBD	May-14	Aug-18	TBD	TBD
Project B	TBD	<b>May-14</b>	Aug-18	TBD	TBD
I-5, SR-55 to SR-57	\$37.1	Jul-11	Jun-13	Mar-17	Feb-20
Project A	\$37.1	<b>Jun-11</b>	<b>Apr-15</b>	Jul-17	Jun-20

\*For detailed project 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	\$375.9	<b>May-11</b>	Sep-17	Apr-20	Jun-25
SR-55, I-5 to SR-91	TBD	Dec-16	Jan-20	TBD	TBD
Project F	TBD	<b>Dec-16</b>	Jan-20	TBD	TBD
SR-57 (NB), Orangewood to Katella	TBD	Apr-16	Dec-18	TBD	TBD
Project G	TBD	<b>Apr-16</b>	Dec-18	TBD	TBD
SR-57 (NB), Katella to Lincoln	\$78.7	Apr-08	Jul-09	Nov-10	Sep-14
Project G	\$40.5	<b>Apr-08</b>	<b>Nov-09</b>	<b>Dec-10</b>	<b>Apr-15</b>
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	<b>Jul-10</b>	Nov-18
SR-57 (NB), Orangethorpe to Yorba Linda	\$80.2	Aug-05	Dec-07	Dec-09	May-14
Project G	\$52.4	<b>Aug-05</b>	<b>Dec-07</b>	<b>Jul-09</b>	<b>Nov-14</b>
SR-57 (NB), Yorba Linda to Lambert	\$79.3	Aug-05	Dec-07	Dec-09	Sep-14
Project G	\$54.8	<b>Aug-05</b>	<b>Dec-07</b>	<b>Jul-09</b>	<b>May-14</b>
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	Jun-17	Jan-19
SR-57 (NB), Lambert to Tonner Canyon (On Hold)	TBD	TBD	TBD	TBD	TBD
Project G	TBD	Aug-18	Jul-21	TBD	TBD
SR-91 Westbound (WB), I-5 to SR-57	\$78.1	Jul-07	Apr-10	Feb-12	Apr-16
Project H	\$59.4	<b>Jul-07</b>	Jun-10	<b>Apr-12</b>	<b>Jun-16</b>
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	<b>Aug-16</b>	May-18

\*For detailed project 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	<b>Jan-15</b>	May-19	TBD	TBD
SR-91 (WB), Tustin Interchange to SR-55	\$49.9	Jul-08	Jul-11	Mar-13	Jul-16
Project I	\$43.8	<b>Jul-08</b>	<b>May-11</b>	<b>Feb-13</b>	<b>Jul-16</b>
SR-91, SR-55 to SR-241	\$128.4	Jul-07	Jul-09	Jan-11	Dec-12
Project J	\$79.6	<b>Jul-07</b>	<b>Apr-09</b>	<b>Aug-10</b>	<b>Mar-13</b>
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	<b>Feb-13</b>	<b>Feb-15</b>
SR-91 Eastbound, SR-241 to SR-71	\$104.5	Mar-05	Dec-07	Dec-08	Nov-10
Project J	\$57.8	<b>Mar-05</b>	<b>Dec-07</b>	<b>Dec-08</b>	<b>Jan-11</b>
I-405, I-5 to SR-55	TBD	Dec-14	Jul-18	TBD	TBD
Project L	TBD	<b>Dec-14</b>	Jul-18	TBD	TBD
I-405, SR-55 to I-605 (Design-Build)	\$1,900.0	Mar-09	Mar-13	Nov-15	Apr-23
Project K	\$1,900.0	<b>Mar-09</b>	<b>May-15</b>	<b>Nov-15</b>	May-23
I-605, I-605/Katella Interchange (Draft)	TBD	Aug-16	Nov-18	TBD	TBD
Project M	TBD	<b>Aug-16</b>	Nov-18	TBD	TBD
<b>GRADE SEPARATION PROJECTS</b>					
Sand Canyon Avenue Railroad Grade Separation	\$55.6	N/A	Sep-03	Jul-10	May-14
Project R	\$61.7	N/A	<b>Sep-03</b>	<b>Jul-10</b>	<b>Jan-16</b>
Raymond Avenue Railroad Grade Separation	\$77.2	Feb-09	Nov-09	Aug-12	Aug-18
Project O	\$124.8	<b>Feb-09</b>	<b>Nov-09</b>	<b>Dec-12</b>	Aug-18
State College Blvd. Grade Separation (Fullerton)	\$73.6	Dec-08	Jan-11	Aug-12	May-18
Project O	\$97.0	<b>Dec-08</b>	<b>Apr-11</b>	<b>Feb-13</b>	May-18

# 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
Placentia Ave. Grade Separation	\$78.2	Jan-01	May-01	Mar-10	Nov-14
Project O	\$64.4	<b>Jan-01</b>	<b>May-01</b>	<b>Jun-10</b>	<b>Dec-14</b>
Kraemer Blvd. Grade Separation	\$70.4	Jan-01	Sep-09	Jul-10	Oct-14
Project O	\$63.5	<b>Jan-01</b>	<b>Sep-09</b>	<b>Jul-10</b>	<b>Dec-14</b>
Orangethorpe Blvd. Grade Separation	\$117.4	Jan-01	Sep-09	Dec-11	Sep-16
Project O	\$108.6	<b>Jan-01</b>	<b>Sep-09</b>	<b>Oct-11</b>	<b>Oct-16</b>
Tustin Ave./Rose Dr. Grade Separation	\$103.0	Jan-01	Sep-09	Dec-11	May-16
Project O	\$98.3	<b>Jan-01</b>	<b>Sep-09</b>	<b>Jul-11</b>	<b>Oct-16</b>
Lakeview Ave. Grade Separation	\$70.2	Jan-01	Sep-09	Oct-11	Mar-17
Project O	\$107.4	<b>Jan-01</b>	<b>Sep-09</b>	<b>Jan-13</b>	Jul-17
17th St. Grade Separation	TBD	Oct-14	Jun-16	TBD	TBD
Project R	TBD	<b>Oct-14</b>	Jun-17	TBD	TBD
<b>RAIL AND STATION PROJECTS</b>					
Rail-Highway Grade Crossing Safety Enhancement	\$94.4	Jan-08	Oct-08	Sep-08	Dec-11
Project R	\$90.4	<b>Jan-08</b>	<b>Oct-08</b>	<b>Sep-08</b>	<b>Dec-11</b>
San Clemente Beach Trail Safety Enhancements	\$6.0	Sep-10	Jul-11	Apr-12	Jan-14
Project R	\$5.0	<b>Sep-10</b>	<b>Jul-11</b>	<b>Jun-12</b>	<b>Mar-14</b>
San Juan Capistrano Passing Siding	\$25.3	Aug-11	Jan-13	May-16	Jan-19
	\$30.8	<b>Aug-11</b>	<b>Mar-14</b>	Nov-17	Jul-19
OC Streetcar	\$309.0	Aug-09	Mar-12	Sep-17	Apr-20
Project S	\$309.0	<b>Aug-09</b>	<b>Mar-15</b>	Sep-17	Jul-20
Placentia Metrolink Station and Parking Structure	\$34.8	Jan-03	May-07	Jan-11	TBD
Project R	\$34.8	<b>Jan-03</b>	<b>May-07</b>	<b>Feb-11</b>	Oct-19

\*For detailed project 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
Anaheim Canyon Station	\$27.9	Jan-16	Dec-16	TBD	TBD
	\$27.9	<b>Jan-16</b>	Apr-17	Apr-19	Dec-20
Orange Station Parking Expansion	\$33.2	Dec-09	Dec-12	Apr-13	Jun-18
	\$33.2	<b>Dec-09</b>	<b>May-16</b>	<b>Apr-16</b>	Nov-18
Fullerton Transportation Center - Elevator Upgrades	\$3.5	N/A	N/A	Dec-13	Mar-17
	\$4.0	N/A	N/A	<b>Dec-13</b>	Jan-18
Laguna Niguel/Mission Viejo Station ADA Ramps	\$3.5	Jul-13	Jan-14	Aug-14	Apr-17
	\$4.9	<b>Jul-13</b>	<b>Feb-14</b>	<b>Jul-15</b>	Jul-17
Anaheim Regional Transportation Intermodal Center	\$227.4	Apr-09	Feb-11	Feb-12	Nov-14
Project R & T	\$230.4	<b>Apr-09</b>	<b>Feb-12</b>	<b>May-12</b>	<b>Dec-14</b>

\*For detailed project information, please refer to the individual project section within this report.



LOS ANGELES

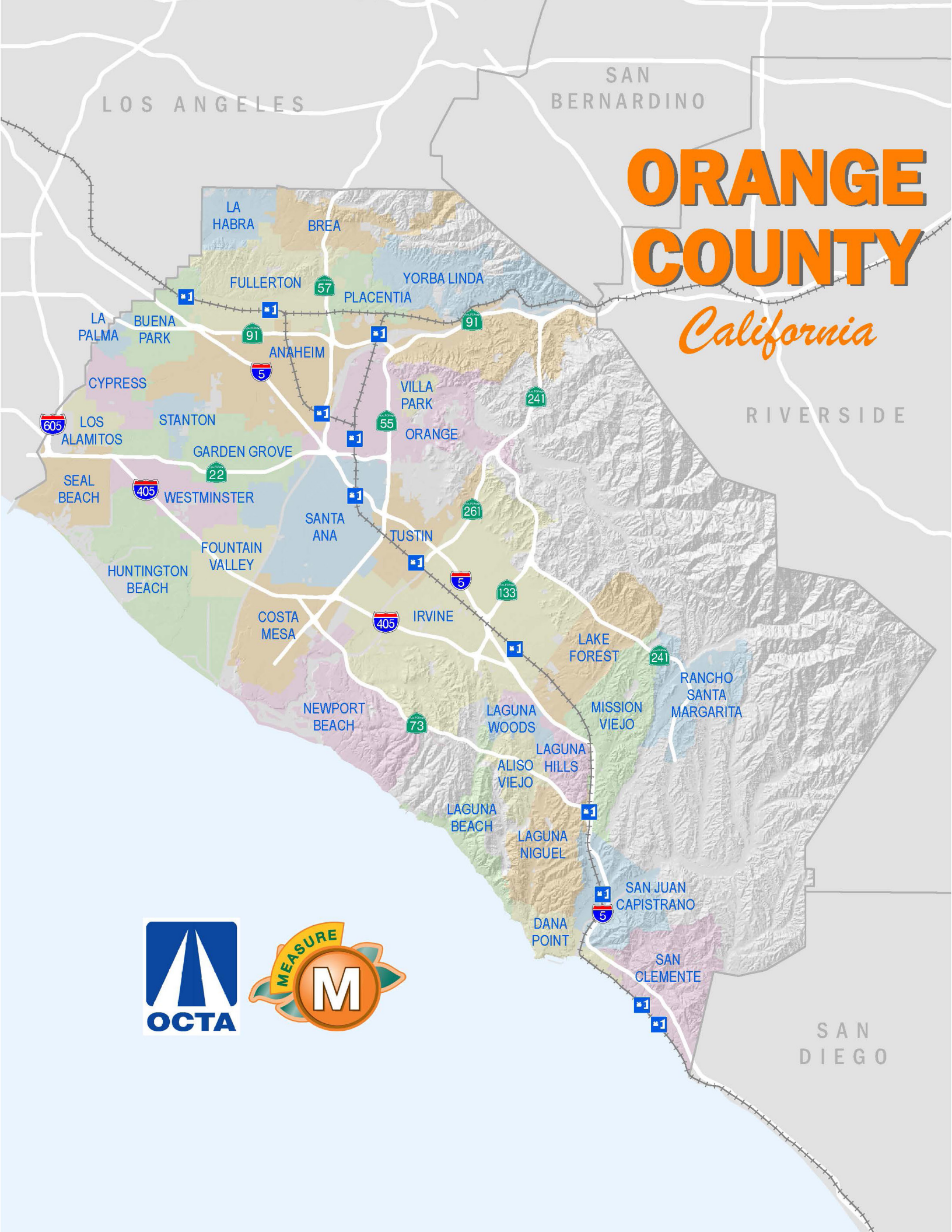
SAN BERNARDINO

# ORANGE COUNTY

*California*

RIVERSIDE

SAN DIEGO





*Information  
Items*





## COMMITTEE TRANSMITTAL

**April 10, 2017**

**To:** Members of the Board of Directors

**From:**  Laurena Weinert, Clerk of the Board

**Subject:** Fiscal Year 2017-18 Measure M2 Maintenance of Effort Adjustment and Updates to the Eligibility and Local Signal Synchronization Plan Guidelines

Regional Planning and Highways Committee Meeting of April 3, 2017

**Present:** Directors Delgleize, Do, Donchak, Nelson, and Steel

**Absent:** Directors M. Murphy and Spitzer

**Committee Vote**

This item was passed by the Members present.

**Committee Recommendations**


- A. Approve the maintenance of effort benchmark adjustments for the fiscal year 2017-18 eligibility cycle.
- B. Approve the fiscal year 2017-18 Measure M2 Eligibility Guidelines.
- C. Approve the Local Signal Synchronization Plan Guidelines.





**April 3, 2017**

**To:** Regional Planning and Highways Committee

**From:** Darrell Johnson, Chief Executive Officer 

**Subject:** Fiscal Year 2017-18 Measure M2 Maintenance of Effort Adjustment and Updates to the Eligibility and Local Signal Synchronization Plan Guidelines

### **Overview**

The Measure M2 Ordinance includes eligibility requirements that local agencies must satisfy in order to receive Measure M2 net revenues, which include a periodic adjustment to the maintenance of effort benchmark. Local agencies are also required to periodically update a local signal synchronization plan. Updates to the Measure M2 Eligibility Guidelines, including the maintenance of effort benchmark adjustment and the Local Signal Synchronization Plan Guidelines, are presented for the Board of Directors' review and approval.

### **Recommendations**

- A. Approve the maintenance of effort benchmark adjustments for the fiscal year 2017-18 eligibility cycle.
- B. Approve the fiscal year 2017-18 Measure M2 Eligibility Guidelines.
- C. Approve the Local Signal Synchronization Plan Guidelines.

### **Background**

The Measure M2 (M2) Ordinance requires local jurisdictions to satisfy the maintenance of effort (MOE) requirements by maintaining a minimum level of local streets and roads expenditures from local agencies' discretionary funds consistent with the provisions of enabling statutes. The M2 Ordinance provided a process to review the MOE and adjust the benchmark every three years beginning in 2011. The first MOE benchmark adjustment was approved by the Board of Directors (Board) on April 14, 2014 and became effective July 1, 2014. The second MOE benchmark adjustment for the upcoming eligibility cycle is being presented, along with revisions to the M2 Eligibility Guidelines.

The M2 Eligibility Guidelines establish eligibility requirements for local jurisdictions to ensure that all local agencies are in compliance to receive M2 funds as required by the M2 Ordinance.

The M2 Ordinance requires local agencies to develop and regularly update a Local Signal Synchronization Plan (LSSP) on a triennial basis. This plan needs to be consistent with the Regional Traffic Signal Synchronization Master Plan. As part of the next eligibility cycle, local agencies will need to update local plans by June 30, 2017. Minor administrative adjustments to the LSSP Guidelines are being recommended for clarification purposes.

### ***Discussion***

#### **MOE Adjustment**

The M2 Ordinance requires the Orange County Transportation Authority (OCTA) to adjust the MOE benchmark every three years and defines the methodology for the adjustments. This MOE benchmark adjustment is based on the percentage of growth in the California Department of Transportation construction cost index (CCI) between calendar year 2013 and 2016. The M2 Ordinance includes a provision that if the general fund revenues (GFR) growth for the jurisdiction is less than the CCI growth, the GFR growth value will be used for escalating the existing MOE benchmark. If there is negative or zero growth in the GFR, the local jurisdiction's current MOE benchmark will remain unchanged.

In order to determine GFR growth, each local jurisdiction provided excerpts from their 2016 Comprehensive Annual Financial Reports (CAFR). The cities of Huntington Beach and Placentia have not released nor adopted final CAFRs, but provided a draft CAFR or GFR general ledger to calculate an estimated benchmark. Adjustments may be required upon each city's final adoption of its CAFR and will be presented to the Board by June 2017, if required. A comparison of the growth in GFR and CCI has determined the appropriate MOE adjustment for each local jurisdiction and is included in Attachment A.

Between 2013 and 2016, local agencies GFR have grown by 17 percent on average. During the same period, the published CCI has grown by approximately 45 percent. As such, the MOE adjustments will be based on GFR growth. The exact amount varies for each jurisdiction and depends on data specific to that agency. The fiscal year (FY) 2015-16 MOE actual expenditures reported in Attachment A indicate that the majority of the local agencies' expenditures are above the required MOE benchmark.

M2 Eligibility Guidelines

The M2 FY 2017-18 eligibility cycle will start immediately following Board approval of the updated M2 Eligibility Guidelines. The guidelines assist local agencies in submitting a compliant eligibility package. The administrative changes and clarifications proposed to the guidelines incorporate comments and feedback received from local agencies and OCTA staff during the FY 2016-17 eligibility review cycle.

Administrative changes to the M2 Eligibility Guidelines include providing an updated webpage link to the eligibility website, and clarifying language and requirements. There have also been updates to the tables and the exhibits to be consistent with the eligibility requirements discussed in Chapter 2, which include details on each eligibility requirement. A summary of the substantial modifications is provided in Attachment B.

The proposed revisions will clarify and streamline the eligibility process and also make it easier for local agencies to follow the guidelines and adhere to the eligibility requirements. The revised M2 Eligibility Guidelines are included as Attachment C.

LSSP Guidelines

The LSSP Guidelines outline the procedures necessary for local agencies to adopt and update an LSSP in accordance with the M2 Ordinance. Local agencies are obligated to triennially update their respective LSSP in order to continue receiving M2 funds, including both M2 Fair Share and Competitive Program funding. Minor modifications to the preparation guidelines are included in Attachment D.

***Summary***

The MOE benchmarks for each local jurisdiction have been provided for the upcoming eligibility cycle for FY 2017-18. Modifications to the M2 Eligibility Guidelines and to the LSSP Guidelines are also provided to assist local jurisdictions with upcoming submittals.

***Attachments***

- A. MOE Benchmark by Local Jurisdiction
- B. Substantial Revisions to the Measure M2 Eligibility Guidelines
- C. Redlined - FY 2017-18 Measure M2 Eligibility Guidelines
- D. Redlined - Guidelines for the Preparation of Local Signal Synchronization Plans 2017

**Prepared by:**



May Hout  
Senior Transportation Funding Analyst  
(714) 560-5905

**Approved by:**



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

## MOE Benchmark by Local Jurisdiction

Column	A	B	C	D	E
Agency	Current MOE Benchmark	MOE Adjustment*	Amount Increased (A * B)	New MOE Benchmark (A + C)	Reported FY 15-16 Actual Expenditures
Aliso Viejo	\$ 409,360	12.86%	\$ 52,644	\$ 462,004	\$ 428,591
Anaheim	\$ 8,127,913	23.75%	\$ 1,930,379	\$ 10,058,292	\$ 9,226,446
Brea	\$ 703,000	2.28%	\$ 16,028	\$ 719,028	\$ 1,354,760
Buena Park	\$ 3,738,212	0.13%	\$ 4,860	\$ 3,743,072	\$ 5,466,533
Costa Mesa	\$ 6,457,802	14.33%	\$ 925,403	\$ 7,383,205	\$ 7,960,484
County of Orange	\$ -	0.00%	\$ -	\$ -	N/A
Cypress	\$ 2,767,411	12.66%	\$ 350,354	\$ 3,117,765	\$ 6,755,402
Dana Point	\$ 1,065,496	23.23%	\$ 247,515	\$ 1,313,011	\$ 1,775,199
Fountain Valley	\$ 1,180,712	13.67%	\$ 161,403	\$ 1,342,115	\$ 2,493,170
Fullerton	\$ 3,427,988	10.44%	\$ 357,882	\$ 3,785,870	\$ 5,740,353
Garden Grove	\$ 2,823,522	19.65%	\$ 554,822	\$ 3,378,344	\$ 5,807,439
Huntington Beach**	\$ 4,954,235	13.18%	\$ 652,968	\$ 5,607,203	\$ 10,433,271
Irvine	\$ 5,452,970	29.29%	\$ 1,597,175	\$ 7,050,145	\$ 19,973,892
La Habra	\$ 1,356,014	12.78%	\$ 173,299	\$ 1,529,313	\$ 2,419,948
La Palma	\$ 173,004	-8.22%	\$ -	\$ 173,004	\$ 519,913
Laguna Beach	\$ 1,417,616	9.30%	\$ 131,838	\$ 1,549,454	\$ 4,729,432
Laguna Hills	\$ 269,339	15.27%	\$ 41,128	\$ 310,467	\$ 1,467,102
Laguna Niguel	\$ 721,542	25.92%	\$ 187,024	\$ 908,566	\$ 2,032,253
Laguna Woods	\$ 83,501	7.43%	\$ 6,204	\$ 89,705	\$ 88,396
Lake Forest	\$ 145,670	33.48%	\$ 48,770	\$ 194,440	\$ 1,301,934
Los Alamitos	\$ 147,465	10.20%	\$ 15,041	\$ 162,506	\$ 592,081
Mission Viejo	\$ 2,247,610	12.96%	\$ 291,290	\$ 2,538,900	\$ 4,596,548
Newport Beach	\$ 8,868,393	22.59%	\$ 2,003,370	\$ 10,871,763	\$ 19,027,594
Orange	\$ 2,430,131	20.07%	\$ 487,727	\$ 2,917,858	\$ 3,520,215
Placentia**	\$ 546,000	20.01%	\$ 109,255	\$ 655,255	\$ 994,922
Rancho Santa Margarita	\$ 358,155	9.10%	\$ 32,592	\$ 390,747	\$ 358,155
San Clemente	\$ 951,000	19.37%	\$ 184,209	\$ 1,135,209	\$ 3,643,808
San Juan Capistrano	\$ 390,383	11.43%	\$ 44,621	\$ 435,004	\$ 2,342,553
Santa Ana	\$ 6,958,998	11.44%	\$ 796,109	\$ 7,755,107	\$ 7,670,183
Seal Beach	\$ 551,208	-0.17%	\$ -	\$ 551,208	\$ 1,191,688
Stanton	\$ 186,035	31.81%	\$ 59,178	\$ 245,213	\$ 197,057
Tustin	\$ 1,222,756	19.05%	\$ 232,935	\$ 1,455,691	\$ 2,245,527
Villa Park	\$ 279,227	15.21%	\$ 42,470	\$ 321,697	\$ 658,359
Westminster	\$ 1,284,000	20.62%	\$ 264,761	\$ 1,548,761	\$ 1,651,008
Yorba Linda	\$ 1,985,964	14.79%	\$ 293,724	\$ 2,279,688	\$ 2,429,941
Totals	\$ 73,682,632		\$ 12,296,978	\$ 85,979,610	\$ 141,094,157

\* The MOE benchmark adjustment is based on the percent change in CCI for the immediately preceding three-year period. The adjustment cannot exceed the percent change in the jurisdiction's GFR over the same period of time. If there is negative growth in the jurisdiction's GFR, the local agencies will have a zero percent MOE adjustment. The 2013 CCI is 97.09, and the 2016 CCI is 140.75. The percent change is 44.97 percent. The MOE adjustment is based on the growth in the jurisdiction's GFR.

\*\* Final CAFR has not been adopted/released. The draft CAFR or GFR GL has been used to calculate the estimated benchmark. Adjustments may be required.

MOE - Maintenance of effort  
 FY - Fiscal year  
 CCI - Construction cost index  
 GFR - General fund revenue  
 CAFR - Comprehensive Annual Financial Report  
 GL - General ledger  
 N/A - Not Applicable

## **Substantial Revisions to the Measure M2 Eligibility Guidelines**

### Local Fair Share (Section 1.3)

The Orange County Transportation Authority Board of Directors (Board) approved a new sales tax forecast methodology. Updates have been incorporated in Section 1.3 of these guidelines to be consistent with the updates previously approved by the Board.

### Maintenance of Effort Benchmark Adjustment (MOE) (Exhibit 2)

Exhibit 2 has been updated to reflect the revised MOE benchmarks for all local agencies.

### Eligibility Checklist (Appendix D)

Although the eligibility requirements have not changed, checklist items have been added to Appendix D to align with requirements discussed in Chapter 2 that are due as part of this eligibility cycle.

### Sample Resolution (Appendix E)

The resolution has been updated to include eligibility requirements that must receive the Board of Supervisors/City Council approval for this cycle. These requirements include the Local Signal Synchronization Plan, Circulation Element/Master Plan of Arterial Highways Consistency, Mitigation Fee Program, and Pavement Management Plan.

### Appendix G: Measure M2 (M2) Expenditure Report

- Removed foot note tables included in Schedule 2 which breaks down revenues and expenditures for other M2 funding. Other M2 funding previously included any funding received and/or expended by local agencies from any other M2 Program besides the Project O, Regional Capacity Program and Project Q, Local Fair Share. A separate line item for each program is now included in Schedules 1 and 2. On Schedule 3, other M2 funding now includes A-M, R, S, T, U, V, and W.
- A separate interest column was added that was previously included as a row for each funding program on Schedules 1 and 2.



Redlined

FY 2017-18

**Measure M2**  
Eligibility Guidelines





Table of Contents

<b>Chapter 1 – Eligibility Overview</b>	<b>1</b>
1.1 Measure M2 Introduction	1
1.2 Competitive Funds	2
1.3 Local Fair Share (LFS) Funds	2
1.4 Eligibility Requirements for Net Revenues	3
<b>Chapter 2 – Eligibility Requirements</b>	<b>5</b>
2.1 Capital Improvement Program (CIP)	6
2.2 Circulation Element/ MPAH Consistency	7
Exhibit 1: Master Plan of Arterial Highways Centerline Miles	9
2.3 Congestion Management Program (CMP)	10
2.4 Expenditure Report	11
2.5 Local Signal Synchronization Plan (LSSP)	11
2.6 Maintenance of Effort (MOE)	12
Exhibit 2: MOE Benchmark by Local Jurisdiction	13
2.7 Mitigation Fee Program	14
2.8 No Supplanting of Developer Commitments	14
2.9 Pavement Management Plan (PMP)	15
Exhibit 3: Submittal Schedule for Periodic Components	17
2.10 Project Final Report	18
2.11 Time Limit for Use of Net Revenues	18
2.12 Traffic Forums	19
2.13 Transit/Non-motorized Transportation in General Plan	20
<b>Chapter 3 - Eligibility Determination</b>	<b>21</b>
3.1 Submittal Review Process	21
3.2 Approval Process	21
<b>Chapter 4 – Failure to Meet Eligibility Requirements</b>	<b>23</b>
4.1 Non-Compliance Consequences	23
4.2 Appeals Process	23
4.3 Re-establishing MPAH Eligibility	23
4.4 For Additional Information	24
<b>Appendices</b>	<b>25</b>
Appendix A: M2 Ordinance	25
Appendix B: Eligibility for New Cities	27
Appendix C: Congestion Management Program Checklist	31
Appendix D: Eligibility Checklist	39
Appendix E: Sample Resolution	43
Appendix F: Pavement Management Plan Certification & Agency Submittal Checklist	47
Appendix G: M2 Expenditure Report Template, Instructions & Resolution	53
Appendix H: Arterial Highway Mileage Change Report	69
Appendix I: Maintenance of Effort Reporting Form	73
Appendix J: Acronyms	77



*This Page Intentionally Left Blank*



## Chapter 1 – Eligibility Overview

### **1.1 Measure M2 Introduction**

In order to meet expected growth in Orange County over the next 30 years, continued investment in the County's infrastructure will be required. To meet these needs, additional projects were identified which could be funded through an extension of the Measure M program. Voters approved Renewed Measure M (M2) on November 7, 2006.

M2 is a 30-year, multi-billion dollar program extension of the original Measure M (1991-2011) with a new slate of projects and programs planned. These include improvements to the Orange County freeway system and streets & road network throughout the County, additional expansion of the Metrolink system, more transit services for seniors and the disabled and funding for the cleanup of roadway storm water runoff.

M2 extends Orange County's self-help legacy toward financing infrastructure. A seamless transition from the original Measure M to the new slate of projects required careful consideration of the Ordinance and inventory of new requirements. Consistent with the first ordinance, the eligibility guidelines have been prepared to assist local jurisdictions to understand the requirements necessary to maintain their eligibility to receive M2 funds.

The M2 Eligibility Guidelines identify annual eligibility requirements as specified in Ordinance No. 3, Attachment B, and Section III. Ordinance No. 3 (M2 Ordinance) outlines all programs and requirements and is included as Appendix A. Compliance with the eligibility requirements in the ordinance must be established and maintained in order for local jurisdictions to receive Net Revenues. Policies and procedures are presented to enable and facilitate annual eligibility for local jurisdiction participation. Guidelines for newly incorporated cities are outlined in Appendix B.

With the passage of M2, several eligibility requirements applicable to the previous program are no longer valid. Prominent features of the past program that have been discontinued include preparation of the Growth Management Program (GMP), a development phasing & monitoring program, and a balanced housing options and job opportunities component of the General Plan. Although these planning tools are no longer elements of the eligibility process, local jurisdictions are encouraged to consider these elements as sound planning principles.

M2 Net Revenues are generated from the transactions and use tax plus any interest or other earnings – after allowable deductions. Net Revenues may be allocated to local jurisdictions for a variety of programs and the Authority shall allocate the Net Revenues to freeways, environmental, transit, and street and roads projects.

#### Freeway Projects

Orange County freeways will receive forty-three percent (43%) of net revenues. Relieving congestion on State Route 91 is the centerpiece of the freeway program. Other major projects include improving Interstate 5 (I-5) in south Orange County, Interstate 405 (I-405) in west Orange County and State Route 57 in North Orange County. Under the plan, major traffic chokepoints on almost every freeway will be improved.

#### Environmental Programs

In order to address any environmental impact of freeway improvements, five percent (5%) of the allocated freeway funds will be used for environmental mitigation programs. A Master Agreement between OCTA and state and federal resource jurisdictions 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. Funds are also available under the Environmental Cleanup Program (Project X) to implement water quality improvement projects.

### Transit Projects

Orange County's rail and bus service will receive twenty-five percent (25%) of M2 net revenues. These funds will be used to add transit extensions to the Metrolink corridor, reduce bus fares for senior citizens and persons with disabilities, and establish local bus circulators.

### Street and Roads Projects

Orange County has more than 7,300 lane miles of streets and roads; many in need of repair and rehabilitation. M2 will allocate thirty-two percent (32%) of net revenues to streets and roads. These funds will help fix potholes, improve intersections, synchronize traffic signals countywide, and make the existing network of streets and roads safer and more efficient.

The allocation of thirty-two percent (32%) of the Net Revenues for Street and Road Projects shall be made as follows:

1. Ten percent (10%) of the Net Revenues shall be allocated for Regional Capacity Programs (Project O).
2. Four percent (4%) of the Net Revenues shall be allocated for Regional Traffic Signal Synchronization Program projects (Project P).
3. Eighteen percent (18%) of the Net Revenues shall be allocation for Local Fair Share Programs.

## **1.2 Competitive Funds**

OCTA shall select projects through a competitive process for the Regional Capacity Program (Project O), the Regional Traffic Signal Synchronization Program (Project P), the various transit programs (Projects S, T, V, and W), and the Environmental Cleanup Program (Project X). The criteria for selecting these projects are included in the Comprehensive Transportation Funding Programs (CTFP) Guidelines. The process for calculating and distributing local fair share funds are described in Section 1.3.

## **1.3 Local Fair Share (LFS) Funds**

The LFS Program is a formula-based allocation provided to eligible jurisdictions for use on allowable transportation planning and implementation activities. It is funded through an eighteen percent (18%) allocation from Net Revenues and is distributed to eligible jurisdictions on a formula basis as determined by the following:

- Fifty percent (50%) divided between eligible jurisdictions based upon the ratio of the jurisdiction's population to the County's total population, each from the previous calendar year.
- Twenty-five percent (25%) divided between eligible jurisdictions based upon the ratio of the jurisdiction's existing Master Plan of Arterial Highways (MPAH) centerline miles to the total MPAH centerline miles within the County as determined annually by the OCTA.
- Twenty-five percent (25%) divided between eligible jurisdictions based upon the ratio of the jurisdiction's total taxable sales to the total taxable sales for the County, each from the previous calendar year.



- Revenue projections are updated based upon a blended economic forecast developed by Chapman University, California State University, Fullerton (CSUF), and University of California, Los Angeles (UCLA). OCTA contracts with three universities (Chapman University; University of California, Los Angeles; and California State University, Fullerton) to provide a long-range forecast of taxable sales to forecast Measure M2 revenues for purposes of planning projects and program expenditures. 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. On March 28, 2016, as part of the FY 2016-17 budget development process, the Board approved a new sales tax forecast methodology. The new methodology includes a more conservative approach by utilizing a five-year forecast from MuniServices, Inc. The resulting revenue estimates are used for programming of competitive funds and as a guide for local jurisdiction planning within their respective CIPs.

## 1.4 Eligibility Requirements for Net Revenues

Every year, the Orange County Transportation Authority (OCTA) determines if a local jurisdiction is eligible to receive M2 LFS and competitive program funds. A local jurisdiction must satisfy certain requirements as outlined in Ordinance No. 3. Specifically, a jurisdiction must:

- Comply with the conditions and requirements of the Orange County Congestion Management Program
- Establish a policy which requires new development to pay its fair share of transportation-related improvements associated with their new development
- Adopt a General Plan Circulation Element consistent with the MPAH
- Adopt and update a Capital Improvement Program
- Participate in Traffic Forums
- Adopt and maintain a Local Signal Synchronization Plan
- Adopt and update biennially a Pavement Management Plan
- Adopt and provide an annual Expenditure Report to the OCTA
- Provide the OCTA with a Project Final Report within six months following completion of a project funded with Net Revenues
- Agree to expend all LFS revenues received through M2 within three years of receipt
- Satisfy Maintenance of Effort requirements
- Agree that Net Revenues shall not be used to supplant developer funding
- Consider, as part of the eligible jurisdiction's General Plan, land use and planning strategies that accommodate transit and non-motorized transportation



*This Page Intentionally Left Blank*



## Chapter 2 – Eligibility Requirements

The annual eligibility process relies upon a variety of reporting methods to verify local jurisdiction compliance. Most methods leverage tools routinely used in the public planning process while others require certification forms or specialized reports. Templates, forms, and report formats are included as appendices to these eligibility guidelines and are available in electronic format. The table below summarizes certification frequency and documentation requirements.

Compliance Category	Frequency Schedule	Documentation
Capital Improvement Program	<b>Annual</b> Next submittal is due on June 30, 2016 <del>7</del> .	<ul style="list-style-type: none"> <li>Electronic, hard copy</li> <li>City Council/ Board of Supervisors approval</li> </ul>
Circulation Element/MPAH Consistency	<b>Biennial</b> Next submittal is due on June 30, 2017.	<ul style="list-style-type: none"> <li>Resolution (Appendix E)</li> <li>Circulation Element Exhibit</li> <li>Changes in actual MPAH centerline miles should be reported on the Arterial Highway Mileage Change Report (Appendix H)</li> <li>Certify that the Circulation Element is consistent with MPAH in the Eligibility Checklist (Appendix D)</li> </ul>
Congestion Management Program	<b>Odd numbered years</b> Next submittal is due on June 30, 2017.	<ul style="list-style-type: none"> <li>Eligibility Checklist item in Appendix D</li> <li>Include projects to address deficient intersections in CIP (if applicable)</li> <li>CMP Checklist (Appendix C)</li> </ul>
Expenditure Report	<b>Annual</b> – six months after end of fiscal year Next submittal is due on December 31, 2016 <del>7</del> .*	<ul style="list-style-type: none"> <li>Expenditure Report and resolution (Appendix G)</li> </ul>
Local Signal Synchronization Plan	<b>Every three years</b> Next submittal is due on June 30, 2017	<ul style="list-style-type: none"> <li>Copy of plan</li> <li><a href="#">Optional Resolution (Appendix E)</a></li> </ul>
Maintenance of Effort	<b>Annual</b> Next submittal is due on June 30, 2017 <del>6</del> .	<ul style="list-style-type: none"> <li>MOE Certification form (Appendix I) signed by Finance Director or equivalent designee that meets/exceeds MOE Benchmark in Exhibit 2</li> <li>Budget excerpts</li> </ul>
Mitigation Fee Program	<b>Biennial</b> Next submittal is due on June 30, 2017.	<ul style="list-style-type: none"> <li>Eligibility Checklist item in Appendix D</li> <li>Copy of nexus study, revised impact fee schedule, or process methodology</li> <li>Resolution (Appendix E)</li> </ul>
No Supplanting Existing Commitments	<b>Annual</b> Next submittal is due on June 30, 2017 <del>6</del> .	<ul style="list-style-type: none"> <li>Eligibility Checklist item in Appendix D</li> </ul>
Pavement Management Plan	<b>Every two years</b> Next submittal for <del>odd</del> even year agencies is due on June 30, 2016 <del>7</del> . Refer to Exhibit 3 to determine the required PMP submittal schedule.	<ul style="list-style-type: none"> <li>PMP Certification form signed by Public Works Director or City Engineer</li> <li>Agency Submittal Checklist</li> <li>PMP report with street listings</li> <li>CD with pavement report, <del>and</del> street listings, <del>and</del> <a href="#">E65 file</a></li> <li><a href="#">Resolution (Appendix E)</a></li> </ul>
Project Final Report	<b>Within 6 months of project completion</b>	<ul style="list-style-type: none"> <li>Final Report</li> </ul>
Timely Expenditure of Funds	<b>Annual</b> Next submittal is due on June 30, 2016 <del>7</del> .	<ul style="list-style-type: none"> <li>Eligibility Checklist item in Appendix D</li> </ul>
Traffic Forums	<b>Annual</b> Next submittal is due on June 30, 2016 <del>7</del> .	<ul style="list-style-type: none"> <li>Eligibility Checklist item in Appendix D</li> </ul>
Transit/Non-motorized Transportation in General Plan	<b>Annual (June 30<sup>th</sup>)</b> Next submittal is due on June 30, 2016 <del>7</del> .	<ul style="list-style-type: none"> <li>Eligibility Checklist item in Appendix D</li> <li>Letter outlining land use planning strategies that accommodate transit and active transportation</li> <li>Excerpts of policies from the land use section of the General Plan</li> </ul>

\*Huntington Beach follows a federal fiscal year and must submit the M2 Expenditure Report by March 31.





## 2.1 Capital Improvement Program (CIP)

A CIP is a multi-year funding plan to implement capital transportation projects and/or programs, including, but not limited to, capacity, safety, operations, maintenance, and rehabilitation projects.

For purposes of eligibility, the M2 Ordinance specifies that each jurisdiction must prepare a CIP. The annual seven-year CIP updates are required to enable timely review of eligible use of funds. The CIP shall include all capital transportation projects, such as, projects funded by Net Revenues (i.e. Environmental Cleanup Program, Traffic Signal Synchronization Plan, Regional Capacity Program, and Local Fair Share Projects) and transportation projects required to demonstrate compliance with signal synchronization, pavement management, and CMP requirements. (See section 2.3 for the CIP's relevance to the CMP.)

Projects funded by M2 Net Revenues include:

Project Description	Project
Freeway Environmental Mitigation	A-M
Regional Capacity Program	O
Regional Traffic Signal Synchronization Program	P
Local Fair Share Program	Q
High Frequency Metrolink Service	R
Transit Extensions to Metrolink	S
Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems	T
Senior Mobility Program or Senior Non-Emergency Medical Program	U
Community Based Transit/Circulators	V
Safe Transit Stops	W
Water Quality Program	X

Each eligible jurisdiction must include projects in their CIP that are needed to meet and maintain the adopted Traffic Level of Service and Performance Standards. The CIP shall also include all projects proposed to receive M2 funding. Cities are encouraged, but not required, to include all transportation related projects regardless of M2 funding participation.

If M2 funding needed for a project is not reflected on the current CIP, an amended CIP should be adopted with contract award prior to expending funds. The revised CIP should be submitted to OCTA in hard copy format with evidence of council approval.

**Submittal Frequency:** Minimum Annual, or as needed to add M2 projects that are not reflected on the current CIP. Next submittal is due by June 30, 20167.

**City Council/ Board of Supervisors approval:** Required

### Verification Method

Each jurisdiction must submit an electronic (online) and hard copy of its CIP with evidence of council approval. The OCTA provides a web-based database called the Web Smart CIP used countywide for reporting Council-approved CIP information. The Web Smart CIP includes all projects submitted in the previous eligibility cycle. New projects should be added to the database and completed, prior program year projects should be archived. Cancelled projects may be archived or removed. In addition, the funding schedule, source, and cost data for ongoing projects should be reviewed and updated for accuracy. A separate CIP User's Manual has been developed to assist local jurisdictions with the preparation of the seven-year CIP. The CIP User's Manual can be found on the M2 Eligibility Website: <http://www.octa.net/M2Eligibility>



## 2.2 Circulation Element/ MPAH Consistency

A Circulation Element is one component of a jurisdiction's General Plan that depicts a planned multimodal network and related policies. M2 funding eligibility requires that each jurisdiction must adopt and maintain a Circulation Element that is consistent with the OCTA MPAH, which defines the minimum planned lane configurations for major regionally significant roads in Orange County.

### MPAH Consistency

Through a cooperative process, the OCTA, the City Engineers Association, the City Managers Association, and the County of Orange developed criteria for determining consistency with the MPAH. Criteria and policies for determining MPAH Consistency are included in a separate manual titled "Guidance for Administration of the Orange County Master Plan of Arterial Highways" that can be downloaded on OCTA's Eligibility webpage (<http://www.octa.net/M2Eligibility>) and are summarized below:

- The local jurisdiction's Circulation Element is to have the minimum planned carrying capacity equivalent to the MPAH for all MPAH links within its jurisdiction. "Planned carrying capacity" is the number of through lanes on each arterial highway as shown on the local Circulation Element.
- Local jurisdictions will not be found inconsistent with the MPAH as a result of existing capacity limitations on arterials not yet constructed to the ultimate capacity shown on the MPAH.
- Every two years, each local jurisdiction must submit a resolution adopted by the governing body attesting that no unilateral reduction in lanes has been made on any MPAH arterial.
- The local agency will be ineligible to participate in M2 programs if a roadway on the MPAH has been unilaterally removed from or downgraded on their Circulation Element and/or does not meet the planned capacity criteria. Eligibility may be reinstated upon completion of a cooperative study that resolves the inconsistency. Additionally, the local jurisdiction can re-establish eligibility upon restoring its Circulation Element to its previous state of MPAH consistency.
- The local jurisdiction must adopt a General Plan Circulation Element that does not preclude implementation of the MPAH.
- A local jurisdiction is inconsistent with the MPAH as of the date the governing body takes unilateral action reducing the number of existing and/or planned through lanes on an MPAH arterial built to its ultimate configuration to less than the ultimate capacity shown on the MPAH. "Unilateral action" means physical action such as striping, signing, or other physical restrictions executed by the local jurisdiction.
- A local jurisdiction may be permitted to reduce existing through lanes, if prior to taking action, it can demonstrate to the OCTA ~~TAG~~ that such action is temporary and can be justified for operational reasons. The local jurisdiction must enter into a binding agreement to restore capacity upon demand by OCTA. The OCTA ~~TAG~~ may recommend that the local jurisdiction remain eligible on a conditional basis. If it is found to be ineligible, it may regain eligibility upon physical restoration of the arterial to the original state that is consistent with the MPAH.
- Traffic calming measures shall be administered on MPAH facilities per the latest version of the Guidance for the Administration of the Orange County (OC) MPAH. ~~not be used on~~



~~arterials classified as Secondary and above on the MPAH. Traffic calming measures may be allowed only on Divided Collectors and Collectors, where it can be demonstrated the calming measures will not reduce vehicle carrying capacity below the actual and projected traffic volumes for the segment and the increased traffic volume on the affected MPAH facilities does not result in an intersection level of service (LOS) worse than LOS "D" or the General Plan standard adopted by the affected jurisdiction.~~

- If a local jurisdiction requests a change to the MPAH and enters into a cooperative study to analyze the request, it may be considered conditionally consistent. No change shall be made to its Circulation Element until after the cooperative study is completed and agreement is reached on the proposed amendment.

Submittal Frequency: Odd year requirement. Next submittal is due by June 30, 2017.

City Council/ Board of Supervisors approval: Required

#### Verification Method

Each jurisdiction must provide the following every odd year:

- Document within the Eligibility Checklist (Appendix D) that confirms the Circulation Element is consistent with the MPAH.
- A copy of the most current Circulation Element Exhibit biennially showing all arterial highways and their individual arterial designations. Any proposed changes and/or requests for changes to the MPAH should also be included.
- Resolution adopted by the governing body of the local jurisdiction (Appendix E).
- The Arterial Highway Mileage Change Report (Appendix H). Changes in actual (built or annexed) MPAH centerline miles since the previous MPAH Consistency Review are to be reported to the nearest 0.01 mile, excluding State highways. Data should be current as of April 30 of the reporting year. Exhibit 1 lists the current MPAH centerline miles by jurisdiction that is used to calculate Local Fair Share.

OCTA shall review the materials submitted, and determine whether the local agency Circulation Elements are consistent with the MPAH, meaning there is a minimum planned carrying capacity equivalent to the MPAH for all MPAH links within the local agency's jurisdiction.



## Exhibit 1: Master Plan of Arterial Highways Centerline Miles

Agency	2016 Centerline Mileage (7/30/2016)
Aliso Viejo	14.85
Anaheim	148.80
Brea	20.57
Buena Park	34.44
Costa Mesa	49.33
County of Orange	51.74
Cypress	24.93
Dana Point	15.72
Fountain Valley	35.28
Fullerton	62.18
Garden Grove	63.59
Huntington Beach	93.05
Irvine	135.11
La Habra	17.13
La Palma	7.23
Laguna Beach**	14.01
Laguna Hills	20.73
Laguna Niguel	35.94
Laguna Woods	5.77
Lake Forest	38.25
Los Alamitos	6.44
Mission Viejo	43.54
Newport Beach	48.92
Orange	85.24
Placentia	25.01
Rancho Santa Margarita	18.20
San Clemente	24.39
San Juan Capistrano	18.55
Santa Ana	100.21
Seal Beach	12.24
Stanton	9.48
Tustin	41.59
Villa Park	3.49
Westminster	35.75
Yorba Linda	32.67

**1394.38**

\*\*Laguna Beach credited with State Highway mileage by agreement of the TAC.



## 2.3 Congestion Management Program (CMP)

With the passage of Proposition 111 Gas Tax increase in June 1990, urbanized areas of California were required to adopt a CMP. OCTA was designated as the County's Congestion Management Agency (CMA), and as such, is responsible for the development, monitoring, and biennial updating of Orange County's CMP. Orange County's CMP is a countywide program established in 1992 to support regional mobility and air quality objectives through the effective use of transportation funds, coordinated land use, and development planning practices. Required elements of the County's CMP include traffic level of service (LOS) standards, performance measures, travel demand assessment methods and strategies, land use analysis programs, and Capital Improvement Programs.

The goals of Orange County's CMP are to support regional mobility and air quality objectives by reducing traffic congestion, providing a mechanism for coordinating land use and development decisions that support the regional economy, and determining gas tax eligibility. Each jurisdiction must comply with the following conditions and requirements of the Orange County CMP pursuant to the provisions of Government Code Section 65089 to be considered eligible for both gas tax revenues and M2 funding:

- Level of Service – Highways and roadways designated by OCTA must operate at an established LOS of no less than LOS "E" (unless the LOS from the baseline CMP dataset was lower).
- Deficiency Plans – Any CMP intersections that do not comply with the LOS standards must have a deficiency plan prepared by the responsible local jurisdiction that identifies the cause and necessary improvements for meeting LOS standards (certain exceptions apply).
- Land Use Analysis – Analyze the impacts of land use decisions on the transportation system, using a designated methodology, consistent with the CMP Traffic Impact Analysis guidelines. The analysis must also include estimated cost to mitigate associated impacts.
- Modeling and Data Consistency – A jurisdiction utilizing a local area model for traffic impact analysis must conform to the Orange County Sub-area Modeling guidelines, prepared by OCTA.
- Capital Improvement Program (CIP) – Jurisdictions must submit an adopted seven-year CIP that includes projects to maintain or improve the LOS on CMP facilities, or adjacent facilities.

Submittal Frequency: Odd years – Next submittal is due by June 30, 2017.

City Council/ Board of Supervisors approval: Not Required

### Verification Method

The CMP checklist, as shown in Appendix C, must be submitted to demonstrate compliance with CMP requirements. If a deficient intersection is identified, the jurisdiction must include a project in their CIP to address the issue or develop a deficiency plan. OCTA will use the M2 CIP prepared by each local jurisdiction as the default CMP CIP rather than require a separate submittal. Projects intended to address CMP deficiencies should be clearly identified in the project description within the CIP.



## 2.4 Expenditure Report

The expenditure report is a detailed financial report submitted by each jurisdiction used to track financial activity as it relates to M2 and other improvement revenue sources. Each jurisdiction must adopt an annual Expenditure Report to account for M2 funds, developer/traffic impact fees, and funds expended by the jurisdiction that satisfy the MOE requirements. This report is used to validate eligible uses of funds and to report actual MOE expenditures.

- Report required within six months of jurisdiction's end of fiscal year.
- Report to include all Net Revenue, fund balances, and interest earned. Negative interest is not an allowable expense.
- Reported Expenditures shall be identified by activity type (i.e. capital, operations, administration, etc.) and funding source for each M2 program and/or project.

**Submittal Frequency:** Annual – within 6 months of the end of the fiscal year.

The deadline is December 31 for jurisdictions following a state fiscal year (July-June) and March 31 of the next calendar year for jurisdictions following a federal fiscal year (October-September) (i.e. Huntington Beach).

**City Council/ Board of Supervisors approval:** Required

### Verification Method

The expenditure report signed by the City Finance Director and council resolution attesting to the adoption is required. The M2 expenditure report template, instructions, and resolution are provided in Appendix G.

## 2.5 Local Signal Synchronization Plan (LSSP)

The LSSP<sup>1</sup> is a three-year plan identifying traffic signal synchronization, street routes and traffic signals to be improved in eligible jurisdictions. The Local Traffic Signal Synchronization Plan shall be consistent with the Regional Traffic Signal Synchronization Master Plan (RTSSMP). The LSSP will outline the costs associated with the identified improvements, funding and phasing of capital, and the operations and maintenance of the street routes and traffic signals. Inter-jurisdictional planning of traffic signal synchronization is also a component of the LSSP. Local jurisdictions must update LSSPs every three years and include a performance assessment which compares the information in the current report to prior cycle activities.

**Submittal Frequency:** Every 3 years - Next LSSP update submittal is due June 30, 2017.

**City Council/ Board of Supervisors approval:** ~~Optional~~ Required

### Verification Method

Local jurisdictions must ensure that their LSSP is in conformance with the RTSSMP. LSSPs must be updated every three years starting June 30, 2014. At the minimum, a Public Works Director must sign the Local Signal Synchronization Plan Consistency Review Checklist. City/County council action is ~~required (Appendix E) at the discretion of the local agency~~. A separate document prepared by the OCTA, "Guidelines for the Preparation of Local Signal Synchronization Plans," provides additional detail for agency submittal that can be downloaded from OCTA's Eligibility webpage: <http://www.octa.net/M2Eligibility>

<sup>1</sup> A local match reduction of ten percent (10%) is provided for competitive grant applications submitted through the Regional Capacity Program (M2 - Project O) if the local jurisdiction has adopted a LSSP consistent with the RTSSMP.



## 2.6 Maintenance of Effort (MOE)

The MOE Certification is a financial reporting document, which provides annual certification of planned/budgeted maintenance, construction and administrative/other transportation related expenditures and the comparison to the annual MOE Benchmark Requirements for the fiscal year. Each jurisdiction must provide annual certification to OCTA that the MOE requirements of Section 6 of Ordinance No. 3 have been satisfied. MOE applies to transportation-related discretionary expenditures such as General Funds by local jurisdictions for maintenance, construction, and other categories.

