



**Measure M**  
**Taxpayer Oversight Committee**  
at the Orange County Transportation Authority  
600 S. Main Street, Orange CA, Room 103  
October 14, 2014  
6:00 p.m.



**AGENDA**

- 1. Welcome**
- 2. Pledge of Allegiance**
- 3. Approval of Minutes/Attendance Report for August 12, 2014**
- 4. Chairman's Report**
- 5. Action Items**
  - A. AER Subcommittee Eligibility Report FY 14-15  
Jack Wu, Annual Eligibility Review Subcommittee Chairman
- 6. Presentation Items**
  - A. Highway Program Update  
Presentation – Rose Casey, Director, Highway Programs
  - B. Measure M Program Management Office (PMO) Report  
Presentation – Tamara Warren, Manager, M Program Management Office
- 7. OCTA Staff Updates (5 minutes each)**
  - Other
- 8. Annual Eligibility Review Subcommittee Report**
- 9. Audit Subcommittee Report**
- 10. Environmental Oversight Committee Report**
- 11. Committee Member Reports**
- 12. Public Comments\***
- 13. Adjournment**

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

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



## **Measure M Taxpayer Oversight Committee**



### **INFORMATION ITEMS**

- 1. Fiscal Year 2014-15 Maintenance of Effort  
Benchmark Adjustments** **Aug. 11, 2014**
- 2. Capital Programs Division – Fourth Quarter  
Fiscal Year 2013-14 and Planned Fiscal Year  
2014-15 Capital Action Plan Performance Metrics**
- 3. Measure M2 Comprehensive Transportation  
Funding Programs – 2015 Calls for Projects**
- 4. Measure M1 Progress Report for the Period of  
April 2014 Through June 2014 and Closeout  
Overview** **Aug. 25, 2014**
- 5. Measure M2 Progress Report for the Period of  
April 2014 Through June 2014**
- 6. Completion of Milestones for the Santa Ana /  
Garden Grove Fixed-Guideway Project** **Sept. 22, 2014**
- 7. Measure M2 Environmental Cleanup Program –  
2014 Tier 1 Water Quality Grant Funding  
Allocations**
- 8. Update on the Interstate 405 Improvement  
Project Between State Route 55 and Interstate  
605**

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# **Measure M Taxpayer Oversight Committee**

**August 12, 2014  
Meeting Minutes**

## **Committee Members Present:**

Narinder "Nindy" Mahal, First District Representative  
Linda Rogers, First District Representative, Co-Chairman  
Margie Drilling, Second District Representative  
Terre Duensing, Third District Representative  
Dr. Ron Randolph, Third District Representative  
Philip C. La Puma, PE, Fourth District Representative  
Terry Fleskes, Fifth District Representative  
Nilima Gupta, Fifth District Representative

## **Committee Member(s) Absent:**

Jan Grimes, Orange County Acting Deputy Auditor-Controller, Co-Chairman  
Cynthia Hall, Fourth District Representative  
Jack Wu, Second District Representative

## **Orange County Transportation Authority Staff Present:**

Jim Beil, Executive Director, Capital Programs  
Marissa Espino, Community Relations Officer  
Janice Kadlec, Public Reporter Specialist  
Kia Mortazavi, Executive Director, Planning  
Andrew Oftelie, Executive Director, Finance  
Alice Rogan, Strategic Communications Manager, External Affairs  
Monte Ward, Environmental Mitigation Program Consultant  
Tamara Warren, Program Manager, M Program Management Office

### **1. Welcome**

Chair Linda Rodgers welcomed everyone to the Orange County Transportation Authority (OCTA) Taxpayer Oversight Committee (TOC) meeting at 6:10 p.m.

### **2. Pledge of Allegiance**

Chair Linda Rodgers asked everyone to join her in the Pledge of Allegiance to the Flag.

### **3. Approval of Minutes/Attendance Report for June 10, 2014**

Chair Linda Rogers asked if there were any additions or corrections to the June 10, 2014 Meeting Minutes and Attendance Report.

A motion was made by Terre Duensing, seconded by Terry Fleskes, and carried unanimously to approve the June 10, 2014 TOC minutes and attendance report as presented.

#### **4. Chairman's Report**

Chair Linda Rogers introduced two new members to the TOC – Margie Drilling, Second District Representative and Dr. Ron Randolph, Third District Representative.

#### **5. Presentation Items**

##### **A. Sales Tax Forecast**

Andrew Oftelie gave an update on the Sales Tax Forecast.

Chair Linda Rogers said a heroic job has been done coping with the reduction in estimated sales tax revenue. It was asked what the additional 0.2 billion generated from the new forecast gained us if anything or have the prices gone up so much that it is just a wash? Andrew Oftelie said the competitive or formula programs such as the Streets and Roads Program and the Transit Program expand and contract with the actual revenue collected. In regard to the Freeway Program, 43% of the additional dollars would go toward the Freeway Program with a very small cushion left over. However, there is enough money to deliver the entire Freeway Program and the additional \$0.2 billion just gives us a little more cushion.

##### **B. Santa Ana/Garden Grove Fixed-Guideway (Project S) Update**

Jim Beil gave an update on the Santa Ana/Garden Grove Fixed-Guideway (Project S) update. Andrew Oftelie gave a review of the financial plan for this project.

Nindy Mahal said he recalled there was a similar light rail project proposed for Santa Ana once before. Andrew Oftelie said yes there was a proposed M1 project similar to this, but those funds were reallocated with Board approval to rail capital improvements and to enhance Metrolink service. Jim Beil said Project S is a result of the past M1 effort called the CenterLine Project, which ultimately did not move forward. The intent of M2's Projects S is to give an opportunity to cities to come up with their own projects, do all the planning, get the public support, and get the environmental clearance for their own project.

Terry Fleskes said previous slides show the Board approved M2 funds for Operation and Maintenance (O&M) expenses, but there are no expenses being incurred presently. Are we approving O&M before capital costs? Andrew Oftelie said by the Board approving the assurance of M2 covering the O&M, it moved the project to the next stage in capital development. It was important to get the Board to approve the use of M2 for O&M, if that was the funding source they wanted to use, so OCTA could begin the modeling showing dedicated revenue sources.

Nilima Gupta asked if there had been any contributions from the City of Garden Grove. Jim Beil said not at this time, but the City of Garden Grove does have a hotel area on Harbor Blvd. As the area gets developed the city will step up.



Nindy Mahal asked if the service will be in the roadway. Jim Beil said there are few places where it will run in the middle, but essentially it will be a curb-side street car. Nindy Mahal asked if it would be electric. Jim Beil said it is currently planned to be all electric.

Nindy Mahal asked if there was any large infrastructure involved. Jim Beil said the largest infrastructure planned was the maintenance facility located behind the Santa Ana train station.

Terre Duensing asked if there was a way to forecast any decrease in traffic congestion. Jim Beil said he was not sure. Most of the boarding/ridership tracking on the street car would be very similar to a bus type of model.

Terre Duensing asked if solar power had been investigated to run the street car. Jim Beil said solar does not provide enough power.

**C. Measure M Environmental Mitigation Program Update**

Marissa Espino gave an update on the activities of the Measure M Environmental Mitigation Program.

Chair Linda Rogers asked how much money does the Program include. Marissa Espino said approximately \$300 million will be allocated to restore and acquire open space land and the current funding approved by the Board of Directors for acquisitions happening now is \$42 million.

Terry Fleskes said the documentation provided indicates \$160 million netted of the \$300 million. Is this half of the commitment expected over the life of Measure M or is it for some shorter period? Monte Ward said approximately half of the funding has been committed during the process of financing property. The reason for doing this is to protect certain properties from the impacts of the Freeway program. When M2 was first being implemented the OCTA Board agreed to use financing as a means to acquire property. When the cost of the financing, the cost of the endowment, and the ongoing maintenance is factored in, about half the money is committed.

Terry Fleskes asked if, when the term "endowment" is used in respect to the preserves, the money from M2 would be sufficient to maintain the preserves in perpetuity. Monte Ward said the requirement would be to not only acquire the property and protect it, but to manage and maintain the property in perpetuity. The way this will be done is to establish an endowment and against that endowment, an annual operating cost will be applied. It is fairly common in the preservation business to have the endowment requirement applied to the properties. Property management is not OCTA's principal business. What will be seen in the future is property titles transferred to organizations like county parks, city parks, etc. and having the management responsibility transferred to the appropriate entities. What OCTA will

have is some form of conservation insurance to make sure the funds cannot be used for another purpose. In exchange, OCTA will get permits for all freeways.

Nindy Mahal asked what the impact would be of the additional 2,500 acres the Irvine Company is donating. Monte Ward said it is not part of the OCTA Program, but it will have an effect by providing connectivity to some of the properties OCTA has purchased. In the future there is a possibility the Irvine Company lands already protected by the Irvine Company Ranch conservancy as well as the OCTA property could be managed by a common land manager.

Philip La Puma asked if the Environmental Oversight Committee (EOC) and EOC Financial Ad Hoc Subcommittee will be making some recommendations on the amount of the endowment. Monte Ward said OCTA is seeking some guidance and a target for what needs to be set aside. After the Conservation Plan has received approval, OCTA will be looking at establishing the endowments. This should take place sometime in 2016. Between now and 2016 work needs to be done on requirements on holding the endowment, investment policies, expected return, type of oversight and required reporting.

These parameters will be worked out by the EOC and the EOC Subcommittee and then travel through the OCTA approval process. Philip La Puma said the impact on the TOC could be an additional audit.

Philip La Puma asked how far along were they in acquiring properties. Monte Ward said in terms of biological value they are more than halfway through. In terms of the dollar amount they are way past the halfway point. In the future they will be seeing more restoration, more water quality requirements, and strategic acquisitions.

Margie Drilling asked if one of the committees dictates the mitigation percentage – both State and Federal. Monte Ward said yes, this was part of the Conservation Plan process. However, it moved away from the strict ratio approach and toward how beneficial the mitigation would be for the ecosystem over all.

#### **D. Fare Stabilization Update**

Andrew Oftelie gave an update on the Fare Stabilization Policy.

#### **6. OCTA Staff Updates**

Measure M Transit Program Update: Andrew Oftelie gave a brief update on the Measure M Transit Program.

Nindy Mahal asked if ARTIC was open yet. Andrew Oftelie said should be up and running in the December.

Finance Directors Workshop: Andrew Oftelie gave a review of the most recent Finance Directors Workshop.

10-Year Review: Tamara Warren gave an overview of the 10-Year Review.

Chair Linda Rogers asked if the TOC will need to certify the report. Tamara Warren said no, it would be an information item for the TOC.

Nilima Gupta asked if the report included M1 and M2 information. Tamara Warren said no, the report only concerned M2.

Other: Alice Rogan asked Jim Beil to give an update on M2 Project K, the I-405 Improvement Project.

Chair Linda Rogers said everything she read said Caltrans was going to find funding, but OCTA was going ahead with the project. She asked if Jim believes Caltrans will raise the money to build Alternative 3 simultaneously with OCTA building Alternative 1 because it makes so much sense to build both at the same time. Jim said it would be difficult for Caltrans to build simultaneously without convincing OCTA to build Alternative 3 into their contract. Currently, the agreement states that Caltrans will not begin implementation of Alternative 3 until OCTA has completed building Alternative 1. Linda remarked it would make sense to build both at the same time if they are going to close down bridges during construction. Jim Beil said OCTA is widening all the bridges to accommodate future capacity.

**7. Annual Eligibility Review Subcommittee Report**

There was nothing to report. They did not meet.

**8. Audit Subcommittee Report**

There was nothing to report. The subcommittee met in Closed Session before the regular TOC meeting on August 12, 2014.

**9. Environmental Oversight Committee Report**

Philip La Puma wanted to add that the OCTA Staff are also in the negotiations for other properties and they are doing a great job but it will take time to finalize due to some issues.

**10. Committee Member Report**

Chair Linda Rogers reminded the TOC members that the OCTA legislative program is open for comments until August 22 if anyone cares to make any.

**11. Public Comments**

There were no comments from the public.

**12. Adjournment**

The Measure M Taxpayer Oversight Committee meeting adjourned at 7:00 p.m. The next meeting will be October 14, 2014.



# Taxpayer Oversight Committee

## Fiscal Year 2014-2015

### Attendance Record



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

Meeting Date	8-Jul	12-Aug	9-Sep	14-Oct	11-Nov	9-Dec	13-Jan	10-Feb	10-Mar	14-Apr	12-May	9-Jun
Margie Drilling		X										
Terre Duensing		X										
Terry Fleskes		X										
Jan Grimes		*										
Nilima Gupta		X										
Cynthia Hall		*										
Phil La Puma		X										
Nindy Mahal		X										
Ronald Randolph		X										
Linda Rogers		X										
Jack Wu		*										

### Absences Pending Approval

#### Meeting Date

10/14/14

10/14/14

10/14/14

#### Name

Jan Grimes

Cynthia Hall

Jack Wu

#### Reason

Out of Town

Out of Town

Personal



# *Action Items*







***October 14, 2014***

***To:*** Taxpayer Oversight Committee

***From:*** Annual Eligibility Review Subcommittee

***Subject:*** Fiscal Year 2014-15 Measure M2 Annual Eligibility Review Subcommittee Recommendations

***Overview***

The Measure M2 ordinance requires all local jurisdictions in Orange County to annually satisfy eligibility requirements in order to receive Measure M2 net revenues. The Annual Eligibility Review subcommittee review process for fiscal year 2014-15 has been completed.

***Recommendations***

Approve Pavement Management Plans for even numbered year jurisdictions and Local Signal Synchronization Plans for all local jurisdictions in Orange County; and find all local jurisdictions eligible to receive Measure M2 net revenues for fiscal year 2014-15.

***Background***

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

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

***Discussion***

Local jurisdictions are required to annually submit eligibility packages by June 30<sup>th</sup>. OCTA staff reviewed the PMP and LSSP submittals to ensure each eligibility package was complete and accurate; and worked with the local jurisdictions to obtain information and/or back up materials as needed. The AER subcommittee convened on September 25, 2014 to review and discuss the PMP certifications and LSSPs. The AER subcommittee found the PMP and LSSP submittals to be in compliance with the Ordinance and recommend to the TOC for eligibility approval.

Upon TOC approval, OCTA staff will present the eligibility findings to the Regional Planning and Highways Committee on December 1, 2014 and to the OCTA Board of Directors on December 8, 2014. Eligibility determination is conditional upon review of the expenditure reports due December 31, 2014, with the exception of city of Huntington Beach that has an expenditure report due by March 31, 2015.

***Summary***

All local jurisdictions in Orange County have submitted FY 2014-15 Measure M2 eligibility packages. The Annual Eligibility Review subcommittee reviewed the necessary Pavement Management Plan and Local Signal Synchronization Plan documentation; and all local jurisdictions meet the eligibility requirements for fiscal year 2014-15.

***Attachment***

- A. Local Jurisdiction Pavement Management Plan Submittal Schedule

**Local Jurisdiction Pavement Management Plan  
Submittal Schedule**

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



# *Information Items*





COMMITTEE TRANSMITTAL

**August 11, 2014**

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

*WK*

**From:** Wendy Knowles, Clerk of the Board

**Subject:** Fiscal Year 2014-15 Maintenance of Effort Benchmark Adjustments

Regional Planning and Highways Committee Meeting of August 4, 2014

Present: Directors Bates, Donchak, Harper, Miller, Murray, and Spitzer

Absent: Directors Lalloway and Nelson

**Committee Vote**

This item was passed by the Members present.

**Committee Recommendation**

Approve and amend the proposed fiscal year 2014-15 maintenance of effort benchmark adjustments for the cities of La Habra, Laguna Woods, Los Alamitos, and Yorba Linda.







***August 4, 2014***

**To:** Regional Planning and Highways Committee

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

**Subject:** Fiscal Year 2014-15 Maintenance of Effort Benchmark Adjustments

***Overview***

The Measure M2 Ordinance includes eligibility requirements that local agencies must satisfy in order to receive Measure M2 revenues. The M2 Ordinance requires an adjustment to the maintenance of effort benchmark in 2014 and every three years thereafter for purposes of eligibility determination. Proposed adjustments to the maintenance of effort benchmarks are presented for review and approval.

***Recommendation***

Approve and amend the proposed fiscal year 2014-15 maintenance of effort benchmark adjustments for the cities of La Habra, Laguna Woods, Los Alamitos, and Yorba Linda.

***Background***

The Measure M2 (M2) Ordinance requires that local agencies continue to invest discretionary revenues in the transportation system in order to receive any M2 revenues (known as maintenance of effort {MOE} requirement). The MOE requirement ensures that M2 funds supplement (and do not replace) prior revenues invested in transportation projects and services. M2 also includes an escalation provision in order for MOE transportation expenditures to keep pace with cost growth. In April 2014, the Board of Directors approved the fiscal year (FY) 2014-15 MOE benchmarks for local agencies, and noted that adjustments might be required pending final submittals from several local agencies. Several local agencies have since provided final documentation, and benchmark adjustments are presented for approval (Attachment A).

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***Discussion***

A comparison of the growth in general fund revenues (GFR) and California Department of Transportation construction cost index determined the appropriate MOE benchmark adjustment for each local agency. In order to determine GFR, each local jurisdiction provided excerpts from the Comprehensive Annual Financial Report (CAFR). A draft CAFR or GFR general ledger was used to calculate an estimated benchmark for several local agencies since final CAFRs had not been released. Upon receipt of final CAFRs, it was determined that four local agencies (La Habra, Laguna Woods, Los Alamitos, and Yorba Linda) required adjustments to the estimated MOE benchmarks. The updated MOE benchmark adjustments are included in Attachment A. The finance directors of these local agencies have concurred with the adjustments.

***Summary***

The FY 2014-15 MOE benchmarks for four local agencies have been adjusted and updated. These local agencies will satisfy the revised MOE benchmark for the FY 2014-15 eligibility review.

***Attachment***

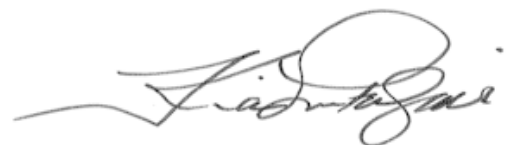
- A. Proposed MOE Benchmark Adjustments by Local Jurisdiction – Revised August 11, 2014

**Prepared by:**



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

**Approved by:**



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

**Proposed MOE Benchmark Adjustments  
by Local Jurisdiction-**  
Revised August 11, 2014

<b>Agency</b>	<b>MOE Benchmark (Board Approved on 4/14/14)</b>	<b>Proposed MOE Benchmark</b>	<b>Adjustment</b>
Aliso Viejo	\$ 409,360	\$ 409,360	\$ -
Anaheim	\$ 8,127,913	\$ 8,127,913	\$ -
Brea	\$ 703,000	\$ 703,000	\$ -
Buena Park	\$ 3,738,212	\$ 3,738,212	\$ -
Costa Mesa	\$ 6,457,802	\$ 6,457,802	\$ -
Cypress	\$ 2,767,411	\$ 2,767,411	\$ -
Dana Point	\$ 1,065,496	\$ 1,065,496	\$ -
Fountain Valley	\$ 1,180,712	\$ 1,180,712	\$ -
Fullerton	\$ 3,427,988	\$ 3,427,988	\$ -
Garden Grove	\$ 2,823,522	\$ 2,823,522	\$ -
Huntington Beach	\$ 4,954,235	\$ 4,954,235	\$ -
Irvine	\$ 5,452,970	\$ 5,452,970	\$ -
La Habra	\$ 1,348,880	\$ 1,356,014	\$ 7,134
La Palma	\$ 173,004	\$ 173,004	\$ -
Laguna Beach	\$ 1,417,616	\$ 1,417,616	\$ -
Laguna Hills	\$ 269,339	\$ 269,339	\$ -
Laguna Niguel	\$ 721,542	\$ 721,542	\$ -
Laguna Woods	\$ 80,895	\$ 83,501	\$ 2,606
Lake Forest	\$ 145,670	\$ 145,670	\$ -
Los Alamitos	\$ 146,826	\$ 147,465	\$ 639
Mission Viejo	\$ 2,247,610	\$ 2,247,610	\$ -
Newport Beach	\$ 8,868,393	\$ 8,868,393	\$ -
Orange	\$ 2,430,131	\$ 2,430,131	\$ -
Placentia	\$ 546,000	\$ 546,000	\$ -
Rancho Santa Margarita	\$ 358,155	\$ 358,155	\$ -
San Clemente	\$ 951,000	\$ 951,000	\$ -
San Juan Capistrano	\$ 390,383	\$ 390,383	\$ -
Santa Ana	\$ 6,958,998	\$ 6,958,998	\$ -
Seal Beach	\$ 551,208	\$ 551,208	\$ -
Stanton	\$ 186,035	\$ 186,035	\$ -
Tustin	\$ 1,222,756	\$ 1,222,756	\$ -
Villa Park	\$ 279,227	\$ 279,227	\$ -
Westminster	\$ 1,284,000	\$ 1,284,000	\$ -
Yorba Linda	\$ 1,933,000	\$ 1,985,964	\$ 52,964
<b>Total</b>	<b>\$ 73,619,289</b>	<b>\$ 73,682,632</b>	<b>\$ 63,343</b>





COMMITTEE TRANSMITTAL

**August 11, 2014**

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

**From:** Wendy Knowles, Clerk of the Board *WK*

**Subject:** Capital Programs Division – Fourth Quarter Fiscal Year 2013-14  
and Planned Fiscal Year 2014-15 Capital Action Plan  
Performance Metrics

Executive Committee meeting of August 4, 2014

Present: Directors Donchak, Shaw, Spitzer, and Winterbottom  
Absent: Chairman Nelson, Vice Chairman Lalloway, and  
Director Hennessey

**Committee Vote**

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

**Staff Recommendation**


Receive and file as an information item.





**August 4, 2014**

**To:** Executive Committee

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

**Subject:** Capital Programs Division - Fourth Quarter Fiscal Year 2013-14 and Planned Fiscal Year 2014-15 Capital Action Plan Performance Metrics

### **Overview**

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

### **Recommendation**

Receive and file as an information item.

### **Background**

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

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

***Discussion***

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

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

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

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



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

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



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

### Key Findings

CAP fourth quarter FY 2013-14 milestones achieved include:

### Freeway Projects

- Work on the environmental document and project report began on the Interstate 5 (I-5) widening from Interstate 405 (I-405) to State Route 55 (SR-55). The environmental clearance and project approval is anticipated in early 2017.

- The complete environmental milestone for the I-5 widening from State Route 73 (SR-73) to El Toro Road was achieved in May 2014.
- The construction ready milestone for the I-5 widening project to add carpool lanes from Avenida Pico to Avenida Vista Hermosa and the reconstruction of the Avenida Pico interchange was achieved. The California Transportation Commission (CTC) allocated the project funding at the June 2014 CTC meeting, two months earlier than originally anticipated. The construction contract will now be advertised in September 2014.
- The construction contract was awarded for the I-5 widening project to add carpool lanes from Avenida Vista Hermosa to Pacific Coast Highway. Construction is planned to be completed in early 2017.
- Construction was completed on the State Route 57 (SR-57) northbound widening from Yorba Linda Boulevard to Lambert Road in May 2014.

The following project milestones missed the planned delivery through the fourth quarter of FY 2013-14.

- The begin environmental milestone for the State Route 91 (SR-91) widening between SR-55 and SR-57 has been delayed into FY 2014-15 because the Project Study Report (PSR) has not been approved by the California Department of Transportation (Caltrans). Caltrans has requested the inclusion of an alternative to construct a new westbound SR-91 to southbound SR-55 connector fly-over ramp in the PSR to be carried forward to the environmental phase of the project. A consultant has been procured to produce the project report and environmental document, and work is currently anticipated to begin by October 2014.
- The environmental clearance for the I-5 widening to add a second carpool lane from SR-55 to SR-57 was delayed into FY 2014-15 due to required modifications to the scope of the project alternatives, and consultant production and approval delays. Additionally, a more deliberate process to involve the City of Santa Ana and stakeholders in project scoping decisions was employed. The environmental document will be circulated for public comment in August 2014. The environmental document and project report is anticipated to be approved by Caltrans in March 2015.

- The Santa Ana/Garden Grove Fixed-Guideway Project environmental approval was delayed into FY 2014-15. The federal environmental document was released for public review, and the City of Santa Ana anticipates achieving final environmental approval by the Federal Transit Administration in October 2014.
- The environmental clearance for the Orange Metrolink Parking Expansion project was delayed into FY 2014-15. The City of Orange has indicated its environmental approval is currently forecast to be completed in December 2014.
- The environmental clearance and project report approval for the I-5 high-occupancy vehicle lane continuous access striping conversion was delayed into FY 2015-16. As previously reported, the overall project schedule has been adjusted to match the availability of programmed state construction funding in FY 2016-17.
- The begin design milestone for the I-5 widening from SR-73 to El Toro Road was delayed into FY 2014-15 due to uncertainty in the timing of obtaining the project environmental approval. The project is now environmentally cleared. The project has been divided into three segments for implementation, and three separate design consultants are being procured. Final design on all three segments is anticipated to be underway by the end of 2014.
- The begin design milestone for the I-5 widening to add a second carpool lane from SR-55 to SR-57 was delayed into FY 2014-15 due to the previously mentioned delays to the environmental clearance. Procurement of the design consultant is planned to begin in September 2014.
- The complete design milestone for the northbound SR-57 landscape replacement project was delayed into FY 2014-15 to assure the final landscape and irrigation design accounts for as-built conditions of the recently completed roadway widening construction contracts.
- The complete design milestone, construction ready milestone, and advertise construction milestone for the Orange Metrolink Parking Expansion project were delayed into future FY's. The City of Orange indicates the design is currently forecast to be completed in the fourth quarter of FY 2014-15. The CTC construction funding allocation is planned for the August 2015 CTC meeting.

- The complete construction milestone for the SR-57 northbound widening from Orangethorpe Avenue to Yorba Linda Boulevard has been delayed into FY 2014-15 due to a lack of scheduled performance by the contractor (liquidated damages are being assessed). All added lanes have been opened to traffic. Contract acceptance by Caltrans is currently targeted for late August 2014.

#### Recap of FY 2013-14 Performance Metrics

The performance metrics snapshot provided at the beginning of FY 2013-14 reflects 36 planned major project delivery milestone accomplishments. Three additional delivery milestones for the Laguna Niguel/Mission Viejo Metrolink Station Americans with Disability Act compliance ramp project were added in the second quarter. The CAP and performance metrics have been updated to reflect both milestones achieved and missed throughout FY 2013-14 (Attachment B). In FY 2013-14, 27 of the forecast 39 milestones (69 percent) were completed in the planned quarter of the budget year. All seven planned construction contract awards were achieved. Five of the missed milestones are related to city-led project development phases. Six of the missed milestones are related to delays to the begin environmental and complete environmental milestones.

#### FY 2014-15 Performance Metrics

The new forecast project milestones are included in the CAP and the FY 2014-15 performance metrics (Attachment C). There are 40 major project milestones planned to be accomplished in FY 2014-15.

The Placentia Metrolink Station project delivery milestones have not yet been re-established. The City of Placentia is continuing to finalize studies and agreements for mixed-use commuter/business district parking which will impact the scope of the final design of the planned station and parking. The project schedule will be updated to reflect the final development plan and added to the performance metric at that time.

The complete environmental and begin design milestones for the SR-55 widening between I-405 and I-5 are being delayed due to Caltrans requests for additional project studies and scope, and modifications to the project traffic analysis model. Staff estimates the delay in environmental clearance could extend up to 17 months. The project schedule and milestones will be

re-established and added to the performance metric when the scoping issues are resolved.

#### **FY 2014-15 Performance Metric Risks**

The environmental clearance milestone for the I-405 widening from SR-73 to Interstate 605 carries substantial risk. Risks include delays in Caltrans' selection of the project preferred alternative, delays in Caltrans' approval of the final environmental impact statement/environmental impact report (FEIS/EIR), and potential legal challenges to the FEIS/EIR. Delays to the environmental clearance will compound into delays to the planned design-build contract.

Availability of federal highway trust fund money could delay federal funding obligations for environmental and design work, and funding for both new and ongoing construction projects.

#### ***Summary***

Significant capital project delivery progress has been achieved and reflected in the CAP. The planned FY 2014-15 performance metrics created from forecast project schedules will be used as a general project delivery performance indicator. Staff will continue to manage project costs and schedules across all project phases to meet project delivery commitments.

#### ***Attachments***

- A. Capital Action Plan, Status Through June 2014
- B. Capital Programs Division, Fiscal Year 2013-14 Performance Metrics Status Through June 2014
- C. Capital Programs Division, Fiscal Year 2014-15 Performance Metrics

**Prepared by:**


















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## Capital Action Plan

Status Thru June 2014


















Updated: July 18, 2014

Capital Projects	Cost Budget/Forecast (millions)	Schedule Plan/Forecast							
		Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
<b>Freeway Projects:</b>									
 I-5, Pico to Vista Hermosa	\$113.0	Jun-09	Dec-11	Jun-11	Oct-13	Feb-14	Oct-14	Jan-15	Feb-18
Project C	\$110.7	<b>Jun-09</b>	<b>Oct-11</b>	<b>Jun-11</b>	<b>Oct-13</b>	<b>May-14</b>	<b>Sep-14</b>	<b>Dec-14</b>	<b>Dec-17</b>
 I-5, Vista Hermosa to Pacific Coast Highway	\$75.6	Jun-09	Dec-11	Jun-11	Feb-13	Jun-13	Oct-13	Dec-13	Mar-17
Project C	\$71.8	<b>Jun-09</b>	<b>Oct-11</b>	<b>Jun-11</b>	<b>May-13</b>	<b>Aug-13</b>	<b>Feb-14</b>	<b>Jun-14</b>	<b>Mar-17</b>
 I-5, Pacific Coast Highway to San Juan Creek Rd.	\$70.7	Jun-09	Dec-11	Jun-11	Jan-13	May-13	Aug-13	Oct-13	Sep-16
Project C	\$60.3	<b>Jun-09</b>	<b>Oct-11</b>	<b>Jun-11</b>	<b>Jan-13</b>	<b>Apr-13</b>	<b>Aug-13</b>	<b>Dec-13</b>	<b>Sep-16</b>
 I-5, I-5/Ortega Interchange	\$90.9	Sep-05	Jun-09	Jan-09	Nov-11	Mar-12	Jun-12	Aug-12	Sep-15
Project D	\$80.7	<b>Sep-05</b>	<b>Jun-09</b>	<b>Jan-09</b>	<b>Dec-11</b>	<b>Apr-12</b>	<b>Jun-12</b>	<b>Aug-12</b>	<b>Sep-15</b>
 I-5, I-5/Ortega Interchange (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project D	N/A	N/A	N/A	Jan-15	Jul-15	Nov-15	Dec-15	Mar-16	Mar-17
 I-5, SR-73 to Oso Parkway	\$152.3	Sep-11	Jun-14	TBD	TBD	TBD	TBD	TBD	TBD
Project C & D	\$152.3	<b>Oct-11</b>	<b>May-14</b>	Dec-14	Nov-17	Apr-18	May-18	Sep-18	May-22
 I-5, Oso Parkway to Alicia Parkway	\$195.1	Sep-11	Jun-14	TBD	TBD	TBD	TBD	TBD	TBD
Project C & D	\$195.1	<b>Oct-11</b>	<b>May-14</b>	Sep-14	Jul-17	Jan-18	Mar-18	Jun-18	May-22
 I-5, Alicia Parkway to El Toro Road	\$134.2	Sep-11	Jun-14	TBD	TBD	TBD	TBD	TBD	TBD
Project C	\$134.2	<b>Oct-11</b>	<b>May-14</b>	Jan-15	Jan-18	May-18	Jul-18	Nov-18	May-22
 I-5, I-5/El Toro Road Interchange	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Project D	TBD	Oct-15	Oct-18	TBD	TBD	TBD	TBD	TBD	TBD
 I-5, I-405 to SR-55	TBD	Sep-13	Jun-16	TBD	TBD	TBD	TBD	TBD	TBD
Project B	TBD	<b>May-14</b>	Jan-17	TBD	TBD	TBD	TBD	TBD	TBD
 I-5, SR-55 to SR-57	TBD	Jul-11	Jun-13	TBD	TBD	TBD	TBD	TBD	TBD
Project A	\$42.3	<b>Jun-11</b>	Mar-15	Jul-15	Jan-17	May-17	Jul-17	Nov-17	Nov-19
I-5, Continuous HOV Lane Access	TBD	Jul-11	Apr-15	Feb-12	May-16	Aug-16	Oct-16	Jan-17	Jan-18
	\$5.8	<b>Aug-11</b>	Jul-15	<b>Mar-12</b>	<b>Aug-16</b>	<b>Nov-16</b>	<b>Jan-17</b>	<b>Apr-17</b>	<b>Apr-18</b>
 SR-55, I-405 to I-5	TBD	Feb-11	Nov-13	TBD	TBD	TBD	TBD	TBD	TBD
Project F	\$274.6	<b>May-11</b>	Jul-15	Dec-15	Oct-18	Apr-19	May-19	Aug-19	Aug-22
 SR-55, I-5 to SR-91 (Draft)	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Project F	TBD	Dec-15	Jun-18	TBD	TBD	TBD	TBD	TBD	TBD
 SR-57 Northbound (NB), Orangewood to Katella (Draft)	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Project G	TBD	Dec-15	Dec-17	TBD	TBD	TBD	TBD	TBD	TBD
 SR-57 (NB), Katella to Lincoln	\$78.7	Apr-08	Jul-09	Jul-08	Nov-10	Mar-11	May-11	Aug-11	Sep-14
Project G	\$40.7	<b>Apr-08</b>	<b>Nov-09</b>	<b>Aug-08</b>	<b>Dec-10</b>	<b>Apr-11</b>	<b>Jul-11</b>	<b>Oct-11</b>	Jan-15

## Capital Action Plan

Status Thru June 2014

Updated: July 18, 2014

Capital Projects	Cost Budget/Forecast	Schedule Plan/Forecast							
		Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
	(millions)								
 SR-57 (NB), Katella to Lincoln (Landscape) Project G	N/A N/A	N/A N/A	N/A N/A	N/A May-09	N/A Jul-10	N/A Jan-16	N/A Mar-16	N/A May-16	N/A May-17
 SR-57 (NB), Orangethorpe to Yorba Linda Project G	\$80.2 \$56.3	Aug-05 Aug-05	Dec-07 Dec-07	Feb-08 Feb-08	Dec-09 Jul-09	Apr-10 Dec-09	Jun-10 May-10	Oct-10 Oct-10	May-14 Aug-14
 SR-57 (NB), Yorba Linda to Lambert Project G	\$79.3 \$55.8	Aug-05 Aug-05	Dec-07 Dec-07	Feb-08 Feb-08	Dec-09 Jul-09	Apr-10 Mar-10	Jun-10 May-10	Oct-10 Oct-10	Sep-14 May-14
 SR-57 (NB), Orangethorpe to Lambert (Landscape) Project G	N/A N/A	N/A N/A	N/A N/A	N/A Sep-09	N/A Apr-15	N/A May-15	N/A Jul-15	N/A Sep-15	N/A Sep-16
 SR-57 (NB), Lambert to Tonner Canyon (Draft) Project G	TBD TBD	TBD Aug-16	TBD Jul-19	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD
 SR-91 Westbound (WB), I-5 to SR-57 Project H	\$78.1 \$64.2	Jul-07 Jul-07	Apr-10 Jun-10	Oct-09 Mar-10	Feb-12 Apr-12	Jul-12 Aug-12	Aug-12 Oct-12	Nov-12 Jan-13	Apr-16 Apr-16
 SR-91 Westbound (WB), I-5 to SR-57 (Landscape) Project H	N/A N/A	N/A N/A	N/A N/A	N/A Jan-15	N/A Jul-15	N/A Nov-15	N/A Dec-15	N/A Mar-16	N/A Mar-17
 SR-91, SR-57 to SR-55 Project I	TBD TBD	Feb-14 Oct-14	Sep-16 Jun-17	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD
 SR-91 (WB), Tustin Interchange to SR-55 Project I	\$49.9 \$47.8	Jul-08 Jul-08	Jul-11 May-11	Jul-11 Jun-11	Mar-13 Feb-13	Jul-13 Apr-13	Aug-13 Jun-13	Oct-13 Oct-13	Jul-16 Jul-16
 SR-91, SR-55 to SR-241 Project J	\$128.4 \$80.9	Jul-07 Jul-07	Jul-09 Apr-09	Jun-09 Apr-09	Jan-11 Aug-10	Apr-11 Dec-10	Jun-11 Feb-11	Sep-11 May-11	Dec-12 Mar-13
 SR-91, SR-55 to SR-241 (Landscape) Project J	N/A N/A	N/A N/A	N/A N/A	N/A May-12	N/A Feb-13	N/A Apr-13	N/A Jul-13	N/A Oct-13	N/A Dec-14
 SR-91 Eastbound, SR-241 to SR-71 Project J	\$104.5 \$57.8	Mar-05 Mar-05	Dec-07 Dec-07	Jul-07 Jul-07	Dec-08 Dec-08	Mar-09 May-09	May-09 Jun-09	Jul-09 Aug-09	Nov-10 Jan-11
 I-405, Continuous HOV Lane Access (project cancelled)	N/A \$1.0	Jul-11 Aug-11	Jan-14 Jan-14	Mar-12 Mar-12	N/A N/A	N/A N/A	N/A N/A	N/A N/A	N/A N/A
 I-405, I-5 to SR-55 Project L	TBD TBD	TBD Nov-14	TBD Jun-17	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD
 I-405 Southbound, SR-133 to University Dr. Project L	TBD \$16.4	TBD Mar-15	TBD Feb-16	TBD Apr-17	TBD Feb-18	TBD Jun-18	TBD Sep-18	TBD Nov-18	TBD Dec-19
 I-405, SR-55 to I-605 (Design-Build) Project K	TBD \$1,254.5	Mar-09 Mar-09	Mar-13 May-15	TBD Mar-14	TBD Jan-15	TBD Jun-15	TBD Jun-15	TBD Feb-16	TBD Oct-20
 I-405/SR-22 HOV Connector	\$195.9 \$121.8	N/A N/A	N/A N/A	Sep-07 Sep-07	Sep-09 Jun-09	Mar-10 Sep-09	May-10 Feb-10	Aug-10 Jun-10	Aug-14 Jan-15



## Capital Action Plan

Status Thru June 2014



Updated: July 18, 2014

Capital Projects	Cost Budget/Forecast	Schedule Plan/Forecast							
	(millions)	Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
I-405/I-605 HOV Connector	\$260.4	N/A	N/A	Sep-07	Sep-09	Mar-10	May-10	Oct-10	Jan-15
	\$166.2	N/A	N/A	Sep-07	Sep-09	Feb-10	May-10	Oct-10	Jan-15
I-405/SR-22/I-605 HOV Connector (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	N/A	N/A	N/A	Jun-08	May-09	Jun-15	Aug-15	Oct-15	Nov-16
I-605, I-605/Katella Interchange (Draft)	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Project M	TBD	Feb-16	Jan-18	TBD	TBD	TBD	TBD	TBD	TBD
<b>Grade Separation Projects:</b>									
Sand Canyon Ave. Grade Separation	\$55.6	N/A	Sep-03	Jan-04	Jul-10	Jul-10	Oct-10	Feb-11	May-14
Project R	\$62.4	N/A	Sep-03	Jan-04	Jul-10	Jul-10	Oct-10	Feb-11	Oct-14
Raymond Ave. Grade Separation	\$77.2	Feb-09	Nov-09	Mar-10	Aug-12	Nov-12	Feb-13	May-13	Aug-18
Project O	\$117.2	Feb-09	Nov-09	Mar-10	Dec-12	Jul-13	Oct-13	Feb-14	Aug-18
State College Blvd. Grade Separation (Fullerton)	\$73.6	Dec-08	Jan-11	Jul-06	Aug-12	Nov-12	Feb-13	May-13	May-18
Project O	\$89.5	Dec-08	Apr-11	Jul-06	Feb-13	May-13	Sep-13	Feb-14	May-18
Placentia Ave. Grade Separation	\$78.2	Jan-01	May-01	Jan-09	Mar-10	May-10	Mar-11	Jun-11	Nov-14
Project O	\$65.7	Jan-01	May-01	Jan-09	Jun-10	Jan-11	Mar-11	Jul-11	Aug-14
Kraemer Blvd. Grade Separation	\$70.4	Jan-01	Sep-09	Jan-09	Jul-10	Jul-10	Apr-11	Aug-11	Oct-14
Project O	\$63.7	Jan-01	Sep-09	Feb-09	Jul-10	Jan-11	Jun-11	Sep-11	Aug-14
Orangethorpe Ave. Grade Separation	\$117.4	Jan-01	Sep-09	Feb-09	Dec-11	Dec-11	Feb-12	May-12	Sep-16
Project O	\$110.5	Jan-01	Sep-09	Feb-09	Oct-11	Apr-12	Sep-12	Jan-13	Sep-16
Tustin Ave./Rose Dr. Grade Separation	\$103.0	Jan-01	Sep-09	Feb-09	Dec-11	Mar-12	May-12	Aug-12	May-16
Project O	\$94.3	Jan-01	Sep-09	Feb-09	Jul-11	Jun-12	Oct-12	Feb-13	May-16
Lakeview Ave. Grade Separation	\$70.2	Jan-01	Sep-09	Feb-09	Oct-11	Oct-12	Feb-13	May-13	Mar-17
Project O	\$96.5	Jan-01	Sep-09	Feb-09	Jan-13	Apr-13	Sep-13	Nov-13	Mar-17
17th St. Grade Separation	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Project R	TBD	Aug-14	Apr-17	TBD	TBD	TBD	TBD	TBD	TBD
<b>Rail and Station Projects:</b>									
Rail-Highway Grade Crossing Safety Enhancement	\$94.4	Jan-08	Oct-08	Jan-08	Sep-08	Sep-08	Sep-08	Aug-09	Dec-11
Project R	\$94.4	Jan-08	Oct-08	Jan-08	Sep-08	Sep-08	Sep-08	Aug-09	Dec-11
San Clemente Beach Trail Safety Enhancements	\$6.0	Sep-10	Jul-11	Feb-12	Apr-12	Apr-12	Jul-12	Oct-12	Jan-14
Project R	\$5.4	Sep-10	Jul-11	Feb-12	Jun-12	Jun-12	Oct-12	May-13	Mar-14
San Juan Capistrano Passing Siding	\$25.3	Aug-11	Jan-13	TBD	TBD	TBD	TBD	TBD	TBD
	\$25.3	Aug-11	Mar-14	Nov-14	Oct-15	Oct-15	Nov-15	Mar-16	Apr-18
Anaheim Rapid Connection	TBD	Jan-09	Oct-14	TBD	TBD	TBD	TBD	TBD	TBD
Project S	TBD	Jan-09	Jul-15	TBD	TBD	TBD	TBD	TBD	TBD

## Capital Action Plan

Status Thru June 2014

Updated: July 18, 2014

Capital Projects	Cost Budget/Forecast	Schedule							
		Plan/Forecast							
	(millions)	Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
 Santa Ana/Garden Grove Fixed Guideway Project S	TBD	Aug-09	Mar-12	TBD	TBD	TBD	TBD	TBD	TBD
	TBD	<b>Aug-09</b>	Oct-14	May-15	May-17	Aug-17	Sep-17	Nov-17	Dec-19
 Placentia Metrolink Station & Parking Structure	TBD	Jan-03	May-07	Oct-08	Jan-11	TBD	TBD	TBD	TBD
	TBD	<b>Jan-03</b>	<b>May-07</b>	<b>Oct-08</b>	<b>Feb-11</b>	TBD	TBD	TBD	TBD
Orange Station Parking Expansion	\$18.6	Dec-09	Dec-12	Nov-10	Apr-13	TBD	TBD	TBD	TBD
	\$18.6	<b>Dec-09</b>	Dec-14	<b>Nov-10</b>	Jun-15	Jun-15	Aug-15	Oct-15	Feb-17
Fullerton Transportation Center - Elevator Upgrades	\$3.5	N/A	N/A	Jan-12	Dec-13	Dec-13	Jun-14	Sep-14	Jan-16
	\$3.5	N/A	N/A	<b>Jan-12</b>	<b>Dec-13</b>	<b>Dec-13</b>	Jul-14	Sep-14	Jan-16
Laguna Niguel/Mission Viejo Station Parking Lot	\$4.3	Sep-07	Dec-07	Apr-12	Aug-12	Aug-12	Oct-12	Jan-13	Oct-13
	\$4.1	<b>Jul-07</b>	<b>Dec-07</b>	<b>Apr-12</b>	<b>Aug-12</b>	<b>Aug-12</b>	<b>Nov-12</b>	<b>Jan-13</b>	<b>Oct-13</b>
Laguna Niguel/Mission Viejo Station ADA Ramps	\$3.1	Jul-13	Jan-14	Jul-13	Aug-14	Aug-14	Sep-14	Jan-15	Feb-16
	\$3.1	<b>Jul-13</b>	<b>Feb-14</b>	<b>Jul-13</b>	Jan-15	Jan-15	Feb-15	Jun-15	Jul-16
 Anaheim Regional Transportation Intermodal Center Project R & T	\$227.4	Apr-09	Feb-11	Jun-09	Feb-12	Feb-12	May-12	Jul-12	Nov-14
	\$227.4	<b>Apr-09</b>	<b>Feb-12</b>	<b>Jun-09</b>	<b>May-12</b>	<b>May-12</b>	<b>May-12</b>	<b>Sep-12</b>	Nov-14

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

Grey = Milestone achieved

Green = Forecast milestone meets or exceeds plan

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

Red = Forecast milestone is over three months later than plan

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

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

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

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

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

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

**Award Contract:** The date the construction contract is awarded.

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

### Acronyms

I-5 - Santa Ana Freeway (Interstate 5)

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

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

SR-57 - Orange Freeway (State Route 57)

SR-91 - Riverside Freeway (State Route 91)

SR-133 - Laguna Freeway (State Route 133)

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

I-405 - San Diego Freeway (Interstate 405)

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

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

# Capital Programs Division

## Fiscal Year 2013-14 Performance Metrics Status Through June 2014

**Begin Environmental**

Project Description	FY 14 Qtr 1		FY 14 Qtr 2		FY 14 Qtr 3		FY 14 Qtr 4		FY 14 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
Laguna Niguel/Mission Viejo Station ADA Ramps	X	✓							(added)
I-5, I-405 to SR-55			X				✓		
SR-91, SR-57 to SR-55					X				(missed)
Total Forecast/Actual	1	1	1	0	1	0	0	1	3

**Complete Environmental**

Project Description	FY 14 Qtr 1		FY 14 Qtr 2		FY 14 Qtr 3		FY 14 Qtr 4		FY 14 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
I-405, Continuous HOV Lane Access			X		✓				
Laguna Niguel/Mission Viejo Station ADA Ramps					X	✓			(added)
I-5, SR-55 to SR-57					X				(missed)
San Juan Capistrano Passing Siding					X	✓			
Santa Ana/Garden Grove Fixed-Guideway					X				(missed)
Orange Metrolink Station Parking Expansion					X				(missed)
I-5, SR-73 to El Toro Road							X	✓	
I-5, Continuous HOV Lane Access							X		(missed)
Total Forecast/Actual	0	0	1	0	5	3	2	1	8

**Begin Design**

Project Description	FY 14 Qtr 1		FY 14 Qtr 2		FY 14 Qtr 3		FY 14 Qtr 4		FY 14 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
Laguna Niguel/Mission Viejo Station ADA Ramps	X	✓							(added)
I-5, SR-73 to El Toro Road							X		(missed)
I-5, SR-55 to SR-57							X		(missed)
Total Forecast/Actual	1	1	0	0	0	0	2	0	3

**Complete Design**

Project Description	FY 14 Qtr 1		FY 14 Qtr 2		FY 14 Qtr 3		FY 14 Qtr 4		FY 14 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
I-5, Avenida Pico to Vista Hermosa	X		✓						
SR-57 (Northbound), Orangethorpe to Yorba Linda Landscape							X		(missed)
Orange Metrolink Station Parking Expansion							X		(missed)
Total Forecast/Actual	1	0	0	1	0	0	2	0	3

**Construction Ready**

Project Description	FY 14 Qtr 1		FY 14 Qtr 2		FY 14 Qtr 3		FY 14 Qtr 4		FY 14 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
Raymond Avenue Railroad Grade Separation	X	✓							
I-5, Vista Hermosa to Pacific Coast Highway		✓	X						
I-5, Avenida Pico to Vista Hermosa					X		✓		
Orange Metrolink Station Parking Expansion							X		(missed)
Total Forecast/Actual	1	2	1	0	1	0	1	1	4

**Advertise Construction**

Project Description	FY 14 Qtr 1		FY 14 Qtr 2		FY 14 Qtr 3		FY 14 Qtr 4		FY 14 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
Raymond Avenue Railroad Grade Separation	X		✓						
State College Boulevard Railroad Grade Separation (Fullerton)	X	✓							
I-5, Pacific Coast Highway to San Juan Creek Road	X	✓							
SR-91, SR-55 to SR-241 Landscape	X	✓							
Lakeview Avenue Railroad Grade Separation		✓	X						
I-5, Vista Hermosa to Pacific Coast Highway					X	✓			
Orange Metrolink Station Parking Expansion							X		(missed)
Total Forecast/Actual	4	4	1	1	1	1	1	0	7

# Capital Programs Division

## Fiscal Year 2013-14 Performance Metrics Status Through June 2014

### Award Contract

Project Description	FY 14 Qtr 1		FY 14 Qtr 2		FY 14 Qtr 3		FY 14 Qtr 4		FY 14 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
I-5, Pacific Coast Highway to San Juan Creek Road			X	✓					
SR-91 (Westbound), Tustin Interchange to SR-55			X	✓					
SR-91, SR-55 to SR-241 Landscape			X	✓					
Raymond Ave. Grade Separation			X			✓			
State College Boulevard Railroad Grade Separation (Fullerton)			X			✓			
Lakeview Avenue Railroad Grade Separation				✓	X				
I-5, Vista Hermosa to Pacific Coast Highway							X	✓	
Total Forecast/Actual	0	0	5	4	1	2	1	1	7

### Complete Construction

Project Description	FY 14 Qtr 1		FY 14 Qtr 2		FY 14 Qtr 3		FY 14 Qtr 4		FY 14 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
Laguna Niguel/Mission Viejo Metrolink Station Parking Lot			X	✓					
SR-57 (Northbound), Yorba Linda to Lambert Road			X					✓	
SR-57 (Northbound), Orangethorpe Avenue to Yorba Linda					X				(missed)
San Clemente Beach Trail Safety Enhancements					X	✓			
Total Forecast/Actual	0	0	2	1	2	1	0	1	4

<b>Totals</b>	8	8	11	7	11	7	9	5	39
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**Begin Environmental:** The date work on the environmental clearance, project report, or preliminary engineering phase begins.

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

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

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

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

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

**Award Contract:** The date the construction contract is awarded.

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

#### Acronyms

I-5 - Santa Ana Freeway (Interstate 5)  
 SR-73 - San Joaquin Freeway (State Route 73)  
 SR-55 - Costa Mesa Freeway (State Route 55)  
 SR-57 - Orange Freeway (State Route 57)  
 SR-91 - Riverside Freeway (State Route 91)  
 I-405 - San Diego Freeway (Interstate 405)  
 SR-241 - Foothill/Eastern Transportation Corridor (State Route 241)  
 ADA - Americans with Disability Act  
 HOV - high-occupancy vehicle

X = milestone forecast in quarter

✓ = milestone accomplished in quarter

# Capital Programs Division

## Fiscal Year 2014-15 Performance Metrics

### Begin Environmental

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

### Complete Environmental

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

### Begin Design

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

### Complete Design

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

### Construction Ready

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

### Advertise Construction

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

# Capital Programs Division

## Fiscal Year 2014-15 Performance Metrics

### Award Contract

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

### Complete Construction

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

Totals	8	0	10	0	12	0	10	0	40
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**Begin Environmental:** The date work on the environmental clearance, project report, or preliminary engineering phase begins.

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

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

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 I-605 - San Gabriel River Freeway (Interstate 605)  
 I-405 - San Diego Freeway (Interstate 405)  
 SR-241 - Foothill/Eastern Transportation Corridor (State Route 241)  
 ADA - Americans with Disability Act  
 HOV - high-occupancy vehicle

X = milestone forecast in quarter


✔ = milestone accomplished in quarter



COMMITTEE TRANSMITTAL

**August 11, 2014**

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

**From:**   
Wendy Knowles, Clerk of the Board

**Subject:** Measure M2 Comprehensive Transportation Funding Programs  
– 2015 Calls for Projects

Regional Planning and Highways Committee Meeting of August 4, 2014

**Present:** Directors Bates, Donchak, Harper, Miller, Murray, and Spitzer  
**Absent:** Directors Lalloway and Nelson

**Committee Vote**

This item was passed by the Members present.

**Committee Recommendations**

- A. Approve the proposed revisions to the Comprehensive Transportation Funding Programs guidelines.
- B. Authorize staff to issue the 2015 annual call for projects for the Regional Capacity Program for approximately \$35 million.
- C. Authorize staff to issue the 2015 annual call for projects for the Regional Traffic Signal Synchronization Program for approximately \$15 million.







**August 4, 2014**

**To:** Regional Planning and Highways Committee

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

**Subject:** Measure M2 Comprehensive Transportation Funding Programs - 2015 Annual Calls for Projects

### **Overview**

Measure M2 includes competitive capital grant programs for transportation projects, including the countywide Regional Capacity Program (Project O) and the Regional Traffic Signal Synchronization Program (Project P), which focus on improvements to the Master Plan of Arterial Highways. The Comprehensive Transportation Funding Programs Guidelines provide the mechanism for the administration of the annual calls for projects for these various competitive programs. Modifications to the guidelines, funding estimates, and the schedule for the 2015 Regional Capacity Program and Regional Traffic Signal Synchronization Program call for projects are presented for review and approval.

### **Recommendations**

- A. Approve the proposed revisions to the Comprehensive Transportation Funding Programs guidelines.
- B. Authorize staff to issue the 2015 annual call for projects for the Regional Capacity Program for approximately \$35 million.
- C. Authorize staff to issue the 2015 annual call for projects for the Regional Traffic Signal Synchronization Program for approximately \$15 million.

### **Background**

Measure M2 (M2) includes a number of competitive grant programs that provide funding for regional streets and roads projects. The Regional Capacity Program (RCP), in combination with matching funds, provides funding

for improvements to the Orange County Master Plan of Arterial Highways. The program provides for intersection improvements and other projects to help improve street operations and reduce congestion. The Regional Traffic Signal Synchronization Program (RTSSP) provides funding for multi-agency, corridor-based signal synchronization throughout Orange County. These programs allocate funds through a competitive process and target projects that improve traffic flow by considering factors such as degree of congestion relief, cost effectiveness, and project readiness, among other factors.

On March 22, 2010, the Orange County Transportation Authority (OCTA) Board of Directors (Board) approved guidelines for the Comprehensive Transportation Funding Programs (CTFP) which serve as the mechanism for administration of the RCP and RTSSP. The CTFP Guidelines provide the procedures necessary for Orange County agencies to apply for funding and seek reimbursement for projects that have been allocated funds. Four annual calls for projects (call) have been issued to date for both the RCP and RTSSP, and collectively, OCTA has provided \$202 million for approximately 145 projects. In preparation for the 2015 annual call, updates to the guidelines have been prepared.

### ***Discussion***

In anticipation of the RCP and RTSSP 2015 annual call, staff has worked with the Technical Advisory Committee (TAC) to determine areas of the call process and program guidelines that needed to be adjusted. An effort was made to review the guidelines entirely to ensure consistency throughout the document. Primarily, the adjustments were administrative in nature, with a few minor policy adjustments. The call schedule and funding amounts were also updated to reflect the amounts available for programming (\$35 million for the RCP, \$15 million for the RTSSP).

Summaries of both the administrative and policy adjustments are provided in Attachment A, and a copy of the CTFP Guidelines manual with the proposed revisions is included in Attachment B. In addition, formatting and clerical adjustments have been made throughout the guidelines. The proposed modifications were approved by the TAC on June 25, 2014, with unanimous support.

### **Next Steps**

With Board approval, staff anticipates sending out letters notifying local agencies of the call by August 11, 2014. Project applications would be due to OCTA by October 24, 2014. Based on the selection criteria, projects will be prioritized for TAC and Board consideration in the spring of 2015.

Awards would be effective with Board approval and become available starting on July 1, 2015. Some projects may be programmed in subsequent fiscal years (FY) (FY 2016-17 and FY 2017-18), based on schedules provided by local agencies.

***Summary***

M2 provides funds for intersection and arterial improvements (through Project O) and signal synchronization (through Project P) in an effort to enhance street operations and reduce congestion. The CTFP serves as the mechanism OCTA uses to administer the competitive RCP and RTSSP funds. Staff is seeking approval of proposed modifications to the guidelines and authorization to release the 2015 annual call.

***Attachments***

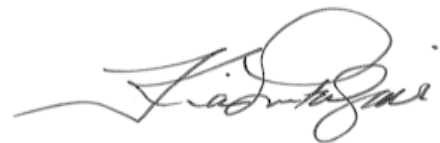
- A. Comprehensive Transportation Funding Programs August 2014 Guidelines – Proposed Adjustment Summary
- B. Comprehensive Transportation Funding Programs August 2014 Guidelines

**Prepared by:**



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

**Approved by:**



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



**Comprehensive Transportation Funding Programs  
August 2014 Guidelines – Proposed Adjustment Summary**

**Administrative Adjustments**

- Ensured consistent use of terms and phraseology throughout.
- Additional definitions were added to ensure terms frequently used throughout the guidelines are clearly understood.
- An additional precept was added to clarify the threshold for pre-award authority for the transit competitive programs.
- Clarified the precept pertaining to the 15 percent construction management cap. The 15 percent cap is only applicable to eligible expenses within the original scope of work.
- Chapter 3 (Arterial Highway Rehabilitation Project) was removed and replaced with the Project W guidelines that were approved by the Board of Directors on March 10, 2014. Separate guidelines are currently being developed to address pavement preservation needs within Orange County.
- Chapter 10 was updated to remove sample forms. Instead, the web link where the forms can be downloaded is provided.

**Policy Adjustments**

- The timely use of funds precept was updated to allow for the request of a 24 month extension, which is in line with the Local Fair Share Program.
- Additional language was added that local agencies must certify that the Measure M2 (M2) signage requirements have been met when submitting an initial payment.
- An additional precept was added to clarify that the ten percent cap on construction change orders applies to the original scope as submitted in the application.
- The semi-annual review process has been expanded to include discussions on any issues/potential issues related to fund sources that are being used as a match against M2 competitive dollars.
- Chapter 6 (Project V) was updated to indicate that complementary paratransit service would be paid for by the program.
- To provide greater clarification, the eligible and ineligible costs sections as well as the utility relocation section of Chapter 7 have been expanded.
- For the Arterial Capacity Enhancement and Intersection Capacity Enhancement categories, the aesthetic improvements cap has been reduced from 25 percent to ten percent. This brings these programs in line with the cap already in place for the freeway arterial/street transition category.
- The Intersection Capacity Enhancements section was updated to clarify the process to be taken when an intersection improvement application proposes a scope beyond the 600 foot limit.
- Chapter 10 has been updated throughout, including updates on the process for submitting cost allocation plans, as well as offering pre-invoice meetings to discuss items ineligible for reimbursement.





A HALF-CENT GOES A LONG WAY

# COMPREHENSIVE TRANSPORTATION FUNDING PROGRAMS AUGUST 2014 GUIDELINES

ORANGE COUNTY TRANSPORTATION AUTHORITY

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## I. Overview

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

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

## Background

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

~~Orange County Transportation Authority (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 ~~Renewed Measure 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,

## Comprehensive Transportation Funding Programs

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funding source and set of selection criteria detailed in separate chapters contained within these guidelines. OCTA may add, modify, or delete non-~~Measure-~~M2 programs over time to reflect legislative action and funding availability.



## II. Funding Sources

### Renewed Measure M

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

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

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

- Fifty percent ~~(50% percent)~~ based upon population
- Twenty-five percent ~~(25% percent)~~ based upon centerline miles on the existing Master Plan of Arterial Highways (MPAH)
- Twenty-five percent ~~(25% percent)~~ based upon jurisdictionslocal agency's share of countywide taxable sales

Projects that are wholly funded by M2 Fair Share revenues and/or local sources are not subject to a competitive process. However, program expenditures must maintain certain ~~eligibility~~ criteria as outlined in the Ordinance and M2 Eligibility Guidance ManualM2 Eligibility Guidelines. ~~Jurisdictions~~Local agencies must conform to annual eligibility requirements in order to receive fair share funding and participate in the CTFP funding process. Key requirements include:

- Timely use of funds (expend within three years of receipt)
- Meet maintenance of effort requirements
- Use of funding on transportation activities consistent with Article XIX of State Constitution (Article XIX)
- Include project in seven-year capital improvement plan (CIP)

# Comprehensive Transportation Funding Programs

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- Consistency with MPAH, Pavement Management Program, and Signal Synchronization Master Plan

As indicated above, M2 Fair Share revenues are subject to timely use of funds provisions (must be expended within three years of receipt). If an agency is unable to meet this provision, an extension of up to 24 months can be granted. Requests for extension on the timely use of M2 Fair Share revenues will be made as part of the ~~Semi-Annual Review~~ semi-annual review process. In addition to a written request, the agency will also submit an expenditure plan of how the funds will be expended.

## State/Federal Programs

OCTA participates in state and federal transportation funding programs based on competitive and formula distributions. OCTA typically earmarks this funding for major regional transportation projects. From time to time, OCTA may set aside funding, where permitted, for use by local ~~jurisdictions~~ agencies through a competitive selection process. ~~Arterial Highway Rehabilitation Program (AHRP), Transportation Corridor Improvement Funds (TCIF) and Regional Surface Transportation Program (RSTP) are examples of this funding distribution approach.~~

## 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 ~~earmark~~ 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. "Competitive funds" refers to funding allocation grants received through the Comprehensive Transportation Funding Programs (CTFP).
- ~~2. Renewed Measure M and M2 shall be used interchangeably to refer to the November 2006 voter extension of Measure M.~~
- ~~3.2.~~ The term "complete project" is inclusive of acquiring environmental documents, preliminary engineering, right-of-way acquisition, construction, and construction engineering.
3. The term "funding allocation grant," "allocation grant," "project funding," "competitive funds," "project programming" shall refer to the total amount of funds approved by the Board through the CTFP competitive process.
4. The term "project phase", or "phase" or any form thereof shall refer to the three distinct project phases (Engineering, right-of-way, and construction) OCTA funds in through the CTFP. Additionally, the "engineering phase" shall include the preparation of environmental documents, preliminary engineering, and right-of-way engineering. The "right-of-way phase" shall include right-of-way acquisition, and the "construction phase" shall include construction and construction engineering.
5. The term "project phase completion" refers to the date all final 3rd party contractor invoices have been paid and any pending litigation has been adjudicated for either the engineering phase or for the right-of-way phase, and all liens/claims have been settled for the construction phase. The date of project phase completion will begin the 180 day requirement for the submission of a project final report as required by the ~~Measure~~ M2 Ordinance, Attachment B, Section III.A.9.
6. The term "Master Funding Agreements" or any form thereof shall refer to cooperative funding agreements described in Precept 4.
7. The term "agency," "agencies," "local agency" or any form thereof shall be refer ~~to jurisdictions described in precept two~~ Precept 2.
8. The term "implementing agency" is the lead agency responsible for managing the scope, cost and schedule of any the proposed project as defined in the grant application.

## Comprehensive Transportation Funding Programs



- ~~8.9.~~ The term “lead agency” shall refer to the agency responsible for the submission of the grant application.
- ~~9.10.~~ The term “Work Force Labor Rates (WFLR)” include direct salaries plus direct fringe benefits.
- ~~10.11.~~ The term “Fully Burdened Labor Rates” include WFLR plus ~~up to 30 percent~~ overhead ~~(see Chapter 10) allocation in accordance with the Cost Accounting Policies and Procedures Manual of the California Uniform Public Construction Cost Accounting Commission.~~
- ~~11.12.~~ The term ~~Match Rate~~ “match rate”, “local match”, “local matching funds”, or any variation thereof, refers to the match funding that an ~~an~~ lead agency is pledging through the competitive process and disposed of through procedures in Chapter 10.
- ~~12.13. Escalation-~~ 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-right-of-way and construction phases (see Precept 13). ~~OGTA will base escalation rates on the Engineering News Record (ENR) Construction Cost Index (CCI) 20-city average.~~
- ~~13.14.~~ The term ~~“Excess Right of Way (ROW) right-of-way”~~ is ROW-right-of-way acquired for projects and deemed excess to the proposed transportation use. Excess ROW-right-of-way designation shall be acknowledged by applicant during the grant application process.
- ~~14.15.~~ 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.
- ~~15.16.~~ The term “reasonable” in reference to project 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.

