



AGENDA

Technical Advisory Committee

Committee Members

Shaun Pelletier, Chair	<i>City of Aliso Viejo</i>
Raja Sethuraman, Interim Vice Chair	<i>City of Costa Mesa</i>
Rudy Emami	<i>City of Anaheim</i>
Michael Ho	<i>City of Brea</i>
Mina Mikhael	<i>City of Buena Park</i>
Doug Dancs	<i>City of Cypress</i>
Matthew Sinacori	<i>City of Dana Point</i>
Hye Jin Lee	<i>City of Fountain Valley</i>
Meg McWade	<i>City of Fullerton</i>
William Murray	<i>City of Garden Grove</i>
Chau Vu	<i>City of Huntington Beach</i>
Jaimee Bourgeois	<i>City of Irvine</i>
Albert Mendoza	<i>City of La Habra</i>
Michael Belknap	<i>City of La Palma</i>
Mark Trestik	<i>City of Laguna Beach</i>
Amber Shah	<i>City of Laguna Hills</i>
Jacki Scott	<i>City of Laguna Niguel</i>
Akram Hindiyyeh	<i>City of Laguna Woods</i>
Tom Wheeler	<i>City of Lake Forest</i>
Chris Kelley	<i>City of Los Alamitos</i>
Mark Chagnon	<i>City of Mission Viejo</i>
David Webb	<i>City of Newport Beach</i>
Christopher Cash	<i>City of Orange</i>
Luis Estevez	<i>City of Placentia</i>
Brendan Dugan	<i>City of Rancho Santa Margarita</i>
Kiel Koger	<i>City of San Clemente</i>
Tom Toman	<i>City of San Juan Capistrano</i>
Jason Gabriel	<i>City of Santa Ana</i>
Iris Lee	<i>City of Seal Beach</i>
Joe Ames	<i>City of Stanton</i>
Doug Stack	<i>City of Tustin</i>
Hamid Torkamanha	<i>City of Villa Park</i>
Jake Ngo	<i>City of Westminster</i>
Jamie Lai	<i>City of Yorba Linda</i>
Fiona Man	<i>County of Orange</i>
Jonathan Lawhead	<i>Caltrans Ex-Officio</i>

Orange County Transportation Authority
550 South Main Street, Room 08
Orange, California
June 22, 2022 1:30pm

Any person with a disability who requires a modification or accommodation to participate in this meeting should contact the Orange County Transportation Authority (OCTA) Measure M2 Local Programs section, telephone (714) 560-5905, no less than two (2) business days prior to this meeting to enable OCTA to make reasonable arrangements to assure accessibility to this meeting.



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Agenda Descriptions

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

Public Availability of Agenda Materials

All documents relative to the items referenced in this agenda are available for public inspection at www.octa.net or through the Clerk of the Board's office at: OCTA Headquarters, 600 South Main Street, Orange, California.

Members of the public may address the Committee regarding any item in two ways:

In-Person Comment

Members of the public may attend in-person (subject to OCTA's COVID-19 safety protocols) and address the Committee regarding any item. Members of the public will be required to complete a COVID-19 symptom and temperature screening.

Written Comment

Written public comments may also be submitted by emailing them to cmorales@octa.net, and must be sent 90 minutes prior to the start time of the meeting. If you wish to comment on a specific agenda item, please identify the item number in your email. All public comments that are timely received will be part of the public record and distributed to the Committee. Public comments will be made available to the public upon request.



Call to Order

Self-Introductions

1. Approval of Minutes

Approval of Technical Advisory Committee regular meeting minutes from the May 25, 2022 meeting.

Regular Items

2. Measure M2 2023 Comprehensive Transportation Funding Programs – Proposed Guidelines Modifications for the 2023 Call for Projects – Charvalen Alacar

Overview

Measure M2 allocates net revenues for the development of various competitive programs which provide funding for transit, environmental cleanup, and local streets and roads projects. Funding for local streets and roads projects is anticipated to be made available, subject to Board of Directors approval, through a 2023 call for projects for the Regional Capacity Program and Regional Traffic Signal Synchronization Program. Staff has updated the Comprehensive Transportation Funding Programs Guidelines and is seeking direction to advance these proposed revisions to the Orange County Transportation Authority's Board of Directors for consideration and approval.

Recommendation

Recommend to the Board of Directors, approval of proposed updates to the Comprehensive Transportation Funding Programs Guidelines for the 2023 Call for Projects.

3. Draft Proposals to Manage CTFP Cost Escalation – Charvalen Alacar

Overview

Considering the unusual inflationary impacts currently being experienced, local jurisdictions have requested that the Orange County Transportation Authority consider special allowance to reapply for an existing allocation concurrent with the cancellation and cost escalation adjustments to allocations.



Recommendation

Provide input on draft proposals for

- flexible cancellation of projects in order to reapply for funding through the Comprehensive Transportation Funding Programs 2023 call for projects for the Regional Capacity Program and Regional Traffic Signal Synchronization Program and
- escalation adjustments for Regional Capacity Program and Regional Traffic Signal Synchronization Program allocations.

Discussion Items

4. Correspondence

OCTA Board Items of Interest – Please see Attachment A.
Announcements by Email – Please see Attachment B.

5. Committee Comments

6. Staff Comments

7. Items for Future Agendas

8. Caltrans Local Assistance Update

9. Public Comments

10. Adjournment

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



May 25, 2022 Minutes



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Voting Representatives Present:

Shaun Pelletier	City of Aliso Viejo
Rudy Emami	City of Anaheim
Mina Mikhael	City of Buena Park
Raja Sethuraman	City of Costa Mesa
Fiona Man	County of Orange
Hye Jin Lee	City of Fountain Valley
Chao Vu	City of Huntington Beach
Albert Mendoza	City of La Habra
Mark Trestik	City of Laguna Beach
Jacki Scott	City of Laguna Niguel
Akram Hindiyeh	City of Laguna Woods
Tom Wheeler	City of Lake Forest
Chris Kelley	City of Los Alamitos
Mark Chagnon	City of Mission Viejo
Jim Houlihan	City of Newport Beach
Christopher Cash	City of Orange
Brendan Dugan	City of Rancho Santa Margarita
Zak Ponsen	City of San Clemente
Tom Toman	City of San Juan Capistrano
Jason Gabriel	City of Santa Ana
Taig Higgins	City of Santa Ana
Iris Lee	City of Seal Beach
Doug Stack	City of Tustin
Hamid Torkamanha	City of Villa Park
Jamie Lai	City of Yorba Linda

Orange County Transportation Authority
550 S. Main Street, Room 09
Orange, CA
May 25, 2022 1:30 PM

Guest Present:

Oliver Luu, Caltrans

Staff Present:

Kia Mortazavi
Kurt Brotcke
Adriann Cardoso
Charvalen Alacar
Anup Kulkarni
Cynthia Morales
Alicia Yang
Amy Tran
Steve Hossack
Jonathan Lee

Voting Representatives Absent:

Michael Ho	City of Brea
Doug Dancs	City of Cypress
Meg McWade	City of Fullerton
Matthew Sinacori	City of Dana Point
Jaimee Bourgeois	City of Irvine
Michael Belknap	City of La Palma
Amber Shah	City of Laguna Hills
Luis Estevez	City of Placentia
Joe Ames	City of Stanton
Jake Ngo	City of Westminster



The meeting was called to order by Chair Pelletier at 1:30pm.

1. Approval of Minutes

Mr. Wheeler motioned to approve the Minutes.

Mr. Sethuraman seconded the motion.

The Minutes were approved; there was no further discussion.

Regular Items

2. Comprehensive Transportation Funding Programs Semi-Annual Review – March 2022

Ms. Alacar provided an overview of the proposed project adjustments requests for OCTA's March 2022 Comprehensive Transportation Funding Programs (CTFP) Semi-Annual Review.

Ms. Alacar stated that in total, 127 project adjustments were being advanced for the TAC, and ultimately the OCTA Board consideration and approval. She then provided a brief summary of recommended project adjustments requests, which included:

- 7 delays;
- 6 timely-use of funds extensions for CTFP projects;
- 30 timely-use of funds extensions for Local Fair Share allocations;
- 55 timely-use of funds extensions for Senior Mobility Program (SMP) allocations;
- 16 scope changes;
- 3 transfer of savings; and
- 10 OCTA-initiated requests

Ms. Alacar noted that staff has observed that while the proposed modifications are consistent with expectations for a March semi-annual review cycle, 79 of the 127 total project adjustment requests submitted for this semi-annual review cycle are reported as being in some part due to the pandemic. Some of those pandemic impacts include labor shortages, inflationary issues, and supply chain.

Ms. Alacar continued by stating due to these impacts OCTA staff is proposing an exception to a CTFP Guidelines (Guidelines) requirement. This exception



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specifically relates to the Project X (Environmental Cleanup Program) Tier 1 requirement, which states that delays are not to be granted. Due to the rapid onset of supply chain and inflationary issues, it has taken local jurisdictions longer to execute contracts than the required contract award by June 30th of the year programmed.

Mr. Chagnon stated the City of Mission Viejo respectfully disagrees with the comments in the staff report regarding allowing project funding adjustment for previously awarded projects which are now underfunded due to the pandemic cost escalations. He stated the pandemic had two financial impacts, first revenues were decreased, and second cost were increased. He stated with regard to revenue reduction OCTA took action by modifying the M2 Ordinance (Ordinance) to reduce the Maintenance of Effort (MOE) requirement but with regard to cost escalation, the response has been supplemental funding for projects that are now underfunded will be a violation of the Ordinance. This is based on the premise that somehow additional funding for these previously awarded projects could not be competitively vetted. He noted the Ordinance does not mention anything about M2 projects having to be new or that you can't go back and revisit previously awarded projects. There is no reason why you can't rescore these projects using the increased funding amount and see if they are still competitive.

Mr. Chagnon continued by quoting the OCTA staff report from May 9th, 2022, "projects are awarded through a competitive process in order to fund the highest-value improvements that would have the most significant countywide impact on street operations and traffic flow" and stated that the purpose of the competitive process is to ensure that the highest impact projects will be prioritized, which is what we are not doing here. Mr. Chagnon stated the La Paz project which scored a 71 when it was awarded is underfunded and now, we are being told sorry. What is happening is that a project that scored a 37 in the current call is going forward and our project is staying behind. He asked if that is consistent with the M2 objective of prioritizing projects with the greatest impacts, and stated the normal process works well but, in this case, it is not, and we need to look into it. There are all these ramifications, and we are stuck on not wanting to increase the allocation of previously awarded projects, we can make this a one-time exception due to the extraordinary impacts of the pandemic.

Ms. Lai stated the cost of doing business now is cheaper than it will be if we delay the project. She stated she would like OCTA to give further consideration.

Mr. Gabriel stated the City of Santa Ana is in a similar situation with the escalation, rising housing market, and the COVID-19 restriction on tenant eviction for the right-of-way phase of their project. He stated there is an opportunity cost right now to make a one-time exception.



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Mr. Stack stated given that the pandemic is a one-time situation and that this is above and beyond being considered normal, he is curious to know where OCTA stands.

Mr. Brotcke stated this was addressed in the TAC item and discussions, and OCTA has been clear that any allocations need to go through a competitive process. He stated the Guidelines specify OCTA will not pay for cost increases and another issue is that some agencies already paid the cost increase. There really isn't an avenue for OCTA to allocate additional funds. OCTA is being flexible with scope changes, but in terms of opening it up for an additional allocation, that is not within staff purview both from an Ordinance point of view, as well as from a Guidelines point of view since it is a precept.

Mr. Stack asked if there is no avenue even if a future call amount is decreased.

Mr. Brotcke stated that would mean some of those projects will not get funded. He stated to Mr. Chagnon's point there might be a project that scores a 71 but it won't get funded due to a low call amount. It gets back to the fairness issue on the competitive part.

Mr. Sethuraman asked if there is a way on the next call for these projects to apply for additional funds.

Mr. Brotcke stated that has been offered through rescoping the projects. We aren't sure that will work for all the projects, but we are open for the reduced scope to be a new project or segment in the next call given that the new proposed scope is still meeting the intent of the project.

Mr. Sethuraman stated he was not referring to the scope reduction and clarified that he was referring to supplemental funding requests being considered as part of the next call, that way OCTA can evaluate these projects with the other projects and see if that merits additional funding as part of the call.

Mr. Emami asked if it is possible to allow the agencies to be granted a delay in the timing of project delivery to let the agencies go through the call process and if their projects scored a 71 originally but now, they score a 56, it won't get the additional funding and the agency has the option to go forward with the funding they currently have. If the project scores higher, it has a legitimate claim to the additional funding.

Mr. Brotcke stated typically to apply for a project again, it would need to be cancelled.

Mr. Emami stated he is clear on what the Ordinance and the Guidelines stated, but they don't speak to preventing a project from not being cancelled and letting it compete in the call.



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Ms. Alacar stated her main concern with that approach would be for the projects which have already awarded a contract. Those expenses will not be eligible prior to a letter agreement being executed, meaning if we maintain that same project and it applies for the next call and it gets programmed at a higher rate those expenses will not be eligible.

Mr. Emami stated he understands, and those expenses will not be part of the same request. He stated his intent is to work within the Guidelines. He stated he believes a fair way to do that would be to allow for these projects to reapply and compete in the next call.

Mr. Brotcke reminded the group that there is approximately \$100 million in future funding needed for good projects that are in the pipeline. He stated OCTA will look further into this and continue the conversation.

Mr. Emami asked if this item could be delayed timing wise until the next TAC meeting.

Mr. Brotcke stated this current item is the Semi-Annual Review (SAR) which is independent of the call. He stated the timing would be connected to the Guidelines, which are planned to go to Board in August (2022). That item will open the call, applications will be due by October (2022) and awarded sometime in June (2023) by the Board.

Mr. Chagnon asked for clarification on the proposal presented by Mr. Emami.

Mr. Emami clarified by stating for example if you were awarded a project, ask for a year delay, submit your project again in the next year call and that way if it is graded fairly with the other projects and if your project scores higher compared to the other projects, it will be awarded the additional funding. If your project scores lower, the additional funding will be denied and you will have a year delay to complete the project with the original allocation.

Mr. Chagnon asked if the agencies will be able to start the project. He referenced Caltrans, under the bridge program, that allows agencies to start the project and provides an IOU and repays the agencies once there is enough funding.

Mr. Emami stated that is when you will get into the issue of spending the funds before you have it and those expenses being deemed ineligible.

Mr. Chagnon stated the first point he made with regards to reduced revenues, we revise the M2 Ordinance for the MOE, no one sat here and said we can't do that. Now all we are hearing is we can't do that. He stated all I am asking is for an exception and for us to come up with a creative way to deliver on the objection of the program. The objection of the program is to deliver high priority projects. What



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we are saying is we have a project that scored a 71 but it's not new so sorry we can't give you additional fund because there might be higher prorated projects coming in the pipeline. Well, if we are trying to preserve funds for future important projects why are we moving forward with a project that scored a 37 in this round. We are obviously not that concerned with preserving funds. The arguments are not consistent. Come up with a solution to get around the guidelines. We are looking for an exception to the Ordinance to deliver an important project. If the process isn't working figure out a way to make it work, at least for an exception.

Ms. Lai stated there is language in the Guidelines which states if the agency's cost estimate was the construction cost for a project and OCTA programs the project for year 3 of the funding cycle, then OCTA will escalate the cost at a CCI base adjustment factor compounded annually beginning in year one for the funding cycle. For example, our project was programmed for 2020, no one knows what 2023 will look like. Is there a way to use that language, it's not an increase its an adjustment to the project to be in accordance with the CTFP Guidelines. Ms. Lai asked if a recommendation can come from the TAC as part of this item for Board consideration, using the language to request a (CCI) adjustment to these types of projects, so that the suggestion can be reviewed at the (RP&H) committee level.

Mr. Pelletier stated a recommendation can be made for staff to look into that avenue.

Ms. Lai asked if the recommendation could go as part of today's item.

Mr. Pelletier stated it cannot since it does not relate to the SAR.

Mr. Wheeler stated we can make it part of the motion.

Ms. Lai stated if we can make it part of the motion so when it goes to the Board, then they will see the issue. We would like to see that it is being considered by the Board.

Ms. Alacar stated staff can include it as part of the discussion in the staff report but isn't clear as to what can be put as a recommendation.

Ms. Lai stated we can word it to the effect that the compounded CCI was 10% but it is now 20% so the escalation follows what was done in the last call with the additional 8% added.

Ms. Alacar stated that the precept relates more to when projects are being programmed, so prior to them being awarded. We can make note of the discussion in the staff report.

Mr. Brotcke stated as a reminder this item is for the SAR, what you are referring to is more related to a call and awarding funds through the call. We can certainly add



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the discussion, but we wouldn't take any recommendation because it is not the item.

Ms. Lai asked if there was a way to find out what could be a recommendation to this item in order to make it part of an action item and not just part of the discussion.

Mr. Brotcke stated no.

Mr. Wheeler stated this item is interesting because we are talking about COVID-19 related damages and we need a schedule extension, but as we all know schedule, quality, money. This is talking about the schedule impacts, but we all need to know that there is a financial impact due to COVID and we are struggling to bring it up. Mr. Wheeler asked how do we make the financial component part of the discussion, is that a request to staff, do we resolve it now, is it a special part to the SAR to add additional CCI. It must be addressed and brought up somehow.

Mr. Chagnon stated he agrees with Mr. Sethuraman's approach because the only exception that would be asked is allowing the city to move forward with the project with the allocation it has, and the city would then assume the risk of getting the additional funds in the next call. He stated if the city is so confident that it has this high rated project, then it takes the risk of whether it is going to get the additional funding. So, the only thing being asked would be for an exception to let it move forward but allow it to apply to the next call.

Ms. Vu stated the letter Mr. Chagnon referred to earlier is called the letter of no prejudice. LA Metro has that practice, and it permits agencies to incur costs on a project using nonfederal resources with the understanding that the cost incurred after the letter approval may be reimbursable to LA Metro, or in this case OCTA, if the project is chosen for future funding.

Mr. Sethuraman stated he believes OCTA heard this discussion and will reflect it on the comments to the Board. He concluded that something should be done for the next call to allow for flexibility.

Mr. Mortazavi stated this language was specifically put in place to make sure future projects will always have funding. There is very clear history of projects experiencing cost increases and year after year they would apply for the additional costs and were funded because of the prior commitment. This led to the new projects not being able to move forward because of the prior commitments. It was a tradeoff, because we wanted everyone to get a chance to get their projects funded. What you are talking about is we are going to pick a project and we are going to fund it no matter what; the implication with that is that the larger projects would get funded, but they would take 5 cycles of funding and the smaller cities would have to leverage. We learned from that experience. Mr. Mortazavi continued



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that this is not a new issue, there is always going to be a reason why you need additional funding, and it comes at the cost of funding new projects. OCTA is trying to find a way around the Guidelines but also find a way that it won't impact the funding of future projects, but with these types of changes you never know. I have been there and seen it both ways. It was frustrating for everyone because there is never enough money for all the good projects. It is a major policy shift and that is why the state doesn't do it. LA Metro is different, and they have 4 sales tax measures compared to our resources. We want to make it predictable that in two years we will have a call and that you have a good shot to get those funds.

Mr. Wheeler motioned to approve the item.

Mr. Sethuraman seconded the motion.

The item passed with no further discussion.

Mr. Stack stated that under M2 Eligibility Guidelines regarding the Local Fair Share (LFS) funds, there's a number of timely use of funds extensions, due to a change in the guidelines from OCTA which necessitated agencies who have never had to request a timely use of funds extension to do that. The reduction was to expend the LFS within 2 years versus 3 years of the date of receiving those funds. Has there been a discussion to revise those guidelines? The Ordinance is clear on stating the funds need to be expended within 3 years and now we have to expend the funds within 2 years.

Ms. Alacar stated OCTA moved it up for tracking purposes. She stated the agencies still have the full 3 years per the Ordinance. She stated it's more of a preemptive measure to avoid repayment.

Mr. Stack stated it seems overly burdensome to submit a letter and financial plan and that it came out of nowhere. He stated he would like OCTA evaluate that guidelines and either revise it or revert it back to what it originally was.

Mr. Sethuraman stated when the extension request came you are requesting an extension at the end of the 3 years making it total of 5 years.

Ms. Cardoso clarified the new requirement is you have the year of allocation plus two years and then OCTA will notify you for an extension because you are potentially close to the 36-month deadline. We grant the agencies 24 months from the June 30th deadline of the second year for tracking purposes but if your project needs more time, you will still have the full 60 months from disbursement. The issues we ran into was most agencies don't account for the M2 net revenues based on when the check was cut, it is usually "first in, first out" and managed annually, through the end of the fiscal year. OCTA uses the annual expenditure reports to check and track the LFS funds. If we wait until the next fiscal year, there is a chance



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that some of the agencies will go over the 36 months. It's a tracking mechanism and a warning, but ultimately it is up to the agencies to request an extension or to show proper back up, if audited, that the funds were expended within the 36 months or 60 months with an extension.

Mr. Stack stated the guideline changed it to a fiscal year instead of the installment date, which takes out a lot of time. When in fact it is "first in, first out," it is an unnecessary process to go through.

Ms. Cardoso stated the issue we have, is if we are required to track it based on disbursement date, we would require more frequent reports, which is also burdensome to the local agencies.

Mr. Stack asked where the guideline (change) process started and if it was internal within OCTA. He asked the committee if everyone understood that it changed to fiscal year instead of the installment date.

Ms. Cardoso stated OCTA may need to clarify that the agencies still have 36 months, and it is at the cities' discretion to determine if an extension is needed.

Discussion Items

3. Correspondence

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

4. Committee Comments

5. Staff Comments

Ms. Cardoso stated in a prior TAC meeting that OCTA was asked to talk about the potential funding that will be available to local agencies from the Infrastructure Investment and Jobs Act (IIJA). She stated her focus will be on the division of the Federal Highway Administration (FHWA) funds that are being provided and how the funding programs are being split between the State and non-State or Local agencies. Ms. Cardoso explained that every time there is a new transportation act, the State, regional agencies and local agencies work on a split that provides 60% of the overall formula FHWA funding to the State for state purposes, and 40% of the funding is distributed for local and regional projects.

Ms. Cardoso shared that there are 11 FHWA programs in the IIJA, which will provide \$5.5 billion in fiscal year 2021-22, and that this is \$1.5 billion more than



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what was provided in fiscal year 2020-21 through the FAST act, and moving forward each year, most of the funding programs grow through fiscal year 2026.

Ms. Cardoso reported that CalSTA set up 13 working groups on various programs or concerns, which include active transportation, reimaging highways, intercity rail and transit, tribal interest, equity, safety, fix it first and a working group on the funding split. She stated most of the discussion in the funding split working group primarily focused on the Bridge program. The local and regional agencies agreed that maximizing funding on the local side for the Bridge program was priority.

Ms. Cardoso also noted that all of the funding programs increased, and there are several new ones including carbon reduction, protect, electric vehicle and the new one-time Bridge Program. She stated the new bridge funds are in addition to the traditional bridge program, which for 2022 will provide \$331 million to the local bridge program. In terms of where the existing bridge program is – that comes from the \$231 million under NHPP and \$100 million for off system bridge under STBG. That combined with the \$253 million under the GF bridge program at the bottom of the table will provide \$584 million to local bridge needs.

Ms. Cardoso stated for HSIP, the increase was \$38 million annually for local agencies. The \$140 million of the federal funding for Active Transportation Program derives from the STBG. She stated in terms of accessing the bridge, safety, or active transportation – ATP and HSIP programs will remain more or less the same or at least following the same process as previous cycles. The Bridge program criteria is being discussed now and it may change slightly, but she believes that it will still prioritize things like earthquake retrofit, structural deficiencies and rehab and maintenance. That criteria is under review right now at the CalSTA Fix it First working group.

Ms. Cardoso concluded by stating Caltrans Local Assistance has an application or project nomination process for HSIP and Bridge and an application process through CTC for active transportation.

Ms. Morales stated the Phase 1 Eligibility requirements are due by June 30, 2022. She stated the 7 requirements are the CIP, MOE, No Supplanting of Developer Fees, PMP, Timely Us of Net Revenues, Traffic Forum, and Transit and Non-Motorized Transportation Land-Use Planning Strategies. Mr. Morales stated there are 21 local agencies who are required to submit their PMP this year. Ms. Morales concluded by stating that OCTA is happy to review any draft material prior to the June 30th deadline.



6. Items for Future Agendas

Mr. Emami asked if staff could follow up with the suggestions discussed today in the earlier item and have staff share the outcome of the research.

Mr. Brotcke stated the next meeting with the committee will be regarding the CTFP Guidelines and that would be the appropriate time to discuss this issue.

Mr. Emami stated regarding the 3 newly added infrastructure and bridge programs, historically when SB1 passed funding like that would go towards the agencies and the county. The county would get a very large share and they would control only 5% of the roads, but they would get 50% of the SB1 funding. When we asked why the funding wasn't shared, we were told that funding wasn't available because the county has a lot of bridges to maintain. He stated he would like to make a request to the county to go back and consider some of these other funding programs for those bridges and continue looking into sharing some of the SB1 funds to go toward paving.