### MOE Certification Process

M2 funds may be used to supplement, not replace, existing local revenues being used for transportation improvements and programs. A local jurisdiction cannot redirect monies currently being used for transportation purposes to other uses and replace the redirected funds with M2 revenues.

Each jurisdiction is required to maintain a minimum level of local streets and roads expenditures to conform to the MOE requirement. The original minimum level of expenditures was based upon an average of General Fund expenditures for local street maintenance and construction over the period from Fiscal Year 1985-86 through Fiscal Year 1989-90. The expenditure information was obtained from the Orange County Transportation Commission's (OCTC) Annual Report data collection sheets. The established benchmark was reported in constant dollars and was not adjusted for inflation. Annexation of land into an existing jurisdiction does not affect the MOE.

Per the M2 Ordinance, the MOE benchmark must be adjusted in 2014 and every three years thereafter based upon Caltrans' Construction Cost Index (CCI) for the preceding three-years. The CCI-based adjustment cannot exceed growth rate in General Fund revenues during the update period. The current MOE benchmark is reflected in Exhibit 2. The next MOE benchmark adjustment will be effective July 1, 2017.

Submittal Frequency: Annual - Next MOE submittal is due June 30, 2016.

City Council/ Board of Supervisors approval: Not Required

### Verification Method

An MOE reporting form must be completed, signed by the jurisdiction's Finance Director and submitted on an annual basis. The form is included in the Guidelines as Appendix I. In addition, excerpts from the jurisdiction's annual budget showing referenced MOE expenditures and dedication of General Funds should be included in the annual submittal to substantiate planned relevant discretionary fund (General Funds) expenditures.

Any California State Constitution Article XIX eligible expenditure may be "counted" in a given local jurisdiction's annual calculation of MOE if the activity is supported (funded) by a local jurisdiction's general fund. This is the same definition used for Gas Tax expenditures. The California State Controller also provides useful information on Article XIX and Streets and Highways Code eligible expenditures. These guidelines do not replace statutory or legal authority, but explain the general information found in California Constitution Article XIX and the Streets and Highways Code.





## Exhibit 2: MOE Benchmark by Local Jurisdiction

Agency	MOE Benchmark
Aliso Viejo	\$ 462,004
Anaheim	\$ 10,058,292
Brea	\$ 719,028
Buena Park	\$ 3,743,072
Costa Mesa	\$ 7,383,205
Cypress	\$ 3,117,765
Dana Point	\$ 1,313,011
Fountain Valley	\$ 1,342,115
Fullerton	\$ 3,785,870
Garden Grove	\$ 3,378,344
Huntington Beach**	\$ 5,607,203
Irvine	\$ 7,050,145
La Habra	\$ 1,529,313
La Palma	\$ 173,004
Laguna Beach	\$ 1,549,454
Laguna Hills	\$ 310,467
Laguna Niguel	\$ 908,566
Laguna Woods	\$ 89,705
Lake Forest	\$ 194,440
Los Alamitos	\$ 162,506
Mission Viejo	\$ 2,538,900
Newport Beach	\$ 10,871,763
Orange	\$ 2,917,858
Placentia**	\$ 655,255
Rancho Santa Margarita	\$ 390,747
San Clemente	\$ 1,135,209
San Juan Capistrano	\$ 435,004
Santa Ana	\$ 7,755,107
Seal Beach	\$ 551,208
Stanton	\$ 245,213
Tustin	\$ 1,455,691
Villa Park	\$ 321,697
Westminster	\$ 1,548,761
Yorba Linda	\$ 2,279,688
<b>Annual Total Orange County</b>	<b>\$ 85,979,610</b>

[\\*Final Comprehensive Annual Financial Report \(CAFR\) has not been adopted/released. Draft CAFR or General Fund Revenues has been used to calculate estimated benchmark. Adjustments may be required.](#)



## 2.7 Mitigation Fee Program

The Mitigation Fee Program is a locally established fee program, which assesses fees used to mitigate effects of new development on transportation infrastructure. Appropriate mitigation measures, including payment of fees, construction of improvements, or any combination thereof, will be determined through an established and documented process by each jurisdiction.

Each eligible jurisdiction must assess traffic impacts of new development and require new development to pay a fair share of necessary transportation improvements attributable to the new development. To insure eligibility, each jurisdiction must have a clearly defined mitigation program.

[Submittal Frequency:](#) Odd years - Next Mitigation Fee Program submittal is due by June 30, 2017.\*

\_\_\_\_\_  
\*However, a jurisdiction must submit their updated program and revised fee schedule or process methodology when the jurisdiction updates their mitigation program and/or nexus study on an even year.

[City Council/ Board of Supervisors approval:](#) Required

[Verification Method](#)

The M2 eligibility submittal should include a copy of the nexus study improvement list, a current fee schedule or the process methodology, and the council resolution approving the mitigation fee program. Where mitigation measures, including fair share contributions and construction of direct impact improvements are used in lieu of an AB1600 compliant Nexus Study fee programs, each jurisdiction shall provide a council resolution adopting the mitigation policy.

At such time that a jurisdiction updates their mitigation program and/or nexus study, they must submit their updated program and revised fee schedule or process methodology for the following review cycle. In addition, a mitigation fee program resolution identified in Appendix E must be submitted biennially to reaffirm that council concurs with the existing mitigation fee program. It is the local jurisdictions responsibility to ensure fee programs and mitigation measures are updated periodically and meet the infrastructure needs of their community.

## 2.8 No Supplanting of Developer Commitments

Eligible jurisdictions must ensure that M2 funding will not be used to supplant existing or future development funding commitments for transportation projects. Development must be required to continue paying their fair share for new transportation improvements that are necessary because of the new traffic their projects create.

- Development must continue to pay their fair share for needed infrastructure improvements and transportation projects
- Net revenues must not supplant development funding or contributions which have been previously committed to transportation projects through payment of fees in a defined program, fair share contribution, community facilities district (CFD) financing, or other dedicated contribution to a specific transportation improvement
- Standard checklist item

[Submittal Frequency:](#) Annual - Next submittal is due by June 30, 2017.

[City Council/ Board of Supervisors approval:](#) Not Required



## Verification Method

Each jurisdiction must document within the Eligibility Checklist (Appendix D) that there has been no supplanting of developer commitments for transportation projects as outlined in the M2 ordinance.

## **2.9 Pavement Management Plan (PMP)**

A PMP<sup>2</sup> is a plan to manage the preservation, rehabilitation, and maintenance of paved roads by analyzing pavement life cycles, assessing overall system performance costs, and determining alternative strategies and costs necessary to improve paved roads. MicroPaver or StreetSaver will be used for countywide consistency. The software must be consistent with ASTM Standard D6433-11.

Each jurisdiction must biennially adopt and update a PMP consistent with the specific requirements outlined in Ordinance No. 3, and issue, using a common format approved by the OCTA, a report regarding the status of road pavement conditions and implementation of the PMP including, but not limited to, the following elements:

- Current status of pavement roads
- A seven-year plan for road maintenance and rehabilitation, including projects, funding, and unfunded backlog of pavement needs
- Projected pavement conditions resulting from improvements
- Alternative strategies and costs necessary to improve road pavement conditions

The Countywide PMP Guidelines have been prepared by OCTA to assist local jurisdictions with the PMP submittal. Local jurisdictions should refer to the guidelines for additional PMP submittal criteria. The Agency Submittals checklist is included in Chapter 3 of the Countywide Pavement Management Plan Guidelines and is also included for reference with the PMP Certification in Appendix F. The Countywide PMP Guidelines can be downloaded from OCTA's Eligibility webpage: <http://www.octa.net/M2Eligibility>

Submittal Frequency: Biennial – 14 local jurisdictions submit pavement management plan updates in odd years (i.e. June 30, 2017) and 21 local jurisdictions submit pavement management plan updates in even years (i.e. June 30, 2016~~8~~). Refer to Exhibit 3 to determine local jurisdiction's required PMP submittal schedule.

City Council/ Board of Supervisors approval: ~~Not~~ Required

## Verification Method

To establish eligibility, each jurisdiction must complete and submit the following:

- Pavement Management Plan and Certification (Appendix F) signed by Public Works Director or City Engineer.
- Executive summary encompassing a brief overview of their PMP highlighting different issues that have developed between review cycles and provide additional information regarding the projects funded through the program. At a minimum, the Executive Summary should include Pavement Condition Index (PCI) reports, Projected PCI, and Alternative Funding Levels.
- Quality Assurance/Quality Control Plan included in the Countywide Pavement Management Plan Guidelines.



- Backlog by year of unfunded pavement rehabilitation, restoration, and reconstruction needs.
- Centerline mileage for MPAH, local streets, and total network.
- [Resolution \(Appendix E\)](#)

<sup>2</sup> The Regional Capacity Program (RCP) identified in M2 as Project O includes an incentive for successful PMP implementation. A local match reduction of ten percent (10%) is provided for competitive grant applications submitted through the Regional Capacity Program (M2 - Project O) if the jurisdiction meets either of the following criteria:

- Has measurable improvement of paved road conditions during the previous reporting period as determined through the countywide pavement management rating standards, or
- Have road pavement conditions during the previous reporting period, which are within the highest twenty percent (20%) of the scale for road pavement conditions in conformance with OCTA Ordinance No. 3, defined as a PCI of 75 or higher, otherwise defined as in "good condition".



### Exhibit 3: Submittal Schedule for Periodic Components

Local Jurisdiction	Updated PMP	CMP	MPAH Consistency	Mitigation Fee Program	Project Reports	Local Signal Plan
Aliso Viejo	June Even	June Odd Years (Next submittal is due by June 30, 2017)	June Odd Years (Next submittal is due by June 30, 2017)	June Odd Years (Next submittal is due by June 30, 2017)*	Within 6 months of project completion	Every 3 years (Next submittal is due June 30, 2017)
Anaheim	June Odd					
Brea	June Odd					
Buena Park	June Even					
Costa Mesa	June Even					
County of Orange	June Odd					
Cypress	June Odd					
Dana Point	June Odd					
Fountain Valley	June Even					
Fullerton	June Even					
Garden Grove	June Even					
Huntington Beach	June Even					
Irvine	June Odd					
Laguna Beach	June Even					
Laguna Hills	June Even					
Laguna Niguel	June Even					
Laguna Woods	June Even					
Lake Forest	June Odd					
La Habra	June Odd					
La Palma	June Even					
Los Alamitos	June Odd					
Mission Viejo	June Even					
Newport Beach	June Odd					
Orange	June Even					
Placentia	June Even					
Rancho Santa Margarita	June Even					
San Clemente	June Odd					
San Juan Capistrano	June Odd					
Santa Ana	June Even					
Seal Beach	June Even					
Stanton	June Odd					
Tustin	June Odd					
Villa Park	June Even					
Westminster	June Even					
Yorba Linda	June Even					

\* A jurisdiction must submit their updated program and revised fee schedule or process methodology when the jurisdiction updates their mitigation program and/or nexus study.



## 2.10 Project Final Report

Each jurisdiction must provide the OCTA a Project Final Report within six months following completion of a capital project funded with Net Revenues. Final report formats follow the template used by the CTFP. The CTFP Guidelines define the term “project phase completion” as the date all final third party contractor invoices have been paid and any pending litigation has been adjudicated either for 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.

[City Council/ Board of Supervisors approval:](#) Not Required

### Verification Method

To establish eligibility, a jurisdiction must submit a copy of the CTFP Project Final Report for each capital project utilizing Net Revenues. Each Final Report must be individually submitted to OCTA within six months of the completion of a project funded by Net Revenues, regardless of the eligibility review cycle. For the purposes of reporting non-project work (administration, maintenance, repair, and other non-project related costs) funded by M2 LFS funds, the annual Expenditure Report shall satisfy reporting requirements. If LFS funds are used for capital projects, the local jurisdiction shall also include a list of those funds and/or other M2 funds in the Project Final Report.

## 2.11 Time Limit for Use of Net Revenues

The timely expenditure of funds is a policy which must be adopted by each jurisdiction to ensure all funds received from Net Revenues are expended and accounted for within 3 years. The local agency must certify that the receipt and use of all M2 funds received will adhere to the time limits for use as outlined in the ordinance.

### Competitive Programs

- Agree that Net Revenues for Regional Capacity Program (RCP) projects and/or Regional Traffic Signal Synchronization Program (RTSSP) projects shall be expended or encumbered by end of fiscal year for which Net Revenues are programmed. Refer to the CTFP Guidelines for additional information regarding expenditure deadlines and extension requests.

### Local Fair Share

- Net Revenues received by local jurisdictions through the local fair share program shall be expended or encumbered within three years. An extension may be granted but is limited to a total of five years from date of receipt of funds. Requests for extension must be submitted as part of the semi-annual review process prior to the end of the third year from the date of receipt of funds. Requests for extension must include a plan of expenditure.
- Expired funds including interest earned and related revenues must be returned to the OCTA. These funds shall be returned for redistribution within the same source program.
- Use of Local Fair Share revenues for bonding (including debt service) shall be limited to 25% of the jurisdiction’s annual Local Fair Share revenues as defined in Article XIX Motor Vehicle Revenues of the California Constitution unless the Board approves an exception to this policy on a case-by-case basis.



## Interest Derived from Net Revenues

- Interest from any M2 competitive funding program and Local Fair Share must be held in separate accounts.
- Local M2 interest proceeds must be spent on transportation activities consistent with Local Fair Share eligible activities.
- Interest revenues must be expended within 3 years of receipt.
- Interest may be accumulated for substantive projects where necessary, with prior OCTA approval, provided account balance does not exceed aggregate local fair share payments received in the preceding three (3) years of reporting period.
- All interest accumulated at the conclusion of M2 is to be expended within three years of the program sunset date (March 31, 2041).

Submittal Frequency: Annual. Next submittal is due by June 30, 20167.

City Council/ Board of Supervisors approval: Required if an extension is requested.

### Verification Method

Each jurisdiction must document within Eligibility Checklist (Appendix D) confirmation that the jurisdiction complies with the timely use of net revenues throughout the year as outlined in the ordinance. Net Revenue and Interest balances are reported on the annual Expenditure Report.

## **2.12 Traffic Forums**

Traffic Forums are working group sessions that include local jurisdictions and OCTA. Traffic forums provide a venue for local jurisdictions to discuss general traffic and transportation issues, traffic circulation between participating jurisdictions, the coordination of specific projects, and the overall RTSSP. Each jurisdiction must participate in Traffic Forums on an annual basis to ensure eligibility.

Submittal Frequency: Annual. Next submittal is due by June 30, 20167.

City Council/ Board of Supervisors approval: Not Required

### Verification Method

Each jurisdiction must document within the Eligibility Checklist (Appendix D) evidence of its annual participation in a Traffic Forum.





## 2.13 Transit/Non-motorized Transportation in General Plan

As part of the eligible jurisdiction's land use section of the General Plan, the jurisdiction must consider land use planning strategies that accommodate transit and non-motorized transportation. Multi-modal options are vital to a comprehensive transportation network. General Plans should include policies and language that demonstrate a thoughtful approach toward land use planning that encourages and facilitates mobility options.

Submittal Frequency: Annual. Next submittal is due by June 30, 20167.

City Council/ Board of Supervisors approval: Not Required

### Verification Method

Each jurisdiction must document within the Eligibility Checklist (Appendix D) that it considers, as part of the land use section of the General Plan, land use planning strategies that accommodate transit and non-motorized transportation. A letter outlining the approach to land use planning strategies or policies that accommodate transit and non-motorized transportation should be provided with supporting General Plan excerpts. Policy summaries that directly tie land use planning to alternative modes are required. These may include pedestrian friendly neighborhoods, Transit Oriented Development (TOD), Transportation Demand Management (TDM) programs, and mixed use development.



## Chapter 3 - Eligibility Determination

### **3.1 Submittal Review Process**

The Eligibility submittal process has two distinct phases.

#### First Phase

In the first phase, local jurisdictions submit the eligibility checklist, CIP, MOE and land use planning strategies considered in the General Plan on an annual basis. In addition, the PMP, CMP, MFP, and Adoption of the Circulation Element for MPAH consistency are due on a biennial basis. The LSSP is due every three years. The periodic submittal schedule of the eligibility requirements is included in Exhibit 3 of the M2 Eligibility Guidelines. The applicable eligibility components for a given year are submitted to OCTA by June 30 (with the exception of the expenditure report).

To assist in the initiation of the eligibility process, OCTA hosts eligibility workshops attended by local jurisdictions to prepare for the June 30 submittals. The workshops outline any changes and provide instructions as to the requirements of the current fiscal year's eligibility. Eligibility package development begins for most local jurisdictions in April and concludes with submittal to OCTA by the June 30 deadline each year.

#### Second Phase

The second phase includes the submittal of the Expenditure Report, which is due six months following the end of the local jurisdictions fiscal year per M2 ordinance. The City of Huntington Beach follows a federal fiscal year (October 1 to September 30) and that jurisdiction's expenditure report is due by March 31 of each year. All other local jurisdictions submit their expenditure reports annually by December 31. OCTA staff typically holds a workshop in July/August to go over the eligibility requirements for submitting an expenditure report that is compliant with the M2 Ordinance. The OCTA Finance department reviews expenditure reports.

### **3.2 Approval Process**

Annual eligibility determinations are based upon satisfactory submittal of the required documentation of eligibility outlined in Ordinance No. 3 and further described in Chapter 2 of these guidelines. The OCTA and/or its representatives perform an administrative review of the data to determine eligibility compliance for M2 funds. Once all eligibility submittals have been received as satisfactory and complete, the applicable submittals must be prepared for review and approval by the Taxpayer Oversight Committee (TOC).

#### TOC

M2 established the TOC to provide an enhanced level of accountability for expenditure of Net Revenues under the Ordinance. The TOC is an independent citizens' committee established for overseeing compliance with the Ordinance and ensuring that safeguards are in place to protect the integrity of the overall program. TOC responsibilities include:

- Approval of any amendment to the M2 ordinance proposed by the OCTA which changes the funding categories, programs or discrete projects identified for improvements in the Funding Plan
- Review of select documentation establishing eligibility by a jurisdiction including a jurisdiction's Congestion Management Plan, Mitigation Fee Program, Expenditure Report, Local Signal Synchronization Plan, and Pavement Management Plan



- Verification that the OCTA is proceeding in accordance with the M2 Plan and is meeting the performance standards outlined in the M2 Ordinance

The TOC designates the Annual Eligibility Review (AER) subcommittee to review five of the thirteen eligibility requirements listed in the M2 ordinance. The AER subcommittee reviews the Congestion Management Plan, Mitigation Fee Program, Expenditure Report, Local Signal Synchronization Plan, and Pavement Management Plan for each local jurisdiction. The AER subcommittee recommends eligibility determination to the TOC.

In addition, OCTA staff will review items that do not directly require TOC approval and confirm compliance. After TOC and OCTA review all eligibility requirements, OCTA staff will prepare eligibility recommendations for the OCTA Board of Directors (Board). The OCTA Regional Planning and Highways Committee review the item prior to being considered by the full Board. The Board will make final determination whether a local agency remains eligible for M2 funding on an annual basis.



## Chapter 4 – Failure to Meet Eligibility Requirements

### **4.1 Non-Compliance Consequences**

M2 extends a legacy of successful public funding investment in transportation throughout Orange County. The eligibility process includes a review of required compliance components to ensure that programs and funding guidelines are met as defined by Ordinance No. 3. Article XIX of the California Constitution, provides guidance regarding the use of tax revenues for transportation purposes, and provides a useful definition of eligible transportation planning/implementation activities.

OCTA routinely conducts an audit of local jurisdictions' annual eligibility materials and financial records. Full cooperation is expected in order to complete the process in a timely manner. A finding of non-compliance may be made if either of the following conditions exists:

- Use of M2 funding for non-transportation or non-eligible activities, or
- Failure to meet eligibility requirements

If a determination is made that a local jurisdiction has used M2 funds for ineligible purposes, misspent funds must be fully repaid and the jurisdiction will be deemed ineligible to receive Net Revenues for a period of five (5) years. A finding of ineligibility is determined by the OCTA Board of Directors. Failure to adhere to eligibility compliance components may result in suspension of funds until satisfactory compliance is achieved.

### **4.2 Appeals Process**

Eligibility review and determination is a multi-step process, which relies upon an objective review of information by OCTA staff, the Technical Steering Committee, the Technical Advisory Committee, and the Taxpayer Oversight Committee with final determination made by the OCTA Board of Directors. An appeal of findings may be filed with the Board of Directors for re-consideration.

### **4.3 Re-establishing MPAH Eligibility**

If a Circulation Element is found to be inconsistent with the MPAH and a local jurisdiction is determined ineligible for M2 funds, the local jurisdiction may re-establish eligibility by requesting to undertake a cooperative study with OCTA. The study will be designed to do the following:

- Ascertain the regional transportation system needs
- Make provisions to meet those needs in the local jurisdiction's General Plan
- Re-establish consistency with the MPAH

Any changes to a local jurisdiction's General Plan or the MPAH shall be mutually acceptable to the jurisdiction and OCTA. Until such a study has been completed and an agreement reached on the proposed amendment, the jurisdiction shall be ineligible to apply for and/or receive M2 competitive funds.



#### 4.4 For Additional Information

The OCTA M2 Eligibility Guidelines have been developed to assist jurisdictions located throughout Orange County to understand and continue to implement all eligibility requirements to receive M2 funding. The Guidelines provide general summary information regarding all eligibility requirements as well as a comprehensive summary of all responsibilities and actions for which a local jurisdiction must follow to continue their eligibility.

Please contact the following OCTA staff when seeking additional information or clarification regarding any of the M2 Eligibility Guidelines:

**May Hout**

Senior Transportation Funding Analyst

(714) 560-5905

[MHout@octa.net](mailto:MHout@octa.net)

Or

**Sam Kaur**

Section Manager, Local Measure M Programs

(714) 560-5673

[SKaur@octa.net](mailto:SKaur@octa.net)



## Appendices

### **Appendix A: M2 Ordinance**

The M2 Ordinance (Ordinance No. 3) can be found on the Eligibility Website:  
<http://www.octa.net/M2Eligibility>

*This Page Intentionally Left Blank*



## **Appendix B: Eligibility for New Cities**

*This Page Intentionally Left Blank*

## **Eligibility for New Cities**

### **Eligibility for Fair Share Funds - New Cities**

At the time of incorporation, a new city may adopt current practices previously established by the County of Orange, which have already established eligibility under the current M2. As new cities mature, they will adopt their own general plan and growth strategies.

To provide for this transition period, the OCTA Board of Directors has previously adopted the following new city eligibility process for Fair Share funds:

- A new city may, at its discretion, adopt the approved PMP of the predecessor governing body as its own, providing these policies are fully enforced.
- Prior to incorporation, the proposed new city must work with OCTA and the Local Agency Formation Commission (LAFCO) to identify the variables used in the M2 Fair Share funds calculation (population, taxable sales, and MPAH mileage). Preliminary data must be identified prior to the date of incorporation.
- The new city will begin accruing M2 Fair Share funds as of the date of incorporation.
- The OCTA will reserve the accrued funds for the new city, pending the determination of eligibility by the OCTA Board within one year of the date of incorporation.
- In order for the new city to receive the reserved accrued funds, OCTA must receive all necessary elements of the M2 eligibility package, complete the necessary review and approval of the package, and the OCTA Board must determine the new city eligible to receive M2 funds within one year of the date of incorporation. OCTA recommends the city submit its eligibility package within six months of incorporation to allow sufficient time for OCTA review and approval processes.
- Upon determination of eligibility by the OCTA Board, the new city will receive its first Fair Share payment including the reserved accrued funds, on the first regular payment cycle following the eligibility determination.
- The first fair share payment will be adjusted to reflect final Fair Share calculation (population, taxable sales, and MPAH miles) as determined through the new city eligibility process.
- In the event a new city is determined to be ineligible to receive Fair Share funds by the OCTA Board, the reserved accrued funds and interest on the funds, shall be distributed to the eligible jurisdictions on a pro-rata basis, until such time that the new city attains eligibility.
- Such new city will begin to accrue funds as of the first day of the first regular accrual period following its determination of eligibility by the OCTA Board and receive its first Fair Share payment on the corresponding regular payment cycle.

### **Eligibility for Competitive Funds-New Cities**

In addition to the new city eligibility process for Fair Share funds, the OCTA Board has adopted the following process for eligibility for competitive funds:

- A new city may apply for competitive funding upon the date of incorporation, however, may not be awarded competitive funding until the new city has been determined eligible to receive Fair Share funds by OCTA Board, as described above.
- A new city must include an adopted PMP that is consistent with countywide pavement condition assessment standards (Arterial Highway Rehabilitation Program), a General Plan Circulation Element consistent with the MPAH, and a City Council resolution attesting that no unilateral reduction in lanes have been made on any MPAH arterials in its M2 eligibility package for review and approval by the OCTA Board.
- Applications for competitive funding by new cities will be considered until such time in the process of the competitive funding program that projects are ranked for award. If the new city has not been determined eligible by the OCTA Board by the time projects are ranked for award, any application by the new city for competitive funding will be withdrawn from further consideration. OCTA staff will work with the new city to revise the schedule specific to its time of incorporation in relation to the current competitive funding program process

### **New Cities – MOE**

M2 requires the development of a method to apply the MOE to new cities without five years of streets and roads data, including cities incorporated during the thirty years the tax is in effect. New cities unable to meet this requirement may use the appeals process to establish a benchmark number that more accurately reflects network needs. A phase-in period of two years has been established for new cities to achieve the approved MOE expenditure requirement.

The approved method uses the following formula to calculate the MOE for new cities:

$$\frac{\text{Total MOE benchmark for the county}}{\text{Total county population}} = \text{Per capita expenditure}$$

$$\text{Per capita expenditure} \times \text{city population} = \text{MOE benchmark for the city}$$

### **Appeals Process**

New cities may appeal the formula benchmark determination above where there is a dispute regarding the city population. The OCTA shall use the most recent Census or figures from the State of California Department of Finance. Appeals will be submitted first to the Technical Advisory Committee and then to the OCTA Board of Directors for final determination.

**Appendix C: Congestion Management Program Checklist**

Appendix C can be found on the Eligibility Website:  
<http://www.octa.net/M2Eligibility>

*This Page Intentionally Left Blank*



# APPENDIX C

## Congestion Management Program (CMP)

Jurisdiction: \_\_\_\_\_

<b>CMP Monitoring Checklist: Level of Service</b>					
CMP Checklist		YES	NO	N/A	
1.	Check "Yes" if either of the following apply: <ul style="list-style-type: none"> <li>• There are no CMP intersections in your jurisdiction.</li> <li>• Factoring out statutorily-exempt activities<sup>1</sup>, all CMP intersections within your jurisdiction are operating at LOS E (or the baseline level, if worse than E) or better.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>		
<b>NOTE: ONLY THOSE AGENCIES THAT CHECKED "NO" FOR QUESTION 1 NEED TO ANSWER THE REMAINING QUESTIONS.</b>					
2.	If any, please list those intersections that are not operating at the CMP LOS standards. <ul style="list-style-type: none"> <li>• _____</li> <li>• _____</li> <li>• _____</li> </ul>				<input type="checkbox"/>
3.	Will deficient intersections, if any, be improved by mitigation measures to be implemented in the next 18 months or improvements programmed in the first year of any recent funding program (i.e., local agency CIP, CMP CIP, Measure M CIP)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	a. If not, has a deficiency plan been developed for each intersection that will be operating below the CMP LOS standards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Additional Comments:					
I certify that the information contained in this checklist is true.					
Signature: _____					
Title: _____					

<sup>1</sup>The following activities are statutorily-exempt from deficiency determinations: interregional travel, traffic generated by the provision of low and very low income housing, construction rehabilitation or maintenance of facilities that impact the system, freeway ramp metering, traffic signal coordination by the state or multi-jurisdictional agencies, traffic generated by high-density residential development within 1/4 mile of a fixed-rail passenger station, traffic generated by mixed-use residential development within 1/4 mile of a fixed-rail passenger station.



# APPENDIX C

## Congestion Management Program (CMP)

<b>Jurisdiction:</b>	
----------------------	--

<b>CMP Monitoring Checklist: Deficiency Plans</b>				
CMP Checklist		YES	NO	N/A
1.	Check "Yes" if either of the following apply: <ul style="list-style-type: none"> <li>There are no CMP intersections in your jurisdiction.</li> <li>Factoring out statutorily-exempt activities<sup>2</sup>, all CMPHS intersections within your jurisdiction are operating at LOS E (or the baseline level, if worse than E) or better.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>NOTE: ONLY THOSE AGENCIES THAT CHECKED "NO" FOR QUESTION 1 NEED TO ANSWER THE REMAINING QUESTIONS.</b>				
2.	If any, please list those intersections found to not meet the CMP LOS standards. <ul style="list-style-type: none"> <li>_____</li> <li>_____</li> <li>_____</li> </ul>			<input type="checkbox"/>
3.	Are there improvements to bring these intersections to the CMP LOS standard scheduled for completion during the next 18 months or programmed in the first year of the CIP?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>NOTE: ONLY THOSE AGENCIES THAT CHECKED "NO" FOR QUESTION 3 NEED TO ANSWER THE REMAINING QUESTIONS.</b>				
4.	Has a deficiency plan or a schedule for preparing a deficiency plan been submitted to OCTA?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Does the deficiency plan fulfill the following statutory requirements:			
	a. Include an analysis of the causes of the deficiency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	b. Include a list of improvements necessary to maintain minimum LOS standards on the CMPHS and the estimated costs of the improvements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	c. Include a list of improvements, programs, or actions, and estimates of their costs, which will improve LOS on the CMPHS and improve air quality?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	i. Do the improvements, programs, or actions meet the criteria established by SCAQMD (see the CMP Preparation Manual)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<sup>2</sup>The following activities are statutorily-exempt from deficiency determinations: interregional travel, traffic generated by the provision of low and very low income housing, construction rehabilitation or maintenance of facilities that impact the system, freeway ramp metering, traffic signal coordination by the state or multi-jurisdictional agencies, traffic generated by high-density residential development within 1/4 mile of a fixed-rail passenger station, traffic generated by mixed-use residential development within 1/4 mile of a fixed-rail passenger station.





# APPENDIX C

## Congestion Management Program (CMP)

<b>Jurisdiction:</b>	
----------------------	--

CMP Monitoring Checklist: Deficiency Plans (cont.)				
--	--	--	--	--

CMP Checklist		YES	NO	N/A
6.	Are the capital improvements identified in the deficiency plan programmed in your seven-year CMP CIP?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	Does the deficiency plan include a monitoring program that will ensure its implementation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	Does the deficiency plan include a process to allow some level of development to proceed pending correction of the deficiency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	Has necessary inter-jurisdictional coordination occurred?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	Please describe any innovative programs, if any, included in the deficiency plan:			<input type="checkbox"/>

<b>Additional Comments:</b>
-----------------------------

--

<p>I certify that the information contained in this checklist is true.</p> <p>Signature: _____</p> <p style="margin-left: 40px;">Title: _____</p>
---



# APPENDIX C

## Congestion Management Program (CMP)

<b>Jurisdiction:</b>	
----------------------	--

<b>CMP Monitoring Checklist: Land Use Coordination</b>				
CMP Checklist		YES	NO	N/A
1.	Have you maintained the CMP traffic impact analysis (TIA) process you selected for the previous CMP?	<input type="checkbox"/>	<input type="checkbox"/>	
	a. If not, have you submitted the revised TIA approach and methodology to OCTA for review and approval?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Did any development projects require a CMP TIA during this CMP cycle? <sup>3</sup>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>NOTE: ONLY THOSE AGENCIES THAT CHECKED "YES" FOR QUESTION 2 NEED TO ANSWER THE REMAINING QUESTIONS.</b>				
3.	If so, how many?	_____		
4.	Please list any CMPHS links & intersections that were projected to not meet the CMP LOS standards (indicate whether any are outside of your jurisdiction).  <ul style="list-style-type: none"> <li>• _____</li> <li>• _____</li> <li>• _____</li> </ul>			<input type="checkbox"/>
	a. Were mitigation measures and costs identified for each and included in your seven-year CIP?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	b. If any impacted links & intersections were outside your jurisdiction, did your agency coordinate with other jurisdictions to develop a mitigation strategy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	If a local traffic model was/will be used, did you follow the data and modeling consistency requirements as described in the CMP Preparation Manual (available online at <a href="http://www.octa.net/pdf/cmppremanual.pdf">http://www.octa.net/pdf/cmppremanual.pdf</a> )?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Additional Comments:</b>				
I certify that the information contained in this checklist is true.				
Signature: _____		Title: _____		

<sup>3</sup>Exemptions include: any development generating less than 2,400 daily trips, any development generating less than 1,600 daily trips (if it directly accesses a CMP highway), final tract and parcel maps, issuance of building permits, issuance of certificate of use and occupancy, and minor modifications to approved developments where the location and intensity of project uses have been approved through previous and separate local government actions prior to January 1, 1992.



# APPENDIX C

## Congestion Management Program (CMP)

<b>Jurisdiction:</b>	
----------------------	--

<b>CMP Monitoring Checklist: Capital Improvement Program</b>					
CMP Checklist		YES	NO	N/A	
1.	Did you submit a seven-year Capital Improvement Program (CIP) to OCTA by June 30?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.	Does the CIP include projects to maintain or improve the performance of the CMPHS (including capacity expansion, safety, maintenance, and rehabilitation)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.	Is it consistent with air quality mitigation measures for transportation- related vehicle emissions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.	Was the Web Smart CIP provided by the OCTA used to prepare the CMP CIP?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Additional Comments:					
<p>I certify that the information contained in this checklist is true.</p> <p>Signature: _____</p> <p style="margin-left: 100px;">Title: _____</p>					

*This Page Intentionally Left Blank*

## **Appendix D: Eligibility Checklist**

Appendix D can be found on the Eligibility Website:  
<http://www.octa.net/M2Eligibility>

*This Page Intentionally Left Blank*



# APPENDIX D

## Eligibility Checklist

Jurisdiction:	
---------------	--

Capital Improvement Program (CIP)		YES	N/A
1.	Did you submit your draft Measure M2 seven-year CIP to OCTA by June 30?	<input type="checkbox"/>	<input type="checkbox"/>
	a. Did you utilize the required <a href="#">Web Smart-OCTA CIP database</a> ?	<input type="checkbox"/>	<input type="checkbox"/>
	b. Have you indicated what percentage of funding will come from each source for each of the projects?	<input type="checkbox"/>	<input type="checkbox"/>
	c. Have you listed projects in current year dollars?	<input type="checkbox"/>	<input type="checkbox"/>
	d. Did you include all projects that are partially, fully, or potentially funded by Measure M2 net revenues?	<input type="checkbox"/>	<input type="checkbox"/>
The council approval date* to adopt the final 7-Year CIP is: _____ <small>*Must be prior to July 31</small>			

Maintenance of Effort (MOE)		YES	NO
2.	Did you submit <del>your</del> <a href="#">the</a> MOE certification form (Appendix I) <del>and supporting budget documentation</del> to OCTA by June 30?	<input type="checkbox"/>	<input type="checkbox"/>
	a. Did you <a href="#">provide supporting budget documentation? use the MOE Reporting Form included in the M2 Eligibility Guidelines?</a>	<input type="checkbox"/>	<input type="checkbox"/>
	b. Has the MOE Reporting form been signed by the Finance Director or appropriate designee?	<input type="checkbox"/>	<input type="checkbox"/>

Pavement Management Program (PMP)		YES	N/A
3.	Are you required to submit a PMP update to OCTA for this eligibility cycle? If you are not required to submit a PMP update, check N/A. Refer to Exhibit 3 for local agency PMP submittal schedule.	<input type="checkbox"/>	<input type="checkbox"/>
	a. If yes, did you use the current PMP Certification form (Appendix F)?	<input type="checkbox"/>	<input type="checkbox"/>
	b. If yes, is the <a href="#">adopted</a> PMP consistent with the OCTA Countywide Pavement Management Program?	<input type="checkbox"/>	<input type="checkbox"/>
4.	If you answered "n/a" to question 3, did you submit a PMP Update to OCTA through the previous eligibility cycle by June 30?	<input type="checkbox"/>	<input type="checkbox"/>

Resolution of Master Plan of Arterial Highways (MPAH) Consistency		YES	N/A
5.	Did you submit a resolution demonstrating consistency with the MPAH?	<input type="checkbox"/>	<input type="checkbox"/>
	a. <del>Has there been an update to the Circulation Element since the last reporting period? If yes, include a copy of the latest Circulation Element.</del>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	a. Have you enclosed a figure representing your most current circulation element?	<input type="checkbox"/>	<input type="checkbox"/>

Local Signal Synchronization Plan (LSSP)		YES	N/A
6.	<a href="#">Did you adopt and submit an update to the LSSP as part of the current cycle?</a>	<input type="checkbox"/>	<input type="checkbox"/>
	a. <del>Do you have a</del> <a href="#">s your current LSSP Local Signal Synchronization Plan that is</a> consistent with the Regional Traffic Signal Synchronization Master Plan?	<input type="checkbox"/>	<input type="checkbox"/>



# APPENDIX D

## Eligibility Checklist

Time Limits for Use of Net Revenues		YES	NO
7.	Has your jurisdiction <del>complied with the three year</del> <del>observed the</del> time limits for the use of net revenues over the last year per the requirements outlined in the ordinance?	<input type="checkbox"/>	<input type="checkbox"/>
	a. If no, has a time extension been requested through the semi-annual review process for funds subject to expiration?	<input type="checkbox"/>	<input type="checkbox"/>

Supplanting of Developer Commitments		YES	NO
8.	Has your jurisdiction ensured they have not supplanted developer commitments for transportation projects and funding with Measure M2 funds?	<input type="checkbox"/>	<input type="checkbox"/>

Mitigation Fee Program		YES	N/A
9.	Does your jurisdiction currently have a defined development impact mitigation fee program in place?	<input type="checkbox"/>	<input type="checkbox"/>
10.	<del>Has your jurisdiction submitted a copy of the current mitigation fee program?</del>	<input type="checkbox"/>	<input type="checkbox"/>
	a. <del>If you answered yes to question 10,</del> Have you included a copy of your current impact fee schedule; or	<input type="checkbox"/>	<input type="checkbox"/>
	b. <del>If you answered yes to question 10,</del> Have you provided OCTA with a copy of your mitigation fee nexus study; or	<input type="checkbox"/>	<input type="checkbox"/>
	c. <del>If you answered yes to question 10,</del> Have you included a copy of your council approved policy; or	<input type="checkbox"/>	<input type="checkbox"/>
	d. <del>If you answered yes to question 10,</del> Have you provided OCTA with a copy of your council resolution approving the mitigation fee program?	<input type="checkbox"/>	<input type="checkbox"/>
	e. <del>Has an update to the mitigation fee program occurred since the last reporting period? If yes, please submit the appropriate documents in 10a through 10d.</del>	<input type="checkbox"/>	<input type="checkbox"/>

Planning Strategies		YES	NO
11.	Does your jurisdiction consider as part of its General Plan, land use planning strategies that accommodate transit and non-motorized transportation?	<input type="checkbox"/>	<input type="checkbox"/>
12.	Have you provided a letter identifying land use planning strategies that accommodate transit and non-motorized transportation consideration in the general plan?	<input type="checkbox"/>	<input type="checkbox"/>

Traffic Forums		YES	NO
13.	Did representatives of your jurisdiction participate in the regional traffic forum(s)?	<input type="checkbox"/>	<input type="checkbox"/>
	If you answered yes, provide date of attendance: _____		

Congestion Management Program (CMP)		YES	N/A
14.	Has your jurisdiction completed the required CMP checklist? (Appendix C)	<input type="checkbox"/>	<input type="checkbox"/>

\_\_\_\_\_  
Name (Print)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date



## **Appendix E: Sample Resolution**

Appendix E can be found on the Eligibility Website:  
<http://www.octa.net/M2Eligibility>

*This Page Intentionally Left Blank*

**[SAMPLE RESOLUTION]**

A RESOLUTION OF THE CITY COUNCIL/BOARD OF SUPERVISORS OF THE CITY/COUNTY OF \_\_\_\_\_ CONCERNING THE STATUS AND UPDATE OF THE CIRCULATION ELEMENT, LOCAL SIGNAL SYNCHRONIZATION PLAN, MITIGATION FEE PROGRAM, AND PAVEMENT MANAGEMENT PLAN FOR THE MEASURE M (M2) PROGRAM

WHEREAS, the City/County of \_\_\_\_\_ desires to maintain and improve the streets within its jurisdiction, including those arterials contained in the Master Plan of Arterial Highways (MPAH) and

WHEREAS, the City/County of \_\_\_\_\_ had endorsed a definition of and process for, determining consistency of the City's/County's Traffic Circulation Plan with the MPAH, and

WHEREAS, the City/County has adopted a General Plan Circulation Element which does not preclude implementation of the MPAH within its jurisdiction, and

WHEREAS, the City/County is required to adopt a resolution biennially informing the Orange County Transportation Authority (OCTA) that the City/County's Circulation Element is in conformance with the MPAH and whether any changes to any arterial highways of said Circulation Element have been adopted by the City/County during Fiscal Years (FY) [2015-16](#) and FY [2016-17](#), and

WHEREAS, the City/County is required to send biennially to the OCTA all recommended changes to the City/County Circulation Element and the MPAH for the purposes of re-qualifying for participation in the [Combined Comprehensive](#) Transportation Funding Programs;

~~WHEREAS, the 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~~

WHEREAS, the Orange County Transportation Authority has developed the Regional Traffic Signal Synchronization Master Plan to identify traffic signal synchronization street routes and traffic signals within and across jurisdictional boundaries, and defines the means of implementing the Regional Traffic Signal Synchronization Program; and

WHEREAS, the Regional Traffic Signal Synchronization Program requires that local agency's adopt 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

WHEREAS, the Local Signal Synchronization Plan must be updated by June 30, 2017 to continue to be eligible to receive Net Revenues as part of Measure M2;

WHEREAS, the City/County is required to adopt a resolution biennially ~~to adopt a~~ [certifying that the City/County has an existing Mitigation Fee Program that assesses traffic impacts of new development and requires new development to pay a fair share of necessary transportation improvements attributable to the new development;](#)

WHEREAS, the City/County is required to adopt and update a Pavement Management Plan regarding the status of road pavement conditions and implementation of the Pavement Management Plan on a biennial basis; and

NOW, THEREFORE, BE IT RESOLVED that the City Council/Board of Supervisors for the City/County of \_\_\_\_\_, does hereby inform OCTA that:

a) The arterial highway portion of the City/County Circulation Element of the City/County is in conformance with the MPAH.

b) The City/County attests that no unilateral reduction in through lanes has been made on any MPAH arterials during FY 2015-16 and FY 2016-17.

~~e) The City/County has adopted a uniform setback ordinance providing for the preservation of rights-of-way consistent with the MPAH arterial highway classification.~~

~~e) The City/County has adopted provisions for the limitation of access to arterial highways in order to protect the integrity of the system.~~

~~e)c)~~ The City/County adopts and maintains a Local Signal Synchronization Plan which includes goals that are consistent with those outlined as part of the Regional Signal Synchronization Master Plan, including signal synchronization across jurisdictions.

~~f)d)~~ The Local Signal Synchronization Plan identifies traffic signal synchronization street routes, including all elements of the Regional Signal Synchronization Network located within the City/County.

~~g)e)~~ The Local Signal Synchronization Plan includes the traffic signal inventory for all traffic signal synchronization street routes.

~~h)f)~~ The Local Signal Synchronization Plan includes a three-year plan showing capital, operations, and maintenance of signal synchronization along the traffic signal synchronization street routes and traffic signals.

~~i)g)~~ The Local Signal Synchronization Plan includes an update on the status and performance of traffic signal synchronization activities.

~~j)h)~~ The Local Signal Synchronization Plan includes a discussion on the review and revision, as may be necessary, on the timing of traffic signals on the traffic signal synchronization street routes.

~~k)i)~~ The City/County reaffirms that Council concurs with the existing Mitigation Fee Program.

~~l)j)~~ The City/County adopts a Pavement Management Plan and has provided an updated Pavement Management Plan report to Orange County Transportation Authority.

PASSED, APPROVED AND ADOPTED THIS [Insert Day] day of [Insert Month], [Insert Year].

**Appendix F: Pavement Management Plan Certification & Agency Submittal Checklist**

Appendix F can be found on the Eligibility Website:

<http://www.octa.net/M2Eligibility>

*This Page Intentionally Left Blank*



# APPENDIX F

## Pavement Management Plan Certification

The City/County of \_\_\_\_\_ certifies that it has a Pavement Management Plan in conformance with the criteria stated in the Orange County Transportation Authority Ordinance No.3. This ordinance requires that the Pavement Management Plan be in place and maintained to qualify for allocation of revenues generated from renewed Measure M (M2).

The plan was developed by \_\_\_\_\_ \* using \_\_\_\_\_, a pavement management system, conforming to American Society for Testing and Materials (ASTM) Standard D6433, and contains, at a minimum, the following elements:

- Inventory of MPAH and local routes reviewed and updated biennially. The last update of the inventory was completed on \_\_\_\_\_, \_\_\_\_\_ for Arterial (MPAH) streets and \_\_\_\_\_, \_\_\_\_\_ for local streets.
- Assessment of pavement condition for all routes in the system, updated biennially. The last field review of pavement condition was completed \_\_\_\_\_, \_\_\_\_\_.
- Percentage of all sections of pavement needing:
  - Preventive Maintenance \_\_\_\_\_, Rehabilitation \_\_\_\_\_, Reconstruction \_\_\_\_\_
- Budget needs for preventative maintenance, rehabilitation and/or reconstruction of deficient sections of pavement for:
  - Current biennial period \$ \_\_\_\_\_, Following biennial period \$ \_\_\_\_\_
- Funds budgeted or available for Preventative Maintenance, Rehabilitation and/or Reconstruction.
  - Current biennial period \$ \_\_\_\_\_, Following biennial period \$ \_\_\_\_\_
- Backlog by year of unfunded pavement rehabilitation, restoration, and reconstruction needs.
- The Pavement Management Plan is consistent with countywide pavement condition assessment standards as described in the OCTA Countywide Pavement Management Plan Guidelines adopted by the OCTA Board of Directors.

\* An electronic copy of the Pavement Management Plan with Micro Paver or StreetSaver compatible files has been or will be submitted with the certification statement.

A copy of this certification is being provided to the Orange County Transportation Authority.

### Submitted by:

_____	_____	_____
Name (Print)	Title	Jurisdiction
_____	_____	
Signature	Date	

*This Page Intentionally Left Blank*





# Pavement Management Plan

## Agency Submittal Checklist

A Pavement Management Plan (PMP) is a plan to manage the preservation, rehabilitation, and maintenance of paved roads by analyzing pavement life cycles, assessing overall system performance costs, and determining alternative strategies and costs necessary to improve paved roads. Local agencies are required to update their PMP on a biennial basis. MicroPAVER or StreetSaver will be used for countrywide consistency. The software must be consistent with American Standard for Testing and Materials (ASTM) Standard D6433. Local agencies are required to submit a PMP unbound "hard copy" including: (See Chapter 3)

Local agencies must submit the following to OCTA:		Page(s) in PMP	Submitted
PMP Agency Submittal Checklist (See Appendix A)			<input type="checkbox"/>
PMP certification (See Appendix B)			<input type="checkbox"/>
QA/QC plan (See Appendix C and Section 2.4)			<input type="checkbox"/>
Pavement management data files in a form useable by OCTA (See Section 2.8)			<input type="checkbox"/>
Average (weighted by area) Pavement Condition Index for:			
i.	Entire pavement network		<input type="checkbox"/>
ii.	Master Plan of Arterial Highways (MPAH) roadways		<input type="checkbox"/>
iii.	Local streets		<input type="checkbox"/>
Projected PCI under existing funding levels over the next seven years for:			
i.	Entire pavement network		<input type="checkbox"/>
ii.	MPAH roadways		<input type="checkbox"/>
iii.	Local streets		<input type="checkbox"/>
Seven-year plan for road maintenance and rehabilitation based on current and projected budget, identifying street sections selected for treatment. Specific data to be submitted are:			
i.	Street name		<input type="checkbox"/>
ii.	Limits of work		<input type="checkbox"/>
iii.	Lengths, widths		<input type="checkbox"/>
iv.	Pavement Areas:		
	1. Each street		<input type="checkbox"/>
	2. Total area for local streets		<input type="checkbox"/>
	3. Total area for MPAH roadways		<input type="checkbox"/>
	4. Total area for entire public streets network		<input type="checkbox"/>
v.	Functional classification (i.e. MPAH or local street)		<input type="checkbox"/>
vi.	PCI and most recent date of inspection (See Section 2.2)		<input type="checkbox"/>
vii.	Type of treatment		<input type="checkbox"/>
viii.	Cost of treatment		<input type="checkbox"/>
ix.	Year of treatment		<input type="checkbox"/>
Alternative funding levels required to:			
i.	Maintain existing average network PCI		<input type="checkbox"/>
ii.	To improve average network PCI		<input type="checkbox"/>
Backlog by year of unfunded pavement rehabilitation, restoration, reconstruction, and maintenance needs.			<input type="checkbox"/>
Centerline mileage for MPAH, local streets, and total network.			<input type="checkbox"/>
Percentage of total network in each of the five condition categories based on centerline miles.			<input type="checkbox"/>

*This Page Intentionally Left Blank*

**Appendix G: M2 Expenditure Report Template, Instructions & Resolution**

Appendix G can be found on the Eligibility Website:  
<http://www.octa.net/M2Eligibility>

***This Page Intentionally Left Blank***

# Measure M2 Expenditure Report Template

## Schedule 1: Summary Statement of Beginning and Ending Balances

### **Lines 1 – 12: Balances at Beginning of Fiscal Year**

Report all fund balances and interest intended for transportation purposes at the beginning of the fiscal year. These balances should be classified by funding source [as illustrated in the table below](#) ~~(e.g. Measure M2 (M2) fair share, M2 competitive, and transit)~~. To provide for continuity of reporting, the beginning balances of any restricted funds must be in agreement with the ending balances of such funds as shown in the prior year's report.

<u>Project</u>	<u>Description</u>
<a href="#">A-M</a>	<a href="#">Freeway Environmental Mitigation</a>
<a href="#">O</a>	<a href="#">Regional Capacity Program</a>
<a href="#">P</a>	<a href="#">Regional Traffic Signal Synchronization Program</a>
<a href="#">Q</a>	<a href="#">M2 Fair Share</a>
<a href="#">R</a>	<a href="#">High Frequency Metrolink Service</a>
<a href="#">S</a>	<a href="#">Transit Extensions to Metrolink</a>
<a href="#">T</a>	<a href="#">Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems</a>
<a href="#">U</a>	<a href="#">Senior Mobility Program or Senior Non-Emergency Medical Program</a>
<a href="#">V</a>	<a href="#">Community Based Transit/Circulators</a>
<a href="#">W</a>	<a href="#">Safe Transit Stops</a>
<a href="#">X</a>	<a href="#">Water Quality Program</a>
<a href="#">Other</a>	<a href="#">Please provide description for other categories</a>

### **Line 13: Balances at Beginning of Fiscal Year - TOTAL**

Sum Lines 1 – 12 [in the "Amount" and "Interest" Column](#)

### **Line 14: Monies Made Available During Fiscal Year**

Report total available monies (revenues) from Schedule 2, Line 13 [in the "Amount" and "Interest" Column](#)

### **Line 15: Total Monies Available**

Sum Lines 13-14 [in the "Amount" and "Interest" Column](#)

### **Line 16: Expenditures During Fiscal Year**

Report total available monies (revenues) from Schedule 2, Line 26 [in the "Amount" and "Interest" Column](#)

### **Lines 17-28: Balances at End of Fiscal Year**

Report by funding source all fund balances and interest for transportation purposes at the end of the fiscal year. To provide for continuity of reporting, the beginning balances of the fund sources in next year's report must be in agreement with the ending balances of such funds as shown in this year's report (or otherwise reconciled).