## Comprehensive Transportation Funding Programs

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- ~~16.~~17. 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.
18. The term “encumbrance” or any variation thereof shall mean the execution of a contract or other action (e.g. city council award of a primary contract or issuance of a purchase order and notice to proceed) to be funded by Net Revenues.
19. The term “obligate” or any variation thereof shall refer to the process of encumbering funds.
20. A “micro-purchase” is any purchase that does not exceed \$2,500. For the purposes of proof of payment, only an invoice is required.
21. “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/>
22. The term “savings” or “project savings” in reference to projects awarded through the CTFP are any grant funds remaining on a particular project phase after all eligible items within the approved project scope have been reimbursed.
23. 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.
- ~~17.~~24. The term “environmental mitigation” is referred to as environmental clean-up/preservation measures made as part of the roadway construction project that are required as part of that projects environmental clearance.



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## IV. Precepts

1. The ~~Orange County Transportation Authority (OCTA)~~ Board of Directors (Board) approved these guidelines on March 22, 2010. The guidelines subsequently have been amended and approved by the Board as needed. The purpose is to provide procedures that assist in the administration of the CTFP under M2 where other superseding documents lack specificity. OCTA, or an agent acting on the authority's behalf, shall enforce these guidelines.
2. All eligible Orange County cities and the County of Orange may participate in the M2 competitive programs and federal funding programs included in the CTFP. Other agencies (e.g. Department of Transportation or local jurisdiction) may participate on a project, however, one local agency shall be designated as the implementing agency, shall be responsible for all funding requirements associated with the project, and shall be the recipient of funds through the program.
3. To participate in the CTFP, OCTA must declare that an agency is eligible to receive M2 Net Revenues which include local fair share distributions. Failure to meet minimum eligibility requirements after programming of funds will result in deferral or cancellation of funding.
4. The lead agency must execute a Master Funding Agreement with the OCTA. OCTA and lead agencies will periodically amend the agreement via letter to reflect funding changes through competitive calls for projects.
5. A separate cooperative funding agreement will be issued for any OCTA-led Regional Traffic Signal Synchronization Program projects and for transit programs (e.g. Projects S, V and W) that have significantly different requirements.
6. An agency must have a fully executed letter agreement prior to the obligation of funds. Local agencies may be granted pre-award authority for M2 funded projects once the letter agreement is executed. Local agencies, at their own risk, may use this pre-award authority to advance an M2 funded project prior to the programmed year. Reimbursement will be available in the Board approved programmed year ~~according to approved guidelines contained in (see Chapter 10) of this guidelines manual.~~
- ~~6.7.~~ For programs not covered by the letter agreement process (e.g. Projects S, V and W) but rather by a separate cooperative funding agreement, pre-award authority is granted upon the Board approval of the funding grant.

## Comprehensive Transportation Funding Programs

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- ~~7.8.~~ Local agencies shall scope projects, prepare estimates, and conduct design in cooperation with and in accordance with the standards and procedures required by the jurisdictions/local agencies involved with the project (e.g., Caltrans, County, state/federal resource agencies).
- ~~8.9.~~ Local Agencies should select consultants based upon established contract management and applicable public contracting practices, with qualification based selection for architectural/engineering (A/E) services, ~~as well as~~ competitive bidding environments for construction contracts in accordance with the Public Contracts Code. Agencies must meet procurement and contracting requirements of ~~Non-Measure-non-M2~~ funding sources which may exceed those identified in the CTFP.
- ~~9.10.~~ Based upon funding availability, a “Call for Projects” shall be considered annually but may be issued less frequently.
- ~~10.11.~~ In each call cycle, OCTA shall program projects for a three year period, based upon an estimate of available funds.
- ~~11.12.~~ OCTA will base funding allocation/grants on project cost estimates including up to 10 percent contingency for construction. During the programming process, OCTA adds an inflationary adjustment.
- ~~12.13.~~ OCTA shall escalate project allocation/grants for years two and three for ROW right-of-way and construction phases only. OCTA will base escalation rates on the Engineering News Record (ENR) Construction Cost Index (CCI) 20-city average.
- ~~13.14.~~ Match rate commitments identified by implementing agencies in the project grant application shall remain constant throughout the project. This includes projects where the programming has been escalated for future years. OCTA and implementing agencies shall not reduce match rate commitments or split the match rate by phase. Actual project contributions by the local agency or OCTA are dependent on final project costs and may not be equal to the match rate if a local agency overmatch exists. Local agency contributions may exceed the committed local match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures do not contribute to the local match cannot be considered when calculating the local match rate.
15. Where a project experiences savings, the local match percentage must be maintained.
- ~~14.16.~~ OCTA shall program funds by fiscal year for each phase of a project.

## Comprehensive Transportation Funding Programs



- ~~15.17.~~ An ~~allocation grant~~ for a specific project shall ~~lapse-be cancelled~~ if the funds are not ~~obligated-encumbered and a contract is not awarded for that specific project~~ within the fiscal year ~~those-the~~ funds are programmed, unless a time extension has been granted.
- ~~18.~~ Implementing agencies may request a ~~one-time delay of up to delay not exceeding a total of~~ 24 months per project ~~allocation grant~~. Agencies shall justify this request, receive City Council/Board of Supervisor concurrence, and seek approval of OCTA staff, ~~the (TSC), and the~~ Technical Advisory Committee (TAC), and the Board as part of the semi-annual review process. Extension requests must be received no less than ninety days prior to the encumbrance deadline and are not permitted for projects that seek “fast track” ~~allocation grants~~.
- ~~16.19.~~ An administrative time extension may be granted for expiring M2 funds for a project that is clearly engaged in the procurement process (advertised but not yet awarded).
- ~~17.20.~~ Funds that have been ~~obligated-encumbered~~ shall be used in a timely fashion. ~~In the case of the engineering or construction For project~~ phases, excluding right-of-way, funds will expire after 36 months from ~~date of contract award encumbrance~~. For the ~~right-of-way~~ right-of-way phase, funds will expire after 36 months from the date of the first offer letter. ~~A one-time e~~ Extensions of up to 20 24 months may be granted through the SAR. Extension requests must be received no less than 90 days prior to the encumbrance deadline. For the ROW phase, any delays that require one additional 20 month extension will be considered on a case by case basis. Additional extensions may be considered on a case by case basis for the Regional Capacity Program and the Regional Traffic Signal Synchronization Program.
- ~~18.21.~~ 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 may request OCTA furnished signage or it may choose to provide agency furnished signage so long as said signage conforms to OCTA specifications as follows: Signage shall include an ~~n Measure-M2~~ logo that is a minimum of 12” tall, an OCTA logo that is a minimum of 3” tall (image files provided by OCTA upon request), verbiage stating “Street Improvements Funded by Measure M” in Myriad Pro, bold condensed font at 256 pt. and “Your dollars at Work” in Myriad Pro, bold condensed font at 180 pt. Agencies will be required to certify that these signage requirements have been met as part of the initial payment process (see chapter 10).

## Comprehensive Transportation Funding Programs



~~19.22.~~ OCTA shall reprogram funds derived from savings or project cancellation based upon final project status. ~~An implementing lead~~ agency may request to transfer 100% percent of savings of M2 funds between the phases within a project with approval from the ~~Technical Advisory Committee (TAC)~~ and ~~Board of Directors~~. Funds can only be transferred to a phase that has already been awarded competitive funds. Such requests must be made ~~within 180 days of project phase completion and~~ prior to the acceptance of a final report, ~~and. The requests must be~~ submitted as part of ~~the a~~ semi-annual review ~~process~~. ~~M1-funded savings can only be transferred to another M1-funded allocation within the same project.~~ 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.

~~20.~~ ~~Where a project experiences savings, the local match percentage must be maintained.~~

~~21.23.~~ Where the ~~functional classification~~actual conditions of a roadway differs from the MPAH classification (e.g. number of through lanes), OCTA shall use the ~~functional classification~~actual conditions for the purposes of competitive scoring. An agency may appeal to the TAC to request that the ~~functional~~-MPAH classification ~~used~~ be adjusted/reconsidered.

~~22.24.~~ For the purpose of calculated level of service (LOS), the capacity used in the volume over capacity calculation shall be 100 percent capacity, or LOS level "E". Intersection Capacity Utilization (ICU) calculations shall use 1,700 vehicles per hour per lane with a .05 clearance interval.

~~23.25.~~ 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.

~~24.26.~~ 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 ~~the Appeals section discussed later in this chapter~~Precept 39.

~~25.27.~~ OCTA may fund environmental mitigation as required for the proposed ~~roadway improvement~~project and as contained in the environmental document.



## Comprehensive Transportation Funding Programs



Participating Environmental mitigation expenditures are eligible for funding under certain programs, but not all. shall not exceed 50 percent of the total eligible construction costs.

28. Construction Engineering, Construction Management and/or Project Management shall not exceed 15 percent of the total eligible project cost. The cap is applied to the sum of eligible expenses, contract change orders (within the scope of work), equipment and materials (e.g. eligible traffic signal equipment).

26-29. Contract change orders are only eligible for reimbursement of work due to unforeseen changed conditions, or the addition of items removed as part of value engineering efforts, provided it is within the original scope of work and does not exceed the 10 percent contingency provided in the application cost estimate.

27-30. 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.

28-31. 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 ~~OCTA Board of Directors~~ must approve consolidation requests. OCTA shall use the average match rate of the consolidated project’s individual segments.

29-32. OCTA shall conduct a semi-annual review of all active CTFP projects. All agencies shall participate in these sessions through a process established by OCTA. Currently, OCTA administers program—the semi-annual review through OCFundtracker. OCTA shall: 1) verify project schedule, 2) confirm project’s continued viability, 3) discuss project changes to ensure successful and timely implementation, and 4) request sufficient information from agencies to administer the CTFP. 5) any potential issues with fund sources committed as match against the competitive funds.

30-33. For any project experiencing cost increases exceeding 10%—percent of the originally contracted amount, a revised cost estimate must be submitted to OCTA as part of the semi-annual review process. This is applicable even if the increase is within the overall grant ~~allocation~~ amount.

31-34. Agencies shall submit payment requests to OCTA in a timely fashion. Agencies may request an initial payment for M2 (generally up to 75 percent of programmed

## Comprehensive Transportation Funding Programs



amount or eligible expenditures, as described in Chapter 10) once ~~a contract has been awarded or once an agency initiates right-of-way activities~~ the funds have been encumbered. The final 25 percent of the available programmed balance will be released upon the submission of an approved final report.

~~35.~~ The amount withheld pending the submittal of an approved final report ~~retention~~ shall be capped at \$500,000 per project phase, but shall in no case be less than 10 percent of the allocation grant or the contract amount, whichever is less. Should the 75 percent/25 percent payment distribution ratio result in a final payment retention that exceeds \$500,000, the payment percentages will be adjusted to meet the \$500,000 cap until the 10 percent threshold is reached. At no time will the final payment retention be less than 10 percent.

~~32-36.~~ When a project phase is complete, an agency shall notify OCTA in writing within 30 days of completion. The date of project phase completion will begin the 180 day requirement for the submission of a project final report as required by the Measure-M2 Ordinance, Attachment B, Section III.A.9.

~~33-37.~~ An agency shall provide final accounting in an approved final report format (see Chapter 10 ~~of the guidelines~~) within 180 days of project phase completion. ~~Delinquent—The process for untimely~~ final reports ~~will be handled per the guidelines is described~~ in Chapter 10. Failure to provide a final accounting shall result in repayment of applicable M2 funds received for the project phase in a manner consistent with the Master Funding Agreement. Projects funded with M2 funding require a project final report within ~~six months~~ 180 days of project phase completion as part of eligibility compliance. Failure to meet eligibility requirements, including submittal of final reports within ~~six months (180 days)~~ 180 days of project phase completion may result in suspension of all net revenues including fair share funds.

~~When a project phase is complete, an agency shall notify OCTA in writing within 30 days of completion. The date of project phase completion will begin the 180 day requirement for the submission of a project final report as required by the Measure M2 Ordinance, Attachment B, Section III.A.9.~~

~~34-38.~~ The payment distribution ratio referenced in Precept ~~no. 3135~~ may be modified to a reimbursement process, at the discretion of the ~~OCTA Board of Directors~~, in the event that financing or bonding is required to meet OCTA's cash flow needs.

~~35.~~ ~~The OCTA Board of Directors may grant time extensions for special circumstances that are beyond the control of the implementing agency. An agency shall make a~~

## Comprehensive Transportation Funding Programs

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~~formal request for a time extension to OCTA as early as possible, preferably during a semi-annual review, but no later than June 30 of the fiscal year in which OCTA programs the allocation.~~

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 ~~OCTA Board of Directors~~ shall have final approval on appeals.



### V. ~~2014-2015~~ Call for Projects – Regional Capacity Program

The ~~2014-2015~~ Call for Projects (call) ~~will be the third annual call~~ for Project O – the Regional Capacity Program (RCP) – under M2. ~~Through Measure M2 funds, this call~~ will provide approximately **\$35 million** for streets and roads improvements across Orange County.

Funding will be provided for the three RCP funding programs: ~~(ACE, ICE, and FAST) as detailed in (see Chapter 7) of these guidelines~~. Chapter 7 details the specific program's intent, eligible project expenditures, ineligible project expenditures, and additional information that may be needed when applying for funds. Each section should be read thoroughly before applying for funding. Application should be prepared for the program that best fits the proposed project.

For this call, OCTA shall program projects for a three year period (FY 15/16 – 17/18), 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 local lead agency ~~responsible for the project implementation~~. OCTA shall require agencies to submit both online and hardcopy applications for the ~~2014-2015~~ call for projects by **5:00 p.m. on Friday, October 24~~5~~, 20132014**. Late submittals will not be accepted.

The agency must submit the application and any supporting documentation via OCFundtracker ~~as outlined in (see Chapter 9) (page 9-1)~~. Additionally, **three (3) unbound hardcopies** of the application and any supporting documentation must be submitted to OCTA by the application deadline. Hardcopy applications can be mailed to:

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

Hardcopy applications can be hand delivered to:

# Comprehensive Transportation Funding Programs

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600 S. Main Street  
Orange, CA 92868

~~Detailed evaluation criteria for the ACE, ICE, and FAST programs can be found in Chapter 7 of these guidelines.~~

## Application Review Process

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

Local agencies awarded funding will be notified ~~what 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 ~~2013~~2014  
Applications due to OCTA: October ~~2524~~, ~~2013~~2014  
TSC/TAC Review: February/March ~~2014~~2015  
Committee/Board approval: May ~~2014~~2015

## M2 Project O Funding

M2 Project O funding will be used for this call.

### ~~State-Local Partnership Program Requirements (For Projects Granted Funds Under Prior Calls)~~

~~For the 2011 and 2012 calls, SLPP funds supplemented the available M2 revenues. Any construction phase award through these calls for \$2 million or more included SLPP funds. Projects utilizing SLPP funds are subject to the specific SLPP requirements and guidelines, which differ from the requirements for M2 funding as detailed in these guidelines. These are enumerated below.~~

- ~~1. Additional Application Requirements: All project submittals that are requesting \$2 million or more for the construction phase of the project must complete all required Project Programming Request forms and other related documents.~~



- ~~2. *California Transportation Commission (CTC) required documentation:* For project(s) granted SLPP funds, the project is subject to additional allocation procedures. Request for CTC allocation requests must include the following documentation:~~
- ~~a. Submittal of the California Environmental Quality Act (CEQA) environmental document to the CTC for consideration of funding.~~
  - ~~b. Certification of 100 percent design completion.~~
  - ~~c. Right-of-Way Certification concurrence by the California Department of Transportation (Caltrans), in accordance with the California Department of Transportation (Caltrans) Local Procedures Manual (LAPM) Chapter 13.~~
- ~~3. *Procurement Requirements:* For procurement requirements information, see Chapter 15 and 16 of the Caltrans Local Assistance Procedures Manual (LAPM). The local agency is responsible to comply with all local, state, and if applicable, federal requirements for procurement.~~
- ~~4. *Timely Use of Funds Requirements:* **Construction contracts cannot be awarded prior to CTC allocation or Letter of No Prejudice (LONP) approval.** Once a project is allocated by the CTC, it will have six months from the date of allocation to award a contract. If a LONP is approved the implementing agency must begin reporting on contract award within 4 months of the CTC approval.~~
- ~~5. *Required Contracts:*~~
- ~~a) Master agreement between agency and OCTA which incorporates SLPP requirements.~~
  - ~~b) Caltrans Master agreement and Caltrans program supplement between OCTA and Caltrans.~~
  - ~~c) Construction Contracts (unless work is being carried out by the City directly).~~
- ~~OCTA and the local agencies will work together to ensure the appropriate contracts are in place and are in compliance with timely use of funds requirements.~~
- ~~6. *Invoicing Requirements:* Invoicing Caltrans for the SLPP projects will be carried out by OCTA. The requirements for the SLPP projects are the same as the STIP and state reimbursement project requirements. The general requirements are listed below:~~
- ~~a) Exhibit 5-F on Agency letterhead. Located on page 5-41 of the LAPM~~



~~b) Caltrans Program Supplement.~~

~~c) SLPP Project Baseline Agreement, which may require local agency authorization in addition to OCTA's authorization~~

~~d) CTC allocation and confirmation of allocation on the CTC vote list.~~

~~e) Master agreement between the agency and OCTA incorporating state requirements and the Caltrans Program Supplement requirements.~~

~~f) Verification that the project has been included in the Federal Transportation Improvement Program (FTIP).~~

~~g) Documentation of expenditure including copies of invoices and local agency cancelled checks.~~

~~OCTA will require this back up documentation from the local agency in order to submit invoices to Caltrans. For more information on invoicing requirements, see Caltrans Local Assistance Programming Manual Chapter 5.~~

~~7. Quarterly Reports: Implementing agencies with SLPP funded projects must submit quarterly reports to Caltrans. Under these guidelines, projects are required to include:~~

~~a) Description of scope of work.~~

~~b) Updates on estimated project costs.~~

~~c) Updates on schedule.~~

~~d) Any variances in scope, schedule or cost from the Caltrans Baseline Agreement and any required corrective corrections that have been taken or will be taken.~~

~~The CTC and Caltrans will review the progress reports to ensure that projects are executed in a timely fashion and remain within the original scope and budget of the project. If project scope, costs, and schedule changes, the implementing agency must provide a plan for minimizing the change. If cost requirements increase the implementing agency must down scope the project to remain within budget, or identify additional funding sources. The local agency will be required to submit reports to Caltrans with copies to OCTA.~~

~~8. Caltrans Final Delivery Report: In addition to semiannual reports, a final report must be filed within six months of the project becoming operable. This should include:~~



- ~~a) Scope of completed project.~~
- ~~b) Final costs as compared to approved project budget.~~
- ~~c) Duration of completion compared to approved schedule.~~
- ~~d) Performance outcomes derived from project compared to outcomes in project agreement.~~

~~The local agencies will be required to submit the Caltrans final report with copies to OCTA.~~

~~9. *Project Inclusion in FTIP:* OCTA will work with the local agency to list each project individually in the FTIP or to develop a group listing for CTFP/SLPP funded projects.~~

~~10. *Auditing Requirements:* SLPP projects will require two audit reports conducted by Caltrans:~~

- ~~a) Semi-final audit report within 6 months of the final delivery report.~~
- ~~b) Final audit report within 12 months after the final delivery report.~~

~~Please see the Caltrans Local Assistance SLPP Accountability Implementation Plan for more information.~~

### ~~State-Local Partnership Program Reporting Assistance~~

~~The additional requirements enumerated above represent an increase to the reporting expected as part of the use of M2 funds. Therefore, for projects allocated SLPP funding, OCTA will provide consultant services to assist in the gathering and preparation of the required documentation. These services will be made available at no cost to the agency.~~





## Chapter 1 – Eligibility

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### Overview

To apply for the ~~Comprehensive Transportation Funding Programs (CTFP)~~, local agencies must fulfill an annual eligibility process. OCTA established this process to ensure that improvements are consistent with regional plans. ~~Under previous County funding programs (e.g., AHFP, BPF) agencies had to meet similar requirements to be eligible for funding.~~ The cities and county approved a process reflecting the eligibility criteria found in Measure M. Eligibility packages are due to OCTA by June 30 of each year.

In order to receive CTFP and M2 Fair Share funds, OCTA must deem agencies as eligible. OCTA shall annually distribute an eligibility information package to local agencies. Below is a brief list of requirements:

- Adoption of a Capital Improvement Program
- Adoption of a General Plan Circulation Element which does not preclude implementation of the ~~Master Plan of Arterial Highways (MPAH)~~
- Adoption of a ~~local~~ Pavement Management ~~Program~~ Plan
- Adoption of a Local Traffic Signal Synchronization Plan
- Satisfied Maintenance of Effort requirements
- Approved ~~Agreement~~ agreement to expend funds within three years of receipt
- Adopt an annual Expenditure ~~report~~ Report
- Submit Project Final Report for all Net Revenue projects

The M2 Eligibility ~~Preparation Manual~~ Guidelines outlines the eligibility requirements in detail. OCTA updates the Eligibility Preparation Manual annually and encourages agencies to use it as a reference when preparing items to meet eligibility requirements (see <http://www.octa.net/pdf/m2Eligibility.pdf>). Agencies will submit a CIP through an electronic database application (see <http://websmartcip.octa.net/>). OCTA develops a manual and workshops to prepare local agency staff for the annual eligibility process. ~~OCTA will make both the manual and workshop information available on its website and forwards the link to all local agencies.~~

### MPAH Consistency Review and Amendment Process

Through a transfer agreement with the County of Orange, OCTA assumed responsibility for administering the MPAH starting in mid-1995. As the administrator, OCTA is responsible for maintaining the integrity of the MPAH through coordination with cities and the County and shall determine an agency's consistency with the MPAH. In order to provide a mechanism to communicate MPAH policies and procedures, OCTA prepared the *Guidance for the Administration of the Orange County Master Plan of Arterial Highways* (see [http://www.octa.net/pdf/mpah\\_guidlines.pdf](http://www.octa.net/pdf/mpah_guidlines.pdf)). The guidance document is to assist



## Chapter 1 – Eligibility

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OCTA, the County, and the cities of Orange County to maintain the MPAH as a vital component of transportation planning in the County. The guidance document outlines, in detail, the MPAH consistency review and amendment process. Agencies can find contact information for OCTA staff assigned to MPAH administration in the manual.

### Additional Information Regarding MPAH

The agency's General Plan Circulation Element must be consistent with the ~~Orange County~~ MPAH. In order for an agency's circulation element to be consistent with the MPAH, it shall have a planned-carrying capacity equivalent to the MPAH for all MPAH links within the agency's jurisdiction. "Planned capacity" shall be measured by the number of through lanes on each arterial highway as shown on the local circulation element. Agencies are not considered "inconsistent" as a result of existing capacity limitations on arterials which are not yet constructed to the circulation element design.

The agency must also submit a resolution attesting that no unilateral reduction in lanes has been made on any MPAH arterials. For a sample resolution, see the ~~Renewed~~ Measure M2 Eligibility Guidelines, ~~Appendix E~~.

### ~~MPAH Consistency Review and Amendment Process~~

~~Through a transfer agreement with the County of Orange, OCTA assumed responsibility for administering the MPAH starting in mid 1995. As the administrator, OCTA is responsible for maintaining the integrity of the MPAH through coordination with cities and the County and shall determine an agency's consistency with the MPAH. In order to provide a mechanism to communicate MPAH policies and procedures, OCTA prepared the *Guidance for the Administration of the Orange County Master Plan of Arterial Highways*. The guidance document is to assist OCTA, the County, and the cities of Orange County to maintain the MPAH as a vital component of transportation planning in the County. The guidance document outlines, in detail, the MPAH consistency review and amendment process. Agencies can find contact information for OCTA staff assigned to MPAH administration in the manual.~~



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## Chapter 2 – Project Programming

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### Program Consolidation

The M2 ~~Regional Capacity Program~~RCP improvement categories (ACE, ICE, and FAST) will combine projects into one application review ~~and allocation~~ process. The programs of the CTFP will act as the project funding source. The consolidation of programs will help eliminate confusion among the various requirements and allow the greatest flexibility for programming projects. Other funding programs ~~such as M2 Transit~~ (Projects S, T, V, ~~W~~, and ~~WX~~) ~~and AHRP~~ have similar eligibility requirements, but OCTA will evaluate and approve these projects through a separate process.

### Sequential Programming Process – RCP

Timely and efficient use of funding is a critical success factor for the CTFP. Historically, agencies were encouraged to develop long term projects spanning three or more years which often led to delays in implementing final project phases. This dynamic led to larger-than-anticipated funding program cash balances and an inability to fund smaller time sensitive projects in the interim.

In response to concerns raised by the ~~OCTA Board of Directors (Board)~~ and the Taxpayers Oversight Committee responsible for M2 oversight, OCTA ~~will use a shorter term~~will use annual calls that serve a smaller programming window (3 years), as well as a ~~and~~ sequential funding approach for M2 projects. OCTA expects this new approach to aid in a more timely use of funding and limit the potential for unanticipated project completion delays inherent with long lead time projects.

Sequential funding is a two step process. Step One, also known as the planning phase, includes funding requests for planning/environmental, engineering and ~~right-of-way~~right-of-way engineering activities. Step Two, also known as the implementation phase, includes ~~right-of-way~~right-of-way engineering/acquisition and construction activities. ~~Right-of-way~~Right-of-way engineering can be requested in either the planning or implementation phases. Projects must complete the planning phase before an agency requests implementation phase funding during a call for projects. Exceptions to this rule include the following:

- An agency may request implementation funding prior to completion of the planning phase if the jurisdiction can demonstrate that the planning phase activities are underway and the agency will complete the activities within six months of the programmed year.

OR



## Chapter 2 – Project Programming

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- An agency may request a Fast Track approach, seeking implementation funding as part of the planning phase. The agency must demonstrate that the policy variance is necessary for timely implementation. The agency will waive the opportunity to request a project delay under this approach.

Each call for projects will cover a three-year period which overlaps subsequent future cycles. Funding targets for each cycle are based upon prior funding commitments, anticipated revenues, reprogramming of unused allocation grants (cancellations and savings), and a set aside for future funding cycles. ~~The first year of each cycle will distribute 100% of expected revenues less prior commitments. The second year of each cycle will allocate 75% percent of projected revenues less prior commitments. The third year of each cycle will allocate 50% percent of projected revenues less prior commitments. The partial allocation of funding for years two and three preserve funding for future projects and act as a hedge against unanticipated revenue shortfalls that could jeopardize project delivery.~~

As part of each call for projects, OCTA will determine an appropriate balance between allocation grants made for the planning and implementation phases.

### Funding Projections – Call for Projects

Revenue estimates for M2 are updated annually. Programming decisions are based upon conservative economic assumptions provided by Southern California academic institutions. In the future, OCTA will add project cancellations and realized savings from completed projects to anticipated revenues for redistribution in the first year of each funding cycle. ~~The M2 program is new and no project cancellation or savings exist for reprogramming.~~

### Project Cost Escalation

OCTA will escalate approved right-of-way and construction projects in years two and three. ~~The minimum m~~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 will base escalation rates for future years on Engineering News Record (ENR) Construction Cost Index 20 City Average (CCI) escalation rates.

### Programming Adjustments



## Chapter 2 – Project Programming

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OCTA bases funding ~~allocation~~grants on cost estimates that agencies provide and that OCTA validates against industry norms during the evaluation process. Agencies must provide estimates in current year dollars.

Projects programmed in Year Two or Year Three of each funding cycle include a CCI-based adjustment factor for the right-of-way and construction phases only. ~~Lead a~~Agencies shall not receive ~~allocation~~grant increases. Cost overruns are the responsibility of local agencies and may count against agencies' match rate commitment for eligible activities. Local aAgencies may request scope adjustments to meet budget shortfalls when the agency can demonstrate substantial consistency and attainment of proposed transportation benefits compared to the original project scope.

When agencies are preparing applications, **all cost estimates must be in current year dollars with Month and Year cited.** OCTA will review each cost estimate thoroughly and will escalate right-of-way and construction costs based on the year OCTA programs the project ~~allocation~~grant. For example, if an agency's cost estimate lists construction costs for a project and OCTA programs the project for year 3 of the funding cycle, then OCTA will escalate the costs by the CCI-based adjustment factor, compounded annually, beginning in year 1 of the funding cycle.

### Project Readiness

~~Assembly Bill (AB) 1012, Chapter 783, Statutes of 1999, established firm "use it or lose it" deadlines for federal funds. Under AB 1012, if an agency does not obligate funds in a timely fashion then the county loses the funds and the state reprograms them. Large or complex projects are particularly vulnerable to AB 1012 implementation rules.~~

In an effort to better utilize project funding and maintain project schedules, programming of funding for CTFP under the tiered approach has been revised. In general, to program ~~allocation~~grants for Step Two (right-of-way or construction phases), a project must either have:

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

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



## Chapter 2 – Project Programming

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requests for right-of-way and construction until a project receives environmental clearance.

### Programming Policies

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

In order to receive right-of-way and construction ~~allocation~~grants, a project must have all environmental clearances in place. OCTA shall not release final payment for the planning stage (includes final design) until confirmation of environmental clearance is provided.

Agencies are responsible for costs that exceed the project ~~allocation~~grant, maintaining the project schedule, and maintaining the project scope.

An agency's ~~allocation~~grant will ~~lapse-be cancelled~~ if the agency does not ~~obligate~~encumber the funds within the programmed fiscal year. An agency may request a delay in accordance with the time extension policy described ~~at the end of this chapter~~in the precepts.

An agency must have a fully executed Letter Agreement prior to the obligation of funds.

As stated above, an agency's ~~allocation~~grant is based on the project's cost as requested and programmed with established escalation rates. If project costs escalate beyond original estimates and the agency is unable to cover additional costs, a request to reduce the project scope or limits will be considered where feasible. All requests for changes in scope and limits must be submitted to OCTA in advance of the change. This request will be evaluated on a case-by-case basis and must be approved by the TAC and ~~the OCTA Board of Directors~~ prior to initiation of the change by the lead agency. The lead agency must submit a letter to OCTA no later than June 30<sup>th</sup> of the year in which funds are programmed stating the reasons for cost increases, a proposal for project scope or limit reduction, and an explanation of why approval of the request is warranted. The review process is similar to the appeals process mentioned above.

### Schedule change requests

Allocation Grants approved as part of the CTFP process are subject to timely delivery requirements. Implementation schedules are determined by the lead agency (applicant). Contract work must be awarded prior to the end of the programmed fiscal year to encumber the funds. If work cannot be initiated within this time frame, a request to defer funding may be submitted to OCTA for consideration. Project status is



## Chapter 2 – Project Programming

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reviewed every six months during the semi-annual review ~~(SAR)~~ process. Expired project funding is subject to withdrawal from project and reprogramming in a subsequent call for projects.

Funding ~~deferrals~~ ~~(delays)~~ must be submitted to OCTA in conjunction with the SAR semi-annual review process. These reviews are typically held in Fall and Spring. Emergency extensions after the Spring SAR semi-annual review may be considered on a case by case basis, but no less than 90 days prior to the encumbrance deadline. The M2 Ordinance ~~No. 3~~ permits a delay for up to 24 months. Implementing agencies may request a one-time delay of up to 24 months per project allocation grant. Agencies shall justify this request, receive City Council/Board of Supervisor concurrence, and seek approval of OCTA staff, the ~~TSC~~, ~~TAC~~, and ~~OCTA~~ Board as part of the semi-annual review process. Projects that are expected to incur extensive delays beyond the parameters of the program should consider cancellation and reapplication at a future date. Advancement requests may be considered during the review process and may be approved subject to funding availability.

### Timely use of funds

For project phases, excluding right-of-way, funds will expire after 36 months from encumbrance. For the right-of-way phase, funds will expire after 36 months from the date of the first offer letter. Extensions up to 24 months may be granted through the SAR. Extension requests must be received no less than 90 days prior to the encumbrance deadline. Additional extensions may be considered on a case by case basis for the Regional Capacity Program and the Regional Traffic Signal Synchronization Program.

~~In the case of the engineering or construction phases, funds expire after 36 months from the date of contract award. For the right of way/right-of-way phase, funds will expire after 36 months from the date of the first offer letter. A onetime extension of 20 months may be granted through the SAR. For the ROW right-of-way phase, any delays that require one additional 20 month extension will be considered on a case by case basis.~~

### Project Advancements

Agencies wishing to advance a project by one fiscal year or more may request project advancement. ~~The agency must demonstrate that a contract will be awarded or that funds will be obligated encumbered in the year which funds are requested to be advanced to.~~ Advancement requests will be considered only if program funds are available. The allocation grant will be de-escalated according to the original escalation rate.





## Chapter 2 – Project Programming

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Requests ~~can be submitted at any time during the fiscal year or~~ must be submitted as part of the semi-annual review ~~process~~. All advancements will be reviewed by the TAC and approved by the ~~OCTA~~ Board. If approved, the agency and project will be required to meet the new fiscal year award or ~~obligation encumbrance~~ deadline.

Should OCTA be unable to accommodate an advancement request ~~for a project funded through Measure M,~~ due to cash flow constraints, the agency may still move forward with the project using local funding. (See Precept ~~no. 6~~) The lead agency must have a fully executed letter agreement prior to beginning work. The lead agency may subsequently seek reimbursement of CTFP funds in the fiscal year in which funds are programmed. Reimbursement shall follow the standard CTFP process ~~(described in see~~ Chapter 10). Prior approval is not necessary if the project is being advanced through local funds.



## Chapter 2 – Project Programming

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### Semi-Annual Review

OCTA staff will conduct a comprehensive review of CTFP projects on a semi-annual basis to determine the status of projects. ~~These p~~Project updates will be provided by the local agencies and uploaded to OCFundtracker. Follow-up meetings to these updates will be held as needed. Semi-annual project reviews are usually scheduled to occur in ~~September~~ March and ~~March-September~~ of each year.

Projects are reviewed to:

1. Update project cost estimates. For any project experiencing cost increases exceeding 10% percent of the originally contracted amount, a revised cost estimate must be submitted to OCTA. This is applicable even if the increase is within the overall grant ~~allocation~~ amount.
2. Review the project delivery schedule
3. Determine the project's continued viability
4. Verify project operations and maintenance expenditures (e.g. Environmental Cleanup Program)
- 4.5. Discuss any potential issues with fund sources committed as match against the competitive funds

Prior to each review meeting, OCTA staff will distribute a list of active projects to each local agency. Each agency will be contacted and asked to participate in the upcoming review where each agency's project schedules, cost estimates, and scope will be reviewed. Agencies will be given the opportunity to request program changes (e.g., delaying and advancing funds from one fiscal year to another) and each adjustment will be considered on a case-by-case basis. The agency should be prepared to explain any changes and provide all necessary supporting documentation. Generally, the local agency is responsible for the implementation of the projects as approved by OCTA, however consideration will be given for circumstances beyond the lead agency's control that affect scope, cost, or schedule.

Based on the semi-annual review meetings, OCTA staff will develop and present recommendations for project adjustments to the ~~TSC and~~ TAC. Requests for project changes (delays, advancements, scope modifications, etc.) will be considered on an individual basis. The following action plan has been developed for the semi-annual review process:

- Require ~~jurisdictions~~ local agencies to submit status reports, project worksheets, and supporting documentation to OCTA for all project adjustments.



## Chapter 2 – Project Programming

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- Require local agencies to abide by **Time Extension Policy**:
  - Agencies may request a delay of up to 24 months per ~~allocation grant~~. ~~Jurisdictions~~ Local agencies will be required to justify this request and seek approval of OCTA staff, ~~Technical Steering Committee (TSC)~~, and the TAC, and the Board as part of the semi-annual review process.
  - Approved schedule changes will require an update of the local jurisdiction's seven-year CIP and the OCTA cooperative funding agreement.
  - Evidence of Council approval (resolution, minute order, or notification) must be provided prior to ~~OCTA~~ Board approval of delays.
  - An administrative extension may be granted for expiring M2 funds for a project phase that is clearly engaged in the procurement process (advertised but not yet awarded).
  - Agencies that have requested Fast Track funding cannot request time extensions.

### Environmental Cleanup Program Operations and Maintenance Reporting

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



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## Chapter 3 – Safe Transit Stops (Project W)

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### **Purpose**

This is a fixed-scope program which provides funding for passenger amenities at the 100 busiest bus stops in Orange County determined by average daily weekday passenger boardings (October 2012 data).

### City-Initiated Bus Stop Improvements

Eighty percent of the available Project W funding (\$4,470,000) will be made available to support city-initiated projects. The Orange County Transportation Authority (OCTA) is functioning as the funding agency for the local bus stop amenity improvements implemented by cities under this program. Local ~~jurisdictions~~agencies have the authority and responsibility for designing, constructing, and maintaining bus stop improvements. Local agencies will retain local control and responsibility for these improvements including, but not limited to, shelters, lighting, seating, and waste receptacles.

### OCTA-Initiated Bus Stop Improvements

Twenty percent of available Project W funding (\$1,120,000) is proposed to be directed towards the development and implementation of regional, customer-facing technologies that benefit the 100 busiest stops. Examples include design of the real-time “text4next” system, ticketing vending machines, and other regional elements that benefit the region, as well as the 100 busiest stops. OCTA would implement these passenger amenities working in cooperation with local agencies.

### **Eligible Applicants**

Eligible applicants for the "city-initiated bus stop improvements" funding include the 15 local agencies in Orange County which have at least one of the top 100 busiest bus stops as defined above. Bus stops on private property would need to be submitted by the city on behalf of the property owner.

### **Application**

Required to Include:

- Proposed maintenance plan;
- Photos of the proposed project site in the weekday AM peak and PM peak period;
- Project design or concept drawings;
- Shelter size and covered passenger waiting area footage; and
- Needs assessment.



## Chapter 3 – Safe Transit Stops (Project W)

### Evaluation Criteria

If sufficient funds are not available during a funding cycle to fund all the projects that are submitted, projects will be prioritized for funding based on a combination of boarding ranking and the needs of each stop.

### Available Funding

Five and a half million on a pay-as-you-go basis is available for Project W between fiscal year (FY) 2012-13 through FY 2019/20. Funding for the city-initiated bus stop improvements will be offered biennially. The amount available through FY 2020, as well as the amount available for each round of funding, is shown below.

Project W Estimated Funding by FY (in thousands)									
FY	12/13	13/14	14/15	15/16	16/17	17/18	18/19	19/20	Total
Total Revenue	\$580	\$610	\$650	\$690	\$720	\$750	\$780	\$810	\$5,590
City-Initiated 80%	\$460	\$490	\$520	\$550	\$580	\$600	\$620	\$650	\$4,470
OCTA-Initiated 20%	\$120	\$120	\$130	\$140	\$140	\$150	\$160	\$160	\$1,120

The first round of funding for Project W funds will target \$950,000 for city-initiated improvements, and \$240,000 for OCTA-initiated improvements. These figures are comprised of the amounts available from FYs 2012-13 and 2013-14.

Project W Funding Available Biennially for City Project Applications and Stops Improved (in thousands)					Total
FYs	12/13 and 13/14	14/15 and 15/16	16/17 and 17/18	18/19 and 19/20	
City Available Funds Biennially	\$950	\$1,070	\$1,180	\$1,270	\$4,470
Bus Stops Improved	30+	35+	35+	TBD	



## Chapter 3 – Safe Transit Stops (Project W)

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### Eligible Costs

Project W will pay for up to \$20,000 for "normal load stops" and up to \$30,000 for "high load stops.\* A high load stop is where the 90th percentile of boarding events have ten or more passengers waiting. The following expenses are eligible for reimbursement under the program:

#### Eligible

- Passenger Waiting Amenities
  - Bus shelters or shade structures (required);
  - Seating/leaning fixtures (required);
  - Waste receptacles (required);
  - Ad displays; and
  - Bus stop lighting.
- Other Amenities
  - Transit/pedestrian information display;
  - Security cameras (monitored by local police department);
  - Bicycle lockers or racks;
  - Mature street trees;
  - Minor improvements to sidewalks necessary to accommodate shelters; and,
  - Installation of electric service on bus shelters for future OCTA uses.

#### Not Eligible

- Right-of-way acquisition;
- Planning and design;
- Maintenance; and
- Electricity.

#### Other OCTA-Funded Items

- Installation of Bus stop signage;
- Real-time information display improvements will be provided in future; and
- Ticket vending machines can be installed as funding becomes available in future.

\*The average cost of a single width shelter and bench is approximately \$15,000 and the average cost of a double width shelter and bench is \$25,000.

## Chapter 4 – Transit Extensions to Metrolink (Project S)

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### Overview

This Measure M2 (M2) Program establishes a competitive process to enable local ~~jurisdictions~~agencies to enhance regional transit capabilities through creation of new connections to the existing Metrolink system. Projects must meet specific criteria in order to compete for funding through this program. In addition, local ~~jurisdictions~~agencies will be required to demonstrate the ability to fund the local share of operations and maintenance on an ongoing basis using non-Orange County Transportation Authority (OCTA) resources. Public-private partnerships<sup>1</sup> are encouraged but not required.

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<sup>1</sup> Public-private partnerships are defined as direct financial contributions or sponsorships for eligible program activities.



## Chapter 4 – Transit Extensions to Metrolink (Project S)

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### Section 4.1 – Fixed Guideways

#### Objectives

- Expand multi-modal transit options for regional travel by establishing new transit connections to existing Metrolink stations
- Provide new service on a defined route with primary ridership derived from Metrolink patronage

#### Project Participation Categories

Metrolink provides a vital transit option for travel throughout southern California. Orange County is home to 12 Metrolink stations currently serving residents and commuters for employment, education, and pleasure-based trips. These stations serve diverse destination and trip origination needs. Efficient and convenient access enables the system to thrive and the overall transportation network (all motorized and non-motorized modes) to operate effectively.

Transit needs may differ from one location to the next and projects pursued under this program have significant latitude in how the challenge of delivering enhanced transit service to/from existing Metrolink stations are addressed. The program categories listed below identify key project elements that can be pursued through the Project S funding source. Fixed guideway projects are capital intensive. Additional funding sources may be required to supplement M2 for maximum investment opportunities. Selection criteria will parallel Federal Transportation Administration (FTA) programs such as New Starts or Small Starts wherever possible to aid in streamlining the competitive process. The program categories eligible for funding through the fixed guideway component of Project S are:

- Fixed guideway systems including rolling stock acquisition
- Station/stop improvements (includes signage, furniture, and shelters)
- Maintenance facilities and fueling stations

#### Match Funding Requirements

Local funding must meet a minimum 10 percent match rate requirement for the whole project comprised of any combination private contributions, advertising revenues, and local discretionary funds. Match funding commitments in excess of 10 percent for one project phase (capital or operations/maintenance) may result in a reduced minimum match rate requirement for another phase subject to Board of Directors (Board) approval. Minimum match funding rate commitments will be incorporated into ~~the~~

## Chapter 4 – Transit Extensions to Metrolink (Project S)

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~~master-a cooperative~~ funding agreement and will apply on an annual basis to the entire service life of the project (typically 5, 7, or 25 years).

### Eligibility Requirements

Minimum eligibility and participation requirements must be considered before a project funding application should be submitted. Adherence to strict funding guidelines is required by the M2 Ordinance. Additional standards have been established to provide assurance that M2 funds are spent in the most prudent, effective manner. There is no guarantee that funding will be approved during a particular call for projects. If no acceptable project is identified during a funding cycle, a subsequent call for projects will be scheduled at an appropriate time.

- Applicant must be eligible to receive M2 funding (established on an annual basis) to participate in this program
- Initial call for projects is limited to fixed guideway projects based upon Go Local Step 3 activities (preliminary engineering)
- Agency must have a financial plan outlining a funding strategy for ongoing operations and maintenance (minimum of five years)
- Project applications must be for complete projects (environmental clearance through implementation, where applicable) for evaluation purposes
- Project application must meet minimum competitive score to be deemed eligible and “of merit” (as determined by the OCTA Board)
- Any proposal to duplicate or replace existing local or OCTA service must be clearly detailed
- Complete applications must be approved by the city council and partner ~~jurisdictions~~agencies prior to submittal to OCTA to demonstrate adequate community and elected official support for initial consideration
- Procurements associated with the project must follow FTA procurement policies
- Agencies submitting for funding must agree to follow the FTA Small Starts/New Starts process

### Selection Criteria

Specific selection criteria will be used to evaluate competitive program project applications. (See Table 4.1) Emphasis is placed on projects with firm financial commitments and overall project readiness as shown on the Project S selection criteria. In addition, projects will be evaluated based upon existing and future transit usage, ease of connection, cost effectiveness, and local/regional benefits. Although a minimum ~~of~~ 10 percent match ~~funding-rate~~ for capital investments is required, projects

## Chapter 4 – Transit Extensions to Metrolink (Project S)

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that leverage M2 funds with a higher percentage from other sources are encouraged and will be more competitive.

### Application Process

Project ~~allocation~~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 fully evaluate the project proposal as outline below.

- Complete information application
- Provide funding/operations plan
- ~~Allocation~~Grants subject to ~~master-a cooperative~~ funding agreement

The funding plan shall include, at a minimum, the following information:

- Financials (funding needs, match ~~funding-rate~~ availability, operations funding assurances, and public-private partnership arrangements)
- Project development and implementation schedule
- Operations and maintenance facility management
- Service coordination plan (scheduling/ticketing for Metrolink and fixed route service)
- Any additional information deemed relevant by the applicant

A call for projects for the initial funding cycle is expected to be issued September 13, 2010, with **applications due October 8, 2010**, subject to approval by the OCTA Board. Complete project applications must be submitted by the established due date to be eligible for consideration.

Applications will be reviewed by OCTA for consistency, accuracy, and concurrence. Once applications have been completed in accordance with the program requirements, the projects will be scored, ranked and submitted to the Transportation 2020 Committee, and the Board for consideration and funding approval. The process is expected to be concluded by November 30, 2010.

The final approved application (including funding plan) will serve as the basis for any funding agreement required under the program.

### Application Guidelines

Project selection is based upon merit utilizing a series of qualitative and quantitative criteria. Candidate projects are required to submit a financial plan with sufficient data

## Chapter 4 – Transit Extensions to Metrolink (Project S)

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to enable an adequate evaluation of the application. Each jurisdiction is provided broad latitude in formatting, content and approach. However, key elements described below must be clearly and concisely presented to enable timely and accurate assessment of the project.

### Financial Details

Each candidate project application must include all phases through construction of facilities. The financial plan will include, at a minimum, the following information:

- Estimated project cost for each phase of development (planning, environmental, permitting, design, right-of-way ~~(ROW)~~ acquisition, construction, and project oversight)
- Funding request for each phase of project implementation with match ~~funding commitment amounts~~ and sources clearly identified
- Realistic project schedule for each project phase
- Demonstrated financial commitments for minimum match ~~funding commitment~~ and ongoing operations (first five years of operation)
- Discussion of contingency planning for revenue shortfalls
- Revenue projections and methodology where on-site commercial activity is expected to support implementation and/or operations costs
- ~~ROW-Right-of-way~~ status and strategy for acquisition
- Project's status in current local plans

### Technical Attributes

The formal application must include feasibility and efficacy components to demonstrate transportation benefit to ensure the selected project(s) meet the spirit and intent of M2. Merit will be demonstrated through technical attributes and industry standard methodologies. The following data will be included and fully discussed in the application.

- Planned employment densities per square mile (opening year)
- Planned population densities per square mile (opening year)
- Projected daily transit boardings with projection methodology fully presented
- Percent of projected ridership from commuter rail riders
- Description of all transit modes serviced by the Metrolink station at time of application and projected future mode increase
- Ease of connections to other travel modes (average walking distance)
- Incremental cost per hour of system user benefits (per FTA guidelines)

## Chapter 4 – Transit Extensions to Metrolink (Project S)

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### Other Application Materials

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

*Council Resolution:* A Council Resolution authorizing request for funding consideration with a commitment of project local match ~~funding (local sources) rate~~ and operating funds as shown in the funding plan.

*Lease/Cost Sharing Agreements:* Copies of leases, sponsorship, and/or advertising revenue documents. Confidential agreements may be included by reference when accompanied by affidavit from City Treasurer or Finance Director.

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

*Operations Plan:* In addition to the financial details indicated in 8.1, the operations plan submitted shall include the following technical data (consistent with FTA guidelines) a route map, draft time table, headways, stop location listing, summary of alternatives (including any special operations – interlining, feeder bus connections, etc.), summary of vehicle types and characteristics, speed profile, fleet size, and any other applicable supporting documentation.

*Approved Land Use Supporting Documentation:* Any documentation which describes the transit supportive land use changes already in place to support the proposed guideway projects.

### **Reimbursements**

This program is administered on a reimbursement basis. Reimbursements will be disbursed upon review and approval of a complete expense report, performance report, and consistent with ~~master~~ a cooperative funding agreement.

## Chapter 4 – Transit Extensions to Metrolink (Project S)

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### Project Cancellation

Projects deemed infeasible during the planning process will be cancelled and further expenditures will be prohibited except where necessitated to bring the current phase to a logical conclusion.

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 ~~allocation grant~~, and/or other sanctions to be determined. Audits shall be conducted by the OCTA Internal Audit department or other authorized agent either through the normal annual process or on a schedule to be determined by the OCTA Board.

## Chapter 4 – Transit Extensions to Metrolink (Project S)

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### Section 4.2 – Bus and Station Vans

#### Objectives

- Expand multi-modal transit options for regional travel by establishing new transit connections to existing Metrolink stations
- Provide new service (shuttle bus and station van) on a defined route with ridership derived from Amtrak/Metrolink patronage

#### Project Participation Categories

Metrolink provides a vital transit option for travel throughout Southern California. Orange County is home to 11 Metrolink stations currently serving residents and commuters for employment, education, and recreational-based trips. These stations serve diverse destination and trip origination needs. Efficient and convenient access enables the system to thrive and the overall transportation network (all motorized and non-motorized modes) to operate effectively.

Transit needs may differ from one location to the next, and projects pursued under this program have significant latitude on how the challenge of delivering enhanced transit service to/from existing Metrolink stations are addressed. The program categories listed below identify key project elements that can be pursued through the Project S funding source. Selection criteria will parallel Federal Transportation Administration (FTA) programs wherever possible to aid in streamlining the competitive process. The program categories eligible for funding through Project S are:

- Bus leases/purchases for the purposes of providing expanded service to/from a Metrolink station
- Bus stop improvements (including signage, furniture, fare box equipment, and shelters) on the new route
- Maintenance facilities and fueling stations required for the new bus service
- Station vans leases for the purposes of providing expanded service to/from a Metrolink station
- Consistent with FTA guidelines, Americans with Disabilities Act (ADA) complementary paratransit service costs are considered capital costs for the purposes of this program

## Chapter 4 – Transit Extensions to Metrolink (Project S)

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### Operating Reserve Incentive

OCTA has established an operating reserve as part of this program that may be used to offset the costs of operations and maintenance. The operating reserve is subject to the following requirements:

1. OCTA will reserve a total of \$1 million per year in Project S revenue for operations and maintenance distributed on a pro-rata basis
2. The project must have been awarded Project S non-guideway funds through the Project S competitive process and meet a minimum standard of ten boardings per revenue vehicle hour on an ongoing basis for shuttle buses and a 60 percent minimum occupancy for station vans
3. Awarded agencies must submit audited operations and maintenance costs and ridership and fare performance data to OCTA by September 30 of each year for the prior fiscal year
4. OCTA will reimburse awarded agencies on a pro-rata basis but not to exceed \$6 per boarding, not to exceed 90 percent of net operating and maintenance costs (after deducting fares), and no more than \$150,000 per year for each agency or project, whichever is less
5. Participation in the operating reserve is limited to the useful life of the capital purchased with Project S funds

All submitted materials are subject to audit prior to OCTA pro-rata reimbursements. Funds not used in a given year will become available for future calls for projects.

### Capital Match Rate Funding Requirements

~~Local funding~~ The Implementing agency must meet a minimum ten percent match requirement for the entire capital project comprised of any combination of private contributions, advertising revenues, and local discretionary funds. Match rate funding commitments in excess of ten percent for one project phase may result in a reduced minimum match rate requirement for another phase subject to Board of Directors (Board) approval. Match funding commitments will be incorporated into the ~~master funding agreement~~ cooperative funding agreement.

### Eligibility Requirements

Minimum eligibility and participation requirements must be considered before a project funding application should be submitted. Adherence to strict funding guidelines is required by the M2 Ordinance. Additional standards have been established to provide assurance that M2 funds are spent in the most prudent, effective manner. There is no



## Chapter 4 – Transit Extensions to Metrolink (Project S)

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guarantee that funding will be approved during a particular call for projects. If no acceptable project is identified during a funding cycle, a subsequent call for projects will be scheduled at an appropriate time.

### Additional Project S Precepts

- Applicant must be eligible to receive M2 funding (established on an annual basis) to participate in this program
- The proposed project must be included in the 2011 Transit System Study or have participated in prior Go Local planning efforts
- Agency must have a financial plan outlining a funding strategy for ongoing operations and maintenance (minimum of five years)
- If the service operator is OCTA, and the local agency would retain routing and service-level decisions, or local agencies may propose an alternate service provider
- Letter of commitment for an 80 percent start-up occupancy rate for each station van and documentation supporting the commitment (e.g. letters of interest, proof of van pool request and or survey data). Station van passengers must be Amtrak/Metrolink passengers
- Local agency will be required to enter into a cooperative funding agreement with OCTA
- Project applications must be for complete projects (environmental clearance through implementation, where applicable) for evaluation purposes
- All projects must include meeting ADA requirements, and these costs must be included in the project application
- Project application must meet minimum competitive score to be deemed eligible and “of merit” (as determined by the OCTA Board)
- Any proposal to duplicate or replace existing local or OCTA service must be clearly detailed
- Complete applications must be approved by the city council and partner jurisdictions/agencies prior to submittal to OCTA to demonstrate adequate community and elected official support for initial consideration
- Procurements associated with the project must follow FTA procurement policies
- Agencies submitting for funding must agree to follow applicable FTA requirements
- Agencies will be required to submit annual National Transit Database reporting information to OCTA

### Selection Criteria

## Chapter 4 – Transit Extensions to Metrolink (Project S)

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Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on projects with firm financial commitments and overall project readiness as shown on the Project S scoring criteria. In addition, projects will be evaluated based upon existing and future usage, ease of connection, cost effectiveness, and local/regional benefits. Although a minimum of ten percent match funding for capital investments is required, projects that leverage M2 funds with a higher match rate are encouraged and will be more competitive.

### Application Process

Project ~~allocation~~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 fully evaluate the project proposal as outlined below.

- Complete application
- Provide five-year funding/operations plan
- ~~Allocation~~Grants subject to cooperative funding agreement

The funding plan shall include, at a minimum, the following information:

- Financials (funding needs, minimum match commitments, funding availability, operations funding assurances, and public-private partnership arrangements)
- Project development and implementation schedule
- Operations and maintenance facility management
- Service coordination plan (scheduling/ticketing for Metrolink and fixed-route service)
- Any additional information deemed relevant by the applicant

A call for projects for the initial funding cycle is expected to be issued February 28, 2012, with **applications due** April 26, 2012, subject to approval by the OCTA Board. Complete project applications must be submitted by the established due date to be eligible for consideration.

Applications will be reviewed by OCTA for consistency, accuracy, and concurrence. Once applications have been completed in accordance with the program requirements, the projects will be scored, ranked, and submitted to the OCTA's-Executive Committee and the Board for consideration and funding approval. The process is expected to be concluded by July 2012.

## Chapter 4 – Transit Extensions to Metrolink (Project S)

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The final approved application (including funding plan) will serve as the basis for any funding agreement required under the program.

### Application Guidelines

Project selection is based upon merit utilizing a series of qualitative and quantitative criteria. Candidate projects are required to submit a financial plan with sufficient data to enable an adequate evaluation of the application. Each jurisdiction is provided broad latitude in formatting, content, and approach. However, key elements described below must be clearly and concisely presented to enable timely and accurate assessment of the project.

### Financial Details

Each candidate project application must include all phases through construction of facilities. The financial plan will include, at a minimum, the following information:

- Estimated project cost for each phase of development (planning, environmental, permitting, design, right-of-way ~~(ROW)~~ acquisition, construction, and project oversight)
- Funding request for each phase of project implementation with match funding amounts and funding sources clearly identified
- Demonstrated financial commitments for minimum match ~~commitments~~ ~~funding~~ and ongoing operations
- Discussion of contingency planning for revenue shortfalls
- Revenue projections and methodology where commercial activity is expected to support implementation and/or operations costs
- Project readiness status
- Subscriber commitment for proposed station van services
- ~~ROW~~ Right-of-way status and strategy for acquisition
- Project's status in current local plans
- Realistic project schedule for each project phase

### Scoring Criteria

The formal application must include feasibility and efficacy components to demonstrate transportation benefit to ensure the selected project(s) meet the spirit and intent of M2. Merit will be demonstrated through technical attributes and industry standard methodologies. The applications will be evaluated against the criteria identified in the Measure M2 voter pamphlet and fully discussed in the application:



## Chapter 4 – Transit Extensions to Metrolink (Project S)

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- Match funding and level of commitment from private partners
- Operating subsidy per boarding for opening year
- Annualized cost per incremental passenger trip for opening year
- Project readiness including projected opening year and phase readiness
- Projected daily boardings with projection methodology fully presented
- Percent of projected ridership from commuter rail riders
- Projected average daily occupancy for station vans
- Ease of connections (average travel time to employment and recreation centers served)
- Planned employment densities per square mile for opening year
- Planned population densities per square mile for opening year

### Other Application Materials

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

*Council Resolution:* A Council Resolution authorizing request for funding consideration with a commitment of project local match funding (local sources) and operating funds as shown in the funding plan.

*Lease/Cost Sharing Agreements:* Copies of leases, sponsorship, and/or advertising revenue documents. Confidential agreements may be included for reference when accompanied by affidavit from City Treasurer or Finance Director.

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

*Operations Plan:* In addition to the financial details indicated in Section 9.1, the operations plan submitted shall include the following technical data: a route map, draft time table, headways, stop location listing, summary of vehicle types and characteristics, speed profile, fleet size, and any other applicable supporting documentation.

## Chapter 4 – Transit Extensions to Metrolink (Project S)

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*Approved Land Use Supporting Documentation:* Any documentation which describes the transit supportive land use changes already in place to support the proposed guideway projects.

### Reimbursements

The capital program is administered on a reimbursement basis. Capital reimbursements will be disbursed upon review and approval of a complete expense report, performance report, and consistent with the cooperative funding agreement. Local agency revenues provided to OCTA for ongoing operating assistance will be in accordance with terms identified in the cooperative funding agreement.

### Project Cancellation

Projects deemed infeasible during the planning process will be cancelled and further expenditures will be prohibited except where necessitated to bring the current phase to a logical conclusion.

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 ~~allocation~~ grant, and/or other sanctions to be determined. Audits may be conducted by the OCTA Internal Audit Department or an authorized agent.

## Chapter 4 – Transit Extensions to Metrolink (Project S)



**Table 4-1**  
**Point Breakdown for Transit Extensions to Metrolink (Project S)**  
*(For Fixed Guideway Preliminary Engineering Call for Projects Only)*

Financial Commitment/Partnership (20 points)		Transit Usage/Congestion Relief (16 points)	
<b>Match funding (Complete Project; Capital)</b>		<b>Percent of Ridership from Commuter Rail Riders (Opening Year)</b>	
>=30%	6	>=50%	8
29% to 20%	4	49% to 40%	6
19% to 11%	2	39% to 30%	4
10% (Program Minimum)	0	29% to 20%	2
		<20%	0
<b>Five-Year Operations Funding Plan Submitted and OCTA Concurrence with Assumptions*</b>		<b>Projected Average Daily Ridership (Opening Year)</b>	
Yes	10	>=10,000	8
No	0	9,999 to 8,500	6
		7,999 to 6,500	4
<b>Level of Commitment from Private Partners</b>		6,499 to 5,000	2
Binding Agreement	4	<5,000	0
Commitment Letter	2		
Project Readiness (8 points)		Ease of Connections (14 points)	
<b>Opening Year</b>		<b>Number of Transit Modes Provided at Metrolink Station (Opening Year)</b>	
By 2015	4	>9	8
By 2016	3	9 to 8	6
By 2017	2	7 to 6	4
By 2018	1	<6	2
<b>Land Acquired for Total Project</b>		<b>Average Walking Distance to Proposed Connections (From Metrolink Station; Feet; Opening Year)</b>	
Yes	4	<250	6
No	0	251 to 500	4
		501 to 750	2
		>500	1
Regional/Local Benefits (16 points)		Cost Effectiveness (16 points)	
<b>Regional: Planned Employment (Jobs/Square Mile; Opening Year)**</b>		<b>Incremental Cost per Hour of System User Benefit****</b>	
>15,500	8	\$15 to \$17.99	16
15,500 to 13,001	6	\$18 to \$20.99	12
13,000 to 8,500	4	\$21 to \$23.99	8
<8,500	2	>\$24	4
<b>Regional: Daily Vehicle Miles Traveled Reduction (Opening Year)***</b>		<b>Approved Land Use (5 points)</b>	
>2,000	4	<b>Included in City Council-Approved Plan</b>	
2,000 to 1,501	3	Yes	5
1,500 to 1,000	2	No	0
<1,000	1		
<b>Local: Planned Population (Persons/Square Mile; Opening Year)**</b>		<b>Safety (5 points)</b>	
>11,000	4	<b>At-Grade Rail Crossings</b>	
10,999 to 7,000	3	No	5
6,999 to 3,500	2	Yes	0
<3,500	1		

\* May assume first three-years Congestion Mitigation Air Quality funded and no Project S funds for operations

\*\* Average within 1/4 mile of each station

\*\*\* Total within 2 miles of proposed route (one mile buffer)

\*\*\*\*Incremental cost per hour of system user benefit from FTA "Summit" Program (in opening and horizon years)

# Chapter 4 – Transit Extensions to Metrolink (Project S)



**Table 4-2**  
**Point Breakdown for Transit Extension to Metrolink (Project S)**  
*(For Bus and Station Van Program Only)*

M2 Eligible	Yes	No
In Go Local Planning and/or 2011 Transit Study	Yes	No
Five-year Operations and Maintenance Plan	Yes	No
Total Project Cost (information only)	\$	(capital)

Financial Commitment/Partnership (18 points)	
Match funding (capital)	
≥50%	10 points
40% - 49%	8 points
30% - 39%	6 points
20% - 29%	4 points
11% - 19%	2 points
Level of commitment from private partners	
Binding agreement	8 points
Commitment letter	4 points

Cost Effectiveness (20 points)	
Operating subsidy per boarding opening year	
≤\$4.50	10 points
\$4.51 - \$8.50	8 points
\$8.51 - \$14.99	6 points
\$14.50 - \$18.00	4 points
Annualized cost per incremental passenger opening year	
≤\$7.00	10 points
\$7.01 - \$11.20	8 points
\$11.21 - \$14.20	6 points
\$14.21 - \$17.99	4 points
≥\$18.00	2 points

Project Readiness (20 points)	
Estimated opening year	
By 2012	10 points
By 2013	8 points
By 2014	4 points
By 2015	2 point
Phase readiness	
Planning and environmental complete	10 points
ROW acquired or not applicable	5 points
Maintenance facilities available	1 points

Local/Regional Benefit (12 points)	
Planned employment densities per square mile (within 1/4 mile of route) opening year	
>15,000	6 points
10,001 - 15,000	4 points
5,001 - 10,000	2 points
1,001 - 5,000	1 points

Transit Usage - Shuttle Bus (20 points)	
Projected average daily boardings (first year)	
≥300	10 points
201 - 299	8 points
101 - 200	6 points
31 - 100	4 points
≤30	2 points
Percent of projected ridership from commuter rail	
≥70%	10 points
50% - 69%	6 points
30% - 49%	3 points

Transit Usage - Station Van (20 Points)	
Projected average daily occupancy (first year)	
≥100%	10 points
90% - 99%	8 points
80% - 89%	6 points
Percent of projected ridership from commuter rail	
100%	10 points
<100%	0 points

Community Connections (10 points)		
Average travel time to station from employment/activity center		
1 - 10 minutes	5 points	
11 - 15 minutes	4 points	
16 - 20 minutes	3 points	
21 - 30 minutes	2 points	
Connectivity/activity centers served by project		
5 points maximum	Senior center(s)	1 point
	Schools	1 point
	Retail centers (over 000k feet)	1 point
	Special event venues	1 point
	Major employment centers	1 point
	Connections to existing service	1 point

Planned population densities per square mile (within 1/4 mile of route) for opening year	
>10,000	6 points
7,001 - 10,000	4 points
4,001 - 7,000	2 points
501 - 4,000	1 points



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## Chapter 5 – Metrolink Gateways (Project T)

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### Overview

This M2 program establishes a competitive process for local ~~jurisdictions~~agencies to convert Metrolink stations into regional gateways for enhanced operations related to high-speed rail service. Projects must meet specific criteria in order to compete for funding through this program. In addition, local agencies will be required to demonstrate the ability to fully fund operations on an ongoing basis using non-OCTA resources. Public-private partnerships<sup>1</sup> are encouraged but not required.

### Objectives

- Convert Metrolink stations(s) to regional gateways that connect Orange County with planned future high-speed rail systems.
- Deliver improvements that are necessary to connect planned future high-speed rail systems to stations(s) on the Orange County Metrolink route.