7. Caltrans Local Assistance Update

Mr. Luu provided the California Department of Transportation (Caltrans) District 12 Local Assistance update and stated the following:

- The deadline to submit allocations and time extensions to District Local Assistance is June 20, 2022, for the August 2022 CTC meeting and August 15, 2022 for the October CTC meeting.
- The current inactive invoicing quarter began on April 1, 2022.
- Caltrans and FHWA are discussing potential changes to how the inactive list is compiled and disseminated to agencies.
- DBE Exhibit 9-B and 9C are due to the district by June 30, 2022. Quality Assurance Program needs to be updated and approved every 5 years, see chapter 16 of the LAPM for more information.
- For active transportation programs, June 15, 2022 is the deadline to submit projects for Cycle 6. The Right of Way Impact checklist will now be called the State Highway System Impact Assessment Form, which was due on May 15, 2022.
- HSIP Cycle 11 call for projects was announced on May 9, 2022.
- For CRRSAA/PMRF already in the FTIP, it will take at least 6-8 weeks for approval of the right-of-way documents.
- FHWA all material used on federal projects must be purchased under Buy America requirements. There is a waiver of 180 days until November for



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construction materials. Currently discussing the detail of what constitutes construction materials.

- Upcoming trainings include Federal Aid Series, HSIP Cycle 11 Webinar, Positioning for Successful Grant Applications, Labor Compliance, Local Assistance Training Day and Residents Engineer Academy
- Local jurisdictions remain required to comply with all Title VI requirements.

8. Public Comments – None

9. The meeting was adjourned at 2:47 p.m.



AGENDA

Technical Advisory Committee

Item# 2

2023 Comprehensive Transportation Funding Programs Guidelines Update



June 22, 2022

To: Technical Advisory Committee

From: Orange County Transportation Authority Staff

Subject: Measure M2 2023 Comprehensive Transportation Funding Programs Guidelines Modifications for the 2023 Call for Projects

Overview

Measure M2 allocates net revenues for the development of various competitive programs which provide funding for transit, environmental cleanup, and local streets and roads projects. Funding for local streets and roads projects is anticipated to be made available, subject to Board of Directors approval, through a 2023 call for projects for the Regional Capacity Program and Regional Traffic Signal Synchronization Program. Staff has updated the Comprehensive Transportation Funding Programs Guidelines and is seeking direction to advance these proposed revisions to the Orange County Transportation Authority's Board of Directors for consideration and approval.

Recommendation

Recommend to the Board of Directors, approval of proposed updates to the Comprehensive Transportation Funding Programs Guidelines for the 2023 Call for Projects.

Background

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

The Regional Traffic Signal Synchronization Program (RTSSP) provides M2 Project P funding for multi-agency, corridor-based signal synchronization throughout Orange County to support efficient operation of existing arterials.

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

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

The CTFP Guidelines (Guidelines) identify procedures and requirements that local agencies must satisfy in order to apply for M2 funding and how project applications are evaluated. The Guidelines also define how local agencies can seek reimbursement once funds are awarded. The Guidelines were first approved by the OCTA Board of Directors (Board) on March 22, 2010 and were most recently updated and approved in March 2022.

Discussion

As part of the original Guidelines approval in 2010, the Board made provisions to modify and adjust the guidelines as needed. In anticipation of Board approval of the 2023 RCP and RTSSP annual call for projects (call) later this year, staff has comprehensively reviewed the Guidelines and made recommended updates to facilitate program administration and the 2023 call.

A general summary of proposed changes is provided below. For a more detailed summary, see Attachment A, which provides a table of the proposed changes, as well as Attachment B, which provides a marked-up version of the Guidelines in track changes format.

CTFP Guidelines updates include date changes to reflect a 2023 call cycle, removal of the available capacity or funding target information, and other minor clarifications, where appropriate. It should be noted that proposed changes that were deemed to be non-substantive (i.e. wording/grammatical, streamlining, and minor clarifications) are provided in the attachments.

For the RCP program, the specific changes made include emphasizing safety improvements, incentivizing active transportation program (ATP) attributes, including incorporated project elements from an approved ATP plan, and clarifying eligibility of utility relocation expenses. The most significant of the proposed revisions include the following:

- Revisions to the points assigned and the spread for Operational Attributes in the scoring criteria with a goal for increasing points for active transportation (within the roadway) and safety elements consistent with recent Technical Advisory Committee (TAC) comments.

-
- Elements of Approved Active Transportation Plan is listed as a new Operational Attribute (project components within the roadway) for the Arterial Capacity Enhancement (ACE), Intersection Capacity Enhancements (ICE), and Freeway Arterials Street and Transitions (FAST) programs consistent with TAC comments related to active transportation.
 - Reallocation of the categorical criteria point spread, decreasing Facility Usage and increasing Facility Importance in the ACE program.
 - Clarification of eligibility of utility relocations with local agency-demonstrated prior rights.

With respect to the RTSSP program, technical and clarifying changes are made to provide added value to signal coordination activities. The proposed changes emphasize the more critical project elements that enhance signal synchronization with greater consideration to existing corridor conditions, incentivize expedited project delivery, and update the Guidelines language to be consistent with the supplemental application requirements. The most significant of these proposed changes are listed below:

- OCTA-led projects are not available for this call.
- Revisions to point spread for Vehicle Miles Traveled in the scoring criteria.
- Modification to calculation of points assigned for Project Characteristics, from an additive basis to a cumulative average improvement score across all intersections, and updated the project improvements categories.
- Reallocation of the categorical criteria point spread, decreasing Traffic Significance and increasing Project Characteristics.
- Eliminates Maintenance of Effort (commitment to maintain project signal timing activities beyond the grant period) in the scoring criteria due to lack of applicant utilization and to make Project Characteristics more competitive.
- Timing 75% of New Eligible Project is listed as a new eligible feature for Current Project status.
- Clarification of ineligibility of regular signal operations and maintenance, specifically communication repairs.

On June 8, 2022 these proposed changes were presented to the Technical Steering Committee (TSC). The TSC approved these changes with the following comments and requests received by staff:

- Clarify Project P Project Characteristics criteria description to specify that the eligible improvements and requirements in this category only apply to signalized intersections included in the application. Staff incorporated clarifying language on CTFP Guidelines page 8-11 for TAC consideration.

- Determine if Leading Pedestrian Interval (LPI) is a specific configuration/item in the project characteristics for the RTSSP. Staff reviewed this comment and notes that a LPI that can be programmed on existing traffic signal controllers which does not require additional equipment can be implemented as part of the project in the timing task. However, this specific configuration is not an item in the Project Characteristics category.
- For Project O, consider including lane conversions (that are not considered gap closures) as an allowable project feature. Also, add competitive value for the feature as it entails repurposing existing and/or previously widened roadways and would not require additional right-of-way acquisitions. As they are currently written, CTFP Guidelines do not preclude these types of projects or project components. However, no points are specifically awarded for proposed lane conversions. Additional research and analysis are needed to consider scoring changes. Staff will revisit this request as appropriate, in the next guidelines update for the 2024 Call for Projects.

If these proposed changes are approved by the TAC, they will be advanced to the OCTA Regional Planning and Highways Committee and to the OCTA Board for further consideration as part of staff's request to initiate the 2023 call, which is anticipated to proceed according to the timeline identified below.

- Board authorization to issue call: August 8, 2022
- Application submittal deadline: October 20, 2022
- TSC/TAC Review: February/March 2023
- Committee/Board approval: April/May 2023

On May 25, 2022, the TAC expressed interest in modifications to the Guidelines pertaining to previously awarded projects in response to the supply chain issues and inflationary environment induced and exacerbated by the coronavirus pandemic. Such considerations are addressed in item 3 – Draft Proposals to Manage CTFP Cost Escalation.

Summary

The CTFP Guidelines serve as the mechanism OCTA uses to administer the RCP and RTSSP as well as other competitive funding programs. In anticipation of a potential 2023 annual call for projects for the RCP and RTSSP programs, staff is seeking a recommendation from the TAC for the Board of Directors to review and approve the CTFP Guidelines for the 2023 Call for Projects.

Attachments

- A. 2023 CTFP Guidelines (Projects O and P) – Proposed Changes List
- B. Comprehensive Transportation Funding Programs, Guidelines Excerpt,
Proposed Revisions

2023 CTFP Guidelines (Project O and P) – Proposed Changes List				
No.	Chapter	Section	Page No.	Proposed Change
1	Definitions	Definitions	x	Correction of reference to Precept 12
2	Acronyms	Acronyms	xiii	Correction to Capital Improvement Program
3	7	Call for Projects/ Applications	7-3	Update year of the call from 2022 to 2023, update three-year project programming period, remove funding available information, update submittal deadline to Thursday, October 20, 2022, and correct Program Precepts reference to Section V.
4	7	Applications	7-4	Change number of hardcopy applications submittals required from 3 to 1 printed copy, add requirement of electronic application submittal, and update contact information
5	7	CTFP Application Checklist Guide	7-5 7-6 7-7	Add "Project Description, Scope of Work and Project Limits" to Construction phase checklist for ACE (Exhibit 7-1), ICE (Exhibit 7-2), and FAST (Exhibit 7-3)
6	7	Application Review Process	7-13	Update proposed call schedule to the following: <ul style="list-style-type: none"> • Board authorization to issue call: August 8, 2022 • Application submittal deadline: October 20, 2022 • TSC/TAC Review: February/March 2023 • Committee/Board approval: April/May 2023
7	7	Utility Relocations	7-17	Clarify that: Adjustment of utilities to grade are not eligible for reimbursement unless local agency has prior rights.
8	7	Selection Criteria	7-21 7-22	Update submittal deadline for OCTAM modeling request to September 8, 2022
9	7	Selection Criteria/Operational Attributes (within the roadway)	7-23	Remove section "Remove On-street Parking" and add section "Elements of Approved Active Transportation Plan" describing new project feature of incorporating elements of a City Council approved active transportation plan.
10	7	New Facilities	7-25	Update submittal deadline for OCTAM modeling request to September 8, 2022
11	7	Table 7-1 Street Widening Selection Criteria	7-28	Change maximum points possible for "Existing ADT" and "Existing VMT" to a combined maximum of 15 points and for "Operational Efficiency" from 10 to 15 points. Adjust percentage distributions accordingly.

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12	7	Table 7-2 Street Widening Point Breakdown/ACE	7-29	Change maximum points possible for “Facility Usage” from 30 to 25 points, for “Existing ADT & VMT” to a combined maximum of 15 points, for “Facility Importance” from 20 to 25 points, and for “Operational Attributes (within the roadway)” from 10 to 15 points. Adjust points for “Meets MPAH Configs,” “Pedestrian Facilities (New),” “Bike Lanes (New),” and “Safety Improvements”. Add “Elements of Approved Active Transportation Plan.” Remove “Remove On-Street Parking.”
13	7	Utility Relocations	7-34	Clarify that: Adjustment of utilities to grade are not eligible for reimbursement unless local agency has prior rights and that new or relocated fire hydrants are not eligible
14	7	Selection Criteria/Operational Attributes (within the roadway)	7-36	Add section “Elements of Approved Active Transportation Plan” describing new project feature of incorporating elements of a City Council approved active transportation plan.
15	7	Selection Criteria/LOS Improvement	7-37	Update submittal deadline for proposed traffic modeling alternative methodology to September 8, 2022.
16	7	Table 7-4 Intersection Widening Point Breakdown/ICE	7-41	Adjust points for “Bike Lanes,” “Pedestrian Facilities (New),” and “Safety Improvements.” Add “Elements of Approved Active Transportation Plan.”
17	7	Table 7-4 Intersection Widening Point Breakdown/ICE	7-41	Minor correction to “LOS Reduction w/ Project” range, 0.1-0.4.
18	7	Utility Relocations	7-44	Clarify that: Adjustment of utilities to grade are not eligible for reimbursement unless local agency has prior rights and that new or relocated fire hydrants are not eligible.
19	7	Selection Criteria/Operational Attributes (within the roadway)	7-46 7-47	Add section “Elements of Approved Active Transportation Plan” describing new project feature of incorporating elements of a City Council approved active transportation plan.
20	7	Selection Criteria/LOS Improvement	7-47	Update submittal deadline for proposed traffic modeling alternative methodology to September 8, 2022.

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21	7	Table 7-6 Interchange Improvement Point Breakdown/FAST	7-52	Adjust points for “Pedestrian Facilities (New)” and “Safety Improvements.” Add “Elements of Approved Active Transportation Plan.”
22	8	Overview	8-1	Update year of the call from 2022 to 2023.
23	8	Call for Projects	8-2	Remove funding available information.
24	8	Call for Projects	8-2	For contiguous projects clarified language to state "signalized intersections."
25	8	Call for Projects	8-3	In section on reapplying - replace "or commitment to operate signal synchronization beyond the three-year grant period is completed, whichever ends later" with "is completed."
26	8	Applications	8-3	Update submittal deadline to Thursday, October 20, 2022 and update number of hardcopy applications submittals required to one (1).
27	8	Applications	8-4	Updated contact information.
28	8	Lead Agency/ OCTA Lead	8-6	Add under OCTA Lead “Not available for 2023 Call for Projects.”
29	8	OCFundtracker Application Components	8-6	Remove “Maintenance of Effort.”
30	8	OCFundtracker Application Components	8-6	Remove duplicate listing of “Project Scale.”
31	8	Application Review and Program Adoption	8-7	Update proposed call schedule to the following: <ul style="list-style-type: none">• Board authorization to issue call: August 8, 2022• Application submittal deadline: October 20, 2022• TSC/TAC Review: February/March 2023• Committee/Board approval: April/May 2023
32	8	Ineligible Expenditures	8-9	Clarify that: Ineligible regular signal operation and maintenance expenses include “communication repairs.”
33	8	Selection Criteria	8-10	Change Transportation Significance maximum score from 30 to 25 points.

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34	8	Selection Criteria/ Project Characteristics	8-10	Change project characteristics scoring methodology to award points based on project's cumulative average improvement score.
35	8	Table/Eligible Improvements	8-11	Clarify Project P Project Characteristics criteria description to specify that the eligible improvements and requirements in this category only apply to signalized intersections included in the application.
36	8	Table/Eligible Improvements	8-12	Add Eligible Improvements Table in line with reorganized project characteristics and point breakdown.
37	8	Selection Criteria/ Project Characteristics	8-13	Add section "Signal Timing (No Capital). Improvements in this category can only be selected if the entire project is a timing only project without any field improvements."
38	8	Selection Criteria/ Project Characteristics	8-13	Peer-to-Peer program on traffic control devices add "that have existing connectivity"
39	8	Selection Criteria/ Project Characteristics	8-13	Remove "Bluetooth and/or connected vehicle roadside units for at least three (3) signals on the projects..."
40	8	Selection Criteria/ Project Characteristics	8-13	Add section "Signal Communication. Scores for this improvement category varies depending on the type of improvement coupled with the existing status of the signal, whether online or offline:..."
41	8	Selection Criteria/ Project Characteristics	8-13	Remove "Replacement fiber optic or copper cabling for network communication. Fiber optic is the preferred medium and includes pull boxes, network switches, and distribution systems."
42	8	Selection Criteria/ Project Characteristics	8-14	Add section "Field Elements". This improvement category is focused on the field equipment/devices that will ensure the signals are enhanced to support advanced signal operations. Scores for this improvement category will vary depending on the existing lifespan of equipment/devices being upgraded. It is the applicant agency's responsibility to ensure the appropriate score is assigned and OCTA may request for supporting documentation."
43	8	Selection Criteria/ Project Characteristics	8-15	Relocate bulleted items for Automated Traffic Signal Performance Measures, intelligent cameras, detection system, installation of new and/or improved traffic control devices, new or upgraded communication systems, and intersection/field system modernization under "Field Elements."

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44	8	Selection Criteria/ Project Characteristics	8-16	Relocate and clarify meaning of "Minor Signal Operational Improvements" by adding "Scores for this improvement category will vary depending on the existing lifespan. It is the applicant agency's responsibility to ensure the appropriate score is assigned and OCTA may request for supporting documentation."
45	8	Selection Criteria/ Project Characteristics	8-16	Relocate "Emergency Vehicle Preempt (EVP) intersection control equipment only" to under "Field Elements".
46	8	Selection Criteria/ Project Characteristics	8-17	Expand section Traffic Management Center (TMC)/Traffic Operations Centers (TOC) to include "Scores for this improvement category will vary depending on the existing lifespan of equipment or software being upgraded. It is the applicant agency's responsibility to ensure the appropriate score is assigned and OCTA may request for supporting documentation."
47	8	Selection Criteria/ Project Characteristics	8-17	Add description of Caltrans section.
48	8	Selection Criteria/ Project Characteristics	8-18	Add "Each project intersection that has proposed improvements will receive an average score per the specific improvements noted above and the project's score will be an average of all intersection averages."
49	8	Selection Criteria/ Project Characteristics	8-18	Remove "Note: that only one feature can be selected for any qualifying improvement; for example, an implementation of a new video detection system that can distinguish bicycles can be selected for points under the "Separate Bicycle/ADA Pedestrian Detection" or "New/Upgraded Detection", but not both.
50	8	Selection Criteria/ Maintenance of Effort	8-18	Remove "Maintenance of Effort" section.
51	8	Selection Criteria/ Current Project Status	8-18	Under Current Project Status add "(RTSSP of Measure M Signal Improvement Program)..."
52	8	Selection Criteria/ Current Project Status	8-18	Under Current Project Status add "OR at least 75% of the corridor (on MPAH) has never been funded."

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53	8	Table 8-1 Point Breakdown	8-20	Change maximum points possible for “Transportation Significance” from 30 to 25 points. Adjusted point distribution for “Vehicle Miles Traveled (VMT).”
54	8	Table 8-1 Point Breakdown	8-20	Change maximum points possible for “Project Characteristics” from 10 to 20 points. Replace “Project Features” with “Project Average Improvement Score Range” and associated point spread.
55	8	Table 8-1 Point Breakdown	8-20	Remove "Maintenance of Effort" category.
56	8	Table 8-1 Point Breakdown	8-20	Under “Current Project Status,” add “Timing 75% of new eligible project.”
57	8	Data Compatibility	8-24	Second paragraph, add “or later” after “Synchro version 10.”
58	8	Project P – Application Checklist	8-26	Exhibit 8-1, Remove Maintenance of Effort and add language to match sections and items indicated in the revised Supplemental Application.

Comprehensive Transportation Funding Programs



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I. Overview

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

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

Background

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

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

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

Guidelines Overview

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

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

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

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

II. Funding Sources

Renewed Measure M

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

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

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

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

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

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

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

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

State/Federal Programs

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

Call for Projects

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

III. Definitions

1. The term "agency," "agencies," "local agency" or any form thereof shall be described in Precept 2.
2. "Competitive funds" refers to funding grants received through the Comprehensive Transportation Funding Programs (CTFP).
3. The term "complete project" is inclusive of acquiring environmental documents, preliminary engineering, Right-of-Way (ROW) acquisition, construction, and construction engineering.
4. The term "cost overrun" in reference to projects awarded through the CTFP shall refer to any and all costs beyond the original estimate that are necessary to complete the approved project scope.
5. The term "encumbrance" or any variation thereof shall mean the execution of a contract or other action (e.g. city council award of a primary contract or issuance of a purchase order and Notice to Proceed (NTP)) to be funded by Net Revenues.
6. The term "escalation" or "escalate" is the inflationary adjustment, as determined by the Engineering News Record (ENR) Construction Cost Index (CCI) 20-city average, added to the application funding request (current year basis) for ROW and construction phases (see Precept 132).
7. The term "environmental mitigation" is referred to as environmental clean-up/preservation measures made as part of that project's environmental clearance.
8. For the purpose of these guidelines, the terms "excess right-of-way" and "surplus right-of-way" shall interchangeably refer to ROW acquired for a specific transportation purpose that is not needed for that purpose. ROW designation shall be acknowledged by applicant to OCTA within sixty calendar days of designation. Furthermore, surplus property plan must also be provided to OCTA at time of designation.
9. The term "Fast Track" shall refer to projects that apply for both planning and implementation phase funding in a single competitive application/call for projects.
10. The term "Fully Burdened Labor Rates" include Work Force Labor Rate (WFLR) plus overhead (see Chapter 9).
11. The term "funding grant," "grant," "project funding," "competitive funds," "project programming" shall refer to the total amount of funds approved by the Board through the CTFP competitive process.
12. The term "Gap Closure" shall refer to the construction of a roadway to its full MPAH build-out for the purpose of connecting two existing ends of that roadway by filling

- in a missing segment or for completing the terminus of an MPAH roadway. This applies to increased roadway capacity only as it relates to vehicular traffic.
13. The term “implementing agency” is the agency responsible for managing the scope, cost and schedule of the proposed project as defined in the grant application.
 14. The term “lead agency” shall refer to the agency responsible for the submission of the grant application.
 15. The term “Master Funding Agreements” or any form thereof shall refer to cooperative funding agreements described in Precept 4.
 16. The term “match rate”, “local match”, “local matching funds”, or any variation thereof, refers to the match funding that an agency is pledging through the competitive process and disposed of through procedures in Chapter 9.
 17. A “micro-purchase” is any purchase that does not exceed \$2,500. For the purposes of proof of payment, only an invoice is required.
 18. The term “obligate” or any variation thereof shall refer to the process of encumbering funds.
 19. “OCFundtracker” refers to the online grant application and payment system used by OCTA to administer the competitive programs awarded through the CTFP. Refer to <https://ocfundtracker.octa.net/>.
 20. “Primary Implementation (PI) Report” refers to the report required at the end of the PI phase. It is a technical report that documents the work completed during the PI phase, which contains the Before and After Study. This is a separate report from the project final report required by the M2 Ordinance, Attachment B, Section III.A.9.
 21. “Operations and Maintenance (O&M) Report” refers to the report required at the conclusion of O&M phase. It is a technical report that documents the work completed during O&M phase. This is a separate report from the project final report required by the M2 Ordinance, Attachment B, Section III.A.9.
 22. The term “project phase” or any form thereof shall refer to the three distinct project phases (engineering, right-of-way, and construction) OCTA funds through the CTFP. Additionally, the “engineering phase” shall include the preparation of environmental documents, preliminary engineering, and ROW engineering. The “ROW phase” shall include ROW acquisition, utility relocation and adjustment to private property as contained in the ROW agreements, private improvements taken, Temporary Construction Easements (TCE), severance damages, relocation costs that are the legal obligation of the agency, as well as loss of good will, fixtures and equipment including legal cost. The “construction phase” shall include

- construction and construction engineering. A fourth phase defined as “Operations & Maintenance” applies to select programs and is described more fully in the applicable program chapter.
23. Programming for RCP (Project O) follows a sequential process related to Planning and Implementation elements as described more fully in Chapter 2. The Planning step includes environmental evaluation, planning and engineering activities. The Implementation step includes ROW and construction activities.
 24. The term “project phase completion” refers to the date that the local agency has paid the final contractor/consultant invoice (including retention) for work performed and any pending litigation has been adjudicated for the engineering phase or for the ROW phase, and all liens/claims have been settled for the construction phase. The date of project phase completion will begin the 180-day requirement for the submission of a project final report as required by the M2 Ordinance, Attachment B, Section III.A.9.
 25. The term “Public-Private Partnerships” is defined as direct financial contributions, sponsorships or ROW dedications for eligible program activities.
 26. The term “reasonable” in reference to project phase costs shall refer to a cost that, in its nature and amount, does not exceed that which would normally be incurred under the circumstances prevailing at the time the decision was made to incur the cost. Factors that influence the reasonableness of costs: whether the cost is of a type generally recognized as ordinary and necessary for the completion of the work effort and market prices for comparable goods or services.
 27. The term “savings” or “project savings” in reference to projects awarded through the CTFP are any grant funds remaining on a particular project phase after all eligible items within the approved project scope have been reimbursed.
 28. “Sustainability”, as it applies to capacity enhancing infrastructure projects, refers to project elements that support environmental benefits such as use of renewable or recycled resources.
 29. The term “Work Force Labor Rates (WFLR)” include direct salaries plus direct fringe benefits.
 30. The term “offset intersection” or “offset signal” refers to traffic signalized intersections within 2,700 feet from either direction of the project corridor. (Project P Only)

IV. Acronyms

AADT – Average Annual Daily Traffic

ACE – Arterial Capacity Enhancements

ADA – Americans with Disabilities Act of 1990

ADT – Average Daily Trips

A/E – Architectural/Engineering

APIRI – Applications Programming Interface with Referenced Implementations

ATC – Advanced Transportation Controller

ATMS – Advanced Transportation Management System

BMP – Best Management Practices

B/RVH – Boardings Divided by the Revenue Vehicle Hours

C2C – Center-to-Center Communication

CASQA – California Stormwater Quality Association

CAPPM – Cost Accounting Policies and Procedures Manual

CCI – Construction Cost Index

CCTV – Closed Circuit Television

CDS – Continuous Deflection Separator

CFS – Climate Forecast System

CE – Categorical Exclusion

CEQA – California Environmental Quality Act

CIP – Capital Improvement ~~Plan~~Program

CPI – Catchment Prioritization Index

CSPI – Corridor System Performance Index

CTC – California Transportation Commission

CTFP – Comprehensive Transportation Funding Programs

ECAC – Environmental Cleanup Allocation Committee

ECP – Environmental Cleanup Program

EIR – Environmental Impact Report

ENR – Engineering News Record

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

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

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V. Precepts

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

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

environments for construction contracts in accordance with the Public Contracts Code. Agencies must meet procurement and contracting requirements of non-M2 funding sources which may exceed those identified in the CTFP.