**M2 Expenditure Report  
Fiscal Year Ended June 30, 20\_\_  
Beginning and Ending Balances**

Description	Line No.	Amount	<a href="#">Interest</a>
<b>Balances at Beginning of Fiscal Year</b>			
<a href="#">A-M</a> <a href="#">Freeway Environmental Mitigation</a>	1		
<a href="#">Q</a> <a href="#">Regional Capacity Program</a>	2		
<a href="#">P</a> <a href="#">Regional Traffic Signal Synchronization Program</a>	3		
<a href="#">Q</a> <a href="#">M2 Fair Share</a>	4		
<a href="#">R</a> <a href="#">High Frequency Metrolink Service</a>	5		
<a href="#">S</a> <a href="#">Transit Extensions to Metrolink</a>	6		
<a href="#">I</a> <a href="#">Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems</a>	7		
<a href="#">U</a> <a href="#">Senior Mobility Program or Senior Non-Emergency Medical Program</a>	8		
<a href="#">V</a> <a href="#">Community Based Transit/Circulators</a>	9		
<a href="#">W</a> <a href="#">Safe Transit Stops</a>	10		
<a href="#">X</a> <a href="#">Water Quality Program</a>	11		
Other*	12		
<b>Balances at Beginning of the Fiscal Year (Sum Lines 1 to 12)</b>	13		
Monies Made Available During Fiscal Year	14		
<b>Total Monies Available (Sum Lines 13 &amp; 14)</b>	15		
Expenditures During Fiscal Year	16		
<b>Balances at End of Fiscal Year</b>			
<a href="#">A-M</a> <a href="#">Freeway Environmental Mitigation</a>	17		
<a href="#">Q</a> <a href="#">Regional Capacity Program</a>	18		
<a href="#">P</a> <a href="#">Regional Traffic Signal Synchronization Program</a>	19		
<a href="#">Q</a> <a href="#">M2 Fair Share</a>	20		
<a href="#">R</a> <a href="#">High Frequency Metrolink Service</a>	21		
<a href="#">S</a> <a href="#">Transit Extensions to Metrolink</a>	22		
<a href="#">I</a> <a href="#">Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems</a>	23		
<a href="#">U</a> <a href="#">Senior Mobility Program or Senior Non-Emergency Medical Program</a>	24		
<a href="#">V</a> <a href="#">Community Based Transit/Circulators</a>	25		
<a href="#">W</a> <a href="#">Safe Transit Stops</a>	26		
<a href="#">X</a> <a href="#">Water Quality Program</a>	27		
Other*	28		

\* Please provide a specific description

[CTFP — Comprehensive Transportation Funding Programs](#)

# Measure M2 Expenditure Report

## Schedule 2: Summary Statement of Sources and Uses

### Lines 1-12: Report the Following Revenue Sources and Interest on the Appropriate Line

Project	Description
A-M	Freeway Environmental Mitigation
O	Regional Capacity Program
P	Regional Traffic Signal Synchronization Program
Q	M2 Fair Share
R	High Frequency Metrolink Service
S	Transit Extensions to Metrolink
T	Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems
U	Senior Mobility Program or Senior Non-Emergency Medical Program
V	Community Based Transit/Circulators
W	Safe Transit Stops
X	Water Quality Program
Other	Please provide description for other categories

- ~~M2 Fair Share~~
- ~~M2 Fair Share Interest~~
- ~~M2 CTFP~~ — Comprehensive Transportation Funding Program
- ~~M2 CTFP Interest~~ — Comprehensive Transportation Funding Program (Negative interest is not allowable)
- ~~Other M2~~ — Includes Go Local, Senior Mobility Program, Transit, Water Quality, Grade Separations, Regional Gateways to High-Speed Rail
- ~~Other M2 Interest~~ — Includes Go Local, Senior Mobility Program, Transit, Water Quality, Grade Separation, Regional Gateways to High-Speed Rail
- ~~Other~~ — Please provide description for other categories

### Line 13: Total Revenues

Sum Lines 1-12 (Should match Total in Schedule 1, Line 14 [in the "Amount" and "Interest" Column](#))

### Lines 14-25: Report the Following Expenditures on the Appropriate Line

Project	Description
A-M	Freeway Environmental Mitigation
O	Regional Capacity Program
P	Regional Traffic Signal Synchronization Program
Q	M2 Fair Share
R	High Frequency Metrolink Service
S	Transit Extensions to Metrolink
T	Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems
U	Senior Mobility Program or Senior Non-Emergency Medical Program
V	Community Based Transit/Circulators
W	Safe Transit Stops
X	Water Quality Program
Other	Please provide description for other categories

- ~~M2 Fair Share~~
- ~~M2 Fair Share Interest~~
- ~~M2 CTFP~~— Comprehensive Transportation Funding Program
- ~~M2 CTFP Interest~~— Comprehensive Transportation Funding Program (Negative interest is not allowable)
- ~~Other M2~~— Includes Go Local, Senior Mobility Program, Transit, Water Quality, Grade Separation, Regional Gateways to High-Speed Rail
- ~~Other M2 Interest~~— Includes Go Local, Senior Mobility Program, Transit, Water Quality, Grade Separation, Regional Gateways to High-Speed Rail
- ~~Other~~— Please provide description for other categories

**Line 26: Total Expenditures**

Sum Lines 14-25 (Should match Total in Schedule 1, Line 16 in the "Amount" and "Interest" Column)

**Line 27: Total Balance**

Subtract Line 26 from Line 13 in the "Amount" and "Interest" Column



**M2 Expenditure Report  
Fiscal Year Ended June 30, 20\_\_\_\_  
Sources and Uses**

	Description	Line No.	Amount	Interest
<b>Revenues:</b>				
A-M	<a href="#">Freeway Environmental Mitigation</a>	1		
Q	<a href="#">Regional Capacity Program</a>	2		
P	<a href="#">Regional Traffic Signal Synchronization Program</a>	3		
Q	<a href="#">M2 Fair Share</a>	4		
R	<a href="#">High Frequency Metrolink Service</a>	5		
S	<a href="#">Transit Extensions to Metrolink</a>	6		
I	<a href="#">Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems</a>	7		
U	<a href="#">Senior Mobility Program or Senior Non-Emergency Medical Program</a>	8		
V	<a href="#">Community Based Transit/Circulators</a>	9		
W	<a href="#">Safe Transit Stops</a>	10		
X	<a href="#">Water Quality Program</a>	11		
	Other*	12		
	<b>TOTAL REVENUES: (Sum Lines 1 to 12)</b>	13	\$	\$
<b>Expenditures:</b>				
A-M	<a href="#">Freeway Environmental Mitigation</a>	14		
Q	<a href="#">Regional Capacity Program</a>	15		
P	<a href="#">Regional Traffic Signal Synchronization Program</a>	16		
Q	<a href="#">M2 Fair Share</a>	17		
R	<a href="#">High Frequency Metrolink Service</a>	18		
S	<a href="#">Transit Extensions to Metrolink</a>	19		
I	<a href="#">Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems</a>	20		
U	<a href="#">Senior Mobility Program or Senior Non-Emergency Medical Program</a>	21		
V	<a href="#">Community Based Transit/Circulators</a>	22		
W	<a href="#">Safe Transit Stops</a>	23		
X	<a href="#">Water Quality Program</a>	24		
	Other*	25		
	<b>TOTAL EXPENDITURES: (Sum Lines 14 to 25)</b>	26	\$	\$
	<b>TOTAL BALANCE (Subtract line 26 from 13)</b>	27	\$	\$

\* Please provide a specific description

\*\* Please provide breakdown of "Other M2 Funding". Other M2 Funding includes funding received and/or funds expended by Local Agencies from any other M2 program besides Project O (Regional Capacity Program) and Project Q (Local Fair Share Program).

Revenues				
Project Description	Project	Amount	Interest	Total
Freeway Environmental Mitigation	A-M	\$	\$	\$
Regional Traffic Signal Synchronization Program	P	\$	\$	\$
High Frequency Metrolink Service	R	\$	\$	\$
Transit Extensions to Metrolink	S	\$	\$	\$
Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems	I	\$	\$	\$
Senior Mobility Program or Senior Non-Emergency Medical Program	U	\$	\$	\$
Community Based Transit/Circulators	V	\$	\$	\$
Safe Transit Stops	W	\$	\$	\$
Water Quality Program	X	\$	\$	\$
	<b>Total:</b>	\$	\$	\$

Expenditures				
Project Description	Project	Amount	Interest	Total
Freeway Environmental Mitigation	A-M	\$	\$	\$
Regional Traffic Signal Synchronization Program	P	\$	\$	\$
High Frequency Metrolink Service	R	\$	\$	\$
Transit Extensions to Metrolink	S	\$	\$	\$
Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems	T	\$	\$	\$
Senior Mobility Program or Senior Non-Emergency Medical Program	U	\$	\$	\$
Community Based Transit/Circulators	V	\$	\$	\$
Safe Transit Stops	W	\$	\$	\$
Water Quality Program	X	\$	\$	\$
	Total:	\$	\$	\$

## Measure M2 Expenditure Report Template Instructions

### Schedule 3: Summary Statement of Detailed Use of Funds

#### **Line 1: Administration (Indirect & Overhead)**

This line covers transportation-related local agency costs that are identified with a project and are not included as direct charges. The costs listed in this line item represent an equitable share of expenditures for the supervision and management of streets and roads activities not directly allocated to right-of-way, construction, or other categories listed below. This includes, but is not limited to, salaries of project management and support staff.

#### **Lines 2-7: Construction**

Construction expenditures include the following:

- Projects developing new streets, bridges, lighting facilities, storm drains, etc., in locations that formerly had no such facilities, or projects departing to such an extent from existing alignment and grade that no material salvage value is realized from the old facilities.
- Additions and betterments to the street system and its rights-of-way, including grade separations and urban extensions.
- Any work that materially increases the service life of the original project.
- Resurfacing to a thickness greater than one inch.
- Resurfacing to a thickness less than one inch if the project has been certified by a lead agency as construction.
- Construction of traffic islands and other traffic safety devices.
- Transit facilities including, but not limited to, bus stops, shelters, and maintenance facilities.
- Streetscape including original landscaping, tree planting, and similar work.
- Acquisition and installation of street lighting facilities, traffic signals, and/or street signs (only when such signs are installed in connection with developing new streets).
- Planning, environmental, or design related to construction.
- Salaries and expenses of employees in connection with construction (direct costs).

#### **Line 8: Total Construction**

Sum Lines 2-7

#### **Line 9: Right-of-Way Acquisition**

Right-of-way expenditures include the following:

- The acquisition of land or interest for use as a right-of-way in connection with the city's street system; the amount reported should include the cost of acquisition of any improvements situated on the real property at the date of its acquisition by the city.
- The cost of removing, demolishing, moving, resetting, and altering buildings or other structures that obstruct the right-of-way.
- The court costs of condemnation proceedings.
- Title searches and reports.
- Salaries and expenses of employees and right-of-way agents in connection with the acquisition of rights-of-way (direct costs).
- Severance damage to property sustained by reason of the city's street projects.
- All other costs of acquiring rights-of-way free and clear of all physical obstructions and legal encumbrances.

#### **Line 10: Total Construction and Right-of-Way**

Sum Lines 8-9

**Line 11-15: Maintenance / Operations**

Maintenance expenditures include the following:

- The preservation and keeping of rights-of-way, street structures, and facilities in the safe and usable condition, to which they have been improved or constructed, but not reconstruction or other improvements.
- General utility services such as roadside planting, tree trimming, street cleaning, snow removal, and general weed control.
- Repairs or other work necessitated by damage to street structures or facilities resulting from storms, slides, settlements, or other causes unless it has been determined by the city engineer that such work is properly classified as construction.
- Maintenance of traffic signal equipment, coordination and timing on the city streets, as well as the city's share of such expenditures covering traffic signals situated at intersections of city streets and state highways within the incorporated area of the city.
- Salaries and expenses of employees in connection with maintenance and/or operations (direct costs).

**Line 16: Total Maintenance**

Sum Lines 11-15

**Line 17: Other**

Please provide description for other categories. Example: transit, Senior Mobility Program, water quality, transit operations such as vehicle leases and other related operating expenses, etc.

**Line 18: Grand Totals**

Sum Lines 1, 10, 16, and 17

City/County of: \_\_\_\_\_

Schedule 3

**M2 Expenditure Report  
Fiscal Year Ended June 30, 20\_\_\_\_  
Streets and Roads Detailed Use of Funds**

Type of Expenditure	Line Item	MOE <sup>2</sup>	Developer / Impact Fee <sup>+</sup>	<u>Q</u>	<u>Q Interest</u>	<u>P</u>	<u>P Interest</u>	<u>Q</u>	<u>Q Interest</u>	<u>X</u>	<u>X Interest</u>	Other M2 <sup>3</sup>	Other M2 Interest	Other*	TOTAL
<b>Administration (Indirect &amp; Overhead)</b>	1														\$
<b>Construction &amp; Right-of-Way</b>															
New Street Construction	2														\$
Street Reconstruction	3														\$
Signals, Safety Devices, & Street Lights	4														\$
Pedestrian Ways & Bike paths	5														\$
Storm Drains	6														\$
Storm Damage	7														\$
<b>Total Construction<sup>1</sup></b>	8														\$
Right of Way Acquisition	9														\$
<b>Total Construction &amp; Right-of-Way</b>	10														\$
<b>Maintenance</b>															
Patching	11														\$
Overlay & Sealing	12														\$
Street Lights & Traffic Signals	13														\$
Storm Damage	14														\$
Other Street Purpose Maintenance	15														\$
<b>Total Maintenance<sup>1</sup></b>	16														\$
<b>Other</b>	17														\$
<b>GRAND TOTALS (Sum Lines 1, 10, 16, 17)</b>	18	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$

<sup>1</sup> Includes direct charges for staff time

<sup>2</sup> Local funds used to satisfy maintenance of effort (MOE) requirements

<sup>3</sup>Other M2 includes A-M, R, S, T, U, V, and W

+ Transportation related only

\* Please provide a specific description

## Measure M2 Expenditure Report Template Instructions

### Schedule 4: Summary Statement of [M2](#) Fair Share Project List

List the project titles and brief description (maximum of two sentences) for all projects that utilized any portion of Measure M (M2) local fair share funding. Please include the total amount of [M2](#) fair share funds **only** that were expended.



City/County of: \_\_\_\_\_

**Signature Page**

**M2 Expenditure Report  
Fiscal Year Ended June 30, 20\_\_\_\_**

I certify that the interest earned on Net Revenues allocated pursuant to the Ordinance shall be expended only for those purposes for which the Net Revenues were allocated and all the information attached herein is true and accurate to the best of my knowledge:

\_\_\_\_\_  
Director of Finance (Print Name)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature



**[EXPENDITURE REPORT RESOLUTION]**

A RESOLUTION OF THE CITY COUNCIL/BOARD OF SUPERVISORS OF THE CITY/COUNTY OF CONCERNING THE MEASURE M2 EXPENDITURE REPORT FOR THE CITY/COUNTY OF \_\_\_\_\_.

WHEREAS, Local Transportation Authority Ordinance No. 3 requires local jurisdictions to adopt an annual Expenditure Report to account for Net Revenues, developer/traffic impact fees, and funds expended by local jurisdiction that satisfy the Maintenance of Effort requirements; and

WHEREAS, the Expenditure Report shall include all Net Revenue fund balances, interest earned and expenditures identified by type and program or project; and

WHEREAS, the Expenditure Report must be adopted and submitted to the Orange County Transportation Authority each year within six months of the end of the local jurisdiction's fiscal year to be eligible to receive Net Revenues as part of Measure M2.

NOW, THEREFORE, BE IT RESOLVED that the City/County of \_\_\_\_\_, does hereby inform OCTA that:

- a) The M2 Expenditure Report is in conformance with the M2 Expenditure Report Template provided in the Measure M2 Eligibility Guidelines and accounts for Net Revenues including interest earned, expenditures during the fiscal year and balances at the end of fiscal year.
- b) The M2 Expenditure Report is hereby adopted by the City/County of \_\_\_\_\_.
- c) The City/County of \_\_\_\_\_ Finance Director is hereby authorized to sign and submit the Measure M2 Expenditure Report to OCTA for the fiscal year ending \_\_\_\_\_.

PASSED, APPROVED AND ADOPTED on the \_\_\_\_\_ day of \_\_\_\_\_, 20167.

*This Page Intentionally Left Blank*

**Appendix H: Arterial Highway Mileage Change Report**

Appendix H can be found on the Eligibility Website:  
<http://www.octa.net/M2Eligibility>

*This Page Intentionally Left Blank*



*This Page Intentionally Left Blank*

**Appendix I: Maintenance of Effort Reporting Form**

Appendix I can be found on the Eligibility Website:  
<http://www.octa.net/M2Eligibility>

*This Page Intentionally Left Blank*





# APPENDIX I

Maintenance of Effort Reporting Form

Jurisdiction: \_\_\_\_\_

**Type of GENERAL FUND Transportation Expenditures:**

Please attach supporting budget documentation for each line item listed below.

MAINTENANCE	Total Expenditure
<b>Subtotal Maintenance</b>	<b>\$</b>

CONSTRUCTION	Total Expenditure
<b>Subtotal Construction</b>	<b>\$</b>

ADMINISTRATIVE/OTHER	Total Expenditure
<b>Subtotal Administration/Other</b>	<b>\$</b>

Total General Fund Transportation Expenditures	\$
(Less Total MOE Exclusions*)	\$
<b>MOE Expenditures</b>	<b>\$</b>
<b>MOE Benchmark Requirement</b>	<b>\$</b>
<b>(Shortfall)/Surplus</b>	<b>\$</b>

Certification:  
I hereby certify that the City/County of \_\_\_\_\_ has budgeted and will meet the Maintenance of Effort requirement for Fiscal Year \_\_\_\_\_.

\_\_\_\_\_  
Finance Director Signature

\_\_\_\_\_  
Finance Director  
(Print Name)

\_\_\_\_\_  
Date

\*Funding sources include Measure M, federal, state, redevelopment, and bond financing.

*This Page Intentionally Left Blank*

## **Appendix J: Acronyms**

*This Page Intentionally Left Blank*



<b>Acronym</b>	<b>Description</b>
AHRP	Arterial Highway Rehabilitation Program
CCI	Construction Cost Index
CEQA	California Environmental Quality Act
CFD	Community Facilities District
CIP	Capital Improvement Program
CMP	Congestion Management Program
CTFP	Comprehensive Transportation Funding Programs
GMP	Growth Management Program
ITS	Intelligent Transportation Systems
LAFCO	Local Agency Formation Commission
LOS	Level of Service
LSSP	Local Signal Synchronization Plan
LTA	Local Transportation Authority
MOE	Maintenance of Effort
MPAH	Master Plan of Arterial Highways
OCCOG	Orange County Council of Governments
PCI	Pavement Condition Index
PMP	Pavement Management Plan
RCP	Regional Capacity Program
RTSSMP	Regional Traffic Signal Synchronization Master Plan
SCAQMD	South Coast Air Quality Management District
TAC	Technical Advisory Committee
TDM	Traffic Demand Management
TOC	Taxpayer Oversight Committee
TSC	Technical Steering Committee

*This Page Intentionally Left Blank*

Redlined

GUIDELINES FOR THE PREPARATION OF

# LOCAL SIGNAL SYNCHRONIZATION PLANS

2017



## Table of Contents

<b>Chapter 1. Overview .....</b>	<b>2</b>
1.1. Measure M2 Eligibility Requirements .....	2
1.1.1. Local Signal Synchronization Plan Initial Adoption .....	2
1.1.2. Local Signal Synchronization Plan Update .....	2
1.2. Local Match Reduction .....	3
1.3. Purpose and Objectives of LSSP .....	3
<b>Chapter 2. Local Signal Synchronization Plan Guidelines.....</b>	<b>4</b>
2.1. Signal Synchronization Goals .....	4
2.2. Traffic Signal Synchronization Street Routes .....	4
2.3. Traffic Signal Inventory .....	4
2.4. Three-year Capital, Operations, and Maintenance Plan.....	5
2.5. Signal Synchronization Timing Review, Revision, and Assessment .....	5
<b>Chapter 3. Agency Submittals .....</b>	<b>6</b>
<b>Appendices .....</b>	<b>6</b>
Appendix A: Regional Traffic Signal Synchronization Master Plan .....	7
Appendix B: Local Signal Synchronization Plan Consistency Review Checklist .....	17



## Chapter 1. Overview

On November 6, 1990, ~~the~~ voters in Orange County approved a ½-cent sales tax for transportation improvements known as Measure M. This sales tax includes funding for streets and roads ~~that is~~ available to eligible local agencies through both a formula distribution and a competitive process. On November 6, 2006, voters approved Measure M2 to continue the ½-cent sales tax for thirty years, beginning in 2011. Project P, the Regional Traffic Signal Synchronization Program (RTSSP), was included as part of Measure M2.

The RTSSP is comprised of a 750-mile regional signal synchronization network with ~~about~~ approximately 2,000 signals. The goals of the program are to improve the flow of traffic on Orange County streets and roads by implementing multi-agency signal synchronization. Local agencies and Caltrans are encouraged to work cooperatively with the Orange County Transportation Authority (OCTA) to synchronize traffic signals throughout Orange County on a corridor basis to improve travel time and reduce stops. Local agencies will maintain local control and responsibility for signals within their jurisdiction ~~and control~~. Any changes to traffic signals, signal timing equipment, or related signal policies (including transit signal priority, transit preemption, or emergency vehicle preemption) are at the full discretion of the responsible local agency.

### 1.1. Measure M2 Eligibility Requirements

#### 1.1.1. Local Signal Synchronization Plan Initial Adoption

Eligibility requirements included in Measure M2 specify that each local jurisdiction must adopt a local signal synchronization plan (LSSP). For eligibility purposes, each local jurisdiction ~~previously initially~~ adopted a LSSP ~~, which was due by December 31, 2010 in 2010. The previous LSSPs that~~ included the following components:

- Signal synchronization goals
- Traffic signal synchronization street routes
- Traffic signal inventory
- Three-year capital, operations, and maintenance plan

#### 1.1.2. Local Signal Synchronization Plan Update

Subsequent to the adoption of each 2010 LSSP, the local agencies must maintain and update their respective LSSP for the duration of Measure M2 to remain eligible for funding. In addition to refreshing the section 1.1.1 elements included in the adopted LSSP with current information, the update shall include information on the following:

- Review and revise signal timing, as may be necessary, along traffic signal synchronization street routes and traffic signals based on the signal synchronization assessment.
- Report on the status and performance of signal synchronization activities along the traffic signal synchronization street routes and traffic signals. Jurisdictions may use related efforts that are included as part of the RTSSP Master Plan (Appendix A) to the extent appropriate to fulfill this reporting requirement. In addition, performance results from Project P corridor projects completed since the last update may be included.

For eligibility purposes, this means that a local agency must update an adopted plan by June 30, ~~2014~~ 2017, concurrent with the annual eligibility cycle and subsequently every three years thereafter. For a plan update, city council ~~action is at the discretion of the local agency~~ adoption is required.

The following table outlines the LSSP eligibility requirements and completion dates for the first seven years of Measure M2. Additionally, the table identifies the fiscal years for which the eligibility requirement applies.

<b>Local Signal Synchronization Plan Eligibility Requirement and Completion Date</b>	<b>Applicable Fiscal Years (FY)</b>
<p style="text-align: center;"><i>Initial Adoption</i></p> <p>Completed: December 31, 2010</p>	<p>Part of FY 2010-11  <u>as well as all of</u>                      FY 2011-12 <u>through</u>  <del>FY 2012-13</del>                      FY 2013-14</p>
<p style="text-align: center;"><i>3-Year Update</i></p> <p><del>Completion Date:</del> June 30, 2014</p>	<p>FY 2014-15 <u>through</u>  <del>FY 2015-16</del>                      FY 2016-17</p>
<p style="text-align: center;"><i>3-Year Update</i></p> <p>Completion Date: June 30, 2017</p>	<p>FY 2017-18 <u>through</u>  <del>FY 2018-19</del>  <del>FY 2019-20</del></p>
<p style="text-align: center;"><u><i>3-Year Update</i></u></p> <p><u>Completion Date: June 30, 2020</u></p>	<p><u>FY 2020-21 through FY 2022-23</u></p>

**1.2. Local Match Reduction**

By implementing, maintaining, and operating an LSSP in conformance with the RTSSP Master Plan, a local agency benefits through a local match reduction of 10 percent of eligible costs as part of the Regional Capacity Program (Project O) competitive grant program.

**1.3. Background Purpose and Objectives of LSSP**

LSSPs provide a tool to succinctly report local agency plans, goals and objectives regarding signal operations. Budgetary needs and system performance metrics are included to help communicate overall system operations and investment effectiveness. The primary goal of these guidelines is to ensure that local agencies have a clear understanding of the information required to prepare an LSSP. Submittal of these plans as part of the M2 Eligibility process enables OCTA verification of consistency with the RTSSP Master Plan.

**1.4. Procedures Manual Overview**

This manual provides guidelines and procedures necessary for Orange County agencies to develop and maintain their LSSP in conformance with the criteria stated in the Measure M2 Ordinance No. 3. The guidelines outline the components of the LSSP and the required documents to fulfill the signal synchronization portion of the Measure M2 eligibility process, including a "Consistency Review Checklist" in Appendix B.

## Chapter 2. Local Signal Synchronization Plan Guidelines

The LSSP guidelines are discussed under the following categories:

- Signal synchronization goals
- Traffic signal synchronization street routes
- Traffic signal inventory
- Three-year capital, operations, and maintenance plan
- Signal synchronization timing review, revision, and assessment

### 2.1. Signal Synchronization Goals

The Measure M2 RTSSP is envisioned as a multi-agency, corridor-based approach that optimizes the performance of traffic signals based on existing traffic patterns. The approach acknowledges local agency responsibility and control of signal timing, and works with those agencies to develop acceptable synchronization timing. Concurrence with these broad goals shall be provided. Information on how traffic signals and street routes may be coordinated across jurisdictional boundaries shall be described.

The LSSP should provide sufficient information to describe the role of existing and planned synchronized signals and coordinated corridors within the city ensuring an efficient and effective transportation circulation system. Supporting information including compatible traffic signal timing technical parameters and communication with other agencies may be included. Additional information including existing traffic patterns and time periods when synchronization is implemented (peak periods, midday, and weekends) may be expanded upon as necessary.

### 2.2. Traffic Signal Synchronization Street Routes

At minimum, all street routes included in the RTSSP located within the local agency boundaries must be identified by the LSSP, regardless of implementation status, ownership and operating responsibility. Reductions below that level will result in the LSSP being inconsistent with the RTSSP Master Plan and therefore not meet M2 eligibility requirements. Local agencies have the option to include additional streets not part of the Master Plan. This information will be useful for cities and OCTA to coordinate future projects with neighboring jurisdictions and aid in development of funding strategies. OCTA will provide maps with the Master Plan of Arterial Highways (MPAH) network identified for each local agency to facilitate this process.

### 2.3. Traffic Signal Inventory

Traffic signals that are part of the local agency signal synchronization routes identified in section 2.2 shall be inventoried in the LSSP, regardless of ownership and operating responsibility. The inventory is designed to help improve information flow to enhance signal coordination between agencies. Along with the signal inventory, cycle length information by time period shall be provided. ~~OCTA will facilitate the process of compiling the traffic signal and cycle length data for use by providing a web-based viewing tool for use by local agencies.~~ Maintenance responsibility for shared signals should be indicated. Equipment status may be included to identify signals that meet current technology requirements, as well as those planned for upgrade and, as a result, are candidates for replacement when feasible.

## 2.4. Three-year Capital, Operations, and Maintenance Plan

Implementing, maintaining and updating signal synchronization includes initial and periodic capital equipment investment and periodic timing plan updates. The LSSP identifies specific goals, routes and equipment required to ensure network operability with maximum traffic management efficiency. A planning level budget estimate shall be presented reflecting expenditures required to fully implement near term (three year) and long-term (beyond three years) synchronization program. ~~This~~ These scenarios ~~that~~ should be presented without regard to available funds (unconstrained scenario). The 3-year budget estimate shall be provided by fiscal year and separated into capital, operations, and maintenance elements. This unconstrained scenario should be presented with candidate signal synchronization projects for planning purposes. These projects may be submitted as part of future Project P calls for projects.

A separate three-year budget estimate based upon available funding (constrained scenario) using resources the local agency will commit to signal synchronization efforts shall also be provided. Anticipated monies ~~to be~~ not yet awarded as part of competitive Project P should not be included in this constrained plan. This budget estimate shall be provided by fiscal year and separated into capital, operations, and maintenance elements.

The following definitions are provided to help meet the intent of the three-year plan. Capital should include traffic signal infrastructure (e.g., detection and traffic controllers) and communication infrastructure (e.g., Ethernet and software for system traffic control) improvements necessary to achieve signal synchronization. Operations should consist of the development, on-going review/monitoring, and fine-tuning of synchronized signal timing. Finally, maintenance should comprise of the upkeep of traffic signal and communication infrastructure related to signal synchronization. Routine signal maintenance such as replacing signal heads, bulbs, and poles should not be included. The inclusion of other costs not listed here shall be at the discretion of the local agency.

## 2.5. Signal Synchronization Timing Review, Revision, and Assessment

~~[NOTE: THIS VERSION OF THE GUIDELINES COMBINES PREVIOUS SECTIONS 2.5 AND 2.6 INTO A SINGLE SECTION 2.5.]~~

This section shall show the status of required signal synchronization timing reviews along the agency's identified signal synchronization routes. Timing revisions should be noted; if additional information such as a "before and after study" is available, it should be provided. Qualitative descriptions of the review process may also be provided if desired. In addition, specific details may be provided on the signal timing revisions such as cycle length changes.

A signal synchronization assessment shall be provided by each local agency. This assessment will report on the performance of synchronization activities along the signal synchronization street routes and traffic signals. The assessment shall be prepared based on overall performance criteria that may include average speeds, green lights to red lights, and stops per mile. Jurisdictions may collect assessment data themselves or use the assessment information collected by OCTA.

## Chapter 3. Agency Submittals

This chapter summarizes for submittal purposes the information required to fulfill the LSSP requirements. This information has been described more fully previously in this document. As a summary, local agencies must submit the following to OCTA:

- Local Signal Synchronization Plan which includes the following:
  - Signal synchronization goals
    - Concurrence with the goals: corridor-based, multi-agency, existing traffic patterns, and local traffic signal timing and operation responsibility
  - Traffic signal synchronization street routes
    - Regional signal synchronization network from the Regional Traffic Signal Synchronization Master Plan
    - Relationship to Master Plan of Arterial Highways
    - Additional local streets, [if desired](#)
  - Traffic signal inventory for traffic signal synchronization street routes
    - Traffic signals
    - Cycle length data by time period
  - Three-year plan showing capital, operations, and maintenance costs
    - Unconstrained scenario with candidate projects
    - Constrained scenario
  - Signal synchronization review, revision, and assessment
    - Note timing reviews [and updates underway and those completed since the 2014 LSSP Update](#)
    - Identify revisions
    - Provide performance assessment
- Local Signal Synchronization Plan Consistency Review Checklist (Appendix B)

## Appendices

- A. Regional Traffic Signal Synchronization Master Plan
- B. Local Signal Synchronization Plan Consistency Review Checklist

## **Appendix A:** Regional Traffic Signal Synchronization Master Plan

## **Appendix A: Regional Traffic Signal Synchronization Master Plan**

### **Introduction**

The Regional Traffic Signal Synchronization Program is comprised of a 750-mile regional signal synchronization network with about 2,000 signals. The goals of the program are to improve the flow of traffic on Orange County streets and roads by implementing multi-agency signal synchronization. Local agencies and Caltrans are encouraged to work cooperatively with the Orange County Transportation Authority (OCTA) to synchronize traffic signals throughout Orange County on a corridor basis to improve travel time and reduce stops. Local agencies will maintain local control and responsibility for signals within their jurisdiction and control. Any changes to traffic signals, signal timing equipment, or related signal policies (including transit signal priority, transit preemption, or emergency vehicle preemption) are at the full discretion of the responsible local agency.

### **Regional Traffic Signal Synchronization Master Plan Components**

To ensure that this program is successful, this Regional Traffic Signal Synchronization Master Plan has been developed through local agency discussions, Board of Director guidance and Measure M2 requirements. The Regional Traffic Signal Synchronization Program is composed of the following:

1. Regional signal synchronization network
2. Priority corridors for accelerated signal synchronization
3. Traffic forums
4. Model agreements (presenting roles and responsibilities)
5. Signal synchronization regional assessment

In defining these five elements of the Regional Traffic Signal Synchronization Master Plan, the foundation is set for funding and implementing the competitive Regional Traffic Signal Synchronization Program. The program focuses on higher volume priority corridors for an accelerated signal synchronization effort. It incorporates traffic forums to help implement and maintain signal synchronization along corridors. Model agreements define the roles and responsibilities for local agencies and OCTA resulting in competitively funded projects that successfully meet the goals of the Regional Traffic Signal Synchronization Program.

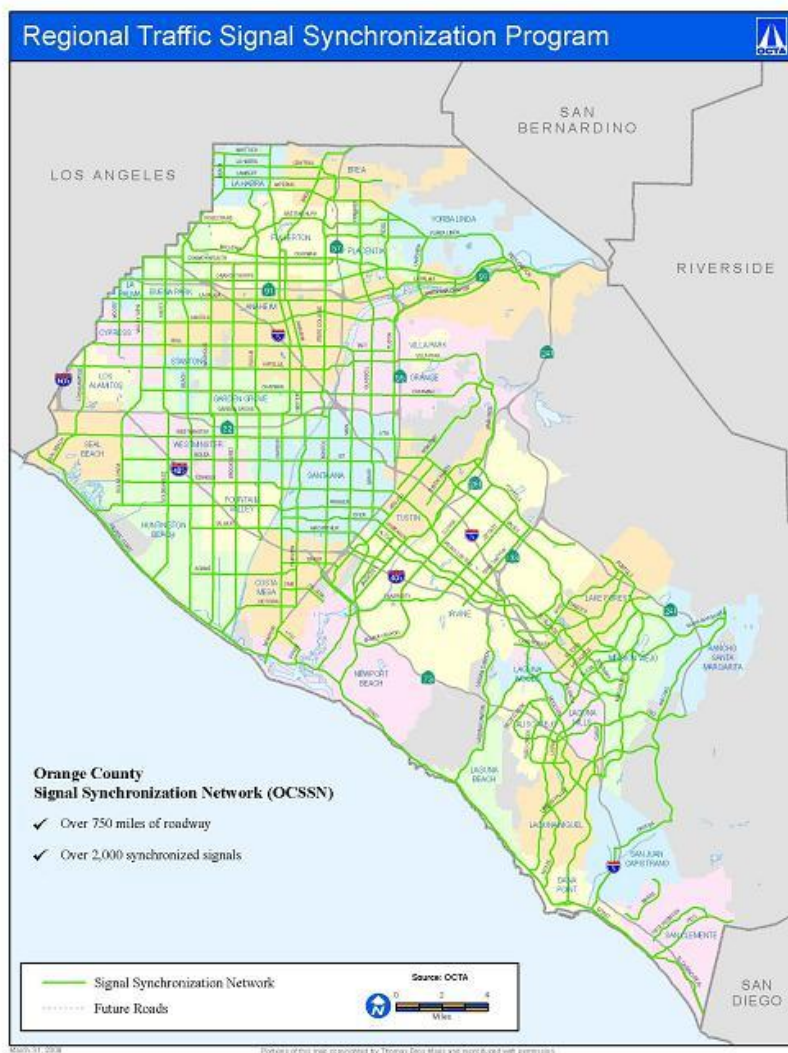
Finally, to ensure compliance with the M2 Ordinance and the promises made to voters to benefit the public from this effort, OCTA will include an element for accountability purposes that will occur through a signal synchronization regional assessment prepared by OCTA every three years. This effort will evaluate performance of the regional signal synchronization network, and identify areas for future improvement. Each of these elements is further discussed below.

## Regional Signal Synchronization Network

The regional signal synchronization network (see below) was defined in the Measure M2 Ordinance No. 3. It is a 750-mile network consisting of approximately 2000 signalized intersections. It is a subset of the Master Plan of Arterial Highways. The Regional Traffic Signal Synchronization Master Plan is designated as an element of the Master Plan of Arterial Highways. Specifically, Measure M2 Ordinance No. 3 includes the following definition of the Master Plan of Arterial Highways:

“A countywide transportation plan administered by the Authority defining the ultimate number of through lanes for arterial streets, and designating the traffic signal synchronization street routes in Orange County.”

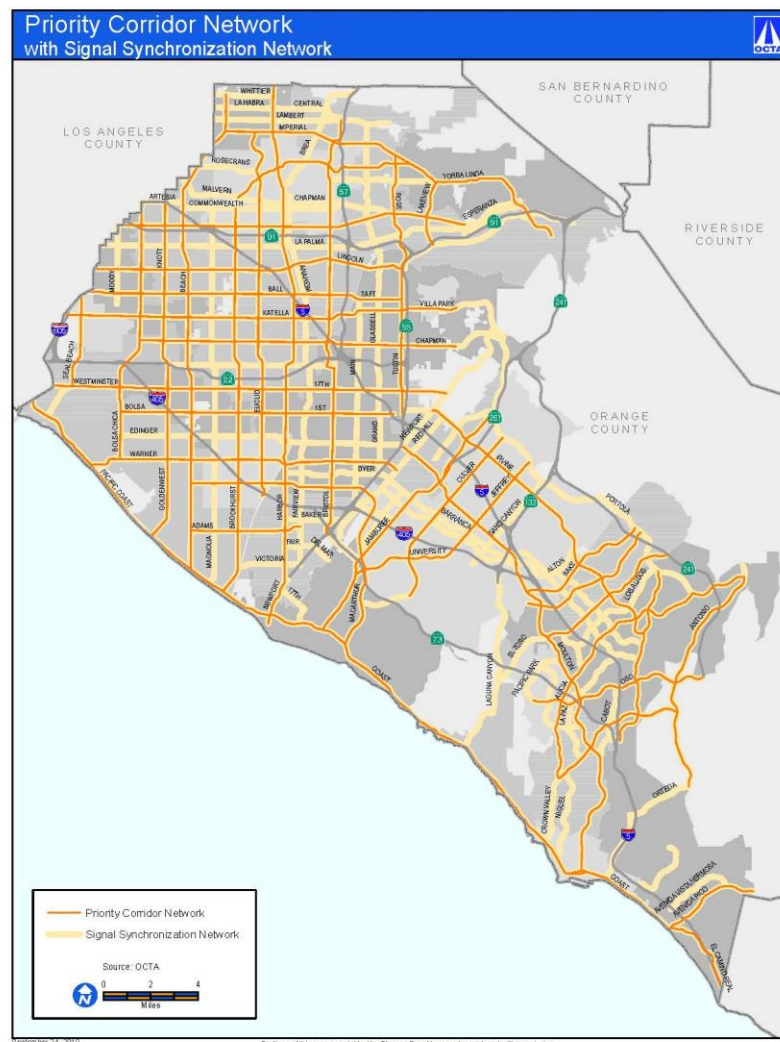
OCTA has a well-defined process for changes to the Master Plan of Arterial. A procedure for updating the 750-mile signal network will be defined in the future and included in the Guidelines for the Master Plan of Arterial Highways. This would allow documentation and approval of changes to the regional signal synchronization network.





## Priority Corridors for Signal Synchronization

Focusing a significant portion of Project P resources to a core set of priority corridors is a main component of the Regional Traffic Signal Synchronization Master Plan. This focused effort will result in a high level of performance along key corridors given the limited resources that are part of the Regional Traffic Signal Synchronization Program. These priority corridors were developed in consultation with and the assistance of the local agencies. They are based on the significance of each route, the traffic volumes, and geographic traffic patterns.



Under this focused effort, signalized intersections along each corridor will be upgraded to provide state of the practice intersection control and associated communications. Optimized timing plans will be developed and implemented along each corridor, aiding movement of the existing traffic patterns. This approach is considered essential to producing an optimized system as early as possible.

The map provides the locations of approximately 36 priority corridors identified along the regional signal synchronization network. These priority corridors reflect key locations for signal synchronization along the signal network. As the Regional Traffic Signal Synchronization Master Plan is implemented through Project P funds, changes to the priority corridors may be made based on results of the regional assessment subject to OCTA's Board of Directors approval.

Priority corridors ensure implementation of optimized signal timing in a systematic manner. These priority corridors will allow the Regional Traffic Signal Synchronization Program to quickly and continually meet its stated purpose of improving the flow of traffic by developing and implementing signal synchronization that cross jurisdictional boundaries. Most importantly, a priority corridor strategy will facilitate consistent operating speeds along key corridors and provide a good level of public perception.

### **Traffic Forums**

Project P is a competitive program designed to implement signal synchronization across multiple jurisdictions. Traffic forums will facilitate the completion of traffic signal synchronization projects. Traffic forums will be working group sessions that include local agencies, the California Department of Transportation (Caltrans), and OCTA. The interaction between cities, Caltrans, and OCTA will help coordinate multiple signal synchronization projects funded through the Regional Traffic Signal Synchronization Program. It will also provide a venue to project participants to express and address concerns.

### **Model Agreements**

The Regional Traffic Signal Synchronization Master Plan includes model agreement terms that set expectations for roles and responsibilities for the implementation of signal synchronization on a project basis. These agreements would be executed following award of Project P funds through a competitive process. It is anticipated that multiple agreements would be developed based on the number of projects funded as part of Project P. A more detailed version of the agreement will be developed and include all local agencies that are identified in the competitive application as well as OCTA.

The model agreement terms help guide the respective roles and responsibilities for the lead agencies, participating agencies, and OCTA. Two versions of the proposed agreements are presented. Option 1 allows the local agencies to implement the synchronized corridors using Project P and local funds while Option 2 authorizes OCTA to implement the synchronized corridors on behalf of the local agencies. The default is Option 1, and local agencies will be required to formally request Option 2.

### **Signal Synchronization Regional Assessment**

To keep the public informed of ongoing signal synchronization efforts, OCTA will prepare a signal synchronization regional assessment every three years. This effort will evaluate status performance of synchronization across agencies along the signal network and identify segments for improvement. An assessment will be prepared based on overall performance for each corridor in the Regional Traffic Signal Synchronization Master Plan; and that assessment will be described using average speed, stops per mile, and the ratio of green signals to red signals. The regional assessment will be presented to the OCTA Board of Directors, provided

to the local agencies, and posted on the internet for review and comment by the public. Results may be used in calls for projects for Project P and changes to the priority corridors.

## **Summary**

Measure M2 Ordinance No. 3 requires that OCTA develop a Regional Traffic Signal Synchronization Master Plan for cross-jurisdictional traffic signal synchronization. Combined with input from local agencies and OCTA's Board of Directors, the Regional Traffic Signal Synchronization Program is described by the following five components:

1. Regional signal synchronization network – provides the basis for signal synchronization
2. Priority corridors – identifies key corridors for accelerated signal synchronization
3. Traffic forums – working group sessions to facilitate continued signal synchronization
4. Model agreements – define roles and responsibilities for signal synchronization
5. Signal synchronization regional assessment – provides triennial evaluation of regional signal synchronization

These five elements of the Regional Traffic Signal Synchronization Program define the process implementing the competitive Regional Traffic Signal Synchronization Program.

## **Exhibits**

- A. Local Agency Lead Model Agreement Terms – Option 1
- B. OCTA Lead Model Agreement Terms – Option 2

**Exhibit A: Local Agency Lead Model Agreement Terms - Option 1****RESPONSIBILITIES OF THE ORANGE COUNTY TRANSPORTATION AUTHORITY:**

The Orange County Transportation Authority agrees to the following responsibilities for the project:

- To provide Project P funds for the project and designated to the lead agency
- To perform outreach activities for the project to communicate major project milestones and results
- To provide oversight in order to maintain inter-jurisdictional traffic signal operational integrity between existing and new projects and operations
- To provide project audits for allowable expenditures and exceptions

**RESPONSIBILITIES OF DESIGNATED LEAD AGENCY:**

Lead agency agrees to the following responsibilities for implementation and funding for the project:

- To manage, procure, and implement the project consistent with the agreed scope of work, schedule, and key milestones
- To interface with the Orange County Transportation Authority and coordinate outreach for the project
- To collect manual intersection movement and automated machine traffic counts.
- To develop new timing plans optimized for signal synchronization
- To provide updated timing plans and traffic count data to the Orange County Transportation Authority and agencies
- To prepare "before" and "after" studies for the project. These studies shall be provided to the agencies and the Orange County Transportation Authority for comment
- To provide the Orange County Transportation Authority with a Project Final Report for the project as required by Measure M2 Ordinance No. 3, Section (B)(III)(9), and further described in Measure M2 Eligibility Guidelines separately prepared and adopted by the Orange County Transportation Authority

**RESPONSIBILITIES OF ALL PROJECT AGENCIES:**

ALL project agencies agree to the following responsibilities for implementation and funding of the project:

- Provide a technical representative from each agency to meet and participate as a member of the project team
- To designate the lead agency for the project for receipt of Project P funds and related matching funds
- To authorize the lead agency to manage, procure, and implement all aspects of the project

- To provide local match or in-kind services for the project in accordance with the 20 percent requirement as identified in the scope of work
- To provide lead agency and the Orange County Transportation Authority all current intersection, local field master, and/or central control system timing plans and related data upon request
- To provide plans, specifications, and estimates to the Orange County Transportation Authority and lead agency or its representative upon request
- To give project related signal and telecommunications equipment a high maintenance priority
- To take reasonable steps to keep signal control systems, inter-tie, detection systems and related equipment in proper working order
- To maintain and repair their own signal control systems inter-tie, detection systems and related equipment located within each of their respective jurisdiction
- To provide all plan check, permit, and construction inspection functions for facilities within their ownership or control
- To provide on-site support, if needed, for timing plan changes and the construction and/or installation of traffic control elements as specified in the scope of work
- To authorize an agency traffic engineer or other designee to make changes or adjustments to the signal timing plans, when required
- To perform the changes required at central or field control locations and/or intersection controller assemblies

## **Exhibit B: The Orange County Transportation Authority Lead Model Agreement Terms - Option 2**

### **RESPONSIBILITIES OF THE ORANGE COUNTY TRANSPORTATION AUTHORITY:**

The Orange County Transportation Authority agrees to the following responsibilities for the project:

- To manage, procure, and implement the project consistent with the agreed budget, scope of work, schedule, and key milestones
- To provide Project P funds for the project
- To interface with the agencies and coordinate outreach for the project
- To collect manual intersection movement and automated machine traffic counts
- To develop new timing plans optimized for signal synchronization
- To provide new timing plans and turning movements to the agencies
- To prepare "before" and "after" studies for the project. These studies shall be provided to the agencies for comment
- To perform outreach activities for the project to communicate major project milestones and results
- To provide project oversight in order to maintain inter-jurisdictional traffic signal operational integrity between existing/legacy and new projects and operations
- To provide project audits for allowable expenditures and exceptions
- To prepare a Project Final Report for each project as required by Measure M2 Ordinance No. 3, Section (B)(III)(9), and further described in Measure M2 Eligibility Guidelines separately prepared and adopted by OCTA

### **RESPONSIBILITIES OF AGENCIES:**

Agencies agree to the following responsibilities for implementation and funding of project:

- Provide a technical representative from each agency to meet and participate as a member of the project team
- To designate OCTA as lead agency for the project for receipt of Project P funds and related matching funds
- To provide local match or in-kind services for the project in accordance with the 20 percent requirement as identified in the scope of work
- To authorize OCTA to manage, procure, and implement all aspects of the project
- To provide OCTA all current intersection, local field master, and/or central control system timing plans and related data upon request
- To give project related signal and telecommunications equipment a high maintenance priority
- To take reasonable steps to keep signal control systems, inter-tie, detection systems and related equipment in proper working

- To provide all plan check, permit, and construction inspection functions for facilities within their ownership or control
- To maintain and repair their own signal control systems inter-tie, detection systems and related equipment located within each of their respective jurisdiction
- To provide on-site support, if needed, for timing plan changes and the construction and/or installation of traffic control elements as specified in the project scope of work
- To authorize an agency traffic engineer or other designee to make changes or adjustments to the signal timing plans, when required
- To perform the changes required at central or field control locations and/or intersection controller assemblies

**Appendix B:** Local Signal Synchronization Plan Consistency Review Checklist



### Appendix B: Local Signal Synchronization Plan Consistency Review Checklist

The Local Agency Name: \_\_\_\_\_ Date: \_\_\_\_\_

Local agencies must submit a copy of the updated Local Signal Synchronization Plan, a completed checklist, and any supporting documentation. Complete the table below.

Local Agency Statement	Page(s) #s in LSSP	<del>Yes</del> No Provided or N/A
1. Signal synchronization goals of the agency are consistent with those outlined as part of the Regional Traffic Signal Synchronization Master Plan. Include information on how the traffic signal synchronization street routes and traffic signals may be coordinated with traffic signals on the street routes in adjoining jurisdictions.		
2. Traffic signal synchronization street routes are identified, including all corridors along the regional signal synchronization network located within the local agency.		
3. Traffic signal inventory for all traffic signal synchronization street routes.		
4. Three-year plan separately showing costs, available funding, and phasing for capital, operations, and maintenance of signal synchronization along the traffic signal synchronization street routes and traffic signals.		
5. Signal synchronization review, revision, and assessment of synchronization activities along the traffic signal synchronization street routes and traffic signals.		

I certify that the above statements are true to the best of my knowledge.

\_\_\_\_\_

Name (Print) Signature Date





*April 24, 2017*

**To:** Members of the Board of Directors  
**From:** Darrell Johnson, Chief Executive Officer  
**Subject:** First Quarter 2017 Debt and Investment Report

### **Overview**

The California Government Code authorizes the Orange County Transportation Authority Treasurer to submit a quarterly investment report detailing the investment activity for the period. This investment report covers the first quarter of 2017, January through March, and includes a discussion on the Orange County Transportation Authority's debt portfolio.

### **Recommendation**

Receive and file the Quarterly Debt and Investment Report prepared by the Treasurer as an information item.

### **Discussion**

The Treasurer is currently managing the Orange County Transportation Authority's (OCTA) investment portfolio totaling \$1.45 billion as of March 31, 2017. The portfolio is divided into two managed portfolios: the liquid portfolio for immediate cash needs and the short-term portfolio for future budgeted expenditures. In addition to these portfolios, OCTA has funds invested in a debt service reserve fund for the 91 Express Lanes.

OCTA's debt portfolio had an outstanding principal balance of \$427.1 million as of March 31, 2017. Approximately 74 percent of the outstanding balance is comprised of Measure M2 (M2) debt and 26 percent is associated with the 91 Express Lanes Program.

**Economic Summary:** The Federal Reserve (the Fed) raised its benchmark rate on March 15, 2017, for the second time in three months, this time to a range between 0.75 percent and 1 percent.

Fed Chair Janet Yellen stated in a news conference that the Fed did not share the optimism of stock market investors and some business executives that economic growth is gaining speed. The Fed still plans to move slowly because the economy continues to grow slowly. Chair Yellen suggested the Fed would have plenty of time to adjust its plans should President Trump and Congress cut taxes or spend massively on infrastructure. Additionally, minutes of the March meeting showed most officials supported the shrinking of the Fed balance sheet later this year.

The Fed, charged with maximizing employment and moderating inflation, is close to achieving both goals. The unemployment rate fell to 4.7 percent in February. Businesses have been challenged by a dwindling pool of individuals that are unemployed and are gradually giving in to pressures to raise wages in order to attract and retain talent. After several years of concern that prices were not rising fast enough, inflation is reviving. The Fed's preferred measure rose 1.9 percent over the 12 months ending in January, close to its 2 percent annual target.

**Debt Portfolio Activity:** On February 15, 2017, OCTA remitted a debt service payment to M2 investors in the amount of \$18.1 million. Of this amount, \$7.5 million was used to retire M2 principal. The M2 Program currently has \$318 million in outstanding debt.

OCTA also remitted a debt service payment for the 91 Express Lanes on February 15, 2017. OCTA paid \$2.7 million in interest on the bonds. Currently, there remains \$109.1 million in principal outstanding. The outstanding balances for each of OCTA's debt securities are presented in Attachment A.