### Project Participation Categories

Multi-modal transit facilities provide expanded transportation options for regional and long distance travel. These “hubs” provide a vital link in the mobility chain. Availability of viable stations is a critical consideration for high speed rail service implementation. Each host community has unique needs and expectations related to high-speed rail systems. Conditions will differ from one location to the next and projects pursued under this program have significant latitude in how they address the challenge of delivering supporting facilities for high speed rail services. Converting a station may include modifying and/or relocating the station. The program categories listed below identify key project elements that can be pursued through the Project T funding source. Public-private partnerships and local funding sources may be used to leverage these elements.

- Station and passenger facilities necessary to support planned high-speed rail system<sup>2</sup>
- Parking structures related to expanded high-speed rail service
- Track improvements (e.g., track, switching, signal equipment)
- Traffic control enhancements for ingress/egress from public roadways
- Aesthetics limited to 10% percent of the Project T funds (specifically limited to: landscaping, non-standard lighting, and on-site signage)
- On-site public art expenses limited to one percent of Measure M funds in order to improve the appearance and safety of the facility
- Off-site improvements cannot exceed 5% percent of Measure M funding request<sup>3</sup>
- Bond financing costs



## Chapter 5 – Metrolink Gateways (Project T)

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- Construction Management (not to exceed 15% percent of construction cost)

Commercial facilities that are not transit related are not eligible for Measure M funds.

### Eligibility Requirements

Minimum eligibility and participation requirements must be considered before a project funding application should be submitted. Adherence to strict funding guidelines is required by the Ordinance. Additional standards have been established to provide assurance that M2 funds are spent in the most prudent, effective manner. There is no guarantee that funding will be approved during a particular call for projects. If no acceptable project is identified during a funding cycle, a subsequent call for projects will be scheduled at an appropriate time.

- Station must be included as part of a planned future high-speed rail system.
- Station must be identified in constrained or unconstrained chapters of the 2008 Regional Transportation Plan for the initial M2 funding cycle
- Agency must demonstrate sufficient funding for first five years of operation with financial plan outlining funding strategy for ongoing operations and maintenance (cannot include OCTA funding sources)
- Project applications must be for complete projects (environmental clearance through construction)
- Project application must meet minimum competitive score to be deemed eligible and “of merit” (as determined by OCTA Board of Directors)
- Capital improvements must adhere to public bidding requirements
- Complete applications must be approved by the applicant City Council prior to submittal to OCTA to demonstrate adequate community and elected official support for initial consideration
- Applicant must be eligible to receive Measure M funding (established on an annual basis) to participate in this program

### Funding Estimates

The program will make an estimated \$186 million (nominal dollars) available during the initial 21 year period of the program (Fiscal Year 2011 through 2031). For the initial call for projects, bonds will be were issued in fiscal year (FY) 2011 and FY 2012, making the maximum net programming amount of \$82.3 million available after deducting for bond costs. Funding for the remaining nine-year period of M2 will not be programmed until a future call for projects is warranted. This approach provides a hedge against economic uncertainty and preserves funding for future system expansion.



## Chapter 5 – Metrolink Gateways (Project T)

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### Selection Criteria

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on projects with firm funding commitments and overall project readiness as shown on Table 5-1. In addition, projects will be evaluated based upon existing and future transit usage, intermodal connectivity, and community land use attributes. Although a local match ~~funding commitment~~ is not required, projects that leverage M2 funds with at least 10% percent from other sources are encouraged and will be more competitive.

### Application Process

Project ~~allocation~~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 fully evaluate the project proposal as outline below.

- Complete information application
- Provide funding/operations plan
- Allocation Grants subject to ~~Master funding agreement~~ a cooperative funding agreement

A call for projects for the initial funding cycle was issued in January 2009. The need for a future call will be determined by the OCTA Board of Directors. Complete project applications must be submitted by the established due date to be considered eligible for consideration.

The funding plan shall include, at a minimum, the following information:

- Financials (Funding needs, match funding availability, operations funding assurances, public-private partnership arrangements, bond financing projections)
- Project development and implementation schedule
- High speed rail ridership projections
- Any additional information deemed relevant by the applicant

Applications will be reviewed by the Authority 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 T2020 Committee and Board of Directors for consideration and funding approval.



## Chapter 5 – Metrolink Gateways (Project T)

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The final approved application (including Financial Plan) will serve as the basis for any funding agreement required under the program.

### Reimbursements

This program is administered on a reimbursement basis for capital improvements, planning design, ~~right-of-way~~right-of-way acquisition, and related bond financing costs. Reimbursements will be disbursed upon review and approval of a complete expense report, performance report, and ~~Consistent-consistent~~ with ~~master-the executed funding~~ cooperative agreement.

### Status Reports

Projects selected for funding will be subject to submittal of an annual financial plan update in order to receive project reimbursement payments during the following fiscal year. The updated financial plan will be due as a supplement to the annual Measure M eligibility process (typically due on June 30<sup>th</sup>).

### Project Cancellation

Projects deemed infeasible during the planning process will be cancelled and further expenditures will be prohibited (except where necessitated to bring the current phase to a logical conclusion). ~~Right-of-way~~Right-of-way acquired for projects which are cancelled prior to construction will require repayment to the contributing funding program(s) within a reasonable time as determined by the ~~OCTA-Board-of-Directors~~.

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 ~~allocation~~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 OCTA Board of Directors.



## Chapter 5 – Metrolink Gateways (Project T)

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Proceeds from the sale of excess ~~right-of-way~~right-of-way acquired with program funding must be paid back to the project fund as described in the ~~master~~executed funding agreement.

### Application Guidelines

Funding ~~allocation~~grants provided through M2 are determined through a competitive application process. Project selection is based upon merit utilizing a series of qualitative and quantitative criteria. Candidate projects are required to submit a financial plan with sufficient data to enable an adequate evaluation of the application. Each jurisdiction is provided broad latitude in formatting, content and approach. However, key elements described below must be clearly and concisely presented to enable timely and accurate assessment of the project.

### Financial Details

Each candidate project must include all phases through construction of facilities and implementation of service. The financial plan will include, at a minimum, the following information:

- Estimated project cost for each phase of development (planning, environmental, permitting, design, ~~right-of-way~~right-of-way acquisition, construction, and project oversight)
- Funding request for each phase of project implementation with match funding amounts and sources clearly identified
- Realistic project schedule for each project phase
- Demonstrated financial commitments for match funding and ongoing operations (through first five years of operation)
- Discussion of contingency planning for revenue shortfalls
- Revenue projections and methodology where on-site commercial activity or advertising revenue is expected to support implementation and/or operations costs
- ~~Right-of-way~~Right-of-way status and strategy for acquisition
- Revenue sharing proposals (where applicable)

### Technical Attributes

The formal application must include feasibility and efficacy components to demonstrate transportation benefit to ensure the selected project(s) meet the spirit and intent of M2. Merit will be demonstrated through technical attributes and industry standard



## Chapter 5 – Metrolink Gateways (Project T)

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methodologies. The following site-specific data will be included and fully discussed in the application:

- Current employment estimates within five mile radius of project site (cite reference)
- Freeway lane miles within five mile radius of site (provided by OCTA upon request)
- Planned job density within 1,500' radius of project boundary based upon current General Plan
- Planned housing density within 1,500' radius of project boundary based upon current General Plan
- Daily transit boardings within five mile radius of project boundary (include rail and fixed route bus/shuttle)
- Daily transit boardings growth within five mile radius of project boundary with projection methodology fully presented for opening day operations
- Description of all transit modes serviced by the site at time of application
- Discussion of new transit modes (including high speed rail) served by the site as a result of proposed project (opening day)
- Service coordination plan (how will proposed project facilitate transfer between transit services?)

### 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 Resolution: A Council Resolution authorizing request for funding consideration with a commitment of project match funding (local sources) and operating funds as shown in the funding plan.

Lease/Cost Sharing Agreements: Copies of leases, cost sharing (match funding), and/or land dedication documents. Confidential agreements may be included by reference when accompanied by affidavit from City Treasurer or Finance Director.

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. The applicant will be asked for detailed information only if necessary to adequately evaluate the project application.



## Chapter 5 – Metrolink Gateways (Project T)

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| Public-private partnerships are defined as direct financial contributions or ~~right-of-way~~right-of-way dedications for eligible program activities.

<sup>2</sup>Program should not build retail or other leasable space. Mixed Use and TOD elements will be the responsibility of others.

<sup>3</sup> “Off-site” improvements adjacent to the project site such as monumentation, traffic control, etc.



## Chapter 5 – Metrolink Gateways (Project T)

TABLE 5-1

### Point Breakdown for Metrolink Gateways (Project T) Maximum Points = 100

Financial Commitment (30 points)		Transit Usage (20 points)	
<b>Total Project Cost (information only)</b>		<b>Existing transit boardings (within 5 miles)</b>	
\$ (capital)	(No Points)	>75,000 a day	4 points
		50,000 to 75,000 a day	3 points
		25,000 to 49,000 a day	2 points
		<25,000 a day	1 point
<b>Percent of M2 for capital</b>		<b>Transit boardings growth (within 5 miles)</b>	
50% or less	16 points	>20,000 daily increase	8 points
51% to 65%	12 points	15,000 to 20,000 daily increase	6 points
66% to 80%	8 points	10,000 to 14,900 daily increase	4 points
81% to 90%	4 points	<10,000 daily increase	2 points
<b>Level of commitment from private partners</b>		<b>Consistent ridership projections</b>	
Investment agreement (binding)	8 points	100% to 110% of OCTAM*	
Commitment letters	2 points	111% to 120% of OCTAM	
		121% to 140% of OCTAM	
<b>OCTA concurrence with financial assumptions/analysis</b>		<i>*Projections below OCTAM get 8 points</i>	
Yes	6 points		
No	0 points		
Readiness (20 points)		Intermodal Connections (18 points)	
<b>High-speed rail system status</b>		<b>Number of current transit modes provided</b>	
In constrained 2008 RTP	10 points	>6	5 points
Added in unconstrained RTP	2 points	4 to 6	3 points
		<4	1 point
<b>Land acquired for total project</b>		<b>Future increase in the number of transit modes</b>	
Yes	5 points	>5 added	10 points
No	0 points	3 to 5 added	6 points
		<3 added	2 points
<b>Project design status</b>		<b>OCTA concurrence with intermodal analysis</b>	
Design complete	5 points	Yes	3 points
Environmental complete	3 points	No	0 points
PSR equivalent complete	1 point		
Regional Markets / Land Use (12 points)			
<b>Adjacent freeway lane miles (within five miles)</b>			
>500 lane miles	3 points		
400 to 500 lane miles	2 points		
<400 lane miles	1 point		
<b>Current employment (within 5 miles)</b>			
>350,000	3 points		
200,000 to 350,000	2 points		
<200,000	1 point		
<b>Planned job density within 1,500 feet</b>			
>2.0 avg. floor area ratio	3 points		
1.5 to 2.0 avg. floor area ratio	2 points		
<1.5 avg. floor area ratio	1 point		
<b>Planned housing density within 1,500 feet</b>			
>35 dwelling units/acre			
20 to 35 dwelling units/acre			
<20 dwelling units/acre			

\* OCTAM - Orange County Transportation Analysis Model





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## Chapter 6 – Community Based Transit/Circulators (Project V)

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### Overview

This ~~Measure M2 (M2)~~ Program establishes a competitive process to enable local ~~jurisdictions~~agencies to develop local bus transit services that complement regional transit services, and meet needs in areas not adequately serviced by regional transit. Projects must meet specific criteria in order to compete for funding through this program. In addition, local ~~jurisdictions~~agencies will be required to demonstrate the ability to provide funding match for capital and ongoing local share of operations and maintenance using non-~~Orange County Transportation Authority (OCTA)~~ resources<sup>1</sup>. Public-private partnerships<sup>2</sup> are encouraged but not required. Local ~~jurisdictions~~agencies may partner with each other.

### Objectives

- Encourage development of local bus transit services such as community-based circulators, shuttles, and bus trolleys
- Provide services that complement regional bus and rail services and meet needs in areas not adequately served by regional transit.
- Provide alternatives to address seasonal/special event congestion
- Approximately \$300 million (nominal dollars) available from fiscal years 2010-11 to 2040-41

### Project Participation Categories

Transit needs may differ from one location to the next, and projects pursued under this program have significant latitude on how the challenge of delivering community based transit will be delivered. The program categories listed below identify key project elements that can be pursued through the Project V funding source. Selection criteria will parallel Federal Transportation Administration (FTA) programs wherever possible to aid in streamlining the competitive process. The program categories eligible for funding through Project V are:

- Bus and vehicle leases/purchases for the purposes of providing community based circulators, shuttles, and trolleys
- Bus stop improvements (including signage, furniture, and shelters) on the new route
- Maintenance facilities and fueling stations required for the new bus service

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<sup>1</sup> Fairshare revenues are considered non-OCTA resources.

<sup>2</sup> Public-private partnerships are defined as direct financial contributions or sponsorships for eligible program activities.



## Chapter 6 – Community Based Transit/Circulators (Project V)

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- Parking leases needed in response to expanded transit services required to alleviate seasonal and or special event congestion
- Seasonal and special event is eligible when:
  - Seasonal service; or
  - The event is infrequent; and
  - Attendance will exceed parking capacity; or
  - The event will create significant congestion
- Consistent with Federal Transit Administration guidelines, Americans with Disabilities Act (ADA) complementary paratransit service costs are ~~considered capital costs for the purposes of this program paid for by the program.~~
- Projects meeting minimum performance requirements may request operations funding through the operating reserve incentive
- Right-of-way is not eligible.

### Operating Reserve Incentive

OCTA has established an operating reserve as part of this program that may be used to offset the costs of operations and maintenance. The operating reserve is subject to the following requirements:

1. The project must have been awarded Project V funds through a competitive process and meet a minimum standard of 10 boardings per revenue vehicle hour on an ongoing basis. The standard of 10 boardings per revenue vehicle hour must be achieved within the first 12 months of operation and every year thereafter.
2. Awarded agencies must submit audited operations and maintenance costs and ridership and fare performance data to OCTA by September 30 of each year for the prior fiscal year
3. OCTA will reimburse awarded agencies on a pro-rata basis but not to exceed \$8 per boarding, not to exceed 90 percent of net operating and maintenance costs (after deducting fares/fees), whichever is less. The \$8 per boarding may increase annually by an OCTA-approved inflationary factor. Agencies may be awarded no more than \$525,000 annually over the life of the call period including any request for capital funding.

All submitted materials are subject to audit prior to OCTA reimbursements. Funds not used in a given year will become available for future calls for projects.



## Chapter 6 – Community Based Transit/Circulators (Project V)

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### Capital Match Funding Requirements

Local funding must meet a minimum ten percent match rate requirement for the entire capital project comprised of any combination of private contributions, advertising revenues, and local discretionary funds. Capital match rate funding commitments in excess of ten percent are eligible for additional point scoring. Match funding commitments will be incorporated into the ~~master-executed~~ funding agreement.

### Eligibility Requirements

Minimum eligibility and participation requirements must be considered before a project funding application should be submitted. Adherence to strict funding guidelines is required by the M2 Ordinance. Additional standards have been established to provide assurance that M2 funds are spent in the most prudent, effective manner. There is no guarantee that funding will be approved during a particular call for projects. If no acceptable project is identified during a funding cycle, a subsequent call for projects will be scheduled at an appropriate time.

- Applicant must be eligible to receive M2 funding (established on an annual basis) to participate in this program
- Support recommendations from Transit System Study, Go Local planning efforts and goals of the Sustainable Communities Strategy
- Supplement rather than supplant existing transit services and emphasize service to areas not served by transit
- Demonstrate local share of operations and maintenance funding for specific time horizon
- Capital equipment requires 10 percent minimum non-Orange County Transportation Authority local match
- Demonstration of cost reasonableness for new bus stop improvements
- Agency must have a financial plan outlining a funding strategy for ongoing operations and maintenance (minimum of five years)
- The service operator is OCTA. Local agencies may propose an alternate service provider which will be considered at the discretion of OCTA
- Local agency will be required to enter into a cooperative funding agreement with OCTA
- All projects must include meeting ADA requirements, and these costs must be included in the project application
- Project application must meet minimum competitive score to be deemed eligible and “of merit” (as determined by the OCTA Board of Directors [Board])



## Chapter 6 – Community Based Transit/Circulators (Project V)

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- Complete applications must be approved by the city council and partner ~~jurisdictions~~agencies prior to submittal to OCTA to demonstrate adequate community and elected official support for initial consideration
- Agencies submitting for funding must agree to follow applicable FTA requirements including FTA procurement policies; waiver requests are subject to OCTA approval
- Participation in operating reserve requires 10 percent local match after deducting fares
- Local agencies or agency's operator will be required to submit annual National Transit Database reporting.

### Selection Criteria

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on projects with firm financial commitments and overall project readiness as shown on the Project V scoring criteria. In addition, projects will be evaluated based upon ridership projections, areas served, cost effectiveness, and local/regional benefits.

### Application Process

Project ~~allocation~~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 fully evaluate the project proposal as outlined below.

- Complete application
- Provide funding/operations plan
- ~~Allocation~~Grants subject to cooperative funding agreement

The funding plan shall include, at a minimum, the following information:

- Financials (funding needs, minimum match ~~\_~~—funding availability, operations funding assurances, and public-private partnership arrangements)
- Project development and implementation schedule
- Operations and maintenance facility management
- Service coordination plan
- Any additional information deemed relevant by the applicant

A call for projects for the initial funding cycle is expected to be issued December 3, 2012, with **applications due** February 23, 2013, subject to approval by the OCTA Board.



## **Chapter 6 – Community Based Transit/Circulators (Project V)**

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Complete project applications must be submitted by the established due date to be eligible for consideration.

Applications will be reviewed by OCTA for consistency, accuracy, and concurrence. Once applications have been completed in accordance with the program requirements, the projects will be scored, ranked and submitted to the Executive Committee, and the Board for consideration and funding approval. The process is expected to be concluded by April 30, 2013.

The final approved application (including funding plan) will serve as the basis for any funding agreement required under the program.

### **Application Guidelines**

Project selection is based upon merit utilizing a series of qualitative and quantitative criteria. Candidate projects are required to submit a financial plan with sufficient data to enable an adequate evaluation of the application. Each jurisdiction is provided broad latitude in formatting, content, and approach. However, key elements described below must be clearly and concisely presented to enable timely and accurate assessment of the project.

#### Financial Details

Each candidate project application must include all phases through construction of facilities. The financial plan will include, at a minimum, the following information:

- Estimated project cost for each phase of development (planning, environmental, permitting, design, right-of-way acquisition, construction, and project oversight)
- Funding request for each phase of project implementation with match rate funding amounts and funding sources clearly identified
- Demonstrated financial commitments for local match funding and ongoing operations
- Discussion of contingency planning for revenue shortfalls
- Revenue projections and methodology where commercial activity is expected to support implementation and/or operations costs
- Project readiness status
- Realistic project schedule for each project phase

#### Scoring Criteria



## Chapter 6 – Community Based Transit/Circulators (Project V)

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The formal application must include feasibility and efficacy components to demonstrate transportation benefit to ensure the selected project(s) meet the spirit and intent of M2. Merit will be demonstrated through technical attributes and industry standard methodologies. The following data will be included and fully discussed in the application:

- Match funding and level of commitment from non-applicant partners
- Operating cost per boarding for opening year
- Annualized cost per incremental passenger trip for opening year
- Project readiness including projected opening year and phase readiness
- Projected daily boarding's with projection methodology fully presented
- Community connections; connections to fixed route bus and rail
- Planned employment densities per square mile for opening year
- Planned population densities per square mile for opening year
- Projected annual visitors served by seasonal route
- Agency experience

### Other Application Materials

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

*Council Resolution:* A council resolution authorizing request for funding consideration with a commitment of project match funding at the proposed minimum match rate (local sources) and operating funds as shown in the funding plan.

*Lease/Cost Sharing Agreements:* Copies of leases, sponsorship, and/or advertising revenue documents. Confidential agreements may be included for reference when accompanied by affidavit from city treasurer or finance director.

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

*Operations Plan:* In addition to the financial details indicated in 8.1, the operations plan submitted shall include the following technical data: a route map, draft time table,



## **Chapter 6 – Community Based Transit/Circulators (Project V)**

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headways, stop location listing, summary of vehicle types and characteristics, speed profile, fleet size, and any other applicable supporting documentation.





## **Chapter 6 – Community Based Transit/Circulators (Project V)**

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### **Reimbursements**

The capital program is administered on a reimbursement basis. Capital reimbursements will be disbursed upon review and approval of a complete expense report, performance report, and consistent with the cooperative funding agreement. Local agency revenues provided to OCTA for ongoing operating assistance will be in accordance with terms identified in the cooperative funding agreement.

### **Project Cancellation**

Projects deemed infeasible during the planning process will be cancelled and further expenditures will be prohibited except where necessitated to bring the current phase to a logical conclusion.

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 ~~allocation grant~~, and/or other sanctions to be determined. Audits shall be conducted by the OCTA Internal Audit Department or other authorized agent either through the normal annual process or on a schedule to be determined by the OCTA Board.



## Chapter 6 – Community Based Transit/Circulators (Project V)

**Table 6-1**  
**Point Breakdown for Community Based Transit/Circulators (Project V)**

A. M2 Eligible	Yes	No
B. In Go Local Planning and/or 2011 Transit Study, Supports Goals of Sustainable Communities Strategy	Yes	No
C. Minimum five year operations and maintenance plan	Yes	No
D. Total Project Cost (information only)	<div style="border: 1px solid black; padding: 2px; display: inline-block;">\$</div> (Capital)	

### Financial Commitment/Partnership (18 points)

#### Match Funding (Capital)

≥50%	10 points
40% - 49%	8 points
30% - 39%	6 points
20% - 29%	4 points
11% - 19%	2 points

#### Level of Commitment from non applicant for

##### O & M and Capital

Binding Agreement	8 points
Commitment Letter	4 points

### Cost-Effectiveness (20 points)

#### Operating Cost per Boarding Opening Year

<\$6.00	10 points
\$6.01 - \$8.99	8 points
\$9.00 - \$11.99	6 points
\$12.00 - \$15.00	4 points

#### Annualized operating and capital cost per boarding opening year

<\$7.00	10 points
\$7.01 - \$10.00	8 points
\$10.01 - \$13.00	6 points
\$13.01 - \$16.00	4 points
\$16.01 - \$20.00	2 points

### Project Readiness (20 points)

#### Estimated Opening Year

By 2014	10 points
By 2015	8 points
By 2016	4 points
By 2017	2 points

#### Phase Readiness

Planning and Environmental complete	10 points
ROW acquired or not applicable	5 points
Maintenance facilities available	1 points

### Community Connections (13 points maximum)

#### Connectivity/Activity Centers Served by Project

Senior center(s)	1 point
Schools	1 point
Retail centers	1 point
Special event venues	1 point
Major employment centers (over 250 persons)	1 point
Connections to existing service	1 point

### Fixed-Route Bus/Rail Connections (8 points)

#### Number of fixed-route bus/rail connections (w/in 1/4 mi

≥8 connections	8 points
6 - 7 connections	6 points
3 - 4 connections	4 points
1 - 2 connections	2 points

### Transit Usage (10 points)

#### Projected Average Daily Boardings (first year)

>300	10 points
201 - 299	8 points
101 - 200	6 points
50 - 100	4 points

### Local/Regional Benefit (9 points)

#### Planned Employment Densities per Square Mile (within 1/4 mile of route) Opening Year

>10,001	4 points
5,001 - 10,000	2 points
1,001 - 5,000	1 point

#### Planned Population Densities per Square Mile (within 1/4 mile of route) for Opening Year

>7,001	4 points
4,001 - 7,000	2 points
501 - 4,000	1 point

#### Projected Annual Visitors Served by Seasonal Route (4 points)

>500,000	4 points
250,000 - 499,000	3 points
249,000-100,000	2 points
99,000-50,000	1 point

### Agency Experience (2 points maximum)

#### Previously Operated Community Based Service

Shuttles or trolleys	1 Point
Vans or community circulator	1 Point
Any other service complementing regional bus and rail service	1 Point

O & M - Operations and maintenance  
ROW - Right-of-Way



## Chapter 6 – Community Based Transit/Circulators (Project V)

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## Chapter 7 – Regional Capacity Program (Project O)

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### Introduction

The ~~Regional Capacity Program (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 R~~egional 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 ~~of the State Constitution~~. In the case of any ambiguity related to Article XIX, the California State Controllers ~~Gas Tax~~ Guidelines Relating to Gas Tax Expenditures will provide additional clarification.

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

- The ~~Arterial Capacity Enhancements (ACE)~~ improvement category complements freeway improvement initiatives underway and supplements development mitigation opportunities on arterials throughout the MPAH.
- The ~~Intersection Capacity Enhancements (ICE)~~ improvement category provides funding for operational and capacity improvements at intersecting MPAH roadways.
- The ~~Freeway Arterial/Streets Transition (FAST)~~ focuses upon street to freeway interchanges and includes added emphasis upon arterial transitions to interchanges.

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

Also included under the RCP is the Rail Grade Separation Program (RGSP), which is meant to address vehicle delays and safety issues related to at-grade rail crossings. Seven rail crossing projects along the ~~Master Plan of Arterial Highways (MPAH)~~ network were identified by the ~~California Transportation Commission (CTC)~~ to receive ~~Trade Corridors Improvement Funds (TCIF)~~. These TCIF allocations required an additional local funding commitment. To meet this need, the Board approved the commitment of \$160 million in ~~Regional Capacity Program~~ RCP funds to be allocated from M2. The



## **Chapter 7 – Regional Capacity Program (Project O)**

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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 set aside has been established for street widening.



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## **Chapter 7 – Regional Capacity Program (Project O)**

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### **Section 7.1 – Arterial Capacity Enhancements (ACE)**

#### **Overview**

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

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

#### **Objectives**

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

#### **Project Participation Categories**

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

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

#### **Eligible Activities**

- Planning, environmental clearance
- Design
- ~~Right-of-way~~ Right-of-way acquisition
- Construction (including curb-to-curb, landscaping, lighting, drainage, etc.)



## Chapter 7 – Regional Capacity Program (**Project O**)

### Potentially Eligible Items

- Direct environmental mitigation for projects funded by ACE
- Storm drains/catch basins/detention basins/bioswales/other pollutant discharge mitigation devices
- Sound walls (in conjunction with roadway improvement mitigation measures)
- Aesthetic improvements including landscaping within the project ROW-right-of-way (eligible improvements up to 25%10 percent of construction costs, provided costs are reasonable for the transportation benefit)
- ITS infrastructure (advance placement in anticipation of future project)
- Rehabilitation and/or resurfacing of existing pavement when necessitated by proposed improvement (such as change in profile and cross section)
- Improvements to private property if part of a right-of-way settlement agreement
- Utility relocation where the serving utility has prior rights as evidenced by a recorded legal document
- Roadway grading within the right-of-way should not exceed a depth for normal roadway excavation (e.g. structural section). Additional grading (e.g. over excavation for poor soil conditions) will be considered on a case by case basis.
- Additional right-of-way to accommodate significant pedestrian volumes or bikeways shown on a Master Plan of Bikeways or in conjunction with the “Complete Streets” effort. These will be considered for eligibility on a case by case basis during the application process.

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

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





## Chapter 7 – Regional Capacity Program (Project O)

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The relocation of detention basins/bioswales are potentially eligible dependant on prior rights and will be giving-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. Aesthetic enhancements and landscaping in excess of minimum environmental mitigation requirements are subject to limitations described in this section above.

Roadway grading will be eligible for structural sections. Rough roadway grading must be complete prior to project start.

### Utility Relocations

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

- The relocation is made necessary by-thedue to conflict with proposed improvements.
- The facility to be relocated is within the project right-of-wayright-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, ~~or~~ a finding by the local agency's counsel, or other recorded legal document. Documentation providing proof of the local agency's liability for the costs of utility relocation must be submitted with an initial payment request (see Chapter 10). Utilities funded through enterprise funds shall not be eligible for reimbursement.

If a relocation is eligible to be reimbursed, and to be performed by the utility owner or by the utility owner's contractor, the work should be included in the ROW-right-of-way phase costs and clearly identified in the project application submittal. For eligible relocations to be performed during the construction phase by the local agency's contractor, the work should be included in the plans and specifications like-anysimilar to other construction ~~activity~~activities. Adjustment of existing utilities to grade (e.g. water valves, manhole frames and covers), due to new roadway cross sections are generally eligible in the construction phase. 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.

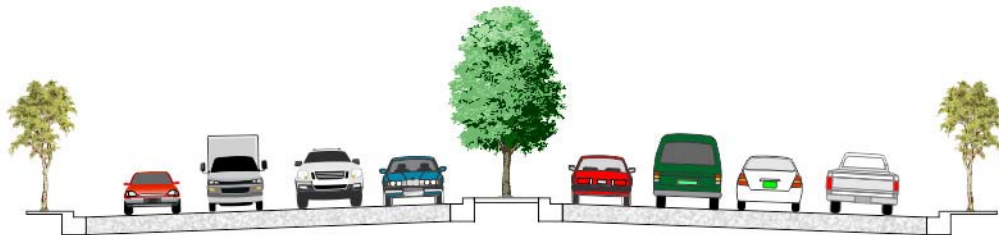
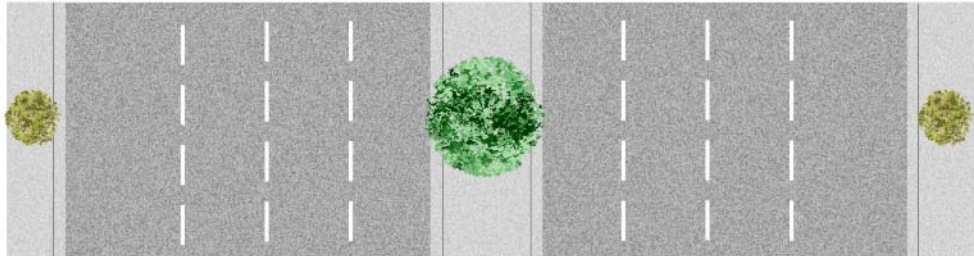


### Ineligible Expenditures

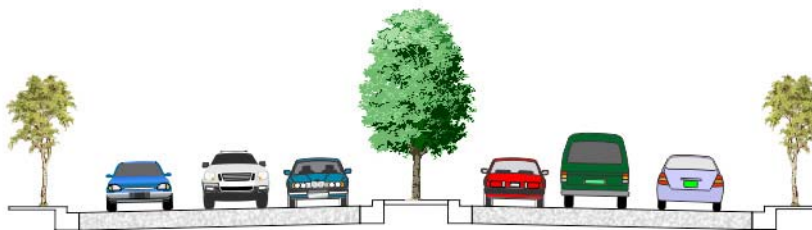
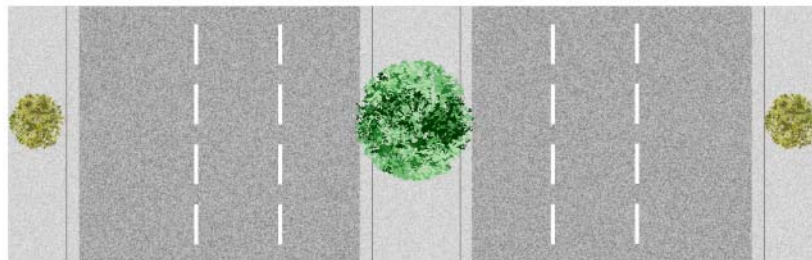
Items that are not eligible under the ACE Program are:

- Rehabilitation (unless performed as component of capacity enhancement **project**)
- Reconstruction (unless performed as component of capacity enhancement project)
- Grade Separation Projects
- Enhanced landscaping and aesthetics (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape)
- ~~Right-of-way~~Right-of-way acquisition and construction costs for improvements greater than the typical ~~right-of-way~~right-of-way width for the applicable MPAH Roadway Classification. (See standard MPAH cross sections in Exhibit 7-1) ~~Eligibility for additional right-of-way to accommodate significant pedestrian volumes or bikeways shown on a Master Plan of Bikeways or in conjunction with the "Complete Streets" effort will be considered for reimbursement on a case by case basis.~~ Where full parcel acquisitions are necessary to meet typical ~~right-of-way~~right-of-way requirements for the MPAH classification, any excess parcels shall be disposed of in accordance with the provisions of these guidelines, ~~and~~ State statutes as outlined in Article XIX and the California State Controllers Guidelines Relating to Gas Tax Expenditures.
- Utility Betterments

Exhibit 7-1  
Standard MPAH Cross Sections

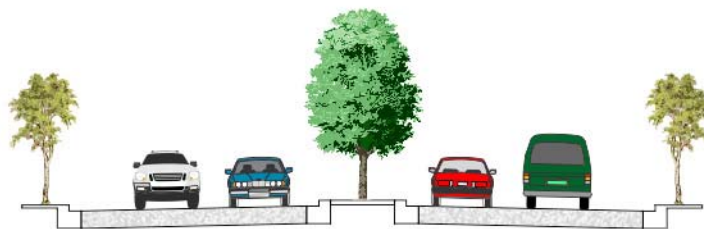
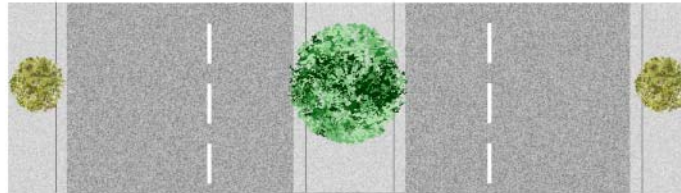


PRINCIPAL  
144 FT  
(8 LANES, DIVIDED)

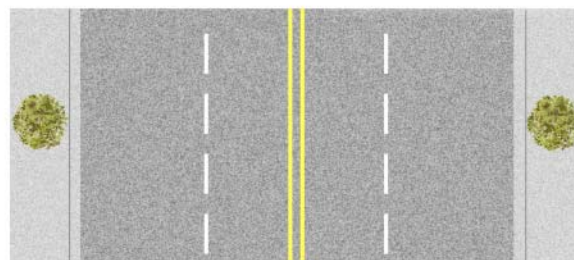


MAJOR  
120FT  
(6 LANES, DIVIDED)

Exhibit 7-1 *continued*  
Standard MPAH Cross Sections

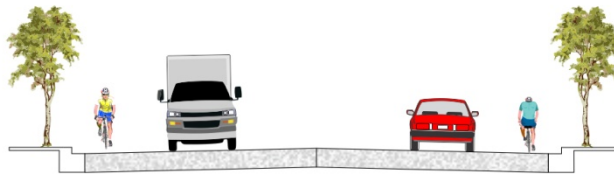
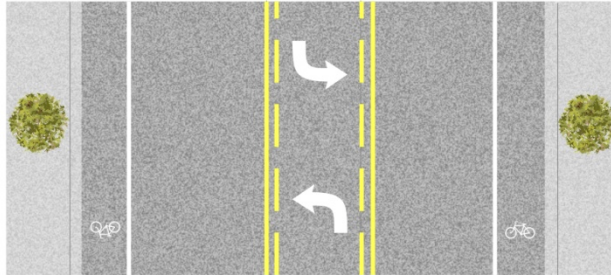


PRIMARY  
100 FT  
(4 LANES, DIVIDED)

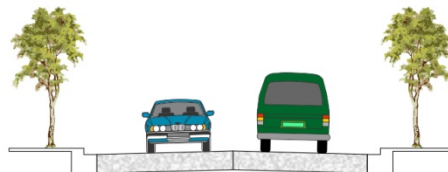
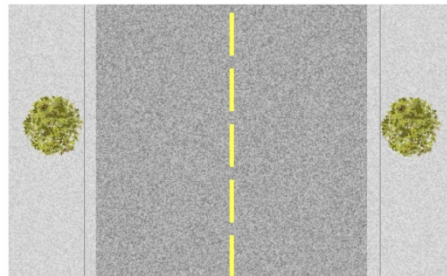


SECONDARY  
80 FT  
(4 LANES, UNDIVIDED)

Exhibit 7-1 *continued*  
Standard MPAH Cross Sections



DIVIDED COLLECTOR  
80 FT  
(2 LANES, DIVIDED)



COLLECTOR  
56 FT  
(2 LANES, UNDIVIDED)



## Chapter 7 – Regional Capacity Program (**Project O**)

### Master Plan of Arterial Highway Capacities

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

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

*Note: Values are maximum Average Daily Traffic*

### Selection Criteria

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

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts or current OCTA Traffic Flow Map data for the proposed segment for comparison purposes. The agency must submit the project projected ADT, current ADT, the delta, ~~as well as~~ and a justification of the increase. Regarding "current" counts, these are defined as those taken for a typical mid-week period within the preceding 12-month ~~s-period~~. Regarding "current" OCTA Traffic Flow Map data, it is defined as counts provided within the preceding 36 months. Projects submitted without "current counts" will be considered incomplete and non-responsive. New facilities will be modeled through OCTAM and requests should be submitted to OCTA with sufficient time to generate report prior to submittal of application.





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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.

~~Vehicle Miles Travelled (VMT)~~: Centerline length of segment proposed for improvement multiplied by the existing ADT for the proposed segment length. Measurement must be taken proximate to capacity increase.

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

- Right-of-Way (All easements and titles) - applies where no ~~ROW~~ right-of-way is needed for the project or where all ~~ROW~~ right-of-way has been acquired/dedicated).
- Right-of-Way (all offers issued) - applies where offers have been made for every parcel where acquisition is required and/or offers of dedication have been received by the jurisdiction.
- Final Design (PS&E) - applies where the jurisdiction's City engineer or other authorized person has approved the final design.
- Preliminary design (35% percent level) - will require certification from the City Engineer and is subject to verification.
- Environmental Approvals - applies where all environmental clearances have been obtained on the project.

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

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

Transportation Significance: Roadway classification as shown in the current ~~Master Plan of Arterial Highways~~ (MPAH).

MPAH Needs Assessment Category: Segment designation as shown in the ~~Regional Capacity Program~~ RCP Needs Assessment study.



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

- Pedestrian Facilities: Placement of a new sidewalk where none currently exists along entire segment of proposed project.
- Meets MPAH configuration: Improvement of roadway to full MPAH standard for the segment classification.
- Active Transit Route(s): Segments served by fixed route public transit service.
- Bus Turnouts: Construction of bus turnouts.
- Bike Lanes: Installation of new bike lanes (Class I or II)
- Median (Raised): Installation of a mid-block raised median where none exists today. Can be provided in conjunction with meeting MPAH standards.
- Remove On-street Parking: Elimination of on-street parking in conjunction with roadway widening project. Can be provided in conjunction with meeting MPAH standards and installation of new bike lanes.
- Other (Golf cart paths in conformance with California Vehicle Code and which are demonstrated to remove vehicle trips from roadway).

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

- Gap Closures: the construction of a roadway to its full MPAH build-out for the purpose of connecting two existing ends of that roadway by filling in a missing segment or for completing the terminus of an MPAH roadway. This applies to increased roadway capacity only as it relates to vehicular traffic.
- New Facility/Extensions: Construction of new roadways.
- Bridge crossing: Widening of bridge crossing within the project limits.
- 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.

~~Level of Service (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.** Projects that do not meet the minimum LOS “D” can be submitted, but are not guaranteed consideration as part of the competitive process.

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





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### Application Process

Project ~~allocation 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 ~~d~~ below. Detailed instructions and checklists are provided in Chapter 9.

- Complete application
  - Funding needs by phase and fiscal year
  - ~~Local committed M~~match funding source, confirmed through city council resolution or minute order
  - Supporting technical information (including current traffic counts)
  - Project development and implementation schedule
  - ~~Right-of-way~~Right-of-way status and strategy for acquisition/disposal of excess ~~ROW~~right-of-way
  - Any additional information deemed relevant by the applicant
- ~~Allocation~~Grants subject to Master Funding Agreement

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

Applications will be reviewed by ~~the Authority~~OCTA for consistency, accuracy and concurrence. Once applications have been completed in accordance with the program requirements, the projects will be scored, ranked and submitted to the TSC, TAC and Board ~~of Directors~~ for consideration and funding approval.

### Minimum Eligibility Requirements

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

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

### New Facilities

Facility Modeling: For consistency purposes, all proposed new facilities will be modeled by OCTA using the most current version of Orange County Transportation Analysis Model (OCTAM). Applicants may supplement their application with a locally-derived



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model with OCTAM used for validation purposes. The facility will be modeled with the lane capacity reflected in the application.

Average Daily ~~Traffic-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.

~~Level-of-Service~~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 ~~E~~existing LOS and LOS ~~i~~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 ~~No. 3~~, the minimum local match requirement is 50% percent with potential to reduce this amount if certain eligibility requirements are met. The amount pledged during the application process is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project. Actual project contributions by the local agency are dependent on final project costs and may not be equal to the committed match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures do not contribute to the local match rate.

### Other Application Materials

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

Council Approval: A Council Resolution or Minute Order action authorizing request for funding consideration with a commitment of project-local match funding (~~local sources~~) 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.**



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

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

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

~~Project Summary Information: With each application, 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. Should the project submitted be recommended for funding, agency staff should be prepared to present the PowerPoint to the TSC.~~

### Reimbursements

This program is administered on a reimbursement basis for capital improvements, planning, design, and right-of-way acquisition. Reimbursements will be disbursed upon review and approval of an acceptable initial payment submittal, final report, and consistency with Master Funding Agreement or cooperative agreement ~~if federal funds are awarded~~. The reimbursement process is more fully described in Chapter 10 of this manual.



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### 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 ~~Right-of-way~~ funding received for property acquisition prior to cancellation shall be repaid upon cancellation even if property has been acquired. Construction funding received prior to cancellation shall be repaid upon cancellation.

~~Projects deemed infeasible during the planning phase will be cancelled and further expenditures will be prohibited (except where necessary to conclude the current phase). Right of way acquired for projects that are cancelled prior to construction will require repayment to the contributing funding program(s) within a reasonable time as determined by the OCTA Board of Directors.~~

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 allocation 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 ~~OCTA Board of Directors. (See Chapter 11).~~ for detailed independent audit requirements.

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



TABLE 7-1

## Regional Capacity Program Street Widening

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

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

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



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### Section 7.2 – Intersection Capacity Enhancements (ICE)

#### Overview

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

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

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

#### Objectives

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

#### Project Participation Categories

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

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

#### Eligible Activities



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

### Potentially Eligible 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-right-of-way~~ right-of-way (eligible improvements up to ~~25%~~ 10 percent of construction costs, provided costs are reasonable for the transportation benefit)
- Signal equipment (as incidental component of program)
- Rehabilitation and/or resurfacing of existing pavement when necessitated by proposed improvement (such as change in profile and cross section)
- Improvements to private property if part of a right-of-way settlement agreement
- Utility relocation where the serving utility has prior rights as evidenced by a recorded legal document
- Roadway grading within the right-of-way should not exceed a depth for normal roadway excavation (e.g. structural section). Additional grading (e.g. over excavation for poor soil conditions) will be considered on a case by case basis

### Ineligible Items

- ~~Right-of-way~~Right-of-way acquisition greater than the typical ~~right-of-way~~right-of-way width for the applicable MPAH Roadway Classification. Additional turn lanes not exceeding 12 feet in width needed to maintain an intersection LOS D requiring ~~right-of-way~~right-of-way in excess of the typical ~~right-of-way~~right-of-way width for the applicable MPAH classification shall be fully eligible. Where full parcel acquisitions are necessary to meet typical ~~right-of-way~~right-of-way requirements for the MPAH classification any excess parcels shall be disposed of in accordance with the provisions of these guidelines and State statutes.
- 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~~7~~, and only as contained in the environmental document. Program participation in environmental mitigation shall not exceed ~~50~~25 percent of the total eligible project costs.





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Longitudinal storm drains are eligible for program participation when, ~~in the opinion of the TAG,~~ the storm drain is an incidental part (cost is less than ~~50-25~~ percent of the total eligible improvement cost) of an eligible improvement. Program participation shall not exceed ~~25-10~~ percent of the cost of storm drain longitudinal/parallel and main lines. Storm drain inlets, connectors, laterals and cross culverts shall have full participation in ICE improvement category funding. Storm drains outside standard MPAH right-of-way widths are not eligible, excluding catch basins within reasonable distance and in general proximity to a project intersection (e.g. within ten feet of the curb return). Catch basins and drainage systems extending into adjacent areas (including public streets) shall not be eligible past the first catch basin designated by aforementioned criteria.

Soundwalls are eligible only if they are required as part of the environmental clearance for the proposed project. Aesthetic enhancements and landscaping in excess of minimum environmental mitigation requirements are subject to limitations described in the "Potentially Eligible Item" section above. Program participation for soundwalls shall not exceed 50 percent of the total eligible project costs.

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

Roadway grading is eligible for structural sections. OCTA assumes rough roadway grading is complete prior to project start and is considered an ineligible item.

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

Liability can be determined by property rights, franchise rights/agreements, state and local statutes/ordinances, permits, a finding by the local agency's counsel, or other recorded legal document. Documentation providing proof of the local agency's liability for the costs of utility relocation must be submitted with an initial payment request (see Chapter 10). Utilities funded through enterprise funds shall not be eligible for reimbursement.



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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-right-of-way phase costs and clearly identified in the project application submittal. For eligible relocations to be performed during the construction phase by the local agency's contractor, the work should be included in the plans and specifications similar to other construction activities. Adjustment of existing utilities to grade (e.g. water valves, manhole frames and covers), due to new roadway cross sections are generally eligible in the construction phase.

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

### Selection Criteria

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

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts or current OCTA Traffic Flow Map data for the proposed segment for comparison purposes. The agency must submit the project projected ADT, current ADT, the delta, ~~as well as 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 ~~s-period~~. Regarding "current" OCTA Traffic Flow Map data, it is defined as counts provided within the preceding 36 months. Project applications without "current" counts will be deemed incomplete and non-responsive. Average ADT for the east and west legs of the intersection will be added to the average ADT for the north and south legs.

For agencies where event, 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.

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

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



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

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

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

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 ~~Master Plan of Arterial Highways~~ (MPAH).

MPAH Needs Assessment Category: Segment designation as shown in the ~~Regional Capacity Program~~ RCP Needs Assessment study.

Operational Efficiencies: This category is additive. Each category must be a new feature added as a part of the proposed project.

- Bike Lanes: Extension of bike lanes (Class I or II) through intersection
- Bus Turnouts: Construction of a bus turnout as a new feature.
- Lowers density: Addition of through travel lanes.
- Channels traffic: Addition and/or extension of turn pockets (other than free right turn).
- Free right turn: installation of new free right or conversion of an existing right turn to free right



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- 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.

~~Level of Service (LOS)~~ Improvement: This category is a product of the existing or projected LOS based upon volume/capacity– or v/c -- and LOS improvement “with project” using Intersection Capacity Utilization (ICU) calculation with 1,700 vehicles per lane per hour and a .05 clearance interval. Calculations will be based upon “current” arterial link and turning movement counts projected to opening year. **Projects must meet a minimum existing or projected LOS of “D” (.81 v/c) to qualify for priority consideration for funding.** Projects that do not meet the minimum LOS “D” can be submitted, but are not guaranteed consideration as part of the competitive process.

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



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### Application Process

Project ~~allocation~~grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to evaluate the project proposal as outlined below. Detailed instructions and checklists are provided in Chapter 9.

- Complete application
  - Funding needs by phase and fiscal year
  - Local m~~Match~~ funding source, confirmed through city council resolution or minute order
  - Supporting technical information (including current arterial link and turning movement counts)
  - Project development and implementation schedule
  - Right-of-way~~Right-of-way~~ status and strategy for acquisition
  - Any additional information deemed relevant by the applicant
- Allocation~~Grant~~s subject to master funding agreement

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

Applications will be reviewed by ~~the Authority~~OCTA for consistency, accuracy, and concurrence. Once applications have been completed in accordance with the program requirements, the projects will be scored, ranked and submitted to the TSC, TAC and Board ~~of Directors~~ for consideration and funding approval.

### Minimum Eligibility Requirements

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

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

### Matching Funds

Local agencies are required to provide local match funding for each phase of the project. As prescribed by the M2 Ordinance~~No. 3~~, the minimum local match requirement is 50% percent with potential to reduce this amount if certain eligibility requirements are met. The amount pledged during the application process is considered



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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 project-local match funding ~~(local sources)~~ 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.**

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. The applicant will be asked for detailed information only if necessary to adequately evaluate the project application.

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

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



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~~With each application, 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. Should the project submitted be recommended for funding, agency staff should be prepared to present the PowerPoint to the TSC.~~

### Reimbursements

This program is administered on a reimbursement basis for capital improvements, planning, design, and ~~right-of-way~~right-of-way acquisition. Reimbursements will be disbursed upon review and approval of an acceptable initial payment submittal, final report and consistency with ~~master funding agreement~~Master Funding Agreement or cooperative agreement ~~if federal funds are awarded~~. The reimbursement process is more fully described in Chapter 10 of this manual.

### Project Cancellation

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

~~Projects deemed infeasible during the planning phase will be cancelled and further expenditures will be prohibited except where necessary to bring the current phase to a logical conclusion. Right of way acquired for projects which are cancelled prior to construction will require repayment to the contributing funding program(s) within a reasonable time as determined by the OCTA Board of Directors.~~

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,



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reduction in overall ~~allocation~~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 ~~OCTA Board of Directors.~~ (See Chapter 11). ~~for detailed independent audit requirements.~~

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





TABLE 7-3

## Regional Capacity Program Intersection Improvement

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



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

Facility Usage			Points: 20	Facility Importance			Points: 30
ADT				Transportation Significance			
Range*			Points	Range			Points
60+	thousand		15	Principal or CMP Route			5
55 - 59	thousand		13	Major			4
50 - 54	thousand		11	Primary			3
45 - 49	thousand		9	Secondary			2
40 - 44	thousand		7	Collector			1
35 - 39	thousand		5				
30 - 34	thousand		3	MPAH Assessment Category			
25 - 29	thousand		1	Range			Points
* Sum of AVG ADT for all four legs based upon OCTA Traffic Flow Map				Category 1			10
				Category 2			8
				Category 3			6
				Category 4			4
				Category 5			2
Current Project Readiness			Max Points: 5	Operational Efficiencies			
Range*			Points	Characteristics (i.e.)			Points
Environmental Approvals			1	Bike lanes			4
Preliminary Design (35%)			1	Bus turnouts			4
Right Of Way (All offers issued)			1	Lowers density			3
Right Of Way (All easement and titles)			3	Channels traffic			3
Final Design (PS&E)			2	Free right			4
Points are additive, Design and ROW limited to highest qualifying designation				Protected/Permissive left turn			2
				Ped. facilities (new )			4
				Grade separations			10
				*contains a combination of the above up to 15 pts			
<b>Economic Effectiveness</b>			<b>Points: 25</b>	<b>Benefit:</b>			<b>Points: 25</b>
Cost Benefit (Total \$/ADT)				LOS Improvement			Max Points: 25
Range*			Points	Calculation: LOS Imp x LOS Starting Pt.			
<10			15	Existing LOS (Peak Hour)			
11-20			12	Range			Points
21-30			9	1.01+			5
31-50			7	.96 - 1.00			4
51-75			5	.91 - .95			3
76-100			3	.86-.90			2
>100			1	.81 - .85			1
* = total cost / average ADT				LOS Reduction W/Project (exist. volume)			
Funding Over-Match (local match/project cost) minus minimum local match requirement				Range			Points
Range			Points	.20+			5
25+ %			5	.16-.19			4
20 - 24 %			4	.1-.15			3
15 - 19 %			3	.05-.09			2
10 - 14 %			2	<.05			1
5-9 %			1				
0-4 %			0				
Coordination with Contiguous Project							
Range			Points				
yes			5				
no			0				
Coordination based upon similar project schedule							



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### Section 7.3 – Freeway Arterial/Streets Transitions (FAST)

#### Overview

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

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

#### Objectives

- Improve transition to and from Orange County freeways
- Provide timely investment of M2 revenues

#### Project Participation Categories

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

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

#### Eligible Activities

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



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### Potentially Eligible Items

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

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

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

Soundwalls are eligible only if they are required as part of the environmental ~~clearance~~mitigation for the proposed project. ~~Program participation for soundwalls shall not exceed 50 percent of the total eligible project costs.~~Aesthetic enhancements and landscaping in



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excess of minimum environmental mitigation requirements are subject to limitations described in this section above.

The relocation of detention basins/bioswales are potentially eligible dependant 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. OCTA assumes rough roadway grading is complete prior to project start and is considered an ineligible item.

### **Utility Relocations**

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

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

Liability can be determined by property rights, franchise rights/agreements, state and local statutes/ordinances, permits, a finding by the local agency's counsel, or other recorded legal document. Documentation providing proof of the local agency's liability for the costs of utility relocation must be submitted with an initial payment request (see Chapter 10). Utilities funded through enterprise funds shall not be eligible for reimbursement.

If a relocation is eligible to be reimbursed, and to be performed by the utility owner or by the utility owner's contractor, the work should be included in the ~~ROW~~right-of-way phase costs and clearly identified in the project application submittal. For eligible relocations to be performed during the construction phase by the local agency's contractor, the work should be included in the plans and specifications similar to other construction activities. Adjustment of existing utilities to grade (e.g. water valves, manhole frames and covers), due to new roadway cross sections are generally eligible in the construction phase.

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

### **Ineligible Projects**



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- Seismic retrofit projects (unless combined with eligible capacity enhancements)
- Enhanced landscaping and aesthetics (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape).

### Selection Criteria

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

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts and ramp volumes projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts or current OCTA Traffic Flow Map data for the proposed segment for comparison purposes. The agency must submit the project projected ADT, current ADT, the delta, ~~as well as a~~ 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 ~~s-period~~. Regarding “current” OCTA Traffic Flow Map data, it is defined as counts provided within the preceding 36 months. Project applications without “current” counts will be deemed incomplete and non-responsive. Average ramp intersection volume for each interchange ramp will be used for the current counts. New facilities will rely on projected ramp volume based upon Caltrans approved projection.

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

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

- Right-of-Way (all easements and titles) – applies where no ~~ROW~~ right-of-way is needed for the project or where all ~~ROW~~ right-of-way has been acquired/dedicated).
- Right-Right-of-of-Way (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication have been received by the jurisdiction.
- Final Design (PS&E) – applies where the jurisdiction's City engineer or other authorized person has approved the final design.
- Preliminary design (35% percent level) – will require certification from the City engineer and is subject to verification.



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- Project Approvals/Environmental Documentation (PA/ED) — applies where a Project Report-level analysis has been completed and environmental approvals have been attained.

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

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

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

Transportation Significance: Roadway classification as shown in the current ~~Master Plan of Arterial Highways (MPAH)~~.

MPAH Needs Assessment Category: Segment designation as shown in the ~~Regional Capacity Program RCP Needs~~ Assessment study.

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

- Eliminate left turn conflicts: Ramp intersection reconfiguration which does not permit left turns onto ramps.
- Coordinated signal: Ramp intersections within a coordinated corridor where coordination did not previously exist.
- Add turn lanes: Increase in number of turn lanes on arterial.
- Add traffic control: Signalization of ramp intersection.
- Enhanced ramp storage: Extension or widening of existing ramp to improve off-street storage capacity.
- Pedestrian facilities: Add crosswalk and or sidewalk to ramp or bridge crossing within context of interchange improvements: —.
- Active Transit Route: facility contains a currently active OCTA transit route

~~Level of Service (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”**



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**(.81 v/c) to qualify for priority consideration for funding.** Projects that do not meet the minimum LOS "D" can be submitted, but are not guaranteed consideration as part of the competitive process.

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

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

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

### Application Process

Project ~~allocation grant~~s 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 m~~Match funding source, confirmed through city council resolution or minute order
  - Supporting technical information
  - Project development and implementation schedule
  - ~~Right-of-way~~Right-of-way status and strategy for acquisition
  - Any additional information deemed relevant by the applicant
- ~~Allocation Grants~~ subject to ~~master funding agreement~~ 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.





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Applications will be reviewed by ~~the Authority~~OCTA for consistency, accuracy and concurrence. Once applications have been completed in accordance with the program requirements, the projects will be scored, ranked and submitted to the ~~TSC,~~TAC and Board ~~of Directors~~ for consideration and funding approval.

### Minimum Eligibility Requirements

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

~~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 jurisdictions. However, the Orange County Transportation Authority wants to ensure that Caltrans facilities are not negatively affected.~~

### Matching Funds

Local agencies are required to provide local match funding for each phase of the project. As prescribed by the M2 Ordinance ~~No. 3~~, a 50% percent minimum local match is required. A lower local match may be permitted if certain eligibility criteria are met. The amount pledged during the application process is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project. Actual project contributions by the local agency are dependent on final project costs and may not be equal to the committed match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures do not contribute to the local match rate.

### Reimbursements

This program is administered on a reimbursement basis for capital improvements, planning, design, and ~~right-of-way~~right-of-way acquisition. Reimbursements will be disbursed upon review and approval of an acceptable initial payment submittal, final report and consistency with Master Funding Agreement. The reimbursement process is described in Chapter 10.

### Caltrans Coordination



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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 aAgencies should therefore establish contacts ~~at~~with the Caltrans District 12 Office (Project Development Branch) to ensure that candidate projects have been reviewed and approved by Caltrans. All other affected jurisdictionsagencies should be consulted as well.

**Agencies submitting projects for this program must have confirmation from Caltrans that the proposed improvement is consistent with other freeway improvements.**

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



## Chapter 7 – Regional Capacity Program (**Project O**)

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### 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. ROWRight-of-way funding received for property acquisition prior to cancellation shall be repaid upon cancellation even if property has been acquired. Construction funding received prior to cancellation shall be repaid upon cancellation.

~~Projects deemed infeasible during the planning phase will be cancelled and further expenditures will be prohibited (except where necessary to bring the current phase to a logical conclusion. Right of way acquired for projects which are cancelled prior to construction will require repayment to the contributing funding program(s) within a reasonable time as determined by the OCTA Board of Directors.~~

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 allocationgrant, 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 ~~OCTA Board of Directors. S (see Chapter 11) for detailed independent audit requirements.~~

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



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Council ~~Resolution~~**Approval**: A Council Resolution or minute order authorizing request for funding consideration with a commitment of ~~project-local~~ match funding ~~(local sources)~~ 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.**

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. The applicant will be asked for detailed information only if necessary to adequately evaluate the project application.

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

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

~~Project Summary Information: With each application, 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. Should the project submitted be recommended for funding, agency staff should be prepared to present the PowerPoint to the TSC.~~



TABLE 7-5

## Freeway/Arterial Street Transitions Interchange Improvements

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

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TABLE 7-6

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

Facility Usage			Points: 20	Facility Importance			Points: 25
ADT (Arterial plus daily exist volume)				Transportation Significance			
range			points	range			points
55+	thousand		10	Principal or CMP Route			5
50 - 54	thousand		9	Major			4
45 - 49	thousand		8	Primary			3
40 - 44	thousand		6	Secondary			2
35 - 39	thousand		4	Collector			1
30 - 34	thousand		3				
25 - 29	thousand		2	MPAH Assessment Category			
20 - 24	thousand		1	range			points
15 - 19	thousand		0	Category 1			10
10-14	thousand		0	Category 2			8
<10	thousand		0	Category 3			6
				Category 4			4
				Category 5			2
Current Project Readiness			Max. 10 pts.	Operational Efficiencies			Max. 10 pts.
range			points	characteristic(s)			points
Right Of Way (All easement and titles)			6	Eliminate left turn conflict			3
Right Of Way (All offers issued)			4	Coordinated signal			2
Final Design (PS&E)			3	Add turn lanes			3
PA/ED			2	Add traffic Control			1
Project Study Report or Equiv.			1	Enhanced ramp storage			3
				Pedestrian Facilities (New )			3
Points are additive, ROW is highest qualifying designation				*contains a combination of the above			
Economic Effectiveness			Points: 25	Benefit			Points: 30
Cost Benefit (Total \$/ADT)							
range			points				
<20			10	LOS Improvement			Max: 20
20-39			8				
40-79			6	Calculation: Ave LOS Imp + Ave LOS Starting Pt.			
80-159			4	LOS Reduction W/Project (exist. volume)			
160-319			2	range			points
320-640			1	.20+			10
>640			0	.16 - .19			8
				.1 - .15			6
Funding Over-Match (local match/project cost) minus				.05 - .09			4
minimum local match requirement				<.05			2
range			Points	Existing LOS			
30+ %			10	range			points
25-29 %			8	1.06+			10
20-24 %			6	1.01 - 1.05			8
15-19 %			4	.96 - 1.00			6
10-14 %			2	.91 - .95			4
0-9 %			1	.86 - .90			2
Range refers to % points above agency min. req.				.81 - .85			1
Coordination w with Freeway Project				Improvement Characteristics			
Range			Points	characteristic(s)			points
yes			5	New facility (full interchange)			10
no			0	New facility (partial interchange)			8
				Interchange reconstruction			6
				Ramp reconfiguration			4
				Ramp metering			2



## **Chapter 7 – Regional Capacity Program**

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### **Section 7.4 – Regional Grade Separation Program (RGSP)**

#### **Background**

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

Future calls for projects for grade separations are not anticipated.



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## Chapter 8 – Regional Traffic Signal Synchronization Program



### Overview

The Project P/ Regional Traffic Signal Synchronization Program (RTSSP) includes competitive funding for the coordination of traffic signals across jurisdictional boundaries in addition to operational and maintenance funding. OCTA will provide funding priority to programs and projects which are multi-jurisdictional in nature.

The ~~Project P/ Regional Traffic Signal Synchronization Program~~ RTSSP is based on the Traffic Signal Synchronization Master Plan (Master Plan). The ~~OCTA Board of Directors~~ adopted the Master Plan as an element of the MPAH on July 26, 2010. The Master Plan defines the foundation of the ~~Regional Traffic Signal Synchronization Program~~ RTSSP. The Master Plan consists of the following components:

- Regional signal synchronization network
- Priority corridors for accelerated signal synchronization
- Definition of Traffic Forums
- Model agreements presenting roles and responsibilities for Project P
- Signal synchronization regional assessment every three years

The Master Plan will be reviewed and updated by OCTA every three years and will provide details on the status and performance of the traffic signal synchronization activities over that period. Local ~~jurisdictions~~ 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" ~~document~~ dated ~~September 15, 2010~~ April 2014. A hard copy of these guidelines can be requested from OCTA.

The remainder of this chapter details the key components of ~~Project P/ Regional Traffic Signal Synchronization Program~~ the RTSSP:

- Funding guidelines for the competitive call for projects
- ~~Reimbursements and reporting requirements as described in Chapter 10~~
- 2014-2015 Call for Projects

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

## Chapter 8 – Regional Traffic Signal Synchronization Program

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### Section 8.1 – Funding Guidelines

#### Objectives

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

#### Project Definition

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

Projects must consist of a corridor along the priority corridor network, signal synchronization network, or the Master Plan of Arterial Highways (MPAH). Projects previously awarded RTSSP funding must be complete with a final report submitted and approved by OCTA<sup>+</sup>. Projects can be the full length of the corridor or a segment that complies with the project requirements identified later in the chapter.

~~Note, eC~~ommunication system improvements that directly benefit signal synchronization along the project corridor limits, but are not physically within the project corridor, are eligible for inclusion in a project.

#### Eligible Activities

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

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

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<sup>+</sup>~~-Also eligible will be corridors previously granted RTSSP funding that cancel the existing allocation prior to funding award.~~

## Chapter 8 – Regional Traffic Signal Synchronization Program

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- “Before” and “after” studies for the project using travel times, average speeds, green lights to red lights, average stops per mile, and green house gases

In addition to developing optimized signal timing, a project may include other improvements as long as they contribute to the goal of multi-agency signal synchronization of corridors throughout Orange County. These improvements are restricted to the signal synchronization project limits, with the exception of communications that are installed from a central location to the project corridor. All improvements must be designed to enhance the specific project. The following are a list of potentially eligible items as part of a signal coordination project:

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

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

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

### Ineligible Expenditures

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

### Funding Estimates

## Chapter 8 – Regional Traffic Signal Synchronization Program



The streets and roads component of ~~Measure M2 (M2)~~ is to receive 32 percent of net revenues, 4 percent of which are allocated for ~~Project P or the Program~~ the RTSSP. The ~~Program~~ 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 ~~Program~~ RTSSP targets over 2,000 intersections across Orange County for coordinated operations. Because of the limited amount of funds available for ~~Project P~~ the RTSSP, project cap of \$60,000 per signal or \$200,000 per project corridor mile included as part of each project (whichever is higher) has been established for the call for projects.

### Selection Criteria

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

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

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

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

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

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

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

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

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

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

Current Project Readiness: Points are earned based on the start date of the project. (maximum: 5 points)

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

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Table 8-1  
RTSSP Selection Criteria for Eligible Projects  
Maximum Points = 100

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

## Chapter 8 – Regional Traffic Signal Synchronization Program



### Application Process

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

- Funding needs by phase and fiscal year
- Percent match ~~rate~~ including funds type, source, and description (minimum 20% ~~percent~~)
- Lead agency Option 1 (default – local agency) or Option 2 (OCTA)
- Lead and supporting agencies names
- Supporting technical information
- Project development and implementation schedule
- Environmental clearances and other permits
- Any additional information deemed relevant by the applicant

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

Applications will be reviewed by OCTA for consistency, accuracy, and concurrence. Once applications have been completed in accordance with the Program requirements, the projects will be scored, ranked, and submitted to the ~~Technical Steering Committee, Technical Advisory Committee~~ 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. ~~Allocation Grants~~ will be subject to funding agreements with OCTA.