9. Based upon funding availability, a “Call for Projects” shall be considered annually but may be issued less frequently.
10. In each call cycle, OCTA shall program projects for a three-year period, based upon an estimate of available funds.
11. OCTA will base funding grants on project cost estimates including up to 10 percent (10%) contingency for construction. During the programming process, OCTA adds an inflationary adjustment.
12. OCTA shall escalate project grants for years two and three for ROW and construction phases only. OCTA will base escalation rates on the ENR CCI 20-city average.
13. Match rate commitments identified by implementing agencies in the project grant application shall remain constant throughout the project. This includes projects where the programming has been escalated for future years. OCTA and implementing agencies shall not reduce match rate commitments or split the match rate by phase. Actual project contributions by the local agency or OCTA are dependent on final project costs and may not be equal to the match rate if a local agency overmatch exists. Local agency contributions may exceed the committed local match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures cannot be considered when calculating the local match rate.
14. Where a project experiences savings, the local match percentage must be maintained.
15. OCTA shall program funds by fiscal year for each phase of a project.
16. A grant for a specific project shall be cancelled if the funds are not encumbered within the fiscal year the funds are programmed, unless the OCTA Board has granted a delay.
17. Implementing agencies may request a one-time delay not exceeding a total of 24 months per project grant. Agencies shall justify this request, receive City Council/Board of Supervisor concurrence, and seek approval of OCTA staff, the TAC, and the Board as part of the SAR process. Extension requests must be received no less than ninety (90) calendar days prior to the encumbrance deadline and are not permitted for projects that seek “fast track” grants.
18. An administrative time extension may be granted for expiring M2 funds for a project that is clearly engaged in the procurement process (advertised but not yet awarded).

19. Funds that have been encumbered shall be used in a timely fashion. For project phases, excluding ROW, funds will expire after 36 months from encumbrance. For the ROW phase, funds will expire after 36 months from the date of the first offer letter and/or, if contract services are required, 36 months from the contract NTP. Extensions up to 24 months may be granted through the SAR process. Extension requests must be received no less than ninety (90) calendar days prior to the encumbrance deadline.
20. Preliminary Engineering allocations can be programmed in two different fiscal years depending on the project schedule and when certain engineering costs will need to occur during the project development and implementation phases. Local agencies can issue a separate NTP on a single contract to ensure compliance with the timely use of funds requirement. Local agencies may also issue separate contracts for the funds programmed in different fiscal years. Local agencies are required to obligate the funds within the same fiscal year of the programming or request a delay at least 90 days prior to the obligation deadline.
21. For all construction projects awarded CTFP funds in excess of \$500,000 and/or exceeding a 90-day construction period schedule, the local agency shall install and remove signage in accordance with OCTA specifications during the construction period. The implementing agency shall request OCTA furnished signage. OCTA signage specifications can be found on the [Call for Projects Website \(http://www.octa.net/Projects-and-Programs/Funding-Programs/Call-for-Projects/Overview/\)](http://www.octa.net/Projects-and-Programs/Funding-Programs/Call-for-Projects/Overview/). Agencies will be required to certify that these signage requirements have been met as part of the initial payment process (see Chapter 9).
22. OCTA shall reprogram funds derived from savings or project cancellation based upon final project status. An implementing agency may request to transfer 100 percent (100%) of savings of M2 funds between the phases within a project with approval from the TAC and Board. Funds can only be transferred to a phase that has already been awarded competitive funds. Such requests must be made prior to the acceptance of a final report and submitted as part of a SAR. State-Local Partnership Program (SLPP) funds are not eligible for the transfer of savings. Agencies may only use savings as an aid for unanticipated cost overruns within the approved scope of work.
23. Where the actual conditions of a roadway differ from the MPAH classification (e.g. number of through lanes), OCTA shall use the actual conditions for the purposes of competitive scoring. An agency may appeal to the TAC to request that the MPAH classification be adjusted/reconsidered.
24. For the purpose of calculated Level of Service (LOS), the capacity used in the volume over capacity calculation shall be 100 percent (100%) capacity, or LOS level "E".

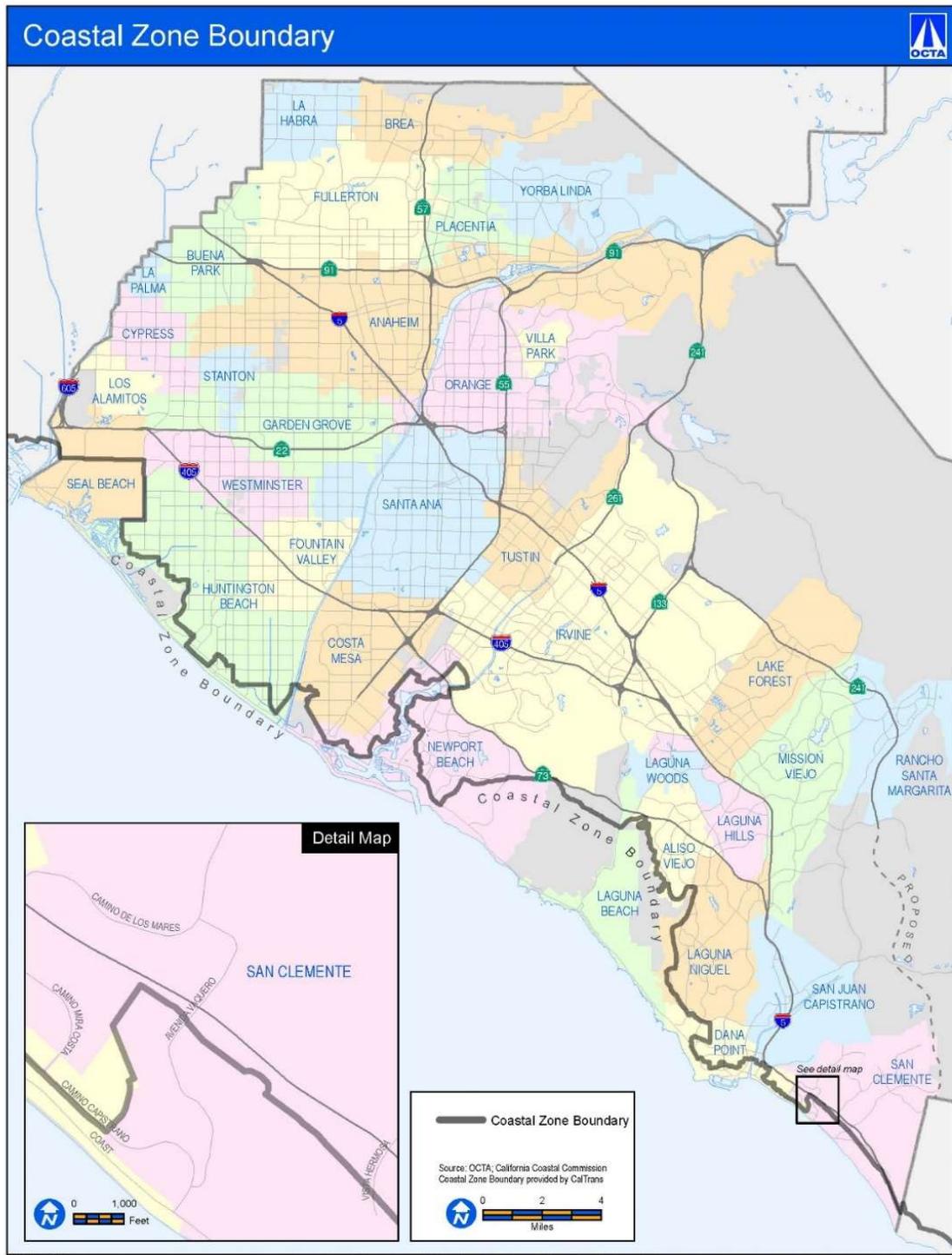
Intersection Capacity Utilization (ICU) calculations shall use 1,700 vehicles per hour per lane with a .05 clearance interval.

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

- schedule, 2) confirm project's continued viability, 3) discuss project changes to ensure successful and timely implementation, 4) request sufficient information from agencies to administer the CTFP, and 5) address any potential issues with external fund sources committed as match against the competitive funds.
33. For any project experiencing cost increases exceeding 10 percent (10%) of the originally contracted amount, a revised cost estimate must be submitted to OCTA as part of the SAR process. This is applicable even if the increase is within the overall grant amount.
 34. Agencies shall submit payment requests to OCTA in a timely fashion. Agencies may request an initial payment for M2 (generally up to 75 percent (75%) of programmed amount or eligible expenditures, see Chapter 9) once the funds have been encumbered. The final 25 percent (25%) of the available programmed balance will be released upon the submission of an approved final report.
 35. For situations where a grant amount exceeds \$2,000,000, the amount withheld pending the submittal of an approved final report shall be capped at \$500,000 per project phase but shall in no case be less than 10 percent (10%) of the grant or the contract amount, whichever is less. Should the 75 percent/25 percent (75%/25%) payment distribution ratio result in a final payment retention that exceeds \$500,000, the payment percentages will be adjusted to meet the \$500,000 cap until the 10 percent (10%) threshold is reached. At no time will the final payment retention be less than 10 percent (10%).
 36. When a project phase is complete, an agency shall notify OCTA in writing within thirty (30) calendar days of completion. The date of project phase completion will begin the 180-day requirement for the submission of a project final report as required by the M2 Ordinance, Attachment B, Section III.A.9.
 37. An agency shall provide final accounting in an approved final report format (see Chapter 9) within 180 calendar days of project phase completion. The process for untimely final reports is described in Chapter 9. Failure to provide a final accounting shall result in repayment of applicable M2 funds received for the project phase in a manner consistent with the Master Funding Agreement. Projects funded with M2 funding require a project final report within 180 calendar days of project phase completion as part of eligibility compliance. Failure to meet eligibility requirements, including submittal of final reports within 180 calendar days of project phase completion may result in suspension of all net revenues including fair share funds.
 38. The payment distribution ratio referenced in Precept 35 may be modified to a reimbursement process, at the discretion of the Board, in the event that financing, or bonding is required to meet OCTA's cash flow needs.

39. Agencies may appeal to the TAC on issues that the agency and OCTA staff cannot resolve. An agency may file an appeal by submitting a brief written statement of the facts and circumstances to OCTA staff. The appellant local agency must submit a written statement which proposes an action for TAC consideration. The TSC shall recommend specific action for an appeal to the TAC. The Board shall have final approval on appeals.
40. Projects within the Coastal Zone Boundary, as a requirement of a Coast Development Permit, may be required to replace existing on-street parking on a one-for-one basis for spaces removed as a result of a roadway widening project. ROW costs to replace the existing on-street parking can be considered mitigation for coastal zone cities only (see exhibit IV-1). The mitigation activities can be covered up to 25 percent (25%) of the total eligible cost consistent with Precept 27. Jurisdictional boundaries are more fully described in the Public Resource Code, Division 20, California Coastal Act (2016) Sections 30168 & 30169. OCTA staff will work with the local agency staff during the project application process to determine eligibility of these costs and to identify any excess ROW that will require a disposal plan. OCTA and the local agency will also establish any savings that will revert back to the Measure M Program after project completion. The cost of right of-way required to replace parking should be fair and reasonable in comparison to the total cost of the project.

Exhibit IV-1



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Chapter 7 – Regional Capacity Program (Project O)

Overview

The RCP (Project O) is a competitive program that will provide more than \$1 billion over a thirty-year period. The RCP replaces the Measure M local and regional streets and roads competitive programs (1991-2011).

Although each improvement category described in this chapter has specific eligible activities, the use of RCP funding is restricted to and must be consistent with the provisions outlined in Article XIX and the California State Controller’s [Guidelines Relating to Gas Tax Expenditures](#) (March 2019). These Guidelines are available at the following link: https://sco.ca.gov/Files-AUD/gas_tax_guidelines31219.pdf.

The MPAH serves as the backbone of Orange County’s arterial street network. Improvements to the network are required to meet existing needs and address future demand. The RCP is made up of three (3) individual program categories which provide improvements to the network:

- The ACE improvement category complements freeway improvement initiatives underway and supplements development mitigation opportunities on arterials throughout the MPAH.
- The ICE improvement category provides funding for operational and capacity improvements at intersecting MPAH roadways.
- The FAST focuses upon street to freeway interchanges and includes added emphasis upon arterial transitions to interchanges.

Projects in the arterial, intersection, and interchange improvement categories are selected on a competitive basis. All projects must meet specific criteria in order to compete for funding through this program.

Also included under the RCP is the Regional Grade Separation Program (RGSP), which is meant to address vehicle delays and safety issues related to at-grade rail crossings. Seven rail crossing projects along the MPAH network were identified by the California Transportation Commission (CTC) to receive TCIF. TCIF allocations required an additional local funding commitment. The RGSP captures these prior funding commitments. Future calls for projects for grade separations are not anticipated.

Funding Estimates

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

Programming Approach

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

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

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

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

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

2023 Call for Projects

~~Contingent on OCTA Board approval, the 2022 Call for Projects (call) for the RCP (Project O) and Regional Traffic Signal Synchronization Program (Project P), will make approximately \$xx million in M2 funds available to support street and roads and signal synchronization improvements across Orange County. The target for this program is \$xx million, but recommendations for Project O may be higher or lower depending on the projects submitted.~~

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

For this call, OCTA shall program projects for a three-year period (FY 23/24 – 25/26), based upon the current estimate of available funds. For specifics on the funding policies that apply to this call, refer to the Program Precepts as found in Section IV of these guidelines.

Applications

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

single project (i.e. arterials and intersections) a separate application must be prepared for each request. OCTA shall require agencies to submit both online and hardcopy applications for the 2023 call for projects by **5:00 p.m. on Thursday, October 20, 2022. Late and/or incomplete submittals will not be accepted.**

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

Additionally, **threeone (1) unbound hardcopy and one electronic copy on a USB, thumb drive, memory stick, or via electronic file upload and/or email** of the application and any supporting documentation must be submitted to OCTA by the application deadline. Please note, hardcopies of the supporting plans, drawings and/or specifications are to be in a minimum size of 11 x 17 inches.

Hardcopy applications should be mailed to:

OCTA

Attention: ~~Joseph Alcock~~ Adrian Salazar

600 S. Main Street

P.O. Box 14184 Orange, CA 92863-1584

Hardcopy applications can be hand delivered to:

600 S. Main Street

Orange, CA 92868

Electronic application copies can be sent via email to: asalazar@octa.net

Exhibit 7-1

Arterial Capacity Enhancement (ACE)

CTFP Application Checklist Guide

Planning – Environmental & Engineering

- CTFP Online Application – submitted through OCFundtracker
- Project Description, Scope of Work and Project Limits
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- ADT Counts and LOS Calculations
- Aerial Photo w/ Proposed Improvements Shown

Right-of-Way

- CTFP Online Application – submitted through OCFundtracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Detailed right-of-way Acquisition/Disposal Plan using the OCTA provided right-of-way acquisition/disposal plan form available for download at <https://ocfundtracker.octa.net>.
- Cost Estimate for Complete Project - ALL PHASES
 - Estimated right-of-way Cost by Parcel (Land, Improvements Taken, Severance, Goodwill, Incidental Expenses)*
- General Application Sample Resolution
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Aerial Strip Map w/ Existing and Proposed Improvements Shown
 - Include right-of-way Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans*
- ADT and LOS Calculations

Construction

- CTFP Online Application – submitted through OCFundtracker
- [Project Description, Scope of Work and Project Limits](#)
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report *
- Approved Project Construction Plans*
- ADT and LOS Calculations

NOTE: To qualify for the 10 percent (10%) local match discount for measurable improvement of PCI, please include documentation from the last two PMP biennial Measure M Eligibility submittals that provide average PCI for Overall System.

****Items are due after first application review. OCTA staff will contact you regarding those projects that will require this additional information.***

Exhibit 7-2

Intersection Capacity Enhancement (ICE)

CTFP Application Checklist Guide

Planning – Environmental & Engineering

- CTFP Online Application – submitted through OCFundtracker
- Project Description, Scope of Work and Project Limits
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- Aerial Photo w/ Proposed Improvements Shown

Right-of-Way

- CTFP Online Application – submitted through OCFundtracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Detailed right-of-way Acquisition/Disposal Plan using the OCTA provided right-of-way acquisition/disposal plan form available for download at <https://ocfundtracker.octa.net>.
- Cost Estimate for Complete Project - ALL PHASES
 - Estimated right-of-way Cost by Parcel (Land, Improvements Taken, Severance, Goodwill, Incidental Expenses) *
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS/ICU Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Aerial Strip Map w/ Existing and Proposed Improvements Shown
 - Include right-of-way Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans*

Construction

- CTFP Online Application – submitted through OCFundtracker
- [Project Description, Scope of Work and Project Limits](#)
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report *
- Approved Project Construction Plans*

NOTE: To qualify for the 10 percent (10%) local match discount for measurable improvement of PCI, please include documentation from the last two PMP biennial Measure M Eligibility submittals that provide average PCI for Overall System.

****Items are due after first application review. OCTA staff will contact you regarding those projects that will require this additional information.***

Exhibit 7-3

Freeway Arterial/Streets Transition (FAST)

CTFP Application Checklist Guide

Planning – Environmental & Engineering

- CTFP Online Application – submitted through OCFundtracker
- Project Description, Scope of Work and Project Limits
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, ADT for arterial and ramp exit volumes
- Caltrans Letter of Support
- Aerial Photo w/ Proposed Improvements Shown

Right-of-Way

- CTFP Online Application – submitted through OCFundtracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Detailed right-of-way Acquisition/Disposal Plan using the OCTA provided right-of-way acquisition/disposal plan form available for download at <https://ocfundtracker.octa.net>.
- Cost Estimate for Complete Project - ALL PHASES
 - Estimated right-of-way Cost by Parcel (Land, Improvements Taken, Severance, Goodwill, Incidental Expenses) *
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Aerial Strip Map w/ Existing and Proposed Improvements Shown
 - Include right-of-way Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans*

Construction

- CTFP Online Application – submitted through OCFundtracker
- [Project Description, Scope of Work and Project Limits](#)
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report*
- Approved Project Construction Plans*
- Appropriate agreements between Caltrans and the project lead agency need to be in draft form and/or in place.

NOTE: To qualify for the 10 percent (10%) local match discount for measurable improvement of PCI, please include documentation from the last two PMP biennial Measure M Eligibility submittals that provide average PCI for Overall System.

***Items are due after first application review. OCTA staff will contact you regarding those projects that will require this additional information.**

Attachments

OCFundtracker Application

Agencies must submit a copy of the OCFundtracker application and scoring information with all application submittals. This document is created within the OCFundtracker web-based application.

"Project Cost Estimate" Form

Include a separate attachment listing all expenditures and costs for the project. Accurate unit prices and a detailed description of work, including design, will be critical when the candidate project is reviewed. For example, design applications should include major tasks that will be performed. ROW cost estimate should include parcel information (including project area needed), improvements taken, severance damages, ROW engineering, appraisal and legal costs. Construction should include a listing of all bid items including a maximum 10 percent (10%) allowance for contingencies and a maximum 15 percent (15%) allowance for construction engineering/project management. The anticipated disbursement of costs (e.g., Agency, Other, Non-Eligible) must also be completed. Agencies should reference the program from which funding is expected to be allocated when completing this portion of the form. Each of the funding programs described in these guidelines may have differing matching fund requirements.

If more than one project phase is requested to be funded, a separate project cost estimate form is to be completed for each phase, or each phase must be clearly indicated, and a subtotal prepared on this form. Separate forms should also be prepared if funding for project phases is being requested over multiple fiscal years.

"Sample Resolution" Form

A resolution or minute action must be approved by the local jurisdiction's governing body prior to the Board approval of grant funds. A sample resolution is included as Exhibit 7-4. Local agencies, at a minimum, must include items a-h. The mechanism selected shall serve as a formal request for CTFP funds and states that matching funds will be provided by the agency, if necessary. All project requests must be included in this action. **If a draft copy of the resolution is provided, the local jurisdiction must also provide the date the resolution will be finalized by the local jurisdiction's governing body.**

ROW Acquisition/Disposal Plan

For all projects requesting ROW phase funding, a detailed plan for acquisition/disposal of excess right-of-way, along with any reasonable labor costs expected, must be included. The ROW acquisition/disposal plan and labor cost estimate must be submitted using the

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

Project Summary Information

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

Pavement Management Supporting Documentation

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

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

or

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

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

Additional Information

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

If a project includes more than one jurisdiction and is being submitted as a joint application, one agency shall act as lead agency and must provide a resolution of support from the other agency.

1. Letters of support for the candidate project (optional).
2. Geotechnical\materials reports for all applicable candidate projects (e.g., widening, intersection improvement, new roadway). The reports should contain sufficient detail for an accurate assessment of improvements needed and costs, since funding will be jeopardized if a project is unable to meet proposed schedule and costs.

3. Preliminary plans, if available for the project. The plans (1"=40' preferred) should be included in hard copy attachments at a minimum size of 11 x 17 inches and include:
 - a. Existing and proposed ROW (include plat maps and legal descriptions for proposed acquisitions).
 - b. Agency boundaries, dimensions and station numbers.
 - c. Existing and proposed project features such as: pavement width and edge of pavement, curb, gutter and sidewalk, raised median, driveway reconstruction, signal pole locations, etc.
 - d. Typical cross sections.
 - e. Proposed striping.
 - f. Structural sections per the materials report.
 - g. Proposed traffic signals, storm drains, bridges, railroad crossing improvements, safety lighting, etc.
 - h. If requesting funds for traffic signals, include a traffic signal warrant(s) prepared by the City Traffic Engineer or City Engineer.
 - i. If the project includes construction, relocation, alteration or widening of any railroad crossing or facility, include a copy of the letter of intent sent to the railroad, a copy of which must be sent to the Public Utilities Commission (PUC). Any project including work of interest to a railroad will not be considered for eligibility until the railroad and PUC have been notified.
 - j. If the project is proposed as a staged project and additional funds will be necessary in subsequent calls for projects, the preliminary project statement should be accompanied with a complete preliminary estimate and schedule for the completion of the entire project.
 - k. If the project is proposed as a safety improvement, provide justifying accident data for the past three years and show the expected decrease in intersection or mid-block accident rate.
4. Current 24-hour traffic counts (taken for a typical mid-week period within the preceding 12-month period) for the proposed segment. Projects submitted without "current counts" will be considered incomplete and non-responsive.

Exhibit 7-4

**Sample Resolution for Candidate Orange County
Comprehensive Transportation Programs Projects**

A resolution of the _____ City Council approving the submittal of _____ improvement project(s) to the Orange County Transportation Authority for funding under the Comprehensive Transportation Program

THE CITY COUNCIL OF THE CITY OF _____ HEREBY RESOLVES, DETERMINES, AND ORDERS AS FOLLOWS THAT:

- (a) WHEREAS, the City of _____ desires to implement the transportation improvements listed below; and
- (b) WHEREAS, the City of _____ has been declared by the Orange County Transportation Authority to meet the eligibility requirements to receive M2 "Fair Share" funds; and
- (c) WHEREAS, the City's Circulation Element is consistent with the County of Orange Master Plan of Arterial Highways; and
- (d) WHEREAS, the City of _____ will not use M2 funds to supplant Developer Fees or other commitments;
- (e) WHEREAS, the City/County must include all projects funded by Net Revenues in the seven-year Capital Improvement Program as part of the Measure M2 Ordinance eligibility requirement.
- (f) WHEREAS, the City of _____ will provide a minimum in __% in matching funds for the _____ project as required by the Orange County Comprehensive Transportation Funding Programs Guidelines; and
- (g) WHEREAS, the Orange County Transportation Authority intends to allocate funds for transportation improvement projects, if approved, within the incorporated cities and the County; and
- (h) WHEREAS, the City/County authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the Orange County Transportation Authority Board of Directors, if necessary.

NOW, THEREFORE, BE IT RESOLVED THAT:

The City Council of the City of _____ hereby requests the Orange County Transportation Authority allocate funds in the amounts specified in the City's application to said City from the Comprehensive Transportation Funding Programs. Said funds, if approved, shall be matched by funds from said City as required and shall be used as supplemental funding to aid the City in the improvement of the following street(s):

ADOPTED BY THE CITY COUNCIL on _____, 20____.

SIGNED AND APPROVED on _____, 20____.