During the quarter, OCTA continued with its pursuit of a Transportation Infrastructure Finance and Innovation Act (TIFIA) loan for the I-405 Improvement Project (Project). In March 2017, OCTA staff and various finance team consultants traveled to New York to meet with three different rating agencies to discuss investment grade ratings for the TIFIA loan associated with the Project. These meetings were a follow-up to the meetings held in December 2016 when then Chair Donchak and current Chair Hennessey traveled to New York to discuss the Project. During this recent trip, the OCTA team met with Standard and Poor's, Moody's Investment Service, and Kroll Bond Rating Agency.

During the meetings the OCTA team discussed some of the provisions of the TIFIA draft loan agreement, details of the Project, what OCTA is doing to mitigate any cost overruns, and the current schedule for funding the Project. The meetings specifically focused on risk mitigations, right-of-way acquisition, utility

relocation, design-build selection process, toll operating agreement, and a review of the traffic and revenue study. It will take approximately four to six weeks to receive the notification of the ratings for the project. OCTA will need to provide investment grade ratings to TIFIA in order to close on the loan.

OCTA continues to have update calls with TIFIA staff members to monitor the status of the TIFIA loan request.

**Investment Portfolio Compliance:** There were no compliance violations during the quarter. OCTA continues its policy of reviewing the contents of the investment portfolio on a weekly basis to ensure compliance for each day of the week. Attachment B provides a comparison of the portfolio holdings as of March 31, 2017, to the diversification guidelines of the policy.

**Investment Portfolio Performance Versus Selected Benchmarks:** OCTA uses Clearwater Analytics to calculate performance for each manager within the respective portfolios. The performance reports calculate monthly total rates of return based upon the market value of the portfolios they manage. The securities are marked-to-market daily based on pricing data provided by the custody banks.

OCTA has calculated the total returns for each of the investment managers for short-term operating monies and has compared the returns to specific benchmarks as shown in Attachment C. Attachment D contains an annualized total return performance comparison by investment manager for the previous two years. Attachment E provides a five-year yield comparison between the short-term investment managers, Orange County Investment Pool, and Local Agency Investment Fund.

The returns for OCTA's short-term operating monies are compared to the Bank of America Merrill Lynch (BAML) 1-3 year Treasury (Treasury) and the BAML 1-3 year AAA-A U.S. Corporate and Government (Corporate/Government) benchmarks. The BAML 1-3 year indices are among the most commonly used short-term fixed income benchmarks. Each of the four managers invests in a combination of securities that all conform to OCTA's 2016 Investment Policy (Policy). For the quarter ending March 31, 2017, the weighted average total return for OCTA's short-term portfolio was 0.35 percent, outperforming the Treasury benchmark return of 0.26 percent by nine basis points, and outperforming the return of 0.34 percent by one basis points. For the 12-month period ending March 31, 2017, the portfolio's return totaled 0.51 percent, exceeding the Treasury benchmark by 25 basis points and outperforming the Corporate/Government benchmark by four basis points for the same period.

Total return performance for the quarter and the trailing year remained positive as fixed-income investors adjusted to the increases in short-term rates by the Fed. As yields rise, the market value of fixed-income securities falls. Total return is the interest earned during a given period of time, plus or minus any market gains or losses, both realized and unrealized. OCTA's investment managers added value by investing in high-quality, non-government fixed-income securities with higher yields during the period. Evidence of this may be seen in a direct comparison of the two benchmarks used by OCTA. The Corporate/Government benchmark clearly maintained a performance advantage, and was less affected by the rise in interest rates than the treasury-only benchmark, due to the additional yield generated by non-government securities.

**Investment Portfolios:** A summary of each investment manager's investment diversification, performance, and maturity schedule is provided in Attachment F. These summaries provide a tool for analyzing the different returns for each manager.

A complete listing of all securities is provided in Attachment G. Each portfolio contains a description of the security, maturity date, book value, market value, and yield provided by Clearwater Analytics.

**Cash Availability for the Next Six Months:** OCTA has reviewed the cash requirements for the next six months. It has been determined that the liquid and the short-term portfolios can fund all projected expenditures during the next six months.

**Summary**

As required under the California Government Code, the Orange County Transportation Authority is submitting its quarterly debt and investment report to the Board of Directors. The report summarizes the Orange County Transportation Authority's debt and investment activities for the period January 2017 through March 2017.

**Attachments**

- A. Orange County Transportation Authority Outstanding Debt March 31, 2017.
- B. Orange County Transportation Authority Investment Policy Compliance March 31, 2017.
- C. Orange County Transportation Authority Short-term Portfolio Performance Review Quarter Ending March 31, 2017.
- D. Orange County Transportation Authority Short-term Portfolio Performance March 31, 2017.
- E. Orange County Transportation Authority Comparative Yield Performance March 31, 2017.
- F. Investment Manager Diversification and Maturity Schedules March 31, 2017.
- G. Orange County Transportation Authority Portfolio Listing as of March 31, 2017.

**Prepared by:**



**Approved by:**



---

Rodney Johnson  
Deputy Treasurer  
Treasury Public Finance  
714-560-5675

---

Andrew Oftelie  
Executive Director,  
Finance and Administration  
714-560-5649

**Orange County Transportation Authority  
Outstanding Debt  
March 31, 2017**

**Orange County Local Transportation Authority (OCLTA) - M2 Program**

	<u>Issued</u>	<u>Outstanding</u>	<u>Final Maturity</u>
2010 Series B Sales Tax Revenue Tax-Exempt Bonds	\$ 59,030,000	\$ 24,470,000	2020
2010 Series A Sales Tax Revenue Taxable Bonds	\$ 293,540,000	\$ 293,540,000	2041
<b>Sub-total</b>	<b>\$ 352,570,000</b>	<b>\$ 318,010,000</b>	

**91 Express Lanes**

	<u>Issued</u>	<u>Outstanding</u>	<u>Final Maturity</u>
2013 OCTA 91 Express Lanes Refunding Bonds	\$ 124,415,000	\$ 109,130,000	2030

**TOTAL OUTSTANDING BALANCE** **\$ 427,140,000**



**ORANGE COUNTY TRANSPORTATION AUTHORITY**  
**Investment Policy Compliance**  
**March 31, 2017**

<b><u>Investment Instruments</u></b>	<b><u>Dollar Amount Invested</u></b>	<b><u>Percent Of Portfolio</u></b>	<b><u>Investment Policy Maximum Percentages</u></b>
U.S. Treasuries	\$680,583,587	47.1%	100%
Federal Agencies & U.S. Government Sponsored	160,109,402	11.1%	100%
State of California & Local Agencies	9,566,645	0.7%	25%
Money Market Funds & Mutual Funds	93,280,337	6.4%	20%
Bankers Acceptances	0	0.0%	30%
Negotiable Certificates of Deposit	15,903,952	1.1%	30%
Commercial Paper	23,860,061	1.6%	25%
Medium Term Maturity Corporate Securities	282,610,695	19.5%	30%
Mortgage and Asset-backed Securities	116,140,798	8.0%	10%
Repurchase Agreements	32,809,427	2.3%	75%
Investment Agreements Pursuant To Indenture	0	0.0%	100%
Local Agency Investment Fund	10,234,175	0.7%	\$ 40 Million
Orange County Investment Pool (OCIP)	36,444	0.0%	\$ 40 Million
CAMP	0	0.0%	10%
Variable & Floating Rate Securities	20,769,038	1.4%	30%
Debt Service Reserve Funds - Investment Agreements	0	0.0%	Not Applicable
Bank Deposits	380,550	0.0%	5%
Derivatives (hedging transactions only)	0	0.0%	5%
	<hr/>	<hr/>	<hr/>
<b>TOTAL</b>	<b><u>\$1,446,285,110</u></b>	<b>100.0%</b>	

**Orange County Transportation Authority  
Short-term Portfolio Performance Review\*  
Quarter Ending March 31, 2017**

Month Ending	Bank of America Merrill Lynch Treasury 1-3 Year Index Benchmark		Bank of America Merrill Lynch Gov/Corp 1-3 Year Index Benchmark		JP Morgan		Payden & Rygel		Western Asset Mgmt		State Street Global Advisors	
	Monthly Return	Duration	Monthly Return	Duration	Monthly Return	Duration	Monthly Return	Duration	Monthly Return	Duration	Monthly Return	Duration
1/31/2017	0.13%	1.87 years	0.15%	1.88 years	0.14%	1.81 years	0.14%	1.60 years	0.17%	1.98 years	0.12%	1.88 years
2/28/2017	0.10%	1.91 years	0.14%	1.90 years	0.15%	1.83 years	0.15%	1.62 years	0.14%	1.90 years	0.18%	1.84 years
3/31/2017	0.03%	1.89 years	0.04%	1.90 years	0.05%	1.84 years	0.06%	1.60 years	0.06%	1.90 years	0.04%	1.65 years
Jan 17 - Mar 17 Total Return	0.26%		0.34%		0.34%		0.34%		0.37%		0.34%	

**HISTORICAL QUARTERLY RETURNS**

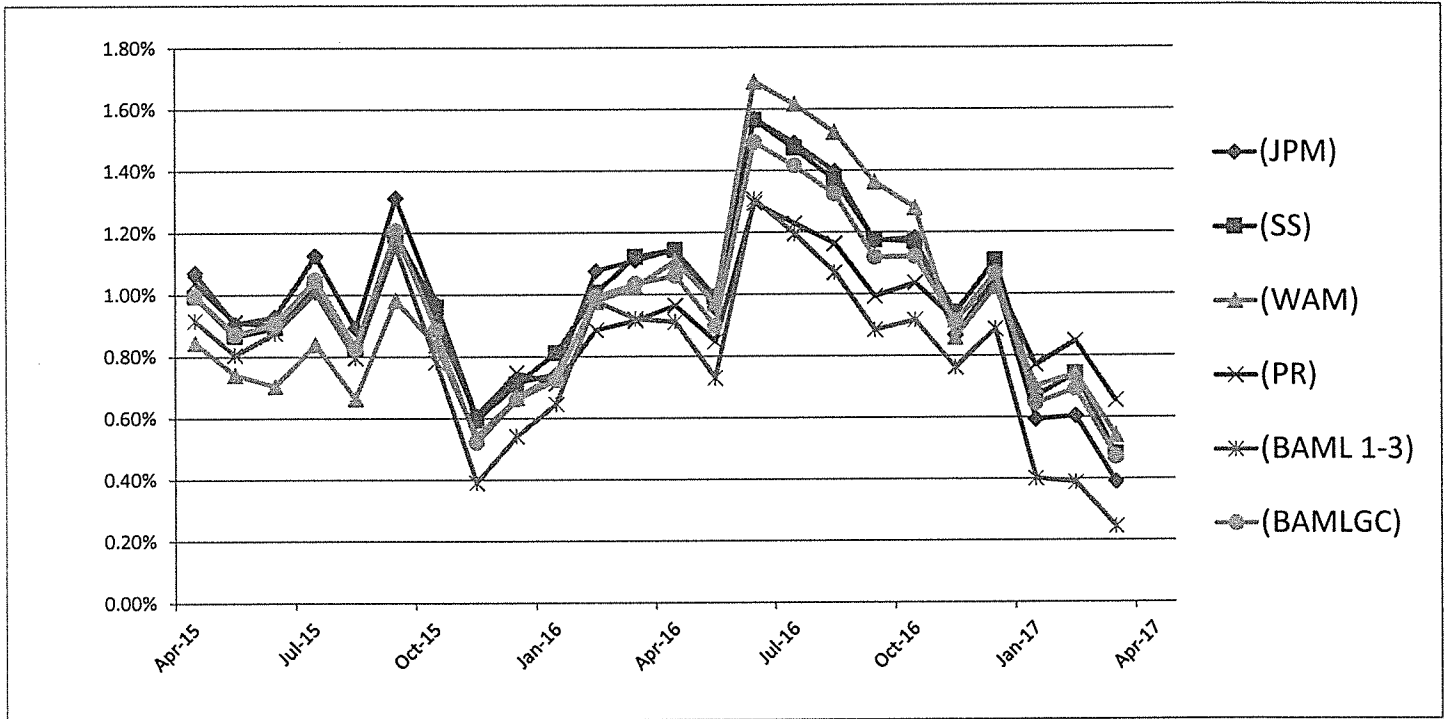
Apr 16 - Jun 16 Total Return	0.53%	0.59%	0.53%	0.48%	0.71%	0.56%
Jul 16 - Sep 16 Total Return	-0.11%	-0.04%	-0.02%	0.02%	-0.01%	-0.05%
Oct 16 - Dec 16 Total Return	-0.43%	-0.41%	-0.47%	-0.19%	-0.54%	-0.37%
Jan 17 - Mar 17 Total Return	0.26%	0.34%	0.34%	0.34%	0.37%	0.34%
<b>12-Month Total Return</b>	<b>0.25%</b>	<b>0.47%</b>	<b>0.39%</b>	<b>0.65%</b>	<b>0.54%</b>	<b>0.48%</b>

\* - Month End Rates of Return are Gross of Fees

<b>12-Mo Total Return (Net of Fees)</b>	N/A	N/A	0.26%	0.52%	0.40%	0.38%
---	-----	-----	-------	-------	-------	-------

# Orange County Transportation Authority Short-Term Portfolio Performance March 31, 2017

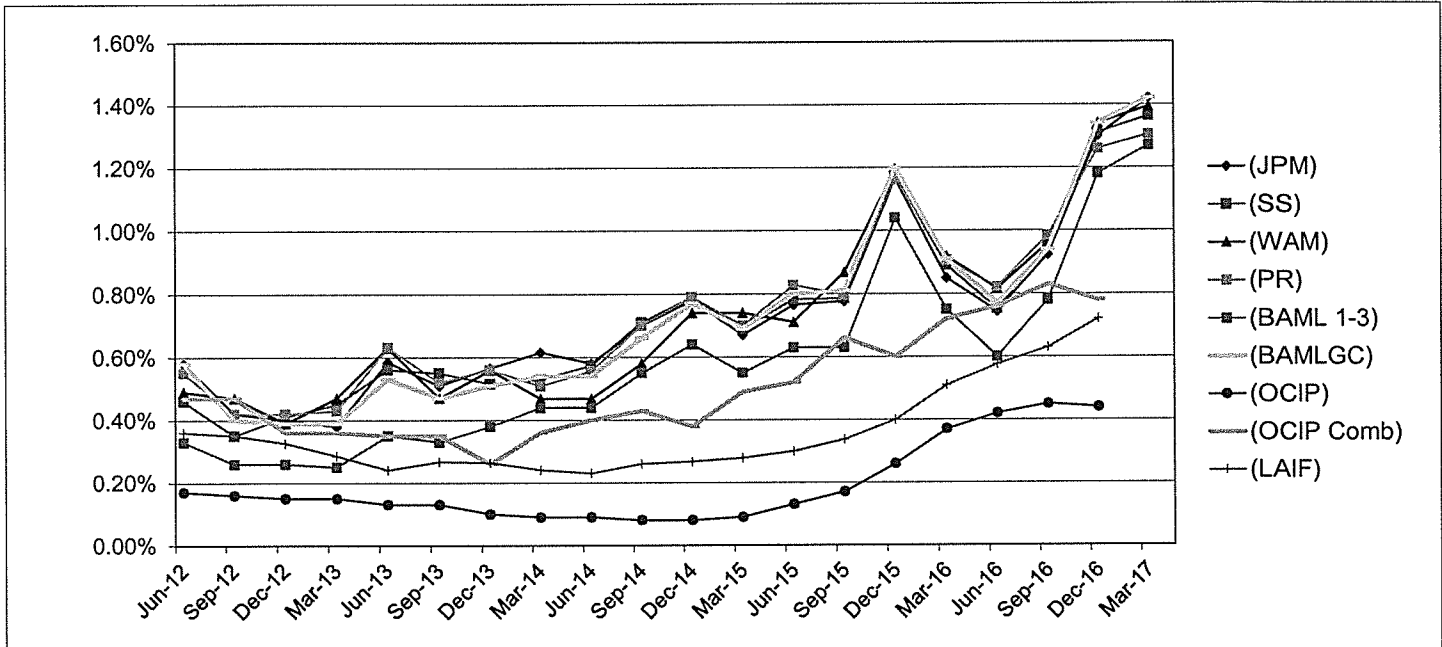
**Trailing 1-Year Total Return  
Vs. The Bank of America Merrill Lynch (BAML) 1-3 Benchmarks**



	JP Morgan <u>(JPM)</u>	State Street <u>(SS)</u>	Western Asset Mgmt <u>(WAM)</u>	Payden Rygel <u>(PR)</u>	BAML 1-3 Yr Trsy <u>(BAML 1-3)</u>	BAML 1-3 Yr Gov/Corp <u>(BAMLGC)</u>
Apr-15	1.07%	1.00%	0.85%	1.04%	0.92%	1.00%
May-15	0.91%	0.87%	0.74%	0.91%	0.81%	0.87%
Jun-15	0.93%	0.89%	0.70%	0.90%	0.88%	0.91%
Jul-15	1.13%	1.03%	0.84%	1.04%	1.01%	1.05%
Aug-15	0.89%	0.83%	0.66%	0.83%	0.80%	0.83%
Sep-15	1.31%	1.20%	0.98%	1.19%	1.16%	1.21%
Oct-15	0.97%	0.96%	0.84%	0.91%	0.78%	0.89%
Nov-15	0.61%	0.59%	0.54%	0.61%	0.39%	0.52%
Dec-15	0.72%	0.71%	0.67%	0.75%	0.54%	0.66%
Jan-16	0.74%	0.81%	0.74%	0.71%	0.65%	0.72%
Feb-16	1.08%	1.01%	0.98%	0.89%	0.98%	0.99%
Mar-16	1.11%	1.12%	1.03%	0.92%	0.92%	1.04%
Apr-16	1.15%	1.14%	1.11%	0.96%	0.91%	1.06%
May-16	0.96%	0.99%	0.97%	0.85%	0.73%	0.90%
Jun-16	1.57%	1.56%	1.69%	1.30%	1.31%	1.49%
Jul-16	1.49%	1.47%	1.62%	1.23%	1.20%	1.42%
Aug-16	1.40%	1.37%	1.52%	1.16%	1.07%	1.32%
Sep-16	1.17%	1.18%	1.36%	0.99%	0.88%	1.12%
Oct-16	1.18%	1.17%	1.28%	1.04%	0.92%	1.12%
Nov-16	0.87%	0.94%	0.86%	0.92%	0.76%	0.91%
Dec-16	1.04%	1.11%	1.02%	1.05%	0.89%	1.07%
Jan-17	0.59%	0.67%	0.70%	0.77%	0.40%	0.65%
Feb-17	0.60%	0.74%	0.74%	0.85%	0.39%	0.69%
Mar-17	0.39%	0.48%	0.54%	0.65%	0.25%	0.47%

# Orange County Transportation Authority Comparative Yield Performance March 31, 2017

**Historical Yields  
Vs. The Bank of America Merrill Lynch (BAML) 1-3 Benchmarks**

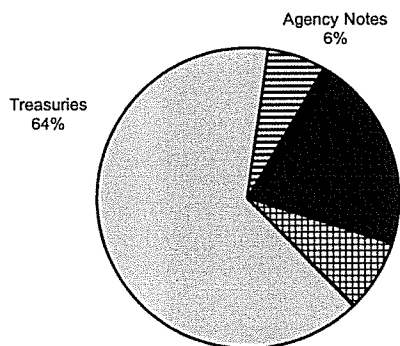


	JP Morgan (JPM)	State Street (SS)	Western Asset Mgmt (WAM)	Payden Rygel (PR)	BAML 1-3 Yr Trsy (BAML 1-3)	BAML 1-3 Yr Gov/Corp (BAMLGC)	(OCIP)	(OCIP Comb)	(LAIF)
Jun-12	0.58%	0.46%	0.49%	0.55%	0.33%	0.58%	0.17%	0.47%	0.36%
Sep-12	0.42%	0.35%	0.47%	0.42%	0.26%	0.40%	0.16%	0.47%	0.35%
Dec-12	0.40%	0.41%	0.39%	0.42%	0.26%	0.39%	0.15%	0.36%	0.33%
Mar-13	0.38%	0.45%	0.47%	0.43%	0.25%	0.39%	0.15%	0.36%	0.29%
Jun-13	0.59%	0.56%	0.63%	0.63%	0.35%	0.53%	0.13%	0.35%	0.24%
Sep-13	0.51%	0.55%	0.47%	0.52%	0.33%	0.47%	0.13%	0.35%	0.27%
Dec-13	0.57%	0.52%	0.56%	0.56%	0.38%	0.51%	0.10%	0.26%	0.26%
Mar-14	0.62%	0.53%	0.47%	0.51%	0.44%	0.54%	0.09%	0.36%	0.24%
Jun-14	0.58%	0.57%	0.47%	0.56%	0.44%	0.54%	0.09%	0.40%	0.23%
Sep-14	0.70%	0.71%	0.58%	0.70%	0.55%	0.66%	0.08%	0.43%	0.26%
Dec-14	0.78%	0.79%	0.74%	0.79%	0.64%	0.77%	0.08%	0.38%	0.27%
Mar-15	0.67%	0.69%	0.74%	0.70%	0.55%	0.69%	0.09%	0.49%	0.28%
Jun-15	0.77%	0.78%	0.71%	0.83%	0.63%	0.80%	0.13%	0.52%	0.30%
Sep-15	0.78%	0.79%	0.87%	0.80%	0.63%	0.81%	0.17%	0.66%	0.34%
Dec-15	1.16%	1.17%	1.19%	1.16%	1.04%	1.20%	0.26%	0.60%	0.40%
Mar-16	0.85%	0.89%	0.92%	0.91%	0.75%	0.91%	0.37%	0.72%	0.0051
Jun-16	0.74%	0.75%	0.82%	0.82%	0.60%	0.77%	0.42%	0.76%	0.58%
Sep-16	0.92%	0.95%	0.96%	0.98%	0.78%	0.94%	0.45%	0.83%	0.63%
Dec-16	1.30%	1.31%	1.34%	1.26%	1.18%	1.34%	0.44%	0.78%	0.72%
Mar-17	1.42%	1.36%	1.39%	1.30%	1.27%	1.42%	N/A	N/A	N/A

## Investment Manager Diversification and Maturity Schedules

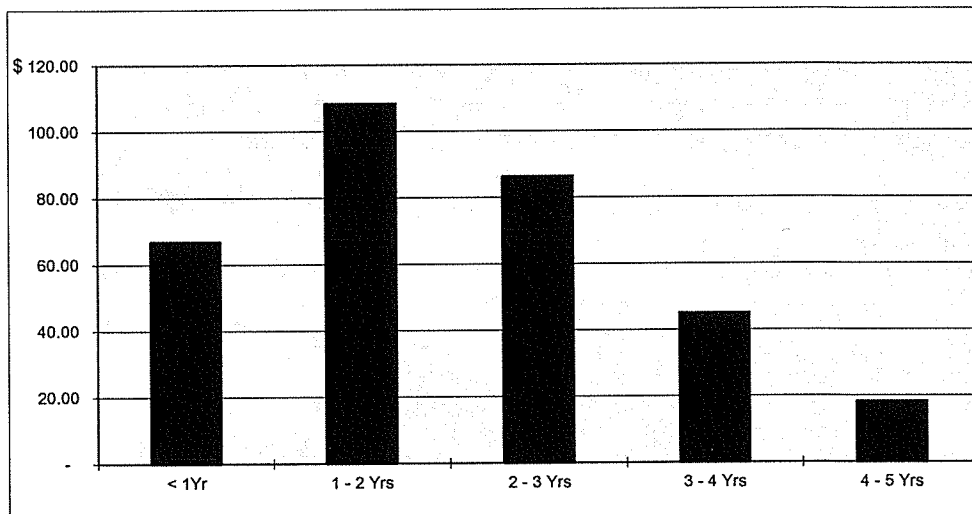
**JP Morgan**  
**March 31, 2017**

### SHORT-TERM PORTFOLIO ( \$324.9 M)



	Book Value	Market Value
Treasuries	\$209,394,959	\$208,532,617
Agency Notes	20,213,179	19,916,224
Medium Term Notes	69,752,653	68,353,157
Mortg. & Asset-Back Sec.	25,052,402	24,980,289
Money Market Funds	<u>447,178</u>	<u>447,178</u>
	<u>\$324,860,371</u>	<u>\$322,229,465</u>

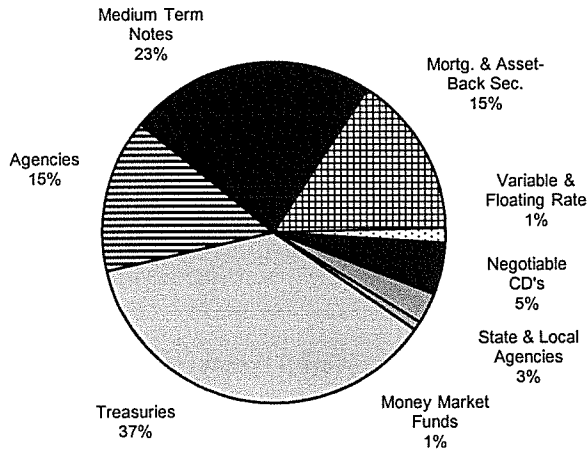
Wtd Avg Life	1.89 Yrs
Duration	1.84 Yrs
Quarter-end Yield	1.42%
TSY Benchmark	1.27%
Gov/Corp Benchmark	1.42%
Quarter Return	0.34%
TSY Benchmark	0.26%
Gov/Corp Benchmark	0.34%
12 Month Return	0.39%
TSY Benchmark	0.25%
Gov/Corp Benchmark	0.47%



# Investment Manager Diversification and Maturity Schedules

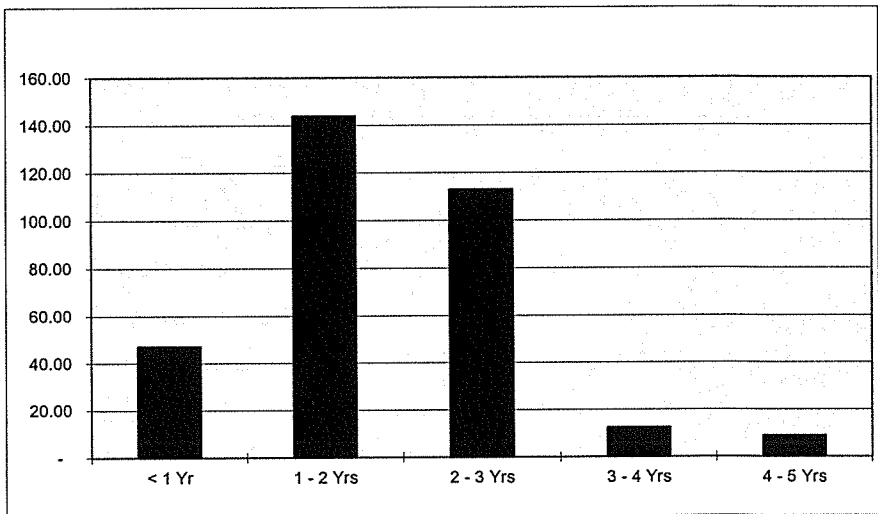
**Payden & Rygel**  
**March 31, 2017**

## SHORT-TERM PORTFOLIO (\$325.1 M)



	Book Value	Market Value
Treasuries	\$119,194,704	\$118,975,341
Agencies	47,293,419	47,097,126
Medium Term Notes	75,783,610	75,502,220
Mortg. & Asset-Back Sec.	49,959,922	49,657,566
Variable & Floating Rate	4,557,479	4,598,945
Negotiable CD's	15,903,952	15,903,949
State & Local Agencies	9,566,645	9,511,588
Money Market Funds	<u>2,817,975</u>	<u>2,817,975</u>
	<u>\$325,077,707</u>	<u>\$324,064,712</u>

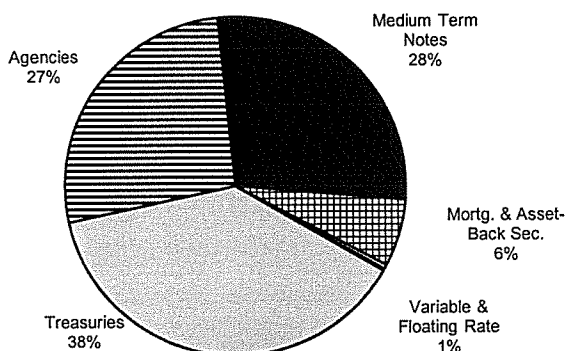
Wtd Avg Life	1.69 Yrs
Duration	1.60 Yrs
Quarter-end Yield	1.30%
TSY Benchmark	1.27%
Gov/Corp Benchmark	1.42%
Quarter Return	0.34%
TSY Benchmark	0.26%
Gov/Corp Benchmark	0.34%
12 Month Return	0.65%
TSY Benchmark	0.25%
Gov/Corp Benchmark	0.47%



# Investment Manager Diversification and Maturity Schedules

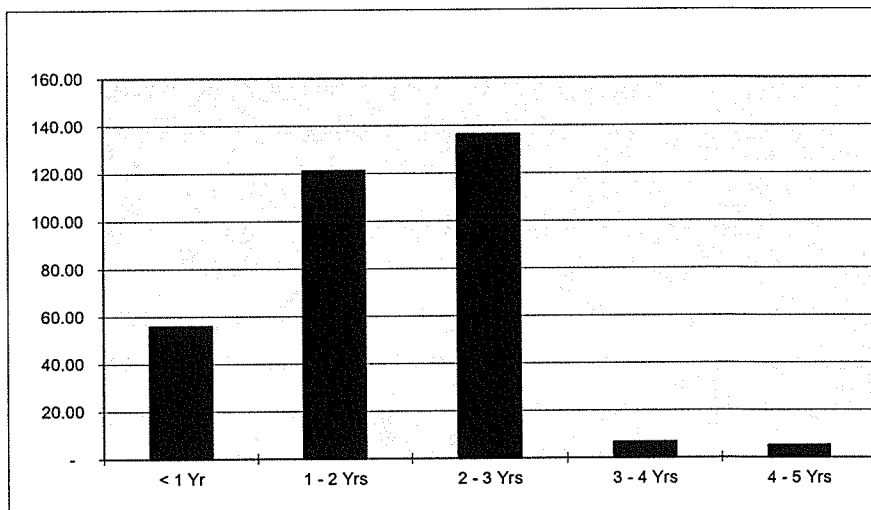
**State Street**  
**March 31, 2017**

## SHORT-TERM PORTFOLIO (\$324.7 M)



	Book Value	Market Value
Treasuries	\$124,216,484	\$123,665,429
Agencies	86,856,750	86,500,965
Medium Term Notes	90,819,831	90,758,040
Mortg. & Asset-Back Sec.	20,786,741	20,765,543
Variable & Floating Rate	1,500,000	1,509,015
Money Market Funds	<u>542,870</u>	<u>542,870</u>
	<u>\$324,722,677</u>	<u>\$323,741,862</u>

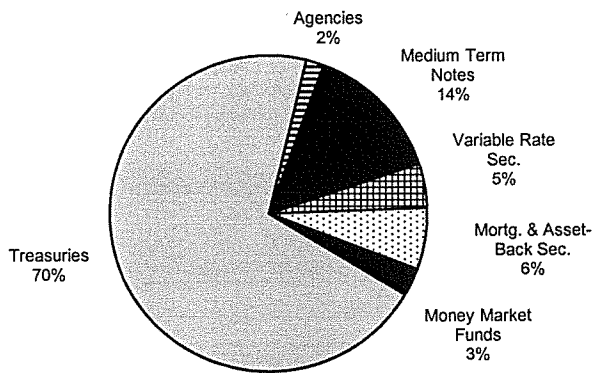
Wtd Avg Life	1.68 Yrs
Duration	1.65 Yrs
Quarter-end Yield	1.36%
TSY Benchmark	1.27%
Gov/Corp Benchmark	1.42%
Quarter Return	0.34%
TSY Benchmark	0.26%
Gov/Corp Benchmark	0.34%
12 Month Return	0.48%
TSY Benchmark	0.25%
Gov/Corp Benchmark	0.47%



# Investment Manager Diversification and Maturity Schedules

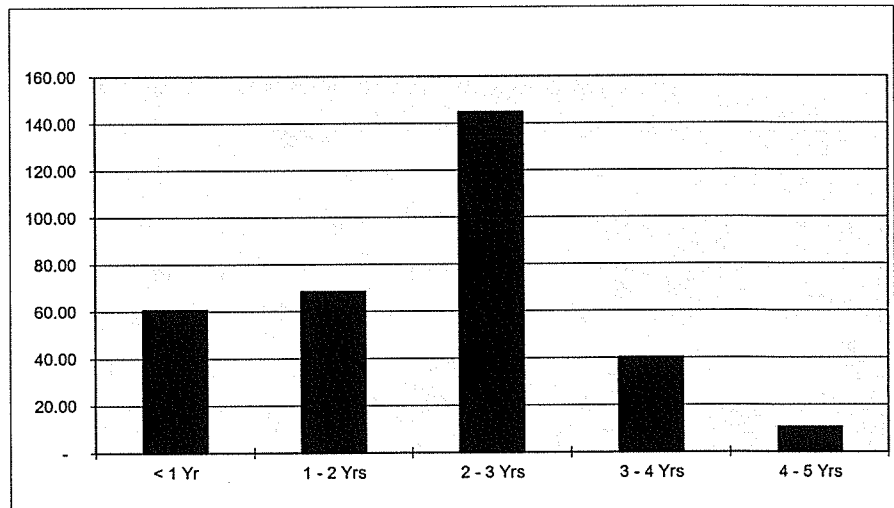
## Western Asset Management March 31, 2017

### SHORT-TERM PORTFOLIO ( \$324.2 M)



	Book Value	Market Value
Treasuries	\$227,777,439	\$227,354,011
Agencies	\$5,746,054	5,975,045
Medium Term Notes	46,254,601	46,272,946
Variable Rate Sec.	14,711,559	14,781,807
Mortg. & Asset-Back Sec.	20,341,733	20,131,693
Money Market Funds	<u>9,326,959</u>	<u>9,326,959</u>
	<u>\$324,158,345</u>	<u>\$323,842,460</u>

Wtd Avg Life	2.04 Yrs
Duration	1.90 Yrs
Quarter-end Yield	1.39%
TSY Benchmark	1.27%
Gov/Corp Benchmark	1.42%
Quarter Return	0.37%
TSY Benchmark	0.26%
Gov/Corp Benchmark	0.34%
12 Month Return	0.54%
TSY Benchmark	0.25%
Gov/Corp Benchmark	0.47%





**Orange County Transportation Authority  
Portfolio Listing  
As of March 31, 2017**

**LIQUID PORTFOLIO**

<u>DESCRIPTION</u>	<u>MATURITY DATE</u>	<u>BOOK VALUE</u>	<u>MARKET VALUE</u>	<u>YIELD</u>
<u>CASH EQUIVALENTS</u>				
REPURCHASE AGREEMENT	4/3/2017	32,809,426.93	32,809,426.93	0.20%
FEDERATED TREASURY OBLIGATIONS FUND	N/A	11,718,030.30	11,718,030.30	0.46%
FIDELITY TREASURY OBLIGATIONS FUND	N/A	68,427,199.87	68,427,199.87	0.44%
FIRST AMERICAN TREAS OBLIGATIONS	N/A	68.91	68.91	0.17%
<i>SUB-TOTAL</i>		<u>112,954,726.01</u>	<u>112,954,726.01</u>	
<u>LOCAL AGENCY INVESTMENT FUND (LAIF)</u>	N/A	10,234,174.50	10,234,174.50	N/A
<u>ORANGE COUNTY INVESTMENT POOL (OCIP)</u>	N/A	36,444.14	36,444.14	N/A
<b>LIQUID PORTFOLIO - TOTAL</b>		<b><u>\$ 123,225,344.65</u></b>	<b><u>\$ 123,225,344.65</u></b>	

**SHORT-TERM PORTFOLIO**

<u>DESCRIPTION</u>	<u>MATURITY DATE</u>	<u>BOOK VALUE</u>	<u>MARKET VALUE</u>	<u>YIELD</u>
<u>CASH EQUIVALENTS</u>				
BLACKROCK INSTITUTIONAL FUNDS	N/A	13,134,982.59	13,134,982.59	0.60%
CITIBANK , N.A. NEGOTIATED CD	7/7/2017	3,252,697.26	3,251,820.00	1.09%
COOPERATIEVE RABOBANK U.A. NEGOTIATED CD	4/24/2017	3,195,714.70	3,195,287.55	0.92%
MITSUBISHI UFJ TRUST & BANKING CORP NEG CD	6/22/2017	3,255,466.97	3,255,748.65	1.14%
MIZUHO BANK, LTD. NEGOTIATED CD	5/24/2017	3,250,000.00	3,250,975.00	0.89%
SVENSKA HANDELSBANKEN AB NEGOTIATED CD	9/1/2017	2,950,073.55	2,950,118.00	1.19%
<i>SUB-TOTAL</i>		<u>29,038,935.07</u>	<u>29,038,931.79</u>	
<u>U.S. GOVERNMENT &amp; AGENCY OBLIGATIONS</u>				
FEDERAL HOME LOAN BANKS	5/30/2017	1,946,958.00	1,949,434.50	0.80%
FEDERAL HOME LOAN BANKS	3/19/2018	899,683.20	897,939.00	1.11%
FEDERAL HOME LOAN BANKS	6/8/2018	644,889.60	640,576.00	1.17%
FEDERAL HOME LOAN BANKS	6/29/2018	2,992,770.00	2,988,420.00	1.19%
FEDERAL HOME LOAN BANKS	8/7/2018	3,492,720.00	3,473,435.00	1.19%
FEDERAL HOME LOAN BANKS	9/14/2018	406,290.84	404,428.00	1.23%
FEDERAL HOME LOAN BANKS	10/11/2018	3,077,905.60	3,061,612.40	1.28%
FEDERAL HOME LOAN BANKS	12/14/2018	565,028.80	564,687.20	1.25%
FEDERAL HOME LOAN BANKS	1/16/2019	6,469,741.20	6,463,788.80	1.30%
FEDERAL HOME LOAN BANKS	1/16/2019	4,999,800.00	4,995,200.00	1.30%
FEDERAL HOME LOAN BANKS	3/18/2019	3,322,274.40	3,330,965.70	1.36%
FEDERAL HOME LOAN BANKS	3/18/2019	4,988,400.00	5,001,450.00	1.36%
FEDERAL HOME LOAN BANKS	8/5/2019	808,444.80	799,542.90	1.44%
FEDERAL HOME LOAN BANKS	9/26/2019	3,097,303.00	3,066,148.00	1.45%
FEDERAL HOME LOAN BANKS	9/26/2019	4,231,315.55	4,188,753.80	1.45%
FEDERAL HOME LOAN BANKS	9/26/2019	764,334.45	756,646.20	1.45%
FEDERAL HOME LOAN BANKS	11/29/2021	1,792,836.00	1,793,376.00	1.96%
FEDERAL HOME LOAN MORTGAGE CORP	4/9/2018	2,995,290.00	2,988,150.00	1.14%
FEDERAL HOME LOAN MORTGAGE CORP	9/14/2018	3,060,000.00	3,054,920.40	1.27%
FEDERAL HOME LOAN MORTGAGE CORP	10/12/2018	599,815.01	596,748.00	1.23%
FEDERAL HOME LOAN MORTGAGE CORP	10/12/2018	4,999,700.00	4,972,900.00	1.23%
FEDERAL HOME LOAN MORTGAGE CORP	10/12/2018	3,088,671.30	3,073,252.20	1.23%
FEDERAL HOME LOAN MORTGAGE CORP	4/15/2019	4,998,350.00	4,975,800.00	1.37%
FEDERAL HOME LOAN MORTGAGE CORP	7/19/2019	1,992,540.00	1,975,700.00	1.41%
FEDERAL HOME LOAN MORTGAGE CORP	7/19/2019	2,112,874.44	2,092,266.30	1.41%
FEDERAL HOME LOAN MORTGAGE CORP	7/19/2019	9,975,800.00	9,878,500.00	1.41%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	6/12/2017	554,755.00	504,305.00	0.98%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	6/12/2017	913,792.00	806,888.00	0.98%

**Orange County Transportation Authority  
Portfolio Listing  
As of March 31, 2017**

FEDERAL NATIONAL MORTGAGE ASSOCIATION	7/20/2018	724,754.95	724,543.25	1.17%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	7/20/2018	6,987,190.00	6,995,590.00	1.17%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	7/27/2018	3,065,395.00	3,050,321.30	1.24%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	10/19/2018	3,015,107.60	3,015,107.60	1.23%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	10/19/2018	9,983,800.00	9,983,800.00	1.23%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	12/14/2018	7,988,080.00	7,980,720.00	1.27%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	2/26/2019	2,883,179.60	2,871,099.40	1.35%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	6/13/2019	2,980,000.00	2,958,991.00	1.58%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	8/2/2019	3,204,607.20	3,168,334.20	1.44%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	8/28/2019	3,065,210.80	3,037,396.60	1.45%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	8/28/2019	9,984,400.00	9,893,800.00	1.45%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	10/9/2019	5,746,054.00	5,975,044.80	1.85%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	10/24/2019	1,992,480.00	1,975,640.00	1.49%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	10/24/2019	7,479,900.00	7,408,650.00	1.49%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	2/28/2020	1,948,752.00	1,945,300.50	1.58%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	8/17/2021	995,950.00	971,300.00	1.94%
FEDERAL NATIONAL MORTGAGE ASSOCIATION	1/5/2022	998,210.00	999,630.00	2.01%
FREDDIE MAC	6/13/2018	789,939.70	756,117.00	1.26%
FREDDIE MAC	1/17/2020	349,640.55	349,443.50	1.56%
FREDDIE MAC	1/17/2020	139,867.82	139,777.40	1.56%
FREDDIE MAC	1/17/2020	4,994,600.00	4,992,050.00	1.56%
U.S. DEPARTMENT OF HOUSING & URBAN DVLPMNT	8/1/2018	1,000,000.00	1,000,870.00	1.26%
UNITED STATES TREASURY	6/8/2017	14,973,718.75	14,980,500.00	0.69%
UNITED STATES TREASURY	9/7/2017	16,926,031.11	16,937,270.00	0.84%
UNITED STATES TREASURY	9/30/2017	5,783,234.38	5,726,505.00	0.94%
UNITED STATES TREASURY	9/30/2017	1,086,507.81	1,098,449.00	0.91%
UNITED STATES TREASURY	9/30/2017	692,261.72	699,013.00	0.91%
UNITED STATES TREASURY	9/30/2017	600,117.18	599,154.00	0.91%
UNITED STATES TREASURY	9/30/2017	500,488.28	499,295.00	0.91%
UNITED STATES TREASURY	9/30/2017	299,929.68	299,577.00	0.91%
UNITED STATES TREASURY	9/30/2017	395,218.75	399,436.00	0.91%
UNITED STATES TREASURY	9/30/2017	280,164.07	279,605.20	0.91%
UNITED STATES TREASURY	10/31/2017	423,703.12	402,064.00	0.98%
UNITED STATES TREASURY	10/31/2017	636,726.56	603,096.00	0.98%
UNITED STATES TREASURY	10/31/2017	403,067.19	381,960.80	0.98%
UNITED STATES TREASURY	10/31/2017	307,312.50	301,548.00	0.98%
UNITED STATES TREASURY	10/31/2017	593,687.50	562,889.60	0.98%
UNITED STATES TREASURY	10/31/2017	1,744,147.94	1,738,926.80	0.98%
UNITED STATES TREASURY	10/31/2017	600,820.32	599,298.00	0.95%
UNITED STATES TREASURY	10/31/2017	791,395.31	809,052.30	0.95%
UNITED STATES TREASURY	10/31/2017	513,247.26	509,403.30	0.95%
UNITED STATES TREASURY	10/31/2017	396,515.62	399,532.00	0.95%
UNITED STATES TREASURY	10/31/2017	197,867.19	199,766.00	0.95%
UNITED STATES TREASURY	10/31/2017	795,031.25	799,064.00	0.95%
UNITED STATES TREASURY	10/31/2017	792,031.25	799,064.00	0.95%
UNITED STATES TREASURY	10/31/2017	1,192,546.88	1,198,596.00	0.95%
UNITED STATES TREASURY	11/30/2017	600,117.19	598,596.00	0.98%
UNITED STATES TREASURY	11/30/2017	300,339.84	299,298.00	0.98%
UNITED STATES TREASURY	11/30/2017	590,367.19	598,596.00	0.98%
UNITED STATES TREASURY	11/30/2017	196,859.37	199,532.00	0.98%
UNITED STATES TREASURY	11/30/2017	300,117.19	299,298.00	0.98%
UNITED STATES TREASURY	11/30/2017	198,812.50	199,532.00	0.98%
UNITED STATES TREASURY	11/30/2017	1,087,925.78	1,097,426.00	0.98%
UNITED STATES TREASURY	11/30/2017	1,082,425.78	1,097,426.00	0.98%
UNITED STATES TREASURY	11/30/2017	787,250.00	798,128.00	0.98%
UNITED STATES TREASURY	12/31/2017	2,866,973.05	2,864,173.90	1.02%
UNITED STATES TREASURY	12/31/2017	598,570.32	598,782.00	1.02%
UNITED STATES TREASURY	12/31/2017	800,375.00	798,376.00	1.02%
UNITED STATES TREASURY	12/31/2017	692,070.31	698,579.00	1.02%
UNITED STATES TREASURY	12/31/2017	994,609.37	997,970.00	1.02%
UNITED STATES TREASURY	12/31/2017	791,906.25	798,376.00	1.02%

**Orange County Transportation Authority  
Portfolio Listing  
As of March 31, 2017**

UNITED STATES TREASURY	12/31/2017	299,203.13	299,391.00	1.02%
UNITED STATES TREASURY	1/31/2018	4,812,468.75	4,808,335.60	1.04%
UNITED STATES TREASURY	1/31/2018	400,781.25	399,436.00	1.04%
UNITED STATES TREASURY	1/31/2018	651,294.92	649,083.50	1.04%
UNITED STATES TREASURY	1/31/2018	795,187.50	798,872.00	1.04%
UNITED STATES TREASURY	1/31/2018	550,000.00	549,224.50	1.04%
UNITED STATES TREASURY	1/31/2018	699,945.31	699,013.00	1.04%
UNITED STATES TREASURY	2/28/2018	1,037,695.31	1,014,770.00	1.12%
UNITED STATES TREASURY	2/28/2018	4,640,554.69	4,636,933.50	1.06%
UNITED STATES TREASURY	2/28/2018	349,166.02	349,016.50	1.06%
UNITED STATES TREASURY	2/28/2018	10,148,150.37	10,141,422.30	1.06%
UNITED STATES TREASURY	2/28/2018	7,486,781.62	7,468,953.10	1.06%
UNITED STATES TREASURY	3/15/2018	3,760,107.41	3,747,225.00	1.08%
UNITED STATES TREASURY	3/31/2018	2,192,121.09	2,136,498.00	1.12%
UNITED STATES TREASURY	3/31/2018	1,398,140.62	1,395,408.00	1.08%
UNITED STATES TREASURY	3/31/2018	498,203.12	498,360.00	1.08%
UNITED STATES TREASURY	3/31/2018	5,004,101.55	4,989,850.00	1.08%
UNITED STATES TREASURY	4/15/2018	6,840,748.85	6,845,336.70	1.10%
UNITED STATES TREASURY	4/30/2018	590,156.25	596,886.00	1.11%
UNITED STATES TREASURY	4/30/2018	794,274.61	805,796.10	1.11%
UNITED STATES TREASURY	4/30/2018	149,121.09	149,221.50	1.11%
UNITED STATES TREASURY	4/30/2018	649,212.89	646,626.50	1.11%
UNITED STATES TREASURY	4/30/2018	294,937.50	298,443.00	1.11%
UNITED STATES TREASURY	4/30/2018	1,063,433.59	1,094,291.00	1.11%
UNITED STATES TREASURY	4/30/2018	389,765.62	397,924.00	1.11%
UNITED STATES TREASURY	4/30/2018	1,082,425.78	1,094,291.00	1.11%
UNITED STATES TREASURY	4/30/2018	1,080,707.03	1,094,291.00	1.11%
UNITED STATES TREASURY	4/30/2018	1,994,765.62	1,989,620.00	1.11%
UNITED STATES TREASURY	4/30/2018	989,179.69	994,810.00	1.11%
UNITED STATES TREASURY	4/30/2018	5,000,781.25	4,980,650.00	1.11%
UNITED STATES TREASURY	5/31/2018	796,687.50	798,872.00	1.12%
UNITED STATES TREASURY	5/31/2018	4,019,843.75	3,994,360.00	1.12%
UNITED STATES TREASURY	5/31/2018	800,031.25	798,872.00	1.12%
UNITED STATES TREASURY	5/31/2018	297,996.10	299,577.00	1.12%
UNITED STATES TREASURY	5/31/2018	545,810.54	549,224.50	1.12%
UNITED STATES TREASURY	5/31/2018	1,592,250.00	1,597,744.00	1.12%
UNITED STATES TREASURY	5/31/2018	10,870,319.63	10,848,121.60	1.13%
UNITED STATES TREASURY	5/31/2018	17,225,742.19	17,199,457.50	1.13%
UNITED STATES TREASURY	6/15/2018	399,765.63	399,952.00	1.13%
UNITED STATES TREASURY	6/30/2018	518,847.66	507,560.00	1.15%
UNITED STATES TREASURY	7/15/2018	996,960.00	996,560.00	1.14%
UNITED STATES TREASURY	7/15/2018	9,946,875.00	9,965,600.00	1.14%
UNITED STATES TREASURY	7/31/2018	711,074.22	702,023.00	1.16%
UNITED STATES TREASURY	7/31/2018	1,411,812.50	1,404,046.00	1.16%
UNITED STATES TREASURY	7/31/2018	911,214.85	902,601.00	1.16%
UNITED STATES TREASURY	8/31/2018	1,012,187.50	1,004,490.00	1.18%
UNITED STATES TREASURY	8/31/2018	6,071,484.38	6,026,940.00	1.18%
UNITED STATES TREASURY	9/15/2018	5,526,640.63	5,486,030.00	1.18%
UNITED STATES TREASURY	9/15/2018	3,957,438.68	3,959,916.20	1.18%
UNITED STATES TREASURY	9/15/2018	4,999,414.05	4,987,300.00	1.18%
UNITED STATES TREASURY	9/15/2018	15,810,437.50	15,819,715.60	1.18%
UNITED STATES TREASURY	9/15/2018	5,192,281.28	5,186,792.00	1.18%
UNITED STATES TREASURY	9/30/2018	678,910.94	681,992.40	1.18%
UNITED STATES TREASURY	9/30/2018	1,012,148.44	1,002,930.00	1.18%
UNITED STATES TREASURY	9/30/2018	7,477,441.41	7,452,225.00	1.18%
UNITED STATES TREASURY	9/30/2018	7,492,089.84	7,452,225.00	1.18%
UNITED STATES TREASURY	10/15/2018	995,585.94	995,350.00	1.18%
UNITED STATES TREASURY	10/31/2018	1,097,335.93	1,100,858.00	1.20%
UNITED STATES TREASURY	10/31/2018	1,006,679.69	1,000,780.00	1.20%
UNITED STATES TREASURY	10/31/2018	601,804.69	600,468.00	1.20%
UNITED STATES TREASURY	10/31/2018	1,006,015.62	1,000,780.00	1.20%