### Application Instructions

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

### OCFundtracker Application Components



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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 ~~(see “Project P Funding Guidelines” for additional information)~~:

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

### Minimum Eligibility Requirements

All ~~M2-eligible Orange County cities and the County of Orange~~local agencies may participate in ~~this Program~~the RTSSP. Caltrans facilities are eligible for ~~this Program~~the RTSSP, but Caltrans cannot act as the lead agency. Local aAgencies will be required to provide a minimum of 20 percent matching funds for eligible projects (see definition of matching funds below).

The goal of ~~Project P~~the RTSSP is to provide regional signal synchronization that cross jurisdictional boundaries. To be eligible for funding through this Program, a project must meet the following requirements:

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

or

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

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or

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

or

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

### Matching Funds

Local agencies along the corridor are required to provide minimum local match funding of 20 percent for each project. As prescribed by the M2 Ordinance~~Number 3~~, this includes local sources, M2 Fair Share, and other public or private sources (herein referred to as a “cash match”). Projects can designate local matching funds as cash match, in-kind match provided by local agency staff and equipment, or a combination of both.

“In-kind match” is defined as those actions that local agencies will do in support of the project including staffing commitment and/or new signal system investment related to improved signal synchronization. Examples of staffing commitment include, but are not limited to, implementation of intersection or system timing parameters, review of timing documentation, meeting participation, conducting or assisting in before/after studies, and other similar efforts. Staff time charged to a project is limited to the caps as described in these guidelines. Allowable signal system investment would be improvements that are “eligible activities” per the funding guidelines, which can be shown to improve signal synchronization and would not include any prior investments made by the agency.

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

Project category	Type of matching allowed*
Signal coordination	In-kind <u>match</u> ** or cash match
New or upgraded detection	In-kind <u>match</u> ** or cash match
New or upgraded communications systems	In-kind <u>match</u> ** or cash match
Communications and detection support	In-kind <u>match</u> ** or cash match

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Intersection/field system modernization and replacement	In-kind <u>match</u> ** or cash match
Minor signal operational improvements	In-kind <u>match</u> ** or cash match
Traffic management center/traffic operations centers and motorist information systems	Cash match <del>only</del>
Real-time traffic actuated operations and demonstration projects	Cash match <del>only</del>

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

\*\* In-kind services are subject to audit.

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

- Staffing commitment
  - ~~staff~~ Staff position
  - ~~n~~ Number of hours
  - ~~h~~ Hourly (fully burdened) rate
  - ~~t~~ Total cost
- New signal system investment
  - ~~e~~ Cost of any signal system investment
  - ~~b~~ Benefit to project

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

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

### Other Application Materials

Supporting documentation is required to fully consider each project application. A Supplemental Application Template is required to be completed for each project application. The template is distributed with other application materials at the issuance of the Call for Projects. In addition to the funding plan described above, local agencies will be required to submit the following materials:

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Lead Agency: Lead agency for the project must be identified: local agency or OCTA.

Participating Agencies: All participating agencies must be identified.

Council Approval: A Council Resolution or Minute Order action authorizing request for funding consideration with a commitment of project local match funding ~~(local sources)~~ must be provided with the project application from all participating agencies.

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

### Lead Agency

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

Local Agency Lead: ~~If a local city is the lead agency, then only~~ Only the lead agency will receive payments in accordance ~~to~~ with the ~~Comprehensive Transportation Funding CTFP~~ Guidelines regarding payment for costs related to project for optimized signal timing development, capital improvements, planning, and related design. Payments will be disbursed consistent with Chapter 10 ~~of this manual~~. The lead agency is responsible for reimbursing other agencies as part of the effort. Additionally, the lead agency is also responsible for ensuring that all agencies participating in the project provide the local match proposed in the project application.

OCTA Lead: OCTA may, at the request of the involved local agencies, act as the lead agency for ~~regionally significant signal synchronization~~ RTSSP projects. ~~with the approval of the local agencies involved.~~ If the involved local agencies would like OCTA to implement a project on the signal synchronization network, the local agency shall work cooperatively with OCTA to develop the scope of work and cost elements of the project. The lead local agency shall contact OCTA with a written request by September ~~612,~~ 2013. Projects nominated for OCTA lead must be discussed at the Traffic Forum. The application will be scored using the criteria outlined in the previous sections. Based on local agency interest and OCTA resource availability, a limited number of projects will be developed and implemented by OCTA. Recent ~~Calls for Projects~~ have resulted in OCTA implementing seven projects per year.

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

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

- Primary Implementation (12 months)
  - Project Administration - Each local agency traffic engineer or equivalent participates in approximately 10-15 hours per month of project administration (meetings, review of reports, minutes, and other administration).
  - Signal Synchronization Timing - Each local agency traffic engineer or equivalent reviews consultant developed draft and final timing plans for intersections within the local agency, approximately 2-4 hours per local agency intersection.
  - Before and After Study - Each local agency traffic engineer ~~or~~ equivalent reviews consultant developed draft and final project Before and After Study, approximately 2-5 hours per local agency.
  - Engineering design/review - Each local agency traffic engineer or equivalent reviews consultant developed engineer design within the local agency, approximately 2-4 hours per affected local agency intersection.
  - System integration - Each local agency traffic engineer or equivalent provides support for this function (hours vary depending on improvements).
  - Construction management - Each local agency traffic engineer or equivalent provides construction management support including inspection (hour vary depending on improvements).
- Ongoing Maintenance and Monitoring (24 months) - Each local agency traffic engineer or equivalent participates in continued project level

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meetings of 2-5 hours per local agency per month to review consultant traffic engineering progress of Ongoing Maintenance and Monitoring. In addition, each local agency traffic engineer or equivalent reviews consultant developed draft and final project report.

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

### **Special Project P Certification**

~~The Combined Transportation Funding Program (CTFP) Guideline includes provisions for payment for projects under M2. Project P requires additional provisions beyond those specified in Chapter 10. Specifically, Project P eligible activities will require certification of completion to be presented at the time of the semi-annual review. A template of the certification document will be provided at a later date.~~

### **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. Projects deemed infeasible will be cancelled and further expenditures will be prohibited (except where necessary to bring the current phase to a logical conclusion).~~

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 delays will be dealt with in accordance to Precept #15 in the CTFP Guidelines.~~

### **Audits**

All M2 payments are subject to audit. Local agencies must follow established accounting

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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 ~~allocation 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 ~~OCTA~~ Board.

### Data Compatibility

All count data collected as part of any funded project shall be provided to OCTA in one of the two following digital formats: 1) NDS/Southland Car Counters style Excel spreadsheet; or 2) JAMAR comma separated value style text file. ~~Any count data provided to OCTA shall be consistent with one of these two formats.~~ The data shall then be ~~able to be~~ loaded into the OCTA Roadway Operations and Analysis Database System (ROADS). Any data files containing numeric intersection or node identifiers shall use the same node identification (ID) numbers as is stored in the ROADS database. OCTA shall provide a listing of intersections and corresponding unique node ID numbers. Each count data file shall adhere to the following file naming or csv. As an example, a turning movement count file for the intersection of Harbor Boulevard and Wilson Street in Costa Mesa would be given the filename CostaMesa\_Harbor-Wilson\_4534.csv.

All traffic signal synchronization data collected and compiled as part of any funded project for both existing (before) and final optimized (after) conditions shall be provided to OCTA in Synchro version 6 csv Universal Traffic Data Format (UTDF) format and version 7 combined data UTDF format. This data shall include the network layout, node, link, lane, volume, timing, and phase data for all coordinated times. All such data shall be consistent with the OCTA ROADS database.



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### Section 8.2 – 2015 Call for Projects

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

1. For this RTSSP Call for Projects, projects totaling up to \$~~12-15~~ million in ~~Measure~~ M2 funds will be available to local agencies.
2. Projects must result in new, optimized, and field-implemented coordination timing.
3. Project must be a single contiguous corridor. Multiple corridors, related systems of corridors, and corridors that form a “grid” must be submitted as separate corridor projects.
4. Projects selected will be programmed after July 1<sup>st</sup> of the programmed year (July 1 – June 30).
5. Project delays resulting in a time extension request will fall within the process outlined in the CTFP Guidelines.
6. Projects are funded for a grant period of three (3) years and are divided into two phases:
  - a. Primary Implementation – includes the required implementation of optimized signal timing as well as any signal improvements proposed as part of a project. As an exception to Precept ~~no.~~ 16, Primary Implementation of the project must be completed within one (1) year of the initial payment.
  - b. Ongoing Maintenance and Operations – includes the required monitoring and improving optimized signal timing in addition to any optional communications and detection support. Ongoing Maintenance and Operations will begin after the ~~Primary Implementation of the project is completed~~optimized signal timing is implemented and be required for the remainder of the project (typically 2 Years). A project final report is required at the conclusion of this phase.
7. Projects shall include a Before and After Study. This study shall collect morning and evening peak period using travel times, average speeds, green lights to red lights, stops per mile, and the derived corridor system performance index (CSPI) metric. This information shall be collected both before any signal timing changes



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have been made and after the Primary Implementation. The study shall compare the information collected both before and after the timing changes. Comparisons shall identify the absolute and percent differences for the entire corridor, by segment, direction, and time period. Segments will be defined by major traffic movements as observed during the project (e.g. commuting segments between freeways, pedestrian-friendly segments in a downtown area, etc.). The Before and After Study shall be submitted after the Primary Implementation phase is completed.

8. Any corridor or portion of a corridor funded through this ~~Project P~~ call for ~~Projects~~ cannot re-apply for ~~Project P~~ funding until the three year grant period or commitment to operate signal synchronization beyond the three year grant period is completed, whichever ends later.
9. Section 8.1 ~~(Funding Guidelines)~~ identifies the ~~Project P~~ selection criteria for projects, eligible activities, minimum project requirements, data compatibility required as part of any funded project, and other key information.

### 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 Friday, October 25~~24~~, 2013~~2014~~**. Late submittals will not be accepted. The local agency responsible for the project application must submit the application and any supporting documentation via OCFundtracker as outlined below.

### Project Submittal

A separate application package must be completed for each individual project and uploaded to OCFundtracker. **Three unbound printed copies** of each complete application shall also be mailed or delivered to:

Orange County Transportation Authority  
550 South Main Street  
P.O. Box 14184  
Orange, California 92863-1584  
Attn: Roger Lopez

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### Application Review and Program Adoption

1. OCTA staff will conduct a preliminary review of all applications for completeness and accuracy, may request supplemental information for projects during initial staff evaluations, and prepare a recommended program of projects for the ~~OCTA Technical Steering Committee (TSC)~~. In addition, OCTA may hire a consultant(s) to verify information within individual applications including, but not limited to, project scope, cost estimates, vehicle miles traveled, and average daily traffic.
2. The TSC will receive and evaluate the project applications and funding ~~allocation grants~~.
3. Based on recommendations from the TSC, a program will be presented to the TAC for review and endorsement.
4. Recommendations from the TAC will be presented to the ~~OCTA Board of Directors~~, who will approve projects for funding under the CTFP.
5. OCTA shall distribute copies of the approved program to each participating local jurisdiction with any qualifying conditions stipulated for the jurisdiction's funded project(s).

### Checklist Guide

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

### Sample Resolution Form

A resolution or minute action must be approved by the local ~~jurisdiction's~~ agency's governing body. A sample resolution is included as Exhibit 8-2. The mechanism selected shall serve as a formal request for ~~Project P/RTSSP~~ funds and states that matching funds will be provided by the agency, if necessary. All project requests (i.e., multiple corridors proposed for ~~Project P/RTSSP~~ funds) must be included in this action.

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### Exhibit 8-1

#### Project P Regional Traffic Signal Synchronization Program Application Checklist

Project P Application Checklist	Included
RTSSP Online Application – submitted through OCFundTracker	
<ol style="list-style-type: none"> <li>1. Vehicle Miles Traveled</li> <li>2. Benefic Cost Ratio</li> <li>3. Project Characteristics</li> <li>4. Transportation Significance</li> <li>5. Maintenance of Effort</li> <li>6. Project Scale</li> <li>7. Number of Jurisdictions</li> <li>8. Current Project Readiness</li> <li>9. Funding Over-Match</li> </ol>	
<b>Section 1: Key technical information</b>	
<ol style="list-style-type: none"> <li>a. Project limits of the corridor to synchronize</li> <li>b. Designation of the corridor to synchronize: priority corridor, signal synchronization network corridor, or master plan of arterial highways corridor</li> <li>c. Project start date and end date, including any commitment to operate signal synchronization beyond the three year grant period</li> <li>d. Signalized intersections that are part of the project</li> <li>e. Traffic Forum members</li> </ol>	
<b>Section 2: Lead agency</b>	
<b>Section 3: Resolutions of support from the project's Traffic Forum members</b>	
<b>Section 4: Preliminary plans for the proposed project</b>	
<p>The plans shall include details about both phases of the project: <u>Primary Implementation</u> and the <u>Ongoing Maintenance and Operation</u>. The plan should be organized using the following setup.</p> <p><u>Primary Implementation</u> shall include details about the following:</p> <ol style="list-style-type: none"> <li>a. Developing and implementing optimized signal synchronization timing (required)</li> <li>b. Producing a Before and After Study for the proposed project (required)</li> <li>c. Proposed signal improvements (optional): <ol style="list-style-type: none"> <li>i. New or upgraded detection</li> <li>ii. New or upgraded communication systems</li> <li>iii. Intersection/field system modernization and replacement</li> <li>iv. Minor signal operation improvements</li> <li>v. Traffic management centers</li> <li>vi. Real-time traffic actuated operations and demonstration projects</li> </ol> </li> </ol> <p><u>Ongoing Maintenance and Operation</u> will begin after the <u>Primary Implementation</u> of the project is completed. It shall include details about the following:</p> <ol style="list-style-type: none"> <li>a. Monitoring and improving optimized signal timing (required)</li> <li>b. Communications and detection support (optional)</li> </ol>	
<b>Section 5: Total Proposed Project Cost by Task</b>	
<b>Section 6: Project Schedule by Task for the 3 Year Grant Period</b>	
<b>Section 7: Matching Funds</b>	
<b>Section 8: Environmental clearances and other permits</b>	
<b>Section 9: Calculations used to Develop Selection Criteria Inputs</b>	
<b>Section 10: Any additional information deemed relevant by the applicant</b>	

## Chapter 8 – Regional Traffic Signal Synchronization Program



### Exhibit 8-2

#### Sample Resolution for Candidate Orange County RTSSP 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 Funding 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 M2; and

(c) WHEREAS, the City of \_\_\_\_\_ has a currently adopted Local Signal Synchronization Plan consistent with the Regional Traffic Signal Synchronization Master Plan as a key component of local agencies' efforts to synchronize traffic signals across agency boundaries ; and

(d) WHEREAS, the City of \_\_\_\_\_ will provide a minimum in \_\_\_\_\_ % in matching funds for the \_\_\_\_\_ project as required by the Orange County Comprehensive Transportation Funding Programs Guidelines; and

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

(g) WHEREAS, the City/County must include all projects funded by Net Revenues in the seven-year Capital Improvement Program as part of the Measure M2 Ordinance eligibility requirement.

(h) WHEREAS, the City/County authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the Orange County Transportation Authority Board of Directors.

NOW, THEREFORE, BE IT RESOLVED THAT:

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

ADOPTED BY THE CITY COUNCIL on \_\_\_\_\_, 20\_\_\_\_.

SIGNED AND APPROVED on \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_

\_\_\_\_\_  
City Clerk Mayor



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## Chapter 9 – Application Materials

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### Project Submittal

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

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

Hardcopy applications can be hand delivered to:

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

### Application Review and Program Adoption

1. OCTA staff will conduct a preliminary review of all applications for completeness and accuracy, request supplemental information (i.e., plans, aerial/strip maps, CEQA forms) for projects that appear to rank well during initial staff evaluations, and prepare a recommended program for the TSC. In addition, OCTA may hire a consultant(s) to verify information within individual applications such as, but not limited to, project scope, cost estimates, ADT and ~~Levels of Service (LOS)~~. These applications will be selected through a random process.
2. The TSC will receive and evaluate the project applications and funding ~~allocation~~grants.
3. Based on recommendations from the TSC, a program will be presented to the TAC for review and endorsement.
4. Recommendations from the TAC will be presented to the ~~OCTA Board of Directors~~, who will approve projects for funding under the CTFP.



## Chapter 9 – Application Materials

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

### Project Guidelines

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

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



## Chapter 9 – Application Materials

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### Application Instructions

A single application should be submitted for each phase of a project. **If funding is requested under multiple program components for a single project (i.e., arterials and intersections) a separate application must be prepared for each request.** Final applications MUST be submitted via OCFundtracker and in hard copy format.

### Checklist Guide

Since each funding program has slightly different application requirements, an "Internal Application Checklist Guide" has been provided for the three programs under the RCP (Exhibits 9-1, 9-2, and 9-3). The checklist guide identifies the basic forms and documentation required for each of the program components. In addition, items required at the time of project submittal are differentiated from supplemental items due later. The appropriate checklist should be provided as a cover sheet for **each** application submitted. For any items that are required for the candidate project or program that are missing or incomplete, an explanation should be included in a cover letter with the application. In addition to this checklist guide, please review the **Attachments/Additional Information** section of each program component for a description of supplementary documentation which may be required to support your agency's project application in specific cases.

### Attachments

#### OC Fundtracker Application

Agencies must submit a copy of the OCFundtracker application and scoring information with all application submittals. This document is created within the OC Fundtracker 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~~Right-of-way cost estimate should include parcel information (including project area needed), improvements taken, severance damages, ~~ROW~~right-of-way engineering, appraisal and legal costs. Construction should include a listing of all bid items including a maximum 10% percent allowance for





## Chapter 9 – Application Materials

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contingencies and a maximum 15% percent allowance for construction engineering/project management. The anticipated disbursement of costs (e.g., Agency, Other, Non-Eligible) must also be completed. Agencies should reference the program from which funding is expected to be allocated when completing this portion of the form. Each of the funding programs described in these guidelines may have differing matching fund requirements.

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

### "Sample Resolution" Form

A resolution or minute action must be approved by the local jurisdiction's governing body prior to the Board approval of grant funds. A sample resolution is included as Exhibit 9-4. The mechanism selected shall serve as a formal request for CTFP funds and states that matching funds will be provided by the agency, if necessary. All project requests must be included in this action. **If a *draft* copy of the resolution is provided, the local jurisdiction must also provide the date the resolution will be finalized by the local jurisdiction's governing body, and the final version must be provided within 14 days of governing body action.**

### Pavement Management Supporting Documentation

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

### Project Summary Information

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.



## Chapter 9 – Application Materials

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~~With each application, 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.~~

### Additional Information

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

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

1. Letters of support for the candidate project (optional).
2. Geotechnical\materials reports for all applicable candidate projects (e.g., widening, intersection improvement, new roadway). The reports should contain sufficient detail for an accurate assessment of improvements needed and costs, since funding will be jeopardized if a project is unable to meet proposed schedule and costs.
3. Preliminary plans, if available for the project. The plans (1"=40' preferred) should include:
  - a. Existing and proposed right-of-way (include plat maps and legal descriptions for proposed acquisitions).
  - b. Agency boundaries, dimensions and station numbers.
  - c. Existing and proposed project features such as: pavement width and edge of pavement, curb, gutter and sidewalk, raised median, driveway reconstruction, signal pole locations, etc.
  - d. Typical cross sections.
  - e. Proposed striping.
  - f. Structural sections per the materials report.



## Chapter 9 – Application Materials

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- g. Proposed traffic signals, storm drains, bridges, railroad crossing improvements, safety lighting, etc.
  - h. If requesting funds for traffic signals, include a traffic signal warrant(s) prepared by the City Traffic Engineer or City Engineer.
  - i. If the project includes construction, relocation, alteration or widening of any railroad crossing or facility, include a copy of the letter of intent sent to the railroad, a copy of which must be sent to the Public Utilities Commission (PUC). Any project including work of interest to a railroad will not be considered for eligibility until the railroad and PUC have been notified.
  - j. If the project is proposed as a staged project and additional funds will be necessary in subsequent calls for projects, the preliminary project statement should be accompanied with a complete preliminary estimate and schedule for the completion of the entire project.
  - k. If the project is proposed as a safety improvement, provide justifying accident data for the past three years and show the expected decrease in intersection or mid-block accident rate.
4. Current 24-hour traffic counts (taken for a typical mid-week period within the preceding 12-month period) for the proposed segment. In lieu of current traffic counts, current OCTA Traffic Flow Map data for the proposed segment will be used, provided it has been updated based on local agency provided counts within the preceding 36 months. Projects submitted without "current counts" will be considered incomplete and non-responsive.



## Chapter 9 – Application Materials

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### Exhibit 9-1 Arterial Capacity Enhancement (ACE) CTFP Application Checklist Guide

#### Planning – Environmental & Engineering

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

#### | Right-of-Way (~~ROW~~)

- CTFP Online Application – submitted through OCFundtracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Potential ~~ROW~~right-of-way Acquisition Plan
- Cost Estimate for Complete Project - ALL PHASES
  - Estimated ~~ROW~~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 ~~ROW~~right-of-way Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans\*

#### Construction

- CTFP Online Application – submitted through OCFundtracker
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report \*
- Approved Project Construction Plans\*

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

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



## Chapter 9 – Application Materials

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### Exhibit 9-2 Intersection Capacity Enhancement (ICE) CTFP Application Checklist Guide

#### Planning – Environmental & Engineering

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

#### Right-of-Way (ROW)

- CTFP Online Application – submitted through OCFundtracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Potential ROWright-of-way Acquisition Plan
- Cost Estimate for Complete Project - ALL PHASES
  - Estimated ROWright-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 ROWright-of-way Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans\*

#### Construction

- CTFP Online Application – submitted through OCFundtracker
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report \*
- Approved Project Construction Plans\*

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

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



## Chapter 9 – Application Materials

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### Exhibit 9-3 Freeway Arterial/Streets Transition (FAST) CTFP Application Checklist Guide

#### Planning – Environmental & Engineering

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

#### Right-of-Way (ROW)

- CTFP Online Application – submitted through OCFundtracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Potential ~~ROW~~right-of-way Acquisition Plan
- Cost Estimate for Complete Project - ALL PHASES
  - Estimated ~~ROW~~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 ~~ROW~~right-of-way Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans\*

#### Construction

- CTFP Online Application – submitted through OCFundtracker
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report \*
- Approved Project Construction Plans\*

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

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



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**Exhibit 9-4**  
**Sample Resolution for Candidate Orange County**  
**Comprehensive Transportation Programs Projects**

A resolution of the \_\_\_\_\_ City Council approving the submittal of \_\_\_\_\_ improvement project(s) to the Orange County Transportation Authority for funding under the Comprehensive Transportation Funding 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 revenues as part of Measure M2 "turnback" funds; and

(c) WHEREAS, the City's Circulation Element is consistent with the County of Orange Master Plan of Arterial Highways; and

(d) WHEREAS, the City of \_\_\_\_\_ will provide a minimum in \_\_\_\_% in matching funds for each-the \_\_\_\_\_ project as required by the Orange County Comprehensive Transportation Funding Programs Guidelines; and

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

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

(g) WHEREAS, the City/County must include all projects funded by Net Revenues in the seven-year Capital Improvement Program as part of the Measure M2 Ordinance eligibility requirement.

(h) WHEREAS, the City/County authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the Orange County Transportation Authority Board of Directors.

NOW, THEREFORE, BE IT RESOLVED THAT:

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

ADOPTED BY THE CITY COUNCIL on \_\_\_\_\_, 20\_\_\_\_.

SIGNED AND APPROVED on \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
City Clerk

\_\_\_\_\_  
Mayor





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## Chapter 10 – Reimbursements and Reporting

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### Procedures for Receiving Funds

An implementing agency must ~~obligate-encumber~~ funds OCTA ~~allocates-awards~~ to a project phase within the fiscal year ~~of the phase allocation grant is programmed (July 1-June 30)~~. Prior to the ~~obligation-encumbrance~~ of funds, an agency must have a fully executed letter agreement with OCTA. An agency ~~obligates-encumbers~~ funds by awarding a contract, completing the appraisal for one parcel of right-of-way, or by providing expense reports to prove an agency's workforce costs, ~~(provided that the agency intends to complete the phase with agency staff)~~. OCTA shall consider the primary contract or the contract with the largest dollar amount, associated with the phase's tasks, when an agency uses a contract to show ~~obligation-encumbrance~~ of CTFP funds. Once an agency ~~obligates-encumbers~~ CTFP funds for a phase, it can begin the process for receiving payment of the funds.<sup>5</sup>

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

The amount withheld pending the submittal of an approved final report shall be capped at \$500,000 per project phase, but shall in no case be less than 10 percent of the grant or the contract amount, whichever is less. Should the 75 percent/25 percent payment distribution ratio result in a final payment retention that exceeds \$500,000, the payment percentages will be adjusted to meet the \$500,000 cap until the 10 percent threshold is reached. At no time will the final payment retention be less than 10 percent. (See Precept 32)

~~The final report retention shall be capped at \$500,000 per project phase, but shall in no case be less than 10 percent of the allocation for that phase. Should the 75/25 payment distribution ratio result in a final payment retention that exceeds \$500,000, the payment percentages will be adjusted to meet the \$500,000 cap until the 10 percent threshold is reached (See receipt 32). At no time will the final payment retention be less than 10 percent.~~

Agencies shall submit payment requests to OCTA in a timely fashion. The M2 Ordinance requires the submittal of a final report within 180 days of the project phase completion date (See M2 Ordinance/definitions/Precept 33). Failure to submit a final

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<sup>5</sup> Funds from state and federal sources funds will undertake a separate process. Local agencies must contact Caltrans local assistance for reimbursement.



## Chapter 10 – Reimbursements and Reporting

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report within the 180 day time frame will result in an agency being found ineligible to receive net revenues. Per the M2 Ordinance, no provision for extension is allowed. The project completion date refers to the date all final invoices have been paid and any pending litigation has been adjudicated for either the engineering phase or for the right-of-way phase, and all liens/claims have been settled for the construction phase.

OCTA will provide a separate CTFP payment supplement that includes sample forms and instructions for payment submittals and can be downloaded from the OCFundtracker website at— [https://ocfundtracker.octa.net/report\\_payment\\_excel.asp](https://ocfundtracker.octa.net/report_payment_excel.asp). Payment submittals are described in this chapter and Agencies must be submitted payment requests—through OCTA's online database, OCFundtracker: <http://ocfundtracker.octa.net>. Detailed instructions for OCFundtracker are available online at the previously mentioned website. Staff is also available to assist agencies with this process. Agencies must upload appropriate backup documentation to the database. OCTA may request hardcopy payment requests.

### ***Availability of Funds***

The funds allocated-granted by OCTA for each phase will be available on July 1, the first day of the fiscal year in which the funds are programmed.  
~~After bids are opened and a contractor is selected, the final allocation will be the lesser amount of the original allocation or the revised project cost estimate.~~

### **Cancellation of Project**

If a local agency decides to cancel a project, for whatever reason, the agency shall notify OCTA as soon as possible. Projects deemed infeasible during the planning phase shall bring that phase to a logical conclusion, file a final report, and cancel remaining phases so that remaining funds can be reprogrammed without penalty. ~~ROW~~Right-of-way funding received for property acquisition prior to cancellation shall be repaid upon cancellation, regardless of whether property has been purchased or not. Construction funding received prior to cancellation shall be repaid upon cancellation.

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



## Chapter 10 – Reimbursements and Reporting

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### Section 10.1 – Regional Capacity Program Initial Payment

#### Payment Requests

An agency shall use the report and checklist provided in the CTFP Payment Supplement (see [https://ocfundtracker.octa.net/report\\_payment\\_excel.asp](https://ocfundtracker.octa.net/report_payment_excel.asp)) ~~Form 10-1 (Form 10-1A for Engineering and Construction, Form 10-1B for Right of Way)~~ in order to determine the reporting and documentation requirements for ~~initial~~ payment requests. Payment requirements are located in the Guidelines. Staff may request additional documentation that is not listed on the checklist prior to approving the request.

The interactive electronic versions of ~~the all payment forms, included all forms needed as part of both the initial and final payment processes, provided as samples in this chapter~~ can be downloaded via OCFundtracker at <http://ocfundtracker.octa.net>.

OCTA will release the final payment of remaining balance, ~~approximately usually the final 25% percent~~ of CTFP grant funds, when the project is complete and OCTA accepts the final report. The balance is determined based on final costs for CTFP eligible program expenditures. Prior to submitting the report, review the program specific section in these guidelines ~~discussing that addresses~~ the final report process.

~~Measure M informational “Funded By” sign removal costs should be requested in the Final Report.~~ OCTA will reimburse costs associated with the Measure M informational signs (fabrication, installation, and removal) and do not count against a project's ~~allocation grant.~~ Measure M informational “Funded By” sign removal costs should be requested in the Final Report.

Prior to submitting an initial payment request, a local agency may request a meeting with OCTA staff to determine eligible/ineligible items prior to requesting reimbursement.

Below is additional information regarding the documentation requirements of payment requests:

1. Invoice – For initial payments, an agency shall invoice for 75% percent of the contract amount or programmed amount, whichever is less. For final payments, an agency shall invoice for the remaining balance of the contract amount or programmed amount, whichever is less. Final payment request invoices shall normally be approximately 25% percent of the eligible funds. Interest earned by an agency for initial payments received shall be applied to and deducted from the final payment balance amount. For situations where a grant exceeds \$2 million, the final report retention shall be capped at \$500,000 per project phase, but shall in no case



## Chapter 10 – Reimbursements and Reporting

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be less than 10 percent of the grant for that phase. Should the 75/25 payment distribution ratio result in a final payment retention that exceeds \$500,000, the payment percentages will be adjusted to meet the \$500,000 cap until the 10 percent threshold is reached (See Precept 32).

2. Project Certification Letter – The public works director, or appropriate equivalent, shall submit a certification letter, with applicable statements, using the Project Certification Form (see [https://ocfundtracker.octa.net/report\\_payment\\_excel.asp](https://ocfundtracker.octa.net/report_payment_excel.asp)). ~~Form 10-2~~. This will include the certification that the project being reimbursed has meet the signage requirements laid out in Precept 18.
3. Minutes – The agency shall submit a minute order, agency resolution, or other council/board action showing award of the contract and the contract amount. The city clerk, clerk of the board, or appropriate equivalent shall certify minutes. Agencies that use on-call consultants shall submit a purchase order that includes the scope of work for the contractor.
4. Revised Cost Estimate – The agency shall use the format provided in the Revised Costs Estimate form (see [https://ocfundtracker.octa.net/report\\_payment\\_excel.asp](https://ocfundtracker.octa.net/report_payment_excel.asp)). ~~Form 10-3~~.
5. Work Schedule – OCTA prefers a complete project schedule, but an agency may provide as little as the expected start and completion dates for preliminary engineering, final engineering, right-of-way, and construction phases.
6. Right-of-Way Documents – Each parcel shall include an appraiser's invoice, written offer letter, plat map, and legal description. Agencies attempting to acquire five or more parcels for a project shall include a parcel location map.
7. Plans, Specifications, & Estimate (PS&E) Certification – Agencies shall submit a PS&E certification using the PS&E Certification form. (see [https://ocfundtracker.octa.net/report\\_payment\\_excel.asp](https://ocfundtracker.octa.net/report_payment_excel.asp)). ~~Form 10-4~~. The agency engineer shall certify that the local agency properly prepared and approved plans and specifications in accordance with authorized procedures and adopted standards, followed approved scope of work, and incorporated materials report.
8. Layout Plans – An agency shall not submit layout plans that print on paper larger than 11 inches by 17 inches.
9. Documentation of Decision to Use Local Agency Forces – For all construction phase work performed by local agency forces, in lieu of a primary contract, local



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agency must document that local agency forces could perform the work more cost effectively or timely than a contractor; and documentation of this decision can be supplied in case of audit.

10. Documentation Supporting Local Agency Liability for Utility Relocation Costs – Local agency liability can be supported by the documentation of property rights, franchise rights/agreements, state and local statutes/ordinances, permits, or a finding by the local agency's counsel.

~~Samples of the forms listed above are included on the pages to follow. Electronic copies of the forms can be downloaded from OCFundtracker.~~

### ~~Project Advancement~~

~~Agencies that wish to expedite a CTFP project by one or more fiscal years may request a programming advancement. The agency must demonstrate that it will award a contract during the fiscal year it is requesting the advance. Advancement requests will be considered if program funds are available. If approved, OCTA shall de-escalate the allocation for the project to remove inflation adjustments made for the original program year.~~

~~Agencies shall request advances during the semi-annual review. The TAC and OCTA Board of Directors shall approve advances. If approved, the agency must meet the new obligation deadline.~~

~~If OCTA is unable to accommodate programming advancement requests due to cash flow constraints, an agency may initiate the project using local funds and seek reimbursement during the fiscal year OCTA programmed the funds. (See Precept no. 5) The lead agency must have a fully executed letter agreement prior to beginning work.~~

### Reimbursement

OCTA shall not reimburse for a project prior to the beginning of the fiscal year of the allocation grant. If an agency receives an advancement and begins work prior to the start of the fiscal year of the allocation grant, the agency may request an initial payment against the allocation grant. If an agency receives an advancement and completes a project prior to the start of the fiscal year of the allocation grant, OCTA shall disburse the allocation grant in a single payment. OCTA must approve-accept the final report prior to issuing a payment.

### Calculation of Payment



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Once an agency ~~obligates~~ encumbers Measure M funds, the agency may request a maximum of 75% percent of the contract award amount or programmed amount, whichever is less. For situations where a grant exceeds \$2 million, the final report retention shall be capped at \$500,000 per project phase, but shall in no case be less than 10 percent of the grant for that phase. Should the 75/25 payment distribution ratio result in a final payment retention that exceeds \$500,000, the payment percentages will be adjusted to meet the \$500,000 cap until the 10 percent threshold is reached (See Precept 32). Examples of calculating the initial funding request for a standard 75/25 payment are described below.

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

Given:

\$200,000 = Total CTFP funds programmed for Project X  
\$160,000 = Construction contract award (CTFP share)

Calculations:

75% of contract amount = \$160,000 x 0.75 = \$120,000.

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

Given:

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

Calculations:

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

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Sample forms have been removed





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### Section 10.2 – Regional Capacity Program Final Report and Payment Process

The remaining ~~25% of~~ CTFP funds are ~~made available~~ reimbursed to the lead agency following completion of the final reporting process. This ~~balance is determined based upon final costs of CTFP eligible expenditures as stated in each applicable program less interest earned against the any related initial payment~~ final payment is calculated by considering the grant amount, the minimum local match rate, how much has been previously reimbursed as part of the initial payment, and the total eligible costs that can be applied to the grant (see program specific eligibility sections). M2 funds are applied proportionally to all eligible project expenses. Prior to submitting the Final Report, review the following section which includes items important to the final reporting process. The CTFP Payment Supplement provides additional instructions and sample forms to complete payment requests. Payment requirements are located in the Guidelines this chapter.

#### Project Cost Changes

If the contract price is lower than the amount programmed and the agency requested additional items and/or change orders during construction/study, OCTA may approve the additional costs during the review of the final report. OCTA will review these reports to:

1. Determine that the agency submitted proper justification for the change order(s)
2. Determine if the items are eligible for reimbursement
3. Confirm that expenses are within the project's original scope of work
4. The lead agency should provide information supporting the need for the change orders in the final report. Changes in project limits for construction projects are not eligible for reimbursement.

#### Additional Documentation Requirements

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



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1. Final Report Form – The local agency shall prepare a final report form using the final report form (see [https://ocfundtracker.octa.net/report\\_payment\\_excel.asp](https://ocfundtracker.octa.net/report_payment_excel.asp)) as provided in Form 10-6 (Form 10-5A for construction and engineering projects, Form 10-5B for right-of-way projects).
2. OCTA shall ~~distribute~~ reimburse general lump sum pay items, appraisal cost, design, and construction engineering in the same ratio as the total right-of-way acquisition or construction costs.
3. Proof of Project Payment and Division of Costs – ~~For proof of project payment, this documentation required as proof of payment includes will include~~ approved contract invoices and may also include, but is not limited to, supportive material for agency work forces, equipment, and material. For the division of costs, original contract bid item lists can be supplied. If these are not available, the Proof of Project Payment and Division of Costs form Form 10-6 can be used (see [https://ocfundtracker.octa.net/report\\_payment\\_excel.asp](https://ocfundtracker.octa.net/report_payment_excel.asp)). Supportive material shall equal the division of costs totals that are located in the final report form.
4. Summary of Right-of-Way Acquisition – Agencies shall submit a summary of right-of-way acquisition as described in the Summary of right-of-way acquisition form (see [https://ocfundtracker.octa.net/report\\_payment\\_excel.asp](https://ocfundtracker.octa.net/report_payment_excel.asp)). ~~Form 10-5B.~~
5. Notice of Completion – An agency may submit a recorded Notice of Completion (NOC) or where a NOC is not typically used, the Notice of Completion form may be used to certify the phase completion date. (see [https://ocfundtracker.octa.net/report\\_payment\\_excel.asp](https://ocfundtracker.octa.net/report_payment_excel.asp)). ~~Form 10-7 the appropriate form may be used to certify the phase completion date.~~
6. Before and After Project Photos – photographs showing the project before and after the improvements.

~~Samples of the forms listed above are included on the pages to follow.~~ Electronic copies of all payment ~~the~~ forms can be downloaded from OCFundtracker.

### **Delinquent/Timely Final Reports**

OCTA will work with ~~jurisdictions~~ local agencies to ensure the timeliness of final reports by utilizing the following procedures:

1. ~~Require~~ jurisdictions Local agencies to notify OCTA of the project phase completion date within 30 days of completion.



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2. ~~Require all jurisdictions~~Local agencies to file a final report within 180 days of project phase completion date.
3. ~~OCTA to issue a~~~~issue a reminder~~ notice to the public works directors or TAC representative(s) 90 days after the project completion date, as reported in OCFundtracker, to remind ~~jurisdictions~~local agencies that the final report is due in 90 days. The reminder notice ~~should also~~will include an offer from OCTA for a consultant to assist in preparation of the final report ~~by using consultant services~~. The agency shall reimburse OCTA for the consultant services if used.
4. ~~OCTA to~~~~issue~~ a final notice letter to the public works directors or TAC representative(s) with a copy to the agency's management and finance director if OCTA does not receive the final report ~~or a request for an extension~~ within ~~180~~120 days of the project completion date. The final notice letter ~~should~~will inform the ~~jurisdictions~~local agencies that if OCTA does not receive a response to the final notice letter and the final report within 180 days, then ~~OCTA shall assume that the agency cancelled the project~~the funds will be unencumbered and OCTA shall request that the agency return disbursed funds, plus interest.
5. ~~Require~~ OCTA to issue the final payment to ~~jurisdictions~~local agencies within 60 days of receiving the complete final report and all supporting documentation.

### Failure to Submit Final Report

Agencies who fail to submit a Final Report will be required to repay applicable M2 funds received for the project in a manner consistent with the ~~m~~Master ~~f~~Funding ~~a~~Agreement and /or will be found ineligible to receive M2 ~~n~~Net ~~r~~Revenues.

### Excess Right-of-Way

Agencies that use Net Revenues (through CTFP or Local Fair Share programs) to acquire project right-of-way shall dispose of land deemed in excess of the proposed transportation use. Excess land sold by the lead agency will be ~~in~~disposed of in accordance with the process established in Government Code, Article 8, Surplus Land, Section 54220-54232, et. Seq., and the agency shall return proceeds from the sale to OCTA. OCTA shall return the funds to the program of origin for future use.

Proceeds from the sale of excess right-of-way shall be returned to OCTA in proportion to the amount of M2 funds used in the purchase.



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

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

OCTA shall consider excess right-of-way with a value of \$10,000.00 or less as an ~~unsalable-uneconomic~~ remnant. OCTA shall determine if excess right-of-way is to be considered an ~~unsalable-uneconomic~~ remnant.

The agency shall submit a fair market value appraisal report for the excess land of each parcel. Appraisers must conduct appraisals in accordance with the Uniform Standards of Professional Appraisal Practice (USPAP). If an agency suspects that the excess right-of-way has a value of \$10,000.00 or less, the agency may conduct a limited fair market value appraisal to confirm the value of the excess right-of-way. The agency shall submit the appraisals with the right-of-way final report.

OCTA shall retain from the final payment the value of excess right-of-way that is proportional to OCTA's percentage match rate to the project up to OCTA's match rate of right-of-way ~~allocationgrant~~. However, if the local agency provided additional funds beyond what was original estimated, OCTA will be reimbursed based on its proportional share of the cost of right-of-way.

An agency may include incidental expenditures from the disposal of property in their final report for the right-of-way ~~allocationgrant~~.

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

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

### **Example:**

OCTA's right-of-way <del>(ROW) allocationgrant</del> :	\$500,000
OCTA <del>allocationgrant</del> match rate	75%

Parcel Costs:

Cost – Parcel 1:	\$300,000
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Cost – Parcel 2:	\$380,000	
Cost – Parcel 3:	\$120,000	
Cost – Parcel 4:	<u>\$100,000</u>	
Total <del>ROW</del> right-of-way Costs:		\$900,000

Payment with no excess ROW: \$500,000

Excess right-of-way:

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

OCTA contribution to ~~ROW~~right-of-way acquisition:

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

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

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

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

### Agency Workforce and Equipment Rental

An agency must provide supporting documentation for work completed by agency staff.

The agency shall ~~multiple~~multiply the fully burdened labor rate by the number of hours for each staff person assigned to the project. An agency may add actual overhead costs at an allowable rate up to 30%~~percent~~ of payroll and fringe benefits. Where an agency due to size cannot calculate its specific overhead rate, an agency may refer to the Cost Accounting Policies and Procedures Manual (CAPPM) of the California Uniform Public Construction Cost Accounting Commission, which allows for a fixed overhead rate billing ~~dependant~~dependent on city size. Where an agency has actual overhead costs that exceed 30%~~percent~~, these will be accepted when a fully audited cost allocation plan is provided and approved by the appropriate governmental entity listed in the CAPPM or 2 Code of Federal Regulations Part 225.



## Chapter 10 – Reimbursements and Reporting

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

### Technical and/or Field Review

Once an agency submits a final report for a project, OCTA shall review the report for compliance with the CTFP ~~guidelines~~ Guidelines and may conduct a technical and/or field review. As part of the technical/field review of a CTFP project, OCTA may:

- review right-of-way acquisitions and the potential for excess right-of-way
- compare hourly breakdown of staff time compared to staff time sheets
- conduct a project field review – ensure improvements are within scope
- review items that agencies self-certify
- verification of the reasonableness of project costs

OCTA may review all phases of the project.

OCTA will use the project cost estimate forms submitted with the application and revised where appropriate, project accounting records and the final report as the primary items to conduct the review. Agencies must maintain separate records for projects (i.e., expenditures, interest) to ensure compliance. OCTA will only reimburse eligible CTFP items listed on the cost estimate. The implementing agency is expected to complete the entire scope of work as presented in the original application.

See Chapter 11 for independent audit requirements beyond the technical/field review.

### Reporting of Local Fair Share

For the purposes of reporting non-project work (maintenance, repair, and other non-project related costs) funded by Measure M local fair share funds, the Measure M expenditure report cited ~~Measure M2~~ Ordinance ~~No. 111~~, Section III(B)(8) shall satisfy reporting requirements. If local fair share funds are used for projects, the local agency shall also include a list of those funds and/or other Measure M funds in the Project Final Report cited in Section III(B)(9).

## Chapter 10 – Reimbursements and Reporting

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Sample form images have been removed



## Chapter 10 – Reimbursements and Reporting

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### Section 10.3 – Regional Traffic Signal Synchronization Program Reimbursements and Reporting Requirements

The previous sections of this chapter outline the process and requirements regarding reimbursements and reporting for all competitive programs that are part of Measure M2. A lead agency shall also use the following additional reporting and documentation requirements specific to any competitive project funded through Project P as part of the reimbursement process.

#### Procedures for Receiving Funds

Regional Traffic Signal Synchronization Program funds projects with a three (3) year grant. Projects are divided into two components for the purposes of reimbursements and reporting: Primary Implementation and Ongoing Maintenance and Operations. The Primary Implementation of the project must be completed within one (1) year of the initial payment. Ongoing Maintenance and Operations will begin after the Primary Implementation of the project is completed and be required for the remainder of the project and last for a minimum of two (2) years.

Primary Implementation includes the following:

- Project administration (required)
- Developing and implementing optimized signal synchronization timing (required)
- Producing a Before and After Study for the proposed project (required)
- Engineering design of signal improvements for the project (optional)
- System integration (optional)
- Proposed signal improvements, construction support, and contingency (optional):
  - New or upgraded detection
  - New or upgraded communication systems
  - Intersection/field system modernization and replacement
  - Minor signal operation improvements
  - Traffic management centers
  - Real-time traffic actuated operations and demonstration projects
- Contingencies (optional)
- Construction management (optional)

Ongoing Maintenance and Operation will begin after the Primary Implementation of the project is completed. Includes the following:

- Monitoring and improving optimized signal timing (required)
- Communications and detection support (optional)





## Chapter 10 – Reimbursements and Reporting

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- Final report (required)

A lead agency must ~~obligate-encumber~~ funds OCTA allocates to a project within the fiscal year of the ~~allocation grant~~ and after funding agreements with OCTA are executed. A lead agency ~~obligates-encumbers~~ funds by awarding a contract or providing expense reports to prove the lead or a participating agency's workforce costs, provided that the lead agency intends to complete the Primary Implementation with lead agency or participating agency staff. Once an agency ~~obligates-encumbers~~ Project P funds for Primary Implementation, it can begin the process for receiving payment of the funds. Note that only the lead agency will receive payment of funds from OCTA. Any funds that are due to other participating agencies are the responsibility of the lead agency and not OCTA.

The project lead agency must submit payment requests through OCTA's online database, OCFundtracker: <http://ocfundtracker.octa.net>. Additional details about the retention caps, timely payment requests, project closeout, and payment are available in Chapter 10 of the CTFP Guidelines Section 10.1 and 10.2 of this chapter.

### Availability of Funds

The funds allocated for projects will be available to project lead agencies July 1<sup>st</sup> of the programmed year and after funding agreements with OCTA are executed.

### Initial Payment Requests for Primary Implementation

The initial payment will ~~cover-provide up to~~ 75% percent of funds for the Primary Implementation of the project. The following information specific to the Regional Traffic Signal Synchronization Project is provided regarding the documentation requirements for initial payment of Primary Implementation after an agency ~~obligates encumbers~~ funds for the project.

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

~~Form 10-8~~The Primary Implementation report has been provided so a lead agency can determine the reporting and documentation required for an initial payment request. Staff may request additional documentation that is not listed on ~~Form 10-8~~the Primary Implementation Report prior to approving the request. The electronic versions of the forms are available through the OCFundtracker.



## Chapter 10 – Reimbursements and Reporting

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Below is additional information updating Section 10.1 of this chapter regarding documentation requirements for Project PRTSSP payment requests. The CTFP Payment Supplement provides instructions and sample forms for the items listed+.

- Invoice - For initial payments, the lead agency shall invoice for 75% percent of the contract amount or programmed amount of the project's Primary Implementation, whichever is less. For final payments of the Primary Implementation, the lead agency shall invoice the remaining balance of the project's Primary Implementation phase contract amount or programmed amount, whichever is less. ~~(Form 10-8)~~
- Project Certification Letter. ~~(Form 10-9)~~
- Revised Cost Estimate. ~~(Form 10-10)~~
- Plans, Specifications, and Estimate (PS&E) Certification ~~(Form 10-11)~~
- Certification of Phase ~~(Form 10-12)~~
- Final Report Submission ~~(Form 10-13)~~
- Division of Cost Schedule ~~(Form 10-14)~~
- Work Schedule - OCTA requires a complete project schedule, including expected start and completion dates for tasks in the Primary Implementation and Ongoing Maintenance and Operation phases
- Right-of-Way Documents - No requirements as Right-of-Way is not a part of Project PRTSSP

Detail on other aspects on Initial Payment Requests for Primary Implementation including project advancement and reimbursement is available in ~~Chapter 10 of the CTFP Guidelines~~ section 10.1 of this chapter.

### Final Payment Requests for Primary Implementation

OCTA will release the remaining balance to the lead agency, approximately 25% percent of funds for the Primary Implementation, when the project's Primary Implementation phase is complete and OCTA receives the project Before and After Study. The balance is determined based on the final costs for the eligible Project PRTSSP expenditures. The Before and After Study is defined as the following:



## Chapter 10 – Reimbursements and Reporting

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This study shall at minimum collect morning and evening peak period using travel times, average speeds, green lights to red lights, stops per mile, and the derived corridor system performance index (CSPI) metric. In addition, greenhouse gas and gasoline savings should be identified. This information shall be developed both before any signal timing changes have been made and after the Primary Implementation. The study shall compare the information collected both before and after the timing changes. Comparisons shall identify the absolute and percent differences for the entire corridor, by segment, direction, and time period. Segments will be defined by major traffic movements as observed during the project (e.g. commuting segments between freeways, pedestrian-friendly segments in a downtown area, etc.).

A template for the before and after study is available. The Before and After Study for ~~Project-PRITSSP~~ shall be included as a requirement at the end of the Primary Implementation phase and as part of the Final Report for reimbursement purposes ~~as outlined in this chapter.~~

### Payment Requests for Ongoing Maintenance and Operations

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

### Project Final Report

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



## Chapter 10 – Reimbursements and Reporting

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### Example of Reimbursement

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

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

$$\text{Initial Payment} = \$900,000 \times 0.75 = \$675,000$$

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

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

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

~~Samples of the forms are included on the pages to follow. Electronic copies of the forms can be downloaded from OCFundtracker.~~

## Chapter 10 – Reimbursements and Reporting

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## Chapter 10 – Reimbursements and Reporting

### Section 10.4 – Environmental Cleanup Program Reimbursements and Reporting Requirements

Sections 10.1 and 10.2 of this chapter outline the process and requirements regarding reimbursements and reporting for the Regional Capacity Program. The CTFP Payment Supplement provides instructions and sample forms for ECP projects. The interactive electronic versions of all payment forms can be downloaded via OCFundtracker. These processes are applicable to the Tier 1 and Tier 2 Grant Programs with the following exceptions:

- For an initial payment, ECP Initial Report Form (see [https://ocfundtracker.octa.net/report\\_payment\\_excel.asp](https://ocfundtracker.octa.net/report_payment_excel.asp)) ~~Forms 10-15 and 10-17 (along with Forms 10-2, 10-3, and 10-4)~~ must be submitted.
- For a final payment, ECP Final Report Form (see [https://ocfundtracker.octa.net/report\\_payment\\_excel.asp](https://ocfundtracker.octa.net/report_payment_excel.asp)) ~~Forms 10-16 and 10-17 (along with Forms 10-2, 10-4, 10-5A and 10-7)~~ must be submitted. Supporting documentation for O & M costs (if used as local match) and location maps must also be submitted.
- A final report must be filed within 180 days of the project ~~being completed~~ phase completion with information as shown on the ECP Final Report Form (see [https://ocfundtracker.octa.net/report\\_payment\\_excel.asp](https://ocfundtracker.octa.net/report_payment_excel.asp)) ~~in Form 10-16~~.
- Additionally, an exception to Precept #29: agencies may appeal to the ECAC and the OCTA Board on any issues that the agency and OCTA cannot resolve, as such are the approving bodies for this program.

For Tier 1 of the Environmental Cleanup Program, ongoing operations and maintenance of the project can be pledged as a local match. ~~(page 12-6)~~ As part of the semi-annual review reporting process, OCTA will verify local agency operations and maintenance expenditures to ensure local match commitments are being met. Local agencies must complete ~~Form 10-17~~ the In-Kind O&M Report form ~~(sample on page 10-59)~~ see [https://ocfundtracker.octa.net/report\\_payment\\_excel.asp](https://ocfundtracker.octa.net/report_payment_excel.asp) for each ECP grant as part of their SAR updates.

~~Samples of the forms are included on the pages to follow. Electronic copies of the forms can be downloaded from OCFundtracker.~~

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## Chapter 11 – Audits

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### Independent Audit Process Overview

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

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

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

~~Local jurisdictions must cooperate with OCTA or its agent during the audit process and comply with the recommendations of the M2 financial and compliance audits. Project records must be maintained for five (5) years after final payment.~~

### Record Requirements to Demonstrate Compliance

A description of the required records is given below.

#### Contracts

For all contract expenses the following records must be maintained:

1. The original executed contract
2. Evidence the procurement of contracted public works and architectural and engineering services followed applicable state laws and local agency procurement requirements



## Chapter 11 – Audits

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3. All contractor invoices received
4. All contract change order documents
5. Proof of payment to contractors
6. Project “as built” or other final plans
7. Sign-off on completion by Local Agency (letter of acceptance)

### Materials and other

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

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

### Direct labor

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

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

### Equipment

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

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

### Local agency force work

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



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### Overview

The Project X/Environmental Cleanup Program (ECP) provides for Measure M2 (M2) revenues to improve overall water quality in Orange County from transportation-generated pollution. Specifically, the Orange County Local Transportation Authority's Ordinance No. 3 (M2 Ordinance) dated July 24, 2006; provides 2 percent of gross M2 revenue dedicated to protecting Orange County beaches and waterways from the conveyance of urban runoff associated with transportation generated pollution. The M2 Environmental Cleanup Program (ECP) ensures that funds will be used on a countywide, competitive basis to meet federal Clean Water Act standards for controlling transportation-generated pollution by funding nationally recognized Best Management Practices (BMPs).

As required by the M2 Ordinance, an Environmental Cleanup Allocation Committee (ECAC), representing a broad cross-section of the water quality community, was formed in October 2007 to provide guidance on program design and funding. The goal of the ECP is to fund projects on a countywide, competitive basis. This will assist the County of Orange and Orange County cities in reducing transportation-related water quality pollution by meeting Clean Water Act standards for local waterways and beaches.

Proposed projects must demonstrate a direct nexus (connection) to a reduction of transportation-related pollution as developed and defined by the ECAC in conformity with the M2 Ordinance. All proposing agencies must demonstrate an understanding of how their proposed projects meet the following transportation pollution nexus definition:

- *Transportation-related activities can be a contributor of pollutants and/or impairments to receiving waters via aerial deposition, storm, and non-storm water discharges. Transportation-related activities are associated with the operation, construction, and maintenance of public roads, highways, and other ground transportation systems.*
- *The conveyance of transportation-related pollutants to surface and groundwater can occur from precipitation, runoff, and leaching entering or discharging from public roads, highways, and other ground transportation systems via drainage systems; such as catch basins, curbs, gutters, ditches, manmade channels, retention basins, or storm drains. The quality and quantity of these discharges vary considerably and are affected by hydrology, geology, land use, season, and sequence and discharge of hydrologic events.*
- *Pollutant sources can encompass right-of-way, properties, facilities, and activities related to motor vehicles, highway maintenance, construction site runoff,*



*maintenance facility runoff, illegal dumping, spills, and landscaping care. Pollutant categories include, but are not limited to: metals (such as copper, lead, and zinc), organic chemicals and compounds (hydrocarbons and pesticides), sediment, nutrients (nitrogen and phosphorus), litter, oxygen demanding substances (decaying vegetation, animal waste, and other organic matter), groundwater dewatering discharges, and pathogenic material.*

The M2 ECP funds are designed to supplement, not supplant existing water quality programs. Proposed projects must improve and not replace existing pollution reduction efforts by an eligible party. Funds will be awarded to the most competitive projects with the highest benefit to water quality.

The intent of the Environmental Cleanup Program is to provide funding for water quality projects that do not replace existing transportation water quality expenditures. In other words, if a project has components which would replace features already in place or which would fulfill project specific mitigation, those components would not be eligible for M2 funding consideration. Some upgrades and expansions may be eligible. The eligibility of the project and its components will be determined during the evaluation process. Contact Program Manager for details.

In May 2010, the Orange County Transportation Authority (OCTA) Board of Directors (Board) approved a two-tiered approach to fund the M2 ECP. Specifically, the funding plan called for up to \$19.5 million in Tier 1 grants on a “pay-as-you-go” basis through fiscal year (FY) 2017-18, and up to \$38 million in Tier 2 grants via bonding through FY 2014-15. The Board has now approved the funding guidelines for both the Tier 1 and Tier 2 Grant Programs.

### **Organization of Chapter 12**

The first part of the chapter consists of funding guidelines for the Tier 1 Grant Program. The second part of the chapter consists of funding guidelines for the Tier 2 Grant Program.



### Section 12.1 – Tier 1 Grant Program

#### Overview

The Tier 1 Grant Program is designed to mitigate the more visible forms of pollutants, such as litter and debris, which collect on the roadways and in the catch basins (storm drains) prior to being deposited in waterways and the ocean. It consists of grant funding for Orange County local governments to purchase equipment and upgrades for existing catch basins and other related BMPs (i.e., “street-scale” low flow diversion projects). Examples include screens, filters, and inserts for catch basins, as well as other devices designed to remove the above mentioned pollutants. However, three calls for projects have been held to date for Tier 1. Through that process, most of the opportunities for street-scale BMP’s have been fulfilled. Therefore, the Tier 1 project types have been reassessed and expanded as the program needs have changed. Water quality projects, regardless of technology, are eligible for Tier 1 funding provided they have a verifiable benefit to water quality and fall within the maximum per project programming cap. The intent of this funding program is for project applicants to complete the work generally within one year from the letter agreement execution.

#### Tier 1 Project Types

The Tier 1 projects funded in the past include the following types. A description of each project type is provided below:

- 1) Automatic Retractable Screen and other debris screens or inserts: screen or insert units prevent debris from entering the storm drain system.
- 2) Irrigation system retrofits to reduce runoff: these projects decrease runoff from highway medians by using more efficient irrigation systems and/or replacing existing landscape to reduce the amount of water used in irrigation.
- 3) Continuous Deflection Separator (CDS): CDS units divert runoff away from waterways and screen storm drain flows from trash and debris. CDS units screen, separate, and trap debris, sediment, oil, and grease from storm water runoff.
- 4) Linear Radial Gross Solid Removal Device (GSRD): GSRDs are certified full capture systems which efficiently remove large solids from runoff water flows.
- 5) Marina Trash Skimmer: marina trash skimmers draw in floating debris, such as plastics, bottles, paper, oil sheen, and drift wood. The installation of marina trash skimmers is expected to reduce the amount of trash and debris reaching the open ocean.
- 6) Bioswales and Bioretention systems: pollutants and sedimentation are captured and subsequently removed from stormwater runoff.

#### Pre-Application Process

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In order to ensure the best use of M2 funds and assist eligible jurisdictions with the Tier 1 Grant Program, applicants may engage in a pre-application process with OCTA staff in project planning, cost estimate development, and determination of likely projected competitiveness. Specific meeting times will be established once the call is initiated. Subsequent to the call for projects deadline and submittal of the grant application, applicants will not be able to change the content of the application or scope of the project.

### **Eligible Applicants**

ECP funds can be used to implement street and highway-related water quality improvement projects to assist Orange County cities and the County of Orange to meet federal Clean Water Act standards for urban runoff. Applicants eligible for ECP funds include the 34 Orange County cities plus the County of Orange. Eligible applicants must meet the transportation requirements discussed in the M2 Ordinance.

Third parties, such as water and wastewater public entities, environmental resource organizations, nonprofit 501(c) environmental institutions, and homeowners associations cannot act as the lead agency for a proposed project, however; these agencies can jointly apply with an Orange County city and/or the County of Orange.

Two or more agencies may participate in a project. If a joint application among agencies and/or third party entities is submitted, a preliminary agreement with joint or third party entities must be provided as part of the application. In order to meet M2 Ordinance requirements, an eligible applicant must be the lead agency for the funding application. Per Chapter 9, 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 all joint applicants.

Each eligible jurisdiction must meet the eligibility criteria as set forth in Chapter 1 of these guidelines.

### **Project Programming**

The Tier 1 Grant Program approach is designed to be consistent with Chapter 2 of this CTFP Manual regarding the provisions below:

- Program Consolidation
- Funding Projections
- Programming Adjustments
- Project Cost Escalation
- Programming Policies
- Schedule Change Requests

## Chapter 12 – Environmental Cleanup Program (Project X)

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- Project Advancements
- Semi-Annual Review

Refer to Chapter 2 for explanations of the above provisions.

### **Funding Estimates**

A total of up to \$19.5 million is available for the Tier 1 Grant Program over a seven-year window from FY 2011-12 through FY 2017-18.

The maximum amount for the Tier 1 Grant Program is \$200,000 per project. To ensure that ECP funds are distributed to the highest number of eligible agencies, entities submitting more than one proposal must designate which project is the highest priority for funding. As part of the proposal scoring criteria, an extra 15 points will be awarded to the designated priority project. The maximum amount that an applicant can receive in a funding period is \$500,000.

### **Matching Funds**

For the Tier 1 Grant Program, a minimum local match of 25 percent of the eligible project cost is required. These matching funds can be provided by cash contributions and/or in-kind services. In-kind services can include salaries and benefits for employees who work directly on the project. In addition, ongoing operations and maintenance of the project for a maximum of 10 years can be pledged on a match. For projects wherein ongoing operations and maintenance are pledged as match, the local agency will report on actual operations and maintenance expenditures as part of the semi-annual review process (see page 2-7). Local agencies must complete Form 10-17 for each grant project.

***Retroactive expenditures cannot be credited towards the matching fund threshold.***

### **Overmatch**

For the Tier 1 Grant Program, administering agencies may “overmatch” ECP projects; that is, additional cash match may be provided for the project. Applicants will receive additional points in the evaluation process for matching with cash above the minimum requirement. Proposals that exceed the 25 percent minimum funding match will be given an additional one-half point for every five percent over the minimum cash match (up to 5 bonus points). Projects that achieve an overmatch using a combination of cash and in-kind services shall not be awarded bonus points.

Additionally, administering agencies must commit to cover any future cost overruns if the project is underfunded. Any work not eligible for ECP reimbursement must be





funded by other means by the project applicant and cannot count as match. These non-eligible items should not be included in the cost estimate breakdown in the application.

### Reimbursements

For the Tier 1 Grant Program, OCTA will release funds through two payments. The initial payment will constitute 75 percent of the contract award or programmed amount at contract award. OCTA will disburse the final payment, approximately, 25 percent of eligible funds, after approval of the final report. Further information on reimbursements can be located within Chapter 10 of the most recent version of the CTFP Guidelines.

### Scope Reductions/Modifications and Cost Savings

Any proposed scope reductions of an approved project must be submitted to OCTA to ensure consistency with the Tier 1 Grant Program requirements. If the proposed scope reduction is approved by OCTA, cost savings will be proportionally shared between OCTA and the grantee -- a reduction in ECP funds must be applied proportionally to maintain the approved local match percentage. All cost savings will be returned to the Tier 1 Grant Program for reallocation for the subsequent call of projects.

Any minor scope modifications, such as BMP device quantities and/or the adjustment of device locations, must be submitted to OCTA for administrative approval prior to the implementation of the project. The proposed modifications must mitigate the same pollutants, affect the same waterways, and meet all other provisions as stipulated in these guidelines.

### 2014 Tier 1 Call for Projects

2014 Tier 1 Call for Projects applications must be received by OCTA **no later than 5:00 PM, May 16, 2014**. Projects that do not award construction contracts by June 30, 2015 will not be considered. OCTA allocates funds on July 1 of each year. Funds will become available upon execution of a letter agreement. Approximately \$2.8 million will be available for the 2014 Tier 1 call for projects.

After the Tier 1 applications are reviewed by OCTA, an advisory panel will review and rank projects. Following a review by the ECAC, a recommended priority list of projects will be forwarded to the OCTA Board for approval in late summer 2014. Funds allocated for projects are final once approved by the OCTA Board. No additional funds will be allocated to the project. Grantees are responsible for any costs exceeding the allocated amount.



### Tier 1 Selection Criteria

OCTA will evaluate all proposals that meet the mandatory prerequisites based on competitive selection criteria (Exhibit 12-1) with the following categories:

- Problem and source identification
- Project design
- Project implementation and readiness
- Operations and maintenance
- Project benefits
- Performance metrics

Each proposal can receive a maximum of 100 points, exclusive of ten bonus points associated with up to five points related to a cash overmatch, and up to five points related to eligible agencies that have previously funded the implementation of structural BMP's to mitigate pollutant loading. Previous projects funded by M2 Competitive Grant funds cannot be used for bonus points consideration. Proof of documentation such as invoices or payment request must be available on the purchase of the equipment or services provided by vendors. These latter bonus points are based on the ECAC's recommendations that previous local funding of structural BMPs should be acknowledged and rewarded. See Exhibit 12-1 for scoring categories and point distribution.