City Clerk

Mayor

*Required language a-h

Application Review Process

OCTA staff will conduct a preliminary review of all applications for completeness and accuracy, request supplemental information (i.e., plans, aerial/strip maps, CEQA forms) for projects that appear to rank well during initial staff evaluations, and prepare a recommended program for the TSC. In addition, OCTA may hire a consultant(s) to verify information within individual applications such as, but not limited to, project scope, cost estimates, ADT and LOS. These applications will be selected through a random process.

The following guidelines will be used in reviewing project applications. Any application that does not meet these minimum guidelines must include an explanation of why the guidelines were not met:

1. The travel lane width should be no less than 11 feet (12 feet if adjacent to a raised median or other obstruction) for all arterial highways.
2. For divided roadways, the minimum median width should be no less than 10 feet to allow for turning movements. Divided roadways are defined as those with either a painted or raised median.
3. Arterial highways that are designated for uses in addition to automobile travel (e.g., bicycle, pedestrian, parking) shall provide additional ROW consistent with local jurisdiction standards to facilitate such uses.
4. An eight-lane roadway should provide for a continuous median, protected dual or single left-turn pockets as warranted at signalized intersections, single left-turn pockets at non-signalized intersections, and a right-turn lane at signalized intersections where determined necessary by traffic volumes. ROW for a free right-turn lane should be provided at locations warranted by traffic demand.
5. A six-lane divided roadway should provide a continuous median, protected dual or single left-turn pockets as warranted by existing traffic at all signalized intersections, and single left-turn pockets at non-signalized intersections. A right-turn option lane should also be provided as warranted by traffic demand.
6. A four-lane divided roadway should provide a continuous median, protected dual or single left-turn pockets at all signalized intersections, and a left-turn pocket at all non-signalized intersections. A right-turn lane should also be provided as warranted by traffic demand.
7. A four-lane undivided roadway shall provide for a single left-turn pocket at all intersections as warranted by traffic demand.

Applications will be reviewed by OCTA for consistency, accuracy and concurrence. Applications determined complete in accordance with the program requirements will be

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

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

Board authorization to issue call: August 8, 2022

Application submittal deadline: October 20, 2022

TSC/TAC Review: February/March 2023

Committee/Board approval: April/May 2023

Funding

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

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

Arterial Capacity Enhancements (ACE)

Overview

The MPAH serves as the backbone of Orange County's arterial street network. Improvements to the network are required to meet existing needs and address future traffic demand. The ACE improvement category complements freeway improvement initiatives underway, supplements development mitigation activities and enables improvements based upon existing deficiencies.

Projects in the ACE improvement category are selected on a competitive basis. Projects must meet specific criteria in order to compete for funding through this program.

Objectives

- Complete MPAH network through gap closures and construction of missing segments
- Relieve congestion by providing additional roadway capacity where needed
- Provide timely investment of M2 Revenues
- Leverage funding from other sources

Project Participation Categories

The ACE category provides capital improvement funding (including planning, design, ROW acquisition and construction) for capacity enhancements on the MPAH for the following:

- Gap closures – the construction of a roadway to its full MPAH build-out for the purpose of connecting two existing ends of that roadway by filling in a missing segment or for completing the terminus of an MPAH roadway. This applies to increased roadway capacity only as it relates to vehicular traffic.
- Roadway widening where additional capacity is needed
- New roads / extension of existing MPAH facility

Eligible Activities

- Planning, environmental clearance
- Design
- ROW acquisition
- Construction (including curb-to-curb, lighting, drainage, etc.)

Potentially Eligible Items

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs.

Application review and approval does not guarantee the eligibility of all items.

- Direct environmental mitigation for projects funded by ACE (subject to limitations identified in precepts)
- Storm drains/catch basins/detention basins/bioswales/other pollutant discharge mitigation devices
- Sound walls (in conjunction with roadway improvement mitigation measures)
- Aesthetic improvements including landscaping within the project ROW (eligible improvements up to 10 percent (10%) of construction costs, provided costs are reasonable for the transportation benefit)
- ITS infrastructure (advance placement in anticipation of future project)
- Rehabilitation and/or resurfacing of existing pavement when necessitated by proposed improvement (such as change in profile and cross section)
- Improvements to private property if part of a ROW settlement agreement
- Utility relocation where the serving utility has prior rights as evidenced by a recorded legal document
- Roadway grading within the ROW (inclusive of any TCE and/or ROW agreement related improvements) should not exceed a depth for normal roadway excavation (e.g. structural section). Additional grading will be considered on a case by case basis. Agencies shall provide supporting documentation (e.g. soils reports, ROW agreements) to justify the additional grading.
- Additional ROW to accommodate significant pedestrian volumes or bikeways shown on a Master Plan of Bikeways or in conjunction with the "Complete Streets" effort. These will be considered for eligibility on a case by case basis during the application process.
- Installation of a pedestrian activated traffic signal where necessitated by pedestrian traffic warrants or other engineering criteria.

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

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

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

Soundwalls are eligible only if they are required as part of the environmental mitigation for the proposed project and the Measure M contribution to the cost of soundwalls shall not exceed 25 percent (25%) of the total eligible construction costs. Aesthetic enhancements and landscaping in excess of minimum environmental mitigation requirements are subject to limitations described in this section above.

Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). Rough grading can be considered eligible, so long as it supports MPAH improvement(s) within the ROW and does not supplant developer (or any other project obligations). Any proposed rough grading outside of the MPAH ROW, will be evaluated by OCTA on a case-by-case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).

Utility Relocations

The expenses associated with the relocation of utilities are eligible for RCP reimbursement only when all conditions listed below have been met:

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

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

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

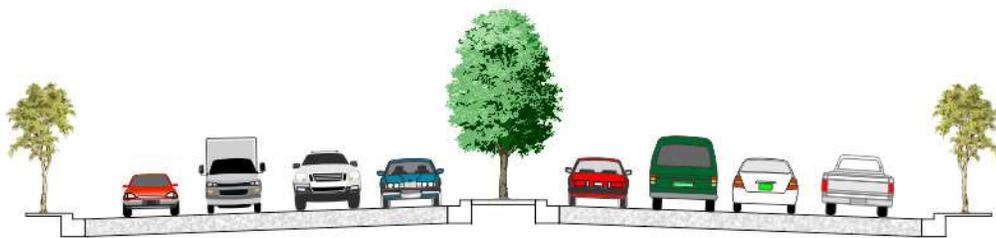
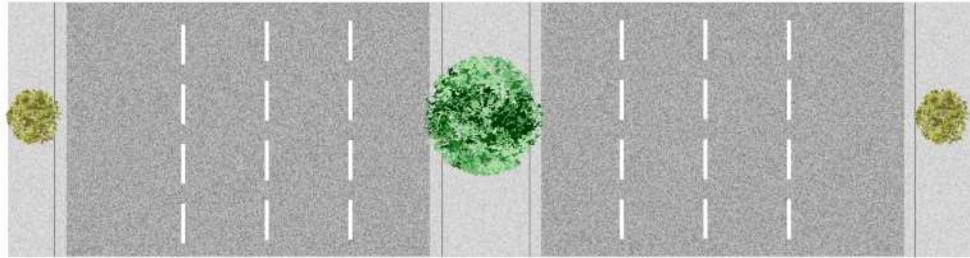
In all cases, eligible costs shall only include "in-kind" relocation. No reimbursements will be made for betterments above the cost of "in-kind" relocation. Additionally, costs submitted for program reimbursement must include any salvage credits received.

Ineligible Expenditures

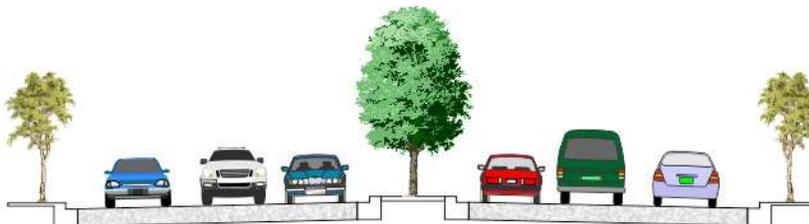
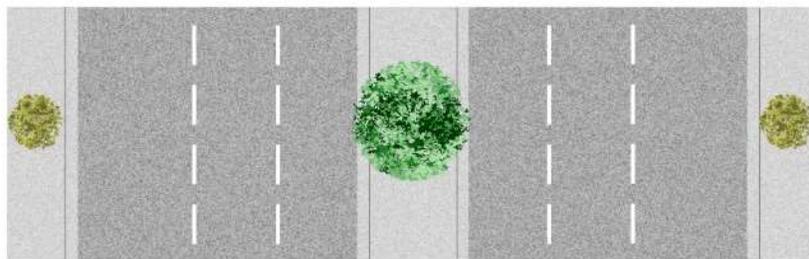
Items that are not eligible under the ACE Program are:

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

Exhibit 7-5
Standard MPAH Cross Sections

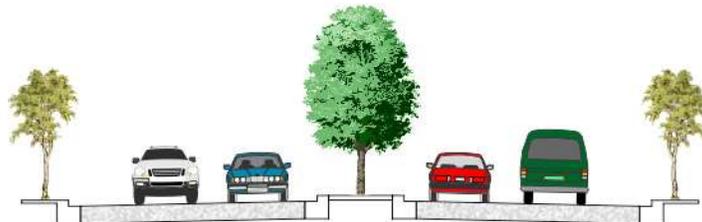
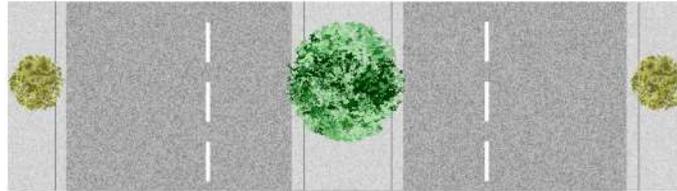


PRINCIPAL
144 FT
(8 LANES, DIVIDED)

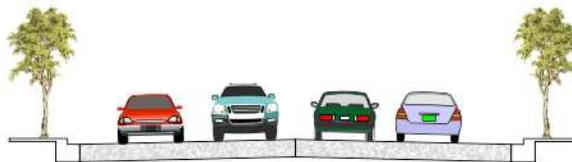
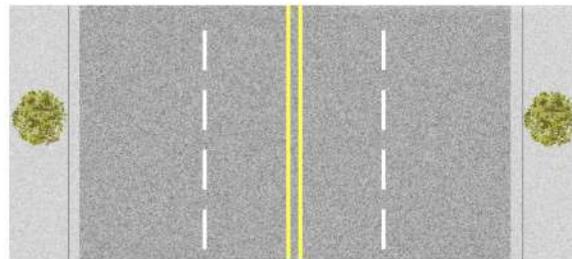


MAJOR
120FT
(6 LANES, DIVIDED)

Exhibit 7-5 *continued* Standard MPAH Cross Sections

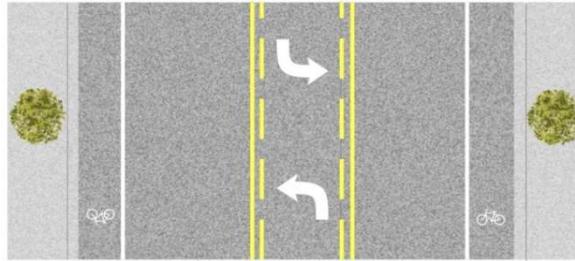


PRIMARY
100 FT
(4 LANES, DIVIDED)

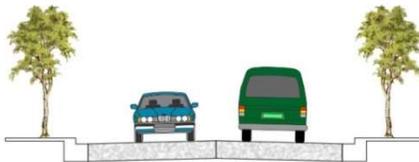
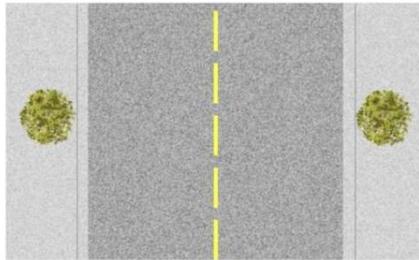


SECONDARY
80 FT
(4 LANES, UNDIVIDED)

Exhibit 7-5 *continued*
Standard MPAH Cross Sections



DIVIDED COLLECTOR
80 FT
(2 LANES, DIVIDED)



COLLECTOR
56 FT
(2 LANES, UNDIVIDED)

Master Plan of Arterial Highway Capacities

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

<u>Type of Arterial</u>	<u>Level of Service (LOS)</u>				
	A .51 - .60 v/c	B .61 - .70 v/c	C .71 - .80 v/c	D .81 - .90 v/c	E .91 - 1.00 v/c
8 Lanes Divided	45,000	52,500	60,000	67,500	75,000
6 Lanes Divided	33,900	39,400	45,000	50,600	56,300
4 Lanes Divided	22,500	26,300	30,000	33,800	37,500
4 Lanes (Undivided)	15,000	17,500	20,000	22,500	25,000
2 Lanes Divided	9,000	12,000	15,000	20,000	22,000
2 Lanes (Undivided)	7,500	8,800	10,000	11,300	12,500

Note: Values are maximum Average Daily Traffic

Selection Criteria

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on existing usage, proposed Vehicle Miles Traveled (VMT), level of services benefits, local match rate funding and overall facility importance. Technical categories and point values are shown on Tables 7-1 and 7-2. Data sources and methodology are described below.

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts for the proposed segment for comparison purposes. The agency must submit the project’s projected ADT, current ADT, the delta, and justification of the increase. Regarding “current” counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. Projects submitted without “current counts” will be considered incomplete and non-responsive. Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the 36 months preceding the release date of the current call. **Note:** New facilities must be modeled through OCTAM and requests should be submitted to OCTA a minimum of six (6) weeks prior to application submittal deadline. **The OCTAM modeling request**

deadline is September 8, 2022 for the 2023 Call for Projects. If modeling requests are not submitted six (6) weeks prior to the application submittal deadline, the application will not be considered. For agencies where event, weekend, or seasonal traffic presents a significant issue, Average Annual Daily Traffic (AADT) counts can be used, provided the agency gives sufficient justification for the use of AADT.

VMT: Centerline length of segment proposed for improvement multiplied by the existing ADT for the proposed segment length. Measurement must be taken proximate to capacity increase. VMT for improvements covering multiple discrete count segments are calculated on a weighted average basis.

Current Project Readiness: This category is additive. Points are earned for the highest qualifying designation at the time applications are submitted. Local agency should select the most current phase of the project.

- Environmental Approvals – applies where all environmental clearances have been obtained on the project.
- Preliminary design (35 percent (35%) level) – will require certification from the City Engineer and is subject to verification.
- Final Design (PS&E) – applies where the jurisdiction’s City Engineer or other authorized person has approved the final design.
- ROW (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication or orders of immediate possession have been received by the jurisdiction. Documentation of ROW possession will be required with application submittal.
- ROW (all easements and titles) – applies where no ROW is needed for the project or where all ROW has been acquired/dedicated.

Cost Benefit: Total project cost (including unfunded phases) divided by the existing ADT (or modeled ADT for new segments).

Funding Over-Match: The percentages shown apply to match rates above a jurisdiction’s minimum local match rate requirement. M2 requires a 50 percent (50%) local match for RCP projects. This minimum match can be reduced by up to 25 percentage points if certain eligible components are met. If a jurisdiction’s minimum match target is 30 percent (30%) and a local match of 45 percent (45%) is pledged, points are earned for the 15 percent (15%) over-match differential. The pledged amount is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project.

Transportation Significance: Roadway classification as shown in the current MPAH.

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

- Pedestrian Facilities: Placement of a new sidewalk where **none currently exists** along an entire segment of proposed project.
- Meets MPAH configuration: Improvement of roadway to full MPAH standard for the segment classification.
- Active Transit Route(s): Segments served by fixed route public transit service.
- Bus Turnouts: Construction of bus turnouts.
- Bike Lanes: Installation of new bike lanes
- Median (Raised): Installation of a mid-block raised median where none exists today. Can be provided in conjunction with meeting MPAH standards.
- Safety Improvements: Project features that increase the safety of pedestrians. These elements can include the new installation of ~~7:1~~ median barriers, curb extensions, residential traffic diverters, pedestrian crossing islands, pedestrian activated signals, crosswalk enhancements, safety signage, and the addition, modification, or improvement of existing pedestrian signals. Other elements of safety may be considered on a case by case basis.
- Elements of Approved Active Transportation Plan: Incorporate project features that are approved in an active transportation plan to improve mobility. These elements can include bike infrastructure and pedestrian elements. Other elements of an active transportation plan may be considered on a case by case basis. Documentation of approved plan will be required with application submittal.
- ~~Remove On-street Parking: Elimination of on-street parking in conjunction with roadway widening project. Can be provided in conjunction with meeting MPAH standards and installation of new bike lanes. Points are awarded at construction phase only.~~
- Sustainability Elements: Includes the use of multiple complete street elements, the installation of solar lighting within the roadway cross section, or water conservation elements that reduce water consumption, compared to current usage within project limits; such as the replacement of existing landscaping with hardscape and/or "California Native" drought tolerant type landscaping; the replacement of existing sprinklers with drip irrigation systems; the installation of new "grey" or recycled water systems where such does not currently exist. Other elements of sustainability may be considered on a case by case basis. Points are awarded at construction phase only.
- Other (e.g. Golf cart paths in conformance with California Vehicle Code and which are demonstrated to remove vehicle trips from roadway).

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

- Gap Closures: the construction of a roadway to its full MPAH build-out for the purpose of connecting two existing ends of that roadway by filling in a missing segment or for completing the terminus of an MPAH roadway. This applies to increased roadway capacity only as it relates to vehicular traffic.
- New Facility/Extensions: Construction of new roadways.
- Bridge crossing: Widening of bridge crossing within the project limits to full MPAH width. Widening beyond MPAH shall not qualify for Project O funding.
- Adds capacity: Addition of through traffic lanes.
- Improves traffic flow: Installation of a median, restricting cross street traffic, adding midblock turn lanes, or elimination of driveways.

LOS Improvement: This category is a product of the existing or projected LOS based upon volume/capacity– or v/c -- and LOS improvement “with project”. **Projects must meet a minimum existing or projected LOS of “D” (.81 v/c) “without project” condition to qualify for priority consideration for funding.** Existing LOS is determined using current 24-hour traffic counts for the proposed segment. However, for projects where traffic volumes follow unconventional patterns, unidirectional volumes may be proposed as an acceptable alternate methodology for determining LOS. If unidirectional volumes are used for LOS calculations, ADT for the proposed direction of improvement shall serve as the basis for ADT, cost benefit and vehicle miles travelled (VMT) scoring categories. Projects that do not meet the minimum LOS “D” can be submitted but are not guaranteed consideration as part of the competitive process.

If during the competitive process, it is determined that additional programming capacity exists after all eligible projects with LOS “D” have been funded, a consideration of projects with a minimum LOS “C” (.71 v/c) may be undertaken. Such consideration will be at the discretion of OCTA. Projects with a LOS better than “C” (.70 v/c) will not be considered.

Application Process

Project grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to evaluate the project proposal as outlined below. Detailed instructions and checklists are provided in this chapter.

Complete application

- Funding needs by phase and fiscal year
- Local committed match funding source, confirmed through city council resolution or minute order
- Supporting technical information (including current traffic counts)

- Project development and implementation schedule
- ROW status and detailed plan for acquisition/disposal of excess right-of-way. The ROW acquisition/disposal plan must be submitted using the "ROW acquisition/disposal plan" form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.
- Any additional information deemed relevant by the applicant.
- Grants subject to Master Funding Agreement

Calls are expected to be issued on an annual basis, or as determined by the Board. Complete project applications must be submitted by the established due date to be considered eligible for consideration.

Minimum Eligibility Requirements

Projects must have an existing or projected LOS "D" (.81 v/c) or worse to qualify for priority consideration for funding in this program.

All project roadways must be identified on the MPAH network. Local streets not shown on the MPAH are not eligible for funding through this program.

New Facilities

New facilities must be modeled through OCTAM. A local agency planning on submitting a request for funding for a new facility must submit a modeling request a minimum of six (6) weeks prior to the application submittal deadline. If modeling requests are not submitted six (6) weeks prior to the application submittal deadline, the application associated with the related project will not be considered. Any request for modeling **must be submitted to OCTA no later than September 8, 2022** for the 2023 Call for Projects.

Facility Modeling: For consistency purposes, all proposed new facilities will be modeled by OCTA using the most current version of OCTAM. Applicants may supplement their application with a locally-derived model with OCTAM used for validation purposes. The facility will be modeled with the lane capacity reflected in the application.

Average Daily Trips Determination: OCTAM will provide an "existing" ADT using a "with project" model run under current conditions. The ADT for the proposed segment will serve as the ADT value to be considered in the application.

LOS Improvement: LOS on existing facilities may be positively or negatively affected by a proposed new roadway segment through trip redistribution. A current condition model run is generated "with" and "without" the proposed project. The intent is to test the efficacy of the proposed segment. A comparison of these before and after project runs (using current traffic volumes) yields potential discernable changes in LOS. The greatest

benefit is generally on a parallel facility directly adjacent to the proposed project. Trip distribution changes generally dissipate farther from the project. For evaluation purposes, the segment LOS (determined through a simple volume / capacity calculation) for the “with” and “without project” will be used for the existing LOS and LOS improvement calculations.

Matching Funds

Local agencies are required to provide local match funding for each phase of the project. As prescribed by the M2 Ordinance, the minimum local match requirement is 50 percent (50%) with potential to reduce this amount if certain eligibility requirements are met. The amount pledged during the application process is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project. Actual project contributions by the local agency are dependent on final project costs and may not be equal to the committed match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures do not contribute to the local match rate.

Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the funding plan described above, local agencies will be required to submit the following materials:

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

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

Project Summary Information: With each application being recommended for funding, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for review and discussion purposes. The presentation shall be no more than three (3) slides and should contain, at a minimum, a project description, project benefits,

location map, and cost estimate. **OCTA staff will request the PowerPoint when/if a project is recommended for funding.**

Reimbursements

This program is administered on a reimbursement basis for capital improvements, planning, design, and ROW acquisition. Reimbursements will be disbursed upon review and approval of an acceptable initial payment submittal, final report, and consistency with Master Funding Agreement or cooperative agreement if federal funds are awarded. The reimbursement process is more fully described in Chapter 9 of this manual.

Project Cancellation

If a local agency decides to cancel a project, for whatever reason, the agency shall notify OCTA as soon as possible. Projects deemed infeasible during the planning phase shall bring that phase to a logical conclusion, file a final report, and cancel remaining phases so that remaining funds can be reprogrammed without penalty. All ROW funding received for property acquisition prior to cancellation shall be repaid upon cancellation even if property has been acquired. All construction funding received prior to cancellation shall be repaid upon cancellation.

Cancelled projects will be eligible to reapply upon resolution of issues that led to original project termination. Agencies can resubmit an application for funding consideration once either the cancellation of the existing funding grant has been approved by the OCTA Board or is in the process of approval through the semi-annual review. In the event the OCTA Board does not approve the cancellation, the lead agency will be required to withdraw the application.

Audits

All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation, which may include repayment, reduction in overall grant, and/or other sanctions to be determined. Audits shall be conducted by OCTA's Internal Audit department or other authorized agent either through the normal annual process or on a schedule to be determined by the Board (see Chapter 10).

Proceeds from the sale of excess ROW acquired with program funding must be paid back to the project fund as described in Chapter 9 and the Master Funding Agreement.