**Orange County Transportation Authority  
Portfolio Listing  
As of March 31, 2017**

UNITED STATES TREASURY	10/31/2018	1,296,394.54	1,301,014.00	1.20%
UNITED STATES TREASURY	10/31/2018	1,486,699.22	1,501,170.00	1.20%
UNITED STATES TREASURY	10/31/2018	806,125.00	800,624.00	1.20%
UNITED STATES TREASURY	10/31/2018	907,945.31	900,702.00	1.20%
UNITED STATES TREASURY	10/31/2018	852,058.59	850,663.00	1.20%
UNITED STATES TREASURY	10/31/2018	676,520.32	680,530.40	1.20%
UNITED STATES TREASURY	10/31/2018	400,250.00	400,312.00	1.20%
UNITED STATES TREASURY	10/31/2018	100,730.46	100,078.00	1.20%
UNITED STATES TREASURY	10/31/2018	11,983,593.75	11,915,640.00	1.20%
UNITED STATES TREASURY	11/30/2018	695,132.82	700,462.00	1.21%
UNITED STATES TREASURY	11/30/2018	1,303,808.59	1,300,858.00	1.21%
UNITED STATES TREASURY	11/30/2018	493,847.65	500,330.00	1.21%
UNITED STATES TREASURY	11/30/2018	401,437.50	400,264.00	1.21%
UNITED STATES TREASURY	11/30/2018	8,285,608.12	8,291,379.20	1.21%
UNITED STATES TREASURY	12/31/2018	1,115,425.78	1,105,159.00	1.23%
UNITED STATES TREASURY	12/31/2018	692,207.03	703,283.00	1.23%
UNITED STATES TREASURY	12/31/2018	1,210,312.50	1,203,096.00	1.23%
UNITED STATES TREASURY	12/31/2018	1,407,492.19	1,403,612.00	1.23%
UNITED STATES TREASURY	12/31/2018	1,403,937.50	1,403,612.00	1.23%
UNITED STATES TREASURY	12/31/2018	303,867.19	300,774.00	1.23%
UNITED STATES TREASURY	12/31/2018	1,009,453.12	1,002,580.00	1.23%
UNITED STATES TREASURY	12/31/2018	2,830,187.50	2,807,224.00	1.23%
UNITED STATES TREASURY	12/31/2018	18,012,656.25	18,009,180.00	1.22%
UNITED STATES TREASURY	1/31/2019	1,120,796.87	1,105,115.00	1.24%
UNITED STATES TREASURY	1/31/2019	502,988.28	502,325.00	1.24%
UNITED STATES TREASURY	1/31/2019	865,937.50	853,952.50	1.24%
UNITED STATES TREASURY	1/31/2019	408,109.38	401,860.00	1.24%
UNITED STATES TREASURY	1/31/2019	500,683.60	502,325.00	1.24%
UNITED STATES TREASURY	1/31/2019	1,006,328.12	1,004,650.00	1.24%
UNITED STATES TREASURY	1/31/2019	855,578.12	853,952.50	1.24%
UNITED STATES TREASURY	1/31/2019	1,698,937.50	1,700,527.00	1.23%
UNITED STATES TREASURY	1/31/2019	402,906.25	400,124.00	1.23%
UNITED STATES TREASURY	1/31/2019	1,973,750.00	2,000,620.00	1.23%
UNITED STATES TREASURY	1/31/2019	247,226.56	250,077.50	1.23%
UNITED STATES TREASURY	1/31/2019	198,984.37	200,062.00	1.23%
UNITED STATES TREASURY	1/31/2019	997,245.70	998,010.00	1.23%
UNITED STATES TREASURY	1/31/2019	7,103,868.75	7,105,831.20	1.23%
UNITED STATES TREASURY	1/31/2019	2,994,843.75	2,994,030.00	1.23%
UNITED STATES TREASURY	1/31/2019	4,189,992.19	4,191,642.00	1.23%
UNITED STATES TREASURY	2/28/2019	1,707,570.32	1,707,973.00	1.25%
UNITED STATES TREASURY	2/28/2019	858,234.38	853,986.50	1.25%
UNITED STATES TREASURY	2/28/2019	1,000,117.18	1,002,380.00	1.25%
UNITED STATES TREASURY	2/28/2019	1,001,992.19	1,002,380.00	1.25%
UNITED STATES TREASURY	2/28/2019	859,960.93	852,023.00	1.25%
UNITED STATES TREASURY	2/28/2019	1,191,328.13	1,202,856.00	1.25%
UNITED STATES TREASURY	2/28/2019	1,102,707.03	1,102,618.00	1.25%
UNITED STATES TREASURY	2/28/2019	708,367.18	701,666.00	1.25%
UNITED STATES TREASURY	2/28/2019	1,417,828.13	1,403,332.00	1.25%
UNITED STATES TREASURY	2/28/2019	1,400,218.75	1,403,332.00	1.25%
UNITED STATES TREASURY	2/28/2019	716,822.65	711,689.80	1.25%
UNITED STATES TREASURY	3/15/2019	1,241,017.19	1,233,651.20	1.27%
UNITED STATES TREASURY	3/15/2019	531,469.92	527,286.40	1.27%
UNITED STATES TREASURY	3/15/2019	7,059,638.67	7,013,904.00	1.27%
UNITED STATES TREASURY	3/15/2019	7,514,062.50	7,461,600.00	1.27%
UNITED STATES TREASURY	3/15/2019	3,923,135.18	3,889,980.80	1.27%
UNITED STATES TREASURY	3/31/2019	1,427,835.94	1,409,842.00	1.27%
UNITED STATES TREASURY	3/31/2019	1,119,464.84	1,107,733.00	1.27%
UNITED STATES TREASURY	4/15/2019	7,965,937.50	7,935,040.00	1.28%
UNITED STATES TREASURY	4/15/2019	5,483,457.03	5,455,340.00	1.28%
UNITED STATES TREASURY	4/30/2019	1,411,101.56	1,409,674.00	1.29%
UNITED STATES TREASURY	4/30/2019	858,433.59	855,873.50	1.29%

**Orange County Transportation Authority  
Portfolio Listing  
As of March 31, 2017**

UNITED STATES TREASURY	5/15/2019	1,106,574.22	1,090,331.00	1.30%
UNITED STATES TREASURY	5/15/2019	1,000,234.38	991,210.00	1.30%
UNITED STATES TREASURY	5/15/2019	6,231,000.00	6,145,502.00	1.30%
UNITED STATES TREASURY	5/15/2019	989,570.31	991,210.00	1.30%
UNITED STATES TREASURY	5/15/2019	994,179.69	991,210.00	1.30%
UNITED STATES TREASURY	5/15/2019	5,481,308.59	5,451,655.00	1.30%
UNITED STATES TREASURY	5/31/2019	1,725,300.79	1,707,378.00	1.30%
UNITED STATES TREASURY	5/31/2019	1,305,941.40	1,305,642.00	1.30%
UNITED STATES TREASURY	5/31/2019	1,422,695.31	1,406,076.00	1.30%
UNITED STATES TREASURY	5/31/2019	853,486.33	853,689.00	1.30%
UNITED STATES TREASURY	5/31/2019	1,113,062.50	1,104,774.00	1.30%
UNITED STATES TREASURY	5/31/2019	2,814,437.50	2,812,152.00	1.30%
UNITED STATES TREASURY	5/31/2019	702,980.47	703,038.00	1.30%
UNITED STATES TREASURY	5/31/2019	1,116,500.00	1,104,774.00	1.30%
UNITED STATES TREASURY	5/31/2019	1,410,992.19	1,406,076.00	1.30%
UNITED STATES TREASURY	6/15/2019	137,577.97	135,672.47	1.32%
UNITED STATES TREASURY	6/15/2019	9,988,281.25	9,903,100.00	1.32%
UNITED STATES TREASURY	6/30/2019	789,437.50	794,376.00	1.32%
UNITED STATES TREASURY	6/30/2019	377,721.10	387,258.30	1.32%
UNITED STATES TREASURY	6/30/2019	1,123,460.94	1,107,172.00	1.33%
UNITED STATES TREASURY	7/15/2019	10,849,179.69	10,855,240.00	1.33%
UNITED STATES TREASURY	7/15/2019	19,562,890.04	19,386,471.80	1.33%
UNITED STATES TREASURY	7/31/2019	597,037.50	603,540.10	1.34%
UNITED STATES TREASURY	7/31/2019	980,351.56	989,410.00	1.34%
UNITED STATES TREASURY	7/31/2019	918,095.32	910,257.20	1.34%
UNITED STATES TREASURY	7/31/2019	5,108,789.06	5,031,250.00	1.35%
UNITED STATES TREASURY	7/31/2019	912,667.19	895,562.50	1.35%
UNITED STATES TREASURY	7/31/2019	13,547,279.75	13,544,125.00	1.35%
UNITED STATES TREASURY	7/31/2019	12,056,969.59	12,044,812.50	1.35%
UNITED STATES TREASURY	7/31/2019	13,647,863.64	13,674,937.50	1.35%
UNITED STATES TREASURY	8/31/2019	534,166.01	545,143.50	1.37%
UNITED STATES TREASURY	8/31/2019	1,093,941.41	1,090,287.00	1.37%
UNITED STATES TREASURY	8/31/2019	24,665,270.44	24,719,779.80	1.37%
UNITED STATES TREASURY	9/30/2019	500,957.03	495,195.00	1.39%
UNITED STATES TREASURY	9/30/2019	968,945.31	990,390.00	1.39%
UNITED STATES TREASURY	9/30/2019	1,223,373.05	1,213,227.75	1.39%
UNITED STATES TREASURY	9/30/2019	1,504,687.50	1,485,585.00	1.39%
UNITED STATES TREASURY	9/30/2019	1,082,984.37	1,089,429.00	1.39%
UNITED STATES TREASURY	10/15/2019	7,004,101.56	6,930,000.00	1.40%
UNITED STATES TREASURY	10/15/2019	23,093,979.02	22,958,100.00	1.40%
UNITED STATES TREASURY	10/31/2019	36,477,590.63	36,403,749.90	1.42%
UNITED STATES TREASURY	11/30/2019	501,386.72	500,840.00	1.44%
UNITED STATES TREASURY	11/30/2019	1,111,988.28	1,101,848.00	1.44%
UNITED STATES TREASURY	11/30/2019	1,605,937.50	1,602,688.00	1.44%
UNITED STATES TREASURY	11/30/2019	1,001,914.06	1,001,680.00	1.44%
UNITED STATES TREASURY	11/30/2019	985,390.62	989,140.00	1.42%
UNITED STATES TREASURY	12/31/2019	1,222,734.38	1,205,532.00	1.45%
UNITED STATES TREASURY	12/31/2019	1,525,937.50	1,506,943.20	1.44%
UNITED STATES TREASURY	12/31/2019	1,706,042.97	1,685,397.00	1.44%
UNITED STATES TREASURY	1/31/2020	1,219,783.98	1,202,207.60	1.48%
UNITED STATES TREASURY	1/31/2020	1,218,744.14	1,202,207.60	1.48%
UNITED STATES TREASURY	1/31/2020	1,016,835.94	993,560.00	1.48%
UNITED STATES TREASURY	1/31/2020	199,826.00	199,468.00	1.47%
UNITED STATES TREASURY	2/15/2020	9,023,647.88	9,041,338.80	1.49%
UNITED STATES TREASURY	2/29/2020	509,179.69	498,105.00	1.51%
UNITED STATES TREASURY	2/29/2020	597,093.75	597,726.00	1.51%
UNITED STATES TREASURY	2/29/2020	508,164.07	498,105.00	1.51%
UNITED STATES TREASURY	2/29/2020	879,855.47	866,702.70	1.51%
UNITED STATES TREASURY	3/15/2020	4,699,314.67	4,716,873.00	1.50%
UNITED STATES TREASURY	3/15/2020	3,594,527.69	3,612,924.00	1.50%
UNITED STATES TREASURY	3/31/2020	498,242.19	497,830.00	1.52%

**Orange County Transportation Authority**  
**Portfolio Listing**  
**As of March 31, 2017**

UNITED STATES TREASURY	3/31/2020	1,088,914.06	1,095,226.00	1.52%
UNITED STATES TREASURY	4/30/2020	1,689,640.63	1,691,041.00	1.55%
UNITED STATES TREASURY	4/30/2020	1,193,953.12	1,193,676.00	1.55%
UNITED STATES TREASURY	4/30/2020	795,156.25	795,784.00	1.55%
UNITED STATES TREASURY	5/31/2020	907,066.41	897,750.00	1.58%
UNITED STATES TREASURY	5/31/2020	1,287,058.01	1,291,762.50	1.58%
UNITED STATES TREASURY	5/31/2020	4,720,188.27	4,728,150.00	1.58%
UNITED STATES TREASURY	6/30/2020	1,300,964.84	1,301,066.00	1.60%
UNITED STATES TREASURY	7/31/2020	2,058,828.13	2,025,160.00	1.61%
UNITED STATES TREASURY	7/31/2020	928,617.19	911,322.00	1.61%
UNITED STATES TREASURY	8/31/2020	1,614,754.10	1,619,859.90	1.65%
UNITED STATES TREASURY	8/31/2020	1,505,449.22	1,486,110.00	1.65%
UNITED STATES TREASURY	9/30/2020	962,469.73	965,250.00	1.67%
UNITED STATES TREASURY	9/30/2020	1,118,605.47	1,089,000.00	1.67%
UNITED STATES TREASURY	10/31/2020	1,534,277.34	1,503,285.00	1.69%
UNITED STATES TREASURY	10/31/2020	5,851,600.80	5,756,329.20	1.69%
UNITED STATES TREASURY	11/30/2020	1,249,875.00	1,212,276.00	1.71%
UNITED STATES TREASURY	11/30/2020	1,141,550.78	1,111,253.00	1.71%
UNITED STATES TREASURY	11/30/2020	997,695.31	997,070.00	1.71%
UNITED STATES TREASURY	1/31/2021	1,222,642.58	1,191,062.25	1.75%
UNITED STATES TREASURY	1/31/2021	1,011,210.94	985,980.00	1.75%
UNITED STATES TREASURY	1/31/2021	978,867.18	985,980.00	1.75%
UNITED STATES TREASURY	1/31/2021	987,851.56	985,980.00	1.75%
UNITED STATES TREASURY	2/28/2021	7,253,124.20	7,161,124.20	1.77%
UNITED STATES TREASURY	3/31/2021	977,343.75	979,380.00	1.79%
UNITED STATES TREASURY	3/31/2021	1,466,601.57	1,469,070.00	1.79%
UNITED STATES TREASURY	4/30/2021	532,442.97	521,096.00	1.80%
UNITED STATES TREASURY	5/31/2021	1,610,467.18	1,610,791.60	1.82%
UNITED STATES TREASURY	5/31/2021	1,375,335.93	1,375,066.00	1.82%
UNITED STATES TREASURY	10/31/2021	1,027,734.38	1,004,570.00	1.90%
UNITED STATES TREASURY	1/31/2022	2,865,291.42	2,863,714.70	1.92%
<i>SUB-TOTAL</i>		840,692,989.51	838,016,757.52	

MEDIUM TERM NOTES

3M CO	6/26/2017	537,510.60	540,000.00	1.00%
ABB FINANCE USA INC	5/8/2017	104,903.40	105,038.85	1.26%
AFLAC INC	3/16/2020	289,772.42	290,148.39	2.02%
AIG GLOBAL FUNDING	12/15/2017	96,909.79	97,064.02	1.55%
AIG GLOBAL FUNDING	10/6/2021	499,075.00	481,685.00	2.77%
ALABAMA POWER CO	10/1/2020	157,474.50	154,386.00	2.50%
ALABAMA POWER CO	10/1/2020	96,586.20	92,631.60	2.50%
ALLSTATE CORPORATION (THE)	5/15/2018	125,163.15	110,248.95	2.21%
ALTERA CORP	11/15/2018	144,172.00	142,058.00	1.58%
ALTERA CORP	11/15/2018	718,039.00	710,290.00	1.58%
ALTERA CORP	11/15/2018	204,566.00	202,940.00	1.58%
AMERICAN EXPRESS CO	8/28/2017	98,224.20	91,625.40	1.69%
AMERICAN EXPRESS CO	8/28/2017	569,215.50	534,481.50	1.69%
AMERICAN EXPRESS CREDIT CORP	6/5/2017	179,560.80	180,007.20	1.10%
AMERICAN EXPRESS CREDIT CORP	6/5/2017	364,532.80	365,014.60	1.10%
AMERICAN EXPRESS CREDIT CORP	9/22/2017	1,053,586.30	1,055,854.55	1.38%
AMERICAN EXPRESS CREDIT CORP	7/31/2018	194,744.55	195,273.00	1.69%
AMERICAN EXPRESS CREDIT CORP	3/18/2019	75,237.00	75,368.25	1.87%
AMERICAN EXPRESS CREDIT CORP	8/15/2019	14,965.80	15,118.20	1.91%
AMERICAN EXPRESS CREDIT CORP	8/15/2019	80,192.80	80,630.40	1.91%
AMERICAN EXPRESS CREDIT CORP	3/3/2020	839,126.40	841,268.40	2.14%
AMERICAN EXPRESS CREDIT CORP	3/3/2020	1,997,920.00	2,003,020.00	2.14%
AMERICAN EXPRESS CREDIT CORP	5/26/2020	95,567.15	95,507.30	2.19%
AMERICAN EXPRESS CREDIT CORP	9/14/2020	77,388.75	75,794.25	2.27%
AMERICAN EXPRESS CREDIT CORP	9/14/2020	546,096.60	545,718.60	2.27%
AMERICAN EXPRESS CREDIT CORP	5/5/2021	1,998,780.00	1,982,100.00	2.48%
AMERICAN HONDA FINANCE CORP	12/11/2017	38,144.02	38,064.22	1.30%

**Orange County Transportation Authority  
Portfolio Listing  
As of March 31, 2017**

AMERICAN HONDA FINANCE CORP	7/13/2018	202,074.00	200,354.00	1.46%
AMERICAN HONDA FINANCE CORP	10/10/2018	203,310.00	201,532.00	1.61%
AMERICAN HONDA FINANCE CORP	7/12/2019	2,997,000.00	2,959,620.00	1.80%
AMERICAN HONDA FINANCE CORP	8/15/2019	99,815.00	100,874.00	1.87%
AMERICAN HONDA FINANCE CORP	2/14/2020	1,497,870.00	1,503,690.00	1.91%
AMERICAN HONDA FINANCE CORP	2/14/2020	2,496,450.00	2,506,150.00	1.91%
AMERICAN HONDA FINANCE CORPORATION	10/1/2018	178,647.00	162,822.00	1.82%
AMERICAN HONDA FINANCE CORPORATION	10/1/2018	446,236.00	434,192.00	1.82%
AMERIPRISE FINANCIAL INC	3/15/2020	224,708.00	217,284.00	2.26%
ANHEUSER-BUSCH INBEV NV	1/15/2019	175,654.45	159,523.20	2.02%
ANHEUSER-BUSCH INBEV WORLDWIDE INC	11/15/2019	201,130.40	190,632.90	2.09%
APPLE INC	5/5/2017	500,040.00	500,025.00	0.99%
APPLE INC	5/12/2017	86,939.97	86,989.56	1.00%
APPLE INC	5/12/2017	659,544.60	659,920.80	1.00%
APPLE INC	2/23/2018	179,922.60	180,070.20	1.26%
APPLE INC	5/3/2018	195,450.00	199,396.00	1.28%
APPLE INC	5/3/2018	178,111.80	179,456.40	1.28%
APPLE INC	5/3/2018	495,845.00	498,490.00	1.28%
APPLE INC	2/8/2019	884,327.40	886,601.85	1.45%
APPLE INC	2/8/2019	2,997,720.00	3,005,430.00	1.45%
APPLE INC	2/22/2019	239,959.20	240,950.40	1.49%
APPLE INC	8/2/2019	1,518,480.00	1,501,942.40	1.62%
APPLE INC	2/7/2020	66,307.56	65,605.32	1.77%
APPLE INC	2/7/2020	329,838.30	330,960.30	1.79%
APPLE INC	2/23/2021	68,009.02	67,203.01	2.17%
APPLE INC	8/4/2021	192,731.73	187,244.74	2.27%
ARIZONA PUBLIC SERVICE CO	3/1/2019	102,724.80	90,144.00	1.97%
ARIZONA PUBLIC SERVICE CO	1/15/2020	150,892.50	150,286.50	2.13%
ATLANTIC CITY ELECTRIC CO	11/15/2018	132,908.60	120,024.30	2.01%
ATMOS ENERGY CORP	6/15/2017	115,223.00	100,975.00	1.56%
ATMOS ENERGY CORP	6/15/2017	87,063.20	80,780.00	1.56%
BANK OF AMERICA NA	3/26/2018	1,298,219.00	1,300,507.00	1.61%
BANK OF AMERICA NA	3/26/2018	1,500,810.00	1,500,585.00	1.61%
BANK OF AMERICA NA	12/7/2018	3,000,000.00	3,016,320.00	1.72%
BANK OF NEW YORK COMPANY, INC. (THE)	1/15/2020	107,200.00	106,737.00	2.10%
BANK OF NEW YORK COMPANY, INC. (THE)	1/15/2020	101,092.50	96,063.30	2.10%
BANK OF NEW YORK COMPANY, INC. (THE)	1/15/2020	141,420.50	138,758.10	2.10%
BANK OF NEW YORK MELLON CORP	5/22/2018	1,439,870.40	1,439,740.80	1.62%
BANK OF NEW YORK MELLON CORP	8/1/2018	913,734.00	905,904.00	1.57%
BANK OF NEW YORK MELLON CORP	3/4/2019	35,199.85	35,259.35	1.79%
BANK OF NEW YORK MELLON CORP	3/4/2019	50,603.50	50,370.50	1.79%
BANK OF NEW YORK MELLON CORP	3/4/2019	35,451.85	35,259.35	1.79%
BANK OF NEW YORK MELLON CORP	2/24/2020	203,662.00	200,820.00	2.00%
BANK OF NEW YORK MELLON CORP	8/17/2020	154,755.00	151,689.00	2.24%
BANK OF TOKYO MITSUBISHI UFJ LTD	9/8/2017	489,412.00	489,573.70	1.65%
BANK OF TOKYO-MITSUBISHI UFJ LTD	3/5/2018	1,548,775.50	1,550,046.50	1.70%
BAYER US FINANCE LLC	10/8/2019	203,710.00	201,372.00	2.09%
BB&T CORP	8/15/2017	300,207.00	300,186.00	1.38%
BB&T CORP	8/15/2017	140,932.40	140,086.80	1.38%
BB&T CORP	8/15/2017	299,454.00	300,186.00	1.38%
BB&T CORP	8/15/2017	518,055.42	519,321.78	1.38%
BB&T CORP	1/12/2018	129,509.90	129,980.50	1.47%
BERKSHIRE HATHAWAY FINANCE CORP	3/7/2018	679,734.80	680,340.00	1.40%
BERKSHIRE HATHAWAY FINANCE CORP	5/15/2018	564,000.00	522,150.00	1.41%
BERKSHIRE HATHAWAY FINANCE CORP	3/15/2019	126,933.96	127,219.71	1.61%
BERKSHIRE HATHAWAY FINANCE CORP	3/15/2019	28,977.96	29,050.17	1.61%
BERKSHIRE HATHAWAY FINANCE CORP	3/15/2019	589,551.60	591,020.70	1.61%
BERKSHIRE HATHAWAY FINANCE CORP	8/15/2019	149,854.50	148,564.50	1.71%
BERKSHIRE HATHAWAY INC	2/9/2018	146,222.35	145,104.40	1.46%
BERKSHIRE HATHAWAY INC	2/9/2018	120,091.20	120,086.40	1.46%
BERKSHIRE HATHAWAY INC	8/15/2018	134,983.80	134,320.95	1.52%

**Orange County Transportation Authority  
Portfolio Listing  
As of March 31, 2017**

BLACKROCK INC	9/15/2017	23,055.74	19,425.22	1.30%
BLACKROCK INC	9/15/2017	6,071.90	5,111.90	1.30%
BLACKROCK INC	12/10/2019	168,627.00	162,667.50	1.77%
BLACKROCK INC	12/10/2019	131,338.05	124,711.75	1.77%
BLACKROCK INC	12/10/2019	56,019.50	54,222.50	1.77%
BLACKROCK INC	12/10/2019	144,736.80	140,978.50	1.77%
BLACKROCK INC	12/10/2019	167,211.00	162,667.50	1.77%
BLACKROCK INC	12/10/2019	54,747.00	54,222.50	1.77%
BMW US CAPITAL LLC	4/11/2019	209,907.60	208,569.90	1.84%
BMW US CAPITAL LLC	9/13/2019	154,806.25	153,192.70	1.94%
BOEING CAPITAL CORP	8/15/2018	249,417.60	244,420.80	1.45%
BOEING CO	5/15/2018	106,835.30	109,655.70	1.23%
BRANCH BANKING AND TRUST CO	10/1/2017	719,553.60	720,021.60	1.34%
BRANCH BANKING AND TRUST CO	10/1/2017	499,240.00	500,015.00	1.34%
BRANCH BANKING AND TRUST CO	10/1/2017	999,380.00	1,000,030.00	1.34%
BRANCH BANKING AND TRUST CO	5/10/2019	1,258,853.40	1,246,946.40	1.95%
BRANCH BANKING AND TRUST CO	5/10/2019	1,683,466.65	1,667,543.40	1.95%
BRANCH BANKING AND TRUST CO	1/15/2020	1,139,908.80	1,141,459.20	2.05%
BRANCH BANKING AND TRUST CO	1/15/2020	1,999,840.00	2,002,560.00	2.05%
BRANCH BANKING AND TRUST CO	4/1/2021	308,532.00	304,605.00	2.44%
BRISTOL-MYERS SQUIBB CO	2/27/2019	1,004,196.00	1,003,974.90	1.65%
CARGILL INC	11/27/2017	115,382.00	102,913.00	1.51%
CARGILL INC	11/27/2017	103,601.70	92,621.70	1.51%
CATERPILLAR FINANCIAL SERVICES CORP	8/18/2017	999,800.00	1,000,240.00	1.18%
CATERPILLAR FINANCIAL SERVICES CORP	8/18/2017	300,357.00	300,072.00	1.18%
CATERPILLAR FINANCIAL SERVICES CORP	2/23/2018	130,566.80	129,812.80	1.66%
CATERPILLAR FINANCIAL SERVICES CORP	2/23/2018	309,928.70	309,553.60	1.66%
CATERPILLAR FINANCIAL SERVICES CORP	3/22/2019	729,562.00	730,138.70	1.89%
CATERPILLAR FINANCIAL SERVICES CORP	5/18/2019	149,916.00	148,186.50	1.93%
CATERPILLAR FINANCIAL SERVICES CORP	5/18/2019	509,500.20	503,834.10	1.93%
CATERPILLAR FINANCIAL SERVICES CORP	5/18/2019	1,099,384.00	1,086,701.00	1.93%
CATERPILLAR FINANCIAL SERVICES CORP	6/9/2019	206,011.44	204,909.84	1.89%
CATERPILLAR FINANCIAL SERVICES CORP	1/10/2020	379,582.00	380,535.80	2.05%
CATERPILLAR FINANCIAL SERVICES CORP	1/10/2020	769,153.00	771,085.70	2.05%
CATERPILLAR FINANCIAL SERVICES CORPORATION	9/1/2017	59,999.00	50,903.50	1.48%
CATERPILLAR FINANCIAL SERVICES CORPORATION	2/15/2019	109,321.25	104,019.30	1.96%
CATERPILLAR INC	6/26/2017	91,785.60	90,020.70	1.40%
CHARLES SCHWAB CORP	3/10/2018	699,118.00	699,860.00	1.52%
CHARLES SCHWAB CORP	7/25/2018	223,781.80	221,361.80	1.69%
CHARLES SCHWAB CORP	7/22/2020	156,330.30	155,318.20	2.21%
CHEVRON CORP	11/9/2017	2,000,000.00	2,000,680.00	1.29%
CHEVRON CORP	11/15/2017	1,260,000.00	1,260,088.20	1.33%
CHEVRON CORP	12/5/2017	150,018.00	149,749.50	1.35%
CHEVRON CORP	12/5/2017	49,928.50	49,916.50	1.35%
CHEVRON CORP	3/2/2018	140,417.20	139,918.80	1.43%
CHEVRON CORP	3/2/2018	93,769.70	93,945.48	1.43%
CHEVRON CORP	3/2/2018	65,000.00	64,962.30	1.43%
CHEVRON CORP	3/2/2018	600,000.00	599,652.00	1.43%
CHEVRON CORP	3/2/2018	2,000,000.00	1,998,840.00	1.43%
CHEVRON CORP	6/24/2018	120,578.40	120,385.20	1.43%
CHEVRON CORP	6/24/2018	20,223.40	20,064.20	1.43%
CHEVRON CORP	6/24/2018	54,750.85	55,176.55	1.43%
CHEVRON CORP	11/16/2018	225,000.00	225,630.00	1.61%
CHEVRON CORP	11/16/2018	450,000.00	451,260.00	1.61%
CHEVRON CORP	2/28/2019	445,000.00	445,467.25	2.08%
CHEVRON CORP	3/3/2019	55,220.00	53,035.00	1.73%
CHEVRON CORP	5/16/2019	300,000.00	299,013.00	1.72%
CHEVRON CORP	5/16/2019	1,280,000.00	1,275,788.80	1.72%
CHEVRON CORP	11/15/2019	1,556,873.60	1,609,424.00	1.34%
CHEVRON CORP	11/15/2019	1,241,982.00	1,267,421.40	1.34%
CHEVRON CORP	11/15/2019	216,609.80	221,295.80	1.34%



**Orange County Transportation Authority  
Portfolio Listing  
As of March 31, 2017**

CHUBB INA HOLDINGS INC	3/15/2018	60,709.50	52,007.00	1.55%
CHUBB INA HOLDINGS INC	5/15/2018	75,062.00	68,010.80	1.57%
CHUBB INA HOLDINGS INC	5/15/2018	115,653.00	104,632.00	1.57%
CHUBB INA HOLDINGS INC	5/15/2018	97,289.30	88,937.20	1.57%
CHUBB INA HOLDINGS INC	5/15/2018	114,226.00	104,632.00	1.57%
CHUBB INA HOLDINGS INC	5/15/2018	174,229.50	156,948.00	1.57%
CHUBB INA HOLDINGS INC	5/15/2018	59,137.10	57,547.60	1.57%
CHUBB INA HOLDINGS INC	6/15/2019	145,097.50	135,886.25	1.85%
CHUBB INA HOLDINGS INC	11/3/2020	349,804.00	351,256.50	2.19%
CISCO SYSTEMS INC	6/15/2018	779,867.40	782,503.80	1.38%
CISCO SYSTEMS INC	2/28/2019	241,929.82	242,336.38	1.53%
CISCO SYSTEMS INC	2/28/2019	409,881.10	410,569.90	1.53%
CISCO SYSTEMS INC	3/1/2019	205,622.00	202,086.00	1.57%
CISCO SYSTEMS INC	3/1/2019	200,782.00	202,086.00	1.57%
CISCO SYSTEMS INC	9/20/2019	669,256.30	664,861.10	1.72%
CISCO SYSTEMS INC	9/20/2019	3,496,115.00	3,473,155.00	1.72%
CITIBANK NA	3/20/2019	1,998,360.00	2,006,880.00	1.81%
CITIBANK NA	3/20/2019	994,184.10	998,422.80	1.81%
COCA-COLA CO	10/27/2017	199,912.00	199,690.00	1.15%
COCA-COLA CO	3/14/2018	115,456.55	115,327.75	1.35%
COCA-COLA CO	5/30/2019	199,860.00	199,106.00	1.59%
COCA-COLA CO	5/30/2019	1,528,929.00	1,523,160.90	1.59%
COCA-COLA CO	10/27/2020	1,457,430.40	1,459,489.00	1.89%
COMCAST CORP	11/15/2017	159,987.00	154,491.00	1.45%
COMERICA INC	5/23/2019	150,358.50	149,820.00	2.18%
COMERICA INC	5/23/2019	90,507.60	89,892.00	2.18%
COMERICA INC	5/23/2019	59,793.00	59,928.00	2.18%
COMMONWEALTH BANK OF AUSTRALIA	9/18/2017	506,915.00	500,980.00	1.47%
COMMONWEALTH EDISON CO	3/15/2018	129,414.10	119,564.35	1.60%
COMMONWEALTH EDISON CO	3/15/2018	314,649.00	311,907.00	1.60%
COMMONWEALTH EDISON CO	1/15/2019	70,711.20	70,438.20	1.78%
COMMONWEALTH EDISON CO	1/15/2019	130,860.60	130,813.80	1.78%
CONSOLIDATED EDISON COMPANY OF NEW YORK IN	4/1/2018	49,707.00	46,874.25	1.63%
CONSUMERS ENERGY CO	9/15/2018	113,008.00	105,377.00	1.89%
CONSUMERS ENERGY CO	3/15/2019	53,084.70	48,760.20	1.76%
CONSUMERS ENERGY CO	3/15/2019	76,363.95	70,431.40	1.76%
DAIMLER FINANCE NORTH AMERICA LLC	4/10/2017	152,268.00	150,021.00	1.82%
DAIMLER FINANCE NORTH AMERICA LLC	8/1/2017	149,482.50	149,982.00	1.41%
DAIMLER FINANCE NORTH AMERICA LLC	1/11/2018	150,100.50	150,138.00	1.75%
DAIMLER FINANCE NORTH AMERICA LLC	5/18/2018	1,498,080.00	1,498,275.00	1.75%
DAIMLER FINANCE NORTH AMERICA LLC	8/3/2018	151,626.00	150,354.00	1.82%
DAIMLER FINANCE NORTH AMERICA LLC	8/3/2018	149,940.00	150,354.00	1.82%
DAIMLER FINANCE NORTH AMERICA LLC	7/5/2019	299,553.00	295,764.00	2.14%
DAIMLER FINANCE NORTH AMERICA LLC	1/6/2020	999,540.00	1,002,270.00	2.21%
DANAHER CORP	9/15/2018	151,149.00	150,043.50	1.63%
DANAHER CORP	9/15/2018	739,008.40	740,214.60	1.63%
DANAHER CORP	9/15/2018	758,981.60	760,220.40	1.63%
DTE ELECTRIC CO	6/15/2018	166,586.15	151,677.25	1.72%
DTE ELECTRIC CO	6/15/2018	111,195.00	104,605.00	1.72%
DTE ELECTRIC CO	6/1/2021	110,142.00	105,315.00	2.47%
DUKE ENERGY CAROLINAS LLC	1/15/2018	78,292.90	72,036.30	1.52%
DUKE ENERGY CAROLINAS LLC	6/15/2020	88,351.20	85,457.60	2.09%
DUKE ENERGY CAROLINAS LLC	6/15/2020	142,814.10	138,868.60	2.09%
DUKE ENERGY CAROLINAS LLC	6/15/2021	82,725.75	79,343.25	2.36%
DUKE ENERGY FLORIDA LLC	6/15/2018	87,237.60	83,788.80	1.66%
DUKE ENERGY FLORIDA LLC	6/15/2018	125,594.70	115,209.60	1.66%
ELI LILLY AND CO	3/1/2018	399,648.00	399,532.00	1.38%
EMERSON ELECTRIC CO	4/15/2019	88,555.20	85,035.20	1.84%
EMERSON ELECTRIC CO	10/15/2019	224,096.00	215,260.00	1.79%
ENTERGY LOUISIANA LLC	9/1/2018	282,555.00	265,145.00	2.13%
ESTEE LAUDER COMPANIES INC	2/7/2020	499,930.00	500,455.00	1.77%

**Orange County Transportation Authority  
Portfolio Listing  
As of March 31, 2017**

ESTEE LAUDER COMPANIES INC	2/7/2020	1,194,832.70	1,196,087.45	1.77%
EXXON MOBIL CORP	3/1/2018	360,000.00	360,331.20	1.34%
EXXON MOBIL CORP	3/1/2018	1,275,000.00	1,276,173.00	1.34%
EXXON MOBIL CORP	3/6/2018	2,065,000.00	2,063,348.00	1.39%
EXXON MOBIL CORP	3/6/2018	1,360,000.00	1,358,912.00	1.39%
EXXON MOBIL CORP	3/1/2019	340,000.00	340,584.80	1.62%
EXXON MOBIL CORP	3/1/2019	690,000.00	691,186.80	1.62%
EXXON MOBIL CORP	3/15/2019	333,283.50	331,254.00	1.61%
FEDERAL REALTY INVESTMENT TRUST	1/15/2021	99,583.00	99,929.00	2.57%
FIFTH THIRD BANK	8/20/2018	899,847.00	905,265.00	1.69%
FIFTH THIRD BANK	4/25/2019	401,592.00	402,924.00	2.00%
FIFTH THIRD BANK (OHIO)	3/15/2019	389,910.30	392,636.40	1.93%
FIFTH THIRD BANK (OHIO)	9/27/2019	643,929.30	637,111.65	2.13%
FIFTH THIRD BANK (OHIO)	9/27/2019	2,760,410.10	2,731,184.05	2.13%
FLORIDA POWER & LIGHT CO	11/11/2017	229,360.40	194,322.50	1.61%
FLORIDA POWER & LIGHT CO	11/11/2017	251,570.40	245,460.00	1.61%
GENERAL DYNAMICS CORP	11/15/2017	112,245.75	114,793.00	1.29%
GENERAL DYNAMICS CORP	11/15/2017	59,721.00	59,892.00	1.29%
GENERAL DYNAMICS CORP	11/15/2017	79,261.60	79,856.00	1.29%
GENERAL DYNAMICS CORP	11/15/2017	148,566.00	149,730.00	1.29%
GENERAL ELECTRIC CAPITAL CORP	5/15/2017	929,860.50	930,000.00	1.24%
GENERAL ELECTRIC CAPITAL CORP	5/15/2017	439,934.00	440,000.00	1.24%
GENERAL ELECTRIC CO	9/15/2017	35,978.25	33,641.52	1.33%
GENERAL ELECTRIC CO	9/15/2017	577,628.16	521,953.28	1.33%
GENERAL ELECTRIC CO	8/7/2019	696,225.60	692,010.90	1.71%
GENERAL ELECTRIC CO	1/7/2021	191,399.60	184,424.50	2.26%
GENERAL ELECTRIC COMPANY	12/6/2017	427,260.00	410,132.00	1.49%
GEORGIA POWER CO	6/1/2017	113,686.00	100,650.00	1.76%
GEORGIA POWER CO	6/1/2017	60,218.50	50,325.00	1.76%
GILEAD SCIENCES INC	9/4/2018	60,303.60	60,184.80	1.63%
GILEAD SCIENCES INC	9/4/2018	1,159,872.40	1,163,572.80	1.63%
GILEAD SCIENCES INC	9/1/2020	159,712.00	161,723.20	2.22%
GLAXOSMITHKLINE CAPITAL INC	5/15/2018	130,635.40	120,313.00	1.48%
GOLDMAN SACHS & CO	6/15/2020	340,500.00	332,082.00	2.51%
GOLDMAN SACHS GROUP INC	1/18/2018	91,544.00	82,613.60	1.80%
GOLDMAN SACHS GROUP INC	1/18/2018	136,581.60	123,920.40	1.80%
GOLDMAN SACHS GROUP INC	1/22/2018	714,961.28	707,857.92	1.69%
GOLDMAN SACHS GROUP INC	1/31/2019	1,531,635.00	1,516,920.00	1.99%
GOLDMAN SACHS GROUP INC	2/15/2019	127,453.20	115,233.30	2.16%
GOLDMAN SACHS GROUP INC	2/15/2019	179,527.50	164,619.00	2.16%
GOLDMAN SACHS GROUP INC	2/15/2019	153,973.30	142,669.80	2.16%
GOLDMAN SACHS GROUP INC	12/13/2019	2,947,787.50	2,951,799.50	2.28%
GOLDMAN SACHS GROUP INC	3/15/2020	238,252.62	231,993.12	2.41%
GOLDMAN SACHS GROUP INC	3/15/2020	325,245.00	325,224.00	2.41%
GOLDMAN SACHS GROUP INC	3/15/2020	223,358.00	216,816.00	2.41%
GOLDMAN SACHS GROUP INC	3/15/2020	244,803.91	239,581.68	2.41%
GOLDMAN SACHS GROUP INC	3/15/2020	167,311.50	162,612.00	2.41%
GOLDMAN SACHS GROUP INC	9/15/2020	57,194.37	57,471.96	2.49%
GOLDMAN SACHS GROUP INC	12/27/2020	1,129,220.30	1,130,180.80	2.59%
GOLDMAN SACHS GROUP INC	2/25/2021	133,396.90	130,842.40	2.70%
GOLDMAN SACHS GROUP INC	4/25/2021	200,522.00	199,452.00	2.70%
GUARDIAN LIFE GLOBAL FUNDING	10/27/2021	160,658.85	160,338.75	2.61%
HERSHEY CO	8/21/2018	2,689,300.60	2,699,361.20	1.35%
HOME DEPOT INC	6/15/2019	221,093.40	221,707.20	1.63%
HOME DEPOT INC	6/15/2019	128,987.30	131,008.80	1.63%
HOME DEPOT INC	6/15/2019	100,283.00	100,776.00	1.63%
HONEYWELL INTERNATIONAL INC	10/30/2019	339,731.40	337,419.40	1.70%
HONEYWELL INTERNATIONAL INC	10/30/2019	1,074,150.75	1,066,840.75	1.70%
HONEYWELL INTERNATIONAL INC	3/1/2021	164,493.00	161,400.00	2.21%
HSBC USA INC	3/5/2018	499,535.00	500,250.00	1.65%
HSBC USA INC (NEW)	1/16/2018	300,531.00	299,811.00	1.70%

**Orange County Transportation Authority  
Portfolio Listing  
As of March 31, 2017**

HSBC USA INC (NEW)	1/16/2018	228,817.80	229,855.10	1.70%
HSBC USA INC (NEW)	6/23/2019	201,642.00	200,860.00	2.05%
ILLINOIS TOOL WORKS INC	3/1/2019	59,965.20	60,420.60	1.58%
ILLINOIS TOOL WORKS INC	3/1/2019	84,775.60	85,595.85	1.58%
INTEL CORP	7/29/2020	322,870.40	325,145.60	1.95%
INTEL CORP	5/19/2021	1,327,659.20	1,302,043.40	2.23%
INTEL CORP	10/1/2021	303,710.25	296,294.55	2.37%
INTERNATIONAL BUSINESS MACHINES CORP	5/17/2019	202,942.00	200,880.00	1.59%
INTERNATIONAL BUSINESS MACHINES CORP	1/27/2020	1,153,891.20	1,158,857.70	1.78%
JACKSON NATIONAL LIFE GLOBAL FUNDING	6/1/2018	143,212.05	139,430.70	1.84%
JACKSON NATIONAL LIFE GLOBAL FUNDING	10/15/2018	71,962.56	72,139.68	1.75%
JACKSON NATIONAL LIFE GLOBAL FUNDING	10/15/2018	151,656.00	150,291.00	1.75%
JACKSON NATIONAL LIFE GLOBAL FUNDING	10/15/2018	399,544.00	400,776.00	1.75%
JACKSON NATIONAL LIFE GLOBAL FUNDING	4/16/2019	150,181.50	150,763.50	2.04%
JACKSON NATIONAL LIFE GLOBAL FUNDING	1/30/2020	159,824.00	159,785.60	2.25%
JACKSON NATIONAL LIFE GLOBAL FUNDING	12/9/2020	153,591.00	150,522.00	2.50%
JDOT 15 A4	12/15/2021	1,001,406.25	1,001,070.00	1.55%
JOHN DEERE CAPITAL CORP	12/15/2017	56,986.32	57,056.43	1.41%
JOHN DEERE CAPITAL CORP	12/15/2017	110,532.40	110,108.90	1.41%
JOHN DEERE CAPITAL CORP	1/16/2018	999,500.00	1,000,660.00	1.27%
JOHN DEERE CAPITAL CORP	7/13/2018	36,985.94	37,043.29	1.51%
JOHN DEERE CAPITAL CORP	7/13/2018	329,874.60	330,386.10	1.51%
JOHN DEERE CAPITAL CORP	8/10/2018	129,872.60	130,345.80	1.55%
JOHN DEERE CAPITAL CORP	1/8/2019	999,940.00	1,005,520.00	1.63%
JOHN DEERE CAPITAL CORP	10/9/2019	1,347,273.00	1,329,844.50	1.86%
JOHN DEERE CAPITAL CORP	3/10/2020	152,674.50	150,090.00	2.03%
JOHN DEERE CAPITAL CORP	3/13/2020	339,734.80	340,975.80	2.10%
JOHN DEERE CAPITAL CORP	3/13/2020	899,298.00	902,583.00	2.10%
JOHN DEERE CAPITAL CORP	1/8/2021	2,197,734.00	2,216,588.00	2.34%
JOHNSON & JOHNSON	12/5/2018	181,539.00	180,914.40	1.34%
JOHNSON & JOHNSON	3/1/2019	180,978.28	180,189.12	1.36%
JOHNSON & JOHNSON	3/3/2022	209,428.80	210,273.00	2.22%
JPMORGAN CHASE & CO	3/22/2019	1,499,040.00	1,500,405.00	1.84%
JPMORGAN CHASE & CO	4/23/2019	213,573.30	206,389.40	2.01%
JPMORGAN CHASE & CO	4/23/2019	149,613.03	144,472.58	2.01%
JPMORGAN CHASE & CO	4/23/2019	30,377.16	29,329.02	2.01%
JPMORGAN CHASE & CO	3/25/2020	854,191.80	831,453.70	2.17%
JPMORGAN CHASE BANK NA	9/21/2018	894,579.35	893,881.25	1.54%
KANSAS CITY POWER & LIGHT CO	4/1/2019	149,085.30	143,018.20	2.02%
KANSAS CITY POWER & LIGHT CO	4/1/2019	110,838.40	104,513.30	2.02%
KENTUCKY UTILITIES CO	11/1/2020	135,487.30	134,058.60	2.27%
KEYBANK NA	12/15/2019	616,470.00	606,774.00	2.07%
KIMBERLY-CLARK CORP	8/1/2017	109,043.10	91,342.80	1.61%
KIMBERLY-CLARK CORP	2/15/2019	199,988.00	199,322.00	1.58%
LOWES CO INC	4/15/2020	231,233.10	224,057.40	1.91%
LOWE'S COMPANIES INC	4/15/2019	679,265.60	672,091.60	1.73%
LOWE'S COMPANIES INC	4/15/2019	1,198,704.00	1,186,044.00	1.73%
MANUFACTURERS AND TRADERS TRUST CO	7/25/2017	2,499,050.00	2,498,425.00	1.60%
MANUFACTURERS AND TRADERS TRUST CO	3/7/2018	250,897.50	249,640.00	1.61%
MANUFACTURERS AND TRADERS TRUST CO	1/30/2019	254,050.00	252,135.00	1.80%
MANUFACTURERS AND TRADERS TRUST CO	7/25/2019	999,860.00	1,007,180.00	1.92%
MARSH & MCLENNAN COMPANIES INC	9/10/2019	150,562.50	151,056.00	2.04%
MASSMUTUAL GLOBAL FUNDING II	4/9/2019	252,877.50	252,510.00	1.84%
MCDONALDS CORPORATION	10/15/2017	62,875.45	56,258.95	1.52%
MCDONALDS CORPORATION	10/15/2017	58,561.50	51,144.50	1.52%
MCDONALDS CORPORATION	10/15/2017	41,471.85	35,801.15	1.52%
MEDTRONIC INC	4/1/2018	120,416.40	119,802.00	1.54%
MEDTRONIC INC	3/15/2020	103,828.00	101,441.00	2.00%
MEDTRONIC INC	3/15/2020	202,964.00	202,882.00	2.00%
METROPOLITAN LIFE GLOBAL FUNDING I	4/10/2017	728,992.60	730,014.60	1.21%
METROPOLITAN LIFE GLOBAL FUNDING I	1/10/2018	246,922.50	249,562.50	1.73%

**Orange County Transportation Authority  
Portfolio Listing  
As of March 31, 2017**

METROPOLITAN LIFE GLOBAL FUNDING I	4/10/2019	305,529.00	301,755.00	2.00%
METROPOLITAN LIFE GLOBAL FUNDING I	4/10/2019	307,266.00	301,755.00	2.00%
METROPOLITAN LIFE GLOBAL FUNDING I	4/10/2019	204,266.00	201,170.00	2.00%
MICROSOFT CORP	11/3/2018	169,830.00	169,962.60	1.31%
MICROSOFT CORP	11/3/2018	1,438,560.00	1,439,683.20	1.31%
MICROSOFT CORP	11/3/2018	1,728,270.00	1,729,619.40	1.31%
MICROSOFT CORP	6/1/2019	250,401.00	243,314.70	1.47%
MICROSOFT CORP	8/8/2019	2,082,852.45	2,062,231.80	1.57%
MICROSOFT CORP	2/6/2020	1,124,246.25	1,128,487.50	1.74%
MICROSOFT CORP	2/6/2020	1,998,660.00	2,006,200.00	1.74%
MICROSOFT CORP	8/8/2021	496,320.00	487,215.00	2.17%
MORGAN STANLEY	12/28/2017	174,928.50	154,674.00	1.70%
MORGAN STANLEY	1/5/2018	100,554.00	100,176.00	1.64%
MORGAN STANLEY	1/24/2019	2,291,400.00	2,272,207.50	1.94%
MORGAN STANLEY	5/13/2019	475,808.00	442,168.00	2.18%
MORGAN STANLEY	9/23/2019	227,906.00	215,958.00	2.29%
MORGAN STANLEY	6/16/2020	1,206,948.00	1,214,556.00	2.40%
MORGAN STANLEY	11/17/2021	321,688.25	322,858.25	2.78%
MUFG UNION BANK NA	5/6/2019	301,041.00	301,224.00	2.04%
NATIONAL RURAL UTILITIES COOP FINANCE CORP	4/10/2017	101,504.45	85,047.60	3.13%
NATIONAL RURAL UTILITIES COOP FINANCE CORP	4/10/2017	56,796.50	50,028.00	3.13%
NATIONAL RURAL UTILITIES COOP FINANCE CORP	4/10/2017	72,342.40	65,036.40	3.13%
NATIONAL RURAL UTILITIES COOP FINANCE CORP	2/1/2018	85,738.40	82,572.80	1.55%
NATIONAL RURAL UTILITIES COOP FINANCE CORP	11/1/2019	322,019.75	322,140.00	1.85%
NATIONAL RURAL UTILITIES COOP FINANCE CORP	11/15/2019	86,163.65	85,799.85	1.92%
NATIONAL SEMICONDUCTOR CORP	6/15/2017	99,349.60	80,851.20	1.38%
NEVADA POWER CO	8/1/2018	190,207.50	186,051.25	1.69%
NEVADA POWER CO	3/15/2019	176,717.52	162,045.45	1.78%
NEW YORK LIFE GLOBAL FUNDING	11/2/2018	154,440.45	154,738.05	1.66%
NEW YORK LIFE GLOBAL FUNDING	11/2/2018	548,421.50	549,070.50	1.66%
NEW YORK LIFE GLOBAL FUNDING	6/18/2019	130,079.30	130,638.30	1.92%
NEW YORK LIFE GLOBAL FUNDING	10/24/2019	498,055.00	493,865.00	1.99%
NEW YORK LIFE GLOBAL FUNDING	4/13/2021	679,000.40	669,310.40	2.41%
NEW YORK UNIVERSITY	7/1/2018	640,000.00	637,132.80	1.68%
NIAGARA MOHAWK POWER CORP	8/15/2019	187,846.60	181,367.90	1.98%
NIAGARA MOHAWK POWER CORP	8/15/2019	147,260.70	144,027.45	1.98%
NISSAN MOTOR ACCEPTANCE CORP	3/4/2019	312,266.10	312,036.70	2.00%
NORTHERN STATES POWER CO	8/15/2020	111,634.60	110,346.50	2.10%
NORTHERN STATES POWER CO (MINNESOTA)	3/1/2018	136,449.60	124,012.80	1.56%
NORTHERN TRUST COMPANY	8/15/2018	278,245.00	266,310.00	1.67%
NORTHERN TRUST CORP	11/4/2020	214,712.00	208,210.00	2.25%
NOVARTIS CAPITAL CORP	2/14/2020	498,045.00	500,490.00	1.76%
NSTAR ELECTRIC CO	11/15/2017	112,617.00	102,564.00	1.47%
NSTAR ELECTRIC CO	11/15/2017	115,107.00	102,564.00	1.47%
OCCIDENTAL PETROLEUM CORP	2/15/2018	64,899.90	64,980.50	1.53%
ORACLE CORP	10/15/2017	996,840.00	999,740.00	1.25%
ORACLE CORP	4/15/2018	116,766.00	104,396.00	1.47%
ORACLE CORP	1/15/2019	152,989.50	152,064.00	1.59%
ORACLE CORP	7/8/2019	141,520.00	134,036.25	1.74%
ORACLE CORP	7/8/2019	86,448.00	85,783.20	1.74%
ORACLE CORP	10/8/2019	161,422.40	161,958.40	1.75%
ORACLE CORP	9/15/2021	654,443.13	641,650.86	2.31%
PACCAR FINANCIAL CORP	11/17/2017	79,964.80	80,016.00	1.37%
PACCAR FINANCIAL CORP	3/9/2018	177,860.22	177,107.97	1.38%
PACCAR FINANCIAL CORP	5/18/2018	78,895.72	78,940.75	1.47%
PACCAR FINANCIAL CORP	2/25/2019	109,846.00	109,865.80	1.72%
PACCAR FINANCIAL CORP	2/25/2019	938,684.00	938,853.20	1.72%
PACCAR FINANCIAL CORP	5/10/2019	71,957.52	71,395.92	1.71%
PACCAR FINANCIAL CORP	5/10/2019	799,528.00	793,288.00	1.71%
PACCAR FINANCIAL CORP	5/10/2019	634,625.35	629,672.35	1.71%
PACCAR FINANCIAL CORP	2/27/2020	499,100.00	500,670.00	1.90%