## Exhibit 12-1 (Tier 1 Scoring Criteria)

Scoring Criteria	Points Possible
1. Describe the need for the selected BMP(s), including nexus to transportation pollutants, and detail the benefits to water quality the BMP(s) will achieve. (up to 10 Points)	10
2. Is this the lead agency's highest priority project? (15 points)	15
3. List the waterway(s) associated with this project, including applicable 303(d) listings. (2 points per 303(d) listing, up to 12 points)	12
4. List the pollutant(s) that would be addressed by the proposed project and the source(s) generating those pollutants. (2 points per pollutant, up to 16 points)	16
5. How effective will the proposed project be in dealing with the more visible forms of pollutants, such as a litter and debris? (up to 10 points)	10
6. What other BMP types were considered for this project? Why was the proposed BMP chosen? (5 points)	5
7. Provide information on proposed BMP performance efficiency and/or effectiveness, including pollutant capture, storage capacity, flow capacity, etc. (up to 6 points)	6
8. Project Readiness: following approval of funding, how long until the proposed BMP will be operational? (up to 6 points) Less than 4 Months (6 points) 4 - 8 months (4 points) 8 - 12 months (2 points) More than 12 months (1 point)	6
9. What is the methodology for measuring pollutant reduction before and after the BMP is implemented? How frequently will monitoring and performance assessment occur? (up to 10 points)	10
10. Provide an operations and maintenance plan for the lifespan of the proposed project. Include schedule of inspections, cleaning, removal and disposal of pollutants, repairs, etc. (up to 5 points)	5
11. Will the proposed project provide any benefits beyond water quality improvement (i.e., recreation, habitat, drainage) (up to 5 points)	5
	<b>100</b>
12. <b>BONUS:</b> how many different Tier 1 type BMP's are currently installed within the local agency's jurisdiction, excluding BMP's funded by previous ECP grants. (1 point per BMP type, up to 5 points)	5
13. <b>BONUS:</b> are local matching funds in excess of the 25% minimum being proposed? If yes, at what percentage? (.5 point for each 5% cash overmatch, up to 5 points) Note: overmatch bonus points can only be granted to projects whose match is entirely cash, no in-kind services.	5
	<b>110</b>



### Application Process

The following information, which is to be completed within the Tier 1 Grant Application Form, available electronically from OCTA, is required to evaluate and select projects. A checklist is included in the Tier 1 Grant Application Form to assist eligible agencies in assembling project proposals. The following project information will be necessary as part of the application process:

- Project Title
- Lead Agency Information
- Joint-Application (if applicable)
- Proposed Schedule
- Project Management
- Description and Scope of Proposed Project
- Integrated Regional Water Management Plan identification (if applicable)
- Water Bodies and 303(d) Listings
- Project Readiness
- Performance Metrics
- Detailed Project Estimate

In addition to the completed Tier 1 Grant Application, the following documentation is required as part of the application process:

- Project design or concept drawings, including preliminary design calculations, of proposed BMP
- Precise maps to show tributary drainage area and proposed location(s) for BMP installation
- Digital project site photos
- A project master schedule
- Preliminary agreements with joint and/or third party entities if part of the funding application
- A city council resolution. If a final resolution is not provided with the application, the lead agency must provide the date the resolution will be approved by the city council. (Exhibit 12-2)

For the Tier 1 Grant Program, an unbound original and three copies (total of four) of the completed application form and supporting documentation are to be submitted, plus a CD/DVD copy of the complete application. Use separate sheets of paper if necessary.

There is no maximum length for proposals. All pages must be numbered and printed on 8 1/2 x 11 sheets of white paper. Maps and drawings can be included on 11 x 17 sheets, folded into the proposal. *The original proposal should be left unbound for reproduction purposes.*

## Chapter 12 – Environmental Cleanup Program (Project X)



### Exhibit 12-2 (Tier 1 Sample Resolution)

RESOLUTION NO. \_\_\_\_\_

A RESOLUTION OF THE CITY COUNCIL/BOARD OF THE CITY/COUNTY OF \_\_\_\_\_  
AUTHORIZING AN APPLICATION FOR FUNDS FOR THE ENVIRONMENTAL CLEANUP, TIER 1 GRANT  
PROGRAM UNDER ORANGE COUNTY LOCAL TRANSPORTATION ORDINANCE NO. 3 FOR

(NAME OF PROPOSAL) PROJECT.

WHEREAS, Orange County Local Transportation Ordinance No.3, dated July 24, 2006, and is known and cited as the Renewed Measure M Transportation Ordinance and Investment Plan makes funds available through the Environmental Cleanup Program to help protect Orange County beaches and waterways from transportation-generated pollution (urban runoff) and improve overall water quality.

WHEREAS, the Environmental Cleanup, Tier 1 Grant Program consists of funding purchases and installation to catch basins with Best Management Practices, such as screens, filters, inserts, and other "street-scale" low flow diversion projects.

WHEREAS, OCTA has established the procedures and criteria for reviewing proposals; and

WHEREAS, (ADMINISTERING AGENCY) possesses authority to nominate water quality improvement projects that have a transportation pollution nexus to finance and construct the proposed project; and

WHEREAS, by formal action the (GOVERNING BODY) authorizes the nomination of (NAME OF PROPOSAL), including all understanding and assurances contained therein, and authorizes the person identified as the official representative of the (ADMINISTERING AGENCY) to act in connection with the nomination and to provide such additional information as may be required; and

WHEREAS, the (ADMINISTERING AGENCY) will maintain and operate the equipment acquired and installed; and

WHEREAS, the (ADMINISTERING AGENCY) will give OCTA's representatives access to and the right to examine all records, books, papers or documents related to the funded Tier 1 Grant Project; and

WHEREAS, the (ADMINISTERING AGENCY) will cause work on the project to be commenced within a reasonable time after receipt of notification from OCTA and that the project will be carried to completion with reasonable diligence; and

WHEREAS, the (ADMINISTERING AGENCY) will comply where applicable with provisions of the California Environmental Quality Act, the National Environmental Policy Act, the American with Disabilities Act, and any other federal, state, and/or local laws, rules and/or regulations;

WHEREAS, the (ADMINISTERING AGENCY) 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.

WHEREAS, the (ADMINISTERING AGENCY) authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the Orange County Transportation Authority Board of Directors.

NOW, THEREFORE, BE IT RESOLVED that the City/County of \_\_\_\_\_, hereby authorizes (NAME OF AGENCY REPRESENTATIVE) as the official representative of the (ADMINISTERING AGENCY) to accept funds for the Environmental Cleanup, Tier 1 Grant Program for (NAME OF PROPOSAL).

BE IT FURTHER RESOLVED that the City/County of \_\_\_\_\_, agrees to fund its share of the project costs and any additional costs over the identified programmed amount.



### Eligible Expenditures

- ECP funds must be for capital improvement. Construction management and project management cannot exceed 15% percent of the total construction costs. Eligible jurisdictions may use in-kind services to meet all or part of the matching funds requirement. These services can include salaries and benefits for employees of the eligible jurisdiction who perform work on the project or programs. Only those employees' salaries and benefits working directly on the project will be considered for the matching requirement.
- ECP funds can only be used for facilities that are in public ownership for public use; however, water quality improvements on private property, which are connected to municipal separate storm sewer systems, are eligible. (For example, a homeowner association can apply for funding through an eligible agency if the proposed project is connected to a public facility.)
- Reducing volume of surface flows is an integral factor of improving water quality, therefore, projects that have water-saving features (i.e., drip systems) are eligible for funding considerations.

### Ineligible Expenditures

- Operations and maintenance plans are not eligible expenditures. However, up to 10 years of ongoing operations and maintenance costs can be utilized as in-kind services as a source of matching funds.
- ECP funds are not to be used for planning.
- Expenditures prior to the grantee executed letter agreement date cannot be considered eligible for funding or match.
- Landscaping installation and replacement are not eligible for funding consideration.
- Capital equipment purchases related to regular on-going street maintenance efforts, including, but not limited to: trash receptacles, vacuum trucks and/or equipment, street sweepers, signage, etc.)

### Reporting and Reimbursement

Chapter 10 of the CTFP Guidelines outlines the process and requirements regarding reimbursements and reporting for the Tier 1 Grant Program. A final report must be filed within 180 days of the project being completed with information as shown in Form 10-16.

Additionally, an exception to Precept #36: Agencies may appeal to the ECAC and the OCTA Board on any issues that the agency and OCTA cannot resolve, as such are the approving bodies for this program.



### Technical and/or Field Review

Once an agency submits a final report for a project, OCTA shall review the report for compliance with the CTFP guidelines and may conduct a field review. OCTA will use the project cost estimate forms submitted with the application and revised where appropriate, project accounting records and the final report as the primary items to conduct the review. Agencies must maintain separate records for projects (i.e., expenditures, interest) to ensure compliance. Only CTFP eligible items listed on a project's cost estimate form will be reimbursed. See Chapter 11 for independent audit requirements beyond the technical and/or field review.

### Additional Information

Completed applications and questions regarding these procedures and criteria should be directed to:

By mail:

Dan Phu  
Orange County Transportation Authority  
P.O. Box 14184  
Orange, CA 92863-1584  
Tel: (714) 560-5907  
Fax: (714) 560-5794

In person:

Orange County Transportation Authority  
600 South Main Street  
Orange, CA 92863-1584



### **Section 12.2 – Tier 2 Grant Program**

The Tier 2 Grant Program consists of funding larger (projects treating catchment areas of 50 acres or greater), potentially multi-jurisdictional, capital-intensive structural treatment BMP projects. Proposed projects covering smaller catchment areas which are otherwise eligible are not prohibited from the application process and will be regarded as eligible for consideration if the proposed project can demonstrate highly significant water quality improvement benefits (greater than other competing larger scale proposed projects) and cost-effectiveness under the scoring criteria guidelines. Tier 2 funds are designed to fund large-scale BMP construction projects. Examples include constructed wetlands, detention/infiltration basins and other large-scale BMPs that mitigate litter and debris, heavy metals, organic chemicals, sediment, nutrients, and other transportation-related pollutants. Funds will be awarded through a competitive grant process geared towards awarding funds to the highest scoring, most cost-effective projects.

#### **Pre-Application Process**

In order to facilitate a jurisdiction's best use of ECP funds, Tier 2 applicants may engage in a pre-application process with OCTA staff in order to assist jurisdictions in project planning, proposal and cost estimate development, and determination of likely projected competitiveness in the scoring criteria. The pre-application timeframe is defined as the time between the initiation of the call for projects and one week prior to the application deadline date. Subsequent to the call for projects deadline, applicants will not be able to change the content of their application or scope of the project.

#### **Eligible Applicants**

ECP funds can be used to implement street and highway-related water quality improvement projects to assist Orange County cities and the County of Orange to meet federal Clean Water Act standards for urban runoff. Applicants eligible for ECP funds include the 34 Orange County cities plus the County of Orange. Eligible applicants must meet the transportation requirements discussed in the M2 Ordinance.

For Tier 2 multi-agency collaborations, M2 eligible jurisdictions may partner with other entities such as special districts and non-profits, but the lead agency must be an M2 eligible jurisdiction.

Third parties, such as water and wastewater public entities, environmental resource organizations, non-profit 501(c) environmental institutions, and homeowners associations cannot act as the lead agency for a proposed project, however; these agencies can jointly apply with an M2 eligible Orange County city and/or the County of Orange.





Two or more agencies may participate in a project. If a joint application among agencies and/or third party entities is submitted, a preliminary agreement with joint or third party entities must be provided as part of the application. In order to meet M2 Ordinance requirements, an eligible applicant must be the lead agency for the funding application. Per Chapter 9, 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.

Each eligible jurisdiction must meet the eligibility criteria as set forth in Chapter 1 of the CTFP guidelines. For example, to apply for CTFP programs, local agencies must fulfill an annual eligibility process. Eligibility packages are due to OCTA by June 30 of each year. The M2 Eligibility Preparation Manual outlines the eligibility requirements in detail.

In order for an applicant to accept ECP funding for their proposed project OCTA has certain requirements that must be met. These requirements include adhering to the OCTA CTFP Guidelines; meeting a 10-year BMP O&M commitment; and commitment to maintain and monitor the project commensurate with the design life.

### **Project Programming**

The Tier 2 Grant Program is designed to be consistent in terms of approach with Chapter 2 of this CTFP Guidelines regarding the provisions below:

- Program Consolidation
- Sequential Programming Process
- Funding Projections
- Programming Adjustments
- Project Cost Escalation
- Project Readiness
- Programming Policies
- Schedule Change Requests
- Project Advancements
- Semi-Annual Review

Refer to Chapter 2 for explanation of the above provisions.

### **Funding Estimates**

The Tier 2 program will be funded beginning in winter 2012-13 using bond financing revenues with up to \$38 million allocated through FY 2014-15. Beyond 2014-15, funding will be based on a pay-as-you-go basis. The maximum amount that an individual project may receive of the initial \$38 million in Tier 2 funding is capped at \$5

## Chapter 12 – Environmental Cleanup Program (Project X)



million per project phase. Projects must receive a minimum evaluation score of 70 out of 100 to receive grant funds.

The first Tier 2 call for projects is expected to be issued in spring 2012 with a total amount of \$13.3 million. Jurisdictions may request ~~allocation-of-grant~~ funds to be in either FY 2012-13 or FY 2013-14. The second Tier 2 call of \$24.7 million is expected in FY 2013-14 and jurisdictions may request ~~allocation-of-grant~~ funds in either FY 2013-14 or FY 2014-15. Depending on the outcome of the first two Tier 2 calls for projects, there may be a third call if there are residual funds available after the first two calls.

### FY 2012-13 Tier 2 Implementation Timeline

The Tier 2 call for projects will be open for 90 days. The FY 2012-13 Tier 2 applications must be received by OCTA **no later than 5:00 PM, September 4, 2012**. OCTA is seeking applications for projects, which can be awarded no later than June 30, 2013 for the FY 2012-13 funding cycle, or by June 30, 2014 for the FY 2013-14 funding cycle. Projects that do not ~~obligate-encumber~~ funds by the dates/cycles listed above will not be considered. Funds allocated by OCTA for each awarded project will be available on July 1<sup>st</sup> of that funding cycle year.

After the Tier 2 applications are reviewed by OCTA, an advisory panel will review and rank projects. Following review and recommendation by the ECAC, a recommended priority list of projects will be forwarded to the OCTA Board for approval. Funds allocated for projects are final once approved by the OCTA Board. No additional funds will be allocated to the project. Grantees are responsible for any costs exceeding the allocated amount.

### Matching Funds

For the Tier 2 Grant Program, a minimum local match of fifty (50) percent of the project phase cost is required. These matching funds can be provided by cash contributions or in-kind services. Construction management and project management cannot exceed 15% percent of construction costs. Previously completed phases of a project may not be attributed to the match. Prior expenditures cannot be used as matching funds. In-kind services can include salaries and benefits for employees who work directly on the project. In-kind services for O&M cannot be pledged as a match.

### Potential to reduce matching funds up to 25% percent

- Project readiness (i.e., environmental [5%], design [5%] or ~~right-of-way~~ right-of-way acquisition [5%]) – up to 15% reduction

## Chapter 12 – Environmental Cleanup Program (Project X)



- O&M commitment beyond 10 years: Five years above commitment for a total of 15 years (5% reduction) and ten years above commitment for a total of 20 years (10% reduction) – up to 10% reduction

If a joint application among agencies and/or third party entities is submitted, matching funds documentation must clearly identify the entity providing the funds for each line item in the matching funds description. Additionally, preliminary agreements are required to be submitted with the grant application that contains the matching funds commitments from a supporting agency.

Applicants must submit a draft BMP O&M Plan covering a minimum of ten years (10) after project completion. The BMP O&M Plan must document (through a resolution) project O&M financial commitment and sustainability for ten years and is subject to an OCTA semi-annual (twice yearly) review process over the ten-year period. BMP O&M costs cannot be used for the match or in-kind services. Applicants must include as part of the O&M Plan project assessment and monitoring of performance. A documented fifteen (15) or twenty (20) year draft BMP O&M Plan (submitted with application) will be eligible for a 5% percent or 10% percent matching funds reduction, respectively.

Refer to Chapter 10 for reimbursement details. Sufficient documentation including council resolutions, purchase orders, invoices, and payroll records must be submitted with the funding request to enable OCTA to verify total project expenditures and eligible costs.

Matching rate commitments identified in the project grant application shall remain constant throughout the project. Match rate commitments may not be reduced for any reason.

### Eligible Expenditures

- ECP funds are designed to fund capital improvements. Tier 2 funds are designed to be strictly used for project construction costs, although up to 10% percent of total grant amount (i.e., funds requested) may be allocated to preliminary project design, environmental, or engineering costs. Non-capital expenses for enhancements such as education, recreation, etc. are not eligible for Tier 2 grant funding.
- Tier 2 projects must meet the transportation nexus as outlined previously in this chapter.
- Expenditures prior to award date cannot be considered eligible for funding or match.

## Chapter 12 – Environmental Cleanup Program (Project X)



- Eligible jurisdictions may use in-kind services to meet all or part of the matching funds requirement. These services can include salaries and benefits for employees of the eligible jurisdiction who perform work on the project or programs. Only those employees' salaries and benefits working directly on the project will be considered for the matching requirement. For Tier 2, construction management and project management cannot exceed ~~15%~~ percent of the total construction costs.
- ECP funds are not to be used for planning.
- ECP funds can only be used for facilities that are in public ownership for public use; however, water quality improvements on private property, which are connected to municipal separate storm sewer systems, are eligible (For example, a homeowner's association can apply for funding through an eligible agency if the proposed project is connected to a public facility).

### Overmatch

For the Tier 2 Grant Program, administering agencies may “overmatch” ECP projects; that is, additional cash match dollars may be provided for the project. Applicants will receive additional points in the evaluation process for over matching with cash contributions. Proposals that exceed the fifty (50) percent minimum funding match will be given an additional 1 point for every five (5) percent over the minimum cash match (up to 5 bonus points).

Additionally, administering agencies must commit to cover any future cost overruns if the project is underfunded. Any work not eligible for ECP reimbursement must be funded by other means by the project applicant and cannot count as match. These non-eligible items should not be included in the cost estimate breakdown in the application.

*Expenditures incurred prior to letter agreement execution cannot be credited towards the matching fund threshold.*

### Reimbursements

For the Tier 2 Grant Program, OCTA will release funds through two payments. The initial payment will constitute 75 percent of the contract award or programmed amount at time of award. OCTA will disburse the final payment, approximately, 25 percent of eligible funds, after approval of the final report. Further information on reimbursements can be located within Chapter 10 of the CTFP 2012 Guidelines.



### Scope Reductions and Cost Savings

Any proposed scope reductions of an approved project must be submitted to OCTA to ensure consistency with the Tier 2 Grant Program requirements. If the proposed scope reduction is approved by OCTA, cost savings will be proportionally shared between OCTA and the grantee. A reduction in ECP funds must be applied proportionally to maintain the approved local match percentage. All cost savings will be returned to the Tier 2 Grant Program for reallocation for the subsequent call for projects.

### Tier 2 Selection Criteria

OCTA will evaluate all proposals that meet the mandatory prerequisites based on competitive selection criteria with the following categories:

- Problem and source identification
- Project design
- Project implementation and readiness
- Project benefits
- Performance metrics

Each proposal can receive a maximum of 100 points, exclusive of 5 bonus points associated with a cash “overmatch,” which was discussed in a previous section. Tier 2 selection criteria include both technical scoring criteria – seventy (70) percent weighting – and non-technical scoring criteria – thirty (30) percent weighting.

A focus on several overarching concepts is emphasized in the funding guidelines and scoring criteria:

- Focus on a clear and measureable transportation nexus, defined as total lane miles in the project catchment area, as defined by the Master Plan of Arterial Highways
- Priority in the scoring criteria is given to projects in areas of highest water quality need, as established by predicted pollutant loading, receiving water monitoring, and the extent of impairment of receiving waters (i.e., higher priority given to 303(d) listed water bodies or project in a water quality plan)
- Quantification of project benefits where possible in terms of a load reduction metric (pollutants or water volumes), expressed in terms of cost-benefit
- Emphasis on project readiness, and ability to leverage funding
- Emphasis on other regional and environmental benefits
- Emphasis on multi-jurisdictional and public benefits



### Application Process

The following information, which is to be completed within the Tier 2 Grant Application Form (Exhibit 12-2), is required by OCTA to evaluate and select projects. A checklist is included in the Tier 2 Grant Application Form to assist eligible agencies in assembling project proposals:

- Project Title
- Lead Agency Information
- Joint-Application (if applicable)
- Funding Request/Match Commitment
- Proposed Schedule
- Project Management
- Integrated Regional Water Management Plan identification (if applicable)
- Description of Proposed Project
- Project Priority
- Funding Cycle preference
- Performance Metrics (Project Specific Information)
- Funding Information

In addition, the following exhibits are required to be included within the submitted proposal:

- Project design or concept drawings, including preliminary design calculations, of proposed BMP
- Estimates of pollutant load reduction, calculated using Structural BMP Prioritization Analysis Tool (SBPAT) or equivalent
- Precise maps to show tributary drainage area and proposed location(s) for BMP installation
- Disposition of environmental clearance and permitting
- Discussion and disposition of long term maintenance agreement
- Discussion of multiple benefits
- Discussion of funding leveraging/overmatch
- Digital project site photos
- A project master schedule
- Preliminary agreements with joint and/or third party entities if part of the funding application
- A draft resolution (final due prior to OCTA Committee and Board approval)
- A Ten (10) Year draft BMP O&M Plan. Applicants may propose up to a twenty (20) draft year BMP O&M Plan (if applicant desires match reduction)

*Information can be completed utilizing the grant application exhibit.* For the Tier 2 Grant Program, an unbound original and four copies (total of five) of the completed

## **Chapter 12 – Environmental Cleanup Program (Project X)**

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application form and related exhibits are to be submitted, plus a CD copy of the complete application. Use separate sheets of paper if necessary.

There is no maximum length for proposals. All pages must be numbered and printed on 8 1/2 x 11 sheets of white paper. Maps and drawings can be included on 11 x 17 sheets, folded into the proposal. *The original proposal should be left unbound for reproduction purposes.*

### **Reporting and Reimbursement**

The Tier 2 Grant Program is consistent with Chapter 10 of the CTFP Guidelines regarding the process and requirements of reimbursements and reporting including semi-annual reviews. Upon completion of project construction, a final BMP O&M plan is required to be submitted along with the final report.

Additionally, an exception to Precept #36: Agencies may appeal to the ECAC and the OCTA Board on any issues that the agency and OCTA cannot resolve.

### **Technical and/or Field Review**

Once an agency submits a final report for a project, OCTA shall review the report for compliance with the CTFP Guidelines and may conduct a field review. OCTA will use the project cost estimate forms submitted with the application and revised where appropriate, project accounting records and the final report as the primary items to conduct the review. Agencies must maintain separate records for projects (i.e., expenditures, interest) to ensure compliance. Only CTFP eligible items listed on a project's cost estimate form will be reimbursed. See Chapter 11 for independent audit requirements beyond the technical and/or field review.

### **Additional Information**

Completed applications and questions regarding these procedures and criteria should be directed to:

By mail:

Dan Phu  
Orange County Transportation Authority  
P.O. Box 14184  
Orange, CA 92863-1584  
Tel: (714) 560-5907  
Fax: (714) 560-5794

In person:

Orange County Transportation Authority  
600 South Main Street  
Orange, CA 92863-1584

## Chapter 12 – Environmental Cleanup Program (Project X)



### Exhibit 12-3 ECP Tier 2 Grant Application

**Project Title:** \_\_\_\_\_

<b>Lead Agency Information</b>  (Project Administrator responsible for day-to-day project implementation)  Name:  Title:  Address:  Phone:  Email:	<b>FUNDING/MATCH SUMMARY</b>  TOTAL PROJECT COST (TPC) \$ _____  Complete section "i." on next page to calculate amounts below  TOTAL FUNDS REQUESTED \$ _____  APPLICANT MATCH % (50% min. minus reductions) _____ %  OVERMATCH COMMITMENT _____ %  APPLICANT MATCH AMOUNT \$ _____  Project is part of a larger effort (circle)  Yes / No	
<b>Joint Applicant / Third Party:</b>  Name:  Title:  Agency:  Address:  Phone:  Email:	<b>Joint Applicant / Third Party:</b>  Name:  Title:  Agency:  Address:  Phone:  Email:	<b>Joint Applicant / Third Party:</b>  Name:  Title:  Agency:  Address:  Phone:  Email:



## Chapter 12 – Environmental Cleanup Program (Project X)



### Exhibit 12-3 (continued) ECP Tier 2 Grant Application

#### i. Funding Request/Match Commitment:

<b>Total Funds Requested (\$5 million max)</b>	\$_____	
<b>Match Reduction Percentages (25% max) *</b> Project Readiness up to 15% Draft Operations and Maintenance (O&M) Plan up to 10%	<b>Applicant Match</b>	<b>Match Calculation</b>
• Minimum Required Match Percent	50%	50%
Project Readiness • CEQA Certification (must be certified) • Construction Documents Complete • Right-of-Way Acquired	5% reduction 5% reduction 5% reduction	Subtract <input type="text"/> % Subtract <input type="text"/> % Subtract <input type="text"/> %
Draft O&M Plan (10-year Plan Required) • O&M Beyond 10 years: 15 years (5% reduction) or 20 years (10% reduction)	5% or 10% reduction	Subtract <input type="text"/> %
Calculated Applicant Match Percentage	_____ %	
Applicant Overmatch Percentage (see Part Two, #7)	_____ %	
Applicant Match Amount (Total Funds Requested x Match Percentage)	\$_____	
<b>Estimated Eligible Grant Funded Expenditures**</b>	<b>Amount</b>	<b>Percentage</b>
• Construction	\$_____	_____ %
• Project Management/Construction Management (max 15% of Construction Cost)	\$_____	_____ %
• Preliminary Project Design, Environmental, & Engineering (max 10% of Total Funds Requested)	\$_____	_____ %
Total Eligible Expenditures (Cannot exceed total funds requested plus match amount)	\$_____	

\* Match reduction(s) require verification by evaluation committee.

\*\* Provide if available. This information will be required for payment verification at time of invoicing.

## Chapter 12 – Environmental Cleanup Program (Project X)



### Exhibit 12-3 (continued) ECP Tier 2 Grant Application

- ii. **Proposed Schedule:** Provide an estimate of the project's proposed schedule:

	Start Date	Completion Date
Environmental Document		
Design and Permitting (if applicable)		
Right-of-way (if applicable)		
Award of Contract		
Construction		
Operations & Maintenance (10 years min. 15 or 20 years for match reduction)		

- iii. **Project Management**

Provide an assessment of the management capabilities of the Applicant/Lead Agency. At a minimum, include an organization chart (as attachment), showing key project individuals who will be responsible for ensuring that the project is completed and has long-term sustainability.

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- iv. **Integrated Regional Water Management Plan (IRWMP)**

Is the proposed project identified in an existing IRWMP? Yes \_\_\_\_\_ No \_\_\_\_\_

- v. **Description of Proposed Project**

Describe the project and why it is important for controlling transportation-related pollutants to a watershed(s).

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## Chapter 12 – Environmental Cleanup Program (Project X)



### Exhibit 12-3 (continued) ECP Tier 2 Grant Application

#### i. Project Details:

INFORMATION REQUIRED	INPUT
1. Project Location (Street Address or Lat-Long)	
2. Project BMP Type (use CASQA or equivalent definition)	
3. Project Design Criteria. Select one: - Volume-based BMP (24-hour rainfall volume) - Flow-based BMP (design 1-hour intensity)	
4. Project Site Map	Provide as Attachment (provide as GIS file or in Google Earth format)
5. Project Tributary Drainage Area	Provide as Attachment (provide as GIS file or in Google Earth format)

#### ii. Project Priority

**If submitting an application for more than one project, is this project your agency's priority?**

Yes \_\_\_\_\_ No \_\_\_\_\_

#### iii. Funding Cycle

**If awarded funding, in which funding cycle would you like to receive funds?  
(Check one)**

FY 2012-13 (contract must be awarded by June 30, 2013 and funds would be available July 1, 2013)

FY 2013-14 (contract must be awarded by June 30, 2014 and funds would be available July 1, 2014)



Exhibit 12-3 (continued)  
ECP Tier 2 Grant Application

### Part Two: Project Specific Information (scored)

**Each proposal can receive up to 105 points, inclusive of five bonus points associated with overmatch commitment. Tier 2 selection criteria includes both technical scoring criteria (70 percent weighting) and non-technical scoring criteria (30 percent weighting)**

- 1) Transportation Priority Index (5/100 pts – Coordination with OCTA required to determine points)

*The Transportation Priority Index (TPI) is developed based on density of roadway lane miles within pre-defined catchment areas. OCTA will provide geospatial information (through ArcGIS and/or Google Earth) that will allow applicants to establish this point score based solely on project location/address.*

Points (5 max)

- 2) Water Quality Need Analysis (40/100 pts – Coordination with OCTA required to determine points)

*a) The Environmental Cleanup Allocation Committee (ECAC) agreed upon criteria upon which water quality Catchment Prioritization Index (CPI) scores were established. CPI scores quantify water quality need using the GIS-based Structural BMP Prioritization and Analysis Tool (SBPAT) and Orange County land use and receiving water data. OCTA will provide geospatial information (through ArcGIS and/or Google Earth) that will allow applicants to establish this point score based solely on project location/address.*

Points (30 max)

*b) The OCTA team reviewed County monitoring data and regulatory (303d) impairment lists to establish indices of water quality need based on receiving water quality. OCTA will provide geospatial information (through ArcGIS and/or Google Earth) that will allow applicants to establish this point score based solely on project location/address.*

Points (10 max)

## Chapter 12 – Environmental Cleanup Program (Project X)



### Exhibit 12-3 (continued) ECP Tier 2 Grant Application

3) BMP Performance (25/100 pts – Coordination with OCTA required to determine points)

a) For Wet Weather (25 pts), develop water quality load reduction index (WQLRI)

A	B	C	D
Pollutant Family	Relative Contribution to CPI Score from SBPAT Prioritization Output	Avg. Annual Load Reduction from SBPAT Analysis Output (units vary, max 100)	Weighted Load Reduction (B x C)
Volume	___%		
Metals	___%		
Bacteria	___%		
Nutrients	___%		
TSS	___%		
	___%	dimensionless WQLRI (sum)	

WQLRI/Total Project Cost:

Wet Weather Project Quantile (to be completed by OCTA):

Wet-Weather Points Allocated (to be completed by OCTA):


b) For Dry Weather (25 pts), estimate total dry-weather volume mitigated (include supplemental calculation package, including basis for estimates)

Proposed BMP Technology	
Estimated Total Dry Weather Flow Rate (cfs)	
Estimated Total Dry Weather Flow Rate Mitigated (cfs)	
Estimated Percentage of Dry-Weather Flow Removed or Avoided (MG/yr)	
Estimated Percentage of Dry-Weather Flow Treated to Water Quality Standards (MG/yr)	
Estimated Total Dry Weather Flow Volume Fully Mitigated (MG/year)	

Mitigated Dry Weather Volume/Total Project Cost:

Dry-Weather Project Quantile (to be completed by OCTA):

Dry-Weather Points Allocated (to be completed by OCTA):


c) Total BMP Performance Score

Wet-Weather Points Allocated (from a))

Dry-Weather Points Allocated (from b))

Total Points Allocated (max 25 points)




**Exhibit 12-3 (continued)**  
**ECP Tier 2 Grant Application**

- 4) Multiple-Benefits (semi-qualitative analysis) (10/100 pts max from subcategories *a, b, c, d, e*)  
All subcategories may not apply to your project.

*a) Drainage (5 pts max)*

*How does the project increase levels of protection or mitigate a flooding problem?*

*b) Recreational (5 pts max)*

*How does the project provide a recreational benefit to the community?*

*c) Habitat (5 pts max)*

*How does the project provide a habitat benefit?*



**Exhibit 12-3 (continued)**  
**ECP Tier 2 Grant Application**

d) Water Resources (5 pts max)

*Is there a potential water resources sustainability benefit? Describe.*

e) Other (5 pts max)

*Describe any other benefit your project provides not previously addressed in a through d.*

5) Project Readiness (10 pts max)

*Describe the project's readiness (i.e., how far along is the project with regard to concept development, cost estimates, design, environmental compliance, construction documents).*

## Chapter 12 – Environmental Cleanup Program (Project X)

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### Exhibit 12-3 (continued) ECP Tier 2 Grant Application

6) Policy (10/100 pts max from subcategories *a* and *b*)

a) Multi-Jurisdictional Project with Regional Benefit (max 10 pts)

*If the project is multi-jurisdictional, describe how it would provide a regional benefit.*

b) Community and Public Support and Benefit (max 5 pts)

*Does the project have community and public support and how will it provide a benefit?*

7) BONUS POINTS: Ability to Leverage Funding (5 pts max, 1 point per 5%)

*Will your agency provide matching funds above the minimum?*





### Part Three: Funding

<b>Project Title:</b> _____	<b>Phone:</b> _____
<b>Contact:</b> _____	<b>Email:</b> _____
<b>Agency:</b> _____	

### Local Match Detail

Cash Contribution	_____
In-Kind Services *	_____
Other Grants	_____
<b>Total Match Commitment</b>	\$ _____ -

### Source(s) of Local Match

1. **\*In-Kind Services (excluding O&M):** Salaries and benefits for employees who will perform work on the proposed project are eligible as a matching requirement. Please provide details on how in-kind services are calculated. Identify the Fiscal Year(s) of In-Kind expenditure and amount for each year. Do not use acronyms.

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2. **Other grants and/or funding** may include fair share funds, non-ECP state or federal grant funds, local city funds, general funds, developer fees, etc. Please list the name and amount of any respective non-ECP grants that are proposed as a match. If there are other grant type(s), include the status of each.

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## Chapter 12 – Environmental Cleanup Program (Project X)



### Part Three: Funding (continued)

<u>Estimated Preliminary Project Design, Environmental, &amp; Engineering Costs</u>					
Item #	Description	Unit	Quantity	Unit Price	Amount
				\$ -	\$ -
				\$ -	\$ -
				\$ -	\$ -
				\$ -	\$ -
				\$ -	\$ -
				\$ -	\$ -
				Subtotal:	\$0
<u>Estimated Construction (Capital) Costs</u>					
Item #	Description	Unit	Quantity	Cost/Price	Amount
				\$ -	\$ -
				\$ -	\$ -
				\$ -	\$ -
				\$ -	\$ -
				\$ -	\$ -
				\$ -	\$ -
				Subtotal:	\$0
<u>Estimated Project Management/Construction Management Cost</u>					
Item #	Description	Unit	Quantity	Cost/Price	Amount
				\$ -	\$ -
				\$ -	\$ -
				\$ -	\$ -
				\$ -	\$ -
				\$ -	\$ -
				\$ -	\$ -
				Subtotal:	\$0
<u>Estimated Other Cost</u>					
Item #	Description	Unit	Quantity	Cost/Price	Amount
				\$ -	\$ -
				\$ -	\$ -
				\$ -	\$ -
				\$ -	\$ -
				\$ -	\$ -
				\$ -	\$ -
				Subtotal:	\$0
<b>TOTAL PROJECT COST</b>					<b>\$0</b>

## Chapter 12 – Environmental Cleanup Program (Project X)



### Part Four: Tier 2 Grant Program Resolution

#### *SAMPLE AGENCY RESOLUTION REQUESTING FUNDS FOR PROPOSED PROJECT*

RESOLUTION NO. \_\_\_\_\_

A RESOLUTION OF THE CITY COUNCIL/BOARD OF THE CITY/COUNTY OF \_\_\_\_\_  
AUTHORIZING AN APPLICATION FOR FUNDS FOR THE ENVIRONMENTAL CLEANUP, TIER 2 GRANT  
PROGRAM UNDER ORANGE COUNTY LOCAL TRANSPORTATION ORDINANCE NO. 3 FOR  
(NAME OF PROPOSAL) PROJECT.

WHEREAS, Orange County Local Transportation Ordinance No.3, dated July 24, 2006, and is known and cited as the Renewed Measure M Transportation Ordinance and Investment Plan makes funds available through the Environmental Cleanup Program to help protect Orange County beaches and waterways from transportation-generated pollution (urban runoff) and improve overall water quality.

WHEREAS, the Environmental Cleanup, Tier 2 Grant Program consists of funding regional, potentially multi-jurisdictional, capital-intensive projects, such as constructed wetlands, detention/infiltration basins and bioswales, which mitigate pollutants including litter and debris, heavy metals, organic chemicals, sediment, and nutrients.

WHEREAS, OCTA has established the procedures and criteria for reviewing proposals; and

WHEREAS, (ADMINISTERING AGENCY) possesses authority to nominate water quality improvement projects that have a transportation pollution nexus to finance and construct the proposed project; and

WHEREAS, by formal action the (GOVERNING BODY) authorizes the nomination of (NAME OF PROPOSAL), including all understanding and assurances contained therein, and authorizes the person identified as the official representative of the (ADMINISTERING AGENCY) to act in connection with the nomination and to provide such additional information as may be required; and

WHEREAS, the (ADMINISTERING AGENCY) will maintain and operate the equipment acquired and installed; and

WHEREAS, the (ADMINISTERING AGENCY) will give OCTA's representatives access to and the right to examine all records, books, papers or documents related to the funded Tier 2 Grant Project; and

WHEREAS, the (ADMINISTERING AGENCY) will cause work on the project to be commenced within a reasonable time after receipt of notification from OCTA and that the project will be carried to completion with reasonable diligence; and

WHEREAS, the (ADMINISTERING AGENCY) will comply where applicable with provisions of the California Environmental Quality Act, the National Environmental Policy Act, the American with Disabilities Act, and any other federal, state, and/or local laws, rules and/or regulations;

NOW, THEREFORE, BE IT RESOLVED that the City/County of \_\_\_\_\_, hereby authorizes (NAME OF AGENCY REPRESENTATIVE) as the official representative of the (ADMINISTERING AGENCY) to accept funds for the Environmental Cleanup, Tier 2 Grant Program for (NAME OF PROPOSAL).

BE IT FURTHER RESOLVED that the City/County of \_\_\_\_\_, agrees to fund its share of the project costs and any additional costs over the identified programmed amount.



**Tier 2 Checklist**

**Mandatory Application Items (check all items included in this package)**

- \_\_\_\_\_ Application (Parts 1 - 3)
- \_\_\_\_\_ Environmental Document (if applicable)
- \_\_\_\_\_ Preliminary Cooperative Agreement (if applicable)
- \_\_\_\_\_ Project Cost Estimate
- \_\_\_\_\_ Proposed Budget
- \_\_\_\_\_ Maps
- \_\_\_\_\_ Design / Concept Drawing
- \_\_\_\_\_ Digital Project Site Photos
- \_\_\_\_\_ Project Schedule
- \_\_\_\_\_ Draft Resolution
- \_\_\_\_\_ Applicable Exhibits (refer to Tier 2 Guidelines)



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**August 25, 2014**

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

**From:** Darrell Johnson, Chief Executive Officer *[Handwritten signature: J. Kenneth R. Johnson for]*

**Subject:** Measure M1 Progress Report for the Period of April 2014 Through June 2014 and Closeout Overview

### **Overview**

Staff has prepared a Measure M1 progress report for the period of April 2014 through June 2014 for review by the Orange County Transportation Authority Board of Directors. Measure M1 closeout activities continue to proceed in a number of areas.

### **Recommendation**

Receive and file as an information item.

### **Background**

Local Transportation Ordinance No. 2 (Measure M1 [M1]) and the Traffic Improvement and Growth Management Plan became effective on April 1, 1991, following approval of a ballot measure in November 1990. Over the 20-year period in which M1 was in effect, the Orange County Transportation Authority (OCTA) received approximately \$4 billion in sales tax revenue available for projects described in the M1 Expenditure Plan. Through effective project management, strategic use of bonding, and acquisition of state and federal funds, OCTA successfully fulfilled its promise to voters. OCTA managed to complete an additional freeway project, State Route 22 improvements, and has a small remaining balance of funds.

On March 31, 2011, the collection of sales tax revenue under M1 concluded; however, there are still expenditures that remain to complete M1 commitments. In March 2011, the Board of Directors (Board) approved a plan to wrap-up M1 activities. The plan addressed use of three types of M1 proceeds: those that had been committed to projects but that remain unspent (programmed expenditures); those remaining funds that are over and above any current

M1 obligations (remaining balance); and, the interest earned on retained M1 funds until those funds are fully expended.

***Discussion***

M1 net sales tax revenues continue to be monitored, with the final amount still estimated to be approximately \$4.07 billion. All M1 projects have an estimated cost at completion; however, actual costs will vary pending closeout of remaining open agreements. The current estimated balance for M1 is approximately \$98.7 million. Approximately \$11 million of this balance is from the Freeway Program, another estimated \$8.7 million is from the Streets and Roads Program, and approximately \$79 million is from the Transit Program. The estimated balance in the Freeway Program and Streets and Roads Program includes anticipated proceeds from the sale of excess parcels.

Per prior Board direction, these remaining balances are committed and will be used for Measure M2 (M2) projects that are in the same mode and that are related to the original M1 Expenditure Plan. Specifically, the freeway funds will be directed at the M2 Interstate 5 widening project between Avenida Pico and Pacific Coast Highway and/or the M2 State Route 57 widening project between Katella Avenue and Lincoln Avenue. The streets and roads funds will be applied to street improvement projects through future OCTA competitive calls for projects, and the transit funds will be deposited into OCTA's long-term operating fund for the provision of Metrolink service. More details on project activities during the quarter are included in Attachment A.

Use of the funds is tracked similarly to grants to ensure that funds are used only for M1-intended projects. The latest M1 schedule of revenues and expenditures summary report, as of June 30, 2014, is included as Attachment B. The numbers included in this report have additional assumptions based on oversight costs, anticipated project progress, sale of excess property, and potential increases or decreases in scope and schedule. Additionally, the forecast of M1 net tax revenues includes future interest earnings on a diminishing fund balance while allowing for ongoing program administration costs, quarterly reporting, annual financial reports, and oversight and audit functions.

***Summary***

Measure M1 has concluded and fulfilled the promise of congestion relief to the voters. Remaining fund balances are being finalized, and actions for closing out the Measure M1 Program continue. The plan is to use the available balances to advance Measure M2 freeway and streets and roads projects, as well as provide

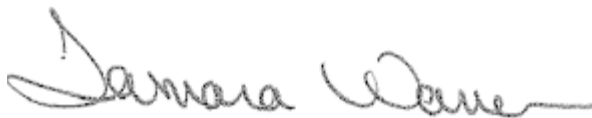


for Metrolink rail operations. Further review on the closeout progress will continue to be provided with the Measure M1 quarterly updates.

***Attachments***

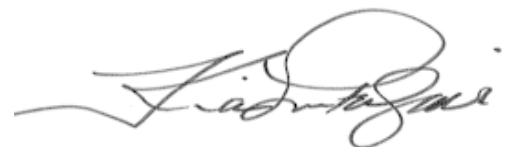
- A. Measure M1 Closeout and Quarterly Update
- B. Measure M1 – Schedule of Revenues, Expenditures and Changes in Fund Balance as of June 30, 2014

**Prepared by:**



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

**Approved by:**



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



## **Measure M1 Closeout and Quarterly Update**

### **Closeout Plan**

Although collection of sales tax revenue under Measure M (M1) concluded on March 31, 2011, there are still expenditures that remain to complete M1 project and program commitments. In March 2011, the Board of Directors (Board) approved a plan to wrap-up remaining M1 activities. Staff is following the plan and is targeting June 30, 2015, as the final closeout. For projects that remain underway at that time, staff will develop a plan and return to the Board with any necessary actions required to ensure a smooth closeout of M1.

### **Interest Earnings on Funds During Closeout Phase**

M1 funds continue to earn interest until fully expended. Interest accrual will continue until program closeout is complete. The amount of interest earned will decrease each year as remaining payments are made. Interest earned on the M1 fund balance is M1 revenue and will continue to be managed according to the formula set forth in the M1 Ordinance No. 2. The interest earned, in excess of administrative costs, will be distributed to the four M1 categories on the following ordinance-required percentage basis: freeways – 43 percent; regional streets and roads – 11 percent; local streets and roads – 21 percent; and transit – 25 percent.

### **Freeways**

On March 14, 2011, the Orange County Transportation Authority (OCTA) Board approved a plan to use the balance of M1 freeway funds for portions of Measure M2's (M2) Project C – widening of Interstate 5 (I-5) between Avenida Pico and Pacific Coast Highway, and M2 Project G – widening of State Route 57 between Katella Avenue and Lincoln Avenue. The Board subsequently deferred immediate use of the funds for M2 projects as a hedge against uncertainty of the state's ability to meet the cash flow needs of the West County Connectors (WCC) Project, which relies on state bonds for construction. In 2011, the state implemented a process to meet the cash flow requirements of bond-funded projects, and therefore, in 2012, \$15 million of the then \$27.9 million remaining M1 balance was allocated to M2 Project C, as authorized by the Board.

Staff has been reporting a remaining M1 freeway balance of \$12.9 million. On September 23, 2013, the Board approved \$1.7 million from the M1 freeway balance be transferred to the WCC Project to fund an additional soundwall. As a result, the M1 freeway balance is \$11.2 million, and this amount includes anticipated proceeds from the sale of six excess parcels along the I-5 in the cities of Anaheim and Buena Park, and one excess parcel along State Route 22 (SR-22), in the cities of Garden Grove and Orange. The six excess parcels along I-5 are

currently listed and bids are expected to open on August 11, 2014. If needed, staff will seek Board approval of the winning bid on September 22, 2014. The one excess parcel along the SR-22 is currently listed and bids are expected to open on September 3, 2014. If needed, staff will seek Board approval of the winning bid on October 6, 2014. A summary of activities on the WCC Project and the I-5 Gateway Project during this period includes:

WCC Project – Construction is well underway on the project, which will link high-occupancy vehicle (HOV) lanes/carpool lanes on Interstate 405 (I-405) with those on the SR-22 and Interstate 605 (I-605) to create a seamless HOV connection among the three freeways. Funded almost entirely with federal and state funds, the WCC Project has \$10 million of M1 funds allocated to the project to cover construction elements not eligible for federal funding. Currently, all of the \$10 million has been designated for specific items.

On September 23, 2013, the Board approved an additional \$1.74 million of the M1 Freeway Program unprogrammed balance to be used to fund the cost of an additional soundwall in the College Park West project area.

The construction is divided into two segments.

- On the east segment, work is concentrated on the new SR-22/I-405 HOV connector. Lightweight fill and pre-cast walls were completed in May 2014. The bridge structure is well underway, with the last concrete deck pour scheduled for mid-July 2014. Construction of the east segment is anticipated to be completed in late 2014.
- On the west segment, the reconstruction of the east half of the Seal Beach Boulevard bridge over the I-405 will be completed in late July 2014. On the new I-405/I-605 HOV connector bridge, three out of four frames of the bridge structure are complete. Falsework for the fourth and final frame of the bridge structure is nearly complete and work for the College Park West soundwall is well underway. The west segment is scheduled to be completed in late 2014.

I-5 Gateway Project – Administrative coordination continues with the California Department of Transportation to close out the maintenance responsibility for the Orange County gateway monument. Remaining utility agreements were closed out. Construction activity this quarter focused on landscape plant establishment maintenance, which will continue until April 2015.

### Streets and Roads

On November 23, 2009, the Board approved the use of M1 streets and roads funds for future M2 calls for projects. As of June 2014, \$26.1 million of M1 program savings has been awarded under the Comprehensive Transportation

Funding Programs (CTFP) for streets and roads projects consistent with M1 funding requirements. The current remaining balance of M1 regional and local streets and roads funds is estimated to be \$8.7 million, bringing the cumulative total to \$34.8 million. This amount, along with any additional project savings, will be used towards future streets and roads projects. It's important to note that the current remaining balance of \$8.7 million includes approximately \$4.2 million in anticipated proceeds from the sale of excess parcels in the cities of Anaheim, Garden Grove, Orange, and the County of Orange. An update on streets and roads activities this quarter is included below.

During the quarter, the CTFP provided more than \$2.1 million in payments towards streets and roads projects throughout the County and closed out 15 project phases.

The current status of the program (as of June 30, 2014) is reflected in the table below. Of the \$677.4 million in total project allocations, there is a remaining balance of \$28.1 million in outstanding payments to open projects. Staff anticipates completion of the M1 competitive program by the end of calendar year 2014.

Status	Definition	Allocations (in millions)
Completed	Project work is complete, final report is filed, approved, and the final payment has been made	\$ 587.8
Pending	Project work has been completed and only final report submittal/approval is pending	\$ 55.5
Started	Project has begun and the funds have been obligated	\$ 34.1
	Total Project Allocations	\$ 677.4

### Transit

The 1990 M1 Transit Program is focused on developing a backbone rail system that includes protection of right-of-way and commuter train service to Los Angeles and Riverside counties. A key to continued delivery of this objective has been the establishment of the Commuter Urban Rail Endowment (CURE) to fund ongoing operations. The Board has previously taken action to designate remaining M1 Transit Program fund balances for Metrolink operations and for the Metrolink Service Expansion Program. The OCTA Comprehensive Business Plan assumes that unspent M1 transit funds will be used for ongoing Metrolink operations.

Consistent with prior Board action on November 25, 2005, the M1 transit mode balance will be transferred into the CURE account. The current M1 transit balance is estimated to be \$79 million. Additional M1 funding for a CURE transfer may be identified once the remaining active contracts are finalized and closed. The balance will remain in M1 transit projects until such time. The projects moving forward are M1- and M2-eligible projects. These projects are being accomplished within the M1 remaining balance. Recent activities include:

The City of Anaheim is the lead agency and continues moving forward with construction of the Anaheim Regional Transportation Intermodal Center. This quarter, terminal building construction progressed with installation of the roof system and wall enclosures at the north and south end of the arch structure, along with exterior metal framing and sheathing. Finish work continues inside the terminal building with the placement of piping, slabs, stairs, and lighting fixtures. Elevator work is underway, and the finish concrete slab and roof were placed on the concourse bridge. Site work also continued adjacent to the terminal building with installation of bus stop canopies and bus drive curb placement. In the rail corridor, platform concrete placement is nearing completion. The project is approximately 80 percent complete by time, and 77 percent complete by dollars spent. Substantial project completion remains on schedule for November 2014.

To address an issue with unreliable elevators for passenger access at the Laguna Niguel/Mission Viejo Metrolink Station, OCTA is adding new ramps that will utilize the existing pedestrian underpass and provide Americans with Disabilities Act (ADA) compliant access to each side of the station platforms. The project will remove the existing elevators and reuse the elevator shafts to create an ADA compliant restroom, vending space for snacks and drinks, and storage space for city maintenance. Design is underway and is 60 percent complete. The design is scheduled to be completed in July 2014.

The City of Orange is the lead on a parking expansion project to add a parking structure to an existing surface parking lot located on Lemon Street, between Chapman Avenue and Maple Street. The City of Orange is currently in the environmental phase, which is scheduled to be completed late 2014/early 2015. Schematic plans have been completed and final plans are anticipated to be completed in second quarter 2015. Completion of the project is expected in fall 2016. Total construction costs are estimated to be \$20.4 million. OCTA's participation in construction funding will be \$16.7 million, and the City of Orange's \$3.7 million.

The City of Fullerton is the lead on a project that will upgrade the elevators at the Fullerton Transportation Center. This project will add two new elevator towers at the existing pedestrian overpass. The funding for the project is from bid savings on the parking structure project and is estimated to be \$3.5 million. Plans have been completed, and the project is expected to go to bid in July 2014, with project completion in February 2016.

OCTA, in cooperation with the City of Anaheim and Southern California Regional Rail Authority (SCRRA), has been in the planning stage for improvements at the Anaheim Canyon Metrolink Station. These improvements will include a second track and platform, an extension of the existing platform, improved pedestrian access, and additional shade structures, benches, ticket vending machines. A cooperative agreement between OCTA and the City of Anaheim, and a cooperative agreement between OCTA and SCRRA will be presented to the Board in August that will define roles and responsibilities for the project. OCTA will assume the lead on all phases of the project.

OCTA continues to work with the City of Placentia to add a new Metrolink station, which will be located near Melrose Avenue in the City of Placentia.

#### City-Initiated Transit Extensions to Metrolink

Project development continued with the two Board-approved Go Local fixed-guideway projects, one in the City of Anaheim, and the other in the cities of Garden Grove and Santa Ana. OCTA staff provided an overview of policy decisions for the Santa Ana-Garden Grove Fixed-Guideway Project (M2 Project S) to the Board on May 23, 2014. The Board subsequently directed staff to develop a proposed project implementation plan for the project (with OCTA serving as the lead agency) and develop a financial plan to fund capital, operations, and maintenance requirements. Staff will return in August 2014 with the proposed plans for Board consideration. Also in May 2014, the environmental assessment/draft environmental impact report (EA/DEIR) was completed and, with approval from the Federal Transit Administration, the City of Santa Ana released the EA/DEIR for public comment. During the next quarter, the City of Santa Ana will respond to comments to support the development of the final EA/EIR. The City of Santa Ana anticipates taking the locally preferred alternative (LPA) to their council in August 2014. Following council action, the LPA adoption and draft environmental analysis will be brought before the OCTA Board in September 2014. These projects are funded with both M1 and M2 dollars. For a detailed summary of the two fixed-guideway projects, refer to the M2 quarterly report.





**Measure M1**  
**Schedule of Revenues, Expenditures and Changes in Fund Balance**  
**as of June 30, 2014\***

Schedule 1

(\$ in thousands)	Quarter Ended June 30, 2014	Year to Date June 30, 2014	Period from Inception through June 30, 2014
	(A)	(B)	
<b>Revenues:</b>			
Sales taxes	\$ -	\$ -	\$ 4,003,972
Other agencies' share of Measure M1 costs:			
Project related	5,522	11,391	589,297
Non-project related	-	-	620
Interest:			
Operating:			
Project related	-	-	1,745
Non-project related	260	1,697	269,777
Bond proceeds	-	-	136,067
Debt service	-	-	82,054
Commercial paper	-	-	6,072
Orange County bankruptcy recovery	-	-	42,268
Capital grants	-	-	156,434
Right-of-way leases	34	239	6,505
Proceeds on sale of assets held for resale	-	2,256	26,830
Miscellaneous:			
Project related	-	1	27
Non-project related	-	1	777
<b>Total revenues</b>	<b>5,816</b>	<b>15,585</b>	<b>5,322,445</b>
<b>Expenditures:</b>			
Supplies and services:			
State Board of Equalization (SBOE) fees	-	-	56,883
Professional services:			
Project related	767	1,568	208,428
Non-project related	63	238	35,882
Administration costs:			
Project related	167	759	24,098
Non-project related	399	1,506	96,894
Orange County bankruptcy loss	-	-	78,618
Other:			
Project related	11	49	2,118
Non-project related	4	12	15,971
Payments to local agencies:			
Turnback	-	-	594,009
Other	3,805	16,888	954,572
Capital outlay	2,913	7,295	2,099,321
Debt service:			
Principal payments on long-term debt	-	-	1,003,955
Interest on long-term debt and commercial paper	-	-	561,842
<b>Total expenditures</b>	<b>8,129</b>	<b>28,315</b>	<b>5,732,591</b>
<b>Excess (deficiency) of revenues over (under) expenditures</b>	<b>(2,313)</b>	<b>(12,730)</b>	<b>(410,146)</b>
<b>Other financing sources (uses):</b>			
Transfers out:			
Project related	(2,999)	(20,749)	(409,432)
Non-project related	-	-	(5,116)
Transfers in: project related	-	-	1,829
Bond proceeds	-	-	1,169,999
Advance refunding escrow	-	-	(931)
Payment to refunded bond escrow agent	-	-	(152,930)
<b>Total other financing sources (uses)</b>	<b>(2,999)</b>	<b>(20,749)</b>	<b>603,419</b>
<b>Excess (deficiency) of revenues over (under) expenditures and other sources (uses)</b>	<b>\$ (5,312)</b>	<b>\$ (33,479)</b>	<b>\$ 193,273</b>

\*Note: The final report for fiscal year 2014 will be available in December 2014.

**Measure M1**  
**Schedule of Calculations of Net Tax Revenues and Net Bond Revenues (Debt Service)**  
**as of June 30, 2014\***

(\$ in thousands)	Quarter Ended June 30, 2014 (actual)	Year Ended June 30, 2014 (actual) (C.1)	Period from Inception through June 30, 2014 (actual) (D.1)	Period from July 1, 2014 forward (forecast) (E.1)	Total (F.1)
<b>Tax revenues:</b>					
Sales taxes	\$ -	\$ -	\$ 4,003,972	\$ -	\$ 4,003,972
Other agencies' share of Measure M1 costs	-	-	620	-	620
Operating interest	260	1,697	269,777	1,025	270,802
Orange County bankruptcy recovery	-	-	20,683	-	20,683
Miscellaneous, non-project related	-	1	777	-	777
Total tax revenues	<u>260</u>	<u>1,698</u>	<u>4,295,829</u>	<u>1,025</u>	<u>4,296,854</u>
<b>Administrative expenditures:</b>					
SBOE fees	-	-	56,883	-	56,883
Professional services, non-project related	63	238	27,021	-	27,021
Administration costs, non-project related	399	1,506	96,894	1,100	97,994
Transfers out, non-project related	-	-	5,116	-	5,116
Orange County bankruptcy loss	-	-	29,792	-	29,792
Other, non-project related	4	12	6,871	-	6,871
Total administrative expenditures	<u>466</u>	<u>1,756</u>	<u>222,577</u>	<u>1,100</u>	<u>223,677</u>
Net tax revenues	<u>\$ (206)</u>	<u>\$ (58)</u>	<u>\$ 4,073,252</u>	<u>\$ (75)</u>	<u>\$ 4,073,177</u>
		(C.2)	(D.2)	(E.2)	(F.2)
<b>Bond revenues:</b>					
Proceeds from issuance of bonds	\$ -	\$ -	\$ 1,169,999	\$ -	\$ 1,169,999
Interest revenue from bond proceeds	-	-	136,067	-	136,067
Interest revenue from debt service funds	-	-	82,054	-	82,054
Interest revenue from commercial paper	-	-	6,072	-	6,072
Orange County bankruptcy recovery	-	-	21,585	-	21,585
Total bond revenues	<u>-</u>	<u>-</u>	<u>1,415,777</u>	<u>-</u>	<u>1,415,777</u>
<b>Financing expenditures and uses:</b>					
Professional services, non-project related	-	-	8,861	-	8,861
Payment to refunded bond escrow	-	-	153,861	-	153,861
Bond debt principal	-	-	1,003,955	-	1,003,955
Bond debt interest expense	-	-	561,842	-	561,842
Orange County bankruptcy loss	-	-	48,826	-	48,826
Other, non-project related	-	-	9,100	-	9,100
Total financing expenditures and uses	<u>-</u>	<u>-</u>	<u>1,786,445</u>	<u>-</u>	<u>1,786,445</u>
Net bond revenues (debt service)	<u>\$ -</u>	<u>\$ -</u>	<u>\$ (370,668)</u>	<u>\$ -</u>	<u>\$ (370,668)</u>

\*Note: The final report for fiscal year 2014 will be available in December 2014.

**Measure M1**  
**Schedule of Revenues and Expenditures Summary**  
**as of June 30, 2014\***

Project Description	Net Tax Revenues Program to date Actual	Total Net Tax Revenues	Project Budget	Estimate at Completion	Variance Total Net Tax Revenues to Est at Completion	Variance Project Budget to Est at Completion	Expenditures through June 30, 2014	Reimbursements through June 30, 2014	Net Project Cost	Percent of Budget Expended
(G)	(H)	(I)	(J)	(K)	(L)	(M)	(N)	(O)	(P)	(Q)
(\$ in thousands)										
<b>Freeways (43%)</b>										
I-5 between I-405 (San Diego Fwy) and I-605 (San Gabriel Fwy)	\$ 982,161	\$ 982,143	\$ 810,010	\$ 788,022	\$ 194,121	\$ 21,988	\$ 881,283	\$ 88,035	\$ 793,248	97.9%
I-5 between I-5/I-405 Interchange and San Clemente	68,738	68,737	72,862	74,962	(6,225)	(2,100)	70,294	10,358	59,936	82.3%
I-5/I-405 Interchange	87,244	87,243	72,802	73,075	14,168	(273)	98,157	25,082	73,075	100.4%
SR-55 (Costa Mesa Fwy) between I-5 and SR-91 (Riverside Fwy)	58,163	58,162	44,511	49,349	8,813	(4,838)	55,515	6,172	49,343	110.9%
SR-57 (Orange Fwy) between I-5 and Lambert Road	29,081	29,081	24,128	22,758	6,323	1,370	25,617	2,860	22,757	94.3%
SR-91 (Riverside Fwy) between Riverside Co. line & Los Angeles Co. line	125,579	125,577	116,136	105,389	20,188	10,747	123,995	18,606	105,389	90.7%
SR-22 (Garden Grove Fwy) between SR-55 and Valley View St.	400,531	400,524	313,297	311,943	88,581	1,354	665,347	352,035	313,312	100.0%
Subtotal Projects	1,751,497	1,751,467	1,453,746	1,425,498	325,969	28,248	1,920,208	503,148	1,417,060	
Net (Bond Revenue)/Debt Service	-	-	311,917	311,917	(311,917)	-	311,917	-	311,917	
<b>Total Freeways</b>	<b>\$ 1,751,497</b>	<b>\$ 1,751,467</b>	<b>\$ 1,765,663</b>	<b>\$ 1,737,415</b>	<b>\$ 14,052</b>	<b>\$ 28,248</b>	<b>\$ 2,232,125</b>	<b>\$ 503,148</b>	<b>\$ 1,728,977</b>	
<b>%</b>				<b>43.0%</b>					<b>44.6%</b>	
<b>Regional Street and Road Projects (11%)</b>										
Smart Streets	\$ 153,620	\$ 153,617	\$ 151,208	\$ 151,208	\$ 2,409	\$ -	\$ 158,985	\$ 11,939	\$ 147,046	97.2%
Regionally Significant Interchanges	89,612	89,610	89,610	89,610	-	-	84,160	146	84,014	93.8%
Intersection Improvement Program	128,017	128,014	128,014	128,014	-	-	119,221	3,831	115,390	90.1%
Traffic Signal Coordination	64,008	64,007	64,007	64,007	-	-	68,405	3,977	64,428	100.7%
Transportation Systems Management and Transportation Demand Management	12,802	12,801	12,801	12,801	-	-	11,277	217	11,060	86.4%
Subtotal Projects	448,059	448,049	445,640	445,640	2,409	-	442,048	20,110	421,938	
Net (Bond Revenue)/Debt Service	-	-	2,409	2,409	(2,409)	-	2,409	-	2,409	
<b>Total Regional Street and Road Projects</b>	<b>\$ 448,059</b>	<b>\$ 448,049</b>	<b>\$ 448,049</b>	<b>\$ 448,049</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 444,457</b>	<b>\$ 20,110</b>	<b>\$ 424,347</b>	
<b>%</b>				<b>11.1%</b>					<b>10.9%</b>	

\*Note: The final report for fiscal year 2014 will be available in December 2014.

**Measure M1**  
**Schedule of Revenues and Expenditures Summary**  
**as of June 30, 2014\***

Project Description (G)	Net Tax Revenues Program to date Actual (H)	Total Net Tax Revenues (I)	Project Budget (J)	Estimate at Completion (K)	Variance Total Net Tax Revenues to Est at Completion (L)	Variance Project Budget to Est at Completion (M)	Expenditures through June 30, 2014 (N)	Reimbursements through June 30, 2014 (O)	Net Project Cost (P)	Percent of Budget Expended (Q)
(\$ in thousands)										
<b>Local Street and Road Projects (21%)</b>										
Master Plan of Arterial Highway Improvements	\$ 160,688	\$ 160,683	\$ 160,683	\$ 160,683	\$ -	\$ -	\$ 151,015	\$ 99	\$ 150,916	93.9%
Streets and Roads Maintenance and Road Improvements	594,695	594,684	594,684	594,684	-	-	594,025	-	594,025	99.9%
Growth Management Area Improvements	100,000	100,000	100,000	100,000	-	-	97,314	557	96,757	96.8%
Subtotal Projects	855,383	855,367	855,367	855,367	-	-	842,354	656	841,698	
Net (Bond Revenue)/Debt Service	-	-	-	-	-	-	-	-	-	
<b>Total Local Street and Road Projects</b>	<b>\$ 855,383</b>	<b>\$ 855,367</b>	<b>\$ 855,367</b>	<b>\$ 855,367</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 842,354</b>	<b>\$ 656</b>	<b>\$ 841,698</b>	
<b>%</b>				<b>21.2%</b>					<b>21.7%</b>	
<b>Transit Projects (25%)</b>										
Pacific Electric Right-of-Way	\$ 19,709	\$ 19,709	\$ 15,000	\$ 14,200	\$ 5,509	\$ 800	\$ 17,485	\$ 3,423	\$ 14,062	93.7%
Commuter Rail	367,616	367,608	367,608	337,608	30,000	30,000	411,439	60,805	350,634	95.4%
High-Technology Advanced Rail Transit	446,744	446,736	446,736	440,688	6,048	6,048	475,162	157,760	317,402	71.0%
Elderly and Handicapped Fare Stabilization	20,000	20,000	20,000	20,000	-	-	20,000	-	20,000	100.0%
Transitways	164,244	164,241	146,381	127,150	37,091	19,231	163,282	36,765	126,517	86.4%
Subtotal Projects	1,018,313	1,018,294	995,725	939,646	78,648	56,079	1,087,368	258,753	828,615	
Net (Bond Revenue)/Debt Service	-	-	56,342	56,342	(56,342)	-	56,342	-	56,342	
<b>Total Transit Projects</b>	<b>\$ 1,018,313</b>	<b>\$ 1,018,294</b>	<b>\$ 1,052,067</b>	<b>\$ 995,988</b>	<b>\$ 22,306</b>	<b>\$ 56,079</b>	<b>\$ 1,143,710</b>	<b>\$ 258,753</b>	<b>\$ 884,957</b>	
<b>%</b>				<b>24.7%</b>					<b>22.8%</b>	
<b>Total Measure M1 Program</b>	<b>\$ 4,073,252</b>	<b>\$ 4,073,177</b>	<b>\$ 4,121,146</b>	<b>\$ 4,036,819</b>	<b>\$ 36,358</b>	<b>\$ 84,327</b>	<b>\$ 4,662,646</b>	<b>\$ 782,667</b>	<b>\$ 3,879,979</b>	

\*Note: The final report for fiscal year 2014 will be available in December 2014.