**Table 7-1
Regional Capacity Program
Street Widening Selection Criteria**

Category	Points Possible	Percentage
Facility Usage		3025%
Existing ADT <u>& VMT</u>	15	10 15%
Existing VMT	10	10 %
Current Project Readiness	10	10%
Economic Effectiveness		15%
Cost Benefit	10	10%
Funding Over-Match	5	5%
Facility Importance		2025%
Transportation Significance	10	10%
Operational Efficiency	10 15	10 15%
Benefit		35%
Improvement Characteristics	10	10%
Level of Improvement and Service	25	25%
Total	100	100%

Table 7-2 Street Widening Point Breakdown

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

Facility Usage		Points:	Facility Importance		Points:
3025			2025		
<u>Existing ADT & VMT</u>		<u>Max Points: 15</u>	<u>Transportation Significance Range</u>		<u>Points</u>
<u>Existing ADT Range</u>		<u>Points</u>	<u>Principal or CMP Route</u>		<u>10</u>
45+	thousand	10	<u>Major</u>		<u>8</u>
40 – 44	thousand	8	<u>Primary</u>		<u>6</u>
35 – 39	thousand	6	<u>Secondary</u>		<u>4</u>
30 – 34	thousand	5	<u>Collector</u>		<u>2</u>
25 – 29	thousand	4	<u>Operational Attributes</u>		<u>Max Points:</u>
20 – 24	thousand	3	<u>(within the roadway)</u>		<u>1015</u>
15 – 19	thousand	2	<u>Meets MPAH Configs.</u>		<u>3 4</u>
10 – 14	thousand	1	<u>Pedestrian Facilities (New)</u>		<u>3 4</u>
<10	thousand	0	<u>Bike Lanes (New)</u>		<u>3 4</u>
<u>VMT Range</u>		<u>Points</u>	<u>Active Transit Route(s)</u>		<u>2</u>
31+	thousand	10	<u>Bus Turnouts</u>		<u>2</u>
26 – 30	thousand	8	<u>Median (Raised)</u>		<u>2</u>
22 – 25	thousand	6	<u>Remove On-Street Parking</u>		<u>2</u>
18 – 21	thousand	5	<u>Safety Improvements</u>		<u>23</u>
14 – 17	thousand	4	<u>Elements of Approved Active</u>		
11 – 13	thousand	3	<u>Transportation Plan</u>		<u>2</u>
08 – 10	thousand	2	<u>Sustainability Elements</u>		<u>2</u>
04 – 07	thousand	1	<u>Other</u>		<u>2</u>
<4	thousand	0			
<u>Current Project Readiness</u>		<u>Max Points: 10</u>	Benefit		Points: 35
<u>ROW (All Easement and Titles)</u>		<u>5</u>	<u>Improve Characteristics</u>		<u>Points</u>
<u>Final Design (PS&E)</u>		<u>4</u>	<u>Gap Closure</u>		<u>10</u>
<u>Environmental Approvals</u>		<u>2</u>	<u>New Facility/Extension</u>		<u>8</u>
<u>Preliminary Design (35%)</u>		<u>2</u>	<u>Bridge Crossing</u>		<u>8</u>
<u>ROW (All Offers Issued)</u>		<u>2</u>	<u>Adds Capacity</u>		<u>6</u>
			<u>Improves Traffic Flow</u>		<u>2</u>
<u>Points are additive. Design and ROW limited to highest qualifying designation.</u>			<u>LOS Improvement</u>		<u>Max Points: 25</u>
Economic Effectiveness		Points: 15	<u>Existing LOS Starting Point Range</u>		<u>Points</u>
<u>Cost Benefit (Total \$/ADT)</u>			<u>(LOS Imp x LOS Starting Pt)</u>		
<u>Range*</u>		<u>Points</u>	<u>1.01+</u>		<u>5</u>
< 49		10	<u>.96 – 1.00</u>		<u>4</u>
50 – 74		9	<u>.91 – .95</u>		<u>3</u>
75 – 99		7	<u>.86 – .90</u>		<u>2</u>
100 – 149		5	<u>.81 – .85</u>		<u>1</u>
150 – 199		4	<u><.81</u>		<u>0</u>
200 – 249		3	<u>LOS Improvements with Project (exist. Volume)</u>		
250 – 299		2	<u>Existing LOS Starting Point Range</u>		<u>Points</u>
300 – 349		1	<u>.20+</u>		<u>5</u>
350+		0	<u>.16 – .20</u>		<u>4</u>
<u>Funding Over-Match (local match/project cost) minus minimum local match requirement.</u>			<u>.10 – .15</u>		<u>3</u>
<u>Range*</u>		<u>Points</u>	<u>.05 – .09</u>		<u>2</u>
25+%		5	<u>.01 – .05</u>		<u>1</u>
			<u><.01</u>		<u>0</u>

Comprehensive Transportation Funding Programs



20 – 24%	4
15 – 19%	3
10 – 14%	2
05 – 09%	1
00 – 04%	0

*Range refers to % points above agency minimum requirement.

Intersection Capacity Enhancements (ICE)

Overview

The MPAH serves as the backbone of Orange County's arterial street network. Intersections at each intersecting MPAH arterial throughout the County will continue to require improvements to mitigate current and future needs. The ICE improvement category complements roadway improvement initiatives underway and supplements development mitigation opportunities.

Projects in the ICE improvement category are selected on a competitive basis. Projects must meet specific criteria in order to compete for funding through this program.

For the purposes of the ICE improvement category, the limits of an intersection shall be defined as the area that includes all necessary (or planned) through lanes, turn pockets, and associated transitions required for the intersection. Project limits of up to a maximum of 600 feet for each intersection leg are allowable. Projects that, due to special circumstances, must exceed the 600-foot limit, shall include in their application the request for a technical variance. The project shall be presented to the TSC by the local agency to request approval of the variance.

Objectives

- Improve MPAH network capacity and throughput along MPAH facilities
- Relieve congestion at MPAH intersections by providing additional turn and through lane capacity
- Improve connectivity between neighboring jurisdictions by improving operations
- Provide timely investment of M2 revenues

Project Participation Categories

The ICE category provides capital improvement funding (including planning, design, ROW acquisition and construction) for intersection improvements on the MPAH network for the following:

- Intersection widening – constructing additional through lanes and turn lanes, extending turn lanes where appropriate, and signal equipment
- Street to street grade separation projects

Eligible Activities

- Planning, environmental clearance
- Design (plans, specifications, and estimates)
- ROW acquisition
- Construction (including bus turnouts, curb ramps, median, and striping)

Potentially Eligible Items

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs.

Application review and approval does not guarantee the eligibility of all items.

- Required environmental mitigation for projects funded by ICE
- Storm drains/catch basins/detention basins/bioswales/other pollutant discharge mitigation devices
- Sound walls (in conjunction with roadway improvement mitigation measures)
- Aesthetic improvements including landscaping within the project ROW (eligible improvements up to 10 percent (10%) of construction costs, provided costs are reasonable for the transportation benefit)
- Signal equipment (as incidental component of program), including the installation or upgrade of pedestrian countdown heads
- Bicycle detection systems
- Rehabilitation and/or resurfacing of existing pavement when necessitated by proposed improvement (such as change in profile and cross section)
- Improvements to private property if part of a ROW settlement agreement
- Utility relocation where the serving utility has prior rights as evidenced by a recorded legal document and are located within the roadway right-of-way.
- Roadway grading within the ROW (inclusive of any TCEs and/or ROW agreement related improvements) should not exceed a depth for normal roadway excavation (e.g. structural section). Additional grading will be considered on a case by case basis. Agencies shall provide supporting documentation (e.g. soils reports, ROW agreements) to justify the additional grading.

Ineligible Items

- Grading outside of the roadway ROW not related to a TCE or ROW agreement is generally assumed to be ineligible but can be evaluated by OCTA on a case by case basis, but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).
- ROW acquisition greater than the typical ROW width for the applicable MPAH Roadway Classification. Additional turn lanes not exceeding 12 feet in width needed to maintain an intersection LOS D requiring ROW in excess of the typical ROW width for the applicable MPAH classification shall be fully eligible. Where full parcel acquisitions are necessary to meet typical ROW requirements for the MPAH classification any excess parcels shall be disposed of in accordance with State

statutes and the acquisition/disposal plan submitted in accordance with these guidelines.

- Enhanced landscaping and aesthetic improvements (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape).

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

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

Soundwalls are eligible only if they are required as part of the environmental clearance for the proposed project and shall not exceed 25 percent (25%) of the total eligible project costs. Aesthetic enhancements and landscaping in excess of minimum environmental mitigation requirements are subject to limitations described in the "Potentially Eligible Item" section above.

The relocation of detention basins/bioswales/other pollutant discharge mitigation devices are potentially eligible dependent on who has prior rights and will be given consideration on a case by case basis (see utility relocations below).

Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). Rough grading can be considered eligible, so long as it supports MPAH improvement(s) within the ROW and does not supplant developer (or any other project obligations). Any proposed rough grading outside of the MPAH ROW, will be evaluated by OCTA on a case-by-case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).

Utility Relocations

The expenses associated with the relocation of utilities are eligible for RCP reimbursement only when all conditions listed below have been met:

- The relocation is made necessary due to conflict with proposed improvements.
- The facility to be relocated is within the project right-of-way.

- It has been determined that the local agency is legally liable for either a portion of or all of the relocation costs.

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

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

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

Selection Criteria

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on existing usage, LOS benefits, local match funding, and overall facility importance. Technical categories and point values are shown on Tables 7-3 and 7-4. Data sources and methodology are described below.

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts for the proposed segment for comparison purposes. The agency must submit the project's projected ADT, current ADT, the delta, and justification of the increase. Regarding "current" counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the preceding 36 months. Project applications without "current" counts will be deemed incomplete and non-responsive. Average ADT for the east and west legs of the intersection will be added to the average ADT for the north and south legs.

For agencies where event or seasonal traffic presents a significant issue, AADT counts can be used, provided the agency gives sufficient justification for the use of AADT.

Current Project Readiness: This category is additive. Points are earned for each satisfied readiness stage at the time applications are submitted. Local agency should select the most current phase of the project.

- Environmental Approvals – applies where all environmental clearances have been obtained on the project.
- Preliminary design (35 percent (35%) level) – will require certification from the City Engineer and is subject to verification.
- Final Design (PS&E) – applies where the jurisdiction’s City Engineer or other authorized person has approved the final design.
- ROW (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication or orders of immediate possession have been received by the jurisdiction. Documentation of ROW possession will be required with application submittal.
- ROW (all easements and titles) – applies where no ROW is needed for the project or where all ROW has been acquired/dedicated.

Cost Benefit: Total project cost (included unfunded phases) divided by the existing ADT (or modeled ADT for new segments).

Funding Over-Match: The percentages shown apply to match rates above a jurisdiction’s minimum match rate requirement. M2 requires a 50 percent (50%) local match for RCP projects. This minimum match can be reduced by up to 25 percentage points if certain eligible components are met. If a jurisdiction’s minimum match target is 30 percent (30%) and a local match of 45 percent (45%) is pledged, points are earned for the 15 percent (15%) over-match. The pledged amount is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project.

Coordination with Contiguous project: Projects that complement a proposed arterial improvement project with a similar implementation schedule earn points in this category. This category is intended to recognize large projects that segregate intersection components from arterial components for funding purposes.

Transportation Significance: Roadway classification as shown in the current MPAH.

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

- Bike Lanes: Extension of bike lanes through intersection
- Bus Turnouts: Construction of a bus turnout as a new feature.
- Lowers density: Addition of through travel lanes.

- Channels traffic: Addition and/or extension of turn pockets (other than free right turn).
- Free right turn: installation of new free right or conversion of an existing right turn to free right
- Protected/permissive left turn: Convert from protected to protected/permissive
- Pedestrian Facilities: Placement of a new sidewalk if none currently exists.
- Grade separations: Street to street grade separations and do not apply to rail grade separation projects which are covered by the grade separation program category.
- Safety Improvements: Project features that increase the safety of pedestrians. These elements can include the new installation of: median barriers, curb extensions, residential traffic diverters, pedestrian crossing islands, pedestrian activated signals, crosswalk enhancements, safety signage, and the addition, modification, or improvement of existing pedestrian signals. Other elements of safety may be considered on a case by case basis.
- Elements of Approved Active Transportation Plan: Incorporate project features that are approved in an active transportation plan to improve mobility. These elements can include bike infrastructure and pedestrian elements. Other elements of an active transportation plan may be considered on a case by case basis. Documentation of approved plan will be required with application submittal.
- Sustainability Elements: Includes the use of multiple complete street elements, the installation of solar lighting within the roadway cross section, or water conservation elements that reduce water consumption, compared to current usage within project limits; such as the replacement of existing landscaping with hardscape and/or "California Native" drought tolerant type landscaping; the replacement of existing sprinklers with drip irrigation systems; the installation of new "grey" or recycled water systems where such does not currently exist. Other elements of sustainability may be considered on a case by case basis. Points are awarded at construction phase only.

LOS Improvement: This category is a product of the existing or projected LOS based upon v/c and LOS improvement "with project" using ICU calculation with 1,700 vehicles per lane per hour and a .05 clearance interval. Calculations will be based upon "current" arterial link and turning movement counts projected to opening year. **Projects must meet a minimum existing or projected LOS of "D" (.81 v/c) to qualify for priority consideration for funding.** Existing LOS is determined using peak hour traffic counts/turning movements AM/PM peak periods for the proposed segment utilizing ICU methodology and using 1,700 vehicles per lane/per hour and a .05 clearance interval.

For projects where traffic volumes follow unconventional patterns (e.g. unidirectional congestion, large disparity between AM and PM peaks, etc.) HCM 2010 may be proposed as an alternate methodology for determining LOS. HCM calculations must use SYNCHRO

and be supported with complete calculation documentation using standard industry approaches and current signal timing plans. If an alternative methodology is proposed, all analysis **must be submitted to OCTA for review no later than September 8, 2022** for the 2023 Call for Projects. OCTA will contract with an independent third-party firm to review the technical analysis. The cost for the review will be charged to the applicant.

Projects that do not meet the minimum LOS "D" can be submitted but are not guaranteed consideration as part of the competitive process.

If during the competitive process, it is determined that additional programming capacity exists after all eligible projects with LOS "D" have been funded, a consideration of projects with a minimum LOS "C" (.71 v/c) may be undertaken. Such consideration will be at the discretion of OCTA. Projects with a LOS better than "C" (.70 v/c) will not be considered.

Application Process

Project grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to evaluate the project proposal as outlined below. Detailed instructions and checklists are provided in this chapter.

Complete application

- Funding needs by phase and fiscal year
- Local match funding source, confirmed through city council resolution or minute order
- Supporting technical information (including current arterial link and turning movement counts)
- Project development and implementation schedule
- ROW status and a detailed plan for acquisition/disposal of excess right-of-way. The ROW acquisition/disposal plan must be submitted using the "ROW acquisition/disposal plan" form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.
- Any additional information deemed relevant by the applicant
 - Grants subject to master funding agreement

Calls for projects are expected to be issued on an annual basis, or as determined by the Board. Complete project applications must be submitted by the established due date to be considered eligible for consideration.

Minimum Eligibility Requirements

Projects must have an existing or projected LOS "D" (.81 v/c) or worse to qualify for priority consideration for funding in this program.

All project roadways must be identified on the MPAH network. Local streets not shown on the MPAH are not eligible for funding through this program.

Matching Funds

Local agencies are required to provide local match funding for each phase of the project. As prescribed by the M2 Ordinance, the minimum local match requirement is 50 percent (50%) with potential to reduce this amount if certain eligibility requirements are met. The amount pledged during the application process is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project. Actual project contributions by the local agency are dependent on final project costs and may not be equal to the committed match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures do not contribute to the local match rate.

Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the funding plan described above, local agencies will be required to submit the following materials:

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

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

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

Reimbursements

This program is administered on a reimbursement basis for capital improvements, planning, design, and ROW acquisition. Reimbursements will be disbursed upon review and approval of an acceptable initial payment submittal, final report and consistency with Master Funding Agreement or cooperative agreement. The reimbursement process is more fully described in Chapter 9 of this manual.

Project Cancellation

If a local agency decides to cancel a project, for whatever reason, the agency shall notify OCTA as soon as possible. Projects deemed infeasible during the planning phase shall bring that phase to a logical conclusion, file a final report, and cancel remaining phases so that remaining funds can be reprogrammed without penalty. ROW funding received for property acquisition prior to cancellation shall be repaid upon cancellation even if property has been acquired. Construction funding received prior to cancellation shall be repaid upon cancellation.

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

Audits

All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall grant, and/or other sanctions to be determined. Audits shall be conducted by OCTA's Internal Audit department or other authorized agent either through the normal annual process or on a schedule to be determined by the Board (see Chapter 10).

Proceeds from the sale of excess ROW acquired with program funding must be paid back to the project fund as described in Chapter 9 and the Master Funding Agreement.

**Table 7-3
Regional Capacity Program
Intersection Improvement Selection Criteria**

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

Table 7-4 Intersection Widening Point Breakdown

ICE SCORING CRITERIA

Point Breakdown for Intersection Capacity Enhancement Projects Maximum Points = 100

Facility Usage Points: 25			Facility Importance Points: 30		
<u>ADT Range*</u>			<u>Transportation Significance Range</u>		
60+	thousand	15	Principal or CMP Route		10
55 – 59	thousand	13	Major		8
50 – 54	thousand	11	Primary		6
45 – 49	thousand	9	Secondary		4
40 – 44	thousand	7	Collector		2
35 – 39	thousand	5			
30 – 34	thousand	3			
25 – 29	thousand	1			
*AVG ADT for east and west legs plus AVG ADT for north and south legs of intersection.			<u>Operational Attributes (within the roadway)</u> Max Points: 20		
<u>Current Project Readiness</u> Max Points: 10			Grade Separations		10
ROW (All Easement and Titles)		5	Bike Lanes		45
Final Design (PS&E)		4	Pedestrian Facilities (New)		45
Environmental Approvals		2	Bus Turnouts		4
Preliminary Design (35%)		2	Free Right		4
ROW (All Offers Issued)		2	Lowers Density		3
Points are additive. Design and ROW limited to highest qualifying designation.			Channels Traffic		3
			Protected/Permissive Left Turn		2
			Safety Improvements		23
			<u>Elements of Approved Active Transportation Plan</u>		2
			Sustainability Elements		2
Economic Effectiveness Points: 20			Benefit Points: 25		
<u>Cost Benefit (Total \$/ADT) Range*</u>			<u>LOS Improvement</u> Max Points: 25		
< 20		10	Calculation: LOS Imp x LOS Starting Point		
21 – 30		9	<u>Existing LOS (Peak Hour) Range</u>		
31 – 50		7	1.01+		5
51 – 75		5	.96 – 1.00		4
76 – 100		3	.91 – .95		3
>100		1	.86 – .90		2
* = Total Cost/Average ADT			.81 – .85		1
Funding Over-Match (local match/project cost) minus minimum local match requirement.			<.81		0
<u>Range*</u>			<u>LOS Reduction w/ Project (existing Volume) Range</u>		
25+%		5	.20+		5
20 – 24%		4	.16 – .20		4
15 – 19%		3	.10 – .15		3
10 – 14%		2	.05 – .09		2
05 – 09%		1	.01 – .05 ,04		1
00 – 04%		0	<.01		0
<u>Coordination with Contiguous Project Range</u>					
Yes		5			
No		0			
Coordination with ACE Project with similar implementation schedule.					

Freeway Arterial/Streets Transitions (FAST)

Overview

The MPAH serves as the backbone of Orange County’s arterial street network. Current and future needs at existing interchanges along MPAH highways and freeways will need to be addressed in order to improve connectivity between freeways and MPAH arterials. The interchange improvement program complements roadway improvement initiatives underway as well, and supplements development mitigation opportunities.

Projects in the FAST improvement category are selected on a competitive basis. Projects must meet specific criteria in order to compete for funding through this program.

Objectives

- Improve transition to and from Orange County freeways with emphasis on MPAH performance
- Provide timely investment of M2 revenues

Project Participation Categories

The FAST category provides capital improvement funding (including planning, design, ROW acquisition and construction) for interchange improvements on the MPAH network for the following:

- MPAH facility interchange connections to Orange County freeways (including on-ramp, off-ramp and arterial improvements)

Eligible Activities

- Planning, environmental clearance
- Design
- ROW acquisition
- Construction (including ramps, intersection and structural improvements/reconstruction incidental to project)
- Signal equipment (as incidental component of the program)

Potentially Eligible Items

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs.

Application review and approval does not guarantee the eligibility of all items.

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

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

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

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

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

Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). Rough grading can be considered eligible, so long as it supports MPAH improvement(s) within the ROW and does not supplant developer (or any other project obligations). Any proposed rough grading outside of the MPAH ROW, will be evaluated by OCTA on a case-by-case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).

Utility Relocations

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

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

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

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

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

Ineligible Projects

- Seismic retrofit projects (unless combined with eligible capacity enhancements)

- Grading outside of the roadway ROW not related to a TCE or ROW agreement is generally assumed to be ineligible but can be evaluated by OCTA on a case by case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).
- Enhanced landscaping, aesthetics and gateway treatments (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape).

Selection Criteria

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

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts and ramp volumes projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts for the proposed segment for comparison purposes. The agency must submit the project's projected ADT, current ADT, the delta, and justification of the increase. Regarding "current" counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the preceding 36 months. Project applications without "current" counts will be deemed incomplete and non-responsive. Average ramp intersection volume for each interchange ramp will be used for the current counts. New facilities will rely on projected ramp volume based upon Caltrans approved projection.

For agencies where event or seasonal traffic presents a significant issue, AADT counts can be used, provided the agency gives sufficient justification for the use of AADT.

Current Project Readiness: This category is additive. Points are earned for each satisfied readiness stage at the time applications are submitted. Local agency should select the most current phase of the project.

- Environmental Approvals – applies where all environmental clearances have been obtained on the project.
- Preliminary design (35 percent (35%) level) – will require certification from the City Engineer and is subject to verification.
- Final Design (PS&E) – applies where the jurisdiction's City Engineer or other authorized person has approved the final design.
- ROW (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication or orders of immediate

possession have been received by the jurisdiction. Documentation of ROW possession will be required with application submittal.

- ROW (all easements and titles) – applies where no ROW is needed for the project or where all ROW has been acquired/dedicated.

Cost Benefit: Total project cost (including unfunded phases) divided by the existing ADT (or modeled ADT for new segments).

Funding Over-Match: The percentages shown apply to match rates above a jurisdiction's minimum local match requirement. M2 requires a 50 percent (50%) local match for RCP projects. This minimum match can be reduced by up to 25 percentage points if certain eligible components are met. If a jurisdiction's minimum match target is 30 percent (30%) and a local match of 45 percent (45%) is pledged, points are earned for the 15 percent (15%) over-match. The pledged amount is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project.

Coordination with Freeway Project: Interchanges planned to coincide with or accommodate programmed freeway improvements receive points in this category.

Transportation Significance: Roadway classification as shown in the current MPAH.

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

- Eliminate left turn conflicts: Ramp intersection reconfiguration which does not permit left turns onto ramps.
- Coordinated signal: Ramp intersections within a coordinated corridor where coordination did not previously exist.
- Add turn lanes: Increase in number of turn lanes on arterial.
- Add traffic control: Signalization of ramp intersection.
- Enhanced ramp storage: Extension or widening of existing ramp to improve off-street storage capacity.
- Pedestrian facilities: Add crosswalk and/or sidewalk to ramp or bridge crossing within context of interchange improvements.
- Active Transit Route: facility contains a currently active OCTA transit route
- Safety Improvements: Project features that increase the safety of pedestrians. These elements can include the new installation of: intersection median barriers, curb extensions, pedestrian crossing islands, crosswalk enhancements, safety signage, and the addition, modification, or improvement of existing pedestrian signals. Other elements of safety may be considered on a case by case basis.
- Elements of Approved Active Transportation Plan: Incorporate project features that are approved in an active transportation plan to improve mobility. These

elements can include bike infrastructure and pedestrian elements. Other elements of an active transportation plan may be considered on a case by case basis. Documentation of approved plan will be required with application submittal.

- Sustainability Elements: Includes the use of multiple complete street elements, the installation of solar lighting within the roadway cross section, or water conservation elements that reduce water consumption, compared to current usage within project limits; such as the replacement of existing landscaping with hardscape and/or "California Native" drought tolerant type landscaping; the replacement of existing sprinklers with drip irrigation systems; the installation of new "grey" or recycled water systems where such does not currently exist. Other elements of sustainability may be considered on a case by case basis. Points are awarded at construction phase only.

LOS Improvement: This category is a product of the existing or projected LOS based upon v/c and LOS improvement "with project" for arterial based improvements and ICU for intersection-based improvements. **Projects must meet a minimum existing or projected LOS of "D" (.81 v/c) to qualify for priority consideration for funding.** Existing LOS is determined using current 24-hour traffic counts for arterials and peak hour turning movements at intersections for the proposed segment. However, for projects where traffic volumes follow unconventional patterns (e.g. unidirectional congestion, large disparity between AM and PM peaks, etc.) alternate methodologies for determining LOS can be proposed. If HCM 2010 is proposed for intersections as an alternative methodology, all analysis **must be submitted to OCTA no later than September 8, 2022** and the cost for independent review shall be reimbursed by the applicant. Projects that do not meet the minimum LOS "D" can be submitted but are not guaranteed consideration as part of the competitive process.

If during the competitive process, it is determined that additional programming capacity exists after all eligible projects with LOS "D" have been funded, a consideration of projects with a minimum LOS "C" (.71 v/c) may be undertaken. Such consideration will be at the discretion of OCTA. Projects with a LOS better than "C" (.70 v/c) will not be considered.

Improvement Characteristics: Select the attribute that best fits your project definition.

- New facility: New interchange where none exists.
- Partial facility: New interchange which does not provide full access.
- Interchange reconstruction: improvement of existing interchange to provide additional arterial capacity (widening of overcrossing or undercrossing).
- Ramp reconfiguration: Widening of ramp or arterial to improve turning movements or other operational efficiencies.
- Ramp metering: Installation of metering on ramp.

Application Process

Project grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to evaluate the project proposal as outlined below.

Complete application

- Funding needs by phase and fiscal year
- Local match funding source
- Supporting technical information
- Project development and implementation schedule
- ROW status and a detailed plan for acquisition/disposal of excess right-of-way. The ROW acquisition/disposal plan must be submitted using the "ROW acquisition/disposal plan" form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.
- Any additional information deemed relevant by the applicant
 - Grants subject to a Master Funding Agreement or cooperative agreement if federal funds are awarded

Calls for projects are expected to be issued on an annual basis, or as determined by the OCTA Board of Directors. Complete project applications must be submitted by the established due date to be considered eligible for consideration.