**Orange County Transportation Authority  
Portfolio Listing  
As of March 31, 2017**

PACCAR FINANCIAL CORP	2/27/2020	1,387,498.00	1,391,862.60	1.90%
PACCAR INC	8/14/2018	50,102.50	50,129.00	1.56%
PACCAR INC	8/14/2018	152,082.00	150,387.00	1.56%
PACCAR INC	8/14/2018	799,392.00	802,064.00	1.56%
PACIFIC GAS AND ELECTRIC CO	11/30/2017	103,338.00	92,403.00	1.58%
PACIFICORP	7/15/2018	136,090.80	126,070.80	1.66%
PEPSICO INC	7/17/2017	1,399,552.00	1,399,328.00	1.29%
PEPSICO INC	8/13/2017	496,215.00	500,045.00	1.22%
PEPSICO INC	4/30/2018	249,970.00	249,862.50	1.30%
PEPSICO INC	4/30/2018	2,099,748.00	2,098,845.00	1.30%
PEPSICO INC	1/7/2019	237,400.02	236,723.76	1.55%
PEPSICO INC	2/22/2019	87,974.48	88,008.80	1.49%
PEPSICO INC	2/22/2019	1,999,420.00	2,000,200.00	1.49%
PEPSICO INC	10/4/2019	329,950.50	327,518.40	1.66%
PEPSICO INC	10/14/2020	102,872.00	100,571.00	1.98%
PFIZER INC	6/1/2018	3,497,445.00	3,495,590.00	1.31%
PFIZER INC	6/3/2019	1,518,267.20	1,512,704.00	1.68%
PFIZER INC	11/15/2019	499,640.00	499,570.00	1.73%
PHILIP MORRIS INTERNATIONAL INC	11/9/2017	1,610,510.30	1,614,079.45	1.34%
PHILIP MORRIS INTERNATIONAL INC	1/15/2019	1,524,585.00	1,502,985.00	1.76%
PHILIP MORRIS INTERNATIONAL INC	2/21/2019	1,112,167.90	1,111,041.75	1.82%
PHILIP MORRIS INTERNATIONAL INC	2/21/2020	586,389.20	588,530.90	2.09%
PHILIP MORRIS INTERNATIONAL INC	2/21/2020	3,309,620.40	3,321,708.30	2.09%
PNC BANK NA	10/18/2017	1,999,620.00	2,000,720.00	1.42%
PNC BANK NA	7/20/2018	1,649,802.00	1,653,613.50	1.67%
PNC BANK NA	11/5/2018	704,914.00	700,714.00	1.73%
PNC BANK NA	12/7/2018	1,498,770.00	1,499,700.00	1.71%
PNC BANK NA	7/29/2019	1,338,124.00	1,324,549.80	1.96%
PNC BANK, N.A.	9/21/2017	346,098.55	340,199.20	1.56%
PNC BANK, N.A.	9/21/2017	673,238.70	619,467.20	1.56%
PNC FUNDING CORP	6/10/2019	135,483.80	126,521.85	2.00%
PNC FUNDING CORP	2/8/2020	445,592.00	432,260.00	2.19%
PNC FUNDING CORP	8/11/2020	126,810.50	122,542.85	2.33%
PPG INDUSTRIES INC	11/15/2020	292,647.60	293,118.00	2.25%
PRAXAIR INC	11/7/2017	39,737.20	39,937.60	1.31%
PRAXAIR INC	11/7/2017	109,486.30	109,828.40	1.31%
PRAXAIR INC	11/7/2017	140,847.00	139,781.60	1.31%
PRAXAIR INC	11/7/2018	89,084.70	89,640.00	1.50%
PRAXAIR INC	11/7/2018	58,611.60	59,760.00	1.50%
PRAXAIR INC	11/7/2018	97,590.00	99,600.00	1.50%
PRAXAIR INC	8/15/2019	55,353.50	53,028.00	1.88%
PRAXAIR INC	8/15/2019	164,019.00	159,084.00	1.88%
PRICOA GLOBAL FUNDING I	8/18/2017	300,324.00	299,565.00	1.73%
PRICOA GLOBAL FUNDING I	11/24/2020	531,398.40	522,251.60	2.42%
PRICOA GLOBAL FUNDING I	11/24/2020	154,051.50	150,649.50	2.42%
PRINCIPAL LIFE GLOBAL FUNDING II	5/19/2017	199,036.00	199,960.00	1.34%
PRINCIPAL LIFE GLOBAL FUNDING II	9/11/2017	79,962.40	79,992.00	1.52%
PRINCIPAL LIFE GLOBAL FUNDING II	10/15/2018	111,270.50	110,774.40	1.78%
PRINCIPAL LIFE GLOBAL FUNDING II	4/18/2019	33,893.92	33,712.36	1.92%
PROCTER & GAMBLE CO	11/15/2018	370,799.20	371,998.00	1.26%
PROCTER & GAMBLE CO	11/1/2019	798,784.00	806,688.00	1.57%
PROTECTIVE LIFE GLOBAL FUNDING	9/13/2019	298,000.00	293,237.96	2.23%
PUBLIC SERVICE CO OF COLORADO	6/1/2019	111,292.00	106,705.00	1.95%
PUBLIC SERVICE CO OF COLORADO	11/15/2020	212,790.00	206,706.00	2.08%
PUBLIC SERVICE COMPANY OF COLORADO	8/1/2018	57,056.00	52,623.50	1.80%
PUBLIC SERVICE ELECTRIC AND GAS CO	6/1/2019	175,586.25	174,959.75	1.81%
PUBLIC SERVICE ELECTRIC AND GAS CO	8/15/2019	114,530.80	114,949.40	2.02%
PUBLIC SERVICE ELECTRIC AND GAS CO	8/15/2019	35,218.40	34,984.60	2.02%
PUBLIC SERVICE ELECTRIC AND GAS CO	8/15/2019	151,134.00	149,934.00	2.02%
PUBLIC SERVICE ELECTRIC AND GAS CO	8/15/2019	86,203.60	84,962.60	2.02%
QUALCOMM INC	5/18/2018	913,773.90	915,146.40	1.39%

**Orange County Transportation Authority  
Portfolio Listing  
As of March 31, 2017**

QUALCOMM INC	5/18/2018	496,245.00	500,080.00	1.39%
QUALCOMM INC	5/20/2020	743,220.00	751,665.00	2.18%
RAYTHEON CO	2/15/2020	132,494.40	128,352.00	1.90%
RAYTHEON CO	10/15/2020	170,092.80	165,344.00	2.14%
RELIANCE STANDARD LIFE GLOBAL FUNDING II	1/15/2020	199,734.00	199,890.00	2.52%
ROCHE HOLDINGS INC	9/29/2017	201,140.00	200,140.00	1.21%
SAN DIEGO GAS & ELECTRIC CO	8/15/2021	102,559.00	102,346.00	2.43%
SCHLUMBERGER HOLDINGS CORP	12/21/2020	335,049.00	337,434.90	2.35%
SCHLUMBERGER HOLDINGS CORP	12/21/2020	313,080.00	306,759.00	2.35%
SIMON PROPERTY GROUP LP	9/15/2017	41,560.00	40,067.60	1.32%
SIMON PROPERTY GROUP LP	9/15/2017	77,601.00	75,126.75	1.32%
SIMON PROPERTY GROUP LP	2/1/2018	50,208.00	49,959.50	1.60%
SIMON PROPERTY GROUP LP	2/1/2018	160,246.40	159,870.40	1.60%
SIMON PROPERTY GROUP LP	2/1/2018	85,119.00	84,931.15	1.60%
SIMON PROPERTY GROUP LP	2/1/2018	78,793.60	79,935.20	1.60%
SOUTHERN CALIFORNIA EDISON CO	5/1/2017	57,981.44	57,994.78	1.23%
SOUTHERN CALIFORNIA EDISON CO	5/1/2017	62,086.80	61,994.42	1.23%
SOUTHERN CALIFORNIA EDISON CO	5/1/2017	899,712.00	899,919.00	1.23%
SOUTHERN CALIFORNIA EDISON CO	5/1/2017	249,920.00	249,977.50	1.23%
SOUTHERN CALIFORNIA EDISON CO	8/15/2018	114,483.00	105,132.00	1.70%
SOUTHERN CALIFORNIA EDISON CO	8/15/2018	50,859.90	47,309.40	1.70%
SOUTHERN CALIFORNIA EDISON CO	6/1/2021	154,280.00	147,994.00	2.34%
SOUTHERN CALIFORNIA GAS CO	6/15/2018	49,845.50	50,000.50	1.55%
SOUTHERN CALIFORNIA GAS CO	6/15/2018	249,992.50	250,002.50	1.55%
STATE STREET CORP	4/30/2017	94,543.20	80,223.20	1.98%
STATE STREET CORP	5/15/2018	139,818.00	139,697.60	1.54%
STATE STREET CORP	5/15/2018	98,574.00	99,784.00	1.54%
STATE STREET CORP	8/18/2020	201,626.00	202,686.00	2.14%
STATE STREET CORP	5/19/2021	302,436.00	294,747.00	2.40%
SUNTRUST BANK	1/31/2020	1,104,580.10	1,108,591.25	2.13%
TARGET CORP	6/26/2019	251,967.50	253,187.50	1.72%
TD AMERITRADE HOLDING CORP	12/1/2019	243,194.60	239,808.80	2.11%
TEXAS INSTRUMENTS INC	5/1/2018	414,933.60	413,281.90	1.39%
TORONTO-DOMINION BANK	3/13/2018	1,359,959.20	1,361,659.20	1.49%
TOYOTA MOTOR CREDIT CORP	5/22/2017	203,278.00	200,166.00	1.16%
TOYOTA MOTOR CREDIT CORP	1/12/2018	100,194.00	99,984.00	1.47%
TOYOTA MOTOR CREDIT CORP	1/12/2018	539,260.20	539,913.60	1.47%
TOYOTA MOTOR CREDIT CORP	10/24/2018	141,297.80	140,691.60	1.68%
TOYOTA MOTOR CREDIT CORP	1/9/2019	2,998,950.00	3,005,610.00	1.59%
TOYOTA MOTOR CREDIT CORP	1/17/2019	100,792.00	100,852.00	1.62%
TOYOTA MOTOR CREDIT CORP	1/17/2019	125,822.80	125,056.48	1.62%
TOYOTA MOTOR CREDIT CORP	1/17/2019	60,504.60	60,511.20	1.62%
TOYOTA MOTOR CREDIT CORP	1/17/2019	322,502.40	322,726.40	1.62%
TOYOTA MOTOR CREDIT CORP	7/18/2019	81,196.80	80,635.20	1.77%
TOYOTA MOTOR CREDIT CORPORATION	1/10/2018	75,335.25	74,986.50	1.40%
TRAVELERS CO INC	12/15/2017	119,868.00	102,982.00	1.48%
TRAVELERS CO INC	11/1/2020	81,245.25	79,415.25	2.18%
TRAVELERS CO INC	11/1/2020	98,562.60	95,298.30	2.18%
U.S. BANCORP	5/15/2017	255,618.40	251,022.59	1.41%
U.S. BANCORP	5/15/2017	538,733.60	529,047.61	1.41%
U.S. BANCORP	4/25/2019	661,498.50	655,193.50	1.79%
U.S. BANK N. A. (CINCINNATI BRANCH)	1/24/2020	399,156.00	401,488.00	1.86%
U.S. BANK N. A. (CINCINNATI BRANCH)	1/24/2020	1,217,425.80	1,224,538.40	1.86%
U.S. BANK N. A. (CINCINNATI BRANCH)	1/24/2020	1,267,320.30	1,274,724.40	1.86%
UBS AG (STAMFORD BRANCH)	8/14/2017	1,395,492.00	1,400,378.00	1.30%
UBS AG (STAMFORD BRANCH)	3/26/2018	639,161.60	640,454.40	1.73%
UNITED PARCEL SERVICE INC	10/1/2017	85,812.52	85,886.48	1.39%
UNITED PARCEL SERVICE INC	10/1/2017	33,922.14	33,955.12	1.39%
UNITED PARCEL SERVICE INC	10/1/2017	100,119.00	99,868.00	1.39%
UNITED TECHNOLOGIES CORP	6/1/2017	41,239.20	40,039.20	1.20%
UNITED TECHNOLOGIES CORP	11/1/2019	609,377.80	605,784.90	1.77%

**Orange County Transportation Authority  
Portfolio Listing  
As of March 31, 2017**

UNITED TECHNOLOGIES CORP	11/1/2019	4,994,900.00	4,965,450.00	1.77%
UNITEDHEALTH GROUP INC	7/17/2017	379,927.80	380,258.40	1.21%
UNITEDHEALTH GROUP INC	12/15/2017	639,116.80	640,006.40	1.40%
UNITEDHEALTH GROUP INC	2/15/2018	75,608.65	67,505.10	1.53%
UNITEDHEALTH GROUP INC	7/16/2018	439,441.20	441,918.40	1.56%
UNITEDHEALTH GROUP INC	3/15/2019	335,527.31	335,948.56	1.79%
UNITEDHEALTH GROUP INC	3/15/2019	216,119.20	219,313.60	1.79%
US BANK NA	9/11/2017	1,319,260.80	1,320,580.80	1.25%
US BANK NA	9/11/2017	799,552.00	800,352.00	1.25%
US BANK NA	1/26/2018	599,088.00	599,268.00	1.50%
US BANK NA	1/29/2018	949,183.00	949,743.50	1.48%
US BANK NA	1/29/2018	2,997,420.00	2,999,190.00	1.48%
USAA CAPITAL CORP	8/1/2020	1,005,080.00	1,006,230.00	2.25%
VF CORP	11/1/2017	182,224.35	169,243.80	1.50%
VIRGINIA ELECTRIC AND POWER CO	4/30/2018	121,760.10	109,078.20	1.76%
VIRGINIA ELECTRIC AND POWER CO	6/30/2019	110,509.00	106,773.00	1.91%
VIRGINIA ELECTRIC AND POWER CO	6/30/2019	56,267.00	53,386.50	1.91%
VIRGINIA ELECTRIC AND POWER CO	6/30/2019	78,746.50	74,741.10	1.91%
VISA INC	12/14/2017	1,039,448.80	1,039,022.40	1.33%
VISA INC	12/14/2020	2,497,875.00	2,507,325.00	2.12%
WAL MART STORES INC	4/5/2017	381,519.60	330,000.00	5.24%
WAL MART STORES INC	4/21/2017	249,962.50	249,960.00	1.28%
WAL MART STORES INC	2/1/2019	161,755.50	157,072.50	1.51%
WALT DISNEY CO	5/30/2017	74,865.00	74,981.25	1.02%
WALT DISNEY CO	9/17/2018	73,937.10	74,154.66	1.35%
WALT DISNEY CO	9/17/2018	2,143,176.75	2,149,483.05	1.35%
WALT DISNEY CO	1/8/2019	82,888.78	83,164.34	1.54%
WALT DISNEY CO	7/12/2019	149,496.00	147,382.50	1.66%
WALT DISNEY CO	7/12/2019	657,782.40	648,483.00	1.66%
WALT DISNEY CO	3/4/2020	1,034,730.90	1,037,318.40	1.87%
WELLS FARGO & CO	5/8/2017	1,776,420.80	1,761,267.20	1.39%
WELLS FARGO & CO	5/8/2017	719,936.00	700,504.00	1.39%
WELLS FARGO & CO	4/22/2019	125,080.00	125,476.25	1.94%
WELLS FARGO & CO	4/22/2019	1,527,435.00	1,505,715.00	1.94%
WELLS FARGO & CO	1/30/2020	250,367.50	250,527.50	2.07%
WELLS FARGO & CO	1/30/2020	75,618.00	75,158.25	2.07%
WELLS FARGO & CO	1/30/2020	24,942.75	25,052.75	2.07%
WELLS FARGO & CO	1/30/2020	47,905.92	48,101.28	2.07%
WELLS FARGO & CO	1/30/2020	26,938.17	27,056.97	2.07%
WELLS FARGO & CO	1/30/2020	1,607,810.40	1,613,397.10	2.07%
WELLS FARGO & CO	7/22/2020	153,472.50	151,483.50	2.29%
WELLS FARGO & CO	7/22/2020	178,883.25	176,730.75	2.29%
WELLS FARGO & CO	12/7/2020	300,216.00	301,521.00	2.40%
WELLS FARGO & CO	12/7/2020	256,707.50	251,267.50	2.40%
WELLS FARGO & CO	4/1/2021	312,177.60	301,019.60	2.61%
WELLS FARGO BANK NA	1/22/2018	1,149,666.50	1,149,356.00	1.72%
WELLS FARGO BANK NA	1/22/2018	2,999,130.00	2,998,320.00	1.72%
WELLS FARGO BANK NA	2/1/2018	38,486.35	36,100.05	1.93%
WISCONSIN ELECTRIC POWER CO	6/15/2018	181,333.80	180,194.40	1.60%
WISCONSIN ELECTRIC POWER CO	6/15/2018	105,225.75	105,113.40	1.60%
WISCONSIN POWER AND LIGHT CO	7/15/2019	190,661.80	181,114.60	2.06%
WISCONSIN PUBLIC SERVICE CORP	12/4/2018	266,730.45	264,048.65	1.87%
WISCONSIN PUBLIC SERVICE CORP	12/4/2018	989,079.30	986,445.90	1.87%
WYETH	4/1/2017	113,403.00	100,000.00	0.00%
XTO ENERGY INC	12/15/2018	121,526.00	107,831.00	1.81%
<b>SUB-TOTAL</b>		<b>282,610,695.04</b>	<b>280,886,362.86</b>	

**VARIABLE RATE NOTES**

BANK OF NEW YORK MELLON CORP	8/17/2020	600,000.00	610,806.00	1.47%
EXXON MOBIL CORP	2/28/2018	1,654,773.45	1,659,801.00	1.11%
GOLDMAN SACHS GROUP INC	4/30/2018	254,759.00	252,212.50	1.54%

**Orange County Transportation Authority  
Portfolio Listing  
As of March 31, 2017**

GOLDMAN SACHS GROUP INC	4/30/2018	1,090,000.00	1,099,646.50	1.54%
HSBC USA INC (NEW)	9/24/2018	820,000.00	824,731.40	1.65%
HSBC USA INC (NEW)	11/13/2019	1,360,000.00	1,364,977.60	1.62%
INTERNATIONAL BUSINESS MACHINES CORP	8/18/2017	900,567.00	901,620.00	1.15%
INTERNATIONAL BUSINESS MACHINES CORP	8/18/2017	2,100,000.00	2,103,780.00	1.15%
INTERNATIONAL BUSINESS MACHINES CORP	2/12/2019	170,000.00	170,882.30	1.25%
JPMORGAN CHASE & CO	1/25/2018	1,500,000.00	1,509,015.00	1.33%
LOWE'S COMPANIES INC	9/14/2018	280,000.00	282,237.20	1.21%
MERCK & CO INC	2/10/2020	1,380,000.00	1,392,171.60	1.22%
MORGAN STANLEY	1/27/2020	1,330,000.00	1,352,969.10	1.68%
NATIONAL CITY BANK	6/7/2017	497,720.00	500,010.00	1.46%
PACCAR FINANCIAL CORP	12/6/2018	230,000.00	231,812.40	1.29%
TORONTO-DOMINION BANK	11/5/2019	1,360,000.00	1,366,963.20	1.52%
TOYOTA MOTOR CREDIT CORP	7/13/2018	548,526.00	551,908.50	1.35%
TOYOTA MOTOR CREDIT CORP	7/13/2018	107,692.52	108,374.76	1.35%
TOYOTA MOTOR CREDIT CORP	7/13/2018	2,290,000.00	2,297,946.30	1.35%
UBS AG (STAMFORD BRANCH)	6/1/2020	590,000.00	592,059.10	1.89%
WELLS FARGO & CO	2/11/2022	875,000.00	880,057.50	1.93%
WESTPAC BANKING CORP	7/30/2018	830,000.00	835,785.10	1.37%
<i>SUB-TOTAL</i>		20,769,037.97	20,889,767.06	

STATE OF CALIFORNIA AND LOCAL AGENCIES

CALIFORNIA ST PUB WKS BRD LEASE REV	4/1/2018	536,026.40	530,623.60	0.94%
CALIFORNIA ST PUB WKS BRD LEASE REV	6/1/2018	996,759.00	983,098.00	0.99%
LOS ANGELES CALIF DEPT ARPTS ARPT REV	5/15/2019	600,000.00	598,902.00	1.84%
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	3/1/2018	1,266,732.00	1,244,268.00	0.95%
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2018	1,055,000.00	1,069,559.00	1.46%
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2019	288,730.40	285,188.40	2.11%
LA CNTY CALIF PUB WKS FING AUTH LEASE REV	12/1/2017	145,000.00	145,158.05	1.34%
LA CNTY CALIF PUB WKS FING AUTH LEASE REV	12/1/2018	350,000.00	351,036.00	1.85%
UNIVERSITY CALIF REVS	5/15/2017	1,500,000.00	1,500,030.00	1.20%
UNIVERSITY CALIF REVS	5/15/2018	1,531,511.75	1,521,126.50	1.53%
UNIVERSITY CALIF REVS	5/15/2019	790,000.00	779,903.80	1.79%
UNIVERSITY CALIF REVS	7/1/2019	506,885.00	502,695.00	1.55%
<i>SUB-TOTAL</i>		9,566,644.55	9,511,588.35	

MORTGAGE AND ASSET-BACK SECURITIES

AMXCA 142 A	1/15/2020	3,012,421.88	3,000,570.00	1.15%
AMXCA 144 A	6/15/2020	3,005,507.82	3,002,160.00	1.31%
BMWLT 171 A3	5/20/2020	2,569,704.71	2,579,586.10	1.77%
BMWOT 16A A3	11/25/2020	2,784,987.47	2,759,350.15	1.66%
CCCIT 13A7 A7	9/10/2020	1,248,193.36	1,255,112.50	1.12%
CCCIT 13A7 A7	9/10/2020	1,451,869.14	1,455,930.50	1.12%
CCCIT 16A1 A1	11/19/2021	4,999,732.00	4,991,850.00	1.81%
CCCIT 17A2 A2	7/19/2021	3,039,417.84	3,044,833.60	1.65%
CCCIT 17A2 A2	7/19/2021	3,499,329.75	3,505,565.00	1.65%
CHAIT 131 A	2/18/2020	3,270,101.56	3,263,987.85	1.34%
CHAIT 147 A	11/15/2019	1,507,324.22	1,500,705.00	1.30%
CHAIT 147 A	11/15/2019	2,599,695.02	2,601,222.00	1.30%
CHAIT 147 A	11/15/2019	2,999,648.10	3,001,410.00	1.30%
CHAIT 161 A	5/17/2021	3,003,515.64	3,016,560.00	1.14%
CHAIT 171 A	1/18/2022	3,000,000.00	3,007,500.00	1.20%
FHMS K004 A1	5/25/2019	1,729,796.30	1,684,657.54	1.50%
FHMS K502 A2	8/25/2017	837,257.58	831,871.78	1.07%
FHMS K702 A2	2/25/2018	2,439,152.70	2,362,819.04	1.59%
FHMS K708 A2	1/25/2019	1,222,250.87	1,203,609.70	1.62%
FHMS K708 A2	1/25/2019	1,312,660.61	1,293,134.39	1.62%
FHMS K709 A2	3/25/2019	959,093.75	945,536.60	1.70%
FHMS K710 A2	5/25/2019	1,923,527.34	1,903,477.00	1.73%
FHMS K714 A2	10/25/2020	2,110,000.00	2,064,020.00	1.97%
FHMS K715 A2	1/25/2021	2,316,187.50	2,255,682.00	2.10%



**Orange County Transportation Authority  
Portfolio Listing  
As of March 31, 2017**

FHMS KJ02 A1	10/25/2019	151,164.26	151,518.57	1.26%
FHMS KJ02 A2	9/25/2020	797,875.51	801,913.20	1.98%
FHMS KJ03 A1	1/25/2021	1,243,693.92	1,227,857.54	2.07%
FHMS KJ04 A1	10/25/2020	1,973,173.72	1,955,864.90	1.80%
FHMS KP03 A2	7/25/2019	1,247,320.36	1,227,108.35	2.03%
FHMS KP03 A2	7/25/2019	2,524,940.00	2,484,025.00	2.03%
FN 12M9 AQ2	12/25/2017	950,900.37	930,415.05	1.75%
FN 13M12 FA	10/25/2017	40,063.00	40,063.50	1.51%
FN 14M01 AQ2	11/25/2018	870,351.90	868,871.37	1.87%
FN 14M01 AQ2	11/25/2018	487,484.17	483,883.65	1.87%
FN 14M08A FA	5/25/2018	683,336.76	683,875.37	1.36%
FN 14M08A FA	5/25/2018	833,847.77	833,304.84	1.36%
FN 14M9A AQ2	4/25/2017	125,504.96	124,143.84	1.19%
FN 15M13A AQ2	9/25/2019	1,394,440.93	1,380,477.52	1.91%
FN AD0910	4/1/2020	1,543,075.48	1,476,612.05	2.19%
FN AM2422	1/1/2020	3,613,798.00	3,594,768.55	2.00%
GEDFT 142 A	10/20/2019	2,996,367.19	3,002,010.00	1.32%
HAROT 142 A3	3/19/2018	17,816.37	17,853.93	1.19%
HAROT 142 A3	3/19/2018	61,015.46	61,115.37	1.19%
HAROT 142 A3	3/19/2018	59,639.84	59,604.66	1.19%
HAROT 151 A3	10/15/2018	113,105.91	113,091.34	1.27%
HAROT 151 A3	10/15/2018	310,452.18	310,193.40	1.27%
HAROT 153 A3	4/18/2019	1,477,001.05	1,472,448.50	1.37%
HAROT 161 A3	12/18/2019	466,933.64	465,510.27	1.49%
HAROT 161 A3	12/18/2019	1,299,815.27	1,295,853.00	1.49%
HAROT 162 A3	4/15/2020	1,519,970.51	1,516,990.40	1.53%
HAROT 163 A3	5/18/2020	2,929,792.03	2,915,577.98	1.54%
HAROT 163 A3	5/18/2020	1,566,782.03	1,557,692.02	1.54%
HDMOT 152 A2A	1/15/2019	18,335.74	18,365.44	1.18%
JDOT 14 A3	4/16/2018	240,614.62	240,567.54	1.18%
JDOT 14 A3	4/16/2018	42,881.20	42,874.48	1.18%
JDOT 14 A3	4/16/2018	181,811.20	181,762.14	1.18%
JDOT 14 A3	4/16/2018	160,472.42	160,378.36	1.18%
JDOT 14B A3	11/15/2018	154,982.26	155,016.87	1.20%
JDOT 14B A3	11/15/2018	257,467.47	257,400.10	1.20%
JDOT 14B A4	6/15/2021	1,927,406.25	1,925,885.50	1.46%
JDOT 15 A3	6/17/2019	449,859.77	449,041.18	1.38%
JDOT 15 A3	6/17/2019	22,422.81	22,452.06	1.38%
JDOT 15B A2	6/15/2018	170,049.21	170,064.94	1.22%
JDOT 15B A2	6/15/2018	279,561.50	279,598.29	1.22%
JDOT 15B A2	6/15/2018	96,088.01	96,081.89	1.22%
JDOT 15B A3	10/15/2019	349,507.81	349,982.50	1.45%
JDOT 15B A3	10/15/2019	537,897.40	537,973.10	1.45%
JDOT 16 A3	4/15/2020	1,464,769.41	1,461,952.80	1.54%
JDOT 16B A3	6/15/2020	323,895.46	321,987.96	1.70%
JDOT 2017 A3	5/17/2021	1,939,723.74	1,939,262.80	1.80%
TAOT 14B A3	3/15/2018	46,914.33	46,968.56	1.13%
TAOT 14B A3	3/15/2018	187,906.45	187,874.25	1.13%
TAOT 14C A3	7/16/2018	282,808.51	282,605.81	1.34%
TAOT 14C A3	7/16/2018	201,457.54	201,651.02	1.34%
TAOT 14C A3	7/16/2018	883,776.59	883,143.16	1.34%
TAOT 15A A3	2/15/2019	737,611.21	736,205.53	1.33%
TAOT 15A A3	2/15/2019	1,820,532.05	1,819,041.17	1.33%
TAOT 15B A3	5/15/2019	870,484.14	870,061.15	1.36%
TAOT 15C A4	12/15/2020	220,962.50	220,275.00	1.63%
TAOT 16A A3	3/16/2020	974,944.72	972,504.00	1.46%
TAOT 16B A3	4/15/2020	173,991.11	173,439.72	1.54%
TAOT 16B A4	8/16/2021	200,523.44	198,800.00	1.75%
TAOT 16B A4	8/16/2021	496,992.19	497,000.00	1.75%
TAOT 16C A2A	1/15/2019	999,951.50	998,930.00	1.25%
TAOT 16D A2A	5/15/2019	698,578.13	698,789.00	1.31%

**Orange County Transportation Authority  
Portfolio Listing  
As of March 31, 2017**

TAOT 16D A3	10/15/2020	1,826,771.26	1,814,119.65	1.60%
TAOT 17A A3	2/16/2021	536,936.80	536,935.56	1.74%
TAOT 17A A3	2/16/2021	2,388,718.81	2,388,713.32	1.74%
USAOT 151 A3	6/17/2019	1,525,454.84	1,522,531.35	1.25%
USAOT 151 A4	11/16/2020	492,526.56	489,848.10	1.56%
USAOT 161 A2	3/15/2019	144,818.75	144,870.95	1.24%
USAOT 161 A2	3/15/2019	774,576.17	774,310.25	1.24%
USAOT 161 A3	6/15/2020	895,104.88	890,990.40	1.49%
USAOT 161 A3	6/15/2020	1,999,671.00	1,991,040.00	1.49%
<i>SUB-TOTAL</i>		116,140,797.50	115,535,090.85	
<b>SHORT-TERM PORTFOLIO - TOTAL</b>		<b>\$ 1,298,819,099.64</b>	<b>\$ 1,293,878,498.43</b>	

**DEBT SERVICE RESERVE FUNDS**

<u>DESCRIPTION</u>	<u>MATURITY DATE</u>	<u>BOOK VALUE</u>	<u>REQUIRED AMOUNT</u>	<u>YIELD</u>
<u>91 EXPRESS LANES 2013 BONDS</u>	2030		10,799,437.46	
US BANK COMMERCIAL PAPER	4/4/2017	10,866,647.88		0.47%
FIRST AMERICAN TREAS OBLIGATIONS	N/A	54.97		0.17%
<u>91 EXPRESS LANES 2013 BONDS - OPERATING &amp; MAINTENANCE RESERVES</u>			13,000,000.00	
BANK DEPOSITS	4/3/2017	86,166.50		
OPERATING RESERVE: UPS DISCOUNT CP	4/3/2017	2,998,480.00		0.57%
MAINTENANCE RESERVE: UPS DISCOUNT CP	4/3/2017	9,994,933.33		0.57%
<b>DEBT SERVICE RESERVE FUNDS - TOTAL</b>		<b>\$ 23,946,282.68</b>		

	<u>Book Value</u>	<u>Market Value</u>
<b>TOTAL PORTFOLIO</b>	<b>\$ 1,445,990,726.97</b>	<b>\$ 1,441,050,125.76</b>



*April 24, 2017*

**To:** Members of the Board of Directors

**From:** Darrell Johnson, Chief Executive Officer

**Subject:** Taxpayer Oversight Committee Measure M Annual Public Hearing Results and Compliance Findings

**Overview**

Measure M, Orange County's one-half cent sales tax for transportation, passed in 1990 and renewed in 2006, calls for an independent committee to ensure compliance with the ordinance. As required by the Measure M ordinance, the Taxpayer Oversight Committee conducted the 26<sup>th</sup> Measure M Annual Public Hearing on April 11, 2017. The Taxpayer Oversight Committee found the Orange County Local Transportation Authority has proceeded in accordance with Measure M Ordinance No. 3 during 2016.

**Recommendation**

Receive and file as an information item.

**Background**

The Measure M Taxpayer Oversight Committee (TOC) is required by the Measure M ordinance. The TOC is an independent committee representing all five supervisorial districts in Orange County. The TOC is responsible for ensuring the transportation projects in Measure M are implemented according to the investment plan approved by the voters in 2006. The TOC meets bimonthly to review progress on the implementation of Measure M.

Annually, the TOC is required to hold a public hearing to receive comments from citizens regarding Measure M as part of its oversight effort to determine whether the Orange County Transportation Authority (OCTA), acting as the Orange County Local Transportation Authority (OCLTA), is proceeding in accordance with the Renewed Measure M (M2) Transportation Ordinance and Investment Plan.

The results of the hearing and the findings of the TOC are transmitted to the OCTA Board of Directors annually. The TOC has consistently found OCTA in compliance for the past 25 years.

***Discussion***

The 26<sup>th</sup> Measure M Annual Public Hearing took place on April 11, 2017. The hearing was publicized through news releases, public notices, and posted on OCTA's social media sites and *On the Move* blog.

Following the public hearing and review of the annual financial audit of OCLTA and all other information the committee members have been provided to date, the TOC made the determination at its April 11, 2017 meeting that during 2016, OCTA has proceeded in accordance with the M2 Transportation Ordinance and Investment Plan. Eric H. Woolery, Orange County's elected Auditor-Controller, serving as Chairman of the TOC, has included a draft letter stating its findings (Attachment A).

Additionally, in accordance with M2 Ordinance No. 3, Section 10, Paragraph 3, Chairman Woolery certified that the revenues, through fiscal year ending June 30, 2016, have been spent in compliance with the Ordinance.

***Summary***

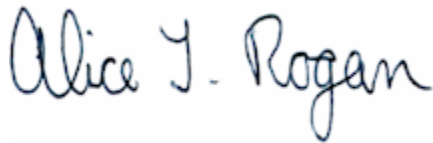
Subsequent to bimonthly meetings and the Measure M Annual Public Hearing on April 11, 2017, the TOC has determined that OCTA is proceeding in accordance with the M2 Transportation Ordinance and Investment Plan.

---

***Attachment***

- A. Memo to Michael Hennessey, Chair, Orange County Transportation Authority, from Eric H. Woolery, Chair, Measure M Taxpayer Oversight Committee, dated April 11, 2017, Subject – 26<sup>th</sup> Annual Measure M Public Hearing

**Prepared by:**



---

Alice T. Rogan  
Director, Marketing and Public  
Outreach  
(714) 560-5577

**Approved by:**



---

Lance M. Larson  
Executive Director,  
External Affairs  
(714) 560-5908



## Measure M Taxpayer Oversight Committee

---

April 11, 2017

To: Michael Hennessey, Chair  
Board of Directors  
Orange County Transportation Authority

From: Taxpayer Oversight Committee

Subject: 26<sup>th</sup> Annual Measure M Public Hearing

In accordance with Attachment C “Taxpayer Oversight Committee,” the Taxpayer Oversight Committee (TOC) is required to conduct an annual public hearing to determine whether the Orange County Transportation Authority (Authority) is proceeding in accordance with the Renewed Measure M (M2) Transportation Ordinance and Investment Plan.

The TOC conducted the annual public hearing on April 11, 2017. No items were presented at the hearing to indicate that the Authority was not proceeding in accordance with the M2 Plans during 2016.

Based upon the above-mentioned hearing, 2015/16 Local Transportation Authority (LTA) financial audit results and all other information the TOC has to date, the TOC hereby finds the Authority is proceeding in accordance with the M2 Plan.

Also, in accordance with Ordinance No. 3, Section 10, Paragraph 2, I certify that the M2 revenues, through fiscal year ending June 30, 2016, have been spent in compliance with the M2 Transportation Ordinance and Investment Plan.

Sincerely,

Eric Woolery, Chair  
Measure M Taxpayer Oversight Committee  
Orange County Auditor-Controller



COMMITTEE TRANSMITTAL

**May 8, 2017**

**To:** Members of the Board of Directors

**From:** *RW*  
Laurena Weinert, Clerk of the Board

**Subject:** Capital Programs Division - Third Quarter Fiscal Year 2016-17  
Capital Action Plan Performance Metrics

Executive Committee Meeting of May1, 2017

**Present:** Chairman Hennessey and Directors Do, Donchak, Murray,  
Nelson, and Shaw

**Absent:** Vice Chair Bartlett

**Committee Vote**

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

**Staff Recommendation**

Receive and file as an information item.

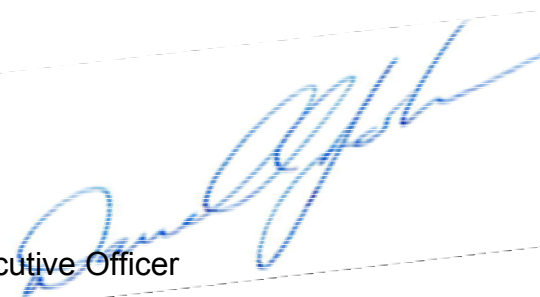


**May 1, 2017**

**To:** Executive Committee

**From:** Darrell Johnson, Chief Executive Officer

**Subject:** Capital Programs Division - Third Quarter Fiscal Year 2016-17  
Capital Action Plan Performance Metrics

A handwritten signature in blue ink, appearing to read "Darrell Johnson", is written over a dashed line that spans across the "From:" and "Subject:" fields.

**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 as part of 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 metrics provide 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 established baseline cost is shown in comparison to either the actual or forecast cost. The baseline 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 estimated 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 delivery schedules into eight key milestones used as a metric to track progress.

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 third quarter FY 2016-17 milestones achieved include:

#### Freeway and OC Bridges Railroad Grade Separation Projects

- Final design of the southbound Interstate 405 auxiliary lane between University Drive and State Route 133 was completed. The design phase is funded through the State Transportation Improvement Program (STIP). Funding for construction has not yet been identified.
- Two milestones were completed on the State Route 91 post-widening replacement planting project between State Route 57 (SR-57) and Interstate 5 (I-5) as the contract was both advertised for construction and awarded by the California Department of Transportation (Caltrans).

The following CAP milestones missed the planned delivery through the third quarter of FY 2016-17.

- The begin environmental milestone for the I-5 El Toro Interchange reconstruction project has not been achieved. OCTA committed federal funding to pay Caltrans to prepare the draft project report, environmental studies, and draft environmental documentation, and Caltrans informed OCTA that work will not begin until all federal funding approvals are in place, which is anticipated in April 2017. Caltrans will present an overview of the project alternatives and planned schedule to complete the environmental clearance to the OCTA Regional Planning and Highways Committee on May 1, 2017, and to the OCTA Board of Directors (Board) on May 8, 2017.
- The complete environmental milestone for the Anaheim Canyon Metrolink Station expansion project was not achieved in the third quarter. However, the California Environmental Quality Act clearance for the project was obtained on January 12, 2017, and National Environmental Policy Act clearance is expected in April 2017. On April 10, 2017, the Board approved the release of a request for proposals to procure a consultant to complete final design of the project.
- Four milestones, the complete design, construction ready, advertise construction, and award contract milestones for the SR-57 post-widening replacement planting between Orangethorpe Avenue and Lambert Road have not been achieved. The project continues to be delayed as the design consultant addresses design product quality issues and extensive Caltrans comments. OCTA and Caltrans are working with the consultant to address the design quality issues and complete the design in the fourth quarter. The construction ready, advertise construction, and award contract milestones will not be achieved this FY and are being rescheduled to FY 2017-18.
- The complete design milestone for construction of the second high-occupancy vehicle (HOV) lane on I-5 between State Route 55 (SR-55) and SR-57 was not completed pending resolution of availability of STIP construction funding, which was delayed by the California Transportation Commission (CTC) from FY 2017-18 to FY 2018-19. Final design is planned to be complete in June 2017. Finalization of the Caltrans construction cooperative agreement required to complete the contract packaging, advertisement for bids, award, and administration of the construction contract is dependent on availability of the \$36.3 million construction phase STIP funding, and is impacting the project construction delivery schedule on a month-to-month basis.

- Three milestones, the construction ready, advertise construction, and award contract milestones for the SR-57 post-widening replacement planting between Katella Avenue and Lincoln Avenue have not been achieved. Resolution of Caltrans' final review comments are being incorporated into the plans, specifications, and estimates, and the project is anticipated to be construction ready in the fourth quarter. Advertisement and award of the contract are being rescheduled to FY 2017-18.
- The award contract milestone for construction of the Orange Metrolink Station parking expansion project has not been achieved. The initial construction advertisement and bidding process was cancelled due to failure of bidders to meet Disadvantaged Business Enterprise goals, and to clarify specifications for the design and Federal Buy America requirements. The project was re-advertised, and bids were opened on January 12, 2017. Bid protests were received from several bidders, and the Board will consider the contract award to the lowest responsive responsible bidder on May 8, 2017.
- The construction completion milestone for the I-5 widening from Avenida Vista Hermosa to Pacific Coast Highway, one of three segments of widening in San Clemente, was missed. A higher number of non-activity rain days were experienced, and the contractor is performing repairs to a damaged fiber optic communication line. Construction completion is anticipated in May 2017.
- The construction completion milestone for the Fullerton Transportation Center elevator upgrades, administered by the City of Fullerton, was missed. The contractor experienced delays due to an elevator subcontractor substitution and BNSF Rail work windows. Construction completion is now anticipated in January 2018.

#### Recap of Third Quarter FY 2016-17 Performance Metrics

The performance metrics snapshot provided at the beginning of FY 2016-17 reflected 33 planned project delivery milestones to accomplish, 27 of which were planned through the third quarter. The CAP and performance metrics have been updated to reflect both milestones achieved and missed through the third quarter of FY 2016-17 (Attachment B). Fourteen of the planned 27 milestones through the third quarter, and one fourth quarter milestone, have been completed (55.6 percent).

Seven of the 13 milestones missed through the third quarter are delays in landscape design consultant completion and associated approvals from Caltrans on landscape replacement planting projects.

### Risks and Look Ahead Project Concerns

Schedule delay and cost risks are a high potential on the I-5 widening project between State Route 73 and El Toro Road, which is being delivered in three logical construction segments. As previously reported, the 2016 STIP adopted by the CTC delayed availability of funding for construction of the southerly most segment, which includes the Avery Parkway interchange, from FY 2018-19 to FY 2020-21. All three segments have interrelated construction schedules for traffic staging, and any significant delay to one of the segments will impact the construction schedule of the remaining two segments. Staff is currently maintaining the interrelated delivery schedules for all three segments, and ROW appraisals are underway to prepare offers for the needed acquisitions to construct the projects. The first of the three segments is scheduled to advertise for construction bids in mid-2018. The continued delay in STIP funding for construction of the southerly segment will result in delays to construction schedules for all three segments. These construction schedule delays will result in significant cost increases due to escalation and additional timeframes required for temporary construction easements.

Similarly, STIP funding for construction of the second HOV lane on I-5 between SR-55 and SR-57 was delayed by the CTC from FY 2017-18 to FY 2018-19. Final design will be complete in the fourth quarter and is planned to be submitted to Caltrans for final contract packaging prior to construction advertisement. The construction funding delay is delaying the project schedule on a month-to-month basis.

On April 6, 2017, the State Legislature passed SB 1 (Beall, D-San Jose), which includes stabilization of the STIP Regional Transportation Improvement Program over a ten-year period. OCTA immediately sent a letter to the CTC (Attachment C) requesting action to amend the STIP and return these two programmed I-5 projects to its previously-approved programming FY. The restoration of project funding will eliminate risk of schedule delays and cost increases.

The award contract milestone for the SR-57 post-widening replacement planting between Katella Avenue and Lincoln Avenue will not be completed in the current FY as planned due to delays in Caltrans safety reviews of the final design, as discussed previously in this report. The planned advertise contract milestone this FY is now delayed into August 2017, next FY.

The construction cost for the SR-57 post-widening replacement planting between Orangethorpe Avenue and Lambert Road is likely to increase as the final design work is completed. Caltrans has added significant scope to this landscape project, including additional roadside maintenance vehicle turnouts, relocations of recently constructed guardrails, and numerous other unanticipated

items. Staff will assess the cost and funding as the final design is completed and the engineer's estimate is finalized.

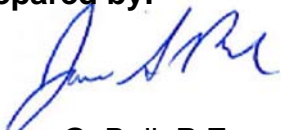
***Summary***

Continued capital project delivery progress has been achieved and reflected in the CAP. The planned FY 2016-17 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 and report quarterly.