**August 25, 2014**

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

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

**Subject:** Measure M2 Progress Report for the Period of April 2014 Through June 2014

### **Overview**

Staff has prepared a Measure M2 progress report for the period of April 2014 through June 2014 for review by the Orange County Transportation Authority Board of Directors. Implementation of Measure M2 continues at a fast pace. This report highlights progress on Measure M2 projects and programs and will be available to the public via the Orange County Transportation Authority website.

### **Recommendation**

Receive and file as an information item.

### **Background**

On November 7, 2006, Orange County voters, by a margin of 69.7 percent, approved the renewal of the Measure M Plan (Plan) one half-cent sales tax for transportation improvements. The Plan provides a 30-year revenue stream for a broad range of transportation and environmental improvements, as well as an operating ordinance which defines all the requirements for implementing the Plan. The ordinance designates the Orange County Transportation Authority (OCTA) as responsible for administering the Plan and ensuring OCTA's contract with the voters is followed.

The Measure M2 (M2) Transportation Ordinance and Transportation Investment Plan, Ordinance No. 3, requires quarterly status reports regarding the major projects detailed in the ordinance be filed with the OCTA Board of Directors (Board). All M2 progress reports are posted online for public review.

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***Discussion***

This quarterly report reflects current activities and progress within the overall M2 Program for the period of April 1, 2014 through June 30, 2014 (Attachment A).

The quarterly report is designed to be easy to navigate and public friendly, reflecting OCTA's Strategic Plan transparency goals. The report includes budget and schedule information included in the Capital Action Plan, Local Fair Share Program and Senior Mobility Program payments made to cities this quarter, as well as total payments from M2 inception through June 2014.

Each quarter, the M2020 section of Attachment A is updated to provide further progress/status towards meeting the 14 objectives and managing the ten major risks outlined in the M2020 Plan, as well as other identified risks and delivery challenges.

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

- During the quarter, the State Route 57 (SR-57) project's northern most segment (from Yorba Linda Boulevard to Lambert Road [M2 Project G]) construction was completed on May 2, 2014. For the central segment (from Orangethorpe Avenue to Yorba Linda Boulevard [M2 Project G]), the new general purpose lane was opened to traffic on April 27, 2014. Project completion on this segment is expected in August 2014. An open-to-traffic ribbon-cutting event for these two segments was held on May 14, 2014.
- The environmental phase began for the Interstate 5 (I-5) project between just north of Interstate 405 (I-405) and State Route 55 (SR-55) (M2 Project B).
- The initial study/environmental assessment and project report were approved this quarter by the California Department of Transportation (Caltrans) for the I-5 between State Route 73 and El Toro Road project (M2 Project C and part of Project D). The environmental phase will be complete next quarter.
- The construction contract for I-5 between Avenida Vista Hermosa and Pacific Coast Highway (PCH) (M2 Project C and part of Project D) was awarded on June 17, 2014. Construction activities are anticipated to begin next quarter.

- The construction contract for the I-5 widening project (adding carpool lanes between Avenida Pico and Avenida Vista Hermosa) and the Avenida Pico interchange reconstruction (M2 Project C and part of Project D) will be advertised in September 2014. The California Transportation Commission (CTC) allocated the project funding at the June 2014 CTC meeting, two months earlier than originally anticipated.
- OCTA staff provided an overview of policy decisions for the Santa Ana/Garden Grove Fixed-Guideway Project (M2 Project S) to the Board on May 23, 2014. The Board subsequently directed staff to develop a proposed project implementation plan for the project, with OCTA serving as the lead agency, and develop a financial plan to fund capital, operations, and maintenance requirements. Staff will present the proposed plans for Board consideration in August 2014. Also in May 2014, the environmental assessment/draft environmental impact report (EA/DEIR) was completed and, with approval from the Federal Transit Administration, the City of Santa Ana released the EA/DEIR for public comment. During the next quarter, the City of Santa Ana will respond to comments to support the development of the final environmental assessment/environmental impact report. The City of Garden Grove anticipates taking the locally preferred alternative (LPA) to its August 2014 council meeting. Following council action, the LPA adoption and draft environmental analysis will be brought before the OCTA Board in September.
- The fiscal year (FY) 2014-15 Tier 1 call for projects for the Environmental Cleanup Program (M2 Project X) concluded on May 16, 2014. OCTA received 22 application submittals. Funding recommendations for the fourth Tier 1 call for projects, in the amount of approximately \$2.8 million, are anticipated for Board approval in late summer 2014. Funding recommendations for the second Tier 2 call for projects were approved by the Board on April 14, 2014, in the amount of \$15.2 million. To date, there have been three rounds of funding under Tier 1, and two rounds under Tier 2. This has provided a combined \$31 million in funding allocated by the Board for 102 water quality projects since 2011.
- For FY 2013-14, the Board has allocated \$8.4 million for ten projects in the Regional Traffic Signal Synchronization Program (M2 Project P). Funding approval was provided by the Board on April 14, 2014. To date, there have been four rounds of funding allocated by the Board for this program, for a total of 64 projects, in the amount of \$40.4 million.

- The 2014 Regional Capacity Program (M2 Project O) call for projects concluded on April 14, 2014, with the Board's approval of approximately \$35.7 million to fund 17 projects. To date, there have been four rounds of funding, for a total of 65 projects, and \$161 million allocated by the Board for streets and roads projects since 2011.
- The Metrolink Service Expansion Program (M2 Project R) will soon include additional service into Los Angeles from Orange County. This quarter, the Riverside County Transportation Commission, Los Angeles County Metropolitan Transportation Authority, and OCTA agreed to an October 2014 schedule change, pending approval of a memorandum of understanding with BNSF Railway, which is necessary to operate the trains. The schedule change would end four underutilized mid-day trips between Fullerton and Laguna Niguel/Mission Viejo, and deploy one mid-day roundtrip between Laguna Niguel/Mission Viejo and Los Angeles. The agreement is currently being circulated. Following the completion of these discussions, staff plans to return to the Board in fall 2014 with a program update and recommendations for the future of the service.

The following recent accomplishments have taken place after the close of the fourth quarter:

- The construction notice to proceed for the Lakeview Boulevard Grade Separation Project (M2 Project O) was provided on July 1, 2014. All seven of the OC Bridges grade separation projects are now either complete (Placentia Avenue and Kramer Boulevard) or under construction.
- Construction on the I-5 between Vista Hermosa and PCH (M2 Project C) began on July 3, 2014.
- A completion event for the Kraemer Boulevard Grade Separation Project (M2 Project O) was held on July 8, 2014. This is the second of seven OC Bridges grade separation projects under Project O to be completed.
- All lanes on the Sand Canyon Grade Separation Project (M2 Project R) were opened to traffic on July 14, 2014.
- A first call for projects took place for Safe Transit Stops (M2 Project W). On July 14, 2014, \$1,205,666 in funding was approved by the Board for 51 city-initiated improvements, and \$370,000 for OCTA-initiated improvements to expand the regional text4next system.



- The La Habra Express community circulator (Project V) began service on August 4, 2014. The service provides two bus routes that operate almost exclusively within the City of La Habra, with stops at the Fullerton Transportation Center and St. Jude Medical Center.
- The Board approved OCTA to serve as the lead agency for project development and implementation, and operations and maintenance of the Santa Ana/Garden Grove Fixed-Guideway Project (Project S) on August 11, 2014. Additionally, staff was directed to pursue federal New Starts funding for the project.

Overall, the M2 program of projects is moving forward as planned. The one area of particular challenge is with freeway projects that are currently moving through the project study report (PSR) and project approval/environmental document phases. A critical factor in delivering M2 freeway projects is to ensure project scope, schedule, and budget remain on target. Project scope increases, project delays, and resulting cost increases can quickly affect project delivery.

As part of the project development process, Caltrans is requiring a broader range of alternatives to be studied to meet other state highway system needs and/or requirements. However, these considerations could expand the project's footprint, add costs, or have secondary impacts. It is imperative that OCTA and Caltrans remain coordinated and find common ground despite varying priorities. OCTA is the funding agency whose M2 program calls for delivery of projects as promised to Orange County voters, while limiting impacts to the communities. Caltrans defines its purpose as striving to efficiently deliver quality transportation projects and services, and maximizing sustainable transportation system performance and accessibility that is consistent with regional system improvements.

Caltrans and OCTA have made significant improvements over this past year; however, there are a number of issues that are currently being worked out to manage scope, schedule, and funding concerns.

The following represent the most significant M2 program delivery challenges:

- Completion of the environmental impact report/environmental impact statement for the design-build project on the I-405 between SR-55 and Interstate 605 project has been delayed as a result of debates on the preferred alternative, requests for supplemental analysis, and additional time needed to consider input. On July 25, 2014, Caltrans announced the decision to select Alternative 3 as the preferred alternative. Alternative 3

includes a general purpose lane (M2 Project K) and a high-occupancy toll lane. To avoid cost escalation, it will be important to address the details on how to navigate the Caltrans-proposed phased approach to deliver the M2 improvements in a timely manner.

- The environmental phase for the SR-55 between the I-405 and I-5 has stalled. During the quarter, Caltrans requested that a modified alternative be studied, as well as the completed traffic analysis be revised to include projects outside of the agreed upon baseline. This is not consistent with the past OCTA/Caltrans practice and recent case law, but Caltrans believes this is consistent with statewide project development for projects on the State Highway System. To respond to these modifications, the project is expected to incur up to an additional 17-month delay. Staff intends to provide a report on the project to the Board.
- Four projects were delayed due to issues related to PSR/project development support (PDS) document reviews and approvals. OCTA and Caltrans staff continue to address varying perspectives on the proposed scope of analyzed alternatives. Several rounds of revisions have occurred to date. In the case of State Route 91 (SR-91) between the SR-57 and SR-55, the technical issues have been resolved, yet the start of the environmental phase has been delayed one year as a result. Both SR-55 between I-5 and SR-91, and SR-57 from Orangewood Avenue to Katella Avenue, have been delayed by more than three months, but technical issues appear to have been resolved. The fourth project, I-5/EI Toro Road interchange, has been delayed by nine months due to requests for a broader set of alternatives during the environmental phase. OCTA has agreed to include additional alternatives. While these projects are likely to meet the M2020 target of completing the environmental phase by 2020, scope broadening is a concern since what is being requested on some of these PSR/PDS documents will potentially have greater community impacts and have higher costs.
- In June 2014, staff presented a program update on M2 Project U, Fare Stabilization Program. Staff reported once again that funding levels are insufficient and the program will incur annual shortfalls without an increase in revenue or a reduction in expenditures. Staff was directed by the Board to continue to explore viable solutions and to present options for further discussion as part of the Ten-Year Comprehensive Program Review, which is scheduled to take place in 2016.

The Program Management Office, working closely with OCTA's division directors and project managers, will continue to monitor and analyze risks associated with delivering the M2 program of projects and report to the Board as part of these quarterly progress reports.

***Summary***

As required by M2 Ordinance No. 3, a quarterly report, covering activities from April 2014 through June 2014, is provided to update progress in implementing the M2 Transportation Investment Plan. The above information and the attached details indicate significant progress on the overall M2 Program. To be cost-effective and to facilitate accessibility and transparency of information available to stakeholders and the public, the M2 progress report is presented on the OCTA website. Hard copies are available by mail upon request.

***Attachment***

- A. Measure M2 Progress Report – Fourth Quarter of Fiscal Year 2013-14 – April 1, 2014 through June 30, 2014

**Prepared by:**



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

**Approved by:**



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



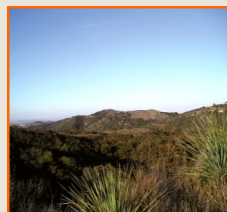




# Measure M2

## Progress Report

Fourth Quarter of Fiscal Year 2013-14  
April 1, 2014 through June 30, 2014





# Measure M2

## Progress Report



### SUMMARY

As required by the Measure M2 (M2) Ordinance No. 3, a quarterly report covering activities **from April 1, 2014 through June 30, 2014** is provided to update progress in implementing the M2 Transportation Investment Plan.

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



# Measure M2

## Progress Report



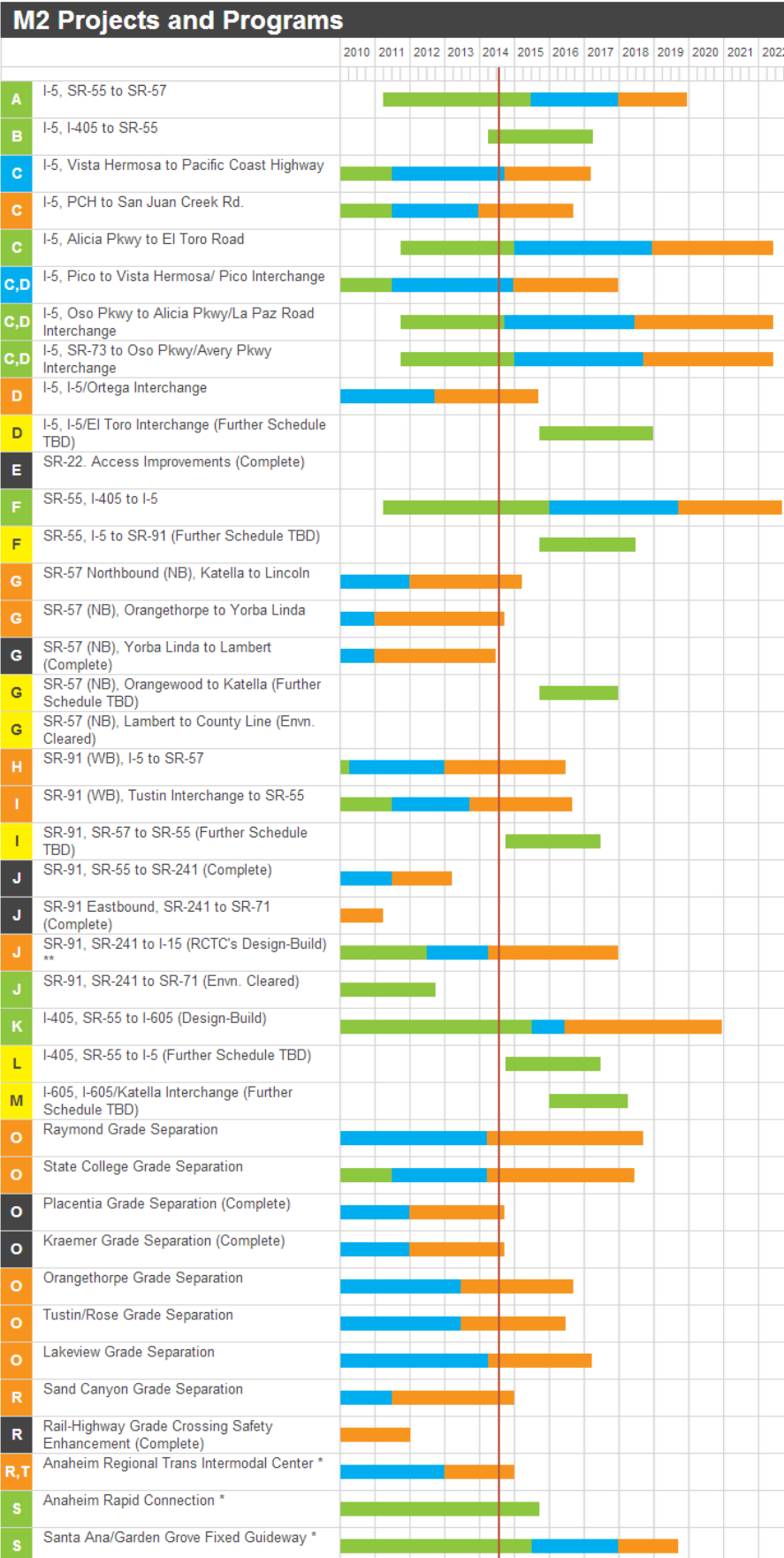
SECTION	PROJECT	PAGE
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Freeway Program (Projects A-N)		7
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State Route 22 (SR-22) Project	{E}	10
State Route 55 (SR-55) Projects	{F}	10
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# Project Schedules

## Measure M2 Progress Report



Conceptual
 Environmental
 Design, Advertise & Award
 Construction
 Completed



\*Projects managed by local agencies.

\*\*Project managed and funded by Riverside County Transportation Commission.

Project S schedule is subject to Board direction and approved funding.

Project Schedules current as of June 30, 2014.



# Measure M2

## Progress Report

### M2020 UPDATE



## M2020 Plan Update

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

On September 10, 2012, the OCTA Board of Directors (Board) approved the M2020 Plan which is an eight-year plan that outlines projects and programs for all modes of transportation to be delivered on an expedited schedule between now and the year 2020. The plan also positions OCTA on a course to go beyond the early implementation projects if additional external funds can be accessed. Below is a summary of our progress towards meeting the eight-year objectives, including a summary of the risks identified in the adopted plan, as well as other identified risks or delivery challenges.

### Progress Update

The M2020 Plan identifies 14 objectives. Significant progress has been made with several projects advancing to construction. A summary of the progress to date for each of the 14 objectives identified in the Plan is outlined below.

### M2020 Plan Objectives

#### 1. Deliver 14 M2 freeway projects.

Two of the 14 projects are complete, SR-91 between SR-55 and SR-241 (Project J), and SR-57 between Yorba Linda Boulevard and Lambert Road (Project G). SR-57 between Orangethorpe Avenue and Yorba Linda Boulevard (Project G) is currently open to traffic. Additionally, another five projects are currently under construction, with a sixth slated to begin construction next quarter, and a seventh to begin construction in late 2014. The I-405 project between SR-55 and I-605 (Project K) is currently in the environmental phase. The I-5 project between SR-55 and SR-57 (Project A), the I-5 project between SR-73 and El Toro Road, and the SR-55 between I-405 and I-5 (Project F) are all in the PA/ED phase. For more details, see previous page (Project Schedules) and the project updates contained in the following pages.

#### 2. Complete environmental phase for 9 remaining M2 freeway projects.

One\* of the nine projects is already environmentally cleared: RCTC's Corridor Improvement Program, SR-91 between SR-241 and SR-15 (Project J). This quarter, the I-5 project between I-405 and SR-55 (Project B) began the environmental phase. Two more projects are slated to begin the environmental phase in late 2014: I-405 between I-5 and SR-55 (Project L), and SR-91 between SR-57 and SR-55 (Project I). The remaining projects are scheduled to begin the environmental phase as shown on the previous page (Project Schedules), and be environmentally cleared by 2020.

*\*The last edition of this report (M2 Progress Report, Third Quarter, FY2013-14) incorrectly reported that the SR-57 project between Lambert Road and Tonner Canyon Road (Project G) is environmentally cleared. PSR-PDS has so far been completed for this project. PA/ED for this project will be completed by 2020.*

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### **3. Invest \$1.2 billion for Streets and Roads projects (Projects O, P, and Q).**

To date, more than \$24 million in projects are complete, and more than \$211 million is currently in construction phases. Additionally, more than \$634 million is Board-approved for the OC Bridges Program's grade separation projects. This accounts for the Project O and P portion of the proposed \$1.2 billion to date. In addition, since inception, approximately \$135 million of Local Fair Share funds (Project Q) has already been distributed to local agencies. Approximately \$49 million will be distributed this year, and this amount will grow annually.

### **4. Synchronize 2,000 traffic signals across Orange County (Project P).**

Through M2 Calls for Projects so far, more than 2,000 signals have been designated for improvements. To date, OCTA and local agencies have synchronized 1,074 intersections along 269 miles of streets. The signal program will meet the target of synchronizing at least 2,000 signalized intersections by early 2016. For the latest Call for Projects (FY 2013-14), the Board allocated \$8.4 million for 10 regional signal synchronization projects on April 14, 2014.

### **5. Expand Metrolink peak capacity and improve rail stations and operating facilities (Project R).**

Although well underway before the M2020 Plan was adopted, part of Project R (Metrolink Grade Crossing Improvements) was completed in conjunction with the Metrolink Service Expansion Plan (MSEP). This enhanced 52 Orange County rail-highway grade crossings with safety improvements, whereby the cities of Anaheim, Dana Point, Irvine, Orange, Santa Ana, San Clemente, San Juan Capistrano, and Tustin have established quiet zones at respective crossings. Additionally, within this Measure M program, funding is provided for rail line and station improvements to accommodate for increased service. Rail station parking lot expansions, such as improvements at Fullerton and Tustin stations, better access to platforms through improvements to elevators and/or ramps, and a passing siding project between Laguna Niguel and San Juan Capistrano have been made or are underway.

### **6. Expand Metrolink service into Los Angeles (Project R).**

OCTA, RCTC, and Metro agreed to an October 2014 schedule change, pending approval of a Memorandum of Understanding with BNSF Railway, the entity that owns the railroad tracks between Fullerton and Los Angeles. The schedule change would discontinue four low ridership mid-day trips between Fullerton and Laguna Niguel/Mission Viejo and deploy two mid-day trains between Laguna Niguel/Mission Viejo and Los Angeles. The agreement is currently being circulated. Following the completion of these discussions, staff plans to return to the OCTA Board of Directors in fall 2014 with a program update and recommendations for the future of the service.

### **7. Provide up to \$575 million to implement fixed-guideway projects (Project S).**

In May, the Board directed staff to develop a financial plan to fund capital, operations, and maintenance of the Santa Ana/Garden Grove Fixed-Guideway Project that maximizes the use of state and federal funding sources by leveraging Measure M2 revenues. Additionally, the Board directed staff to develop a project implementation plan for the Santa Ana/Garden Grove Fixed-Guideway Project, with the Orange County Transportation Authority serving as the lead agency. Staff will return in August with the proposed plans for Board consideration. To date, the Board has awarded funding through preliminary engineering of approximately \$18 million to the City of Anaheim and approximately \$11 million to the City of Santa Ana, totaling approximately \$29 million. This total is in addition to the proposed \$575 million construction estimate.

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**8. Deliver improvements that position Orange County for connections to planned high-speed rail projects (Project T).**

The City of Anaheim continues moving forward on the Anaheim Regional Transportation Intermodal Center (ARTIC), with construction underway. The project is approximately 80 percent complete. The substantial completion date remains on schedule for November 2014.

**9. Provide up to \$75 million of funding to expand mobility choices for seniors and persons with disabilities (Project U).**

To date, more than \$22 million in Project U funding has been provided under M2 for the Senior Mobility Program (SMP), the Senior Non-emergency Medical Transportation Program (SNEMT), and the Fare Stabilization Program.

**10. Provide up to \$50 million of funding for community-based transit services (Project V).**

On June 24, 2013, the OCTA Board of Directors approved up to \$9.8 million to fund five projects received as part of the first Call for Projects. The La Habra Express Community Circulator will begin service in early August. Service is currently operating in the City of Lake Forest, with other participating cities anticipating service to be in place by the end of 2014. The timing for the next Project V Call for Projects is under review and staff plan to gauge city interest during the next quarter.

**11. Acquire and preserve 1,000 acres of open space, establish long-term land management, and restore approximately 180 acres of habitat in exchange for expediting the permit process for 13 of the M2 freeway projects (Projects A-M).**

The Freeway Mitigation Program is proceeding as planned, with six properties acquired (1,150 acres), and eight of the 11 restoration projects approved by the Board, totaling approximately 400 acres. To date, the Board has authorized \$42 million for property acquisitions, \$10.5 million to fund habitat restoration activities, and \$2.5 million for conservation plan development and program support, for a total of approximately \$55 million.

**12. Complete resource management plans to determine appropriate public access on acquired properties.**

Once the draft NCCP/HCP is released in late 2014, staff will initiate the release of separate preserve specific Resource Management Plans (RMP's) for the properties covered in the NCCP/HCP. These RMP's will determine the appropriate management (consistent with the NCCP/HCP) needs of each of the acquired properties. The public will have an opportunity to comment on the draft RMPs before they are finalized. The remaining RMPs will be developed once biological surveys have been conducted and will follow a similar process.

**13. Implement water quality improvements of up to \$20 million to prevent flow of roadside trash into waterways (Project X).**

To date, there have been three rounds of funding under the Tier 1 grants program. A total of 86 projects in the amount of \$8.46 million have been awarded by the OCTA Board since 2011.

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**14. Provide up to \$38 million to fund up to three major regional water quality improvement projects as part of the Environmental Cleanup Program (Project X).**

There have been two rounds of funding under the Tier 2 grants program. A total of 22 projects in the amount of \$27.89 million have been awarded by the OCTA Board since 2013.



**Key:**



On Track



At Risk



One To Watch



Complete

### M2020 Risk Update

The M2020 Plan identified ten major risks that may impact the aggressive advancement of M2 projects and programs. OCTA recognized that these risks need to be actively addressed to ensure delivery of the Plan by 2020. These risks are listed below with associated proposed actions and explanations. Additionally, as other risks and challenges to delivery are identified, they will likewise be incorporated here either as separate items, or as expansions to the ten major M2020 risks.

Three of the ten major are no longer considered risks, as measures were completed to address them. Find detailed information about these in previous editions of this quarterly report.

	Organizational Risk	Proposed Action	Explanation
1	Availability of specialized staff given the scope of right-of-way (ROW) activities for the various freeway construction activities. The heavy demand on Caltrans ROW resources will be a challenge for early acquisition. This is further challenged by a change in meeting frequency by the California Transportation Commission, a necessary step in ROW settlement.	The organizational assessment reviewed OCTA's ROW department's resources, capabilities, and workload, and developed recommendations to address the needs of M2 and the M2020 Plan. OCTA and Caltrans will need to work closely to address the issue of Caltrans' limited ROW resources. This will need to be managed to limit the risk.	Some of OCTA resource needs have been included in the 2014/15 proposed budget in the form of consultant contracts. Other resource needs will need to be addressed as projects come online. Timely ROW acquisition and utility clearance has proven to be a key factor in reducing risk on construction projects. Expert and timely coordination between OCTA and Caltrans is imperative to manage this risk.
2	Availability of management and technical capabilities to deliver/operate future rail guideway projects.	Prepare a report on guideway project delivery and operation management plans concurrent with completion of the respective environmental phase.	In May, the Board directed staff to develop a financial plan to fund capital, operations, and maintenance of the Santa Ana/Garden Grove Fixed-Guideway Project, as well as to develop a project implementation plan, with OCTA serving as the lead agency. Staff will return in August with the proposed plans for Board consideration. At the May 23 Board meeting, OCTA staff provided a project update for the Anaheim Rapid Connection project and indicated that project implementation and funding would be addressed in 2015.
3	Exposure to added bond costs due to schedule changes.	A Plan of Finance to address the optimal finance dates and structure was developed and approved by the Board on November, 26, 2012. The plan includes a conservative approach with three debt issuance dates which allows for flexibility in how much debt to incur and when.	The adopted Plan of Finance is in line with current project and program plans. Staff reviewed the M2020 Plan and the Plan of Finance. It was presented to the Board on September 9, 2013 and showed that the M2020 Plan is still deliverable to date.



# Measure M2

## Progress Report

### M2020 RISK UPDATE



#### Key:



On Track



At Risk



One To Watch



Complete

Organizational Risk	Proposed Action	Explanation
4 Delay in project phases affecting overall costs and ability to deliver M2020. (Varying perspectives between Caltrans and OCTA with regard to freeway program delivery is relevant to this risk.)	Identify critical program activities and develop strategies to minimize delays. The M2 promise to the voters must be kept. OCTA and Caltrans will need to work together to find common ground and allow for project delivery, which is critical to the success of both agencies.	A critical factor in delivering the M2020 Plan is keeping project costs and schedules on target. Stalled projects, like those currently in PA/ED, could jeopardize delivery of M2 overall. All projects must remain on-track to ensure overall Plan delivery. Additionally, Caltrans and OCTA must remain coordinated, despite varying charges. OCTA is the funding agency, whose M2 mandate is to deliver projects promised to the voters while limiting impacts to the community. Caltrans' strategy is to address ultimate need for long-term solutions whenever possible. The challenge is how to balance these strategies.
5 Changes in priorities over the life of the program.	Implement a defined process to assess tradeoffs of changes in priorities.	The Plan of Finance adopted by the Board in 2012 included M2020 Plan Priorities and Commitments with 12 core principles to guide the Board in the event of a needed change.
6 Legislative authority to use design/build (D/B) for delivery methods was achieved with the OCTA sponsored legislation AB 401 authored by Tom Daly and signed into law on September 25, 2013. This authority is threatened by the lawsuit filed by the American Council of Engineering Contracts (ACEC) which is challenging portions of the statutory language.	OCTA staff is monitoring the lawsuit and providing information and input as appropriate. With the recent Preferred Alternative selection by Caltrans on I-405 (Project K) this will allow OCTA to move forward with the planned design build method of delivery if the construction contract is in place prior to or within one year of a negative outcome on the lawsuit.	If ACEC prevails in the lawsuit, the design-build authority provided under AB 401 would expire one year after Caltrans posts the notice of legal decision. If the construction contract is not in place at that time, it would impact OCTA's authority to use a design-build process to deliver the I-405 (Project K).
7 Internal/external agency functional units not available, overloaded, or have competing priorities.	The Organizational Assessment conducted a workload analysis to determine what is required for staffing and contracting out to deliver the M2020 Plan. The review in particular focused on contracting, project management, project controls, and accounts payable resources. Proposed actions also include partnering with Caltrans to align priorities and resources.	The Organizational Assessment recommended department structure changes and resource needs. Caltrans resources are also a concern and OCTA staff will continue to work with them to address our needs. Some of OCTA resource needs have been included in the 2014/15 proposed budget in the form of consultant contracts. Availability of specialized resources such as environmental or ROW within the Caltrans organization requires attention.

# Measure M2

## Progress Report

### FREEWAYS



## Interstate 5 (I-5) Projects

### Project A

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

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

**Status:** Finalizing Project Approval/Environmental Document

**Summary:** This project will increase HOV lane capacity by adding a second HOV lane in both directions along I-5 between SR-55 and SR-57 in Santa Ana. During the quarter, the mandatory design exception fact sheets and all technical studies were approved. Staff continued to work with property owners and the City of Santa Ana to develop a way-finding signage package. Work continued on the draft environmental document; the Caltrans review process included several rounds of revisions. Final concurrence from Caltrans is needed before the draft environmental document can be publically released, which is scheduled for August 2014. Completion of the environmental phase is expected in late 2014. A project update was provided to the Regional Planning and Highways Committee on May 19, 2014 and to the OCTA Board of Directors on May 23, 2014. Staff also held a stakeholder working group meeting and presented an update to the Taxpayer Oversight Committee. The project is marked “red” in the Capital Action Plan, indicating at least a three month delay.

### Project B

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

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

**Status:** Preparing Project Approval/Environmental Document

**Summary:** This project will add one general purpose lane on each direction of the I-5 corridor and improve the interchanges in the area between SR-55 and SR-133 (near the El Toro “Y” and I-405) in Tustin and Irvine. The environmental study will consider the addition of one general purpose lane on the I-5 between just north of I-405 to SR-55. Additional features of Project B include improvements to various interchanges. Auxiliary lanes could be added in some areas and re-established in other areas within the project limits. The environmental study began on May 8, 2014; Caltrans has implemented more rigorous audit provisions of the procurement, which resulted in a schedule delay. The draft Project Report and draft Environmental Document are expected to be complete in May 2016, and the final Environmental Document is expected to be complete in December of 2016. The project is marked “red” in the Capital Action Plan, indicating at least a three month delay.

# Measure M2

## Progress Report

### FREEWAYS



## Project C & Part of Project D

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

### I-5 (SR-73 to El Toro Road)

**Status:** Finalizing Project Approval/Environmental Document Phase (Segments 1-3)

**Summary:** This project will make improvements along the I-5 between the SR-73 and El Toro Road in the cities of Lake Forest, Laguna Hills, Laguna Niguel, Laguna Woods and Mission Viejo. The proposed improvements include the addition of a general purpose lane in each direction from Avery Parkway to Alicia Parkway (Preferred Alternative 2), extension of the 2nd HOV lane from Alicia Parkway to El Toro Road, and reconstruction of the **La Paz Road and Avery Parkway Interchanges (parts of Project D)**. This project has been divided into three segments for design and construction phases: Segment 1 is from SR-73 to Oso Parkway. Segment 2 is from Oso Parkway to Alicia Parkway. Segment 3 is from Alicia Parkway to El Toro Road.

The environmental study was completed this quarter. Caltrans approved the Initial Study/Environmental Assessment (IS/EA) document on May 6, 2014. Similarly, the final Project Report was reviewed by Caltrans and approved on June 5, 2014. Two additional tasks outside of the IS/EA and Project Report are also close to completion. The soundwall survey report was submitted to Caltrans for review and the preliminary site investigations for properties with potentially hazardous materials took place. Both of these tasks are expected to be complete by the end of July, at which point the Project Approval/Environmental Document (PA/ED) phase will be nearly complete. The final Environmental Document will be released to the public in September.

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

### I-5 (Avenida Pico to San Juan Creek Road)

**Status:** Advertising Construction Contract Next Quarter (Segment 1); Construction Beginning Next Quarter (Segment 2); Construction Underway (Segment 3)

**Summary:** This project will add a carpool lane in each direction of the I-5 between Avenida Pico and San Juan Creek Road in the cities of San Clemente, Dana Point, and San Juan Capistrano, and also includes major improvements to the **Avenida Pico Interchange (part of Project D)**. This project is divided into three segments for design and construction phases: Segment 1 is from Avenida Pico to Avenida Vista Hermosa, Segment 2 is from Avenida Vista Hermosa to Pacific Coast Highway (PCH), and Segment 3 is from PCH to San Juan Creek Road.

Last quarter, right-of-way certification was obtained for segment 1 (**Avenida Pico to Avenida Vista Hermosa**) on February 21, 2014. Funding was approved by the California Transportation Commission this quarter on June 25, 2014. Advertisement is anticipated at the end of next quarter and construction is anticipated to begin in late 2014.

For segment 2 (**Avenida Vista Hermosa to PCH**), the construction contract was awarded on June 17, 2014. Soundwall redesign for inclusion of sound absorption material and procurement complexities added five months of additional time to this segment work. Construction activities are anticipated to begin in August 2014.



# Measure M2

## Progress Report

### FREEWAYS



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Construction on segment 3 (**PCH to San Juan Creek Road**) began on March 3, 2014. Work this quarter included the completion of abutment footings at Camino Las Ramblas Bridge, and continued work on the infill walls on the PCH Connector Bridge. A meeting was held in April for residents in Dana Point to discuss the plans to relocate a soundwall, as well as the schedule of upcoming construction activities that will occur throughout the PCH to San Juan Creek Road segment. Construction work is 9 percent complete. Construction is scheduled to be complete in September 2016.

## Project D

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

### I-5/ El Toro Road Interchange

**Contact:** Charlie Larwood, Planning  
(714) 560-5683

**Status:** Final Draft Project Study Report/ Project Development Support Document Revised

**Summary:** The I-5/ El Toro Road Interchange draft Project Study Report/Project Development Support (PSR-PDS) includes alternatives that consider modifications to the existing interchange to provide a new access ramp to El Toro Road and one alternate access point adjacent to the interchange. This quarter, OCTA and Caltrans staff continued to address their varying perspectives on the proposed draft project alternatives in consultation with the City of Lake Forest and the City of Laguna Hills, which has resulted in a continued schedule delay. The revised final draft PSR-PDS was resubmitted on June 13, 2014 to Caltrans. Completion of the final PSR-PDS, and start of the Project Approval/Environmental Document Phase, is pending Caltrans' approval of the PSR.

### I-5/ Ortega Highway Interchange

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

**Status:** Construction Underway

**Summary:** Caltrans began construction in February 2013 to reconstruct the SR-74 Ortega Highway Bridge over the I-5, and improve local traffic flow along the SR-74 and Del Obispo Street in the City of San Juan Capistrano. During the quarter, crews continued to reconstruct the south half of the Ortega Highway Bridge, which is nearly complete. When complete in November, traffic will be switched to the newly constructed south half of the bridge and crews will begin demolition and reconstruction activities on the north half of the bridge. Several closures will occur around the time of this milestone to realign and grade areas of the bridge and ramps. The outreach contract lead by Caltrans has ended. At Caltrans' request, OCTA will now be the lead on outreach through the end of construction.

# Measure M2

## Progress Report

### FREEWAYS



## State Route 22 (SR-22) Projects

### Project E

#### SR-22 Access Improvements



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

**Status:** PROJECT COMPLETE

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

## State Route 55 (SR-55) Projects

### Project F

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

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

**Status:** Project Approval/Environmental Document Phase Underway

**Summary:** This project will widen SR-55 in the cities of Irvine, Santa Ana, and Tustin. This quarter, the Project Study Team continued to revise technical studies and prepare a revised administrative Draft Project Report. The environmental phase for the SR-55 between the I-405 and I-5 has stalled. During the quarter, Caltrans requested that a modified alternative be studied, as well as the completed traffic analysis be revised to include projects outside of the agreed upon baseline. This is not consistent with the past OCTA/Caltrans practice and recent case law, but Caltrans believes this is consistent with statewide project development for projects on the State Highway System. To respond to these modifications, the project is expected to incur an additional 17-month delay. Overall, the project has already been delayed over one year. Cost escalation on this project is an overall project delivery risk. An OCTA Board of Directors’ update will be scheduled for the Regional Planning & Highways Committee and Board meetings prior to public circulation of the Draft Environmental Document and Project Report. The project is marked “red” in the Capital Action Plan, indicating at least a three month delay.

*Project F continues on the next page...*

# Measure M2

## Progress Report

### FREEWAYS



**Contact:** Charlie Larwood, Planning  
(714) 560-5683

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

**Status:** Final Draft Project Study Report/Project Development Support Document Revised

**Summary:** This project will add capacity between the I-5 and SR-22, and provide operational improvements between SR-22 and SR-91 in the cities of Orange, Santa Ana, Tustin, and Anaheim. All of the project alternatives in the draft Project Study Report/Project Development Support (PSR-PDS) include the addition of one general purpose lane in each direction between SR-22 and Fourth Street. Other improvements being considered beyond the lane additions consist mostly of operational improvements at ramps and merge locations between SR-22 and SR-91, as well as a potential interchange project at First Street and the I-5 connector ramp. This quarter, OCTA staff continued to work on PSR-PDS draft revisions, per Caltrans' request, and resubmitted the revised draft on June 23, 2014. Caltrans initial review began in February. The PSR-PDS was originally set to be finalized by August 2014, but an additional 6-month delay is expected due to the ongoing review process.

#### State Route 57 (SR-57) Projects

##### Project G

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

#### SR-57 NB (Katella Avenue to Tonner Canyon Road)

**Status:** **COMPLETE** from Yorba Linda Boulevard to Lambert Road segment; New Lane Open to Traffic from Orangethorpe Avenue to Yorba Linda Boulevard; Construction Underway from Katella Avenue to Lincoln Avenue; Conceptual Phase Complete on One Segment from Lambert Road to Tonner Canyon Road

**Summary:** The SR-57 northbound (NB) widening project will increase capacity and improve operations by adding a new, eight-mile northbound general purpose lane from Katella Avenue to Lambert Road, as well as make other improvements through the cities of Anaheim, Fullerton, Placentia, and Brea. Additionally, the project will add a truck-climbing lane from Lambert Road to Tonner Canyon Road.

OCTA previously completed a Project Study Report/Project Development Support (PSR-PDS) document for the **Lambert Road to Tonner Canyon Road** segment, which will add a truck-climbing lane. The segment will be cleared environmentally by 2020. Future work will be planned so that it coincides with related work by the Los Angeles Metropolitan Transportation Authority across the county limit.

During the quarter for the project's northern most segment between **Yorba Linda Boulevard and Lambert Road**, construction was completed on May 2, 2014. For the central segment between **Orangethorpe Avenue and Yorba Linda Boulevard**, final traffic striping was completed and the new general purpose lane was opened to traffic on April 27, 2014. Project completion on this segment is expected in August 2014. An open to traffic ribbon-cutting event for these two segments was held on May 14, 2014.

*Project G continues on the next page...*

# Measure M2

## Progress Report

### FREEWAYS



*Continued from the previous page...*

Paving operations continue on the project's southern-most segment between **Katella Avenue and Lincoln Avenue**. As part of this effort, crews continued to place base material and concrete between Katella Avenue and Lincoln Avenue in the City of Anaheim. In support of this work, communication and outreach efforts included neighborhood meetings, canvassing and direct mailers. The south segment is approximately 85 percent complete. The project is anticipated to be complete by the end of 2014. The project is marked "red" in the Capital Action Plan, indicating at least a three month delay.

**Contact:** Charlie Larwood, Planning  
(714) 560-5683

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

**Status:** Final Draft Project Study Report/Project Development Support Document Revised

**Summary:** OCTA initiated a Project Study Report/Project Development Support (PSR-PDS) document to add capacity in the northbound direction of SR-57 from Orangewood Avenue to Katella Avenue in the cities of Anaheim and Orange. Improvements under study include adding a northbound general purpose lane to join the northbound general purpose lane currently under construction between Katella Avenue and Lincoln Avenue. This quarter, OCTA received additional draft PSR-PDS document review comments from Caltrans. Several rounds of revisions have occurred to date. The review process began in late 2013. The revised final draft PSR-PDS will be submitted to Caltrans at the start of the next quarter. Completion of the final PSR-PDS is contingent on Caltrans' review timeframe.

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

##### **Project H**

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

**Status:** Construction Underway

**Summary:** This project will add capacity in the westbound direction of SR-91 by adding an additional general purpose lane in the westbound direction between Anaheim and Fullerton, and provide operational improvements at on and off ramps between Brookhurst Street and State College Boulevard. Excavation work, and the forming and pouring abutments, piers and bents continued throughout the quarter at the six bridges requiring widening. The bridges remain open to traffic. Construction progress is approximately 41 percent complete. This project is anticipated to be complete in the winter of 2015.

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



# Measure M2

## Progress Report

### FREEWAYS



## Project I

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

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

**Status:** Construction Underway

**Summary:** This project will improve traffic flow at the SR-55/ SR-91 interchange by adding a westbound auxiliary lane beginning at the northbound SR-55 to westbound SR-91 connector through the Tustin Avenue interchange in the City of Anaheim. The project is intended to relieve weaving congestion in this area. The project includes reconstruction of the westbound side of the Santa Ana River Bridge to accommodate the additional lane. This quarter, construction crews relocated utility lines, and demolished the overhang and pier walls on the east side of the Santa Ana River Bridge. Construction progress is approximately 13 percent complete. Construction is slated for completion in early 2016.

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

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

**Status:** Final Draft Project Study Report/Project Development Support Document Revised

**Summary:** This project will improve traffic flow and operations along the eastbound SR-91 within the cities of Fullerton and Anaheim. The Project Study Report/Project Development Support (PSR-PDS) considers the addition of one general purpose lane between SR-57 and SR-55, and one general purpose lane westbound from Glassell Street to State College Boulevard. Additional features of this project include improvements to various interchanges. Auxiliary lanes will be added in some segments and re-established in other segments within the project limits. This quarter, OCTA and Caltrans' staff continued to address their varying perspectives on the proposed scope of alternatives, which has resulted in a continued schedule delay. Several rounds of revisions have occurred to date, as Caltrans' requests have been received by OCTA staff. A revised final draft PSR-PDS will be resubmitted to Caltrans early next quarter. Environmental study work is anticipated to begin in late 2014, and complete in May 2017. The project is marked "red" in the Capital Action Plan, indicating at least a three month delay.

## Project J

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

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

**Status:** PROJECT COMPLETE



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

*Project J continues on the next page...*

# Measure M2

## Progress Report

### FREEWAYS



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



**Status:** PROJECT COMPLETE

**Summary:** This completed Project J segment added six miles in the westbound and eastbound direction to a key stretch of SR-91 between SR-55 and SR-241 in the cities of Anaheim and Yorba Linda. In addition to adding twelve lane miles to Engineering Companies (ACEC) lawsuit against Caltrans. The ACEC lawsuit questions the legality of a stipulation in the new state law (AB 401) that requires Caltrans to perform certain construction inspection services on the project. The new state law provides OCTA authority to utilize design-build on this project and that authority could potentially be lost in an adverse court decision. SR-91, the project also delivered a much needed second eastbound exit lane at the Lakeview Avenue, Imperial Highway and Yorba Linda Boulevard/ Weir Canyon Road off-ramps. Beyond these capital improvements, crews completed work on safety barriers, lane striping and soundwalls. Completion of this project in March 2013 means a total of eighteen lane miles have been added to SR-91 since December 2010.

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

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

**Status:** RCTC's Design-Build Construction Underway

**Summary:** The purpose of this project is to extend the 91 Express Lanes eastward from its current terminus in Anaheim to I-15 in Riverside County. This project will also add one general purpose lane in each direction of SR-91, from SR-71 to I-15, and construct various interchange and operational improvements. On December 11, 2013, the Riverside County Transportation Commission's (RCTC) contractors broke ground on this \$1.3 billion freeway improvement project. While the portion of this project between SR-241 and the Orange County/ Riverside County line is part of Project J, the matching segment between the county line and SR-71 is part of RCTC's Measure A. With RCTC's focus on extending the 91 Express Lanes and adding a general purpose lane east of SR-71, construction of the final additional general purpose lane between SR-241 and SR-71 will take place post-2035. (RCTC is responsible for the lane between Green River and SR-71 while OCTA will be responsible for the lane west of Green River to SR-241.) To maintain synchronization, these general purpose lanes improvements, which span both counties, will be scheduled to ensure coordinated delivery of both portions of the project, and will provide a continuous segment that stretches from SR-241 to SR 71. This action is consistent with the 2012 SR-91 Implementation Plan.

This quarter, a variety of work along this 13-mile corridor has taken place including initial relocation of utilities and a Burlington Northern Santa Fe (BNSF) rail spur, clearance of properties that were acquired for roadway widening and new ramp configurations, geotechnical drilling and land surveying. The work has required limited street, lane, ramp and connector closures to date. During the next quarter, construction activities will ramp-up to include lane restriping of the SR-91, placement of traffic barriers, grading, and the start of structures, walls and lanes.

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

# Measure M2

## Progress Report

### FREEWAYS



## Interstate 405 (I-405) Projects

### Project K

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

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

**Status:** Finalizing Environmental Study

**Summary:** OCTA is preparing an environmental study to widen the I-405 through the cities of Costa Mesa, Fountain Valley, Garden Grove, Huntington Beach, Los Alamitos, Seal Beach, and Westminster. These improvements will add mainline capacity and improve the local interchanges along the corridor. After subsequent OCTA studies were completed on December 9, 2013, the OCTA Board of Directors voted to reaffirm the Boards' original October 22, 2012 decision recommending Alternative 1 as the preferred alternative to Caltrans; Alternative 1 adds one general purpose lane in each direction on I-405 between Euclid Street and I-605. It is anticipated that Caltrans, in the form of the Project Development Team, will make their Preferred Alternative recommendation in late July 2014. Completion of the environmental phase has already been on hold by more than one year. A project update was provided to the OCTA Board of Directors during the quarter on June 23, 2014. Subsequent updates to the Regional Planning & Highways Committee meeting and Board of Directors' meeting are anticipated for late summer. The project is marked "red" in the Capital Action Plan, indicating at least a three month delay.

Additional project risks include potential escalation of costs associated with further delay, compression of time available for ROW acquisition, and the potential for future delay related to the American Council of Engineering Companies (ACEC) lawsuit against Caltrans. The ACEC lawsuit questions the legality of a stipulation in the new state law (AB 401) that requires Caltrans to perform certain construction inspection services on the project. AB 401 provides OCTA authority to utilize design-build on this project and that opportunity could potentially be lost in an adverse court decision.

# Measure M2

## Progress Report

### FREEWAYS



## Project L

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

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

**Status:** Beginning Project Approval/Environmental Document Phase in Late 2014

**Summary:** This project will add one general purpose lane in each direction of the I-405 corridor from SR-55 to the I-5, and will also improve chokepoints at interchanges and add merging lanes near on/off ramps. The final I-405 Project Study Report/ Project Development Support (PSR-PDS) for Project L was approved by Caltrans last quarter. The included alternatives consider the addition of one or two general purpose lanes between Culver Drive and SR-133, and operational improvements at the I-405 and SR-133 interchange. The next step for this project is to begin the preparation of the Project Report and the environmental review process of the alternatives. Environmental study work is anticipated to begin in late 2014.

### Interstate 605 (I-605) Projects

## Project M

**Contact:** Charlie Larwood, Planning  
(714) 560-5683

### I-605 Interchange Improvements

**Status:** Project Study Report/Project Development Support Underway

**Summary:** This project will improve freeway access and arterial connection to I-605 at Katella Avenue in the City of Los Alamitos and the County of Orange. Improvements under this project may include enhancements at the on-ramps and off-ramps in addition to operational improvements on Katella Avenue at the I-605 Interchange. This quarter, the Project Study Team developed three conceptual project alternatives to be studied as part of the Project Study Report-Project Development Support (PSR-PDS) document. The draft PSR-PDS document will be completed early next quarter, and will be submitted to Caltrans. Approval of the final PSR-PDS document is anticipated in December 2014.



# Measure M2

## Progress Report

### FREEWAYS



## Project N

### Freeway Service Patrol

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

**Status:** Service Ongoing

**Summary:** M2's Freeway Service Patrol (FSP) began operation in June 2012 and provides tow truck service for motorists with disabled vehicles on the freeway system to quickly clear freeway lanes and minimize congestion. During this quarter, the mid-day service provided assistance to 1,451 motorists, weekend service provided assistance to 738 motorists, and construction service provided assistance to 1,600 motorists. Since inception, FSP has provided a total of 20,146 assists to motorists on the Orange County freeway system.

# Measure M2

## Progress Report

### STREETS & ROADS



## Project O

### Regional Capacity Program

**Status:** 2014 Call for Projects Underway

**Summary:** This program, in combination with required local matching funds, provides a funding source to complete the Orange County Master Plan of Arterial Highways. The 2014 Regional Capacity Program call for projects concluded on April 14, 2014 with the OCTA Board of Directors' approval of approximately \$35.7 million to fund 17 projects. Work has already begun on the 2015 Call for Projects, which will make another approximately \$35 million in project funding available. OCTA staff worked with the Technical Advisory Committee in June to update the program guidelines. It is anticipated that the Board of Directors will approve the update to the guidelines and authorize the release of the 2015 Call for Projects in August 2014. To date, there have been four rounds of funding. A total of 80 projects in the amount of more than \$161 million have been awarded by the Board since 2011.

**Contact:** Roger Lopez, Planning  
(714) 560-5438

### OC Bridges Railroad

This program will build seven grade separations (either under or over passes) where high volume streets are impacted by freight trains along the Burlington Northern Santa Fe Railroad in north county. A status for each of the seven projects follows. On May 23, OCTA staff presented an update of the OC Bridges Railroad Grade Separation Program to the OCTA Board of Directors (Board), including construction updates and recent accomplishments such as the ground-breaking ceremony for two projects (Raymond and State College). As of the end of this quarter, all seven grade separation projects are now either under construction or nearing completion (Kraemer and Placentia).

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

### Kraemer Boulevard Grade Separation

**Status:** Open to Traffic

**Summary:** The project located at Kraemer Boulevard RR crossing grade separates the local street from railroad tracks in the city of Placentia by building an underpass for vehicular traffic. OCTA is overseeing construction, which continued during the quarter. Work continued on construction of the pump station, retaining walls, drainage facilities, fencing and pavement. Although the grade separation was completed and opened to traffic on June 28, work continued on street lighting, landscaping, fencing and other remaining work on Kraemer Boulevard. Construction progress is approximately 95 percent complete and is expected to be completed by the end of July 2014. A project completion event is scheduled for July 8, 2014.

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

*Project O continues on the next page...*

# Measure M2

## Progress Report

### STREETS & ROADS



#### Lakeview Avenue Grade Separation

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

**Status:** Construction Will Begin Soon

**Summary:** The project located at Lakeview Avenue RR crossing will grade separate the local street from railroad tracks in the cities of Anaheim and Placentia by building a bridge for vehicular traffic over the railroad crossing. The project located at Lakeview Avenue RR crossing will grade separate the local street from railroad tracks in the cities of Anaheim and Placentia by building a bridge for vehicular traffic over the railroad crossing and reconfigure the intersection of Lakeview and Orangethorpe. Advanced utility work is underway. The contractor will receive the Notice to Proceed with construction on July 1, 2014. Work is expected to be complete by the end of 2016.

#### Orangethorpe Avenue Grade Separation

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

**Status:** Construction Underway

**Summary:** The project located at Orangethorpe Avenue RR crossing will grade separate the local street from railroad tracks in the cities of Placentia and Anaheim by building a bridge for vehicular traffic over the railroad tracks. OCTA is overseeing construction, which continued during the quarter. Work continued on utility relocation, clearing and grading, and construction of sewer line, water line and drainage facilities. Construction progress is approximately 20 percent complete and the project is expected to be completed by mid-2016. Advanced utility work is ongoing.

#### Placentia Avenue Grade Separation

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

**Status:** Open to Traffic

**Summary:** The project located at Placentia Avenue RR crossing is now grade separated and open to traffic. The project separated the local street from railroad tracks in the city of Placentia by building an underpass for vehicular traffic. OCTA is overseeing construction, which continued during the quarter. Although the grade separation was completed and opened to traffic on March 12, 2014, work continued on construction of the pump station, retaining walls, street lighting, sidewalks, landscaping and other remaining work on Placentia Avenue. Construction progress is approximately 95 percent complete and is expected to be completed by the beginning of next quarter.



*Continued from the previous page...*

#### **Raymond Avenue Grade Separation**

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

**Status:** Construction Began

**Summary:** The project located at Raymond Avenue Railroad (RR) crossing will grade separate the local street from railroad tracks in the city of Fullerton by taking vehicular traffic under the railroad crossing. The City of Fullerton will manage the construction and OCTA will provide construction oversight and right-of-way support. On June 2, 2014 the contractor received the Notice to Proceed with construction. Advanced utility work is ongoing. Work is anticipated to be complete by the end of 2017.

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

#### **State College Boulevard Grade Separation**

**Status:** Construction Began

**Summary:** The project located at State College Boulevard RR crossing will grade separate the local street from railroad tracks in the city of Fullerton by taking vehicular traffic under the railroad crossing. The City of Fullerton will oversee the construction and OCTA will provide construction oversight and ROW support. On June 4, 2014 the contractor received the Notice to Proceed with construction. Advanced utility work is ongoing. Work is anticipated to be complete by late 2017.

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

#### **Tustin Avenue/ Rose Drive Grade Separation**

**Status:** Construction Underway

**Summary:** The project located at Tustin Avenue/Rose Drive RR crossing will grade separate the local street from railroad tracks in the cities of Placentia and Anaheim by building a bridge for vehicular traffic over the railroad crossing. OCTA is overseeing construction, which continued during the quarter. The main elements of work included utility relocation, utility reconstruction, grading, retaining walls, sound walls, signalization, drainage facilities and temporary bridge. Construction progress is approximately 30 percent complete and is expected to be completed by the end of 2015.

# Measure M2

## Progress Report

### STREETS & ROADS



## Project P

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

### Regional Traffic Signal Synchronization Program (RTSSP)

**Status:** Ongoing (See current RTSSP projects' statuses illustrated on the map on the next page)

**Summary:** This program provides funding and assistance to implement multi-agency signal synchronization. The target of the program is to regularly coordinate signals along 750 miles of roadway and 2,000 intersections as the basis for synchronized operation across Orange County. The program will enhance the efficiency of the street grid and reduce travel delay. To date, OCTA and local agencies have synchronized 1,074 intersections along 269 miles of streets. There have been four rounds of funding to date, providing a total of 65 projects with more than \$40 million in funding awarded by the OCTA Board since 2011.

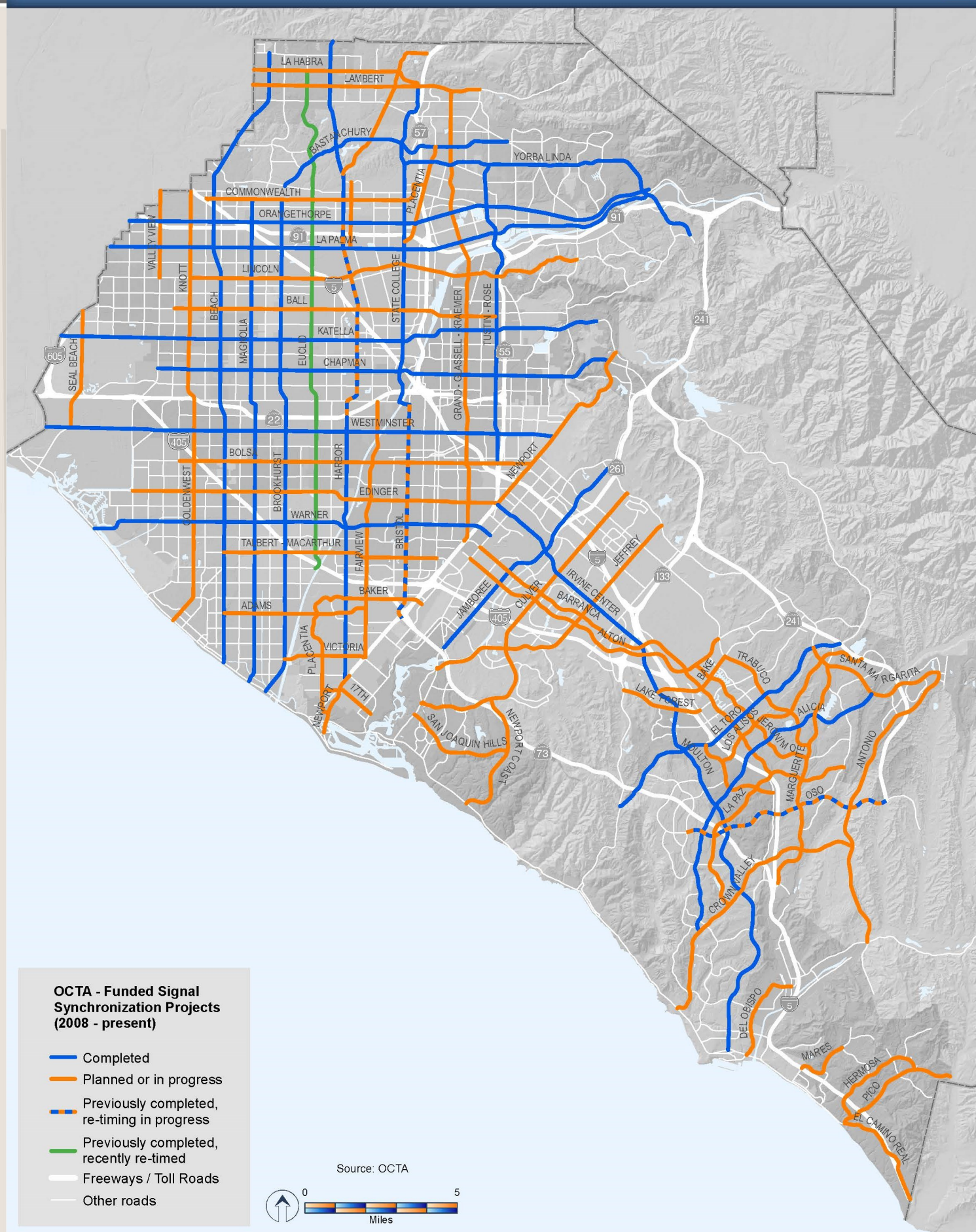
Sixteen fiscal year (FY) 2010-11 Regional Traffic Signal Synchronization Program (RTSSP) projects are all underway. All sixteen projects will implement new signal timing and signal system improvements by December 2014. When completed, these projects will synchronize 550 intersections on 151 miles of roadways.

Twenty-three FY 2011-12 RTSSP projects are underway with implementation of signal timing and signal system improvements having begun. All twenty-three projects are in progress with implementation of signal timing and signal system improvements to be completed in December 2015. When completed, these projects will synchronize an additional 522 intersections on 136 miles of roadways.

Thirteen FY 2012-13 RTSSP projects have been allocated funds. A fourteenth project was removed from consideration by the local agency, the City of Santa Ana. Administrative cooperative agreements have been executed between the stakeholder agencies for the thirteen projects. All projects have begun with implementation of signal timing and signal system improvements anticipated to be completed in December 2016. When completed, these projects will synchronize an additional 366 intersections on 101 miles of roadways.

For FY 2013-14, the Board of Directors has allocated \$8.4 million for 10 projects, two of which will be led by OCTA staff. Funding approval was provided by the Board on April 14, 2014.





# Measure M2

## Progress Report

### STREETS & ROADS



## Project Q

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

### Local Fair Share Program

**Status:** Ongoing

**Summary:** This program provides flexible funding to help cities and the County of Orange keep up with the rising cost of repairing the aging street system. This program is intended to augment, not replace, existing transportation expenditures of the cities and the County. All local agencies have been found eligible to receive Local Fair Share funds. On a bi-monthly basis, 18 percent of net revenues are allocated to local agencies by formula. To date, approximately \$135 million in Local Fair Share payments have been provided to local agencies as of the end of this quarter.

See page 41 for funding allocation by local agency.

## Project R

### High Frequency Metrolink Service

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

### Metrolink Grade Crossing Improvements



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

**Status:** PROJECT COMPLETE

**Summary:** Enhancement of the designated 52 Orange County at-grade rail-highway crossings was completed as part of the Metrolink Service Expansion Program (MSEP) in October 2012. Completion of the safety improvements provides each corridor city with the opportunity to establish a “quiet zone” at their respective crossings. Quiet zones are intended to prohibit the sounding of train horns through designated crossings, except in the case of emergencies, construction work, or safety concerns identified by the train engineer. The cities of Anaheim, Dana Point, Irvine, Orange, Santa Ana, San Clemente, San Juan Capistrano, and Tustin have established quiet zones within their communities.

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

### Metrolink Service Expansion Program

**Status:** Service Ongoing

**Summary:** Following the completion of Metrolink Service Expansion Program (MSEP) improvements in 2011, OCTA deployed a total of ten new Metrolink intra-county trains operating between Fullerton and Laguna Niguel/ Mission Viejo, primarily during mid-day and evening hours. OCTA heavily marketed and discounted fares on these trains to promote ridership. Despite these efforts, ridership on the intra-county MSEP trains has remained lower than desired. As a result, OCTA eliminated the heavily discounted OC Link day pass on July 2, 2013. Efforts are underway to increase the ridership through a redeployment of the trains, without significantly impacting operating costs on these trains. Part of OCTA’s re-deployment plan involves providing new trips from Orange County to Los Angeles County, contingent on available funding and cooperation with involved partners. Staff continues to work with the Burlington Northern Santa Fe Railroad (BNSF), the Riverside County Transportation Commission (RCTC), and the Los Angeles County Metropolitan Transportation Authority (Metro) to address track-sharing issues, operating constraints and funding that will impact the options for redeployment.

This quarter, RCTC, Metro and OCTA agreed to a October 2014 schedule change, pending approval of a Memorandum of Understanding with BNSF Railway, which is necessary to operate the trains. The schedule change would end four mid-day trips between Fullerton and Laguna Niguel/Mission Viejo and deploy one mid-day



# Measure M2

## Progress Report

### TRANSIT



*Continued from the previous page...*

roundtrip between Laguna Niguel/Mission Viejo and Los Angeles.

Additionally, within this Measure M program, funding is provided for rail line and station improvements to accommodate for increased service. Rail station parking lot expansions, better access to platforms through improvements to elevators and/or ramps, and a passing siding project between Laguna Niguel and San Juan Capistrano have been made or are underway.

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

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

**Status:** Construction Underway

**Summary:** The project, located at Sand Canyon Avenue railroad crossing, grade separates the local street from railroad tracks in the city of Irvine by constructing an underpass for vehicular traffic. OCTA is overseeing construction, which continued during the quarter. Work continued on construction of the pump station, retaining walls, storm drains, water line and sewer, export of dirt removal, pavement and signalization. The southbound lanes were opened to traffic on June 12, 2014 and the northbound lanes are anticipated to be opened to traffic on July 14, 2014. Construction is approximately 85 percent complete and is expected to be completed by late October 2014. A project completion event is scheduled for August 11, 2014.



## Project S

### Transit Extensions to Metrolink

Project S includes a competitive program which allows cities to apply for funding to connect passengers to their final destinations using transit in order to broaden the reach of Metrolink to other Orange County cities, communities and activity centers. There are currently two areas of this program, a fixed guideway program and a rubber tire transit program.