Minimum Eligibility Requirements

Projects must have an existing or projected LOS "D" (.81 v/c) or worse to qualify for priority consideration for funding in this program. Worst peak hour period is used for this evaluation and eligibility purposes.

Matching Funds

Local agencies are required to provide local match funding for each phase of the project. As prescribed by the M2 Ordinance, a 50 percent (50%) minimum local match is required. A lower local match may be permitted if certain eligibility criteria are met. The amount pledged during the application process is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project. Actual project contributions by the local agency are dependent on final project costs and may not be equal to the committed match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures do not contribute to the local match rate.

Reimbursements

This program is administered on a reimbursement basis for capital improvements, planning, design, and ROW acquisition. Reimbursements will be disbursed upon review and approval of an acceptable initial payment submittal, final report and consistency with Master Funding Agreement. The reimbursement process is described in Chapter 9.

Caltrans Coordination

Caltrans is not eligible to submit applications or receive payment under this program. Only cities or the County of Orange may submit applications and receive funds. This program was designed to benefit local agencies.

Coordination with Caltrans will be essential for most, if not all, of the projects submitted for this program. Local agencies should therefore establish contacts with the Caltrans District 12 Office (Project Development Branch) to ensure that candidate projects have been reviewed and approved by Caltrans. All other affected agencies should be consulted as well.

Agencies submitting projects for this program must have confirmation from Caltrans that the proposed improvement is consistent with other freeway improvements as evidenced by an agreement or other formal document.

Applications should be submitted so that interchange projects are done in conjunction with construction of other freeway improvements whenever possible. However, if the interchange project can be done in advance of the freeway project, verification and/or supporting documentation must be submitted showing the interchange improvement has merit for advanced construction and that it will be compatible with the freeway design and operation. Additionally, the interchange improvements should take into account the ultimate freeway improvements if the interchange is to be improved in advance.

Project Cancellation

If a local agency decides to cancel a project, for whatever reason, the agency shall notify OCTA as soon as possible. Projects deemed infeasible during the planning phase shall bring that phase to a logical conclusion, file a final report, and cancel remaining phases so that remaining funds can be reprogrammed without penalty. ROW funding received for property acquisition prior to cancellation shall be repaid upon cancellation even if property has been acquired. Construction funding received prior to cancellation shall be repaid upon cancellation.

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

Audits

All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall grant, and/or other sanctions to be determined. Audits shall be conducted by OCTA's Internal Audit department or other authorized agent either through the normal annual process or on a schedule to be determined by the Board (see Chapter 10).

Proceeds from the sale of excess ROW acquired with program funding must be paid back to the project fund as described in Chapter 9 and Master Funding Agreement.

Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the funding plan described above, local agencies will be required to submit the following materials:

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

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

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

**Table 7-5
Freeway/Arterial Street Transitions
Interchange Improvement Selection Criteria**

Category	Points Possible	Percentage
Facility Usage		20%
Existing ADT	10	10%
Current Project Readiness	10	10%
Economic Effectiveness		25%
Cost Benefit	10	10%
Matching Funds	10	10%
Coordination with Freeway Project	5	5%
Facility Importance		25%
Transportation Significance	10	10%
Operational Efficiencies	15	15%
Benefit		30%
Existing LOS	10	10%
LOS Reduction w/ Project	10	10%
Improvement Characteristics	10	10%
Total	100	100%

Table 7-6 Interchange Improvement Point Breakdown

FAST SCORING CRITERIA

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

Facility Usage Points: 20			Facility Importance Points: 25		
<u>ADT Range*</u>			<u>Transportation Significance Range</u>		
55+	thousand	10	Principal or CMP Route		10
50 – 54	thousand	9	Major		8
45 – 49	thousand	8	Primary		6
40 – 44	thousand	6	Secondary		4
35 – 39	thousand	4	Collector		2
30 – 34	thousand	3			
25 – 29	thousand	2			
20 – 24	thousand	1			
<10 – 19	thousand	0			
*Arterial plus daily ramp exit volume			<u>Operational Attributes (within the roadway)</u> Max Points: 15		
<u>Current Project Readiness</u> Max Points: 10			Pedestrian Facilities (New)		34
ROW (All Easement and Titles)		6	Eliminate Left Turn Conflict		3
ROW (All Offers Issued)		4	Add Turn Lanes		3
Final Design (PS&E)		4	Enhanced Ramp Storage		3
PA/ED		2	Coordinated Signal		2
Project Study Report or Equiv.		1	Safety Improvements		23
Points are additive. ROW is the highest qualifying designation.			<u>Elements of Approved Active Transportation Plan</u>		2
			Sustainability Elements		2
			Add Traffic Control		1
Economic Effectiveness Points: 25			Benefit Points: 30		
<u>Cost Benefit (Total \$/ADT) Range*</u>			LOS Improvement Max Points: 20		
< 20		10	Calculation: Avg. LOS Imp + Avg. LOS Starting Point		
20 – 39		8	<u>LOS Reduction w/ Project (existing Volume) Range</u>		
40 – 79		6			
80 – 159		4	.20+		10
160 – 319		2	.16 – .19		8
320 – 640		1	.10 – .15		6
>640		0	.05 – .09		4
Funding Over-Match (local match/project cost) minus minimum local match requirement.			<.05		2
<u>Range*</u>			<u>Existing LOS Range</u>		
30+%		10	1.06+		10
25 – 29%		8	1.01 – 1.05		8
20 – 24%		6	0.96 – 1.00		6
15 – 19%		4	0.91 – 0.95		4
10 – 14%		2	0.86 – 0.90		2
00 – 09%		1	0.81 – 0.85		1
Range refers to % points above agency minimum requirement			Improvement Characteristics Max Points: 10		
Coordination with Freeway Mainline Improvements			<u>Improvement Characteristics</u>		
<u>Project Range</u>			New Facility (Full Interchange)		10
Yes		5	New Facility (Partial Interchange)		8
No		0	Interchange Reconstruction		6
			Ramp Reconfiguration		4
			Ramp Metering		2

Regional Grade Separation Program (RGSP)

Background

Seven rail crossing projects along the MPAH network were identified by the CTC to receive Trade Corridors Improvement Funds (TCIF). These TCIF allocations required an additional local funding commitment. To meet this need, the Board approved the commitment of \$160 million in RCP (Project O) funds to be allocated from M2. The RGSP captures these prior funding commitments.

Future calls for projects for grade separations are not anticipated.

Chapter 8 – Regional Traffic Signal Synchronization Program (Project P)

Overview

The RTSSP (Project P) includes competitive funding for the coordination of traffic signals across jurisdictional boundaries including project based operational and maintenance funding. OCTA will provide funding priority to programs and projects, which are multi-jurisdictional in nature.

The RTSSP is based on the Traffic Signal Synchronization Master Plan (Master Plan). The Board adopted the Master Plan as an element of the MPAH on July 26, 2010. The Master Plan defines the foundation of the RTSSP. The Master Plan consists of the following components:

- Regional signal synchronization network
- Priority corridors for accelerated signal synchronization
- Definition of Traffic Forums
- Model agreements presenting roles and responsibilities for Project P
- Signal synchronization regional assessment every three years
 - NOTE: For Call for Projects 2023, Priority Corridors are an eligible inclusion, but no additional points will be awarded. A Priority Corridor is on the Signal Synchronization Network.

The Master Plan will be reviewed and updated by OCTA. Local agencies are required to adopt and maintain a Local Traffic Signal Synchronization Plan (Local Plan) that is consistent with the Master Plan and shall issue a report on the status and performance of its traffic signal synchronization activities. Details on both the Master Plan and requirements for Local Plan development are available in the "Guidelines for the Preparation of Local Signal Synchronization Plans". A hard-copy of these guidelines can be requested from OCTA.

The remainder of this chapter details the key components of the RTSSP:

- Funding guidelines for the competitive call for projects
- 2023 Call for Projects

Projects compete for funding as part of the RTSSP. Projects submitted by local agencies as part of the call must meet specific criteria. Projects are rated based on scoring criteria and are selected based on their competitive ratings.

Objectives

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

2023 Call for Projects

~~Contingent on OCTA Board approval, the 2022 Call for Projects (call) for the RCP (Project O) and Regional Traffic Signal Synchronization Program (Project P), will make approximately \$xx million in M2 funds available to support street and roads and signal synchronization improvements across Orange County. The target for this program is \$x million, but recommendations for Project P may be higher or lower depending on the projects submitted.~~

The following information provides an overview of the 2023 RTSSP (Project P) Call for Projects:

1. Projects must result in new, optimized, and field-implemented coordination timing.
2. Project shall be a single contiguous corridor or set of contiguous corridors related to each other. Multiple corridors and related systems of corridors that form a “grid” may be submitted as a single optimized timing project. However, the total number of corridors per project will be limited to three (3) and the total number of signalized intersections between these corridors are limited to fifty (50).
3. Projects selected will be programmed after July 1 of the programmed year (July 1 – June 30).
4. Project delays resulting in a time extension request will fall within the process outlined in the CTFP Guidelines.
5. Projects are funded for a grant period of three (3) years and are divided into two phases:
 - a. Primary Implementation (PI) – includes the required implementation of optimized signal timing as well as any signal improvements proposed as part of a project. A report is required at the conclusion of this phase to document work completed during the PI phase. This PI Report shall be submitted with the final report.
 - b. Ongoing Operations and Maintenance (O&M) – includes the required monitoring and improving optimized signal timing in addition to any optional communications and/or detection support. O&M will begin after the optimized signal timing is implemented and be required for the remainder of the project (typically 2 Years). A O&M Report is required at the conclusion of this phase to document work completed during the O&M phase and shall be submitted with the final report.

6. Projects shall include a Before and After Study. This study shall collect morning, mid-day, and evening peak periods using travel times, average speeds, green lights to red lights, stops per mile, and the derived corridor synchronization performance index (CSPI) metric. This information shall be collected both before and after signal timing changes have been implemented and approved by all agencies. The study shall compare the information collected both before and after the timing changes. Comparisons should identify the absolute and percent differences for the entire corridor, by segment, direction, and time period. Segments will be defined by major traffic movements as observed during the project (e.g. commuting segments between freeways, pedestrian-friendly segments in a downtown area, etc.). The Before and After study shall also include field inventory, count data, modeling data, and Greenhouse Gas calculations. The Before and After Study shall be submitted as part of the PI Report.
7. Any corridor or portion of a corridor funded through this call cannot re-apply for funding until the three-year grant period ~~is completed or commitment to operate signal synchronization beyond the three-year grant period is completed, whichever ends later~~ and a final report has been submitted to OCTA.
8. This chapter identifies the selection criteria for projects, eligible activities, minimum project requirements, data compatibility required as part of any funded project, and other key information.

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

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

Applications

In order for OCTA to consider a project for funding, applications will be prepared by the local agency responsible for the project application. OCTA shall require agencies to submit applications for the call for projects by **5:00 p.m. on Thursday, October 20, 2022**. Late and/or incomplete submittals will not be reviewed or considered. The local agency responsible for the project application must submit the application and any supporting documentation via OCFundtracker as outlined below.

A separate application package must be completed for each individual project and uploaded to OCFundtracker. ~~Three~~ **One (1) unbound printed hardcopy and one electronic copy on a USB, thumb drive, memory stick, or via electronic file upload and/or email** of each complete application shall also be mailed or delivered to:

Orange County Transportation Authority
550 South Main Street
P.O. Box 14184
Orange, California 92863-1584
Attn: ~~Joseph Alcock~~ Adrian Salazar
Email: -asalazar@octa.net

Application Process

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

- Funding needs by phase and fiscal year
- Percent match rate including funds type, source, and description (minimum 20 percent (20%))
- Lead agency (default – local agency)
- Lead and supporting agencies' contact information
- Supporting technical information
- Project development and implementation schedule
- Environmental clearances and other permits
- Any additional information deemed relevant by the applicant
- Complete photographic field review (including cabinet interiors and communication facilities) for all projects that exceed one million dollars in capital improvements. Original photos shall be uploaded to OCFundtracker or included with electronic copy of application.

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

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

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

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

Other Application Materials

Supporting documentation is required to fully consider each project application. A Supplemental Application (available on the OCTA website and OCFundtracker) is required to be completed for each project application and included in the electronic submittal. **Any Supplemental Application not submitted in the 2023 format will NOT be considered.** The template is distributed with other application materials at the issuance of the Call for Projects. In addition to the funding plan described above, local agencies will be required to submit additional materials.

Lead Agency: Eligible jurisdictions consistent with Measure M2 ordinance definitions and requirements.

Participating Agencies: All participating agencies must be identified and adopted City Council resolutions or Minute Order actions authorizing the participating agency's support of the project under the lead agency must be included. If the application claims Caltrans as a participant, then it shall contain a letter of support from Caltrans for the specific project and letters of support from all applicable agencies pledging to sign a cooperative agreement with Caltrans at the start of the project. The lead agency shall also pledge this commitment in the cover letter of the application. The required Caltrans fee will be a line item in the improvements list. The applicable agencies will be required to cover the required 20% match for the Caltrans line items. All agencies that have a Caltrans intersection/ramp in their jurisdiction are required to sign a cooperative agreement with Caltrans in order for the entire project to claim Caltrans as a participant.

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

Lead Agency

This Program is administered through a single lead agency: See Lead Agency definition above.

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

OCTA Lead (~~NOT AVAILABLE FOR 2023 CALL FOR PROJECTS~~): OCTA may, at the request of the involved local agencies, act as the lead agency for RTSSP projects. If the involved local agencies would like OCTA to implement a project on the signal synchronization network, the local agency shall work cooperatively with OCTA to develop the scope of work and cost elements of the project. For example, accounting for OCTA's administrative and project management efforts by incorporating an additional 10 percent of the total project cost when calculating the Cost Benefit of the project. The lead local agency shall contact OCTA with **a written request at least four weeks prior to deadline for submittal of the project grant application**. Applications must be prepared by a designated local agency acting in a lead capacity during grant preparation. Applications must include a complete photographic field review (as outlined above) when submitted. The application will be scored using the criteria outlined in the following sections. Based on local agency interest and OCTA resource availability, a limited number of projects can be developed and implemented by OCTA.

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

OCFundtracker Application Components

Final applications MUST be submitted via OCFundtracker and in hard copy format. Selection criteria must be inputted as part of the OCFundtracker online application and includes the following categories of information:

Transportation Significance, Cost Benefit, Project Characteristics, ~~Maintenance of Effort~~, Project Scale, ~~Project Scale~~, Number of Local Agencies, Current Project Status, and Funding Match Rate.

Application Review and Program Adoption

OCTA staff will conduct a preliminary review of all applications for completeness and accuracy, may request supplemental information for projects during initial staff evaluations, and prepare a recommended program of projects for the TSC. In addition, OCTA may hire a consultant(s) to verify information within individual applications including, but not limited to, project scope, cost estimates, vehicle miles traveled, and average daily traffic.

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

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

Board authorization to issue call: August 8, 2022

Application submittal deadline: October 20, 2022

TSC/TAC Review: February/March 2023

Committee/Board approval: April/May 2023

Checklist Guide

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

Sample Resolution Form

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

Project Definition

Local agencies are required to submit complete projects that, at minimum, result in field-implemented coordinated timing. Project tasks that are eligible for funding can consist of

design, engineering, construction, and construction management. Partial projects that include design improvements, but do not field implement the improvements are ineligible.

Projects must consist of a corridor along the priority corridor network, signal synchronization network, or the MPAH. Projects previously awarded RTSSP funding must be complete with a Final Report submitted to OCTA. Projects can be the full length of the corridor or a segment that complies with the project requirements identified later in the chapter.

Applicant agency and owning agency must demonstrate through simulation, or actual vehicle counts showing Origin – Destination that proposed linked corridors do form a route. A “grid” project shall consist of one main corridor that is specifically identified in the application with a maximum of two crossing corridors to make a grid. Grid projects shall also be multijurisdictional with a minimum of two local agencies, excluding Caltrans. For a grid project, applicant agency and owning agency must demonstrate through simulation or actual vehicle counts the following:

- Show that timing changes on the main corridor will greatly impact the crossing corridor(s)
- Crossing corridors shall have closely spaced signals in close proximity to the main corridor with timing changes along these crossings impacting the operation of the main corridor

All corridors in the grid shall individually meet the Minimum Eligibility Requirements and, as part of the project, travel time studies shall also be collected along all corridors making the grid.

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

Eligible Activities

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

- Developing and implementing new signal synchronization timing parameters based on current travel patterns, and federal and state traffic signal timing mandates and guidance, including but not limited to the Manual on Uniform Traffic Control Devices (MUTCD)
- Monitor, maintain (minimum quarterly/maximum monthly) and/or regularly improve the newly implemented signal synchronization timing and parameters for the remainder of the project

- “Before” and “after” studies for the project comparing travel times, average speeds, ratio of green lights passed to red lights stopped (greens per red), average stops per mile, and emissions of greenhouse gases

In addition to developing optimized signal timing, a project may include other improvements, as long as they contribute to the goal of multi-agency signal synchronization of corridors throughout Orange County. These improvements are restricted to the signal synchronization project limits but may include synchronization with traffic signalized intersections within 2,700 feet from either direction of the project corridor. These offset signals; however, will not be counted towards the total number of signals on the project (for implementation of timing plans only). All improvements must be designed to enhance the specific project. Expenditures related to the design of systems, permitting, and environmental clearance are eligible for funding.

Caltrans encroachment permits and agency to Caltrans Cooperative Agreement fees are eligible activities. This includes Caltrans labor, such as expenses for reviewing signal timing plans, providing signal timing parameters, and providing existing timing sheets, etc. Applicant must specify how to handle Caltrans intersections on projects.

Ineligible Expenditures

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

Funding Estimates

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

The RTSSP targets over 2,000 intersections across Orange County for coordinated operations. Because of the limited amount of funds available for the RTSSP, project cap of \$75,000 per signal or \$250,000 per project corridor mile included as part of each

project (whichever is higher) has been established for this call for projects. Note that any offset signals will not be counted towards the total number of signals on the project.

Selection Criteria

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

Transportation Significance: Points are awarded for projects that include offset signals along the project corridor, route, or grid. These offset signals do not count towards the project cap; however, are in relatively close proximity to affect the operation of the corridor(s). The applicant shall identify the number of offset signals on the corridor and the percentage of those offset signals that will be included in the project.

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

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

VMT should be calculated by the smallest segmentation on which the city typically collects ADT data. ADT must be based upon actual count information taken within 36 months preceding the application date and include 24-hour, midweek, bi-directional counts for each segment. All supporting data shall be organized in order in which they appear for the calculation of the VMT. Data from the OCTA Traffic Flow Map may not be used. Furthermore, outdated and/or non-compliant counts may result in project ineligibility. (maximum: ~~2530~~ points).

Cost Benefit: Total project cost divided by Existing VMT. If the applicant is electing OCTA to be the lead agency, the total project cost in this calculation must also include an additional 10% of the total project for OCTA administrative and project management efforts. This additional 10% is used to determine the project effectiveness only and is not counted towards the overall project budget cap. (maximum: 10 points).

Project Characteristics: Points are awarded based on the project's average improvement score. Eligible improvements for each intersection are assigned an improvement score based on factors, such as priority for overall signal operations and existing conditions. Intersection improvement scores are then averaged together, and the average project score is used in the point breakdown table in the Project Characteristics. For instance, a maximum ~~points-score of 50 isare~~ awarded to projects that are timing only without any capital improvements or points-average scores accumulate if a signal synchronization

project is combined with eligible improvements. The following improvements and requirements only apply to signalized intersections that are part of the application.

Eligible Improvements	Score Based on Status	
Signal Timing (No Capital)	Online	Offline
Timing Only	50	30
Timing + Traffic Responsive (license only)	50	15
Timing + Peer-to-Peer (configuration only)	50	40
Timing + Traffic Adaptive (license only)	40	1
Signal Communication	No Time Source	Time Source
Above ground (e.g. wireless, cellular, etc.)	50	30
Fiber Optic underground	25	15
All other (e.g. copper, aerial fiber, GPS, etc.)	5	1
Field Elements	None/5+ Years	Within 5 years
ATC signal controller	50	10
Signal cabinet on existing foundation	30	10
Signal cabinet on new foundation	15	5
BBS/USP (attached)	20	10
BBS/UPS on existing foundation	10	5
BBS/UPS on new foundation	5	1
CCTV	30	10
Vehicle detection (ATSPM inputs + counts)	50	30
Vehicle detection (ATSPM inputs)	40	20
Vehicle detection + bicycle detection	30	15
Vehicle detection	30	15
Bicycle detection	30	15
Pedestrian detection (audible)	50	30
Pedestrian detection	30	15
Active transportation/pedestrian safety	50	30
Transit Signal Priority	30	10
EVP (hybrid or GPS)	40	10
EVP (infrared)	30	10
Speed feedback signs (existing post)	40	10
Speed feedback signs (new post)	20	10
Corridor Performance Monitoring	40	10
Minor Signal Operational Improvements	None/5+ Years	Within 5 years
Channelization	40	20
Signal phasing improvement	50	25
TMC/TOC	None/10+ Years	Within 10 years
Central System (server, licenses, workstations)	40	20

<u>Eligible Improvements</u>		<u>Score Based on Status</u>	
	<u>Display (video wall, VMS, etc.)</u>	<u>30</u>	<u>10</u>
	<u>UPS</u>	<u>20</u>	<u>5</u>
<u>Caltrans</u>		<u>Participation</u>	<u>No Participation</u>
	<u>Cooperative Agreement</u>	<u>50</u>	<u>25</u>

Signal Timing (No Capital). Improvements in this category can only be selected if the entire project is a timing only project without any field improvements.

Scores for this improvement category Real-time traffic actuated operations and demonstration projects can be claimed for any one of the following (4 points) depending on the status of the signal, whether is it online (connected to a central system and active) or offline (either connected and not active or not connected to a central system):

- Traffic Responsive only if all signals, in at least one agency on the project, are included in the system.
- Peer-to-Peer program on traffic control devices that have existing connectivity.
- Adaptive traffic signal systems only if all signals, in at least one agency on the project, are included in the system.
- ~~Bluetooth and/or connected vehicle roadside units for at least three (3) signals on the project. If implemented, these items will require a data sharing agreement with OCTA.~~

Signal Communication. Scores for this improvement category varies depending on the type of improvement coupled with the existing status of the signal, whether there is an existing reliable time source (e.g. GPS, master controller, direct connection to central system, etc.) that will keep the signal in synchronization along the corridor:

- Above ground communication installations, such as wireless radios and cellular devices, that are quick to build is the preferred medium to ensure all signals are online and operating. This should not include any construction between signalized intersections.
- New or upgraded fiber optic communication systems (2 points)
 - New contemporary communication system improvements (e.g. Ethernet) including all conduits, pull boxes, fiber optic and/or copper cabling (not to exceed 120 strands), network switches and distribution systems. These systems should be sufficiently sized for the needs/capacity of the Intelligent Transportation System (ITS) network. Excess capacity is deemed non-participating and also, cannot be used as part of the required project match.
 - ~~Replacement fiber optic or copper cabling for network communication. Fiber optic is the preferred medium and includes pull boxes, network switches, and distribution systems.~~
 - Software and hardware for system traffic control.

- Control and monitoring interconnect conduit (including upgrades or replacement of existing systems).
- Communication closure systems of conduit, cable, and associated equipment that are outside of project limits but complete a designated communications link to an existing network for the Advanced Transportation Management System (ATMS) for an agency or agencies. Only communication links that are installed from a central location and/or communications hub to the project corridor that does not currently have a fiber connection to a central location are eligible.
- All other communication mediums, such as GPS clocks, copper twisted pair or aerial interconnect between signalized intersections, are eligible to ensure signals are online and in operation but are not encouraged.

Field Elements. This improvement category is focused on the field equipment/devices that will ensure the signals are enhanced to support advanced signal operations. Scores for this improvement category will vary depending on the existing lifespan of equipment/devices being upgraded. It is the applicant agency's responsibility to ensure the appropriate score is assigned and OCTA may request for supporting documentation.

- Traffic signal controller replacement of antiquated units with Advanced Transportation controller (ATC) units. ATC shall comply with latest industry standards.
- Controller cabinet (assemblies) replacements that can be shown to enhance signal synchronization.
- Traffic signal Battery Backup System (BBS) or Uninterruptible Power Supply (UPS) that includes cabinet, batteries, and necessary configurations.
- Closed Circuit Television (CCTV). Intelligent cameras that include analytics, such as automated continuous counts are the preferred solution. If implemented, these cameras may require a data sharing agreement with OCTA in the future.
- Vehicle Detection System (VDS)
 - The ideal implementation for signal operations is a detection system that will increase the number of inputs, including separate bicycle and pedestrian detection inputs, into the signal controller for the purpose of signal performance measures, such as Automated Traffic Signal Performance Measures (ATSPM). Additionally, inputs that are specifically set for capture turning movement counts at the intersection.
 - Inductive loops, video detection, radar, sonar, thermal, hybrids thereof, and other types of vehicle detection systems that can distinguish bicycles. This includes implementing a separate bicycle minimum and/or clearance parameter in the traffic signal controller.