***Attachments***

- A. Capital Action Plan, Status Through March 2017
- B. Capital Programs Division, Fiscal Year 2016-17 Performance Metrics Status Through March 2017
- C. Letter from Darrell Johnson, Chief Executive Officer, Orange County Transportation Authority, to Susan Bransen, Executive Director, California Transportation Commission, Dated April 10, 2017

**Prepared by:**



















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

**Capital Action Plan**

Status Through March 2017














Updated: April 13, 2017

Capital Projects	Cost	Schedule							
	Baseline/Forecast	Plan/Forecast							
	(millions)	Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
<b>Freeway Projects:</b>									
 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	\$89.6	<b>Jun-09</b>	<b>Oct-11</b>	<b>Jun-11</b>	<b>Oct-13</b>	<b>May-14</b>	<b>Sep-14</b>	<b>Dec-14</b>	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	\$71.1	<b>Jun-09</b>	<b>Oct-11</b>	<b>Jun-11</b>	<b>May-13</b>	<b>Aug-13</b>	<b>Feb-14</b>	<b>Jun-14</b>	May-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	<b>Cost/Schedule Risk</b> \$71.0	<b>Jun-09</b>	<b>Oct-11</b>	<b>Jun-11</b>	<b>Jan-13</b>	<b>Apr-13</b>	<b>Aug-13</b>	<b>Dec-13</b>	Apr-18
 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	\$80.3	<b>Sep-05</b>	<b>Jun-09</b>	<b>Jan-09</b>	<b>Dec-11</b>	<b>Apr-12</b>	<b>Jun-12</b>	<b>Aug-12</b>	<b>Jan-16</b>
 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	<b>Jan-14</b>	<b>Oct-14</b>	<b>Feb-15</b>	<b>Aug-15</b>	<b>Sep-15</b>	<b>Sep-16</b>
 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	<b>Cost/Schedule Risk</b> \$151.9	<b>Oct-11</b>	<b>May-14</b>	<b>Mar-15</b>	Jan-18	Oct-18	Feb-19	May-19	Sep-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	<b>Cost/Schedule Risk</b> \$196.2	<b>Oct-11</b>	<b>May-14</b>	<b>Nov-14</b>	Dec-17	Jun-18	Aug-18	Nov-18	Aug-22
 I-5, Alicia Parkway to El Toro Road	\$133.6	Sep-11	Jun-14	Mar-15	Jun-18	Dec-18	Jan-19	May-19	Sep-22
Project C	<b>Cost/Schedule Risk</b> \$133.6	<b>Oct-11</b>	<b>May-14</b>	<b>Mar-15</b>	Sep-18	Feb-19	Apr-19	Jul-19	Dec-22
 I-5, I-5/El Toro Road Interchange	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Project D	TBD	May-17	Apr-20	TBD	TBD	TBD	TBD	TBD	TBD
 I-5, I-405 to SR-55	TBD	May-14	Aug-18	TBD	TBD	TBD	TBD	TBD	TBD
Project B	TBD	<b>May-14</b>	Aug-18	TBD	TBD	TBD	TBD	TBD	TBD
 I-5, SR-55 to SR-57	\$37.1	Jul-11	Jun-13	Jun-15	Mar-17	Jul-17	Sep-17	Dec-17	Feb-20
Project A	<b>Cost/Schedule Risk</b> \$37.1	<b>Jun-11</b>	<b>Apr-15</b>	<b>Jun-15</b>	Jul-17	Nov-17	Dec-17	Apr-18	Jun-20
 SR-55, I-405 to I-5	TBD	Feb-11	Nov-13	TBD	TBD	TBD	TBD	TBD	TBD
Project F	<b>Cost/Schedule Risk</b> \$375.9	<b>May-11</b>	Sep-17	Jan-18	Apr-20	Nov-20	Feb-21	May-21	Jun-25
 SR-55, I-5 to SR-91	TBD	Dec-16	Jan-20	TBD	TBD	TBD	TBD	TBD	TBD
Project F	TBD	<b>Dec-16</b>	Jan-20	TBD	TBD	TBD	TBD	TBD	TBD
 SR-57 Northbound (NB), Orangewood Avenue to Katella Avenue	TBD	Apr-16	Dec-18	TBD	TBD	TBD	TBD	TBD	TBD
Project G	TBD	<b>Apr-16</b>	Dec-18	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	\$40.5	<b>Apr-08</b>	<b>Nov-09</b>	<b>Aug-08</b>	<b>Dec-10</b>	<b>Apr-11</b>	<b>Jul-11</b>	<b>Oct-11</b>	<b>Apr-15</b>
 SR-57 (NB), Katella Avenue to Lincoln Avenue (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project G	<b>Cost/Schedule Risk</b> N/A	N/A	N/A	<b>May-09</b>	<b>Jul-10</b>	Jun-17	Aug-17	Oct-17	Nov-18

# Capital Action Plan

Status Through March 2017

Updated: April 13, 2017

Capital Projects	Cost	Schedule							
	Baseline/Forecast	Plan/Forecast							
	(millions)	Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
 SR-57 (NB), Orangethorpe Avenue to Yorba Linda Boulevard Project G	\$80.2	Aug-05	Dec-07	Feb-08	Dec-09	Apr-10	Jun-10	Oct-10	May-14
	\$52.4	<b>Aug-05</b>	<b>Dec-07</b>	<b>Feb-08</b>	<b>Jul-09</b>	<b>Dec-09</b>	<b>May-10</b>	<b>Oct-10</b>	<b>Nov-14</b>
 SR-57 (NB), Yorba Linda Boulevard to Lambert Road Project G	\$79.3	Aug-05	Dec-07	Feb-08	Dec-09	Apr-10	Jun-10	Oct-10	Sep-14
	\$54.8	<b>Aug-05</b>	<b>Dec-07</b>	<b>Feb-08</b>	<b>Jul-09</b>	<b>Mar-10</b>	<b>May-10</b>	<b>Oct-10</b>	<b>May-14</b>
 SR-57 (NB), Orangethorpe Avenue to Lambert Road (Landscape) Project G <b>Cost/Schedule Risk</b>	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	N/A	N/A	N/A	<b>Oct-14</b>	Jun-17	Aug-17	Oct-17	Dec-17	Jan-19
 SR-57 (NB), Lambert Road to Tonner Canyon <b>Cost/Schedule Risk</b>	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
	TBD	Aug-18	Jul-21	TBD	TBD	TBD	TBD	TBD	TBD
 SR-91 Westbound (WB), I-5 to SR-57 Project H	\$78.1	Jul-07	Apr-10	Oct-09	Feb-12	Jul-12	Aug-12	Nov-12	Apr-16
	\$59.6	<b>Jul-07</b>	<b>Jun-10</b>	<b>Mar-10</b>	<b>Apr-12</b>	<b>Aug-12</b>	<b>Oct-12</b>	<b>Jan-13</b>	<b>Jun-16</b>
 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	N/A	N/A
	N/A	N/A	N/A	<b>Nov-14</b>	<b>Aug-16</b>	<b>Dec-16</b>	<b>Feb-17</b>	<b>Mar-17</b>	May-18
 SR-91, SR-57 to SR-55 Project I <b>Cost/Schedule Risk</b>	TBD	Jan-15	Oct-18	TBD	TBD	TBD	TBD	TBD	TBD
	TBD	<b>Jan-15</b>	May-19	TBD	TBD	TBD	TBD	TBD	TBD
 SR-91 (WB), Tustin Interchange to SR-55 Project I	\$49.9	Jul-08	Jul-11	Jul-11	Mar-13	Jul-13	Aug-13	Oct-13	Jul-16
	\$43.8	<b>Jul-08</b>	<b>May-11</b>	<b>Jun-11</b>	<b>Feb-13</b>	<b>Apr-13</b>	<b>Jun-13</b>	<b>Oct-13</b>	<b>Jul-16</b>
 SR-91, SR-55 to SR-241 Project J	\$128.4	Jul-07	Jul-09	Jun-09	Jan-11	Apr-11	Jun-11	Sep-11	Dec-12
	\$79.6	<b>Jul-07</b>	<b>Apr-09</b>	<b>Apr-09</b>	<b>Aug-10</b>	<b>Dec-10</b>	<b>Feb-11</b>	<b>May-11</b>	<b>Mar-13</b>
 SR-91, SR-55 to SR-241 (Landscape) Project J	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	N/A	N/A	N/A	<b>May-12</b>	<b>Feb-13</b>	<b>Apr-13</b>	<b>Jul-13</b>	<b>Oct-13</b>	<b>Feb-15</b>
 SR-91 Eastbound, SR-241 to SR-71 Project J	\$104.5	Mar-05	Dec-07	Jul-07	Dec-08	Mar-09	May-09	Jul-09	Nov-10
	\$57.8	<b>Mar-05</b>	<b>Dec-07</b>	<b>Jul-07</b>	<b>Dec-08</b>	<b>May-09</b>	<b>Jun-09</b>	<b>Aug-09</b>	<b>Jan-11</b>
91 Express Lanes to SR-241 Toll Connector	TBD	N/A	N/A	TBD	TBD	TBD	TBD	TBD	TBD
	TBD	<b>Nov-13</b>	Dec-17	TBD	TBD	TBD	TBD	TBD	TBD
 I-405, I-5 to SR-55 Project L	TBD	Dec-14	Jul-18	TBD	TBD	TBD	TBD	TBD	TBD
	TBD	<b>Dec-14</b>	Jul-18	TBD	TBD	TBD	TBD	TBD	TBD
 I-405, SR-55 to I-605 (Design-Build) Project K	\$1,900.0	Mar-09	Mar-13	Mar-14	Nov-15	Feb-16	Mar-16	Nov-16	Apr-23
	\$1,900.0	<b>Mar-09</b>	<b>May-15</b>	<b>Mar-14</b>	<b>Nov-15</b>	<b>Feb-16</b>	<b>Mar-16</b>	<b>Nov-16</b>	<b>May-23</b>
I-405/SR-22 HOV Connector	\$195.9	N/A	N/A	Sep-07	Sep-09	Mar-10	May-10	Aug-10	Aug-14
	\$120.4	N/A	N/A	<b>Sep-07</b>	<b>Jun-09</b>	<b>Sep-09</b>	<b>Feb-10</b>	<b>Jun-10</b>	<b>Mar-15</b>
I-405/I-605 HOV Connector	\$260.4	N/A	N/A	Sep-07	Sep-09	Mar-10	May-10	Oct-10	Jan-15
	\$172.6	N/A	N/A	<b>Sep-07</b>	<b>Sep-09</b>	<b>Feb-10</b>	<b>May-10</b>	<b>Oct-10</b>	<b>Mar-15</b>
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	<b>Jun-08</b>	<b>May-09</b>	<b>Feb-16</b>	<b>May-16</b>	<b>Jul-16</b>	Jan-18



# Capital Action Plan

Status Through March 2017

Updated: April 13, 2017

Capital Projects	Cost	Schedule							
	Baseline/Forecast	Plan/Forecast							
	(millions)	Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
I-605, I-605/Katella Interchange	TBD	Aug-16	Nov-18	TBD	TBD	TBD	TBD	TBD	TBD
Project M	TBD	<b>Aug-16</b>	<b>Nov-18</b>	TBD	TBD	TBD	TBD	TBD	TBD
<b>Grade Separation Projects:</b>									
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	\$61.7	N/A	<b>Sep-03</b>	<b>Jan-04</b>	<b>Jul-10</b>	<b>Jul-10</b>	<b>Oct-10</b>	<b>Feb-11</b>	<b>Jan-16</b>
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 <b>Cost/Schedule Risk</b>	\$124.8	<b>Feb-09</b>	<b>Nov-09</b>	<b>Mar-10</b>	<b>Dec-12</b>	<b>Jul-13</b>	<b>Oct-13</b>	<b>Feb-14</b>	<b>Aug-18</b>
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 <b>Cost/Schedule Risk</b>	\$97.0	<b>Dec-08</b>	<b>Apr-11</b>	<b>Jul-06</b>	<b>Feb-13</b>	<b>May-13</b>	<b>Sep-13</b>	<b>Feb-14</b>	<b>May-18</b>
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	\$64.4	<b>Jan-01</b>	<b>May-01</b>	<b>Jan-09</b>	<b>Jun-10</b>	<b>Jan-11</b>	<b>Mar-11</b>	<b>Jul-11</b>	<b>Dec-14</b>
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	\$63.5	<b>Jan-01</b>	<b>Sep-09</b>	<b>Feb-09</b>	<b>Jul-10</b>	<b>Jan-11</b>	<b>Jun-11</b>	<b>Sep-11</b>	<b>Dec-14</b>
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	\$108.6	<b>Jan-01</b>	<b>Sep-09</b>	<b>Feb-09</b>	<b>Oct-11</b>	<b>Apr-12</b>	<b>Sep-12</b>	<b>Jan-13</b>	<b>Oct-16</b>
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	\$98.3	<b>Jan-01</b>	<b>Sep-09</b>	<b>Feb-09</b>	<b>Jul-11</b>	<b>Jun-12</b>	<b>Oct-12</b>	<b>Feb-13</b>	<b>Oct-16</b>
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	\$107.4	<b>Jan-01</b>	<b>Sep-09</b>	<b>Feb-09</b>	<b>Jan-13</b>	<b>Apr-13</b>	<b>Sep-13</b>	<b>Nov-13</b>	<b>Jul-17</b>
17th Street Railroad Grade Separation	TBD	Oct-14	Jun-16	TBD	TBD	TBD	TBD	TBD	TBD
Project R	TBD	<b>Oct-14</b>	<b>Jun-17</b>	TBD	TBD	TBD	TBD	TBD	TBD
<b>Rail and Station Projects:</b>									
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	\$90.4	<b>Jan-08</b>	<b>Oct-08</b>	<b>Jan-08</b>	<b>Sep-08</b>	<b>Sep-08</b>	<b>Sep-08</b>	<b>Aug-09</b>	<b>Dec-11</b>
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	\$5.0	<b>Sep-10</b>	<b>Jul-11</b>	<b>Feb-12</b>	<b>Jun-12</b>	<b>Jun-12</b>	<b>Oct-12</b>	<b>May-13</b>	<b>Mar-14</b>
San Juan Capistrano Passing Siding	\$25.3	Aug-11	Jan-13	Mar-15	May-16	May-16	Aug-16	Dec-16	Jan-19
	\$30.8	<b>Aug-11</b>	<b>Mar-14</b>	<b>Mar-15</b>	<b>Nov-17</b>	<b>Nov-17</b>	<b>Feb-18</b>	<b>Jun-18</b>	<b>Jul-20</b>
OC Streetcar	\$309.0	Aug-09	Mar-12	Feb-16	Sep-17	Nov-17	Nov-17	Mar-18	Apr-20
Project S	\$309.0	<b>Aug-09</b>	<b>Mar-15</b>	<b>Feb-16</b>	<b>Sep-17</b>	<b>Oct-17</b>	<b>Oct-17</b>	<b>Apr-18</b>	<b>Jul-20</b>
Placentia Metrolink Station and Parking Structure	\$34.8	Jan-03	May-07	Oct-08	Jan-11	TBD	TBD	TBD	TBD
Project R <b>Cost/Schedule Risk</b>	\$34.8	<b>Jan-03</b>	<b>May-07</b>	<b>Oct-08</b>	<b>Feb-11</b>	Sep-17	Oct-17	Feb-18	Oct-19
Anaheim Canyon Station	\$27.9	Jan-16	Dec-16	TBD	TBD	TBD	TBD	TBD	TBD
	\$27.9	<b>Jan-16</b>	<b>Apr-17</b>	Feb-18	Apr-19	Apr-19	Jun-19	Sep-19	Dec-20

## Capital Action Plan

Status Through March 2017

Updated: April 13, 2017

Capital Projects	Cost	Schedule							
	Baseline/Forecast	Plan/Forecast							
	(millions)	Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
Orange Station Parking Expansion	\$33.2	Dec-09	Dec-12	Nov-10	Apr-13	Jul-16	Jul-16	Nov-16	Jun-18
<b>Cost/Schedule Risk</b>	\$33.2	<b>Dec-09</b>	May-16	<b>Nov-10</b>	<b>Apr-16</b>	<b>Jul-16</b>	<b>Jul-16</b>	Apr-17	Nov-18
Fullerton Transportation Center - Elevator Upgrades	\$3.5	N/A	N/A	Jan-12	Dec-13	Dec-13	Jun-14	Sep-14	Mar-17
<b>Cost/Schedule Risk</b>	\$4.0	N/A	N/A	<b>Jan-12</b>	<b>Dec-13</b>	<b>Dec-13</b>	<b>Aug-14</b>	<b>Apr-15</b>	Jan-18
Laguna Niguel/Mission Viejo Station ADA Ramps	\$3.5	Jul-13	Jan-14	Jul-13	Aug-14	Aug-14	Sep-14	Jan-15	Apr-17
	\$4.9	<b>Jul-13</b>	<b>Feb-14</b>	<b>Jul-13</b>	<b>Jul-15</b>	<b>Jul-15</b>	<b>Jul-15</b>	<b>Oct-15</b>	Jul-17
Anaheim Regional Transportation Intermodal Center	\$227.4	Apr-09	Feb-11	Jun-09	Feb-12	Feb-12	May-12	Jul-12	Nov-14
Project R & T	\$230.4	<b>Apr-09</b>	<b>Feb-12</b>	<b>Jun-09</b>	<b>May-12</b>	<b>May-12</b>	<b>May-12</b>	<b>Sep-12</b>	<b>Dec-14</b>

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-71 - Corona Expressway (State Route 71)

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)

ADA - Americans with Disabilities Act

**Capital Programs Division**  
**Fiscal Year 2016-17 Performance Metrics Status Through March 2017**

**Begin Environmental**

Project Description	FY 17 Qtr 1		FY 17 Qtr 2		FY 17 Qtr 3		FY 17 Qtr 4		FY 17 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
I-605, I-605/ Katella Avenue Interchange	X								
I-5, I-5/EI Toro Road Interchange			X						
SR-55, I-5 to SR-91			X						
Total Forecast/Actual	1	1	2	1	0	0	0	0	3

**Complete Environmental**

Project Description	FY 17 Qtr 1		FY 17 Qtr 2		FY 17 Qtr 3		FY 17 Qtr 4		FY 17 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
Anaheim Canyon Metrolink Station			X						
17th Street Railroad Grade Separation							X		
Total Forecast/Actual	0	0	1	0	0	0	1	0	2

**Begin Design**

Project Description	FY 17 Qtr 1		FY 17 Qtr 2		FY 17 Qtr 3		FY 17 Qtr 4		FY 17 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
No "Begin Design" milestones scheduled for FY 2016-17									
Total Forecast/Actual	0	0	0	0	0	0	0	0	0

**Complete Design**

Project Description	FY 17 Qtr 1		FY 17 Qtr 2		FY 17 Qtr 3		FY 17 Qtr 4		FY 17 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
SR-91 (Westbound), I-5 to SR-57 Landscape	X								
SR-57 (Northbound), Orangethorpe Avenue to Lambert Road Landscape			X						
I-5, SR-55 to SR-57					X				
I-5, Oso Parkway to Alicia Parkway							X		
I-405 Southbound, SR-133 to University Drive							X		
San Juan Capistrano Passing Siding							X		
Total Forecast/Actual	1	1	1	0	1	1	3	0	6

**Construction Ready**

Project Description	FY 17 Qtr 1		FY 17 Qtr 2		FY 17 Qtr 3		FY 17 Qtr 4		FY 17 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
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 Southbound, SR-133 to University Drive							X		
San Juan Capistrano Passing Siding							X		
Total Forecast/Actual	1	1	3	1	0	0	2	0	6

## Capital Programs Division Fiscal Year 2016-17 Performance Metrics Status Through March 2017

### Advertise Construction

Project Description	FY 17 Qtr 1		FY 17 Qtr 2		FY 17 Qtr 3		FY 17 Qtr 4		FY 17
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
Orange Metrolink Station Parking Expansion	X	✔							
SR-91 (Westbound), I-5 to SR-57 Landscape			X			✔			
SR-57 (Northbound), Katella Avenue to Lincoln Avenue Landscape					X				
SR-57 (Northbound), Orangethorpe Avenue to Lambert Road Landscape					X				
Total Forecast/Actual	1	1	1	0	2	1	0	0	4

### Award Contract

Project Description	FY 17 Qtr 1		FY 17 Qtr 2		FY 17 Qtr 3		FY 17 Qtr 4		FY 17
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
I-405/SR-22/I-605 HOV Connector Landscape	X	✔							
I-405, SR-55 to I-605 (Design-Build)			X	✔					
Orange Metrolink Station Parking Expansion			X						
SR-91 (Westbound), I-5 to SR-57 Landscape					X	✔			
SR-57 (Northbound), Katella Avenue to Lincoln Avenue Landscape					X				
SR-57 (Northbound), Orangethorpe Avenue to Lambert Road Landscape					X				
Total Forecast/Actual	1	1	2	1	3	1	0	0	6

### Complete Construction

Project Description	FY 17 Qtr 1		FY 17 Qtr 2		FY 17 Qtr 3		FY 17 Qtr 4		FY 17
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
SR-91 (Westbound), Tustin Interchange to SR-55	X	✔							
Orangethorpe Avenue Railroad Grade Separation	X			✔					
Tustin Avenue/Rose Drive Railroad Grade Separation	X			✔					
I-5/Ortega Highway Interchange Landscape		✔	X						
I-5, Vista Hermosa to Pacific Coast Highway					X				
Fullerton Transportation Center - Elevator Upgrades					X				
Total Forecast/Actual	3	2	1	2	2	0	0	0	6

<b>Totals</b>	8	7	11	5	8	3	6	0	33
---------------	---	---	----	---	---	---	---	---	----

**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-22 - Garden Grove Freeway (State Route 22)
- 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)
- I-605 - San Gabriel River Freeway (Interstate 605)
- I-405 - San Diego Freeway (Interstate 405)
- HOV - high-occupancy vehicle

X = milestone forecast in quarter  
✔ = milestone accomplished in quarter



## BOARD OF DIRECTORS

Michael Hennessey  
Chairman

Lisa A. Bartlett  
Vice Chair

Laurie Davies  
Director

Barbara Delgleize  
Director

Andrew Do  
Director

Lori Donchak  
Director

Steve Jones  
Director

Mark A. Murphy  
Director

Richard Murphy  
Director

Al Murray  
Director

Shawn Nelson  
Director

Miguel Pulido  
Director

Tim Shaw  
Director

Todd Spitzer  
Director

Michelle Steel  
Director

Tom Tait  
Director

Gregory T. Winterbottom  
Director

Ryan Chamberlain  
Ex-Officio Member

## CHIEF EXECUTIVE OFFICE

Darrell Johnson  
Chief Executive Officer

April 10, 2017

Ms. Susan Bransen  
Executive Director  
California Transportation Commission  
1120 N Street, Room 2221, MS-52  
Sacramento, CA 95814

**RE: Request for Orange County Transportation Authority State Transportation Improvement Program Amendments**

Dear Ms. Bransen:

The Orange County Transportation Authority (OCTA) is requesting a State Transportation Improvement Program (STIP) amendment notice at the May 17-18, 2017 meeting, and the corresponding action to amend three OCTA STIP projects on June 28-29, 2017, contingent on the approval of additional STIP funds from SB 1.

OCTA is requesting a STIP amendment to return two of Orange County's projects to the previously approved programming fiscal year (FY) and the advancement of one project. The following three projects were delayed in the 2016 STIP due to the statewide shortfall of \$754 million, and are listed in priority order below.

1. Interstate 5 (I-5) Widening (State Route 73 to Oso Parkway): Return \$78.030 million in STIP funds from FY 2020-21 to FY 2018-19. Project plans are 95 percent complete, and the project will be ready to advertise for construction in January 2019.
2. I-5 High-Occupancy Vehicle Lanes (State Route 55 to State Route 57 [SR-57]): Return \$28.949 million in STIP funds from FY 2018-19 to FY 2017-18. Project plans are 95 percent complete, and the project will be ready to advertise for construction in November 2017.
3. SR-57 Lambert Road Interchange Improvements: Advance \$9 million of the original \$22 million in STIP funds from FY 2019-20 to FY 2017-18. Project plans are nearly 100 percent complete, and the project will be ready to begin the right-of-way phase in March 2018.

Ms. Susan Bransen  
April 10, 2017  
Page 2

These projects have maintained their previous project delivery schedules and advancement of funds will allow the projects to proceed without delay or added escalation costs.

The associated project programming request forms are provided, which detail the project changes. If you have any questions regarding OCTA's STIP amendment request submittals, please contact Kurt Brotcke, Director, Strategic Planning, at (714) 560-5742.

Sincerely,



Darrell Johnson  
Chief Executive Officer

DJ:ac  
Attachments

c: Mitchell Weiss, CTC  
Ryan Chamberlain, Caltrans, District 12  
Bruce De Terra, Caltrans HQ  
Adnan Maiah, Caltrans, District 12  
Jim Beil, OCTA  
Kia Mortazavi, OCTA  
Adriann Cardoso, OCTA



STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised August 2013)

*General Instructions*

<input type="checkbox"/> New Project		<input checked="" type="checkbox"/> Amendment (Existing Project)		Date:	5/17/17
District	EA	Project ID	PPNO	MPO ID	TCRP No.
12	OK021		2655		
County	Route/Corridor	PM Bk	PM Ahd	Project Sponsor/Lead Agency	
ORA	I-5	12.4	14.5	Orange County Transportation Authority (OCTA)	
				MPO	Element
				SCAG	Capital Outlay
Project Manager/Contact		Phone		E-mail Address	
Hamid Torkamanha		714-560-5436		Htorkamanha@octa.net	
<b>Project Title</b>					
Interstate 5 Widening, Segment 1 (SR 73 to Oso Parkway)					
<b>Location, Project Limits, Description, Scope of Work</b>					<input type="checkbox"/> See page 2
In Laguna Niguel, Mission Viejo and Laguna Hills from Route 73 to Oso Parkway. Add general purpose lane in each direction and reconstruct interchanges at Avery Parkway.					
<input type="checkbox"/> Includes ADA Improvements		<input type="checkbox"/> Includes Bike/Ped Improvements			
<b>Component</b>	<b>Implementing Agency</b>				
PA&ED	OCTA				
PS&E	OCTA				
Right of Way	Caltrans				
Construction	Caltrans				
<b>Legislative Districts</b>					
Assembly:	68, 73		Senate:	36, 37	
Congressional:	45, 48, 49				
<b>Purpose and Need</b>					<input type="checkbox"/> See page 2
Improve mainline congestion on I-5 from SR-73 to Oso Parkway and improve interchange operations. Existing daily traffic volumes range from more than 279,000 to 365,000 vehicles per day, with peak hour volumes ranging from 6,270 to 13,490 in the NB direction and from 5,940 to 11,840 in the SB direction. Under current traffic conditions, substantial congestion is experienced in the NB direction during the AM peak hour and in the SB direction during the PM peak hour. By year 2045, daily traffic volumes within the project area range from more than 353,000 to 457,000 with peak hour volumes ranging from 7,150 to 16,070 in the NB direction and from 7,000 to 13,810 in the SB direction.					
<b>Project Benefits</b>					<input type="checkbox"/> See page 2
Project will increase capacity which will help reduce congestion in the Cities of Laguna Niguel, Mission Viejo, and Laguna Hills					
<input checked="" type="checkbox"/> Supports Sustainable Communities Strategy (SCS) Goals		<input checked="" type="checkbox"/> Reduces Greenhouse Gas Emissions			
<b>Project Milestone</b>			<b>Existing</b>	<b>Proposed</b>	
Project Study Report Approved					
Begin Environmental (PA&ED) Phase			10/01/11		
Circulate Draft Environmental Document		Document Type	EIR	09/06/13	
Draft Project Report				09/06/13	
End Environmental Phase (PA&ED Milestone)				07/01/14	
Begin Design (PS&E) Phase				03/03/15	
End Design Phase (Ready to List for Advertisement Milestone)				04/01/18	
Begin Right of Way Phase				01/01/16	
End Right of Way Phase (Right of Way Certification Milestone)				02/01/18	
Begin Construction Phase (Contract Award Milestone)				12/01/19	
End Construction Phase (Construction Contract Acceptance Milestone)				08/01/23	
Begin Closeout Phase				09/01/23	
End Closeout Phase (Closeout Report)				09/01/25	

**ADA Notice** For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.



**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised July 2013)

Date: 5/17/17

District	County	Route	EA	Project ID	PPNO	TCRP No.
12	ORA	I-5	OK021	0	2655	0

**Project Title:** Interstate 5 Widening, Segment 1 (SR 73 to Oso Parkway)

Existing Total Project Cost									Implementing Agency
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	
E&P (PA&ED)	2,367	0	0	0	0	0	0	2,367	OCTA
PS&E	9,651	0	0	0	0	0	0	9,651	OCTA
R/W SUP (CT)	947	4,249	0	0	0	0	0	5,196	Caltrans
CON SUP (CT)	0	0	0	0	2,234	9,353	0	11,587	Caltrans
R/W	0	32,476	0	0	0	0	0	32,476	Caltrans
CON	0	0	0	0	1,750	73,394	0	75,144	Caltrans
<b>TOTAL</b>	<b>12,965</b>	<b>36,725</b>	<b>0</b>	<b>0</b>	<b>3,984</b>	<b>82,747</b>	<b>0</b>	<b>136,421</b>	

Proposed Total Project Cost (\$1,000s)									Notes
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	
E&P (PA&ED)	2,367	0	0	0	0	0	0	2,367	
PS&E	9,651	0	0	0	0	0	0	9,651	
R/W SUP (CT)	947	4,249	0	0	0	0	0	5,196	
CON SUP (CT)	0	0	0	11,587	0	0	0	11,587	
R/W	0	32,476	0	0	0	0	0	32,476	
CON	0	0	0	75,144	0	0	0	75,144	
<b>TOTAL</b>	<b>12,965</b>	<b>36,725</b>	<b>0</b>	<b>86,731</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>136,421</b>	

**Fund No. 1:** RIP - National Hwy System (NH)

Existing Funding									Program Code
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency
									20.XX.075.600
E&P (PA&ED)								0	OCTA
PS&E								0	
R/W SUP (CT)								0	
CON SUP (CT)						4,943		4,943	
R/W								0	
CON						73,087		73,087	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>78,030</b>	<b>0</b>	<b>78,030</b>	

Proposed Funding (\$1,000s)									Notes
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	
E&P (PA&ED)								0	
PS&E								0	
R/W SUP (CT)								0	
CON SUP (CT)				4,943				4,943	
R/W								0	
CON				73,087				73,087	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>78,030</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>78,030</b>	

**Fund No. 2:** RSTP - STP Local (STPL)

Existing Funding									Program Code
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency
									20.30.010.810
E&P (PA&ED)	1,667							1,667	
PS&E	9,101							9,101	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON								0	
<b>TOTAL</b>	<b>10,768</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>10,768</b>	

Proposed Funding (\$1,000s)									Notes
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	
E&P (PA&ED)	1,667							1,667	
PS&E	9,101							9,101	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON								0	
<b>TOTAL</b>	<b>10,768</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>10,768</b>	





**Complete this page for amendments only**

Date: 05/17/17

District	County	Route	EA	PPNO	TCRP No.
12	ORA	I-5	0K021	2655	0

**SECTION 1 - All Projects**

**Project Background**

Existing 2016 STIP Project

**Programming Change Requested**

Advance RIP-National Highway System (NH) CON SUP for \$4.943 million in FY20/21 to FY18/19  
 Advance RIP-National Highway System (NH) CON for \$73.087 million in FY20/21 to FY18/19  
 Advance STBG - Surface Transportation Block Grant Funds CON SUP for \$2.234 million in FY19/20 to FY18/19  
 Advance STBG - Surface Transportation Block Grant Funds CON for \$1.750 million in FY19/20 to FY18/19  
 Advance Local Funds-Local Measure (MEA) CON SUP for \$4.410 million in FY20/21 to FY18/19  
 Advance Local Funds-Local Measure (MEA) CON for \$0.307 million in FY20/21 to FY18/19

Total Project Cost remains at \$136.421 million

**Reason for Proposed Change**

Senate Bill 1 provides additional funding for the STIP and OCTA is requesting funding for this project that was delayed due to the 2016 STIP shortfall be returned to the previously approved fiscal year.

**If proposed change will delay one or more components, clearly explain 1) reason the delay, 2) cost increase related to the delay, and 3) how cost increase will be funded**

- 1). N/A
- 2). N/A
- 3). N/A

**Other Significant Information**

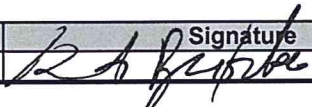
**SECTION 2 - For TCRP Projects Only**

- Alternative Project Request (Please follow Instructions at <http://www.dot.ca.gov/tcrp/LETTERguidelines>)
- Letter of No Prejudice (LONP) (Please follow Guidelines at <http://www.dot.ca.gov/tcrp/docs/042706.pdf>)

**SECTION 3 - All Projects**

**Approvals**

I hereby certify that the above information is complete and accurate and all approvals have been obtained for the processing of this amendment request.\*

Name (Print or Type)	Signature	Title	Date
Kurt Brotcke		Director Strategic Planning	4-7-17

**Attachments**

- 1) Concurrence from Implementing Agency and/or Regional Transportation Planning Agency
- 2) Project Location Map



**PROJECT PROGRAMMING REQUEST**

DTP-0001 (REV. 3/08)

Date: 05/17/17

County	CT District	PPNO	TCRP Project No.	EA
ORA	12	2655	0	OK021
<b>Project Title:</b> Interstate 5 Widening, Segment 1 (SR 73 to Oso Parkway)				

Existing Total Project Cost									Implementing Agency
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	
E&P (PA&ED)	2,367	0	0	0	0	0	0	2,367	OCTA
PS&E	9,651	0	0	0	0	0	0	9,651	OCTA
R/W SUP (CT)	947	4,249	0	0	0	0	0	5,196	Caltrans
CON SUP (CT)	0	0	0	0	2,234	9,353	0	11,587	Caltrans
R/W	0	32,476	0	0	0	0	0	32,476	Caltrans
CON	0	0	0	0	1,750	73,394	0	75,144	Caltrans
<b>TOTAL</b>	<b>12,965</b>	<b>36,725</b>	<b>0</b>	<b>0</b>	<b>3,984</b>	<b>82,747</b>	<b>0</b>	<b>136,421</b>	
Net Change									
E&P (PA&ED)	0	0	0	0	0	0	0	0	
PS&E	0	0	0	0	0	0	0	0	
R/W SUP (CT)	0	0	0	0	0	0	0	0	
CON SUP (CT)	0	0	0	11,587	-2,234	-9,353	0	0	
R/W	0	0	0	0	0	0	0	0	
CON	0	0	0	75,144	-1,750	-73,394	0	0	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>86,731</b>	<b>-3,984</b>	<b>-82,747</b>	<b>0</b>	<b>0</b>	
Proposed New Result									
E&P (PA&ED)	2,367	0	0	0	0	0	0	2,367	0
PS&E	9,651	0	0	0	0	0	0	9,651	
R/W SUP (CT)	947	4,249	0	0	0	0	0	5,196	
CON SUP (CT)	0	0	0	11,587	0	0	0	11,587	
R/W	0	32,476	0	0	0	0	0	32,476	
CON	0	0	0	75,144	0	0	0	75,144	
<b>TOTAL</b>	<b>12,965</b>	<b>36,725</b>	<b>0</b>	<b>86,731</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>136,421</b>	

Fund No. 1:	RIP - National Hwy System (NH)								Program Code
Existing Funding									20.XX.075.600
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency
E&P (PA&ED)	0	0	0	0	0	0	0	0	OCTA
PS&E	0	0	0	0	0	0	0	0	0
R/W SUP (CT)	0	0	0	0	0	0	0	0	
CON SUP (CT)	0	0	0	0	0	4,943	0	4,943	
R/W	0	0	0	0	0	0	0	0	
CON	0	0	0	0	0	73,087	0	73,087	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>78,030</b>	<b>0</b>	<b>78,030</b>	
Change									Notes
E&P (PA&ED)	0	0	0	0	0	0	0	0	
PS&E	0	0	0	0	0	0	0	0	
R/W SUP (CT)	0	0	0	0	0	0	0	0	
CON SUP (CT)	0	0	0	4,943	0	-4,943	0	0	
R/W	0	0	0	0	0	0	0	0	
CON	0	0	0	73,087	0	-73,087	0	0	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>78,030</b>	<b>0</b>	<b>-78,030</b>	<b>0</b>	<b>0</b>	
Proposed Funding									
E&P (PA&ED)	0	0	0	0	0	0	0	0	0
PS&E	0	0	0	0	0	0	0	0	
R/W SUP (CT)	0	0	0	0	0	0	0	0	
CON SUP (CT)	0	0	0	4,943	0	0	0	4,943	
R/W	0	0	0	0	0	0	0	0	
CON	0	0	0	73,087	0	0	0	73,087	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>78,030</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>78,030</b>	



**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised June 16, 2015)

General Instructions

<input type="checkbox"/> New Project		<input checked="" type="checkbox"/> Amendment (Existing Project)			Date:	5/17/17
District	EA	Project ID	PPNO	MPO ID	TCRP No.	
12	OC890	1200000085	2883A			
County	Route/Corridor	PM Bk	PM Ahd	Project Sponsor/Lead Agency		
ORA	5	31.3	34.2	Caltrans		
				MPO	Element	
				SCAG	Capital Outlay	
Project Manager/Contact		Phone		E-mail Address		
Steven King		714-560-5874		sking@octa.net		
<b>Project Title</b>						
I-5 HOV Lanes Improvement - SR-55 to SR-57.						
<b>Location, Project Limits, Description, Scope of Work</b>						<input type="checkbox"/> See page 2
The project is located on I-5 between SR-55 and SR-57, within the City of Santa Ana in Orange County. The project proposes the addition of one HOV lane in each direction on a 2.9 mile stretch of I-5 through the urban core of Orange County, providing additional HOV capacity and reducing freeway congestion. In addition to the HOV lane improvements, the project proposes the removal of the southbound off-ramp and northbound on-ramp HOV structure at Main Street.						
<input type="checkbox"/> Includes ADA Improvements		<input type="checkbox"/> Includes Bike/Ped Improvements				
<b>Component</b>	<b>Implementing Agency</b>					
PA&ED	OCTA					
PS&E	OCTA					
Right of Way	OCTA					
Construction	Caltrans					
<b>Legislative Districts</b>						
Assembly:	68, 69		Senate:	34, 37		
Congressional:	45, 46					
<b>Purpose and Need</b>						<input type="checkbox"/> See page 2
The primary purpose of the project is to reduce the existing and projected traffic congestion in the I-5 HOV lanes, reduce the travel delay for users of these HOV lanes, and enhance the efficient movement of people and goods on this segment of I-5. The primary needs for the project are related to the existing and forecasted future congestion in the I-5 HOV lanes, the delays caused by two HOV lanes merging into one HOV lane, and the delays in the movement of people and goods on this segment of I-5.						
<b>Project Benefits</b>						<input type="checkbox"/> See page 2
The project will improve operation, relieve congestion and improve mobility by adding a second HOV lane in each direction. The project creates a total of 550 jobs, producing \$23 million in wages; Improves safety and significantly reduces congestion-related accidents						
<input checked="" type="checkbox"/> Supports Sustainable Communities Strategy (SCS) Goals		<input checked="" type="checkbox"/> Reduces Greenhouse Gas Emissions				
<b>Project Milestone</b>				<b>Existing</b>	<b>Proposed</b>	
Project Study Report Approved				11/19/2010		
Begin Environmental (PA&ED) Phase				7/1/2011		
Circulate Draft Environmental Document		<b>Document Type</b>	ND/FONSI	8/6/2014		
Draft Project Report				8/5/2014		
End Environmental Phase (PA&ED Milestone)				4/27/2015		
Begin Design (PS&E) Phase				8/1/2015		
End Design Phase (Ready to List for Advertisement Milestone)				8/1/2017		
Begin Right of Way Phase				9/1/2016		
End Right of Way Phase (Right of Way Certification Milestone)				4/1/2017		
Begin Construction Phase (Contract Award Milestone)				2/1/2018		
End Construction Phase (Construction Contract Acceptance Milestone)				2/1/2020		
Begin Closeout Phase				2/1/2020		
End Closeout Phase (Closeout Report)				2/1/2021		

**ADA Notice**

For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.



**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised July 2013)

Date: 5/17/17

District	County	Route	EA	Project ID	PPNO	TCRP No.			
12	ORA	5	0C890	1200000085	2883A	0			
<b>Project Title:</b> I-5 HOV Lanes Improvement - SR-55 to SR-57.									
Existing Total Project Cost									
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Implementing Agency
E&P (PA&ED)	1,685	0	0	0	0	0	0	1,685	OCTA
PS&E	4,292	0	0	0	0	0	0	4,292	OCTA
R/W SUP (CT)	116	0	0	0	0	0	0	116	OCTA
CON SUP (CT)	0	0	0	4,800	0	0	0	4,800	Caltrans
R/W	116	0	0	0	0	0	0	116	OCTA
CON	0	0	0	26,049	0	0	0	26,049	Caltrans
<b>TOTAL</b>	<b>6,209</b>	<b>0</b>	<b>0</b>	<b>30,849</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>37,058</b>	
Proposed Total Project Cost (\$1,000s)									
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Notes
E&P (PA&ED)	1,685	0	0	0	0	0	0	1,685	
PS&E	4,292	0	0	0	0	0	0	4,292	
R/W SUP (CT)	116	0	0	0	0	0	0	116	
CON SUP (CT)	0	0	4,800	0	0	0	0	4,800	
R/W	116	0	0	0	0	0	0	116	
CON	0	0	26,049	0	0	0	0	26,049	
<b>TOTAL</b>	<b>6,209</b>	<b>0</b>	<b>30,849</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>37,058</b>	

Fund No. 1:	RIP-National Hwy System (NH)	Program Code							
		20.XX.075.600							
Existing Funding									
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency
E&P (PA&ED)								0	OCTA
PS&E								0	
R/W SUP (CT)								0	
CON SUP (CT)				2,900				2,900	
R/W								0	
CON				26,049				26,049	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>28,949</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>28,949</b>	
Proposed Funding (\$1,000s)									
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Notes
E&P (PA&ED)								0	
PS&E								0	
R/W SUP (CT)								0	
CON SUP (CT)			2,900					2,900	
R/W								0	
CON			26,049					26,049	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>28,949</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>28,949</b>	

Fund No. 2:	CMAQ	Program Code							
		20.30.010.810							
Existing Funding									
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency
E&P (PA&ED)								0	
PS&E	2,800							2,800	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON								0	
<b>TOTAL</b>	<b>2,800</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2,800</b>	
Proposed Funding (\$1,000s)									
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Notes
E&P (PA&ED)								0	
PS&E	2,800							2,800	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON								0	
<b>TOTAL</b>	<b>2,800</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2,800</b>	

**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised July 2013)

Date: 5/17/17

District	County	Route	EA	Project ID	PPNO	TCRP No.			
12	ORA	5	0C890	1200000085	2883A	0			
<b>Project Title:</b> I-5 HOV Lanes Improvement - SR-55 to SR-57.									
<b>Fund No. 3:</b>	Local Funds - Local Measure (MEA)					Program Code			
Existing Funding						20.10.400.100			
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency
E&P (PA&ED)	1,685							1,685	
PS&E	1,492							1,492	
R/W SUP (CT)	116							116	
CON SUP (CT)				1,900				1,900	
R/W	116							116	
CON								0	
TOTAL	3,409	0	0	1,900	0	0	0	5,309	
Proposed Funding (\$1,000s)									
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	
E&P (PA&ED)	1,685							1,685	
PS&E	1,492							1,492	
R/W SUP (CT)	116							116	
CON SUP (CT)			1,900					1,900	
R/W	116							116	
CON								0	
TOTAL	3,409	0	1,900	0	0	0	0	5,309	



**Complete this page for amendments only**

Date: 05/17/17

District	County	Route	EA	PPNO	TCRP No.
12	ORA	5	0C890	2883A	0

**SECTION 1 - All Projects**

**Project Background**

Existing 2016 STIP project

**Programming Change Requested**

Advance RIP- National Hwy System (NH) CON SUP for \$2.9 million in FY18/19 to FY17/18  
 Advance RIP- National Hwy System (NH) CON for \$26.049 million in FY18/19 to FY17/18  
 Advance Local Funds - Local Measure (MEA) CON SUP for \$1.9 million in FY18/19 to FY17/18

Total Project Cost remains at \$37.058 million

**Reason for Proposed Change**

Senate Bill 1 provides additional funding for the STIP and OCTA is requesting funding for this project that was delayed due to the 2016 STIP shortfall be returned to the previously approved fiscal year.

**If proposed change will delay one or more components, clearly explain 1) reason the delay, 2) cost increase related to the delay, and 3) how cost increase will be funded**

- 1). N/A
- 2). N/A
- 3). N/A

**Other Significant Information**

None

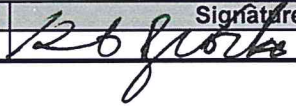
**SECTION 2 - For TCRP Projects Only**

- Alternative Project Request (Please follow Instructions at <http://www.dot.ca.gov/tcrp/LETTERguidelines>)
- Letter of No Prejudice (LONP) (Please follow Guidelines at <http://www.dot.ca.gov/tcrp/docs/042706.pdf>)

**SECTION 3 - All Projects**

**Approvals**

I hereby certify that the above information is complete and accurate and all approvals have been obtained for the processing of

Name (Print or Type)	Signature	Title	Date
Kurt Brotcke		Director of Strategic Planning	4-2-17

Attachments

**PROJECT PROGRAMMING REQUEST**

DTP-0001 (REV. 3/08)

Date: 05/17/17

County	CT District	PPNO	TCRP Project No.	EA
ORA	12	2883A	0	OC890
<b>Project Title:</b> I-5 HOV Lanes Improvement - SR-55 to SR-57.				

Existing Total Project Cost									Implementing Agency
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	
E&P (PA&ED)	1,685	0	0	0	0	0	0	1,685	OCTA
PS&E	4,292	0	0	0	0	0	0	4,292	OCTA
R/W SUP (CT)	116	0	0	0	0	0	0	116	OCTA
CON SUP (CT)	0	0	0	4,800	0	0	0	4,800	Caltrans
R/W	116	0	0	0	0	0	0	116	OCTA
CON	0	0	0	26,049	0	0	0	26,049	Caltrans
<b>TOTAL</b>	<b>6,209</b>	<b>0</b>	<b>0</b>	<b>30,849</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>37,058</b>	
Net Change									
E&P (PA&ED)	0	0	0	0	0	0	0	0	
PS&E	0	0	0	0	0	0	0	0	
R/W SUP (CT)	0	0	0	0	0	0	0	0	
CON SUP (CT)	0	0	4,800	-4,800	0	0	0	0	
R/W	0	0	0	0	0	0	0	0	
CON	0	0	26,049	-26,049	0	0	0	0	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>30,849</b>	<b>-30,849</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
Proposed New Result									
E&P (PA&ED)	1,685	0	0	0	0	0	0	1,685	0
PS&E	4,292	0	0	0	0	0	0	4,292	
R/W SUP (CT)	116	0	0	0	0	0	0	116	
CON SUP (CT)	0	0	4,800	0	0	0	0	4,800	
R/W	116	0	0	0	0	0	0	116	
CON	0	0	26,049	0	0	0	0	26,049	
<b>TOTAL</b>	<b>6,209</b>	<b>0</b>	<b>30,849</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>37,058</b>	

Fund No. 1:	RIP-National Hwy System (NH)								Program Code
Existing Funding									20.XX.075.600
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency
E&P (PA&ED)	0	0	0	0	0	0	0	0	OCTA
PS&E	0	0	0	0	0	0	0	0	0
R/W SUP (CT)	0	0	0	0	0	0	0	0	
CON SUP (CT)	0	0	0	2,900	0	0	0	2,900	
R/W	0	0	0	0	0	0	0	0	
CON	0	0	0	26,049	0	0	0	26,049	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>28,949</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>28,949</b>	
Change									Notes
E&P (PA&ED)	0	0	0	0	0	0	0	0	
PS&E	0	0	0	0	0	0	0	0	
R/W SUP (CT)	0	0	0	0	0	0	0	0	
CON SUP (CT)	0	0	2,900	-2,900	0	0	0	0	
R/W	0	0	0	0	0	0	0	0	
CON	0	0	26,049	-26,049	0	0	0	0	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>28,949</b>	<b>-28,949</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
Proposed Funding									0
E&P (PA&ED)	0	0	0	0	0	0	0	0	
PS&E	0	0	0	0	0	0	0	0	
R/W SUP (CT)	0	0	0	0	0	0	0	0	
CON SUP (CT)	0	0	2,900	0	0	0	0	2,900	
R/W	0	0	0	0	0	0	0	0	
CON	0	0	26,049	0	0	0	0	26,049	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>28,949</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>28,949</b>	



Fund No. 2:		CMAQ							Program Code	
Existing Funding									20.30.010.810	
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency	
E&P (PA&ED)	0	0	0	0	0	0	0	0	0	
PS&E	2,800	0	0	0	0	0	0	2,800	0	
R/W SUP (CT)	0	0	0	0	0	0	0	0		
CON SUP (CT)	0	0	0	0	0	0	0	0		
R/W	0	0	0	0	0	0	0	0		
CON	0	0	0	0	0	0	0	0		
<b>TOTAL</b>	<b>2,800</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2,800</b>		
Change									Notes	
E&P (PA&ED)	0	0	0	0	0	0	0	0		
PS&E	0	0	0	0	0	0	0	0		
R/W SUP (CT)	0	0	0	0	0	0	0	0		
CON SUP (CT)	0	0	0	0	0	0	0	0		
R/W	0	0	0	0	0	0	0	0		
CON	0	0	0	0	0	0	0	0		
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>		
Proposed Funding									Notes	
E&P (PA&ED)	0	0	0	0	0	0	0	0	0	
PS&E	2,800	0	0	0	0	0	0	2,800		
R/W SUP (CT)	0	0	0	0	0	0	0	0		
CON SUP (CT)	0	0	0	0	0	0	0	0		
R/W	0	0	0	0	0	0	0	0		
CON	0	0	0	0	0	0	0	0		
<b>TOTAL</b>	<b>2,800</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2,800</b>		

Fund No. 3:		Local Funds - Local Measure (MEA)							Program Code	
Existing Funding									20.10.400.100	
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency	
E&P (PA&ED)	1,685	0	0	0	0	0	0	1,685	0	
PS&E	1,492	0	0	0	0	0	0	1,492	0	
R/W SUP (CT)	116	0	0	0	0	0	0	116		
CON SUP (CT)	0	0	0	1,900	0	0	0	1,900		
R/W	116	0	0	0	0	0	0	116		
CON	0	0	0	0	0	0	0	0		
<b>TOTAL</b>	<b>3,409</b>	<b>0</b>	<b>0</b>	<b>1,900</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>5,309</b>		
Change									Notes	
E&P (PA&ED)	0	0	0	0	0	0	0	0		
PS&E	0	0	0	0	0	0	0	0		
R/W SUP (CT)	0	0	0	0	0	0	0	0		
CON SUP (CT)	0	0	1,900	-1,900	0	0	0	0		
R/W	0	0	0	0	0	0	0	0		
CON	0	0	0	0	0	0	0	0		
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>1,900</b>	<b>-1,900</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>		
Proposed Funding									Notes	
E&P (PA&ED)	1,685	0	0	0	0	0	0	1,685	0	
PS&E	1,492	0	0	0	0	0	0	1,492		
R/W SUP (CT)	116	0	0	0	0	0	0	116		
CON SUP (CT)	0	0	1,900	0	0	0	0	1,900		
R/W	116	0	0	0	0	0	0	116		
CON	0	0	0	0	0	0	0	0		
<b>TOTAL</b>	<b>3,409</b>	<b>0</b>	<b>1,900</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>5,309</b>		



**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised August 2013)

General Instructions

<input type="checkbox"/> New Project		<input checked="" type="checkbox"/> Amendment (Existing Project)			Date:	5/17/17
District	EA	Project ID		PPNO	MPO ID	TCRP No.
12	0C110			3834		
County	Route/Corridor	PM Bk	PM Ahd	Project Sponsor/Lead Agency		
ORA	SR-57	20.1	21.8	City of Brea		
				MPO	Element	
				SCAG	Capital Outlay	
Project Manager/Contact		Phone		E-mail Address		
Raul Lising		714-671-4450		RaulL@ci.brea.ca.us		
<b>Project Title</b>						
State Route 57 Truck Climbing Lane Phase I - Lambert Road Interchange Improvement						
<b>Location, Project Limits, Description, Scope of Work</b>						<input type="checkbox"/> See page 2
In the City of Brea at the SR-57 & Lambert Road Interchange. Reconfiguration of northbound ramps including construction of a loop on-ramp at the south-east quadrant; realign southbound ramps and add fourth approach lane along the southbound off-ramp; widen south side of Lambert Road to provide dual exclusive eastbound right-turn lanes into the southbound on-ramp.						
<input type="checkbox"/> Includes ADA Improvements		<input type="checkbox"/> Includes Bike/Ped Improvements				
<b>Component</b>	<b>Implementing Agency</b>					
PA&ED	City of Brea					
PS&E	City of Brea					
Right of Way	City of Brea					
Construction	City of Brea					
<b>Legislative Districts</b>						
Assembly:	55		Senate:	29		
Congressional:	39					
<b>Purpose and Need</b>						<input type="checkbox"/> See page 2
The SR-57 & Lambert Road interchange is presently characterized by poor operational performance during peak traffic periods and operational performance will further deteriorate with increase in anticipated future traffic volumes. Purpose of this project is to provide additional capacity and improve overall operational performance of the interchange. The proposed alternates should help mitigate the current congestion and better accommodate anticipated future traffic increases, thereby minimizing delays and potential safety hazards.						
<b>Project Benefits</b>						<input type="checkbox"/> See page 2
Proposed improvements will relieve current congestion and better accommodate anticipated future traffic increases; improve LOS and operational performance of the interchange; minimize delays and potential safety hazards for motorists using this stretch of the roadway.						
<input type="checkbox"/> Supports Sustainable Communities Strategy (SCS) Goals		<input type="checkbox"/> Reduces Greenhouse Gas Emissions				
<b>Project Milestone</b>				<b>Existing</b>	<b>Proposed</b>	
Project Study Report Approved				11/15/07	11/15/07	
Begin Environmental (PA&ED) Phase				10/11/11	10/11/11	
Circulate Draft Environmental Document		<b>Document Type</b>	MND/FONSI	03/02/15	03/02/15	
Draft Project Report				04/30/15	04/30/15	
End Environmental Phase (PA&ED Milestone)				08/20/15	08/20/15	
Begin Design (PS&E) Phase				08/24/15	08/24/15	
End Design Phase (Ready to List for Advertisement Milestone)				07/31/18	05/31/17	
Begin Right of Way Phase				08/01/19	08/16/17	
End Right of Way Phase (Right of Way Certification Milestone)				06/30/20	06/30/18	
Begin Construction Phase (Contract Award Milestone)				12/01/21	01/31/19	
End Construction Phase (Construction Contract Acceptance Milestone)				12/30/23	09/30/21	
Begin Closeout Phase				01/31/24	10/01/21	
End Closeout Phase (Closeout Report)				09/01/24	07/30/22	

**ADA Notice**

For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.