#### Anaheim Rapid Connection (ARC) Project

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

**Status:** Environmental Study Underway

**Summary:** The Anaheim Rapid Connection project will expand access to the core rail system and establish connections to communities and major activity centers that are not adjacent to the Metrolink corridor. This quarter, OCTA staff continued to work closely with the ARC project team on the development of the Environmental Assessment/Draft Environmental Impact Report (EA/DEIR). Consistent with Board's direction on June 4, 2014, OCTA staff hosted a joint coordination meeting between the cities of Anaheim and Santa Ana to discuss the basis of design for the two streetcar projects, and identified specific areas where compatibility between the two projects should be carefully considered. The City of Anaheim advised OCTA that the project team is evaluating an alignment option that would operate along Disney Way in response to inquiry from the city council and members of the public. Next quarter, OCTA staff anticipates receiving information on how this additional option impacts the project schedule. At the May 23, 2014 Board meeting, OCTA staff provided a project update and indicated that project implementation and funding would be addressed in 2015. Completion of the environmental phase is anticipated for 2015.

#### Santa Ana-Garden Grove Fixed Guideway Project

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

**Status:** Environmental Study Completed and Released

**Summary:** The Santa Ana-Garden Grove Fixed Guideway Project will expand access to the core rail system and establish connections to communities and major activity centers that are not adjacent to the Metrolink corridor. OCTA staff provided an overview of policy decisions for the Santa Ana/Garden Grove Fixed-Guideway Project (M2 Project S) to the Board on May 23, 2014. The Board subsequently directed staff to develop a proposed project implementation plan for the project, with OCTA serving as the lead agency, and develop a financial plan to fund capital, operations, and maintenance requirements. Staff will present the proposed plans for Board consideration in August 2014. Also in May 2014, the environmental assessment/draft environmental impact report (EA/DEIR) was completed and, with approval from the Federal Transit Administration, the City of Santa Ana released the EA/DEIR for public comment. During the next quarter, the City of Santa Ana will respond to comments to support the development of the final environmental assessment/draft environmental impact report. The City of Garden Grove anticipates taking the locally preferred alternative (LPA) to its August 2014 council meeting. Following council action, the LPA adoption and draft environmental analysis will be brought before the OCTA Board in September.

*Project S continues on the next page...*

# Measure M2

## Progress Report

### TRANSIT



Three public meetings were held in June to discuss the EA/EIR and obtain comments. In total, there were approximately 75 members of the public who attended the meetings and provided comments. Some of the topics raised at the public meetings included the preference of the 4th Street versus 5th Street Alternatives, parking impacts, safety issues, and construction impacts on local businesses. During the next quarter, the City of Santa Ana will respond to comments to support the development of the Final EA/EIR. The City anticipates taking the Locally Preferred Alternative (LPA) report to their council in August. Following council action, the LPA adoption and draft environmental analysis will be brought before the Board in September.

#### Bus and Station Van Extension Projects

**Contact:** Roger Lopez, Planning  
(714) 560-5915

**Status:** Service Ongoing for Oakley Vanpool, and Anaheim Canyon Connection; Service Began for Panasonic Vanpool

**Summary:** Bus and Station Van Extension Projects will enhance the frequency of service in the Metrolink corridor to aid in linking communities within the central core of Orange County. To date, one round of funding has occurred, with the Board approving over \$9.8 million of funding. Four projects were approved for funding by the OCTA Board of Directors on July 23, 2012, and three of those have progressed to the point of service implementation. The vanpool connections from the Irvine Metrolink Station to the Oakley and Panasonic employment centers to the City of Lake Forest and the Anaheim Canyon Metrolink Station Bus Connection (Route 20 in the City of Anaheim) will begin service next quarter. The service associated with Invensys Incorporated, through the City of Lake Forest, has been cancelled at the request of the participant, and the funds have been returned to the program for use in future calls for projects.

## Project T

#### Convert Metrolink Stations to Regional Gateways that Connect Orange County with High-Speed Rail Systems

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

**Status:** Construction Underway

**Summary:** This project will construct the Anaheim Regional Transportation Intermodal Center (ARTIC), which will connect freeways, major arterials, bus routes and rail systems. ARTIC will also accommodate future high-speed trains. The City of Anaheim is the lead agency and continues moving forward with construction of ARTIC. This quarter, terminal building construction progressed with installation of the ETFE roof system and wall enclosures at the north and south end of the arch structure, along with exterior metal framing and sheathing. Finish work continues inside the terminal building with the placement of hydronic piping and topping slabs and concrete stairs, mechanical, drywall, fire alarm wiring, glazing and lighting fixtures.

Elevator framing and erection are underway, and the finished concrete slab and roof were placed on the concourse bridge. Site work continued adjacent to the terminal building with installation of bus stop canopies and bus drive curb placement. Parking Lot B photovoltaic system installation is underway. In the rail corridor, platform concrete placement is nearing completion. The project is approximately 80 percent complete by time. Substantial project completion remains on schedule for November 2014.

# Measure M2

## Progress Report

### TRANSIT



## Project U

Project U expands mobility choices for seniors and persons with disabilities, including the Senior Mobility Program (SMP), the Senior Non-emergency Medical Transportation Program (SNEMT), and the Fare Stabilization Program. In total since inception, more than \$22 million in Project U funding has been provided under M2.

### Senior Mobility Program (SMP)

**Contact:** Dana Wiemiller, ACCESS  
(714) 560-5718

**Status:** Ongoing

**Summary:** This program provides one percent of M2 net revenues to continue and expand local community transportation service for seniors under the SMP. Including this quarter and since inception of the program, more than 772,300 boardings have been provided for seniors traveling to medical appointments, nutrition programs, shopping destinations, and senior and community center activities. This quarter, more than \$379,500 in SMP funding was paid out to 30 participating cities during the month of May\*. With 30 cities in the county, nearly all cities are expected to participate in the Senior Mobility Program within the next year.

The M2 Project U policy guidelines authorize the use of Transportation Development Act (TDA) Article 4.5 funds as a supplement to M2 funds for up to three years. TDA funding is provided to cities that realized a reduction in their SMP funding when transitioning to the M2-funded program in 2011. During the quarter at the April 28, 2014 OCTA Board meeting, staff requested an extension of the TDA supplement for an additional two years through Fiscal Year (FY) 2015-16. The Board approved the extension through FY 2015-16 for cities whose annual M2 funding allocation is less than the funding they received in FY 2010-11.

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

### Senior Non-emergency Medical Transportation Program (SNEMT)

**Contact:** Dana Wiemiller, ACCESS  
(714) 560-5718

**Status:** Ongoing

**Summary:** This program provides one percent of M2 net revenues to supplement existing countywide senior non-emergency medical transportation services. Including this quarter and since inception of the program, more than 172,900 SNEMT boardings were provided. This quarter, more than \$402,400 in SNEMT Program funding was paid to the County of Orange. This amount reflects monies paid out during the month of May\*.

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



# Measure M2

## Progress Report

### TRANSIT



#### Fare Stabilization Program

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

**Status:** Ongoing

**Summary:** One percent of net revenues are dedicated to stabilize fares and provide fare discounts for bus services and specialized ACCESS services for seniors and persons with disabilities. Approximately \$947,700 in revenue was utilized this quarter to support the Fare Stabilization Program. Since inception of this program, and including this quarter, over 40 million program-related boardings were recorded on fixed route and ACCESS services\*. The amount of funding utilized each quarter varies based on ridership. It is anticipated that all of the funding allocated this quarter will be utilized to stabilize fares for the fourth quarter.

Since inception of the Fare Stabilization Program, staff has been providing regular updates to the OCTA Board of Directors to reflect a concern with funding levels for the program due to the impacts of the recession. The last program update to the Board in June 2014 reported that funding levels are insufficient and the program will continue to incur annual shortfalls without an increase in revenue or a reduction in expenditures. Staff was directed by the Board to continue to explore viable solutions and return to the Board with a plan to address the shortfall as part of the Ten-Year Comprehensive Program Review which is scheduled to take place in 2016.

*\*The last edition of this report (M2 Progress Report, Third Quarter, FY2013-14) incorrectly reported total program-related boarding counts (approximately 11 million) for the Fare Stabilization Program since inception. The correct total is over 40 million.*

#### Project V

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

#### Community Based Transit/ Circulators

**Status:** Service Ongoing in the City of Lake Forest; Executing Agreement Documents for the Other Participating Cities

**Summary:** This project establishes a competitive program for local jurisdictions to develop local bus transit services such as community based circulators and shuttles that complement regional bus and rail services, and meet needs in areas not adequately served by regional transit. On June 24, 2013, the Board approved \$9.8 million to fund five funding proposals from the cities of Dana Point, Huntington Beach, La Habra, Laguna Beach, and Lake Forest. This has been the only round of funding to date. The funding will be used to implement vanpool services from local employment centers to transportation hubs, special event and seasonal services that operate during heavy traffic periods, and local community circulators that carry passengers between various shopping, medical, and transportation related centers. Service is currently operating in the City of Lake Forest, with all other participating cities anticipating service to be in place by the end of 2014. OCTA is currently procuring buses for the service to be implemented in the City of La Habra; service is expected to begin in early August. Cooperative agreements are currently being finalized between OCTA and the respective cities. The next Project V Call for Projects is anticipated to be held in 2016.

# Measure M2

## Progress Report

### TRANSIT



## Project W

### Safe Transit Stops

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

**Status:** Needs Assessment to Begin Soon

**Summary:** This project provides for passenger amenities at the 100 busiest transit stops across the County. The stops will be designed to ease transfer between bus lines and provide passenger amenities such as improved shelters and lighting. The OCTA Board of Directors approved the Project W framework at their March 10, 2014 meeting as presented by the OCTA staff. The proposed framework provides up to \$950,000 for city-initiated improvements, and \$240,000 for OCTA-initiated improvements in fiscal year 2014-15. OCTA staff worked with Local Agencies to develop a needs assessment and applications to request funding for Safe Transit Stops. Seven out of fifteen eligible cities applied for funding. OCTA received 51 applications for a total amount of \$1,205,666. OCTA staff will provide recommendations for funding to the OCTA Board of Directors at the July 14, 2014 meeting.

# Measure M2

## Progress Report

### ENVIRONMENTAL



## Project X

### Environmental Cleanup Program

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

**Status:** On-going

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

Project X is composed of a two-tiered funding process focusing on early priorities (Tier 1), and to prepare for more comprehensive capital investments (Tier 2). To date, there have been three rounds of funding under the Tier 1 grants program. A total of 86 projects in the amount of \$8.46 million have been awarded by the OCTA Board since 2011. There have been two rounds of funding under the Tier 2 grants program. A total of 22 projects in the amount of \$27.89 million have been awarded by the OCTA Board since 2013. To date, 31 of the 34 Orange County cities plus the County of Orange have received funding under this program.

The FY 2014-15 Tier 1 Call for Projects concluded on May 16, 2014. OCTA received 22 Tier 1 application submittals. Funding recommendations in the amount of approximately \$2.8 million for the fourth Tier 1 Call for Projects are anticipated for Board approval in late summer 2014. Funding recommendations for the second Tier 2 Call for Projects were approved by the Board on April 14, 2014 in the amount of \$15.2 million. With approximately \$10 million in Tier 2 funding remaining, staff is working with the M2 Allocation Committee to recommend the appropriate timing of a third Tier 2 Call for Projects.

\*The Board recently approved new members for the 14-member Environmental Cleanup Allocation Committee, which makes recommendations on the allocation of revenues for transportation-related water quality programs. Existing members of the Committee have chosen to serve for an additional three years.

# Measure M2

## Progress Report

### ENVIRONMENTAL



## Part of Projects A-M

### Freeway Mitigation Program

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

**Status:** Executing Agreement Documents

**Summary:** The Freeway Mitigation Program (Mitigation Program) provides higher-value environmental benefits such as habitat protection, wildlife corridors, and resource preservation in exchange for streamlined project approvals and greater certainty in the delivery of Projects A-M.

### Freeway Mitigation

The Mitigation Program is proceeding as planned, with six properties acquired (1,150 acres), and eight of the 11 restoration projects approved by the OCTA Board of Directors (Board), totaling approximately 400 acres. To date, the Board has authorized \$42 million for property acquisitions, \$10.5 million to fund habitat restoration activities, and \$2.5 million for conservation plan development and program support, for a total of approximately \$55 million.

The Mitigation Program Draft Natural Community Conservation Plan/Habitat Conservation Plan (NCCP/HCP) and Draft Environmental Impact Report and Environmental Impact Statement (EIR/EIS) were both approved for public release by the Board in January 2014. These documents are anticipated to be released to the public in late summer 2014. The public will have an opportunity to provide input on the NCCP/HCP and EIR/EIS during a 90 day comment period. Following the public comment period, any comments received will be incorporated into the final NCCP/HCP and EIR/EIS. The final NCCP/HCP is anticipated to be brought to the Board for adoption in late 2015 or early 2016. Once the NCCP/HCP is released, staff will initiate the release of separate preserve specific Resource Management Plans (RMP's) for the five properties covered in the NCCP/HCP. These RMP's will determine the appropriate management (consistent with the NCCP/HCP) needs of each of the acquired properties. The public will have an opportunity to comment on the draft RMPs before they are finalized. The remaining RMPs will be developed once biological surveys have been conducted and will follow the same process.

In January 2014, the Board also directed OCTA staff to prepare a long-term expenditure plan for the Environmental Mitigation Program funds for review by the Environmental Oversight Committee\* (EOC) and the Finance and Administration Committee. Staff is currently working with an EOC ad-hoc committee to coordinate and complete this task. Staff will be bringing a set of financial recommendations for the endowment framework to meet the obligations of the NCCP/HCP Preserves to the EOC for endorsement in July 2014. If the recommendations are endorsed by the EOC, OCTA staff will bring the same set of recommendations to the Finance and Administration Committee for endorsement and then to the Board for approval.

*Parts of Project A-M continues on the next page...*



# Measure M2

## Progress Report

### ENVIRONMENTAL



*Continued from previous page....*

On June 9, 2014 the Board authorized OCTA staff to enter into a new interim management agreement for the Hayashi Preserve with the California Department of Parks and Recreation (State Parks). State Parks has been acting as the interim land manager for the Hayashi property (located adjacent to Chino Hills State Park) since 2011. They have carried out essential management activities on behalf of OCTA such as biological monitoring, patrol, land surveys and the installation of strategic fencing and gates in order to ensure that the Preserve is protected.

A status update was provided to the Board on the Mitigation Program on June 9, 2014. This report entailed upcoming activities and next steps such as the completion and public release of the NCCP/HCP, DEIR/EIS, and the RMPs. Other milestones include activities related to property acquisition/restoration efforts, establishing endowment parameters for land management, and determining future funding priorities.

OCTA staff held a Wilderness Preserve equestrian tour and a Wilderness Preserve hike at the Ferber Preserve. On May 31, the public was invited to bring their horses and enjoy the Ferber Preserve while riding on the main access roads. This gave the local community an opportunity to enjoy the Preserve. In addition, staff invited the public and led a Preserve hike on Ferber the morning of June 7, 2014. Staff was available for questions and enjoyed interacting with the community on both of these events. An additional public hike is planned for August 9, 2014 as well as a public equestrian ride on August 16, 2014.

\*The Board recently approved new members for the 12-member Environmental Oversight Committee (EOC), which makes funding allocation recommendations to assist OCTA in acquiring land and restoring habitats in exchange for streamlined project approvals for the M2 freeway improvement projects (A-M). Existing members of the Committee have chosen to serve for an additional three years.

# Measure M2

Progress Report

PROGRAM MGMT



## Program Management Office

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

The Measure M (M1 and M2) Program Management Office (PMO) provides interdivisional coordination for all M-related projects and programs. To ensure agency-wide compliance, the PMO also holds a bi-monthly committee meeting made up of executive directors and key staff from each of the divisions, which meets to review key issues and activities within the Measure M programs. In the fourth quarter, the focus of the PMO has been on several key items, including the following.

### 10-Year Review

Measure M2's Ordinance No. 3 requires that a comprehensive review take place at least every 10 years to include all M2 project and program elements included in the Transportation Investment Plan. The PMO will lead the 10-Year Review with participation from each of the Divisions. This quarter, the PMO outlined the objectives and approach for the review, as well as set up a tentative schedule. Via the M2 Committee Meeting, concurrence on the objectives, approach, and schedule was reached. An Internal Task Force (ITF) was also created, which is comprised of Division representatives chosen by Division Executive Directors, to review, conduct research, and provide input into the process, and led by the PMO. ITF members were tasked with various assignments to report back to the group. Next quarter, the ITF will meet to review the programs and discuss any areas in need of adjustments.

### M2020 Plan Update

The PMO has begun the process to update the M2020 Plan, which was last updated in September 2013. The M2020 Plan outlines the projects and programs for all modes that can be delivered on an expedited schedule between now and the year 2020, along with anticipated schedules and major milestones. The plan also positions OCTA on a course to go beyond the early implementation projects if additional external funds can be accessed earlier. The objective of the upcoming update is to provide a more current delivery summary relative to current schedule and overall project information. This quarter, the PMO met with various department leads to acquire cash flows for all M2 project and program elements, as defined in the Transportation Investment Plan. Tentatively, the upcoming update will be completed in early 2015.

### Measure M1 Closeout

Significant progress has been made to close out M1 contracts before the close of fiscal year 2014-15, but some will remain open beyond the deadline. For example, several projects will still be underway, contract invoicing will very likely continue through 2015, as well as the potential for contractor claims that would prevent timely closeouts. The PMO will continue to take action to closeout remaining M1 contracts in a timely manner. The plan is to close what is needed, and use available remaining balances to advance M2 projects and programs, per the Board's approved plan of March 2011. Further review and summary on the closeout progress will continue to be provided with the Measure M1 quarterly updates.

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#### **Organizational Readiness Assessment**

A consultant team was commissioned by OCTA to assess the organizational readiness of OCTA to deliver the Measure M2, specifically the M2020 Plan. The Assessment's recommendations were provided to the Board in December 2013, and PMO led the subsequent effort to address those recommendations, working with all Divisions. The PMO completed the remaining tasks with regards to the Organizational Assessment, including finalizing the final response to the recommendations presented in the Organizational Assessment.

#### **Risk Assessment Study**

The PMO is in the process of finalizing a draft study that will look to lessons learned from regional large (\$250 million or larger) freeway projects. The plan is to review large projects outside of OCTA's jurisdiction and provide a risk comparison to the M2 freeway plan. This effort is expected to result in recommendations for M2 risk management based on industry standards. The study will be finalized next quarter.

#### **2014-15 Budget**

The PMO met with OCTA's Financial Planning and Analysis (FP&A) group to review the proposed 2014-15 budgets for Measure M1, Measure M2, and CURE to determine if there were any overall concerns. In particular, the PMO looked at new M1 contract requests, considering the intent is to closeout M1 by June 30, 2015.

#### **M2 Administrative Cost Safeguards**

Both M1 and M2 include 1 percent caps on administrative expenses for salaries and benefits of OCTA administrative staff, but the M2 language sets the cap on an annual basis, whereas the M1 cap was set as an annual average over the life of the measure. In a legal opinion on M2, it was determined that in years where administrative salaries and benefits are above 1 percent, only 1 percent can be allocated with the difference borrowed from other, non-Measure M fund sources. Conversely, in years where administrative salaries and benefits are below 1 percent, OCTA can still allocate the full 1 percent for administrative salaries and benefits but may use the unused portion to repay the amount borrowed from prior years in which administrative salaries and benefits were above 1 percent.

Based on the original M2 revenue projections, OCTA expected to receive \$24.3 billion in M2 funds, with 1 percent of total revenues available to fund administrative salaries and benefits over the life of the program. As M2 revenue projections declined as a result of economic conditions, the funds available to support administrative salaries and benefits have also declined from the original expectations. While revenue has declined, the administrative effort needed to deliver M2 remains the same. Additionally, the initiation of the EAP in 2007 required administrative functions four years prior to revenue collection. While the EAP resulted in project savings and significant acceleration of the program, administrative functions were required during this time with associated administrative costs.

As a result of the above mentioned factors, OCTA has incurred higher than 1 percent administrative costs. OCTA currently has Board approval to use funds from the Orange County Unified Transportation Trust (OCUTT) fund to cover costs above the 1 percent, with the understanding that those funds will be repaid with interest in future years that OCTA administrative costs fall below the 1 percent cap. As of June 30, 2012, OCTA had borrowed approximately \$5.2 million from OCUTT.

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# Measure M2

## Progress Report

### PROGRAM MGMT



*...Continued from previous page*

Following recommendations received through the February 2013 M2 Performance Assessment Final Report, staff adjusted the approach to the allocation of state planning funds to areas that are subject to the 1 percent administration cap and adjusted OCTA's cost allocation plan to ensure that administrative charges are more precisely captured.

In FY 2012-13, administrative cost charges totaled \$4.6 million, but with the application of state planning funds, actual charges were \$1.8 million. The 1 percent allowance for FY 2012-13 was roughly \$2.6 million, resulting in an overage of \$800,000 in which OCTA will repay OCUTT, leaving a total amount borrowed of \$4.4 million. Efforts are ongoing to monitor the administrative salaries and benefits impact to the 1 percent cap provision within M2.

Staff continues to meet quarterly to review all labor costs to ensure proper cost allocation to both M1 and M2. Staff met on July 15, 2014 to review the past quarter's labor reports to ensure costs attributed to the 1 percent cap were accurately reported and were not misplaced project related costs as well as to ensure project costs were applied to the correct projects.

#### **Taxpayer Oversight Committee**

The M2 Ordinance requires a Taxpayer Oversight Committee (TOC) to oversee the implementation of the M2 plan. The members of the TOC are not elected or appointed officials, except the elected Auditor/Controller of Orange County. Members are recruited and screened for expertise and experience by the Orange County Grand Jurors Association, and are selected from the qualified pool by lottery. The TOC meets every other month. The TOC upholds the integrity of the measure by monitoring the use of Measure M funds and ensuring that all revenue collected from Measure M is spent on voter-approved transportation projects. The responsibilities of the 11-member Measure M TOC are to: ensure all transportation revenue collected from Measure M is spent on the projects approved by the voters as part of the plan; ratify any changes in the plan and recommend any major changes go back to the voters for approval; participate in ensuring that all jurisdictions in Orange County conform with the requirements of Measure M before receipt of any tax monies for local projects; hold annual public meetings regarding the expenditure and status of funds generated by Measure M; review independent audits of issues regarding the plan and performance of the Orange County local Transportation Authority regarding the expenditure of Measure M sales tax monies; and, annually certify whether Measure M funds have been spent in compliance with the plan. To date, the TOC has consistently found OCTA in compliance at this annual hearing. During the quarter, the TOC met on April 8, 2014 and received status presentations on the Rail and Facilities Program and on the Santa Ana/ Garden Grove Fixed-Guideway Project.

# Measure M2

## Progress Report

### FINANCE MATTERS



## M2 Financing

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

### Revenue Forecast and Collection

OCTA contracts with three universities to provide a long-range forecast of taxable sales to forecast Measure M2 revenues for purposes of planning projects and program expenditures. Annually, OCTA takes an average of the three university taxable sales projections to develop a long-range forecast of Measure M2 taxable sales. Revenue forecast information is updated quarterly based on the actual revenues received for the previous quarter. As required by law, OCTA pays the State Board of Equalization a fee to collect the sales tax. The M2 Ordinance estimated this fee to be 1.5 percent of the revenues collected over the life of the program.

### Current Forecast

Based on updated long term forecasts received in May, OCTA staff forecasts total nominal sales tax collections over the life of M2 will be approximately \$15.9 billion. This incorporates the Board's desire to be conservative. Original projections in 2005 estimated total nominal M2 sales tax collections at \$24.3 billion. Based on the current estimated forecast of \$15.9 billion sales tax revenue will run approximately \$8.4 billion (35%) less than the original 2005 projection of \$24.3 billion. The revenue forecast for the life of the M2 Program varies on a quarterly basis due to actual receipts from the previous quarter. Over the last four quarters, the forecast has ranged between \$15.3 billion and \$15.9 billion. It is anticipated that at the end of FY 2013-14 sales tax receipts will reach \$283 million, which is equivalent to the FY 2013-14 budget.



# Measure M2

## Progress Report

### REVENUE & EXPENDITURES



#### Measure M2

#### Schedule 1

#### Schedule of Revenues, Expenditures and Changes in Fund Balance

Draft\* as of June 30, 2014

(Unaudited)

(\$ in thousands)	Quarter Ended June 30, 2014	Year to Date June 30, 2014	Period from Inception to June 30, 2014
	(A)	(B)	
<b>Revenues:</b>			
Sales taxes	\$ 68,856	\$ 279,046	\$ 857,274
Other agencies' share of Measure M2 costs:			
Project related	60,328	114,975	271,003
Non-project related	133	133	133
Interest:			
Operating:			
Non-project related	751	3,721	5,248
Bond proceeds	(151)	5,456	21,664
Debt service	1	5	38
Commercial paper	-	-	393
Right-of-way leases	35	236	588
Miscellaneous			
Project related	185	185	198
Non-project related	-	-	7
<b>Total revenues</b>	<b>130,138</b>	<b>403,757</b>	<b>1,156,546</b>
<b>Expenditures:</b>			
Supplies and services:			
State Board of Equalization (SBOE) fees	739	3,157	8,929
Professional services:			
Project related	5,977	16,532	177,769
Non-project related	794	2,317	10,590
Administration costs:			
Project related	1,753	7,012	26,747
Non-project related :			
Salaries and Benefits	454	1,817	11,954
Other	2,421	5,682	19,492
Other:			
Project related	96	230	951
Non-project related	45	65	3,565
Payments to local agencies:			
Project related	42,260	140,471	366,748
Capital outlay:			
Project related	35,157	112,621	343,319
Non-project related	-	-	31
Debt service:			
Principal payments on long-term debt	-	6,600	13,010
Interest on long-term debt and commercial paper	14	22,263	71,970
<b>Total expenditures</b>	<b>89,710</b>	<b>318,767</b>	<b>1,055,075</b>
<b>Excess (deficiency) of revenues over (under) expenditures</b>	<b>40,428</b>	<b>84,990</b>	<b>101,471</b>
<b>Other financing sources (uses):</b>			
Transfers out:			
Project related	(908)	(2,798)	(8,678)
Transfers in:			
Project related	8,229	9,555	41,478
Non-project related	(5,230)	11,194	11,194
Bond proceeds	-	-	358,593
<b>Total other financing sources (uses)</b>	<b>2,091</b>	<b>17,951</b>	<b>402,587</b>
<b>Excess (deficiency) of revenues over (under) expenditures and other sources (uses)</b>	<b>\$ 42,519</b>	<b>\$ 102,941</b>	<b>\$ 504,058</b>

\*Note: The final report for fiscal year 2014 will be available in December 2014.

# Measure M2

## Progress Report

### REVENUE & EXPENDITURES



#### Measure M2

#### Schedule 2

#### Schedule of Calculations of Net Tax Revenues and Net Bond Revenues (Debt Service)

Draft\* as of June 30, 2014

(Unaudited)

(\$ in thousands)	Quarter Ended June 30, 2014 (actual)	Year Ended June 30, 2014 (actual)	Inception through June 30, 2014 (actual)	Period from July 1, 2014 through March 31, 2041 (forecast)	Total
	(C.1)	(D.1)	(E.1)	(F.1)	
<b>Tax revenues:</b>					
Sales taxes	\$ 68,856	\$ 279,046	\$ 857,274	\$ 15,069,954	\$ 15,927,228
Operating interest	751	3,721	5,248	894,046	899,294
Subtotal	<u>69,607</u>	<u>282,767</u>	<u>862,522</u>	<u>15,964,000</u>	<u>16,826,522</u>
Other agencies share of M2 costs	133	133	133	-	133
Miscellaneous	185	185	198	-	198
Total tax revenues	<u>69,925</u>	<u>283,085</u>	<u>862,853</u>	<u>15,964,000</u>	<u>16,826,853</u>
<b>Administrative expenditures:</b>					
SBOE fees	739	3,157	8,929	226,140	235,069
Professional services	700	2,004	7,028	119,034	126,062
Administration costs :					
Salaries and Benefits	454	1,817	11,954	57,927	69,881
Other	2,421	5,682	19,492	85,991	105,483
Other	45	65	3,565	31,642	35,207
Capital outlay	-	-	31	-	31
Environmental cleanup	948	2,236	6,179	319,280	325,459
Total expenditures	<u>5,307</u>	<u>14,961</u>	<u>57,178</u>	<u>840,014</u>	<u>897,192</u>
Net tax revenues	<u>\$ 64,618</u>	<u>\$ 268,124</u>	<u>\$ 805,675</u>	<u>\$ 15,123,986</u>	<u>\$ 15,929,661</u>
	(C.2)	(D.2)	(E.2)	(F.2)	
<b>Bond revenues:</b>					
Proceeds from issuance of bonds	\$ -	\$ -	\$ 358,593	\$ 1,450,000	\$ 1,808,593
Interest revenue from bond proceeds	(151)	5,456	21,664	25,760	47,424
Interest revenue from debt service funds	1	5	38	55	93
Interest revenue from commercial paper	-	-	393	-	393
Total bond revenues	<u>(150)</u>	<u>5,461</u>	<u>380,688</u>	<u>1,475,815</u>	<u>1,856,503</u>
<b>Financing expenditures and uses:</b>					
Professional services	94	313	3,562	12,340	15,902
Bond debt principal	-	6,600	13,010	1,789,560	1,802,570
Bond debt and other interest expense	14	22,263	71,970	1,439,032	1,511,002
Other	-	-	-	-	-
Total financing expenditures and uses	<u>108</u>	<u>29,176</u>	<u>88,542</u>	<u>3,240,932</u>	<u>3,329,474</u>
Net bond revenues (debt service)	<u>\$ (258)</u>	<u>\$ (23,715)</u>	<u>\$ 292,146</u>	<u>\$ (1,765,117)</u>	<u>\$ (1,472,971)</u>

\*Note: The final report for fiscal year 2014 will be available in December 2014.

# Measure M2

## Progress Report

### REVENUE & EXPENDITURES



#### Measure M2

#### Schedule of Revenues and Expenditures Summary

Draft\* as of June 30, 2014

(Unaudited)

Schedule 3

Project	Description	Net Tax Revenues Program to Date Actual	Total Net Tax Revenues	M2 Project Budget	Variance Total Net Tax Revenues to M2 Project Budget	Expenditures through June 30, 2014	Reimbursements through June 30, 2014	Net Project Cost	Percent of Budget Expended
(G)	(H)	(I)	(J)	(K)	(L)	(M)	(N)	(O)	
(\$ in thousands)									
<b>Freeways (43% of Net Tax Revenues)</b>									
A	I-5 Santa Ana Freeway Interchange Improvements	\$ 31,756	\$ 627,870	\$ 627,086	\$ 784	\$ 1,814	\$ -	\$ 1,814	0.3%
B,C,D	I-5 Santa Ana/San Diego Freeway Improvements	80,079	1,583,300	1,362,705	220,595	40,384	10,173	30,211	2.2%
E	SR-22 Garden Grove Freeway Access Improvements	8,108	160,307	160,306	1	5	-	5	0.0%
F	SR-55 Costa Mesa Freeway Improvements	24,729	488,937	486,529	2,408	6,296	13	6,283	1.3%
G	SR-57 Orange Freeway Improvements	17,479	345,595	325,187	20,408	40,096	9,858	30,238	9.3%
H,I,J	SR-91 Riverside Freeway Improvements	61,397	1,213,926	1,204,348	9,578	29,315	6,243	23,072	1.9%
K,L	I-405 San Diego Freeway Improvements	94,085	1,860,230	957,663	902,567	20,577	925	19,652	2.1%
M	I-605 Freeway Access Improvements	1,351	26,718	26,718	-	303	-	303	1.1%
N	All Freeway Service Patrol	10,135	200,384	200,384	-	50	-	50	0.0%
	Freeway Mitigation	17,322	342,488	320,145	22,343	37,579	1,429	36,150	11.3%
	Subtotal Projects	346,441	6,849,755	5,671,071	1,178,684	176,419	28,641	147,778	
	Net (Bond Revenue)/Debt Service	-	-	1,178,684	(1,178,684)	21,060	-	21,060	
	<b>Total Freeways</b>	<b>\$ 346,441</b>	<b>\$ 6,849,755</b>	<b>\$ 6,849,755</b>	<b>\$ -</b>	<b>\$ 197,479</b>	<b>\$ 28,641</b>	<b>\$ 168,838</b>	<b>25.6%</b>
<b>Street and Roads Projects (32% of Net Tax Revenues)</b>									
O	Regional Capacity Program	\$ 80,568	\$ 1,592,986	\$ 1,491,261	\$ 101,725	\$ 367,969	\$ 172,281	\$ 195,688	13.1%
P	Regional Traffic Signal Synchronization Program	32,226	637,166	636,930	236	8,777	1,012	7,765	1.2%
Q	Local Fair Share Program	145,022	2,867,339	2,867,339	-	135,909	-	135,909	4.7%
	Subtotal Projects	257,816	5,097,491	4,995,530	101,961	512,655	173,293	339,362	
	Net (Bond Revenue)/Debt Service	-	-	101,961	(101,961)	25,294	-	25,294	
	<b>Total Street and Roads Projects</b>	<b>\$ 257,816</b>	<b>\$ 5,097,491</b>	<b>\$ 5,097,491</b>	<b>\$ -</b>	<b>\$ 537,949</b>	<b>\$ 173,293</b>	<b>\$ 364,656</b>	<b>55.4%</b>
<b>Measure M2 Program</b>									
		<b>\$ 805,675</b>	<b>\$ 15,929,661</b>	<b>\$ 15,929,661</b>	<b>\$ -</b>	<b>\$ 971,444</b>	<b>\$ 313,090</b>	<b>\$ 658,354</b>	
<b>Environmental Cleanup (2% of Revenues)</b>									
X	Clean Up Highway and Street Runoff that Pollutes Beaches	\$ 17,250	\$ 336,530	\$ 336,530	\$ -	\$ 6,179	\$ 177	\$ 6,002	1.8%
	Net (Bond Revenue)/Debt Service	-	-	106	(106)	26	-	26	
	<b>Total Environmental Cleanup</b>	<b>\$ 17,250</b>	<b>\$ 336,530</b>	<b>\$ 336,636</b>	<b>\$ (106)</b>	<b>\$ 6,205</b>	<b>\$ 177</b>	<b>\$ 6,028</b>	<b>0.7%</b>
<b>Taxpayer Safeguards and Audits</b>									
	Collect Sales Taxes (1.5% of Sales Taxes)	\$ 12,859	\$ 238,908	\$ 238,908	\$ -	\$ 8,929	\$ -	\$ 8,929	3.7%
									1.0%
	Oversight and Annual Audits (1% of Revenues)	\$ 8,625	\$ 168,265	\$ 168,265	\$ -	\$ 11,954	\$ 3,329	\$ 8,625	5.1%
									1.0%

\*Note: The final report for fiscal year 2014 will be available in December 2014.



# Measure M2

## Progress Report

### LOCAL FAIR SHARE



ENTITY	FY 2013-2014 FOURTH QUARTER M2 FUNDS	M2 FUNDS TO DATE
Aliso Viejo	191,931.82	\$1,694,947.52
Anaheim	1,655,227.52	\$14,599,741.45
Brea	295,975.06	\$2,497,404.93
Buena Park	458,498.65	\$3,979,503.00
Costa Mesa	696,111.84	\$6,139,761.12
Cypress	258,938.43	\$2,333,033.26
Dana Point	166,663.18	\$1,417,376.28
Fountain Valley	302,630.07	\$2,702,926.26
Fullerton	631,280.89	\$5,587,195.47
Garden Grove	727,356.50	\$6,425,220.96
Huntington Beach	978,577.78	\$8,363,827.53
Irvine	1,251,236.41	\$10,964,796.21
Laguna Beach	122,647.78	\$1,087,154.88
Laguna Hills	165,029.02	\$1,468,577.53
Laguna Niguel	324,108.28	\$2,899,654.60
Laguna Woods	62,149.61	\$558,499.33
La Habra	267,420.46	\$2,300,540.48
Lake Forest	375,998.50	\$3,349,213.14

# Measure M2

Progress Report

LOCAL FAIRSAHRE



## ENTITY

## FY 2013-2014 FOURTH QUARTER M2 FUNDS

## M2 FUNDS TO DATE

La Palma	92,595.38	\$789,989.52
Los Alamitos	62,198.80	\$554,630.45
Mission Viejo	453,689.54	\$4,042,634.39
Newport Beach	543,170.74	\$4,709,671.04
Orange	791,073.59	\$7,008,699.70
Placentia	230,198.06	\$2,031,392.12
Rancho Santa Margarita	206,597.88	\$1,826,492.08
San Clemente	268,485.80	\$2,386,755.14
San Juan Capistrano	190,180.42	\$1,631,100.20
Santa Ana	1,336,466.48	\$11,889,155.62
Seal Beach	133,600.46	\$1,138,912.02
Stanton	152,346.33	\$1,303,848.12
Tustin	430,381.00	\$3,771,841.74
Villa Park	25,103.50	\$223,415.35
Westminster	416,872.21	\$3,674,327.32
Yorba Linda	293,251.51	\$2,569,584.37
County Unincorporated	908,619.95	\$7,749,410.96
<b>Total M2 Funds</b>	<b>\$15,466,613.45</b>	<b>\$135,671,234.13</b>

# Measure M2

## Progress Report

### CAPITAL ACTION PLAN



Grey = Milestone achieved

Green = Forecast milestone meets or exceeds plan

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

Red = Forecast milestone is over three months later than plan

Capital Projects	Cost Budget/Forecast (in millions)	Schedule Plan/Forecast			
		Begin Environmental	Complete Environmental	Complete Design	Complete Construction
FREEWAY PROJECTS					
I-5, Pico to Vista Hermosa	\$113.0	Jun-09	Dec-11	Oct-13	Feb-18
Project C	\$110.7	Jun-09	Oct-11	Oct-13	Dec-17
I-5, Vista Hermosa to Pacific Coast Highway	\$75.6	Jun-09	Dec-11	Feb-13	Mar-17
Project C	\$71.8	Jun-09	Oct-11	May-13	Mar-17
I-5, Pacific Coast Highway to San Juan Creek Road	\$70.7	Jun-09	Dec-11	Jan-13	Sep-16
Project C	\$60.3	Jun-09	Oct-11	Jan-13	Sep-16
I-5, I-5/Ortega Interchange	\$90.9	Sep-05	Jun-09	Nov-11	Sep-15
Project D	\$81.7	Sep-05	Jun-09	Dec-11	Sep-15
I-5, I-5/Ortega Interchange (Landscape)	N/A	N/A	N/A	N/A	N/A
Project D	N/A	N/A	N/A	Jul-15	Mar-17
I-5, SR-73 to Oso Parkway	\$152.3	Sep-11	Jun-14	TBD	TBD
Project C & D	\$152.3	Oct-11	May-14	Nov-17	May-22
I-5, Oso Parkway to Alicia Parkway	\$195.1	Sep-11	Jun-14	TBD	TBD
Project C & D	\$195.1	Oct-11	May-14	Jul-17	May-22
I-5, Alicia Parkway to El Toro Road	\$134.2	Sep-11	Jun-14	TBD	TBD
Project C	\$134.2	Oct-11	May-14	Jan-18	May-22
I-5, I-5/El Toro Road Interchange	TBD	TBD	TBD	TBD	TBD
Project D	TBD	Oct-15	Oct-18	TBD	TBD
I-5, I-405 to SR-55	TBD	Sep-13	Jun-16	TBD	TBD
Project B	TBD	May-14	Jan-17	TBD	TBD
I-5, SR-55 to SR-57	TBD	Jul-11	Jun-13	TBD	TBD
Project A	\$42.3	Jun-11	Mar-15	Jan-17	Nov-19

# Measure M2

## Progress Report

### CAPITAL ACTION PLAN



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Red = Forecast milestone is over three months later than plan

Capital Projects	Cost Budget/ Forecast (in millions)	Schedule Plan/Forecast			
		Begin Environmental	Complete Environmental	Complete Design	Complete Construction
SR-55, I-405 to I-5	TBD	Feb-11	Nov-13	TBD	TBD
Project F	\$274.6	May-11	Jan-15	Oct-18	Aug-22
SR-55, I-5 to SR-91 (Draft)	TBD	TBD	TBD	TBD	TBD
Project F	TBD	Dec-15	Jun-18	TBD	TBD
SR-57 Northbound (NB), Orangewood to Katella (Draft)	TBD	TBD	TBD	TBD	TBD
Project G	TBD	Dec-15	Dec-17	TBD	TBD
SR-57 (NB), Katella to Lincoln	\$78.7	Apr-08	Jul-09	Nov-10	Sep-14
Project G	\$40.7	Apr-08	Nov-09	Dec-10	Jan-15
SR-57 (NB), Katella to Lincoln (Landscape)	N/A	N/A	N/A	N/A	N/A
Project G	N/A	N/A	N/A	Jul-10	May-17
SR-57 (NB), Orangethorpe to Yorba Linda	\$80.2	Aug-05	Dec-07	Dec-09	Mar-14
Project G	\$56.3	Aug-05	Dec-07	Jul-09	Aug-14
SR-57 (NB), Yorba Linda to Lambert	\$79.3	Aug-05	Dec-07	Dec-09	Sep-14
Project G	\$55.8	Aug-05	Dec-07	Jul-09	May-14
SR-57 (NB), Orangethorpe to Lambert (Landscape)	N/A	N/A	N/A	N/A	N/A
Project G	N/A	N/A	N/A	Aug-15	Sep-16
SR-57 (NB), Lambert Road to Tonner Canyon (Draft)	TBD	TBD	TBD	TBD	TBD
Project G	TBD	Aug-16	Jul-19	TBD	TBD
SR-91 Westbound (WB), I-5 to SR-57	\$78.1	Jul-07	Apr-10	Feb-12	Apr-16
Project H	\$64.2	Jul-07	Jun-10	Apr-12	Apr-16
SR-91, SR-57 to SR-55	TBD	Feb-14	Sep-16	TBD	TBD
Project I	TBD	Oct-14	Jun-17	TBD	TBD

# Measure M2

## Progress Report

### CAPITAL ACTION PLAN



Capital Projects	Cost Budget/ Forecast (in millions)	Schedule Plan/Forecast			
		Begin Environmental	Complete Environmental	Complete Design	Complete Construction
SR-91 (WB), Tustin Interchange to SR-55	\$49.9	Jul-08	Jul-11	Mar-13	Jul-16
Project I	\$47.8	<b>Jul-08</b>	<b>May-11</b>	<b>Feb-13</b>	<b>Jul-16</b>
SR-91, SR-55 to SR-241	\$128.4	Jul-07	Jul-09	Jan-11	Dec-12
Project J	\$80.9	<b>Jul-07</b>	<b>Apr-09</b>	<b>Aug-10</b>	<b>Mar-13</b>
SR-91, SR-55 to SR-241 (Landscape)	N/A	N/A	N/A	N/A	N/A
Project J	N/A	N/A	N/A	<b>Feb-13</b>	Dec-14
SR-91 Eastbound, SR-241 to SR-71	\$104.5	Mar-05	Dec-07	Dec-08	Nov-10
Project J	\$57.8	<b>Mar-05</b>	<b>Dec-07</b>	<b>Dec-08</b>	<b>Jan-11</b>
I-405, I-5 to SR-55	TBD	TBD	TBD	TBD	TBD
Project L	TBD	Nov-14	Jun-17	TBD	TBD
I-405 Southbound, SR-133 to University Drive	TBD	TBD	TBD	TBD	TBD
Project L	\$16.4	Mar-15	Feb-16	Feb-18	Dec-19
I-405, SR-55 to I-605 (Design-Build)	TBD	Mar-09	Mar-13	TBD	TBD
Project K	\$1,254.5	<b>Mar-09</b>	<b>May-15</b>	Jan-15	Oct-20
I-605, I-605/Katella Interchange (Draft)	TBD	TBD	TBD	TBD	TBD
Project M	TBD	Feb-16	Jan-18	TBD	TBD
<b>GRADE SEPARATION PROJECTS</b>					
Sand Canyon Avenue Railroad Grade Separation	\$55.6	N/A	Sep-03	Jul-10	May-14
Project R	\$62.4	N/A	<b>Sep-03</b>	<b>Jul-10</b>	<b>Oct-14</b>
Raymond Avenue Railroad Grade Separation	\$77.2	Feb-09	Nov-09	Aug-12	Aug-18
Project O	\$117.2	<b>Feb-09</b>	<b>Nov-09</b>	<b>Dec-12</b>	<b>Aug-18</b>
State College Boulevard Railroad Grade Separation (Fullerton)	\$73.6	Dec-08	Jan-11	Aug-12	May-18
Project O	\$86.5	<b>Dec-08</b>	<b>Apr-11</b>	<b>Feb-13</b>	<b>May-18</b>





# Measure M2

## Progress Report

### CAPITAL ACTION PLAN



**Grey** = Milestone achieved

**Green** = Forecast milestone meets or exceeds plan

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

**Red** = Forecast milestone is over three months later than plan

Capital Projects	Cost Budget/ Forecast (in millions)	Schedule Plan/Forecast			
		Begin Environmental	Complete Environmental	Complete Design	Complete Construction
Placentia Avenue Railroad Grade Separation	\$78.2	Jan-01	May-01	Mar-10	Nov-14
Project O	\$65.7	<b>Jan-01</b>	<b>May-01</b>	<b>Jun-10</b>	<b>Aug-14</b>
Kraemer Boulevard Grade Separation	\$70.4	Jan-01	Sep-09	Jul-10	Oct-14
Project O	\$63.7	<b>Jan-01</b>	<b>Sep-09</b>	<b>Jul-10</b>	<b>Aug-14</b>
Orangethorpe Avenue Railroad Grade Separation	\$117.4	Jan-01	Sep-09	Dec-11	Sep-16
Project O	\$110.5	<b>Jan-01</b>	<b>Sep-09</b>	<b>Oct-11</b>	<b>Sep-16</b>
Tustin Avenue/Rose Drive Railroad Grade Separation	\$103.0	Jan-01	Sep-09	Dec-11	May-16
Project O	\$94.3	<b>Jan-01</b>	<b>Sep-09</b>	<b>Jul-11</b>	<b>May-16</b>
Lakeview Avenue Railroad Grade Separation	\$70.2	Jan-01	Sep-09	Oct-11	Mar-17
Project O	\$96.5	<b>Jan-01</b>	<b>Sep-09</b>	<b>Jan-13</b>	<b>Mar-17</b>
17th Street Railroad Grade Separation	TBD	TBD	TBD	TBD	TBD
Project R	TBD	Aug-14	Apr-17	TBD	TBD
<b>RAIL AND STATION PROJECTS</b>					
Rail-Highway Grade Crossing Safety Enhancement	\$94.4	Jan-08	Oct-08	Sep-08	Dec-11
Project R	\$94.4	<b>Jan-08</b>	<b>Oct-08</b>	<b>Sep-08</b>	<b>Dec-11</b>
San Clemente Beach Trail Safety Enhancements	\$6.0	Sep-10	Jul-11	Apr-12	Jan-14
Project R	\$5.4	<b>Sep-10</b>	<b>Jul-11</b>	<b>Jun-12</b>	<b>Mar-14</b>
San Juan Capistrano Passing Siding	\$25.3	Aug-11	Jan-13	TBD	TBD
	\$25.3	<b>Aug-11</b>	<b>Mar-14</b>	Oct-15	Apr-18
Anaheim Rapid Connection	TBD	Jan-09	Oct-14	TBD	TBD
Project S	TBD	<b>Jan-09</b>	<b>Jul-15</b>	TBD	TBD

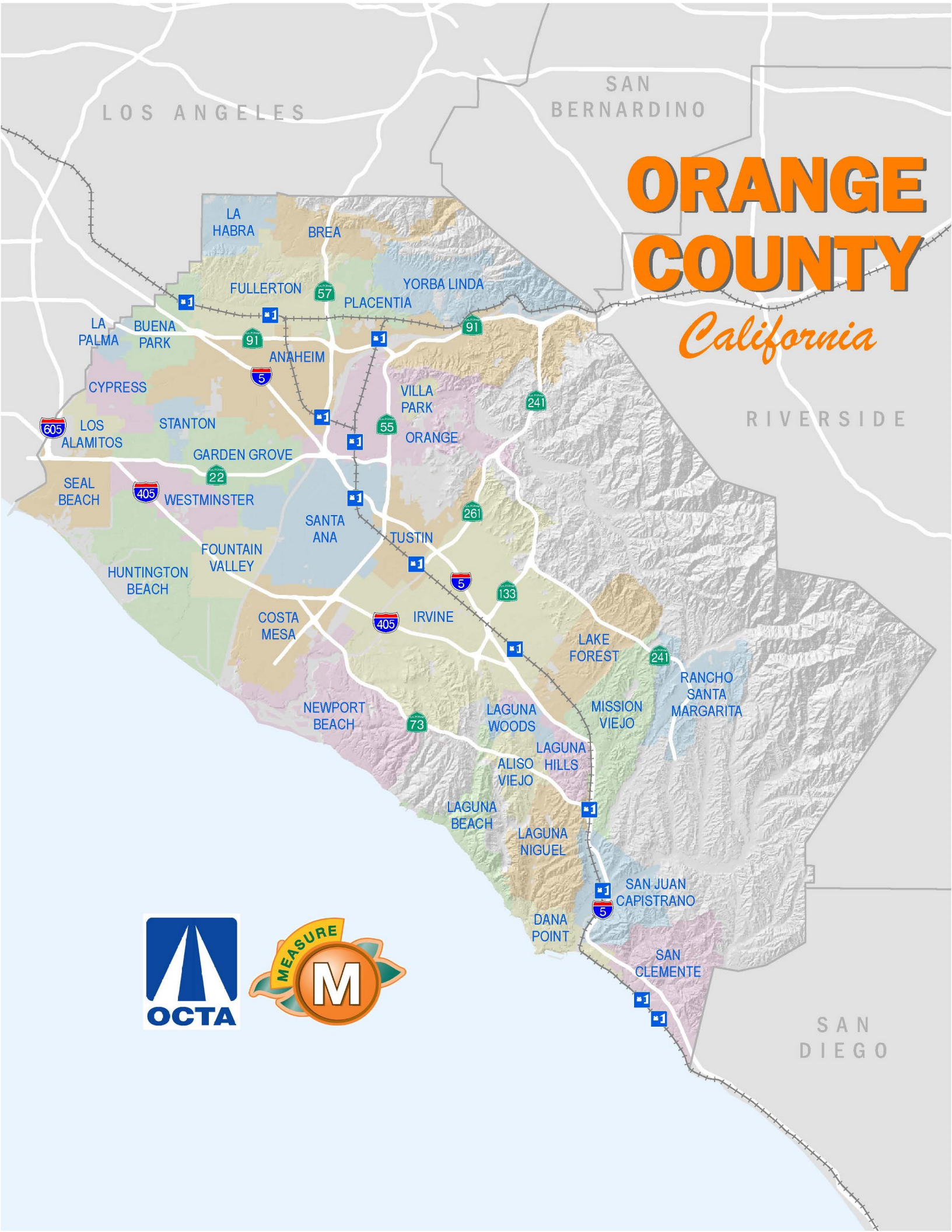
# Measure M2

## Progress Report

### CAPITAL ACTION PLAN



Capital Projects	Cost Budget/ Forecast (in millions)	Schedule Plan/Forecast			
		Begin Environmental	Complete Environmental	Complete Design	Complete Construction
Santa Ana/Garden Grove Fixed-Guideway	TBD	Aug-09	Mar-12	TBD	TBD
Project S	TBD	<b>Aug-09</b>	<b>Oct-14</b>	May-17	Dec-19
Placentia Metrolink Station and Parking Structure	TBD	Jan-03	May-07	Jan-11	TBD
	TBD	<b>Jan-03</b>	<b>May-07</b>	<b>Feb-11</b>	TBD
Orange Metrolink Station Parking Expansion	\$18.6	Dec-09	Dec-12	Apr-13	TBD
	\$18.6	<b>Dec-09</b>	<b>Dec-14</b>	<b>Jun-15</b>	Feb-17
Laguna Niguel/Mission Viejo Metrolink Station Parking Lot	\$4.3	Sep-07	Dec-07	Aug-12	Oct-13
	\$4.1	<b>Jul-07</b>	<b>Dec-07</b>	<b>Aug-12</b>	<b>Oct-13</b>
Laguna Niguel/Mission Viejo Metrolink Station ADA Ramps	\$3.1	Jul-13	Jan-14	Aug-14	Feb-16
	\$3.1	<b>Jul-13</b>	<b>Feb-14</b>	<b>Jan-15</b>	<b>Jul-16</b>
Anaheim Regional Transportation Intermodal Center	\$227.4	Apr-09	Feb-11	Feb-12	Nov-14
Project R & T	\$227.4	<b>Apr-09</b>	<b>Feb-12</b>	<b>May-12</b>	Nov-14



# ORANGE COUNTY

*California*







## COMMITTEE TRANSMITTAL

**September 22, 2014**

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

**From:** Wendy Knowles, <sup>Wek</sup> Clerk of the Board

**Subject:** Completion of Milestones for the Santa Ana/Garden Grove Fixed-Guideway Project

### Transit Committee Meeting of September 11, 2014

**Present:** Directors Nguyen, Pulido, Shaw, and Winterbottom  
**Absent:** Directors Donchak, Jones, and Tait

### **Committee Vote**

This item was passed by the Members present.

### **Committee Recommendation**

Approve the City of Santa Ana's completion of the following project milestones: alternatives analysis, draft environmental document, and approval and adoption by the Santa Ana City Council of the locally preferred alternative for the Santa Ana/Garden Grove Fixed-Guideway Project.





**September 11, 2014**

**To:** Transit Committee

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

**Subject:** Completion of Milestones for the Santa Ana/Garden Grove Fixed-Guideway Project

### **Overview**

The City of Santa Ana, acting as the lead agency on behalf of the City of Garden Grove, has completed the alternatives analysis report, approval of the locally preferred alternative and the environmental assessment/draft environmental impact report for the Santa Ana/Garden Grove Fixed-Guideway Project. Board of Directors' approval is required to approve the City of Santa Ana's completion of milestones for the Santa Ana/Garden Grove Fixed-Guideway Project.

### **Recommendations**

Approve the City of Santa Ana's completion of the following project milestones: alternatives analysis, draft environmental document, and approval and adoption by the Santa Ana City Council of the locally preferred alternative for the Santa Ana/Garden Grove Fixed-Guideway Project.

### **Background**

Initiated by the Measure M (M1) funded Go Local Program, a program envisioned to help broaden the reach of the Metrolink system by providing a link between Metrolink stations and major destinations, the City of Santa Ana (City) has been leading the development for the Santa Ana/Garden Grove (SA/GG) Fixed-Guideway Project (Project), including an evaluation of Project alternatives through an alternatives analysis (AA) and environmental documentation. Building from the initial M1 investment in the Go Local Program, the approval of Measure M2 (M2) by Orange County voters in 2006 provides funding for the implementation of M2 Project S; Transit Extensions to Metrolink. The Orange County Transportation Authority (OCTA) has overseen project development of the Project to ensure consistency with the goals of both the initial investment of M1 and the commitment to the goals and objectives of M2 Project S.

The Federal Transit Administration (FTA) has also been involved in the oversight of project development activities, consistent with the Board of Directors (Board) requirement that the Project remain eligible for federal funds. This is also consistent with the M2 Ordinance which specifically states that OCTA shall make every effort to maximize state and federal funding for transit projects.

Cooperative Agreement No. C-8-1157, executed in 2008 requires the City to seek Board approval at completion of each milestone prior to advancing into the milestone: completion of the AA, approval and adoption of the locally preferred alternative (LPA) by the City Council, and completion of the Project environmental assessment/draft environmental impact report (EA/DEIR) (Project Milestones).

As previously reported to the Board, the City as the lead local agency, and in consultation with FTA and OCTA, elected to pursue a concurrent AA and EA/DEIR which meant that the Project Milestones identified in the cooperative agreement would be completed at the same time. This approach is consistent with FTA planning guidelines and is often utilized on projects anticipated to have minimal complexities and minimal environmental impacts.

The City chose to prepare the EA/DEIR concurrently with the AA due to the limited potential routes available for transit improvements in downtown Santa Ana, and the determination that studies were required to develop information on environmental benefits and impacts to select a preferred alignment. This process is different from the process used for the Anaheim Rapid Connection project, where an AA was completed before an environmental document was initiated. Either process is acceptable to the FTA, with the choice being made at the discretion of the lead local agency based on unique conditions in the study area.

The City has recently completed the Project AA and EA/DEIR, and the City Council has adopted Streetcar Alternative 1 as the LPA.

### ***Discussion***

Based on the City's recent Project accomplishments, staff is recommending Board approval for the completion of the following Project Milestones:

#### **Alternatives Analysis**

The Project AA was, completed by the City in May 2014. The AA was the process that the cities of Santa Ana and Garden Grove followed to screen Project alternatives and arrive at a reduced set of alternatives for environmental documentation. The AA introduces the Project, states the Project's purpose and need, describes the AA process, presents evaluation

findings from the preliminary screening of a wide range of alternatives through the detailed evaluation of a reduced set of alternatives, and describes the public involvement and interagency coordination efforts undertaken in support of the study process. A graphic illustrating the AA study process for the Project is included as Attachment A.

Based on findings of the AA, the following alternatives were advanced to environmental review: 1) No Build Alternative, which represents what would happen if only other funded, committed, and approved long-term projects go forward; 2) Transportation Systems Management (TSM) Alternative, which would implement bus improvements along a route similar to that of the streetcar alternatives; 3) Streetcar Alternative 1, which would utilize the Pacific Electric Right-of-Way (PE ROW) through the western half of its alignment and substantially operate along Santa Ana Boulevard and 4th Street along the eastern half of its alignment; and 4) Streetcar Alternative 2, which would utilize the PE ROW through the western half of its alignment and substantially operate along Santa Ana Boulevard, Civic Center Drive, and 5th Street along the eastern half of its alignment.

#### Environmental Assessment/Draft Environmental Impact Report

The EA/DEIR for the Project was completed by the City in May 2014. The Executive Summary (Attachment B) presents information pertaining to the environmental impacts and benefits of the set of four alternatives carried forward from the AA. The EA/DEIR responds to federal requirements under the National Environmental Policy Act (NEPA), and to state requirements under the California Environmental Quality Act (CEQA). The EA/DEIR presents evaluation criteria, detailed analysis, findings and mitigation measures for environmental focus areas for which adverse or significant impacts could occur if any of the alternatives are implemented.

No environmental impacts are expected due to the implementation of the TSM Alternative. For Streetcar Alternatives 1 and 2, adverse effects associated with hazardous materials, safety, operational noise, and construction air quality are anticipated to occur prior to incorporation of mitigation measures. Mitigation measures would eliminate the adverse effects associated with hazardous materials and safety. Moderate effects associated with operational noise would remain after the implementation of mitigation; however, these effects would not be considered adverse. Construction air quality impacts under CEQA would remain after the implementation of mitigation; however, these impacts would be temporary and not adverse under NEPA after the implementation of mitigation. In addition to mitigation measures, design features and best management practices have been incorporated into the Project, including a Traffic Management Plan, a Noise and Vibration Control Plan, and a number of features to manage water quality.

Following review and approval of the EA/DEIR by OCTA staff, the City, and the FTA, the EA/DEIR was released for a 45-day public review period on May 23, 2014. During the 45-day public review, input was solicited from responsible agencies, and public meetings were conducted to solicit comments from the community, interested agencies, and key stakeholders. The cities of Santa Ana and Garden Grove conducted significant outreach to ensure the public was aware of the availability of the EA/DEIR and the opportunities to provide comment. A summary of these outreach activities along with a summary of comments received is provided in Attachment C.

#### Locally Preferred Alternative

Following the close of the public review period on July 7, 2014, the results of the environmental analysis documented in the EA/DEIR, and the comments received during the public review period were considered in combination with the technical evaluation of the alternatives completed as part of the AA to formulate an LPA recommendation for consideration and approval by the City Council. An LPA Decision Report for the Project, completed by the City in July 2014, summarizes the evaluation results from the AA and the EA/DEIR, summarizes the comments received during the public review period, and recommends Streetcar Alternative 1 as the LPA for adoption by the City Council (Attachment D). In addition, the LPA Decision Report recommends Operations and Maintenance (O&M) Facility Site B (near the intersection of 5<sup>th</sup> Street and Raitt Street) as the preferred O&M Facility Site and 4th Street Parking Scenario A (reconfigure existing south side diagonal parking to parallel parking) as the preferred 4th Street Parking Scenario.

The LPA recommendation was approved by the City Council on August 5, 2014. There is strong support from the community for a streetcar system connecting the Santa Ana Regional Transportation Center with the downtown and Civic Center areas, continuing west to Garden Grove. While the TSM alternative has the lowest capital cost, it also has the lowest forecast of daily ridership, less passenger capacity, less boarding efficiency, and less potential for economic development as compared to the streetcar alternatives.

Based upon the purpose and need of the Project, Streetcar Alternative 1 was ranked first in the technical evaluation of the alternatives. Streetcar Alternative 1 is estimated to have the highest ridership and serve the greatest number of transit dependent households. Streetcar Alternative 1 costs less than Streetcar Alternative 2 to construct and operate. Streetcar Alternative 1 has an alignment with the most transit supportive existing land use and development patterns to support a high-capacity transit system. Streetcar Alternative 2 requires slightly more ROW than Streetcar Alternative 1 and impacts one additional business. Streetcar 1 has a greater ease of constructability as a result of fewer utilities underneath 4<sup>th</sup> Street as compared to 5<sup>th</sup> Street.

The Project AA and EA/DEIR have gone through a complete review by staff from OCTA, OCTA's Program Management Oversight consultant team, the FTA, the City, and the City of Garden Grove. The EA/DEIR has also undergone a legal sufficiency review by the Santa Ana City Attorney. Staff attests that the AA and EA/DEIR satisfy OCTA and FTA requirements, including processes and documentation for planning, NEPA/CEQA, and public outreach.

#### **Next Steps**

Pending Board approval of the completion of the Project Milestones, the City will proceed with the preparation of the Final EA/EIR. As the CEQA lead agency, the City is expecting to certify the Final EA/EIR in October 2014 and subsequently A Finding of No Significant Impact is expected from the FTA to complete the environmental clearance process.

Consistent with prior Board direction, OCTA will then assume the lead agency role for all further project development activities, including design, construction, operations, and maintenance.

#### **Summary**

The City has completed the AA and EA/DEIR for the Project. The City Council adopted Streetcar Alternative 1 as the LPA. Staff is seeking Board approval of AA and EA/DEIR milestone completion.