- Installation of new and/or improved traffic control devices to improve the accessibility, mobility, and safety of the facility for pedestrians and bicyclists. Americans with Disabilities Act (ADA) compliant pedestrian signals include, but not limited to, tactile and audible buttons in countdown signal heads.
- Active Transportation/Pedestrian Safety related elements
 - High-Intensity Activated crosswalk signaling systems (HAWK) Pedestrian detection modules Bicycle detection modules.
 - Rectangular Rapid Flashing Beacon Systems (RRFB) including striping, legends, and signage.
- Transit Signal Priority (TSP) intersection control equipment only.
- Emergency Vehicle Preempt (EVP) intersection control equipment only.
- Corridor Performance Monitoring implementations, such as Bluetooth and/or connected vehicle roadside units for signals on the project. If implemented, these items will require a data sharing agreement with OCTA.
- ~~• Automated Traffic Signal Performance Measures (ATSPM) system can only be claimed (4 points) if all signals, in at least one agency on the project, are included in the system, which will also be used during the O&M phase of the project. If implemented, these items will require a data sharing agreement with OCTA.~~
- ~~• Intelligent cameras that include analytics, such as automated continuous counts and other metrics can only be claimed (3 points) if a minimum of three (3) implementations are included on the project. Furthermore, confirmation that an analytics module or camera with built-in analytics will be purchased for this category to receive points. If implemented, these cameras will require a data sharing agreement with OCTA.~~
- ~~• Detection system that will increase the number of inputs into the signal controller for the purpose of signal performance measures (e.g. ATSPM) and traffic counts can only be claimed (3 points) if a minimum of three (3) implementations are included on the project.~~
- ~~• Installation of new and/or improved traffic control devices to improve the accessibility, mobility, and safety of the facility for pedestrians and bicyclists can be claimed (3 points) if a minimum of three (3) implementations are included on the project. This can include:~~
 - ~~○ Inductive loops, video detection, radar, sonar, thermal, hybrids thereof, and other types of detection systems that can distinguish bicycles. This includes implementing a separate bicycle minimum and/or clearance parameter in the traffic signal controller.~~
 - ~~○ ADA compliant Pedestrian Signals including, but not limited to, tactile and audible buttons in countdown signal heads.~~
 - ~~New or upgraded communication systems (2 points)~~

- ~~New contemporary communication system improvements (e.g. Ethernet) including all conduits, pull boxes, fiber optic and/or copper cabling (not to exceed 120 strands), network switches and distribution systems. These systems should be sufficiently sized for the needs/capacity of the Intelligent Transportation System (ITS) network. Excess capacity is deemed non-participating and also, cannot be used as part of the required project match.~~
 - ~~Replacement fiber optic or copper cabling for network communication. Fiber optic is the preferred medium and includes pull boxes, network switches, and distribution systems.~~
 - ~~Software and hardware for system traffic control~~
 - ~~Control and monitoring interconnect conduit (including upgrades or replacement of existing systems).~~
 - ~~Communication closure systems of conduit, cable, and associated equipment that are outside of project limits but complete a designated communications link to an existing network for the Advanced Transportation Management System (ATMS) for an agency or agencies. Only communication links that are installed from a central location and/or communications hub to the project corridor that does not currently have a fiber connection to a central location are eligible.~~
 - ~~Intersection/field system modernization and replacement (2 points)~~
 - ~~Traffic signal controller replacement of antiquated units with Advanced Transportation controller (ATC) units. ATC shall comply with latest industry standards.~~
 - ~~Controller cabinet (assemblies) replacements that can be shown to enhance signal synchronization.~~
 - ~~Closed Circuit Television (CCTV).~~
 - ~~Uninterruptible Power Supply (UPS) for ATMS and intersection field equipment. For ATMS, UPS shall solely provide electrical power for ATMS Server(s), one dedicated workstation (console terminal) and related communications devices. UPS for ATMS is not intended to provide power to entire TMC and approval of request for UPS is at the sole discretion of OCTA.~~
 - ~~Active Transportation/Pedestrian Safety related elements~~
 - ~~High Intensity Activated crosswalk signaling systems (HAWK) Pedestrian detection modules Bicycle detection modules.~~
 - ~~Rectangular Rapid Flashing Beacon Systems (RRFB) including striping, legends, and signage.~~
- Minor Signal Operational Improvements. Scores for this improvement category will vary depending on the existing lifespan. It is the applicant agency's responsibility to ensure the appropriate score is assigned and OCTA may request for supporting documentation. (2 points)
- ~~Emergency Vehicle Preempt (EVP) intersection control equipment only~~

- ~~Transit Signal Priority (TSP) intersection control equipment only~~
- Channelization (signing, striping, raised pavement markers, in lane flashing guidance or warning marking systems, and legends) improvements required for traffic signal phasing.
- Traffic signal phasing improvements that will improve traffic flow and system performance including protected permissive left turn phasing and shared pedestrian phasing, excluding display equipment and other ineligible activities as mentioned in these guidelines.

Traffic Management Center (TMC)/Traffic Operations Centers (TOC). Scores for this improvement category will vary depending on the existing lifespan of equipment or software being upgraded. It is the applicant agency's responsibility to ensure the appropriate score is assigned and OCTA may request for supporting documentation. and motorist information (1 point)

- Central system
 - New TMCs or TOCs, such as a new Advanced Traffic Management System (ATMS), (any project funded under this category should plan for center-to-center communication (C2C) with nearby agencies and/or OCTA).
 - Upgrades to existing TMCs or TOCs (any project funded under this category should plan for C2C with nearby agencies and/or OCTA).
 - Motorist information systems (up to 10 percent (10%) of total project costs for PI phase only).
 - Automated Traffic Signal Performance Measures (ATSPM) system can only be implemented if all signals, in at least one agency on the project, are included in the system, which will also be used during the O&M phase of the project. If implemented, these items will require a data sharing agreement with OCTA.
- Video display equipment, including wall monitors, screens, mounting cabinets, and optical engines (up to 10 percent (10%) of total construction costs for PI phase only).
- Uninterruptible Power Supply (UPS) for ATMS shall solely provide electrical power for ATMS Server(s), one dedicated workstation (console terminal) and related communications devices. UPS for ATMS is not intended to provide power to entire TMC and approval of request for UPS is at the sole discretion of OCTA.

Caltrans. Scores for this category will depend on the commitment of a cooperative agreement with Caltrans that results in active Caltrans participation and inclusion of Caltrans as a partnering agency. The associated timing fee is an eligible expense. Note that if a cooperative agreement with Caltrans will not be executed, the participating agencies will still be responsible for modeling any Caltrans signalized intersections within the project limits.

Each project intersection that has proposed improvements will receive an average score per the specific improvements noted above and the project's score will be an average of all intersection averages

~~Note: that only one feature can be selected for any qualifying improvement; for example, an implementation of a new video detection system that can distinguish bicycles can be selected for points under the "Separate Bicycle/ADA Pedestrian Detection" or "New/Upgraded Detection", but not both. (maximum: 20 points).~~

~~Maintenance of Effort: Points are earned for a commitment to operate the project signal synchronization timing for a defined period of time beyond the three-year grant period. Note that the project will not be eligible for funding until after the completion of all maintenance commitments. (maximum: 5 points)~~

Project Scale: Points are earned for including more intersections along signal synchronization network. For a grid, the number of signals and percent of signals being retimed will only be calculated for the corridor that is designated as the Main Corridor (maximum: 20 points).

Note: Due to the length of Pacific Coast Highway (PCH) and the fact that broad portions of it are a Caltrans' owned facility, for CTFP project scoring purposes only, the "Percent of Main Corridor Being Retimed" scoring criteria (identified in Table 8-1) can be divided into the four following segments.

1. San Gabriel River (Los Angeles County Line) to North of Goldenwest Street
2. Goldenwest Street to School/State Park
3. South of School State Park to Doheny Park Road
4. South of Doheny Park Road to County Line

If an application is proposed to span two or more segments of PCH the "Percent of Main Corridor Being Retimed" calculation will be based upon the number of signals in the project application divided by total number of signals in the applicable segments.

Number of Local Agencies: Points are earned for including multiple local agencies as part of the project. (maximum: 10 points).

Current Project Status: Points are earned based on the current status of the project development. Points for re-timing of a corridor can be claimed only if at least 75% of the previous project (RTSSP or Measure M Signal Improvement Program) is part of the new application OR at least 75% of the corridor (on MPAH) has never been funded. Points can also be claimed for applicants who provide evidence that they can complete primary implementation within twelve months. Agencies that receive points for this category **cannot request delays or time extensions throughout the life of the project.**

Note: Applications that designate OCTA as the lead agency are not eligible to claim implementation within 12 months (maximum ~~for category~~: 10 points).

Funding Rate: The percentages shown in Table 8-1 apply to overall match rates. M2 requires a 20 percent (20%) local match for RTSSP projects. Project match rates above 20 percent (20%) are limited to dollar match only. (maximum: 5 points).

Table 8-1 Point Breakdown

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

<p>Transportation Significance Points: 3025</p> <table border="1"> <thead> <tr> <th>Inclusion of offset signals within 2700'</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>90% or above</td> <td>10</td> </tr> <tr> <td>50 – 89%</td> <td>5</td> </tr> <tr> <td>< 50%</td> <td>0</td> </tr> </tbody> </table> <p style="text-align: center;">AND</p> <p>Vehicle Miles Traveled (VMT)</p> <table border="1"> <thead> <tr> <th>Range</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>250+ thousand</td> <td>20 15</td> </tr> <tr> <td>200 - 249 thousand</td> <td>15 10</td> </tr> <tr> <td>150 - 199 thousand</td> <td>10 6</td> </tr> <tr> <td>100 - 149 thousand</td> <td>6 3</td> </tr> <tr> <td>50 - 99 thousand</td> <td>3 1</td> </tr> <tr> <td>0-49 thousand</td> <td>1</td> </tr> </tbody> </table> <p>Calculation: ADT x segment length (Applies only to coordinated segments of project)</p>	Inclusion of offset signals within 2700'	Points	90% or above	10	50 – 89%	5	< 50%	0	Range	Points	250+ thousand	20 15	200 - 249 thousand	15 10	150 - 199 thousand	10 6	100 - 149 thousand	6 3	50 - 99 thousand	3 1	0-49 thousand	1	<p>Project Scale Points: 20</p> <p>Number of Signals on Main Corridor Coordinated by Project</p> <table border="1"> <thead> <tr> <th>Range</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>50+</td> <td>10</td> </tr> <tr> <td>40 - 49</td> <td>8</td> </tr> <tr> <td>30 - 39</td> <td>6</td> </tr> <tr> <td>20 - 29</td> <td>4</td> </tr> <tr> <td>10 - 19</td> <td>2</td> </tr> <tr> <td>< 10</td> <td>0</td> </tr> </tbody> </table> <p style="text-align: center;">AND</p> <p>Percent of Main Corridor Signals Being Retimed</p> <table border="1"> <thead> <tr> <th>Range</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>90% or above</td> <td>10</td> </tr> <tr> <td>80 - 89%</td> <td>8</td> </tr> <tr> <td>70 - 79%</td> <td>6</td> </tr> <tr> <td>60 - 69%</td> <td>4</td> </tr> <tr> <td>50 - 59%</td> <td>2</td> </tr> <tr> <td>< 50%</td> <td>0</td> </tr> </tbody> </table> <p>Calculation: Number of signals in project divided by total signals in full corridor length.</p>	Range	Points	50+	10	40 - 49	8	30 - 39	6	20 - 29	4	10 - 19	2	< 10	0	Range	Points	90% or above	10	80 - 89%	8	70 - 79%	6	60 - 69%	4	50 - 59%	2	< 50%	0
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Minimum Eligibility Requirements

All local agencies may participate in the RTSSP. Caltrans facilities are eligible for the RTSSP, but Caltrans cannot act as the lead agency. Local agencies will be required to provide a minimum of 20 percent (20%) matching funds for eligible projects (see definition of matching funds below).

The goal of the RTSSP is to provide regional signal synchronization that crosses jurisdictional, geographical, or physical boundaries. To be eligible for funding through this Program, a project must meet the following requirements:

1. Be on a street segment that is part of the signal synchronization network, or the MPAH. The project must be consistent with Local Signal Synchronization Plans and support the Regional Traffic Signal Synchronization Master Plan goals.
2. Be multi-jurisdictional, have documented support from all participating local agencies (cities, County, or Caltrans) and a minimum of 20 signals

or

Be multi-jurisdictional, have documented support from all participating local agencies (cities, County, or Caltrans) and a minimum distance of five miles

or

Include at minimum three local agencies, have documented support from all participating local agencies (cities, County, or Caltrans), and have a minimum intersection density of four intersections per mile with a minimum of eight signals

or

Include the full length of the signal synchronization network corridor, or MPAH corridor

Matching Funds

Local agencies along the corridor are required to provide a minimum local match funding of 20 percent (20%) for each project. As prescribed by the M2 Ordinance, this includes local sources, M2 Fair Share, and other public or private sources (herein referred to as a “cash match”). Projects can designate local matching funds as cash match, in-kind match provided by local agency staff and equipment, or a combination of both.

“In-kind match” is defined as those actions that local agencies will do in support of the project including staffing commitment and/or new signal system investment related to improved signal synchronization. Examples of staffing commitment include, but are not limited to, implementation of intersection or system timing parameters, review of timing documentation, meeting participation, conducting or assisting in before/after studies, and other similar efforts that directly enhance the signal synchronization project. Project

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

Administrative staff time for documentation of in-kind services is ineligible. Staff time charged to a project is limited to the caps as described in these guidelines. Allowable signal system investment would be improvements that are “eligible activities” per the funding guidelines, which can be shown to improve signal synchronization and would not include any prior investments made by the agency. For OCTA-led projects, match for equipment shall be in cash except when an agency elects to purchase equipment per the application.

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

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

O&M activities will be permitted in-kind match only for local agency oversight functions. Contract activities will require cash match. Local agency contributions identified as cash match in the application cannot be converted into in-kind match.

OCTA staff will review in detail the presented cash and in-kind match by local agency for reasonableness.

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

- Primary Implementation (PI) (12 months)
 - Project Administration - Each local agency traffic engineer or equivalent participates in approximately 10-15 hours per month of project administration (meetings, review of reports, minutes, and other administration).

- Signal Synchronization Timing - Each local agency traffic engineer or equivalent reviews consultant developed draft and final timing plans for intersections within the local agency, approximately 2-4 hours per local agency intersection.
- Before and After Study - Each local agency traffic engineer or equivalent reviews consultant developed draft and final project Before and After Study, approximately 2-5 hours per local agency.
- Engineering design/review - Each local agency traffic engineer or equivalent reviews consultant developed engineer design within the local agency, approximately 2-4 hours per affected local agency intersection.
- System integration - Each local agency traffic engineer or equivalent provides support for this function (hours vary depending on improvements).
- Construction management - Each local agency traffic engineer or equivalent provides construction management support including inspection (hour vary depending on improvements).
- Ongoing O&M (24 months) - Each local agency's traffic engineer or equivalent participates in continued project level meetings of 2-5 hours per local agency per month to review consultant traffic engineering progress. In addition, each local agency's traffic engineer or equivalent reviews consultant developed draft and O&M Report.

For projects designating a local agency as lead, the above may be used as a guide with additional local match related to implementation, development, design, monitoring and other costs that the local agency may choose to include as local match. For instance, O&M may be performed by in-house staff and be calculated using a different formula (e.g., 2-5 hours per local agency signal for 24 months).

Participating agencies pledging in-kind services shall be responsible for keeping track of said hours and/or improvements. For OCTA-led projects, an in-kind services match report will be requested throughout the project to ensure agencies meet their promised in-kind match. All submissions shall include backup documentations, such as accounting/payroll detailed summaries, third-party invoices (consultant, contractor, and equipment) and are subject to Audit.

Project Cancellation

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

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

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

Project Extensions

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

Audits

All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall grant, and/or other sanctions to be determined. Audits shall be conducted by OCTA Internal Audit Department or other authorized agent either through the normal annual process or on a schedule to be determined by the Board.

Data Compatibility

All count data, including average daily traffic (ADT) and intersection turning movement (ITM), collected as part of any funded project shall be provided to OCTA Microsoft Excel format. Any data files containing numeric intersection or node identifiers shall use the same node identification (ID) numbers as is stored and maintained by OCTA. OCTA will provide a listing of intersections and corresponding unique node ID numbers upon request. Each count data filename shall describe the year the counts were collected, agency, type of count file, intersection name, and OCTA node ID number. As an example, a turning movement count file recently collected for the intersection of Harbor Boulevard and Wilson Street in the City of Costa Mesa would be given the filename 2020_CostaMesa_ITM_Harbor-Wilson_4534.xls.

All traffic signal synchronization data collected and compiled as part of any funded project for both existing (before) and final optimized (after) conditions shall be provided to OCTA in Synchro version 10 or later format. This data shall include validated network layout, node, link, lane, volume, timing, and phase data for all coordinated times. The nodes for these files shall also correspond to the OCTA node ID numbers.

Project Summary Information

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

Exhibit 8-1

Project P – Regional Traffic Signal Synchronization Program Application Checklist

Project P Application Checklist	Page
<p>RTSSP Online Application – submitted through OCFundTracker</p> <ul style="list-style-type: none"> a. Transportation Significance b. Benefit Cost Ratio c. Project Characteristics d. Maintenance of Effort e.d. Project Scale f.e. Number of Jurisdictions g.f. Current Project Status g. Funding Over-Match h. <u>Cabinet photos, equipment specifications, as-built drawings, cabinet drawings, etc.</u> 	Online
<p>Section 1: Key Technical Information</p> <ul style="list-style-type: none"> a. Name of Project Corridor/Grid/Route b. Project Limits c. Project Length d. Number of Signalized Intersections Along Corridor e. Participating Agencies/Traffic Forum Members f. Lead Agency g. Designation of the corridor to synchronize h. Project start and end date i. Previous funding j. Contact Information k. Signalized intersections that are part of the project <u>l. Offset signalized intersections that are part of the project</u> <u>m. Project Map Depicting the Project Limits</u> 	
<p>Section 2: Regional Significance</p>	
<p>Section 3: Acknowledgement of Required Tasks</p>	
<p>Section 4: Funding Needs/Costs for Proposed Project by Task</p> <ul style="list-style-type: none"> a. Summary of Project Cost b. Summary of Cost by Agency c. Table I: Agency Improvement Preferences <u>c. Table II: Description of Work by Intersection Summary of Intersection Improvement Costs</u> 	
<p>Section 5: Detailed Local Match Commitment</p>	
<p>Section 6: Project Schedule for the 3 Year Grant Period by Task</p> <ul style="list-style-type: none"> a. Project State and End Dates b. Project Schedule by Task b. Agency Commitment of Extended Monitoring and Maintenance 	
<p>Appendices</p> <ul style="list-style-type: none"> <u>a. Calculations and Estimated Points</u> <u>b. Agency Improvement Calculations</u> <u>c. Vehicle Miles Traveled (VMT)</u> <u>a.d. Agency Resolutions and Letters of Support</u> b. Vehicle Miles Traveled (VMT) e. Calculations and Estimated Points <u>e. Additional Information (Optional)</u> 	

Exhibit 8-2

Sample Resolution for Orange County Regional Traffic Signal Synchronization Program Projects

A resolution of the _____ City Council approving the submittal of _____ improvement project(s) to the Orange County Transportation Authority for funding under the competitive Measure M2 Regional Traffic Signal Synchronization Program.

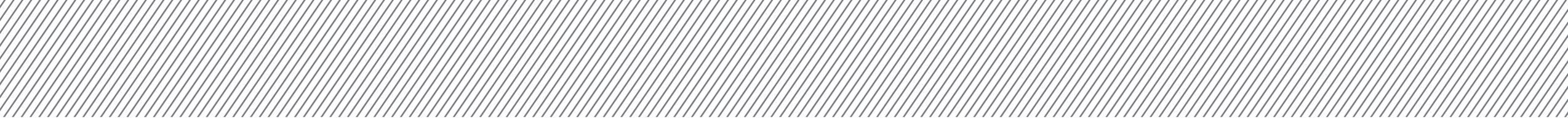
THE CITY COUNCIL OF THE CITY OF _____ HEREBY RESOLVES, DETERMINES, AND ORDERS AS FOLLOWS THAT:

- a) WHEREAS, the Measure M2 Regional Traffic Signal Synchronization Program targets over 2,000 signalized intersections across Orange County to maintain traffic signal synchronization, improve traffic flow, and reduce congestion across jurisdictions; and
- b) WHEREAS, the City of _____ has been declared by the Orange County Transportation Authority to meet the eligibility requirements to receive revenues as part of Measure M2;
 - c) WHEREAS, the CITY must include all projects funded by Net Revenues in the seven-year Capital Improvement Program as part of the Renewed Measure M Ordinance eligibility requirement.
- d) WHEREAS, the CITY authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the Orange County Transportation Authority Board of Directors, if necessary.
- e) WHEREAS, the City of _____ has currently adopted a Local Signal Synchronization Plan consistent with the Regional Traffic Signal Synchronization Master Plan as a key component of local agencies' efforts to synchronizing traffic signals across local agencies' boundaries; and
 - f) WHEREAS, the City of _____ will provide matching funds for each project as required by the Comprehensive Transportation Funding Programs Procedures Manual; and
- g) WHEREAS, the City of _____ will not use Renewed Measure M funds to supplant Developer Fees or other commitments; and
- h) WHEREAS, the City of _____ desires to implement multi-jurisdictional signal synchronization listed below; and

NOW, THEREFORE, BE IT RESOLVED THAT:

The City Council of the City of _____ hereby requests the Orange County Transportation Authority allocate funds in the amounts specified in the City's application to said City from the Regional Traffic Signal Synchronization Program. Said funds, if approved, shall be matched by funds from said City as required and shall be used as supplemental funding to aid the City in signal synchronization along the following street(s):

*Required language a-h



Call 13 Project P CTFP Guideline Updates

Technical Advisory Committee

June 22, 2022

Approach to Proposed Changes

- 
- 1 The program's purpose is regional signal synchronization
 - 2 Provide a balance between timing and eligible improvements
 - 3 Prioritize projects that will best align with the master plan
 - 4 Allow the opportunity for all eligible corridors to be competitive

Previous Call 12 Project P CTFP Guidelines

Transportation Significance		Points: 30
Inclusion of offset signals within 2700'		Point
90% or above		10
50 – 89%		5
< 50%		0
AND		
Vehicle Miles Traveled (VMT)		Points
Range		Points
250+	thousand	20
200 - 249	thousand	15
150 - 199	thousand	10
100 - 149	thousand	6
50 - 99	thousand	3
0 - 49	thousand	1
<p><u>Calculation:</u> ADT x segment length (Applies only to coordinated segments of project)</p>		
Economic Effectiveness		Points: 10
Cost Benefit (Total \$/MT)		Points
Range		Points
< 3		10
3 – 5		9
6 – 8		8
9 – 11		7
12 – 14		6
15 - 17		5
18 – 20		4
21 – 23		3
24 – 26		2
27+		1

Project Characteristics		Max Points: 10
Project Feature		Point
Timing Only, No Capital		10
Adaptive Traffic & Demonstration Projects		4
Automated Traffic Signal Perf. Measures		4
Intelligent Cameras		3
Detection for ATSPM and counts		3
Separate Bicycle/ADA Pedestrian Detection		3
New/Upgraded Communications Systems		2
Intersection/Field System Modernization		2
Minor Signal Operational Improvements		2
TMC/TOC and Motorist Information		1
New/Upgraded Detection		1
Maintenance of Effort		Points: 5
MOE After Grant Period		Point
3 years		5
2 years		3
1 year		1
None		0
Current Project Status		Points: 10
Project Status		Point
Re-timing 75% of prior RTSSP and/or Traffic Light Synchronization program (TLSP)/Measure M funded projects		5
Implementation within 12 months		5
Funding Match		Points: 5
Overall Match %		Point
50+%		5
40 - 49%		4
35 - 39%		3
30 - 34%		2
25 - 29%		1
< 25%		0

Project Scale		Points: 20
Number of Signals on Main Corridor Coordinated by Project		Points
Range		Points
50+		10
40 - 49		8
30 - 39		6
20 - 29		4
10 - 19		2
< 10		0
AND		
Percent of Main Corridor Signals Being Retimed		Points
Range		Points
90% or above		10
80 - 89%		8
70 - 79%		6
60 - 69%		4
50 - 59%		2
< 50%		0
<p><u>Calculation:</u> Number of signals in project divided by total signals in full corridor length.</p>		
Number of Jurisdictions		Points: 10
Total Number of Involved Jurisdictions		Points
Range		Points
5 or more		10
4		8
3		6
2		4
1		0