**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised July 2013)

Date: 5/17/17

District	County	Route	EA	Project ID	PPNO	TCRP No.
12	ORA	SR-57	0C110	0	3834	0

**Project Title:** State Route 57 Truck Climbing Lane Phase I - Lambert Road Interchange Improvement

Existing Total Project Cost									Implementing Agency
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	
E&P (PA&ED)	1,200	0	0	0	0	0	0	1,200	City of Brea
PS&E	2,700	900	0	0	0	0	0	3,600	City of Brea
R/W SUP (CT)	0	0	0	0	0	0	0	0	City of Brea
CON SUP (CT)	0	0	0	0	0	0	0	0	City of Brea
R/W	0	0	0	0	18,884	0	0	18,884	City of Brea
CON	0	0	0	0	0	40,103	0	40,103	City of Brea
<b>TOTAL</b>	<b>3,900</b>	<b>900</b>	<b>0</b>	<b>0</b>	<b>18,884</b>	<b>40,103</b>	<b>0</b>	<b>63,787</b>	

Proposed Total Project Cost (\$1,000s)									Notes
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	
E&P (PA&ED)	1,200	0	0	0	0	0	0	1,200	
PS&E	2,700	900	0	0	0	0	0	3,600	
R/W SUP (CT)	0	0	0	0	0	0	0	0	
CON SUP (CT)	0	0	0	0	0	0	0	0	
R/W	0	0	18,884	0	0	0	0	18,884	
CON	0	0	0	40,103	0	0	0	40,103	
<b>TOTAL</b>	<b>3,900</b>	<b>900</b>	<b>18,884</b>	<b>40,103</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>63,787</b>	

**Fund No. 1:** RIP - National Hwy System (NH)

Existing Funding									Program Code
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency
E&P (PA&ED)								0	OCTA
PS&E								0	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W					9,000			9,000	
CON								0	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>9,000</b>	<b>0</b>	<b>0</b>	<b>9,000</b>	

Proposed Funding (\$1,000s)									Notes
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	
E&P (PA&ED)								0	
PS&E								0	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W			9,000					9,000	
CON								0	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>9,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>9,000</b>	

**Fund No. 2:** Demo - Demonstration - TEA21 (DEMOT21)

Existing Funding									Program Code
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency
E&P (PA&ED)	600							600	
PS&E	324							324	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON								0	
<b>TOTAL</b>	<b>924</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>924</b>	

Proposed Funding (\$1,000s)									Notes
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	
E&P (PA&ED)	600							600	
PS&E	324							324	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON								0	
<b>TOTAL</b>	<b>924</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>924</b>	

**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised July 2013)

Date: 5/17/17

District	County	Route	EA	Project ID	PPNO	TCRP No.
12	ORA	SR-57	0C110	0	3834	0
<b>Project Title:</b> State Route 57 Truck Climbing Lane Phase I - Lambert Road Interchange Improvement						

<b>Fund No. 3:</b>	Local Funds - Orange Co. Measure M2-Regional Capacity (ORAM2RC)								Program Code
Existing Funding									20.10.400.100
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency
E&P (PA&ED)	600							600	
PS&E	327							327	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON								0	
<b>TOTAL</b>	<b>927</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>927</b>	
Proposed Funding (\$1,000s)									Notes
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	
E&P (PA&ED)	600							600	
PS&E	327							327	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON								0	
<b>TOTAL</b>	<b>927</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>927</b>	

<b>Fund No. 4:</b>	Local Funds - Local Transportation Funds (LTF)								Program Code
Existing Funding									20.10.400.100
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency
E&P (PA&ED)								0	Brea
PS&E	2,049	900						2,949	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W					9,884			9,884	
CON								0	
<b>TOTAL</b>	<b>2,049</b>	<b>900</b>	<b>0</b>	<b>0</b>	<b>9,884</b>	<b>0</b>	<b>0</b>	<b>12,833</b>	
Proposed Funding (\$1,000s)									Notes
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	
E&P (PA&ED)								0	
PS&E	2,049	900						2,949	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W			9,884					9,884	
CON								0	
<b>TOTAL</b>	<b>2,049</b>	<b>900</b>	<b>9,884</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>12,833</b>	

<b>Fund No. 5:</b>	Future - Unfunded Need								Program Code
Existing Funding									
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency
E&P (PA&ED)	0	0	0	0	0	0	0	0	
PS&E	0	0	0	0	0	0	0	0	
R/W SUP (CT)	0	0	0	0	0	0	0	0	
CON SUP (CT)	0	0	0	0	0	0	0	0	
R/W	0	0	0	0	0	0	0	0	
CON	0	0	0	0	0	40,103	0	40,103	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>40,103</b>	<b>0</b>	<b>40,103</b>	
Proposed Funding (\$1,000s)									Notes
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	
E&P (PA&ED)								0	Combination of Future state funds including STIP and/or California Freight Investment Program
PS&E								0	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON				40,103				40,103	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>40,103</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>40,103</b>	



Date: 05/17/17

**Complete this page for amendments only**

District	County	Route	EA	PPNO	TCRP No.
12	ORA	SR-57	OC110	3834	0

**SECTION 1 - All Projects**

**Project Background**

Existing 2016 STIP Projects

**Programming Change Requested**

Change title to State Route 57 Truck Climbing Lane Phase I - Lambert Road Interchange Improvement from SR-57 & Lambert Road Interchange Improvements Project

Change End Design Phase from 7/31/18 to 5/31/17  
 Change Begin ROW Phase from 8/1/19 to 8/16/17  
 Change End ROW phase from 6/30/20 to 6/30/18  
 Change Begin CON Phase from 12/1/21 to 1/31/19  
 Change End CON Phase from 12/30/23 to 9/31/21  
 Change Begin Closeout from 1/31/24 to 10/1/21  
 Change End Closeout from 9/1/24 to 7/30/22

Advance RIP-National Hwy System (NH) ROW for \$9.0 million in FY19/20 to FY17/18  
 Advance Local Funds - Local Transportation Funds (LTF) ROW for \$9.884 million in FY19/20 to FY17/18  
 Advance Future- Unfunded Need CON for \$40.103 million in FY20/21 to FY18/19

Total Project Cost remains at \$63.787 million

**Reason for Proposed Change**

Senate Bill 1 provides additional funding for the STIP. OCTA is requesting an advance for funding for this project that was delayed due to the 2016 STIP shortfall

**If proposed change will delay one or more components, clearly explain 1) reason the delay, 2) cost increase related to the delay, and 3) how cost increase will be funded**

- 1). N/A
- 2). N/A
- 3). N/A

**Other Significant Information**

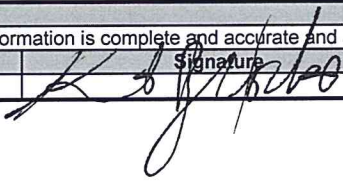
**SECTION 2 - For TCRP Projects Only**

- Alternative Project Request (Please follow Instructions at <http://www.dot.ca.gov/tcrp/LETTERguidelines>)
- Letter of No Prejudice (LONP) (Please follow Guidelines at <http://www.dot.ca.gov/tcrp/docs/042706.pdf>)

**SECTION 3 - All Projects**

**Approvals**

I hereby certify that the above information is complete and accurate and all approvals have been obtained for the processing

Name (Print or Type)	Signature	Title	Date
Kurt Brotcke		Director Strategic Planning	4-7-17

Attachments

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**PROJECT PROGRAMMING REQUEST**  
DTP-0001 (REV. 3/08)

Date: 05/17/17

County	CT District	PPNO	TCRP Project No.	EA
ORA	12	3834	0	0C110
<b>Project Title:</b> State Route 57 Truck Climbing Lane Phase I - Lambert Road Interchange Improvement				

Existing Total Project Cost									Implementing Agency
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	
E&P (PA&ED)	1,200	0	0	0	0	0	0	1,200	City of Brea
PS&E	2,700	900	0	0	0	0	0	3,600	City of Brea
R/W SUP (CT)	0	0	0	0	0	0	0	0	City of Brea
CON SUP (CT)	0	0	0	0	0	0	0	0	City of Brea
R/W	0	0	0	0	18,884	0	0	18,884	City of Brea
CON	0	0	0	0	0	40,103	0	40,103	City of Brea
<b>TOTAL</b>	<b>3,900</b>	<b>900</b>	<b>0</b>	<b>0</b>	<b>18,884</b>	<b>40,103</b>	<b>0</b>	<b>63,787</b>	
Net Change									
E&P (PA&ED)	0	0	0	0	0	0	0	0	
PS&E	0	0	0	0	0	0	0	0	
R/W SUP (CT)	0	0	0	0	0	0	0	0	
CON SUP (CT)	0	0	0	0	0	0	0	0	
R/W	0	0	18,884	0	-18,884	0	0	0	
CON	0	0	0	40,103	0	-40,103	0	0	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>18,884</b>	<b>40,103</b>	<b>-18,884</b>	<b>-40,103</b>	<b>0</b>	<b>0</b>	
Proposed New Result									
E&P (PA&ED)	1,200	0	0	0	0	0	0	1,200	0
PS&E	2,700	900	0	0	0	0	0	3,600	
R/W SUP (CT)	0	0	0	0	0	0	0	0	
CON SUP (CT)	0	0	0	0	0	0	0	0	
R/W	0	0	18,884	0	0	0	0	18,884	
CON	0	0	0	40,103	0	0	0	40,103	
<b>TOTAL</b>	<b>3,900</b>	<b>900</b>	<b>18,884</b>	<b>40,103</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>63,787</b>	

Fund No. 1:	RIP - National Hwy System (NH)								Program Code
									20.XX.075.600
Existing Funding									Funding Agency
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	OCTA
E&P (PA&ED)	0	0	0	0	0	0	0	0	0
PS&E	0	0	0	0	0	0	0	0	0
R/W SUP (CT)	0	0	0	0	0	0	0	0	0
CON SUP (CT)	0	0	0	0	0	0	0	0	0
R/W	0	0	0	0	9,000	0	0	9,000	
CON	0	0	0	0	0	0	0	0	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>9,000</b>	<b>0</b>	<b>0</b>	<b>9,000</b>	
Change									Notes
E&P (PA&ED)	0	0	0	0	0	0	0	0	
PS&E	0	0	0	0	0	0	0	0	
R/W SUP (CT)	0	0	0	0	0	0	0	0	
CON SUP (CT)	0	0	0	0	0	0	0	0	
R/W	0	0	9,000	0	-9,000	0	0	0	
CON	0	0	0	0	0	0	0	0	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>9,000</b>	<b>0</b>	<b>-9,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	
Proposed Funding									0
E&P (PA&ED)	0	0	0	0	0	0	0	0	
PS&E	0	0	0	0	0	0	0	0	
R/W SUP (CT)	0	0	0	0	0	0	0	0	
CON SUP (CT)	0	0	0	0	0	0	0	0	
R/W	0	0	9,000	0	0	0	0	9,000	
CON	0	0	0	0	0	0	0	0	
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>9,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>9,000</b>	



Fund No. 2:		Demo - Demonstration - TEA21 (DEMOT21)							Program Code	
		Existing Funding							20.30.010.680	
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency	
E&P (PA&ED)	600	0	0	0	0	0	0	600	0	
PS&E	324	0	0	0	0	0	0	324	0	
R/W SUP (CT)	0	0	0	0	0	0	0	0		
CON SUP (CT)	0	0	0	0	0	0	0	0		
R/W	0	0	0	0	0	0	0	0		
CON	0	0	0	0	0	0	0	0		
TOTAL	924	0	0	0	0	0	0	924		
		Change							Notes	
E&P (PA&ED)	0	0	0	0	0	0	0	0		
PS&E	0	0	0	0	0	0	0	0		
R/W SUP (CT)	0	0	0	0	0	0	0	0		
CON SUP (CT)	0	0	0	0	0	0	0	0		
R/W	0	0	0	0	0	0	0	0		
CON	0	0	0	0	0	0	0	0		
TOTAL	0	0	0	0	0	0	0	0		
		Proposed Funding								
E&P (PA&ED)	600	0	0	0	0	0	0	600	0	
PS&E	324	0	0	0	0	0	0	324		
R/W SUP (CT)	0	0	0	0	0	0	0	0		
CON SUP (CT)	0	0	0	0	0	0	0	0		
R/W	0	0	0	0	0	0	0	0		
CON	0	0	0	0	0	0	0	0		
TOTAL	924	0	0	0	0	0	0	924		

Fund No. 3:		Local Funds - Orange Co. Measure M2-Regional Capacity (ORAM2RC)							Program Code	
		Existing Funding							20.10.400.100	
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency	
E&P (PA&ED)	600	0	0	0	0	0	0	600	0	
PS&E	327	0	0	0	0	0	0	327	0	
R/W SUP (CT)	0	0	0	0	0	0	0	0		
CON SUP (CT)	0	0	0	0	0	0	0	0		
R/W	0	0	0	0	0	0	0	0		
CON	0	0	0	0	0	0	0	0		
TOTAL	927	0	0	0	0	0	0	927		
		Change							Notes	
E&P (PA&ED)	0	0	0	0	0	0	0	0		
PS&E	0	0	0	0	0	0	0	0		
R/W SUP (CT)	0	0	0	0	0	0	0	0		
CON SUP (CT)	0	0	0	0	0	0	0	0		
R/W	0	0	0	0	0	0	0	0		
CON	0	0	0	0	0	0	0	0		
TOTAL	0	0	0	0	0	0	0	0		
		Proposed Funding								
E&P (PA&ED)	600	0	0	0	0	0	0	600	0	
PS&E	327	0	0	0	0	0	0	327		
R/W SUP (CT)	0	0	0	0	0	0	0	0		
CON SUP (CT)	0	0	0	0	0	0	0	0		
R/W	0	0	0	0	0	0	0	0		
CON	0	0	0	0	0	0	0	0		
TOTAL	927	0	0	0	0	0	0	927		

Fund No. 4:		Local Funds - Local Transportation Funds (LTF)							Program Code	
		Existing Funding							20.10.400.100	
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency	
E&P (PA&ED)	0	0	0	0	0	0	0	0	Brea	
PS&E	2,049	900	0	0	0	0	0	2,949	0	
R/W SUP (CT)	0	0	0	0	0	0	0	0		
CON SUP (CT)	0	0	0	0	0	0	0	0		
R/W	0	0	0	0	9,884	0	0	9,884		
CON	0	0	0	0	0	0	0	0		
<b>TOTAL</b>	<b>2,049</b>	<b>900</b>	<b>0</b>	<b>0</b>	<b>9,884</b>	<b>0</b>	<b>0</b>	<b>12,833</b>		
		Change							Notes	
E&P (PA&ED)	0	0	0	0	0	0	0	0		
PS&E	0	0	0	0	0	0	0	0		
R/W SUP (CT)	0	0	0	0	0	0	0	0		
CON SUP (CT)	0	0	0	0	0	0	0	0		
R/W	0	0	9,884	0	-9,884	0	0	0		
CON	0	0	0	0	0	0	0	0		
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>9,884</b>	<b>0</b>	<b>-9,884</b>	<b>0</b>	<b>0</b>	<b>0</b>		
		Proposed Funding							0	
E&P (PA&ED)	0	0	0	0	0	0	0	0		
PS&E	2,049	900	0	0	0	0	0	2,949		
R/W SUP (CT)	0	0	0	0	0	0	0	0		
CON SUP (CT)	0	0	0	0	0	0	0	0		
R/W	0	0	9,884	0	0	0	0	9,884		
CON	0	0	0	0	0	0	0	0		
<b>TOTAL</b>	<b>2,049</b>	<b>900</b>	<b>9,884</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>12,833</b>		

Fund No. 5:		Future - Unfunded Need							Program Code	
		Existing Funding							0	
Component	Prior	16/17	17/18	18/19	19/20	20/21		Total	Funding Agency	
E&P (PA&ED)	0	0	0	0	0	0	0	0	0	
PS&E	0	0	0	0	0	0	0	0	0	
R/W SUP (CT)	0	0	0	0	0	0	0	0		
CON SUP (CT)	0	0	0	0	0	0	0	0		
R/W	0	0	0	0	0	0	0	0		
CON	0	0	0	0	0	40,103	0	40,103		
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>40,103</b>	<b>0</b>	<b>40,103</b>		
		Change							Notes	
E&P (PA&ED)	0	0	0	0	0	0	0	0		
PS&E	0	0	0	0	0	0	0	0		
R/W SUP (CT)	0	0	0	0	0	0	0	0		
CON SUP (CT)	0	0	0	0	0	0	0	0		
R/W	0	0	0	0	0	0	0	0		
CON	0	0	0	40,103	0	-40,103	0	0		
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>40,103</b>	<b>0</b>	<b>-40,103</b>	<b>0</b>	<b>0</b>		
		Proposed Funding							Combination of Future state funds including STIP and/or California Freight Investment Program	
E&P (PA&ED)	0	0	0	0	0	0	0	0		
PS&E	0	0	0	0	0	0	0	0		
R/W SUP (CT)	0	0	0	0	0	0	0	0		
CON SUP (CT)	0	0	0	0	0	0	0	0		
R/W	0	0	0	0	0	0	0	0		
CON	0	0	0	40,103	0	0	0	40,103		
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>40,103</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>40,103</b>		





COMMITTEE TRANSMITTAL

May 8, 2017

**To:** Members of the Board of Directors

**From:**  Laurena Weinert, Clerk of the Board

**Subject:** Measure M2 Eligibility Review Recommendations for Fiscal Year 2015-16 Expenditure Reports and City of San Juan Capistrano's Maintenance of Effort Benchmark

Regional Planning and Highways Committee Meeting of May 1, 2017

**Present:** Directors Delgleize, Do, Donchak, M. Murphy, and Nelson

**Absent:** Directors Steel and Spitzer

**Committee Vote**

This item was passed by the Members present.

Director Delgleize was not present to vote on this item.

**Committee Recommendations**

- A. Approve fiscal year 2015-16 expenditure reports and find 35 local agencies eligible to receive Measure M2 revenues for fiscal year 2016-17.
- B. Approve the City of San Juan Capistrano's maintenance of effort benchmark adjustment for the fiscal year 2017-18 eligibility cycle.



**May 1, 2017**

**To:** Regional Planning and Highways Committee

**From:** Darrell Johnson, Chief Executive Officer

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

**Subject:** Measure M2 Eligibility Review Recommendations for Fiscal Year 2015-16 Expenditure Reports and City of San Juan Capistrano's Maintenance of Effort Benchmark

### **Overview**

Measure M2 requires all local agencies in Orange County to annually satisfy eligibility requirements in order to receive Measure M2 net revenues. Fiscal year 2015-16 expenditure reports and resolutions have been submitted by the local agencies, and reviewed and approved by the Taxpayer Oversight Committee. Recommendations are presented to the Board of Directors for eligibility determination. The Measure M2 Ordinance includes eligibility requirements that local agencies must satisfy in order to receive Measure M2 net revenues, which include a periodic adjustment to the maintenance of effort benchmark. The Board of Directors approved the maintenance of effort benchmark adjustments on April 10, 2017. A correction to the City of San Juan Capistrano's maintenance of effort benchmark is also being presented to the Board of Directors for approval.

### **Recommendations**

- A. Approve fiscal year 2015-16 expenditure reports and find 35 local agencies eligible to receive Measure M2 revenues for fiscal year 2016-17.
- B. Approve the City of San Juan Capistrano's maintenance of effort benchmark adjustment for the fiscal year 2017-18 eligibility cycle.

### **Background**

The Measure M2 (M2) Ordinance requires local jurisdictions to meet 13 eligibility requirements, including the adoption of an annual expenditure report that accounts for M2 net revenues, developer/traffic impact fees, and funds expended that satisfy maintenance of effort (MOE) requirements.

Local agencies are required to annually submit expenditure reports within six months of the close of each local agency's fiscal year (FY). This allows the local agencies time to prepare certified annual financial reports and to develop the M2 Expenditure Report. The Taxpayer Oversight Committee (TOC) reviews specific eligibility requirements and designates the Annual Eligibility Review (AER) Subcommittee to review eligibility components, including local agencies' expenditure reports.

The M2 Ordinance also requires that local jurisdictions satisfy the MOE requirements by maintaining a minimum level of local streets and roads expenditures from local agencies' discretionary funds, consistent with the provisions of enabling statutes. The M2 Ordinance provided a process to review the MOE and adjust the benchmark every three years, beginning in 2011. The second MOE benchmark adjustment for the upcoming eligibility cycle was approved by the Board of Directors (Board) on April 10, 2017.

### ***Discussion***

#### **Expenditure Reports**

The AER Subcommittee convened on March 29, 2017, to review the expenditure reports and resolutions. The M2 Ordinance requires local jurisdictions to satisfy the MOE requirements by maintaining a minimum level of local streets and roads expenditures from local agencies' discretionary funds and report the actual MOE expenditures in the M2 expenditure reports.

The AER Subcommittee asked Orange County Transportation Authority (OCTA) staff to communicate the subcommittees' concerns to the City of Rancho Santa Margarita (City) on reporting MOE expenditures that are exactly equal to the City's MOE benchmark. In the event that any MOE expenditures are deemed ineligible through a future audit, the City may jeopardize their eligibility status and risk being ineligible to receive M2 funds since the expenditures would be below the required benchmark. OCTA staff will send out a letter to the City (Attachments B) to express concerns raised by the committee members during the AER Subcommittee meeting.

The AER Subcommittee found that all agencies submitted acceptable expenditure reports consistent with the eligibility requirements, as summarized in Attachment A. On April 11, 2017, the AER Subcommittee recommended to the TOC that the County of Orange and all cities be found eligible.

The TOC approved the expenditure reports for 35 local jurisdictions and is recommending that all 35 local jurisdictions be approved as eligible to receive M2 net revenues for FY 2016-17. All other eligibility requirements were previously met and approved by the Board on April 10, 2017. The expenditure report is the last requirement to be satisfied for the final FY 2016-17 eligibility determination.

**MOE**

There was a reporting error for the City of San Juan Capistrano's (City's) MOE benchmark adjustment calculation that was presented to the Board on April 10, 2017. The MOE benchmark adjustment for the City should be corrected to \$422,472 instead of \$435,004, based on information received from the City. The correction to the City's MOE benchmark is reflected in Attachment C.

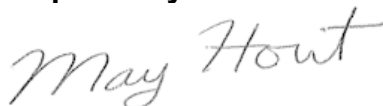
***Summary***

All local agencies have submitted FY 2015-16 expenditure reports that are consistent with the M2 Ordinance. The TOC reviewed and approved the M2 expenditure reports. Board approval is required to confirm that these local agencies have met the eligibility requirements for FY 2016-17 and approve the correction to the City's MOE benchmark.

***Attachments***

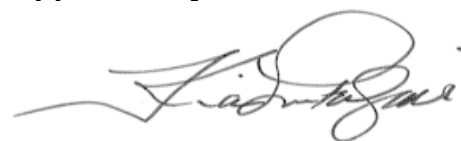
- A. FY 2016-17 Measure M2 Eligibility Review of FY 2015-16 Expenditure Reports Summary
- B. Draft Letter to Mr. E. (Max) Maximous, Public Works Director, City of Rancho Santa Margarita, from Kia Mortazavi, Executive Director, Planning, Orange County Transportation Authority, Dated May 8, 2017
- C. MOE Benchmark by Local Jurisdiction - Revised

**Prepared by:**



May Hout  
Senior Transportation Analyst  
(714) 560-5905

**Approved by:**



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

**FY 2016-17 Measure M2 Eligibility Review  
of FY 2015-16 Expenditure Reports Summary**

<b>Local Jurisdiction</b>	<b>Expenditure Report Received by Deadline</b>	<b>Resolution Received by Deadline</b>	<b>MOE Reported</b>	<b>Compliant</b>
Aliso Viejo	Yes	Yes	Yes	Yes
Anaheim	Yes	Yes	Yes	Yes
Brea	Yes	Yes	Yes	Yes
Buena Park	Yes	Yes	Yes	Yes
Costa Mesa	Yes	Yes	Yes	Yes
County of Orange	Yes	Yes	N/A	Yes
Cypress	Yes	Yes	Yes	Yes
Dana Point	Yes	Yes	Yes	Yes
Fountain Valley	Yes	Yes	Yes	Yes
Fullerton	Yes	Yes	Yes	Yes
Garden Grove	Yes	Yes	Yes	Yes
Huntington Beach	Yes	Yes	Yes	Yes
Irvine	Yes	Yes	Yes	Yes
La Habra	Yes	Yes	Yes	Yes
La Palma	Yes	Yes	Yes	Yes
Laguna Beach	Yes	Yes	Yes	Yes
Laguna Hills	Yes	Yes	Yes	Yes
Laguna Niguel	Yes	Yes	Yes	Yes
Laguna Woods	Yes	Yes	Yes	Yes
Lake Forest	Yes	Yes	Yes	Yes
Los Alamitos	Yes	Yes	Yes	Yes
Mission Viejo	Yes	Yes	Yes	Yes
Newport Beach	Yes	Yes	Yes	Yes
Orange	Yes	Yes	Yes	Yes
Placentia	Yes	Yes	Yes	Yes
Rancho Santa Margarita	Yes	Yes	Yes	Yes
San Clemente	Yes	Yes	Yes	Yes
San Juan Capistrano	Yes	Yes	Yes	Yes
Santa Ana	Yes	Yes	Yes	Yes
Seal Beach	Yes	Yes	Yes	Yes
Stanton	Yes	Yes	Yes	Yes
Tustin	Yes	Yes	Yes	Yes
Villa Park	Yes	Yes	Yes	Yes
Westminster	Yes	Yes	Yes	Yes
Yorba Linda	Yes	Yes	Yes	Yes

FY - Fiscal Year

MOE - Maintenance of Effort

May 8, 2017

Mr. E. (Max) Maximous  
Public Works Director  
City of Rancho Santa Margarita  
22112 El Paseo  
Rancho Santa Margarita, CA 92688

**RE: Maintenance of Effort Concerns Expressed by the Annual Eligibility Review Subcommittee**

Dear Mr. Maximous:

As you know, local agencies are required to submit eligibility verification packages to the Orange County Transportation Authority annually to remain eligible to receive Measure M2 (M2) net revenues. The Taxpayer Oversight Committee (TOC) is responsible for reviewing eligibility requirements and designating a subcommittee to review this information, which includes the M2 Expenditure Report.

Upon review of the City of Rancho Santa Margarita's (City) fiscal year 2015-16 expenditure report submittal, members of the TOC expressed concerns about the City's actual MOE expenditures. The City is the only local agency in Orange County that is reporting MOE expenditures exactly equal to the City's MOE benchmark.

In the event that any MOE expenditures are deemed ineligible through a future audit, the City may jeopardize their eligibility status and risk being ineligible to receive M2 funds, since the expenditures would be below the required benchmark. While the City is satisfying the MOE requirement, the TOC believes that it is important to communicate their concerns to the City in order to avoid future risk of ineligibility.

If you have any questions, please contact me at [kmortazavi@octa.net](mailto:kmortazavi@octa.net) or at (714) 560-5741.

Sincerely,

Kia Mortazavi  
Executive Director, Planning

KM:mh

c: Kurt Brotcke, OCTA  
Sam Kaur, OCTA

## MOE Benchmark by Local Jurisdiction - Revised

Column	A	B	C	D	E
Agency	Current MOE Benchmark	MOE Adjustment*	Amount Increased (A * B)	New MOE Benchmark (A + C)	Reported FY 15-16 Actual Expenditures
Aliso Viejo	\$ 409,360	12.86%	\$ 52,644	\$ 462,004	\$ 428,591
Anaheim	\$ 8,127,913	23.75%	\$ 1,930,379	\$ 10,058,292	\$ 9,226,446
Brea	\$ 703,000	2.28%	\$ 16,028	\$ 719,028	\$ 1,354,760
Buena Park	\$ 3,738,212	0.13%	\$ 4,860	\$ 3,743,072	\$ 5,466,533
Costa Mesa	\$ 6,457,802	14.33%	\$ 925,403	\$ 7,383,205	\$ 7,960,484
County of Orange	\$ -	0.00%	\$ -	\$ -	N/A
Cypress	\$ 2,767,411	12.66%	\$ 350,354	\$ 3,117,765	\$ 6,755,402
Dana Point	\$ 1,065,496	23.23%	\$ 247,515	\$ 1,313,011	\$ 1,775,199
Fountain Valley	\$ 1,180,712	13.67%	\$ 161,403	\$ 1,342,115	\$ 2,493,170
Fullerton	\$ 3,427,988	10.44%	\$ 357,882	\$ 3,785,870	\$ 5,740,353
Garden Grove	\$ 2,823,522	19.65%	\$ 554,822	\$ 3,378,344	\$ 5,807,439
Huntington Beach	\$ 4,954,235	13.18%	\$ 652,968	\$ 5,607,203	\$ 10,433,271
Irvine	\$ 5,452,970	29.29%	\$ 1,597,175	\$ 7,050,145	\$ 19,973,892
La Habra	\$ 1,356,014	12.78%	\$ 173,299	\$ 1,529,313	\$ 2,419,948
La Palma	\$ 173,004	-8.22%	\$ -	\$ 173,004	\$ 519,913
Laguna Beach	\$ 1,417,616	9.30%	\$ 131,838	\$ 1,549,454	\$ 4,729,432
Laguna Hills	\$ 269,339	15.27%	\$ 41,128	\$ 310,467	\$ 1,467,102
Laguna Niguel	\$ 721,542	25.92%	\$ 187,024	\$ 908,566	\$ 2,032,253
Laguna Woods	\$ 83,501	7.43%	\$ 6,204	\$ 89,705	\$ 88,396
Lake Forest	\$ 145,670	33.48%	\$ 48,770	\$ 194,440	\$ 1,301,934
Los Alamitos	\$ 147,465	10.20%	\$ 15,041	\$ 162,506	\$ 592,081
Mission Viejo	\$ 2,247,610	12.96%	\$ 291,290	\$ 2,538,900	\$ 4,596,548
Newport Beach	\$ 8,868,393	22.59%	\$ 2,003,370	\$ 10,871,763	\$ 19,027,594
Orange	\$ 2,430,131	20.07%	\$ 487,727	\$ 2,917,858	\$ 3,520,215
Placentia**	\$ 546,000	20.01%	\$ 109,255	\$ 655,255	\$ 994,922
Rancho Santa Margarita	\$ 358,155	9.10%	\$ 32,592	\$ 390,747	\$ 358,155
San Clemente	\$ 951,000	19.37%	\$ 184,209	\$ 1,135,209	\$ 3,643,808
San Juan Capistrano	\$ 390,383	8.22%	\$ 32,089	\$ 422,472	\$ 2,342,553
Santa Ana	\$ 6,958,998	11.44%	\$ 796,109	\$ 7,755,107	\$ 7,670,183
Seal Beach	\$ 551,208	-0.17%	\$ -	\$ 551,208	\$ 1,191,688
Stanton	\$ 186,035	31.81%	\$ 59,178	\$ 245,213	\$ 197,057
Tustin	\$ 1,222,756	19.05%	\$ 232,935	\$ 1,455,691	\$ 2,245,527
Villa Park	\$ 279,227	15.21%	\$ 42,470	\$ 321,697	\$ 658,359
Westminster	\$ 1,284,000	20.62%	\$ 264,761	\$ 1,548,761	\$ 1,651,008
Yorba Linda	\$ 1,985,964	14.79%	\$ 293,724	\$ 2,279,688	\$ 2,429,941
Totals	\$ 73,682,632		\$ 12,284,446	\$ 85,967,078	\$ 141,094,157

\* The MOE benchmark adjustment is based on the percent change in CCI for the immediately preceding three-year period. The adjustment cannot exceed the percent change in the jurisdiction's GFR over the same period of time. If there is negative growth in the jurisdiction's GFR, the local agencies will have a zero percent MOE adjustment. The 2013 CCI is 97.09, and the 2016 CCI is 140.75. The percent change is 44.97 percent. The MOE adjustment is based on the growth in the jurisdiction's GFR.

\*\* Final CAFR has not been adopted/released. The draft CAFR or GFR GL has been used to calculate the estimated benchmark. Adjustments may be required.

MOE - Maintenance of effort  
FY - Fiscal year  
N/A - Not Applicable  
CCI - Construction cost index

GFR - General fund revenue  
CAFR - Comprehensive Annual Financial Report  
GL - General ledger







COMMITTEE TRANSMITTAL

**May 22, 2017**

**To:** Members of the Board of Directors

**From:** Laurena Weinert, Clerk of the Board

**Subject:** Rail Programs and Facilities Engineering Quarterly Report

Transit Committee Meeting of May 11, 2017

**Present:** Directors Do, Jones, Murray, Pulido, Shaw, and Tait

**Absent:** Director Winterbottom

**Committee Vote**

This item was passed by the Members present.

**Committee Recommendation**

Receive and file as an information item.



*May 11, 2017*

**To:** Transit Committee

*Y. Kenneth Ruzza for*

**From:** Darrell Johnson, Chief Executive Officer

**Subject:** Rail Programs and Facilities Engineering Quarterly Report

### **Overview**

The Rail Programs and Facilities Engineering departments are responsible for the Orange County Transportation Authority's rail project development, rail capital programs, rail operations, and transit facilities engineering projects. This report provides an update on rail and facilities engineering programs through the third quarter (January, February, and March) of fiscal year 2016-17.

### **Recommendation**

Receive and file as an information item.

### **Background**

The Rail Programs and Facilities Engineering departments (Departments) are responsible for implementing the Orange County Transportation Authority's (OCTA) railroad capital projects, including station parking enhancements and expansions, new station developments, expanded rail services, OC Streetcar, and transit facilities engineering. Additionally, the Departments are responsible for improved and expanded operations of Orange County's rail system by providing rail service that supports and matches the growth and development patterns of Orange County and the region.

### **Discussion**

This report provides an update on the Departments' programs and the projects, including Rail Capital, Transit Extensions to Metrolink, Rail Operations, and Transit Facilities Engineering.

### Rail Capital

Rail Capital projects include a wide range of projects necessary to sustain existing passenger rail service and support future increases in service. This includes new station developments, station parking expansions and enhancements, grade separations and grade-crossing enhancements, and various other track and infrastructure projects.

#### Station Improvements

The Laguna Niguel/Mission Viejo Metrolink Station improvements project provides Americans with Disabilities Act (ADA)-compliant access ramps that will replace the existing elevators. Since the existing elevators are currently out of service, bus service is required to transport passengers from one side of the station to the other. The existing elevator rooms are being converted to a restroom, a vending machine, and storage rooms. The project scope also includes additional benches, shade structures, and relocation of Moulton Niguel Water District's 33-inch sewer line, which is in conflict with the project. The construction notice to proceed (NTP) was issued on February 23, 2016. The contractor has completed the relocation of the sewer main and is continuing with the construction of the ADA ramps on both sides of the pedestrian underpass. Three new canopy structures were erected along platform 2 with public use anticipated by the end of May 2017. Construction is anticipated to be completed in July 2017.

The Orange Transportation Center parking structure project represents a long-standing effort between the City of Orange and OCTA to increase the parking capacity to accommodate future growth in ridership of the Metrolink system. Plans, specifications, and estimates for a 611-space parking structure were completed by the City of Orange in June 2016. Per a cooperative agreement between OCTA and the City of Orange, OCTA is the lead on the construction phase of the project and issued an invitation for bids (IFB) in July 2016. Bids were received in September 2016, but the procurement was canceled. The plans and specifications were revised and re-released for bid in November 2016. Bids were opened in January 2017. Several bid protests were received, and staff discovered that each of the four bids received includes bidding errors, which makes awarding the contract problematic. The current IFB was canceled, and a new IFB will be issued in May 2017.

The proposed Placentia Metrolink Station will be located on BNSF Railway (BNSF) and City of Placentia-owned right-of-way (ROW). The station will include platforms, parking, and passenger amenities. OCTA is the lead for design and construction of the project. Previously completed design plans are being revised to include a parking structure in lieu of surface parking. The project will also include a third track, which should assist with the on-time performance of train operations and provide operational flexibility for both freight and passenger

trains. BNSF will be the lead on the rail construction, and a construction and maintenance agreement with BNSF for this work will need to be in place before the IFB for construction can be released. The plans are anticipated to be complete and, pending the BNSF agreement, will be advertised for bid in October 2017 with an anticipated completion date of September 2019.

The Anaheim Canyon Metrolink Station Improvement project includes the addition of a second station track, platform, the extension of the existing platform to accommodate longer train consists, and associated passenger amenities, including ticket vending machines, benches, canopies, and signage. OCTA is the lead agency on all phases of project development, including construction. Preliminary engineering (30 percent plans) and California Environmental Quality Act (CEQA) clearance was obtained in January 2017, and National Environmental Policy Act (NEPA) clearance is pending. A request for proposal (RFP) for final plans, specifications, and estimates was released on April 10, 2017. Construction is expected to begin in June 2019 and be completed in August 2020.

The City of Fullerton is the lead agency on a project to add a second elevator to each side of the existing railroad pedestrian bridge and modify the restrooms to be ADA compliant at the Fullerton Transportation Center. The City of Fullerton issued the construction NTP in January 2016, and renovations to the restrooms have been completed. The contractor has experienced delays on the elevator work due to subcontractor issues and dry utility conflicts, which may push out the expected January 2018 completion date.

The San Clemente Pier Metrolink/Amtrak Station lighting project, which added light bollards on the station platform, was completed in March 2017 and is currently in the close-out stage.

#### Rail Corridor Improvements

Rail corridor improvements consist of capital and rehabilitation projects that improve the safety, operations, or reliability of the rail infrastructure. OCTA owns over 45 miles of operating railroad.

There are currently six grade separation projects along the Los Angeles – San Diego – San Luis Obispo (LOSSAN) rail corridor that have completed project study reports or environmental clearance and are not currently advancing due to lack of funds.

The 17<sup>th</sup> Street Grade Separation project is progressing through the environmental clearance phase. The project report equivalent document was approved by the Southern California Regional Rail Authority (SCRRRA) and is currently being reviewed by the City of Santa Ana. The Office of Historic Preservation reviewed the Historical Property Survey Report submitted by the California Department of Transportation (Caltrans) and determined that one of the properties impacted by

the project is eligible for listing in the National Register of Historical Places. The Finding of Effects (FOE) documentation was prepared and submitted to Caltrans for review and approval. Upon completion of the FOE, Caltrans will complete the NEPA determination, currently projected to be eligible for Categorical Exclusion. The City of Santa Ana, upon review of the project documents, will provide the CEQA determination, currently projected to be eligible for statutory exemption. The environmental phase is anticipated to be completed in June 2017; however, some of the final approval actions are taking longer than anticipated.

The Laguna Niguel to San Juan Capistrano passing siding project will add approximately 1.8 miles of new passing siding railroad track adjacent to the existing mainline track. The project will enhance operational efficiency of passenger services within the LOSSAN rail corridor. Proposed modifications to the existing Rancho Capistrano private crossing, associated with the addition of passing track, were discussed with all the stakeholders, including the California Public Utilities Commission (CPUC). Alternatives to address concerns raised by CPUC have been developed in coordination with the stakeholders. The project design schedule has been impacted by an additional six months, extending to December 2017. All advanced San Diego Gas & Electric (SDG&E) power pole relocation activities were completed in November 2016, with the exception of one pole awaiting communication tenants to relocate its facilities from the SDG&E pole.

The San Juan Creek railroad bridge in the City of San Juan Capistrano was built in 1917. The existing 300-foot long bridge carries a single mainline track for passenger and freight rail traffic over San Juan Creek and is in need of replacement. The replacement bridge will be constructed adjacent to the existing bridge to minimize disruption of rail traffic. Additionally, the new railroad bridge will incorporate a future bikeway underpass on the south end of the track along the creek. OCTA and SCRRA are working with the County of Orange to develop a cooperative agreement to identify the roles, responsibilities, and funding to design and construct the additional bikeway underpass to enhance the County's network of trails and bikeways. SCRRA is the overall project lead, and OCTA is the ROW acquisition lead. SCRRA has advanced the design to 60 percent completion. The current total project cost is \$38.3 million. The project received CEQA clearance in June 2016, and will obtain NEPA environmental clearance by mid-2017. OCTA staff will seek Board approval to acquire the necessary ROW for the project. The ROW acquisition is anticipated to take up to 18 months, and the project will be construction-ready by the third quarter 2018.

The Control Point (CP) Fourth project is located in the City of Santa Ana between Fourth Street and Chestnut Avenue, between mile posts 175.45 and 175.80, and will provide rail operational efficiencies. Metrolink operations utilize Centralize Traffic Control (a traffic control system) in which a dispatcher controls the railroad traffic through the use of signal blocks. A CP is a set of railroad signals and switches controlled by the dispatcher and authorizes a train to proceed or stop within the block of track it controls. The project includes installation of an automated turnout

to a Union Pacific Railroad spur track, along with related civil, signal, and communication modifications and improvements. On June 13, 2016, the OCTA Board approved a cooperative agreement with SCRRA to define the roles and responsibilities and the funding requirements of the project. SCRRA completed design and began procurement of signal and track materials and contractors. The project is expected to be complete by the second quarter of 2018.

The railroad ROW Slope Stabilization project includes eight locations within the OCTA-owned LOSSAN rail corridor that have been identified for improvements to prevent future erosion and slope instability. OCTA's consultant has provided a 60 percent design submittal. Final utility potholing and design exceptions approval from SCRRA are pending.

Metrolink continues the implementation of positive train control (PTC) throughout the system. In September 2016, Metrolink achieved a significant milestone, becoming the first commuter railroad in the nation to receive approval of conditional PTC system certification from the Federal Railroad Administration (FRA). Metrolink staff is working to achieve full PTC system certification in 2017.

#### Transit Extensions to Metrolink: OC Streetcar

The Transit Extensions to Metrolink Program is intended to broaden the reach of Orange County's backbone rail system to key employment, population, and activity centers. The OC Streetcar project will serve the Santa Ana Regional Transportation Center through downtown Santa Ana, and the Civic Center to Harbor Boulevard in the City of Garden Grove.

In January 2017, the Federal Transit Administration (FTA) approved the OC Streetcar project into the engineering phase of the New Starts process. This significant milestone was preceded by the completion of 60 percent design in December 2016. During the reporting period, staff continued to submit project readiness documents to FTA as required for the Full Funding Grant Agreement (FFGA) application. The FFGA application is anticipated to be submitted in May 2017, pending Board approval. FTA conducted a Risk Assessment workshop in March 2017, based upon the Project's cost, schedule, and scope as defined by the 60 percent design plans. Results of the Risk Assessment workshop will be presented to the Board in May 2017.

The construction manager performed an initial constructability review and provided input on construction elements, including schedule, phasing, and contract specifications. The effort will be further refined upon 90 percent design completion, anticipated in late April 2017.

Staff continued meetings with utility owners to narrow utility conflicts and assist with utility owner's response to relocation claim letters. Additionally, negotiations continued regarding acquisition of the properties required for the maintenance

and storage facility, with staff continuing to provide relocation assistance to the residential and commercial tenants.

Meetings were held with the Safety and Security Committee to review the 60 percent design plans, as well as with the CPUC to discuss the at-grade railroad crossing applications, traffic-related elements required for streetcar operations, as well as approval of the required safety and security certification plan.

A preproposal meeting was held for the vehicle manufacturing and delivery solicitation in January 2017, and staff conducted interviews for the Public Awareness Campaign (PAC) RFP. Vehicle manufacturer proposals are due in late May 2017, and the award of the PAC contract is scheduled for April 2017.

Based upon an evaluation of multiple organizational models, as well as a set of key considerations, the Board approved moving forward to contract out operations and maintenance services for the OC Streetcar project. An RFP is anticipated to be released for the operations and maintenance services in Fall 2017.

### Rail Operations

As one of five member agencies that comprise Metrolink, OCTA participates in the design and operation of Metrolink service in Orange County. Rail Operations staff serve as the liaison with Metrolink and are involved in route and service planning, funding, and implementation. In addition to coordination of daily Metrolink operations, the team coordinates the StationLink service, special trains, promotional activities, and outreach.

- The Rams' returned to Los Angeles (LA) for the 2016-17 football season, and Metrolink operated special train service on four lines, the Orange County (OC), San Bernardino, Antelope Valley, and 91/Perris Valley lines (91/PV), to LA Union Station for six weekend home games. Metrolink's \$10 weekend day pass was valid for a round trip and includes transfers to Metro Rail to bring fans to the LA Coliseum. Ridership on the OC and 91/PV lines on game days served 2,177 average boardings, more than double the ridership of regular Sundays not served by Rams Trains (973 average boardings).
- The Metrolink Angels Express service began this quarter with two pre-season games on March 30, 2017, and will serve 54 weekday home games on the OC Line, including 15 Friday night games on the Inland Empire – Orange County (IEOC) Line, with an extension from Perris Valley. Baseball fans helped OCTA kick-off the Angels Express with a rally at the Irvine Metrolink Station for the home opener on Friday, April 7, 2017.

- Metrolink has received the first of 40 new Tier 4 clean emissions locomotives, but has yet to launch the locomotives into revenue service due to required slight design modifications. Once the FRA approves the modification, Metrolink expects to continue testing and have the locomotives in operation later this year.

The total fiscal year (FY) 2016-17 third quarter ridership (weekday and weekend) for the three Metrolink lines serving Orange County was 1.108 million, a 0.6 percent increase compared to 1.102 million boardings during the same period in FY 2015-16. Metrolink ridership increased by 3.1 percent on the OC Line and 0.8 percent on the 91/PV Line, and decreased by 4.2 percent on the IEOC Line.

Average weekday boardings on the three lines serving Orange County have remained relatively steady for the last three years, at above 16,000 boardings in the third quarter, as shown in Attachment A.

Rail Operations staff also represent OCTA's interests in the LOSSAN Joint Powers Authority, including the ongoing coordination and service integration efforts on the LOSSAN rail corridor.

#### Transit Facilities Engineering

Transit Facilities Engineering is responsible for the development and implementation of capital rehabilitation, facility modifications, and new capital projects for all OCTA transit facilities, including the five bus bases and seven park-and-ride lots. Design is underway on six projects, including removal of liquefied natural gas underground storage tanks at the Anaheim and Garden Grove bus bases, minor rehabilitation of the bus dock platform at Fullerton Park-and-Ride, facility modifications for hydrogen buses at the Santa Ana Bus Base, video surveillance system replacement at the Santa Ana and Garden Grove bus bases, bus wash building metal framing and siding repairs at the Irvine Construction Circle (ICC) Bus Base, and the liquid hydrogen fueling station at the Santa Ana Bus Base. In addition, a procurement is underway for the Transit Security Operations Center preliminary engineering and environmental clearance.

There are four projects in the bid phase for construction, including replacement of heating and ventilation units at the Garden Grove Bus Base maintenance shop, bus yard pavement striping and markings at the Garden Grove Bus Base, fence repair and bus parking stall wheel stops at the Anaheim Bus Base, and hydrogen gas detection upgrades at the Santa Ana Bus Base for the single hydrogen bus demonstration project.

Six projects were under construction this period, three were completed, including replacement of heating and evaporative cooling units at the ICC Bus Base



maintenance shop, fall protection at maintenance bays and skylights at all bus bases, and pavement repairs at the Garden Grove Bus Base and Fullerton Park-and-Ride. Construction continued on two projects, including the vehicle inspection station equipment canopy at the Garden Grove Bus Base, bus wash water run-off mitigation modifications at all bus bases, and one new project was started early March 2017 to repair the bridge at the Laguna Beach Transportation Center.

***Summary***

The Departments are responsible for OCTA's rail project development, rail capital improvement programs, rail operations, and transit facilities engineering projects. For the period covering the third quarter of FY 2016-17, projects generally progressed consistent with scope and schedule.

***Attachment***

None.

**Prepared by:**



Jennifer Bergener  
Director, Rail Programs and Facilities  
Engineering  
(714) 560-5462

**Approved by:**



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



# Rail Programs and Facilities Engineering Quarterly Report


# Station Improvements



Project	Cost (millions)	2013	2014	2015	2016	2017	2018	2019	2020	
Laguna Niguel/Mission Viejo Metrolink Station/Americans with Disabilities Act Ramp Improvements	\$8.52									
Orange Metrolink Station Parking Structure	\$29.07									
Placentia Metrolink Station	\$31.20									
Anaheim Canyon Metrolink Station Improvements	\$20.05									
Fullerton Transportation Center Elevator Upgrades	\$4.00									
<b>Total</b>	<b>\$92.84</b>	Note: All Costs do not include right-of-way (ROW) expenses.								

 Project Definition Report

 Project Approval/Environmental Document (PA/ED)

 Final Design

 Construction

 Funding Approval

 Project On Hold At City's Request

# Rail Corridor Improvements



## Schedule / Cost

Project	Cost (millions)	2013	2014	2015	2016	2017	2018	2019
17th Street Grade Separation	\$ 55.00							
Laguna Niguel-San Juan Capistrano Passing Siding	\$ 30.83							
San Juan Creek Bridge Replacement	\$ 34.20							
Control Point Fourth	\$ 8.51							
Positive Train Control Program (Orange County Transportation Authority (OCTA) Share)	\$ 39.92							
Rail Right-of-Way Slope Stabilization	\$ 2.00							
<b>Total</b>	<b>\$ 170.46</b>							

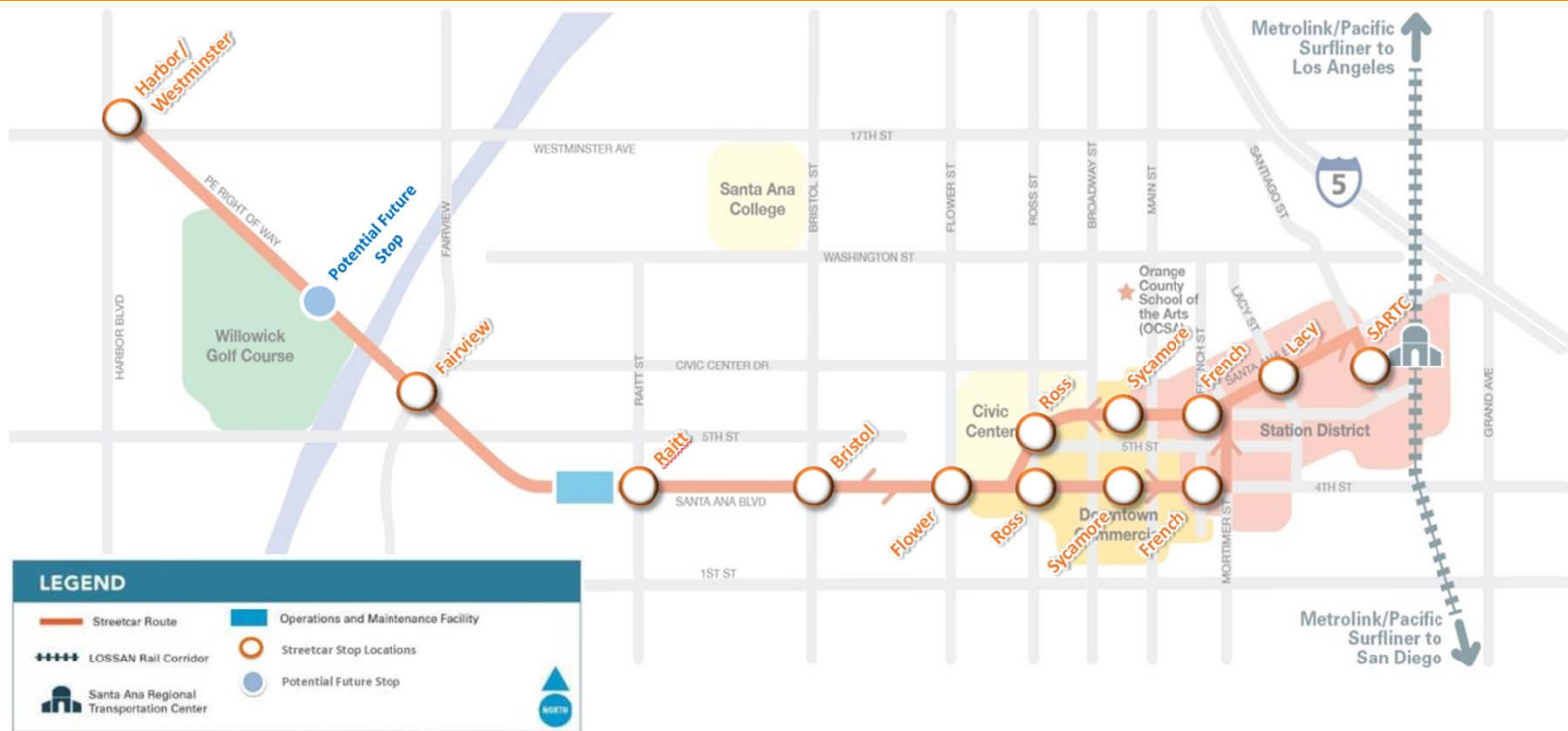
PA/ED

Final Design

Construction

Planning

# OC Streetcar



Schedule	2013	2014	2015	2016	2017	2018	2019	2020
Alternatives Analysis, state/federal environmental clearance, and conceptual engineering	[Bar]							
Project Development/Preliminary Engineering/ Engineering*			[Bar]					
Construction**						[Bar]		

\* Phases partially funded (Future programming and budget action subject to Board of Directors' approval)

\*\* Pursuing federal New Starts



# Rail Operations

## Rams Train

- Special Orange County (OC) Line and 91/Perris Valley Line Metrolink Rams trains served six home games from September 18, 2016 to January 1, 2017
- \$10 weekend day pass promoted - round trip on game days served compared to previous Sundays
- Average ridership for the OC and 91/PV lines more than doubled



## Lunar New Year

- Special OC Line train on Saturday, February 4, 2017 to Los Angeles
- \$10 weekend day pass promoted - round trip
- OCTA event at the Irvine Metrolink Station
- More than 1,200 boardings on special trains



## Angels Express

- Special service to 54 home games from March 30 through September 29, 2017
- Two pre-season games served on March 30 and 31, 2017 sold 547 Angels Express round trip tickets
- Over 250 fans attended the Angels Express Rally at the Irvine Metrolink Station on April 7, 2017
- Angels Express tickets are \$7 round trip
- Mobile Source Air Pollution Reduction Review Committee grant funded

## Surfboards On Metrolink

- Starting in May 2017, Metrolink will allow surfboards inside trains
- Special 'bike/board' cars will be deployed on the Inland Empire - OC Line
- Storage area with netting allows up to five surfboards per 'bike/board' car



# Facilities Engineering

Project	Cost (millions)	2016	2017	2018
Ana, GG Bases - LNG Underground Storage Tanks Removal	\$ 1.50			
Ana Base - Fence Repair and Bus Parking Stall Wheel Stops	\$ 0.07			
LBTC - Bridge Assessment and Repair	\$ 0.20			
FPNR - Bus Dock Platform Minor Rehabilitation	\$ 0.25			
GG Base - Maintenance Building HV Unit Replacement	\$ 0.29			
GG Base - Vehicle Inspection Station Equipment Canopy	\$ 0.26			
All Bases - Bus Wash Run-Off Mitigation	\$ 0.65			
SA Base - Liquid Hydrogen Fueling Station	\$ 4.77			
SA Base - Facility Modifications for Hydrogen Buses	\$ 1.13			
GG Base - Bus Yard Pavement Striping	\$ 0.07			
SA, GG Bases - Video Surveillance System	\$ 1.20			
TSOC - Preliminary Engineering and Environmental Clearance	\$ 0.92			
<b>TOTAL</b>	<b>\$ 11.31</b>			

Final Design
  Bid
  Construction

## OCTA Facility Legend:

Ana	Anaheim Bus Base
FPNR	Fullerton Park-and-Ride
GG	Garden Grove Bus Base
Iv CC	Irvine Construction Circle Bus Base
Iv SC	Irvine Sand Canyon Bus Base
BPNR	Brea Park-and-Ride
GWTC	Golden West Transportation Center
NPTC	Newport Transportation Center
LBTC	Laguna Beach Transportation Center
SA	Santa Ana Bus Base
TSOC	Transit Security Operations Center



GG Vehicle Inspection Equipment Canopy



LBTC Bridge Repair Project