Proposed Call 13 Scoring Changes

Transportation Significance		Points: 30
Inclusion of offset signals within 2700'		Point
90% or above		10
50 - 89%		5
< 50%		0
AND		
Vehicle Miles Traveled (VMT)		Points
Range		Points
250+	thousand	20 15
200 - 249	thousand	15 10
150 - 199	thousand	10 6
100 - 149	thousand	6 3
50 - 99	thousand	3 1
0 - 49	thousand	1
Calculation: ADT x segment length (Applies only to coordinated segments of project)		
Economic Effectiveness		Points: 10
Cost Benefit (Total \$/MT)		Points
Range		Points
< 3		10
3 - 5		9
6 - 8		8
9 - 11		7
12 - 14		6
15 - 17		5
18 - 20		4
21 - 23		3
24 - 26		2
27+		1

↓ 25

Project Characteristics		Max Points: 10
Project Feature		Point
Timing Only, No Capital		10
Adaptive Traffic & Demonstration Projects		4
Details on upcoming slides		4
		3
		3
		3
		2
Intersection/Field System Modernization		2
Minor Signal Operational Improvements		2
TMC/TOC and Motorist Information		1
New/Upgraded Detection		1
Maintenance of Effort		Points: 5
MOE After Grant Period		Point
3 years		5
2 years		3
1 year		1
None		0
Current Project Status		Points: 10
Project Status		Point
Re-timing 75% of prior RTSSP and/or Traffic Light Synchronization program (TLSP)/Measure M funded projects		5
Implementation within 12 months		5
Timing 75% of new eligible project		5
Funding Match		Points: 5
Overall Match %		Point
50+%		5
40 - 49%		4
35 - 39%		3
30 - 34%		2
25 - 29%		1
< 25%		0

↑ 20

↓ 0

Project Scale		Points: 20
Number of Signals on Main Corridor Coordinated by Project		Points
Range		Points
50+		10
40 - 49		8
30 - 39		6
20 - 29		4
10 - 19		2
< 10		0
AND		
Percent of Main Corridor Signals Being Retimed		Points
Range		Points
90% or above		10
80 - 89%		8
70 - 79%		6
60 - 69%		4
50 - 59%		2
< 50%		0
Calculation: Number of signals in project divided by total signals in full corridor length.		
Number of Jurisdictions		Points: 10
Total Number of Involved Jurisdictions		Points
Range		Points
5 or more		10
4		8
3		6
2		4
1		0

Proposed Project Characteristics Changes

APPROACH

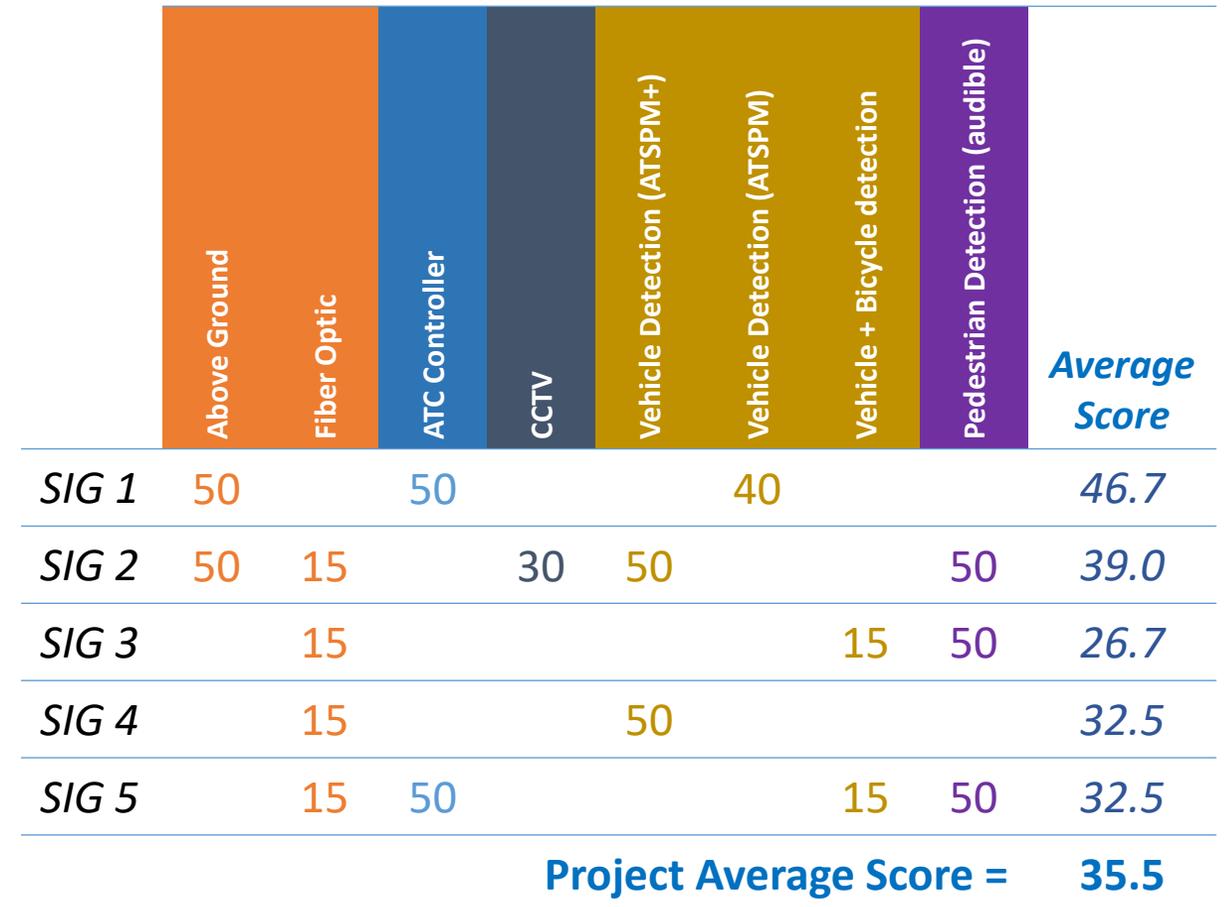
- Emphasis on improvements that are critical for efficient signal operations
- Priority for quick-build, lower cost improvements
- Goal to bring regional corridors to the same level of operations to support future growth of the program

GUIDELINE UPDATES

- Reorganization with scores representative of the improvements considered most critical
- Score for each improvement vary depending on existing conditions
- Average score instead of additive score for maximum points in this category

Sample Project Characteristics Scoring

Eligible Improvements	Score Based on Status	
Signal Timing (No Capital)	Online	Offline
Timing Only	50	30
Timing + Traffic Responsive (license only)	50	15
Timing + Peer-to-Peer (configuration only)	50	40
Timing + Traffic Adaptive (license only)	40	1
Signal Communication	No Time Source	Time Source
Above ground (e.g. wireless, cellular, etc.)	50	30
Fiber Optic underground	25	15
All other (e.g. copper, aerial fiber, GPS, etc.)	5	1
Field Elements	None/5+ Years	Within 5 years
ATC signal controller	50	10
Signal cabinet on existing foundation	30	10
Signal cabinet on new foundation	15	5
CCTV	30	10
Vehicle detection (ATSPM inputs + counts)	50	30
Vehicle detection (ATSPM inputs)	40	20
Vehicle detection + bicycle detection	30	15
Vehicle detection	30	15
Bicycle detection	30	15
Pedestrian detection (audible)	50	30
Pedestrian detection	30	15
Active transportation/pedestrian safety	50	30



Project Characteristics Points (20 Max) = 15 points

Sample Project Characteristics Scoring (cont.)

Project Characteristics		Max Points: 20
Project Average Improvement Score Range		Points
45 – 50		20
35 – 44		15
25 – 34		10
15 – 24		5
5 – 14		2
0 – 4		1

	Above Ground	Fiber Optic	ATC Controller	CCTV	Vehicle Detection (ATSPM+)	Vehicle Detection (ATSPM)	Vehicle + Bicycle detection	Pedestrian Detection (audible)	Average Score
SIG 1	50		50			40			46.7
SIG 2	50	15		30	50			50	39.0
SIG 3		15					15	50	26.7
SIG 4		15			50				32.5
SIG 5		15	50				15	50	32.5
Project Average Score =									35.5

Project Characteristics Points (20 Max) = 15 points

Application Level of Effort

Supplemental Application

- Additional table added to calculate the average score
- Score table will automatically prepopulate based on improvements with dropdown options for user to select

OCFundTracker

- Removal of Project Features that were additive for total points
- Will only need to enter average improvement score

Questions?





AGENDA

Technical Advisory Committee

Item# 3

Draft Proposals to Manage CTFP Cost Escalation



June 22, 2022

To: Technical Advisory Committee
From: Orange County Transportation Authority Staff
Subject: Draft Proposals to Manage CTFP Cost Escalation

Overview

Considering the unusual inflationary impacts currently being experienced, local jurisdictions have requested that the Orange County Transportation Authority consider special allowance to reapply for an existing allocation concurrent with the cancellation and cost escalation adjustments to allocations.

Recommendation

Provide input on draft proposals for

- flexible cancellation of projects to reapply for funding through the Comprehensive Transportation Funding Programs 2023 call for projects for the Regional Capacity Program and Regional Traffic Signal Synchronization Program and
- escalation adjustments for Regional Capacity Program and Regional Traffic Signal Synchronization Program allocations.

Background

At the May 2022 Technical Advisory Committee (TAC) meeting, the Committee requested that OCTA staff look at ways to help jurisdictions that might include adjusting or adding escalation to the Measure M2 (M2) allocation for right of way and construction phases. The Committee also requested that staff look at a process that might allow a jurisdiction to reapply for project funding in the 2023 Comprehensive Transportation Funding Program (CTFP) call for projects (call) and delay cancelling the existing allocation for the same project and phase until there was some certainty of the result of the application. The TAC also requested whether an M2 ordinance amendment might be considered to allocate additional funds without going through a competitive process to address recent inflation related cost increases.

Currently, if a local jurisdiction elects to cancel a project phase that was allocated funds through the CTFP Project O (RCP) and Project P (RTSSP) call and decides to reapply for that phase in a future call, the existing grant and

associated allocation would need to be cancelled before submitting a new application, which are normally due in October for each call cycle. The requests to cancel the existing RCP and RTSSP grants are typically submitted by local jurisdictions as part of the preceding September semi-annual review, in advance of the October application deadline.

With respect to inflationary adjustments, escalation is typically applied to RCP grants for construction and right-of-way phases when the M2 allocations are programmed in years two and three of the call funding cycle. The escalation for those future years is calculated based on the given Engineering News Record (ENR) Construction Cost Index (CCI) 20 City Average rate considered current during the programming process for a specific call cycle. With the exception of authorized project savings transfers, additional M2 funding above the originally programmed amount is not allowed.

Discussion

Staff researched the suggestions provided by the TAC and recommends continuing the discussion on potential accommodations for the reapplication process in the 2023 call and programming adjustments to reflect actual ENR CCI escalation factors. Staff is not supportive of advancing an Ordinance amendment. Ordinance amendments are only proposed when absolutely necessary to keep the M2 promises to the voters and when there are no viable alternative options.

On June 8, 2022, staff discussed the draft proposals and concepts with the Technical Steering Committee (TSC) and requested feedback on how to best implement the recommended options in a manner that ensures fairness, accountability, and timely delivery of projects. Comments received at the meeting included:

- Consider allowing projects that have already awarded a contract to be eligible under either option.
- Allow agencies to award a contract and move forward with the project concurrently with reapplication process.
- Require council or Board of Supervisor's approval of a resolution authorizing the jurisdiction to request an escalation adjustment.
- Allow escalation adjustments in the right-of-way phase for future acquisitions that have not been issued an offer letter.
- Limit escalation adjustments to the years affected by the coronavirus pandemic, specifically fiscal year (FY) 2021, FY2022, and FY2023
- Only make adjustments to allocations programmed through the 2018, 2019, 2020, and 2021 CTFP call cycles.

- Provide ENR CCI rates published for both the Los Angeles region and the 20 City Average for comparison purposes to consider best option.
- Apply escalation considering current high inflationary environment at the allocation as a standardized rate for future calls.

Based on the TSC feedback, OCTA has prepared two draft proposals for TAC consideration and comment. These proposals can be found in Attachments A and B to this report. Attachment C provides information on the ENR CCI escalation factors for Fiscal Years 2018 – 2022.

Both options require local jurisdictions to submit a formal request to OCTA and are subject to specific requirements and conditions in order to be considered. One key criteria is that only allocations where the contract has not been awarded, offer letters have not been sent or the purchase order has not been issued are eligible to apply. A general summary of the recommended approaches is provided below.

- If approved by the Board of Directors (Board), OCTA would accept project reapplications in the 2023 call, for M2 allocations from the 2018 – 2021 calls. The local jurisdiction will submit a request to cancel the existing grant in its entirety in February 2023 through the March 2023 semi-annual review. This would allow agencies added flexibility to cancel the existing allocation if successful in the new 2023 grant cycle or retain the existing grant if the application does not score competitively. More detailed information on the eligibility criteria and process is provided in Attachment A.
- With Board approval, OCTA would adjust the allocation for escalation based on an updated ENR CCI 20 City Average escalation for eligible right of way and construction phases. Escalation adjustment would be calculated based on actual annual ENR CCI rates published in June for FY2021 and FY2022, and as published in September 2022 for FY2023. More detailed information on the eligibility criteria and process is provided in Attachment B.

Given the exceptional nature of these proposals and the impacts they would have on the upcoming 2023 call, a discussion with the local jurisdictions is critical to the success of these proposals. Any proposal discussed or considered by the TAC would require Board approval.

Summary

Staff is requesting local agency input on the draft proposals for reapplication and adjusted escalation for existing M2 RCP and RTSSP allocations.

Attachments

- A. June 22, 2022 Technical Advisory Committee Discussion Points for Flexible Cancellation of Projects to Reapply and Pre-Award Authority
- B. June 22, 2022 Technical Advisory Committee Discussion Points for Engineering News Record (ENR) Construction Cost Index (CCI) Escalation Adjustment for Project O (RCP) and P (RTSSP)
- C. Construction Cost Index Escalation Factors, Fiscal Years 2018 - 2022

**June 22, 2022 Technical Advisory Committee
Discussion Points for Flexible Cancellation of Projects to
Reapply and Pre-award Authority**

Issue: Considering the unusual inflationary impacts currently being experienced, jurisdictions have requested that OCTA consider the flexibility to apply for CTFP funds in the upcoming call for projects for the same project that was approved in a prior grant cycle. This would allow agencies to cancel the prior grant if successful in the new grant cycle or retain the prior grant if not successful in the new grant cycle. Further, agencies requested that OCTA consider pre-award authority.

Background: Currently, if an agency wishes to cancel a project phase that was allocated funds through the CTFP Call for Projects for Project O (RCP) and P (RTSSP), and reapply for that phase in a future call, then the agency would typically cancel that project before applications are due in October. This would typically take place as part of the preceding September semi-annual review.

Draft Proposal: Under this proposal, OCTA will accept project applications from agencies that were previously approved in a prior call for projects. The following conditions would apply:

- As part of the new application, the jurisdiction must agree to a condition that if the project has an existing allocation and submits a new application for funding that is approved by the Board of Directors (Board), the original allocation will be cancelled in its entirety.
- For projects with an unmet June 30, 2022 award deadline, an administrative delay request must be submitted to OCTA by June 29, 2022.
- OCTA staff would recommend that the funds that derive from the cancelled project phase will roll into the 2023 call.
- The application for 2023 call must be a complete application for the full funding request under the terms of the 2023 call guidelines.
- The scope in the application must be generally the same as the original project. In most cases any expansion of project limits from the original application is not acceptable.
- A project is only eligible to be considered under a new application if the contract has not been awarded or the work started for that phase.
- OCTA will allow pre-award authority for projects approved by the Board (typically May) and before the start of the next fiscal year (July). OCTA will not reimburse costs or count toward match secondary contract or internal staff costs that occur prior to Board approval.
- The estimated timeline would be:
 - August/September 2022– OCTA issues call, subject to Board approval.

- October 2022 – Applications due, must include the condition statement, must also request pre-award authority (and advancement to award contract) prior to July 1, 2023.
- February 2023 – Request to cancel project is submitted as part of the March semi-annual review.
- March 2023 – TSC and TAC meeting with allocation recommendations, funding target would be increased to incorporate funds from existing projects that will be cancelled.
- May 2023 – Planned Board action to approve 2023 call allocations, if pre award authority and advancement are requested, jurisdiction may award a contract immediately following Board approval.
- May/June 2023 – Staff sends notification to allocated applicants who reapplied for projects through this process that the original project allocation has been cancelled.
- If agreed to, changes will be recommended for the project application form to include the condition statement to cancel existing allocation.
- If this process is approved by the Board as part of the 2023 Guidelines, the Project Cancellation Section on approximately page 7-27 of the 2022 Guidelines under Chapter 7 – Regional Capacity Program and page 8-19 under Chapter 8 – Regional Traffic Signal Synchronization Program may be edited to incorporate this change, or the change will be considered as a one-time standalone recommendation.

June 22, 2022

Technical Advisory Committee

Discussion Points for Engineering News Record (ENR) Construction Cost Index (CCI) Escalation Adjustment for Project O (RCP) and P (RTSSP)

Issue: Considering the unusual inflationary impacts currently being experienced, jurisdictions have requested that OCTA consider adjusting the right of way and construction RCP and RTSSP project allocations for inflation based on the actual Engineering News Record (ENR) Construction Cost Index (CCI) as these projects approach the start of right of way and construction phase work.

Background: Escalation is normally applied based on the Engineering News Record (ENR) Construction Cost Index (CCI) based on the 20 City Average at funding allocation to RCP projects that are allocated funds for right of way and construction phase and are programmed in years 2 and 3, consistent with precept 12 and the Project Cost Escalation as described on page 2-4 of Chapter 2 – Project Programming. This practice of applying escalation at allocation will not change.

Draft Proposal: OCTA staff will consider requesting Board of Directors (Board) approval to apply an updated ENR CCI based on the 20 City Average rate to the original M2 funding allocation from the 2018, 2019, 2021 and 2022 calls for projects for right of way and construction, for fiscal years (FY) 2021, 2022 and an estimate for 2023 as applicable, subject to the following requirements:

- The request to adjust the allocation for escalation must be made by the jurisdiction before an initial offer(s) has(ve) been made for property for right of way phase or before the jurisdiction has awarded the construction contract or purchase order. This request is expected to be presented to the Board of Directors in December 2022, in concert with the September 2022 semi-annual review.
- For projects with an unmet June 30, 2022 award deadline, an administrative delay request must be submitted to OCTA by June 29, 2022.
- Requests must be submitted no later than October 14, 2022 with resolutions due no later than November 9, 2022.
- An escalation request can only be made for projects that were allocated funds through the 2018, 2019, 2020 and 2021 CTFP Calls for Projects.
- The request must include a resolution from the City Council or Board of Supervisors that the jurisdiction is
 - authorized to request OCTA to apply an escalation adjustment to the original allocation,
 - has justification due to jurisdiction specific reasons
 - notes the original allocation amount and year funds are programmed for right of way and construction
 - for right of way, identifies how much of the M2 funding has been committed based on offer letters and how much remains to be escalated.

- OCTA will provide the escalation rate that will be applied for the fiscal years noted above and will be based on the ENR CCI 20 city average as of June for FY 2021 and FY 2022 and as of September 2022 for FY 2023.
- OCTA will provide agencies with the escalation rate that was applied for each call cycle by programming year.
- In order to calculate the escalation rate for project allocations that were already escalated for FY 2021, FY 2022 and FY 2023, OCTA will strip out the escalation for those allocations for those years and then apply the adjusted escalation rate.
- For right of way phase that is underway, the Jurisdiction must provide how much of the grant funding remains based on parcels for which the jurisdiction has not already issued an offer letter.
- The match rate will not change, and eligible project costs will be reimbursed consistent with CTFP guidelines and the original match rate. This would require the jurisdiction to increase local funding at a minimum, proportionate to the updated allocation amount.
- The escalation adjustment will be considered for approval by the Board as part of the semi-annual review process.
- Once the request for an escalation adjustment has been acknowledged as received by OCTA through an OCTA acknowledgement letter, the jurisdiction could proceed to contract award or offer letter or issuance of purchase order under its own risk that the requested allocation adjustment may not be approved by the OCTA Board and the jurisdiction would be responsible for the cost.
- The initial payment cannot be made to the jurisdiction until the Board approves the escalation adjustment to the allocation.
- For Right of Way phase that has already received an initial payment, the additional funding provided through escalation will be provided in the final payment, if applicable.
- The jurisdiction can only request an escalation adjustment once per project phase and allocation.
- If agreed to, changes may be recommended to the Project Cost Escalation and Programming Adjustments sections in Chapter 2 – Programming Project Programming in the CTFP Guidelines or this may go directly to the Board as an exception policy.
- Escalation adjustments will only be considered if there is sufficient Project O or P funding to support the adjustment. It should be noted that the escalation adjustments will reduce the amount of funding that is available for future calls for projects.

Construction Cost Index Escalation Factors, Fiscal Years 2018 - 2022

as of 06/15/22

FY 2018	
<i>ENR CCI</i>	<i>June</i>
20 City Average	3.4%
Los Angeles	2.6%

OCTA 2018 CTFP Call Escalation Applied			
<i>Rate</i>	<i>Number of Projects</i>	<i>Call Cycle Year</i>	<i>Programmed FY</i>
n/a	0	n/a	n/a

All Year 1 call cycle projects for the 2018 call. No escalation applied.

FY 2019	
<i>ENR CCI</i>	<i>June</i>
20 City Average	1.8%
Los Angeles	1.4%

OCTA 2019 CTFP Call Escalation Applied			
<i>Rate</i>	<i>Number of Projects</i>	<i>Call Cycle Year</i>	<i>Programmed FY</i>
n/a	0	n/a	n/a

All Year 1 call cycle projects for the 2019 call. No escalation applied.

FY 2020	
<i>ENR CCI</i>	<i>June</i>
20 City Average	1.5%
Los Angeles	-0.5%

OCTA 2020 CTFP Call Escalation Applied			
<i>Rate</i>	<i>Number of Projects</i>	<i>Call Cycle Year</i>	<i>Programmed FY</i>
3%	1	2	21/22
3%	1	3	22/23

FY 2021	
<i>ENR CCI</i>	<i>June</i>
20 City Average	5.9%
Los Angeles	8.1%

OCTA 2021 CTFP Call Escalation Applied			
<i>Rate</i>	<i>Number of Projects</i>	<i>Call Cycle Year</i>	<i>Programmed FY</i>
3.1%	1	2	22/23

FY 2022	
<i>ENR CCI</i>	<i>June</i>
20 City Average	8.2%
Los Angeles	3.5%

OCTA 2022 CTFP Call Escalation Applied			
<i>Rate</i>	<i>Number of Projects</i>	<i>Call Cycle Year</i>	<i>Programmed FY</i>
8.4%	7*	1	22/23
3.1%	2	2	23/24

FY 2023^	
<i>ENR CCI</i>	<i>September</i>
20 City Average	TBD
Los Angeles	TBD

*Projects programmed for FY23/24 also received Year 1 8.4% escalation. Not included in count.

^ENR CCI at September to be applied for FY 2023 to align with escalation request deadline.

Acronyms

- CCI - Construction Cost Index
- CTFP - Comprehensive Transportation Funding Programs
- ENR - Engineering News Record
- FY - Fiscal Year
- n/a - Not Applicable
- OCTA - Orange County Transportation Authority
- TBD - To Be Determined



Correspondence



AGENDA

Technical Advisory Committee

Item# 4

Item 4, Attachment A: OCTA Board Items of Interest

- **Monday, May 23, 2022**
Item# 12: 2022 State Transportation Improvement Program Update
- **Monday, June 13, 2022**
Item# 15: Grant Acceptance for the Countywide Transportation Demand Management Strategic Plan
Item# 16: Capital Programming Update
Item# 25: Measure M2 Quarterly Progress Report for the Period of January 2022 Through March 2022
Item# 27: Measure M2 Eligibility Review Recommendations for Fiscal Year 2020-21 Expenditure Reports



AGENDA

Technical Advisory Committee

Item# 4

Item 4, Attachment B: Announcements by Email

- May 25, 2022 OCTA Technical Advisory Committee Agenda and Meeting Information (IN-PERSON), *sent 5/20/2022*
- REMINDER: May 25, 2022 OCTA Technical Advisory Committee Meeting Information (IN-PERSON), *sent 5/24/2022*
- Safe Streets and Roads for All (SS4A) Grant Program, *sent 6/1/2022*
- Note Regarding June 8, 2022 TSC Agenda, *sent 6/3/2022*
- June 8, 2022 OCTA Technical Steering Committee Agenda and Meeting Information (IN-PERSON), *sent 6/3/2022*
- Reminder: 2022 Call for Projects - M2 Environmental Cleanup Program (ECP) Tier 1 Closes Next Thursday, June 16th at 5:00pm, *sent 6/8/2022*