#### **Attachments**

- A. Santa Ana/Garden Grove Fixed-Guideway Project Alternatives Development and Analysis Process
- B. Santa Ana/Garden Grove Fixed-Guideway Project Environmental Assessment/Draft Environmental Impact Report: Executive Summary
- C. Santa Ana/Garden Grove Fixed-Guideway Project, Summary of Public Outreach and Comment for Environmental Review
- D. Santa Ana/Garden Grove Fixed-Guideway Project Locally Preferred Alternative Decision Report: Executive Summary

**Prepared by:**



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**Approved by:**



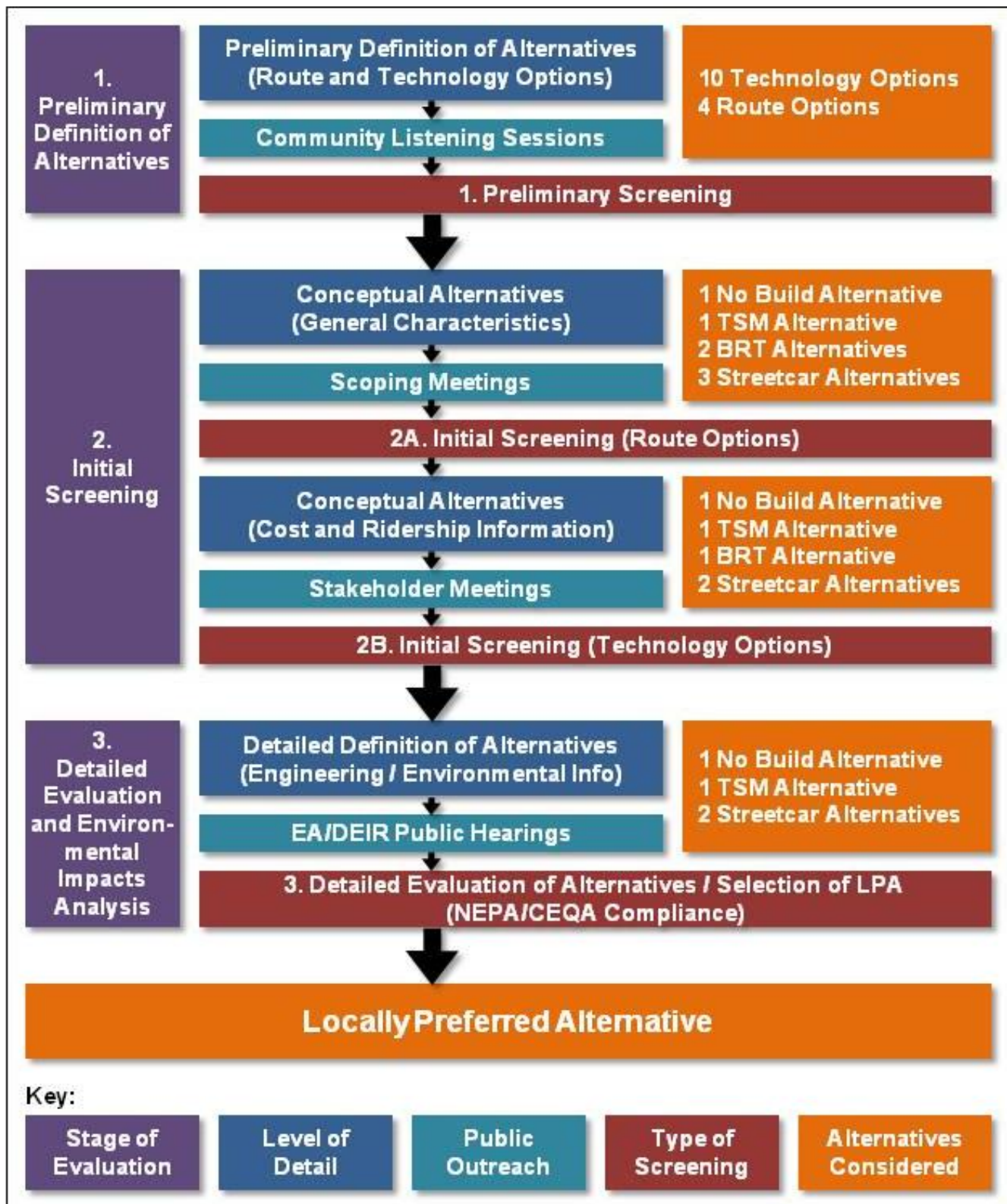
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Executive Director, Capital Programs  
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Santa Ana/Garden Grove Fixed-Guideway Project  
Alternatives Development and Analysis Process

Figure 3-1: Alternatives Development and Analysis Process



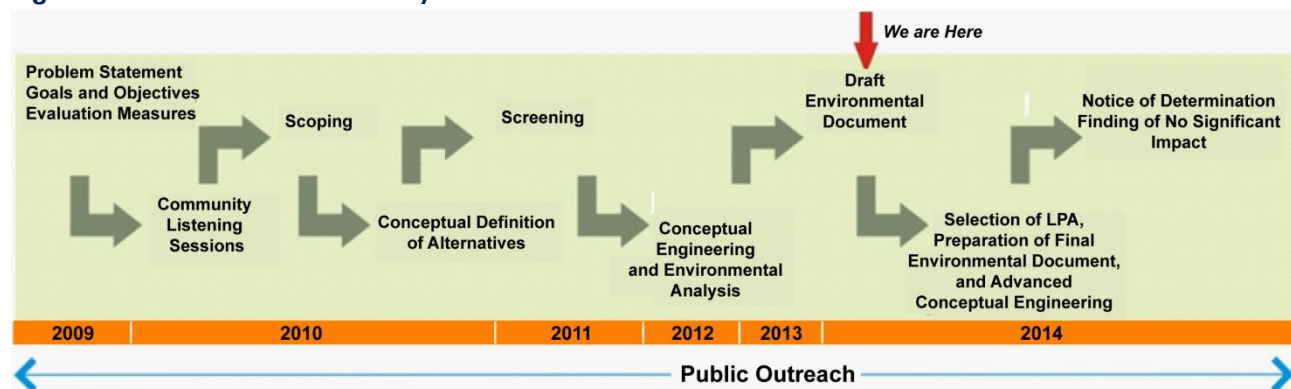


## Executive Summary

The SA-GG Fixed Guideway Project is a transit improvement project being considered by the Cities of Santa Ana and Garden Grove in cooperation with OCTA and FTA to improve mobility and provide other community enhancements. Working together, these agencies have prepared an environmental review of the proposed transit improvements in the corridor, with FTA serving as the federal lead agency for the EA under NEPA and the City of Santa Ana serving as lead agency for the DEIR under CEQA. This summary describes the planning and environmental review processes for the SA-GG Fixed Guideway Project.

The SA-GG Fixed Guideway Study was undertaken in the context of the FTA planning and project development process, a systematic analysis approach that provides detailed information to help federal, State, and local officials make informed decisions about major transit capital investments. The FTA planning and project development process includes five phases: (1) system planning; (2) alternatives analysis and environmental review; (3) preliminary engineering; (4) final design; and (5) construction. As projects are advanced through these phases, their design, costs, benefits, and impacts become more clearly defined. The current phase, Phase 2, culminates in the selection of a LPA and certification of the environmental document, as illustrated in **Figure ES-1**.

**Figure ES-1. Alternatives Analysis and Environmental Review Process**



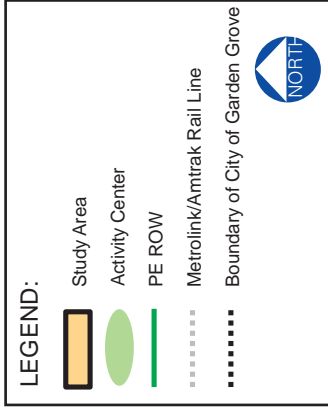
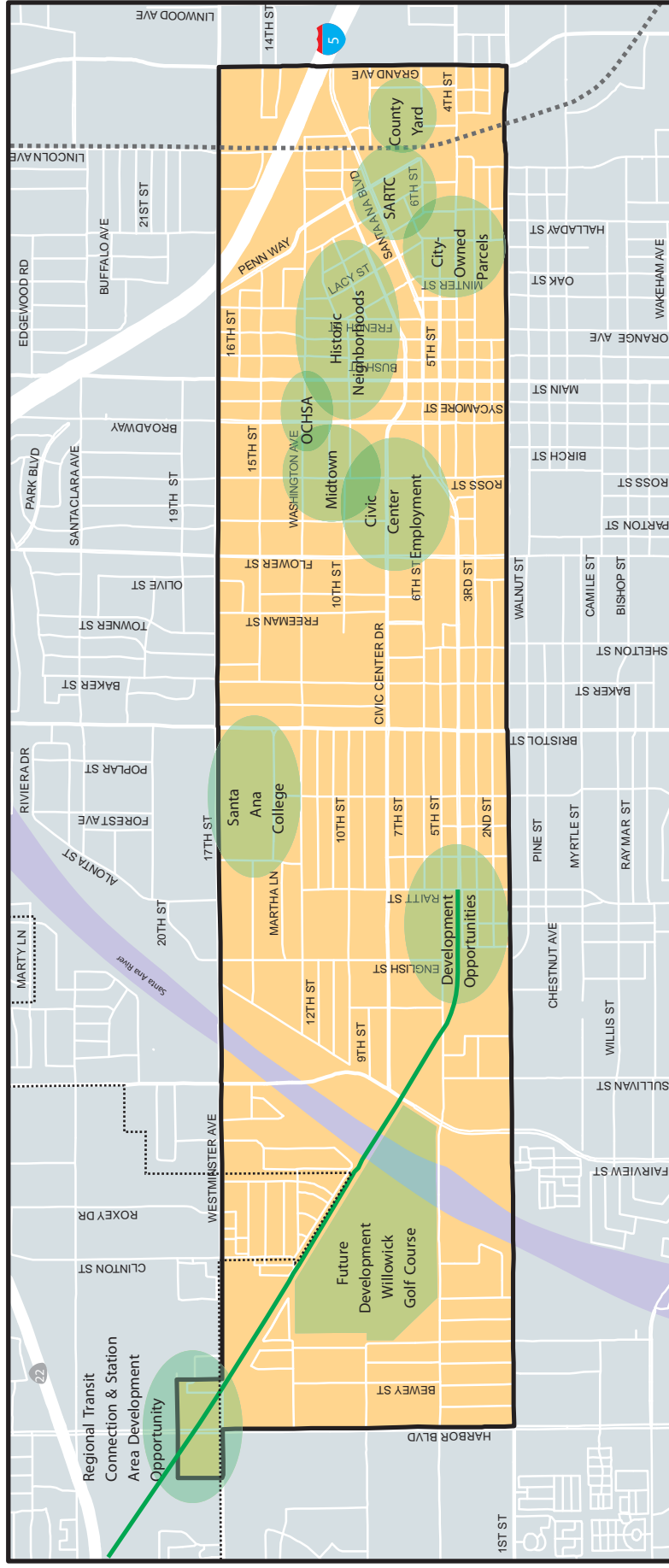
## Location of the SA-GG Fixed Guideway Transit Corridor

The SA-GG Fixed Guideway Study Area is located in central Orange County, California and directly accesses both the Los Angeles-San Diego-San Luis Obispo (LOSSAN) rail corridor and the Pacific Electric right-of-way (PE ROW) rail corridor. Running predominantly in an east-west direction, the corridor extends 4.2 miles through the City of Santa Ana and into the eastern portion of the City of Garden Grove. The Study Area is generally bounded by Harbor Boulevard to the west, 17<sup>th</sup> Street to the north, Grand Avenue to the east, and 1<sup>st</sup> Street to the south. The eastern terminus of the alignment is the Santa Ana Regional Transportation Center (SARTC) and the western terminus is the Harbor Boulevard/Westminster Avenue intersection. Two Initial Operating Segments (IOSs) are also being assessed that would extend 2.2 miles from SARTC to Raitt Street. The Study Area, with key activity centers, is shown in **Figure ES-2**.

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Study Area



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## **Previous Planning Studies**

Formal planning for the SA-GG Fixed Guideway Project began in 2008 when the OCTA launched its Go Local – Transit Connections to Metrolink program. However, the concept of providing local transit connections dates back to the early 1900s when the Pacific Electric Railway linked the cities to Los Angeles. In fact, the alignment alternatives evaluated in the SA-GG Fixed Guideway Project actually travel along the historic route – through the PE ROW at the west end of the Study Area, through historic Downtown Santa Ana, to SARTC -- the busiest multi-modal transportation hub in Orange County. Once a busy rail corridor, the PE ROW in Orange County is now a 100-foot wide strip of vacant land which OCTA has preserved for future transit use while allowing temporary interim uses along some sections.

## **Purpose of this Environmental Document**

The environmental review process provides the public with an opportunity to review and comment on the alternatives and the environmental analysis presented in the EA/DEIR. This EA/DEIR evaluates selected alternatives against future conditions without the project under NEPA (No Build Alternative) and the existing conditions under CEQA. Where appropriate, mitigation measures are identified to reduce the severity of potentially adverse environmental effects that may result from implementation of the proposed project.

The EA/DEIR does not make recommendations regarding the approval or denial of the SA-GG Fixed Guideway Project. Rather, it is intended as a disclosure document to inform public agency decision-makers and the public of the environmental effects of the alternatives and design options that are under consideration. The Cities of Santa Ana and Garden Grove shall consider the information included in this EA/DEIR, along with other information which may be presented to them, prior to adopting the LPA. Other agencies, such as the California State Office of Historic Preservation, Orange County Department of Public Works, California Public Utilities Commission (CPUC), Orange County Sheriff-Coroner Department, California Energy Commission, Department of Toxic Substances Control, Orange County Flood Control District, U.S. Army Corps of Engineers, and California Department of Transportation have also been involved in reviewing the project.

## **Environmental Review Process**

This EA/DEIR has been prepared to meet the requirements of NEPA and CEQA. As required by these laws, the environmental review process must be completed before the proposed project can be approved by the City of Santa Ana (acting as the lead agency for Santa Ana and Garden Grove) and the FTA. Meaningful public engagement was an important component of the SA-GG Fixed Guideway Project from the start. Well before any key decisions were made, the City of Santa Ana initiated a public scoping process to help define the appropriate range of issues to be addressed in the EA/DEIR. Four scoping meetings were conducted for the general public between June 8 and June 12, 2010. Two of these meetings were scheduled in the evening, one meeting was scheduled in the morning and one meeting was scheduled on a Saturday afternoon, providing those community members who could not attend any of the weekday



evening meetings with an opportunity to participate. Public comment opportunities were made available at each meeting. It should also be noted that articles and advertisements were published in a number of local newspapers, including several non-English publications. All information materials were presented in English as well as Spanish.

The alternatives identified for evaluation in this EA/DEIR were based on public comments as well as technical analyses, as detailed in the AA Report (under separate cover and available by request or on the City's website at <http://www.ci.santa-ana.ca.us/transitvision>). Following receipt of public comments on the EA/DEIR, the Santa Ana and Garden Grove City Councils will select an LPA for the Fixed Guideway Project. Their decision will be based on a combination of environmental impacts, community input, cost, ridership and economic development considerations brought to light through the EA/DEIR, AA, and public review process. Subsequent to the City actions, the LPA will be presented to the OCTA Board of Directors. If necessary to address comments received during the environmental public review, additional engineering may be performed to refine the conceptual design of the LPA prior to presentation to the City Councils. If a hybrid alternative which results in changes outside the envelope of environmental effect is selected, then an environmental re-evaluation may be needed.

## **Purpose and Need for the Proposed Project**

Santa Ana and Garden Grove are mature, densely populated, and ethnically diverse cities located in the heart of Orange County, California. Transit service equity is an important issue for the Study Area, where the median household income is slightly above the U.S. Census Bureau poverty level threshold and approximately 17.8 percent of households are without an automobile and therefore must rely on ridesharing, public transportation or non-motorized transportation for all of their travel needs. Approximately 91 percent of the Study Area population is non-white; approximately 31.9 percent are under the age of 15 and therefore not eligible to drive an automobile.<sup>1</sup> More than half of Study Area residents use modes of transportation other than the single-occupant automobile for their travel to/from work including approximately 13.8 percent of Study Area residents who use public transportation.<sup>2</sup>

Santa Ana and Garden Grove's overall vision for the Study Area includes a transit system that integrates seamlessly with the community, provides connections to regional Metrolink and Amtrak commuter rail services at the SARTC, and is compatible with the established urban character.

The purpose of the SA-GG Fixed Guideway Project is to:

- Improve Transit Connectivity within the Study Area;
- Relieve Congestion by Providing Alternative Mobility Options;
- Be Sensitive to the Character of the Community;
- Increase Transit Options;
- Improve Transit Accessibility to and within the Study Area; and

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<sup>1</sup> US Census 2000.

<sup>2</sup> Census: Journey to Work 2000.



- Provide Benefits to the Environment through Improved Air Quality.

The following summarizes the needs for the project:

- Missing Transit Links
- Congested Freeways and Arterials
- Limited Transportation Improvement Options
- Limited Travel Choices
- Significant Level of Transit Dependence
- Automobile Emissions Contribute to Unhealthy Air Quality

Chapter 1.0 of this EA/DEIR provides detailed descriptions of each purpose and need identified above.

## **Consideration of Alternatives**

The alternatives analysis process, which is described in detail in the SA-GG Fixed Guideway AA Report, consisted of four major steps: (1) Preliminary Definition of Alternatives, which included creating a range of conceptual alternatives that could potentially satisfy the Purpose and Need and meet the goals and objectives for the project; (2A) Initial Screening (Route Options) to eliminate route options with fatal flaws and those that do not satisfy the Purpose and Need and meet the goals and objectives of the project; (2B) Initial Screening (Technology Options) to eliminate technology options with fatal flaws and those that do not satisfy the Purpose and Need and meet the goals and objectives of the project and determine the reduced set of alternatives to be carried forward for detailed analysis; and (3) Detailed Evaluation and Environmental Impact Analysis of the reduced set of alternatives and selection of the LPA.

The alternatives analysis process included a comprehensive review of potential technology and alignment options. A wide range of public transit options were defined and investigated as candidate technologies. The initial alignment options were based on the need to establish an east-west transit corridor in the Study Area, and to improve the Study Area's regional transit connectivity by providing direct connections to existing and planned transit services (Metrolink and OCTA fixed route and BRT services) at SARTC and at the northeast corner of Harbor Boulevard and Westminster Avenue in the City of Garden Grove.

A summary discussion of the technologies and alignment options considered for the project, as well as the process followed to develop the reduced set of alternatives which are evaluated in this EA/DEIR are provided in Section 2.9 of this document. The SA-GG Fixed Guideway AA Report provides a full discussion of the alternatives development and analysis process and is available under separate cover at the City of Santa Ana Ross Annex or online at <http://www.ci.santa-ana.ca.us/transitvision>.

## Alternatives

The alternatives addressed in this EA/DEIR consist of a No Build Alternative, TSM Alternative and Streetcar Alternatives 1 and 2, and IOS-1 and IOS-2. The No Build Alternative is provided as a basis for comparing the build alternatives, each of which was specifically designed to respond to purpose and need, study goals, and community input.

Several other alternatives, including BRT routes along Santa Ana Boulevard and Civic Center Drive, were considered in the initial screening process, but were ultimately screened out. The BRT alternatives did not best meet the Purpose and Need or project goals and objectives and were less cost effective in terms of both capital and O&M costs per rider than Streetcar Alternative 1 and 2.

To reduce costs and impacts and to provide optimum accessibility, the TSM and streetcar alternatives would operate entirely or substantially in mixed-flow traffic within the existing urban street setting. While the streetcar alternatives utilize the PE ROW in the western portion of the Study Area, the TSM improvements do not since the PE ROW is unpaved and would require construction of a roadway in order to operate buses along it.

**TSM Alternative.** Consistent with FTA guidelines, the TSM Alternative enhances the mobility of existing transportation facilities and the transit network without construction of major new transportation facilities or significant, costly physical capacity improvements. It, therefore, emphasizes low cost (i.e., small physical) improvements and operational efficiencies such as focused traffic engineering actions, expanded bus service, and improved access to transit services. **Figure ES-3** is a map of the proposed routes for the TSM bus network enhancements. Included within the TSM Alternative are modifications and enhancements to selected bus routes in the Study Area; intersection/signal improvements; and bus stop amenity upgrades. The TSM Alternative would provide increased transit operations and service levels along roadways within the Study Area which currently support fixed route bus transit.

**Streetcar Alternative 1.** To connect the City of Garden Grove with SARTC in Santa Ana, Streetcar Alternative 1 would utilize the PE ROW, an abandoned and vacant rail right-of-way owned by OCTA, through the western half of its alignment and generally operate along Santa Ana Boulevard, and 4<sup>th</sup> Street on the way to SARTC. The 4.2-mile alignment for Streetcar Alternative 1 would include 12 stations. **Figure ES-4** shows the alignment and the station locations for Streetcar Alternative 1. It is anticipated that the streetcar system would operate seven days a week with 10-minute headways during peak periods and 15-minute headways during off-peak periods. The streetcars would be electrically powered using an overhead contact system and a series of Traction Power Substations (TPSSs) located intermittently along the alignment. Refer to the discussion below for further details regarding the key attributes and design options associated with Streetcar Alternative 1.

In Streetcar Alternative 1, the Downtown segment features couplet operations with the westbound streetcar alignment on Santa Ana Boulevard, and the eastbound streetcar alignment on 4<sup>th</sup> Street. For the eastbound transition from Santa Ana Boulevard to 4<sup>th</sup> Street,

a direct route would be provided from Santa Ana Boulevard along a public easement on the southern edge of Sasser Park to 4<sup>th</sup> Street, as illustrated in Figures 3.6-8 and 3.6-9 (pages 3-81 and 3-82).

**Streetcar Alternative 2.** Streetcar Alternative 2 would also utilize the PE ROW through the western half of its alignment and substantially operate along Santa Ana Boulevard, Civic Center Drive, and 5<sup>th</sup> Street along the eastern half of the alignment to SARTC. The operational characteristics of this alternative are identical to Streetcar Alternative 1. The differences between the two streetcar alternatives are the alignment and the fact that Streetcar Alternative 2 would have one additional station for a total of 13. **Figure ES-5** shows the alignment and the station locations for Streetcar Alternative 2. Refer to the discussion below for further details regarding the key attributes and design options associated with Streetcar Alternative 2.

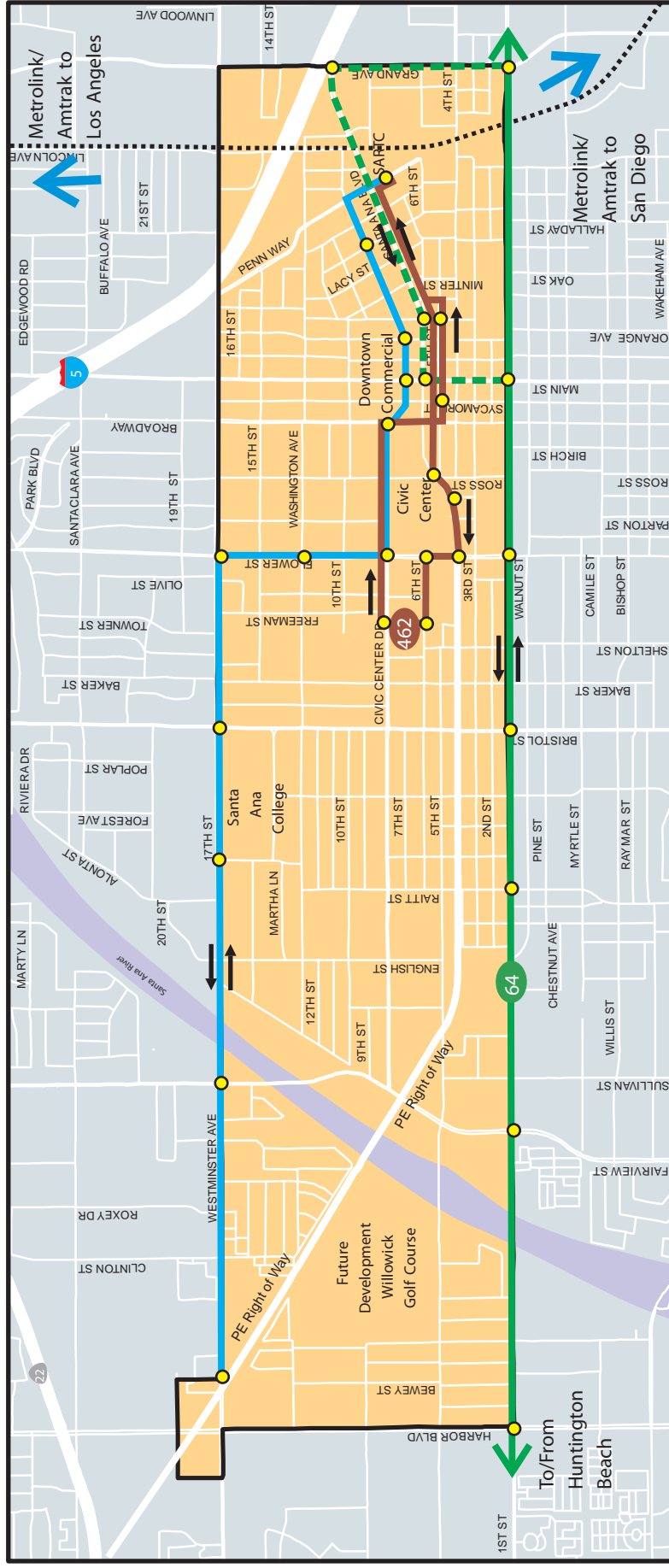
The Streetcar Alternative 2 alignment travels westbound through the Civic Center along Civic Center Drive between Spurgeon and Flower Streets. As part of the City of Santa Ana's Complete Streets Program, bicycle lanes are proposed for Civic Center Drive. Streetcar Alternative 2 would acquire additional right-of-way to accommodate the bicycle lane.

**Initial Operating Segments.** In response to funding and phasing issues raised by fiscal constraints identified during OCTA's long-range transportation planning process, IOSs, which are shorter segments of Streetcar Alternatives 1 and 2, were developed for the SA-GG Fixed Guideway Project. The intent of the IOSs is to identify starter segments that could be constructed and operated until funding is assembled to complete the projects. Both IOS-1 and IOS-2 would terminate at Raitt Station (Raitt Street and Santa Ana Boulevard) rather than Harbor Station (Harbor Boulevard and Westminster Avenue). Both would include the same project features and design options as their respective full alignment build alternatives between Raitt Street and SARTC. The alignments for IOS-1 and IOS-2 are shown in **Figure ES-6**.

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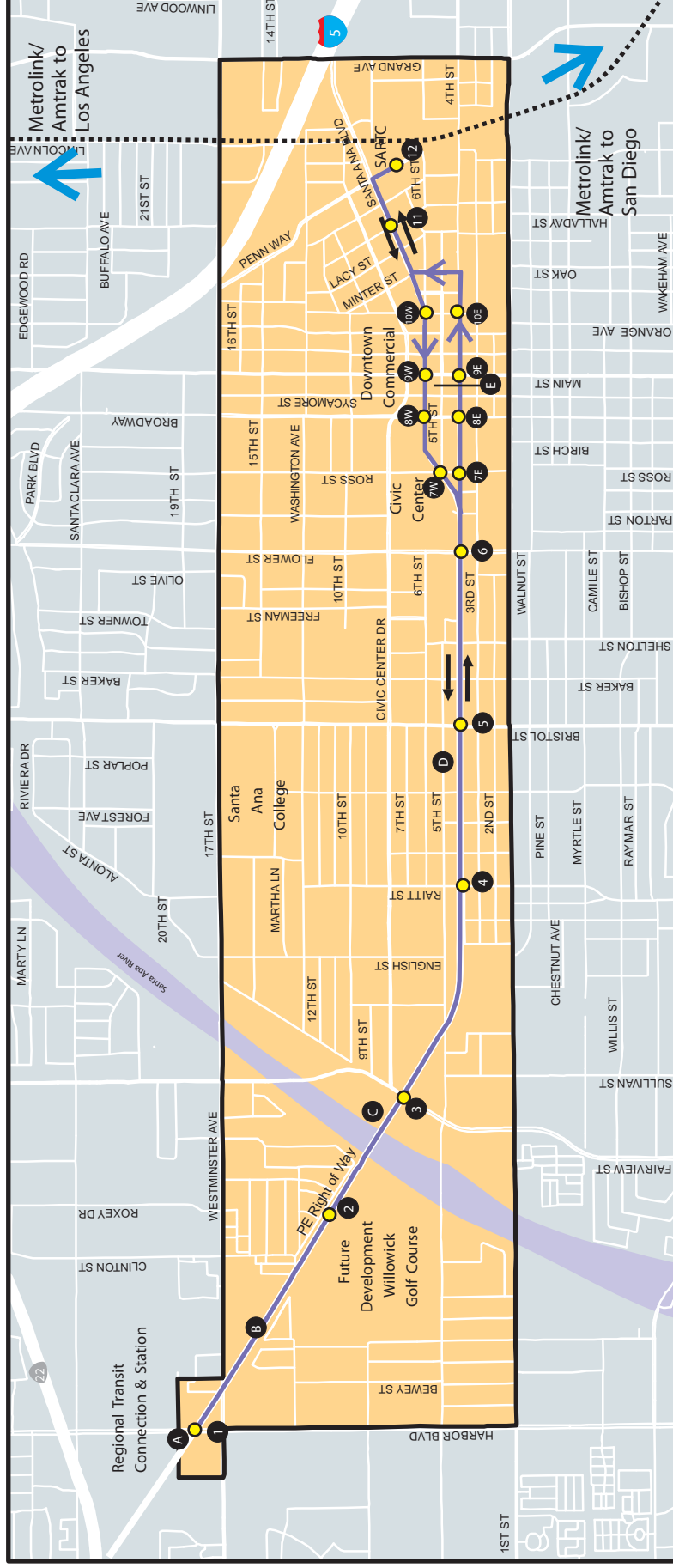
Transportation Systems Management (TSM) Alternative



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Streetcar Alternative 1 Alignment

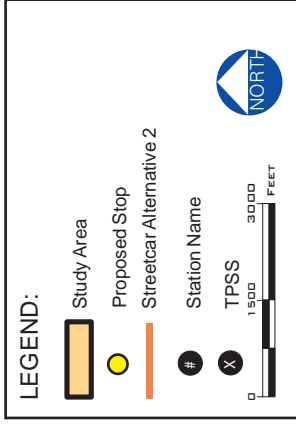


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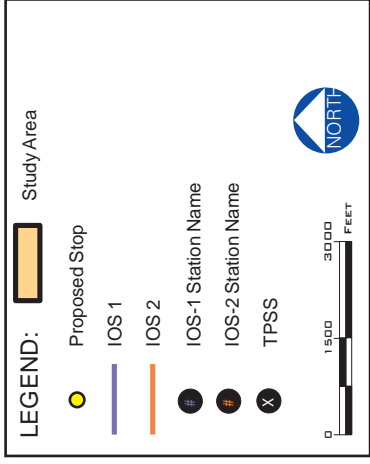
Streetcar Alternative 2 Alignment



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IOS-1 and IOS-2 Alignments



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## Key Attributes of the Streetcar Alternatives

**Western Terminus Design Option Elevated Crossing.** The western terminus for both of the streetcar alternatives is located at the northeast corner of Harbor Boulevard and Westminster Avenue; the transition from the PE ROW to the western terminus site will include an elevated crossing, as illustrated in Figure 2-9 (page 2-18) and Figure 3.6-6 (page 3-78).

**Santa Ana River Bridge.** Both streetcar alternatives would utilize the PE ROW and cross over the Santa Ana River. This alignment was once used for the Pacific Electric Railway red car system and the Old Pacific Electric Santa Ana River Bridge, now designated as a historic bridge, still remains. Currently, it is closed and has not been utilized by vehicles or pedestrians since 1950. The historic bridge is inadequate to accommodate the proposed fixed guideway due to its age, size, (it was constructed as a single track bridge), disrepair, undetermined structural integrity (both superstructure and foundation) and non-compliance with current building and safety requirements. As detailed in the Section 4(f) Evaluation, Appendix D, and Bridge Design Options Technical Memorandum, Appendix N, four design options were developed for Streetcar Alternatives 1 and 2 at the Santa Ana River Crossing. One was determined feasible for carrying forward for analysis in the EA/DEIR. The existing bridge would remain in its current location and condition and would not be affected by the proposed project. A new single-track bridge would be constructed immediately south of the existing bridge for the fixed guideway. Through the use of gates and signaling, the single-track bridge would accommodate bi-directional fixed guideway traffic.

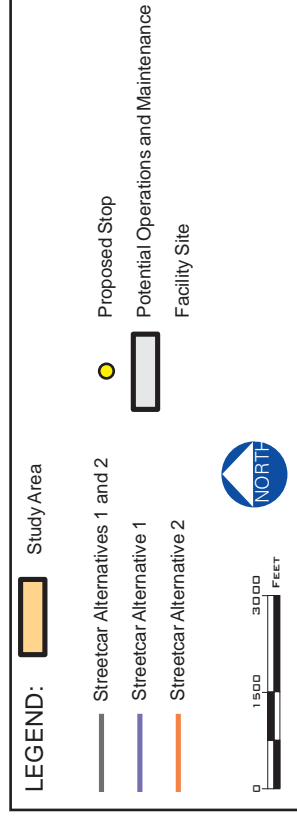
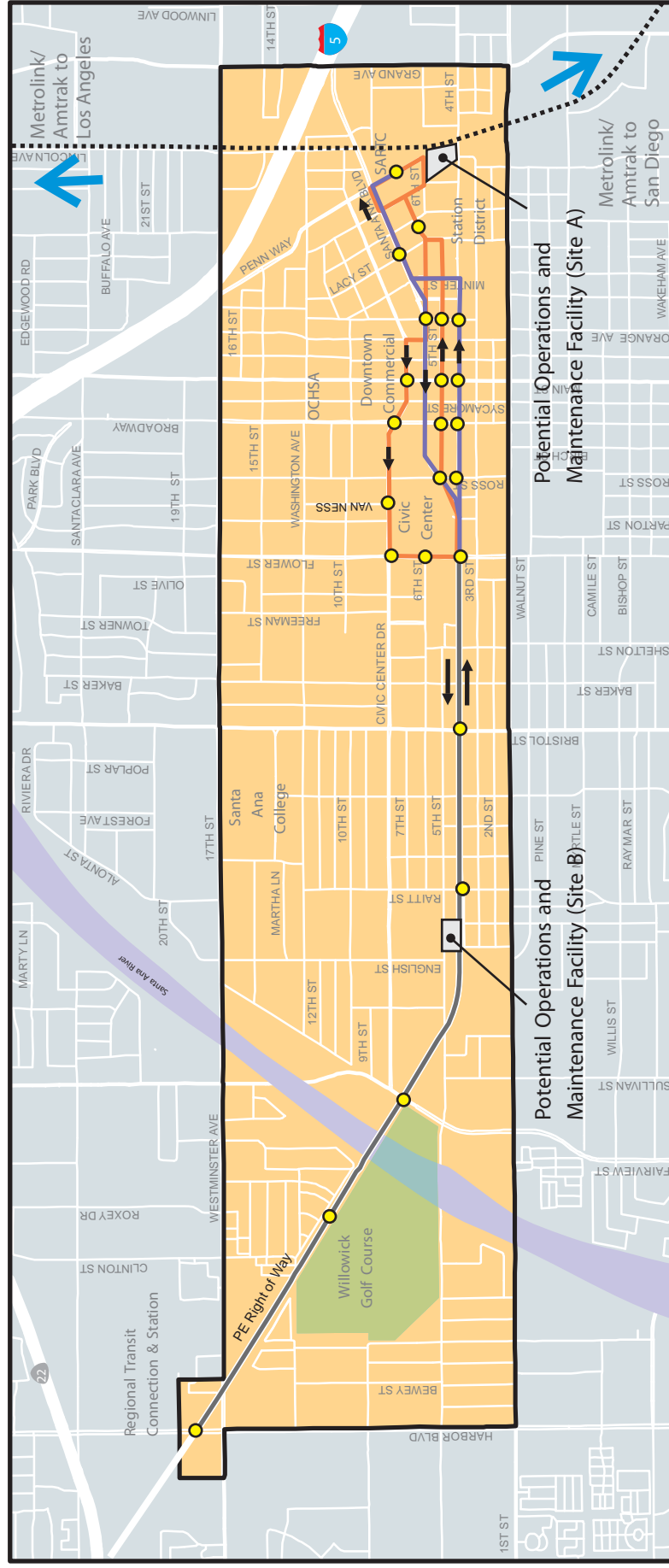
## Design Options

In response to public and agency input, design options were evaluated in the EA/DEIR for the Operations & Maintenance (O & M) Facility associated with Streetcar Alternatives 1 and 2 and IOS-1 and IOS-2 along with 4<sup>th</sup> Street Parking associated with Streetcar Alternative 1 and IOS-1.

**Operations & Maintenance (O & M) Facility Site Options.** Both Streetcar Alternatives 1 and 2 would require the construction of an O & M Facility for streetcar operations. An O & M Facility is a stand-alone building which would meet the maintenance, repair, operational and storage needs of the proposed streetcar system. The O & M Facility accommodates daily and routine vehicle inspections, interior/exterior cleaning of the streetcars, preventative (scheduled) maintenance, unscheduled maintenance, and component change-outs. The proposed facility would also provide a venue for parking vehicles that are not in use and for rebuilding components. Two candidates O & M Facility Sites have been identified for the Streetcar Alternatives, as shown in **Figure ES-7**:



Candidate Sites of Operations and Maintenance Facilities



- **O & M Facility Site A.** Site A is an irregularly shaped parcel near SARTC slightly larger than 2.2 acres, and bordered by 6<sup>th</sup> Street to the north, 4<sup>th</sup> Street to the south, the Metrolink tracks to the east, and various industrial and commercial businesses to the west. Currently used as a waste transfer and recycling center, this site contains one primary structure with the remainder of the site used for receiving and sorting recycling materials, as well as parking. Refer to Figures 2-12 and 2-13 (pages 2-23 and 2-24) for illustrations.
- **O & M Facility Site B.** Site B is a rectangular site slightly larger than 2.4 acres. It is located west of Raitt Street and is bordered by 5<sup>th</sup> Street to the north and the PE ROW to the south. Located in an area zoned for industrial and commercial uses, this site is comprised of three parcels, two of which contain existing businesses and a combination of industrial buildings. The third parcel contains several residences. Refer to Figures 2-14 and 2-15 (pages 2-25 and 2-26) for illustrations.

**Fourth Street Parking Scenarios.** The Streetcar Alternative 1 alignment would utilize 4<sup>th</sup> Street between Ross Street and Mortimer Street in the eastbound direction. From east of Ross Street to French Street, 4<sup>th</sup> Street has one travel lane in each direction with head-in diagonal parking along each side of the roadway. The diagonal parking, with vehicles exiting parking spaces by backing into the travel lane, is incompatible with streetcar operations. Three design scenarios were identified to address the diagonal parking on 4<sup>th</sup> Street as illustrated in Figure 2-16 (page 2-28) and described below.

- Scenario A: Convert the diagonal parking along the south side of 4<sup>th</sup> Street, between Ross Street and French Street, to parallel parking, widen the sidewalk along the south side from 12 feet to 20 feet, and replace streetlights and landscaping. A total of 26 on-street parking spaces would be removed under this scenario.
- Scenario B: Remove the diagonal parking along the south side of 4<sup>th</sup> Street, between Ross Street and French Street, widen the sidewalk along the south side from 12 feet to 28 feet, and replace streetlights and landscaping. A total of 77 on-street parking spaces would be removed under this scenario.
- Scenario C: Remove the diagonal parking along both sides of 4<sup>th</sup> Street, between Ross Street and French Street, widen the sidewalks along both sides from 12 feet to 28 feet, and replace streetlights and landscaping on both sides of the street. A total of 132 on-street parking spaces would be removed under this scenario.

## Ridership

Streetcar Alternative 1 is estimated to have the highest daily ridership, attracting between 3,770 and 8,400 riders. At the low end, this represents approximately 22 percent more riders than the TSM Alternative (3,085); at the high end, it represents approximately 172 percent more riders than with the TSM Alternative. IOS-1 is estimated to have approximately 2,012 to 4,490 daily riders, or approximately 47 percent fewer riders than the full alignment.

Streetcar Alternative 2 would perform second best with an estimate of between 3,020 and 6,425 daily riders. At the low end, this would be equivalent to the TSM Alternative; at the high end, it represents approximately 108 percent more riders than with the TSM Alternative. IOS-2 is estimated to have approximately 1,540 to 3,280 daily riders, or approximately 47 percent fewer than the full alignment.

## Financial Analysis and Evaluation

The SA-GG Fixed Guideway AA Report includes a detailed discussion of the anticipated costs associated with the proposed project. The capital, maintenance facility, and O & M costs are summarized below.

**Capital Cost Estimates.** The capital cost estimates presented in **Table ES-1** are based on plans that were developed to approximately five to ten percent level of design. The capital costs are, therefore, preliminary and will be refined during subsequent phases. At this early stage of the planning process, healthy contingencies are applied to the cost estimates. It is anticipated that the contingencies will be reduced substantially as the project progresses. High and low ranges are based on a range of contingency assumptions and whether or not various design options are included, such as the 4<sup>th</sup> Street parking scenarios.

TABLE ES-1: PRELIMINARY CAPITAL COST ESTIMATES (IN 2011 \$1,000,000)		
Alternative	Low	High
TSM	\$14.5	
Streetcar 1	\$197.4	\$209.7
Streetcar 2	\$217.0	\$228.1
IOS-1	\$146.5	\$158.8
IOS-2	\$166.2	\$177.2

Source: Cordoba Corporation, Santa Ana and Garden Grove Fixed Guideway Corridor Study Draft Alternatives Analysis Report, April 2014.

**Maintenance Facility Capital Cost Estimates.** Streetcar Alternatives 1 and 2 include the same two design options for the maintenance facility and the facilities proposed to be constructed on each of these sites are identical. The cost difference between the options is approximately \$11 million, and is related to the estimated cost to acquire the right-of-way. O & M Facility Site A would cost approximately \$37.4 million and O & M Facility Site B would cost approximately \$26.4 million.



**O & M Cost Estimates.** O & M cost projections are important for assessing cost effectiveness and to conduct financial planning. The TSM bus costs were estimated based on current transit cost information provided by OCTA. The O & M cost projections for the streetcar alternatives were based on operating cost per revenue hour derived from historical Portland and Seattle bus-to-streetcar O & M cost per revenue vehicle hour ratios. These ratios were averaged and applied to the OCTA bus cost per revenue vehicle hour. The estimated O & M cost for each build alternative is summarized in **Table ES-2**.

<b>TABLE ES-2: ANNUAL O &amp; M COST ESTIMATES</b>				
	<b>TSM</b>	<b>TSM - SARTC TO HARBOR ROUTE ONLY</b>	<b>Streetcar Alternative 1</b>	<b>Streetcar Alternative 2</b>
Annual Revenue Miles	1,061,590	419,120	332,015	363,459
Annual Revenue Hours	105,664	35,152	26,364	32,656
Peak Vehicles	22	8	6	7
Annual O & M Costs	\$13,282,258	\$5.1M	\$4,933,284	\$6,110,656
Cost Per Revenue Mile	\$12.51	\$12.07	\$14.86	\$16.81
Cost Per Revenue Hour	\$125.70	\$143.94	\$187.12	\$187.12

Source: Cordoba Corporation, Santa Ana and Garden Grove Fixed Guideway Corridor Study Draft Alternatives Analysis Report, April 2014.

## Summary of Impacts

**Table ES-3** summarizes the potential adverse effects associated with the implementation of Streetcar Alternatives 1 and 2. No impacts would occur from the implementation of the TSM Alternative. The information presented in Table ES-3 is a summary of the analysis contained in Chapter 3.0 of this EA/DEIR.

As illustrated in Table ES-3, adverse effects associated with hazardous materials, operational noise (moderate), safety, and construction air quality are anticipated to occur prior to incorporation of mitigation measures (CEQA only). Each of these adverse effects would result from implementation of Streetcar Alternatives 1 and 2, IOS-1, and IOS-2. Mitigation measures would eliminate the adverse effects associated with hazardous materials and safety. Moderate effects associated with operational noise and identified in the EA/DEIR would remain after the implementation of mitigation, however these effects would not be considered adverse (see Section 3.11). In addition, significant construction air quality impacts under CEQA would remain after the implementation of mitigation; however, it should be noted that construction-related air quality impacts would be temporary and not adverse under NEPA after the implementation of mitigation. No adverse effects were identified for the TSM Alternative.

In addition to mitigation measures, design features and best management practices have been incorporated into the proposed project. These include a Traffic Management Plan, a Noise and Vibration Control Plan, and a number of features to manage water quality. Refer to Chapter 3.0 of the EA/DEIR for detailed discussions of these features and best management practices.

**TABLE ES-3: SUMMARY OF EFFECTS, MITIGATION MEASURES, AND EFFECTS AFTER MITIGATION**

Environmental Resource/Effect	Impact Before Mitigation?	Mitigation Measures	Impact After Mitigation?	
			NEPA	CEQA
Coastal Zones	No	None Required	No	No
Wetlands and Navigable Waterways	No	None Required	No	No
Ecologically Sensitive Areas	No	None Required	No	No
Endangered and/or Threatened Plant and Animal Species	No	None Required	No	No
Land Use and Zoning	No	None Required	No	No
Land Acquisition and Displacements	No	None Required	No	No
Section 4(f) Resources	No	None Required	No	No
Community Effects and Environmental Justice	No	None Required	No	No
Visual Quality	No	None Required	No	No
Cultural Resources	No	<p><b>CR1</b> A qualified principal investigator who meets the Secretary of the Interior's professional qualification standards for an archeologist shall be responsible for managing Native American archaeological resources and human remains. The qualified principal investigator shall appoint an archaeological monitor to be present for ground-disturbing activities that could encounter undisturbed soils. If the qualified principal investigator determines that Native American archaeological resources and human remains are likely present, then both an archeological monitor and a Native American monitor identified by the principal investigator shall be present. The Native American monitor shall be a Native American identified by the applicable tribe and/or the Native American Heritage Commission. The timing and duration of the monitoring shall be determined by the principal investigator based on the sensitivity of exposed sediments.</p> <p>Prior to initiation of earth-disturbing activities that could encounter undisturbed soils; the archaeological monitor shall conduct a brief awareness training session for all construction workers and supervisory personnel. The training shall explain the importance of and legal basis for the protection of significant archaeological resources. Each worker shall learn the proper procedures to follow in the event that cultural resources or human remains/burials are uncovered. These procedures include work curtailment or redirection and the immediate contact of the site supervisor and the archaeological monitor. It is recommended</p>	No	No

**TABLE ES-3: SUMMARY OF EFFECTS, MITIGATION MEASURES, AND EFFECTS AFTER MITIGATION**

Environmental Resource/Effect	Impact Before Mitigation?	Mitigation Measures	Impact After Mitigation?	
			NEPA	CEQA
		<p>that this worker education session include visual images of artifacts that might be found in the project vicinity, and that the session take place on-site immediately prior to the start of ground-disturbing activities.</p> <p>If archaeological resources or human remains are encountered during construction, all work shall cease in the area of potential affect until the find can be addressed. The Orange County Coroner's Office shall be contacted pursuant to procedures set forth in Public Resources Code Section 5097 et seq. and Health and Safety Code in Sections 7050.5, 7051, and 7054 with respect to treatment and removal, Native American involvement, burial treatment, and re-burial, if necessary. A fifty-foot buffer, or more if deemed appropriate by the principal investigator, shall be established and work outside the buffer may resume.</p> <p>Areas that would not encounter undisturbed soils and would therefore not be required to retain an archaeologist shall demonstrate non-disturbance to the City of Santa Ana through the appropriate construction plans, as-built drawings, or geotechnical studies prior to any earth-disturbing activities. Impacts to any significant resources shall be mitigated to a less-than-significant level through data recovery or other methods determined adequate by the archaeologist and that are consistent with the Secretary of the Interior's Standards for Archaeological Documentation. Any identified cultural resources shall be recorded on the appropriate DPR 523 form and filed with the SCCIC.</p>		
Geology, Soils, and Seismicity	No	None Required	No	No

**TABLE ES-3: SUMMARY OF EFFECTS, MITIGATION MEASURES, AND EFFECTS AFTER MITIGATION**

Environmental Resource/Effect	Impact Before Mitigation?	Mitigation Measures	Impact After Mitigation?	
			NEPA	CEQA
Hazardous Materials	Yes	<p><b>HAZ1</b> If Operations &amp; Maintenance (O &amp; M) Facility Site A is chosen to service transit vehicles, the City of Santa Ana shall require a Phase I Environmental Site Assessment to be prepared for the following site:</p> <ul style="list-style-type: none"> <li>• Madison Materials located at 1035 East 4<sup>th</sup> Street</li> </ul> <p>If O &amp; M Facility Site B is chosen to service transit vehicles, a Phase I Environmental Site Assessment shall be prepared for the following sites:</p> <ul style="list-style-type: none"> <li>• All Car Auto Parts located at 2002 West 5<sup>th</sup> Street</li> <li>• SA Recycling located at 2006 West 5<sup>th</sup> Street</li> <li>• American Auto Wrecking located at 1908 West 5<sup>th</sup> Street</li> </ul> <p>The assessment shall be prepared by a Registered Environmental Assessor. The assessment shall be prepared in accordance with State standards/guidelines to evaluate whether the site or the surrounding area is contaminated with hazardous substances from the potential past and current uses including storage, transport, generation, and disposal of toxic and hazardous waste or materials. If hazardous materials are identified in the Phase I Environmental Site Assessment, a Phase II Environmental Site Assessment would be completed to identify the extent of contamination and the procedures for remediation. The Phase II Environmental Site Assessment shall be approved by the California Department of Toxic Substances Control.</p>	No	No
Traffic and Parking	No	None Required	No	No
Noise and Vibration	Yes	<p><b>N1</b> The City of Santa Ana shall request a horn-sounding exemption from the California Public Utilities Commission for the crossing at 5<sup>th</sup> and Fairview Streets. The exemption shall provide justification and demonstrate that safety would not be compromised. In lieu of the warning horn, supplemental safety measures (e.g., four-quad gates, roadway median barriers on grade crossing approaches, and pedestrian gates) would be implemented. If a horn sounding exemption is approved and established, warning horns would not be sounded except under an emergency situation.</p> <p><b>N2</b> When practical, the contractor shall design special trackwork elements, such as turn-outs, switches, and cross-over to be located at least 600 feet away from sensitive receptors. If this cannot be</p>	No	No

**TABLE ES-3: SUMMARY OF EFFECTS, MITIGATION MEASURES, AND EFFECTS AFTER MITIGATION**

Environmental Resource/Effect	Impact Before Mitigation?	Mitigation Measures	Impact After Mitigation?	
			NEPA	CEQA
		<p>achieved, then special switch devices, such as spring frogs or movable point frogs shall be utilized. A frog device is used where two rails cross. The frog is designed to ensure the wheel crosses the gap in the rail without “dropping” into the gap.</p> <p><b>N3</b> If O &amp; M Facility Site B is selected by the City of Santa Ana, the contractor shall construct a noise barrier at the land uses identified as Noise Sensitive Areas 9 and 10. For receptors in Noise Sensitive Area 9, the noise barrier shall be at least 10 feet high and extend for 400 feet along the northern property edge of the proposed operations and maintenance facility. For receptors in Noise Sensitive Area 10, the noise barrier shall be at least 8 feet high and extend for 225 feet along the southern boundary of the PE ROW adjacent to 4<sup>th</sup> Street. The design of the noise barriers shall be identified on project plans prior to issuance of building permits.</p>		
Air Quality	No	None Required	No	No
Energy Resources	No	None Required	No	No
Water Quality, Hydrology, and Floodplains	No	The City of Santa Ana is required by federal law to obtain necessary permits from the Regional Water Quality Control Board (Section 401 permit) and US Army Corps of Engineers (Section 404 permit) for operational activities affecting waters of the US.	No	No
Safety and Security	Yes	<p><b>SAF1</b> Under Streetcar Alternatives 1 and 2 and the IOS Alternatives, the City of Santa Ana shall coordinate with the Santa Ana Unified School District and Santa Ana Police Department regarding safety at schools adjacent to the alignment. The collaborative effort between the City and interested parties shall develop and teach rail safety measures to students and parents. Other precautionary safety features shall include signs, gated crossing, and crossing and traffic signals to create a safe environment for parents and students during pick-up/drop-off times.</p> <p><b>SAF2</b> The contractor shall install surveillance cameras along the pedestrian walking paths within the PE ROW and at pedestrian gates to adjacent neighborhoods. Police security personnel shall be responsible for surveillance camera monitoring.</p> <p><b>SAF3</b> The contractor shall install emergency call boxes along the pedestrian walking paths within the PE ROW.</p> <p><b>SAF4</b> The contractor shall design the lighting plan for the pedestrian walking paths within the PE ROW to eliminate shadows or dimly lit areas to the greatest extent feasible.</p>	No	No

**TABLE ES-3: SUMMARY OF EFFECTS, MITIGATION MEASURES, AND EFFECTS AFTER MITIGATION**

Environmental Resource/Effect	Impact Before Mitigation?	Mitigation Measures	Impact After Mitigation?	
			NEPA	CEQA
		<p><b>SAF5</b> Within the PE ROW, the contractor shall fence the track area, and appropriate signage and audible and visual warning devices shall be installed at gate openings.</p> <p><b>SAF6</b> If Mitigation Measures <b>SAF2</b> through <b>SAF4</b> are considered infeasible, then the Willowick Station shall not be made operational by the contractor until an appropriate public access point from the PE ROW is created as part of the Willowick Golf Course redevelopment.</p>		
Construction	Yes	<p><b>AQ1</b> During the construction phase, the contractor shall use Tier 4 or higher off-road construction equipment with higher air pollutant emissions standards.</p> <p>Refer to Water Quality, Hydrology, and Floodplains above for information related to water resources permits.</p>	No	Yes
Secondary and Cumulative	Yes (Construction - Air Quality)	See Mitigation Measure <b>AQ-1</b> .	No	Yes

Source: Terry A. Hayes Associates Inc., 2014.

## **Areas of Controversy and Issues to be Addressed**

The City of Santa Ana has hosted a number of meetings with the community and local businesses to solicit questions and concerns related to the alternatives. It is anticipated that potential areas of controversy would be related to the removal on-street parking on Fourth Street, the reclamation of OCTA right-of-way used by Templo Calvario Church patrons for parking, and selection of the O & M Facility site. In addition to the decisions regarding the selection of the preferred alternative, design options, interim operable segments, and maintenance facility site, various design and construction-related issues and special activities will need to be addressed as planning and design of the project proceed.

Site-specific studies will be required to develop precise impact avoidance and mitigation plans and to ensure regulatory compliance. These include but are not limited to the following:

- An Archaeological and Paleontological Resources Monitoring and Mitigation Plan, which will specify the appropriate mitigation measures to be implemented in the event archaeological resources, fossil, or human remains are identified during ground disturbance. The Plan would allow for the salvage of potentially scientifically significant fossils and associated data that otherwise might be lost to earth-moving and excavation. The preparation of the Plan is included as a mitigation measure.
- An Unanticipated Discovery Plan regarding potential effects to undiscovered cultural resources.
- Phase I Environmental Site Assessment for the selected O & M Facility. The preparation of this assessment is included as a mitigation measure.
- Additional geologic/seismic studies for regulatory compliance related to the design of the Santa Ana River Bridge. These studies would support final design of the bridge to avoid/minimize the risk of fault ruptures.
- A Transportation Management Plan.
- Best management practices to ensure safety and security, access for emergency vehicles, reduce surface runoff and water pollution, noise, erosion, and minimize construction effects.

Stakeholder, agency, and community coordination will be required during advanced design, including but not limited to the following:

- Coordination with the United States Army Corps of Engineers, Santa Ana Regional Water Quality Control Board, Orange County Department of Public Works, and Orange County Parks to minimize impacts at the Santa Ana River crossing.
- Coordination with the Santa Ana Unified School District and Santa Ana Police Department regarding safety at schools adjacent to the alignment.
- Coordination with security personnel at the Ronald Reagan Federal Building and United States Courthouse.
- Coordination with property owners/agencies regarding the construction schedule

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**Santa Ana/Garden Grove Fixed-Guideway Project  
Summary of Public Outreach and Comment for Environmental Review**

The Santa Ana/Garden Grove (SA/GG) Fixed-Guideway Environmental Assessment/ Draft Environmental Impact Report (EA/DEIR) was released to the public May 23, 2014, and the 45-day public comment period concluded on July 7, 2014. The cities implemented an extensive outreach campaign as follows:

- 3,796 postcards were prepared and sent to all properties within 500 feet of the area of potential effect (multi-residential and single-unit properties, including the owner and tenant of each property) as well as to key stakeholders who had previously participated in the environmental process. The postcards provided details of the three scheduled meetings in English, Spanish, and Vietnamese.
- A press release was sent out via Nixle, and an announcement was made by the City of Santa Ana's (City) City Manager at a publically televised City Council Meeting at the start of the 45-day review period.
- Seven news outlets, including the OC Reporter and the Orange County Register, provided print and web coverage on the SA/GG Fixed-Guideway Project and the scheduled public meetings.
- Information was placed prominently on the homepage of the City's website, eliciting 100,000 views in the first 30 days of the 45-day review period.
- To encourage attendance, staff contacted key stakeholders, groups, and neighborhood leaders (including those outside of the 500-foot envelope, such as the Logan and French Park neighborhoods), and sent out an e-news release to over 2,000 neighborhood leaders in advance of the meetings.
- A copy of the SA/GG Fixed-Guideway AA/DEIR was placed at eight locations, including six in the City, one location in the City of Garden Grove, one location at the Orange County Transportation Authority, and a digital copy online for the public review.
- Three public meetings were held along the potential streetcar route at various times to accommodate as many people as possible. Information and translation services were provided in English, Spanish, and Vietnamese.
- Flyers in all three languages were also placed at every community and senior center in the City, providing information on where to find the AA/DEIR, the website address, the 45-day review period, and how to submit comments.
- Notice of the public meetings and calls for public comment were also promoted on the City's social media channels several times throughout the 45-day public review period.

- To encourage input, flyers on the 45-day review period and calls for comments were also distributed as handouts at neighborhood meetings throughout the 45-day review period.
- Information on the SA/GG Fixed-Guideway Project was provided to the Santa Ana Unified School District (SAUSD) Public Information Office and various SAUSD staff, to extend notification to those interested.

As of the close of Public Review, comments were received from the following agencies:

- Santa Ana Historical Preservation Society (letter and email) – support for Streetcar Alternative 1.
- US General Services Agency (GSA) (email) – support for Streetcar Alternative 1; opposition to Streetcar Alternative 2.
- California Native American Heritage Commission (letter) – reiterating measures needed to protect sensitive archaeological resources.
- Caltrans (letter) – no comment; will continue to follow project.

Public comments were also received from the following groups/residents:

- Downtown, Inc. (email) – support for Streetcar Alternative 1
- Santa Ana Community & Business Alliance (letter):
  - Opposition to the “Preferred Option” signed by 85 residents and businesses
  - Opposition to the “Preferred Option” and request for Equity Analysis signed by 98 residents

Public comment totals from the Public Meetings are as follows:

- Four postcards from residents
- Public Meeting #1: Verbal comments from six individuals
- Public Meeting #2: Verbal comments from four individuals
- Public Meeting #3: Verbal comments from 24 individuals

Comments generally fell into the following categories:

- General community support for a streetcar system
- Concern about the duration and potential impacts of construction on Downtown Santa Ana businesses
- Concern about loss of on-street parking
- Opportunities to stimulate economic development along 5th Street in conjunction with the streetcar
- 4th Street versus 5th Street

## Santa Ana/Garden Grove Fixed-Guideway Project Locally

### Preferred Alternative Decision Report:

## **EXECUTIVE SUMMARY**

### **Background**

In 2009 the cities of Santa Ana and Garden Grove initiated the Alternatives Analysis (AA) and Environmental Review (Go Local Program Step 2) for the Santa Ana-Garden Grove (SA-GG) Fixed Guideway Corridor. In the study process followed by the cities of Santa Ana and Garden Grove in completing the requirements of the Go Local Step 2 work program, the AA and the environmental review were conducted concurrently. The AA was performed in compliance with the requirements of the Federal Transit Administration and the environmental review process satisfied the requirements of both the National Environmental Policy Act (NEPA) and the California Environmental Quality Act (CEQA).

The purpose of the SA-GG Fixed Guideway Project is to:

- Improve Transit Connectivity within the Study Area;
- Relieve Congestion by Providing Alternative Mobility Options;
- Be Sensitive to the Character of the Community;
- Increase Transit Options;
- Improve Transit Accessibility to and within the Study Area; and
- Provide Benefits to the Environment through Improved Air Quality.

This LPA Decision Report provides a summary of the efforts undertaken as part of the planning process to define, screen and evaluate options and alternatives for the Santa Ana-Garden Grove Fixed Guideway Corridor, and documents the recommendation for a Locally Preferred Alternative.

### **Summary of Alternatives Analysis**

The alternatives analysis process consisted of four major steps: (1) Preliminary Definition of Alternatives, (2A) Initial Screening (Route Options), (2B) Initial Screening (Technology Options), and (3) Detailed Evaluation and Environmental Impact Analysis of the reduced set of alternatives and selection of the LPA.

A wide range of potentially suitable technology options for the SA-GG Fixed Guideway Corridor were investigated. A variety of alignment options were narrowed down to six that based on the need to establish an east-west transit corridor in the Study Area, and to improve the Study Area's regional transit connectivity by providing direct connections to existing and planned transit services (Metrolink and OCTA fixed route and BRT services) at SARTC and at the northeast corner of Harbor Boulevard and Westminster Avenue in the City of Garden Grove.

Initial screening was performed to identify which of the conceptual alternatives best satisfied the Purpose and Need and project goals and objectives and appeared to be most

feasible. The initial screening process consisted of two stages – an early qualitative analysis of the conceptual alternatives resulting in the screening of route options; and, a subsequent quantitative analysis of the conceptual alternatives resulting in the screening of technology options.

A detailed technical evaluation was performed on the reduced set of alternatives resulting from the initial screening. The reduced set of alternatives included:

- TSM Alternative
- Streetcar Alternative 1 – Santa Ana Boulevard/4<sup>th</sup> Street
- Streetcar Alternative 2 – Santa Ana Boulevard/Civic Center Drive/5<sup>th</sup> Street

Upon completion of the detailed technical evaluation Streetcar Alternative 1 was found to have the highest daily ridership and serve the greatest number of transit dependent household. Land uses along the alignment provided the densities and development patterns to support a high-capacity transit system, and the city's adopted land use plans reinforced these patterns and encouraged the types of development/redevelopment needed to support the system. Streetcar Alternative 1 also most effectively served key destinations within the study area.

The TSM Alternative ranked first among the alternatives in terms of Environmental Responsibility because it was not estimated to affect any conditions in the environment. The TSM Alternative also ranked first in terms of ease of constructability and lowest capital cost.

Overall, Streetcar Alternative 1 was ranked first among the alternatives.

## **Summary of Environmental Review**

The reduced set of alternatives was also subjected to an environmental evaluation. An Environmental Assessment/Draft Environmental Impact Report (EA/DEIR) was prepared to meet the requirements of the National Environmental Policy Act (NEPA) and California Environmental Quality Act (CEQA), concurrent with the preparation of the AA.

Adverse effects associated with hazardous materials, operational noise (moderate), safety, and construction air quality were identified to occur with Streetcar Alternatives 1 and 2 prior to incorporation of mitigation measures (CEQA only). Mitigation measures would eliminate the adverse effects associated with hazardous materials and safety. Moderate effects associated with operational noise and identified in the EA/DEIR would remain after the implementation of mitigation, however these effects would not be considered adverse. In addition, significant construction air quality impacts under CEQA would remain after the implementation of mitigation; however, construction-related air quality impacts would be temporary and not adverse under NEPA after the implementation of mitigation. No adverse effects were identified for the TSM Alternative.

## Summary of Public Outreach

Meaningful public engagement is an important component of the Santa Ana-Garden Grove Fixed Guideway Project. From the outset of the project and throughout the process, the cities shared information with and sought input from the community, elected officials, and key stakeholders through meetings, dissemination of informational materials, a project website.

In support of the environment review process and the 45-day public review period for the EA/DEIR, the cities of Santa Ana and Garden Grove, in coordination with OCTA, conducted three Public Review Meetings for the Santa Ana-Garden Grove Fixed Guideway EA/DEIR in accordance with the requirements of CEQA.

The Public Review Meetings, held between June 14 and June 19, 2014, combined an open house with a formal presentation and comment period, and provided members of the community forums through which to comment on the EA/DEIR. Trilingual (English/Spanish/Vietnamese) materials, interpretations and transcriptionists were available at public meetings. Approximately 120 to 150 people attended the public meetings. The following summarizes the comments received during the Public Review Period, (oral and written) that are germane to the selection of the Locally Preferred Alternative.

- General community support for a streetcar system
- Concern about the duration and potential impacts of construction on local Downtown businesses
- Concern about loss of on-street parking
- Interest in economic development stimulus in conjunction with the streetcar, particularly on 5<sup>th</sup> Street
- Expressed preferences for either 4<sup>th</sup> Street or 5<sup>th</sup> Street.

## Recommended Locally Preferred Alternative (LPA)

Based on the results of the detailed technical evaluation of the alternatives, the findings of the environmental review, and the comments received during the public review period, the recommended Locally Preferred Alternative (LPA) is Streetcar Alternative 1. The following summarizes the key features of the LPA.

**Technology (Mode):** It is recommended that transit service be provided by modern streetcars operating within existing streets in mixed-flow traffic (the streetcar will share the travel lane with other vehicles), consistent with the Streetcar Alternatives analyzed in the EA/DEIR. For planning purposes, the Siemens S70 short vehicle was assumed since it is currently the only vehicle approved by the California Public Utilities Commission (CPUC) for streetcar operations in California.

Power would be supplied via an overhead electric line. Other emerging streetcar technologies, including “wireless” and other vehicle options that may be acceptable to the CPUC will also be considered as they become available during the project development process.

**Alignment (Route):** The recommended alignment (see Figure ES-1) is consistent with Streetcar Alternative 1, with the streetcar traveling westbound from eastern terminus station at SARTC in Santa Ana, along Santa Ana Boulevard, entering the Pacific Electric Right-of-way (PE ROW) west of Raitt Street and continuing to the western terminus station in the northwest quadrant of the intersection of Harbor Boulevard and Westminster Avenue in Garden Grove. Eastbound, the streetcar will travel along the PE ROW and Santa Ana Boulevard to approximately Parton Street, where the route will exit Santa Ana Boulevard and continue along a public easement on the south edge of Sasscer Park. The streetcar will exit Sasscer Park onto 4<sup>th</sup> Street and continue along 4<sup>th</sup> Street to Mortimer Street, where it will turn north and reconnect with Santa Ana Boulevard, continuing east to the eastern terminus station at SARTC. The route is approximately 4.1 miles in length. Six traction power substations have been identified along the route to distribute electrical power to the vehicles.

**Station Locations:** In addition to the two terminus stations at SARTC on the east and Harbor Boulevard/Westminster Avenue on the west, there will be station stops at 10 other locations/cross streets along the route:

1. Harbor Boulevard and Westminster Avenue
2. Willowick
3. Fairview Street and PE ROW
4. Raitt St. and Santa Ana Boulevard
5. Bristol St. and Santa Ana Boulevard
6. Flower St. and Santa Ana Boulevard

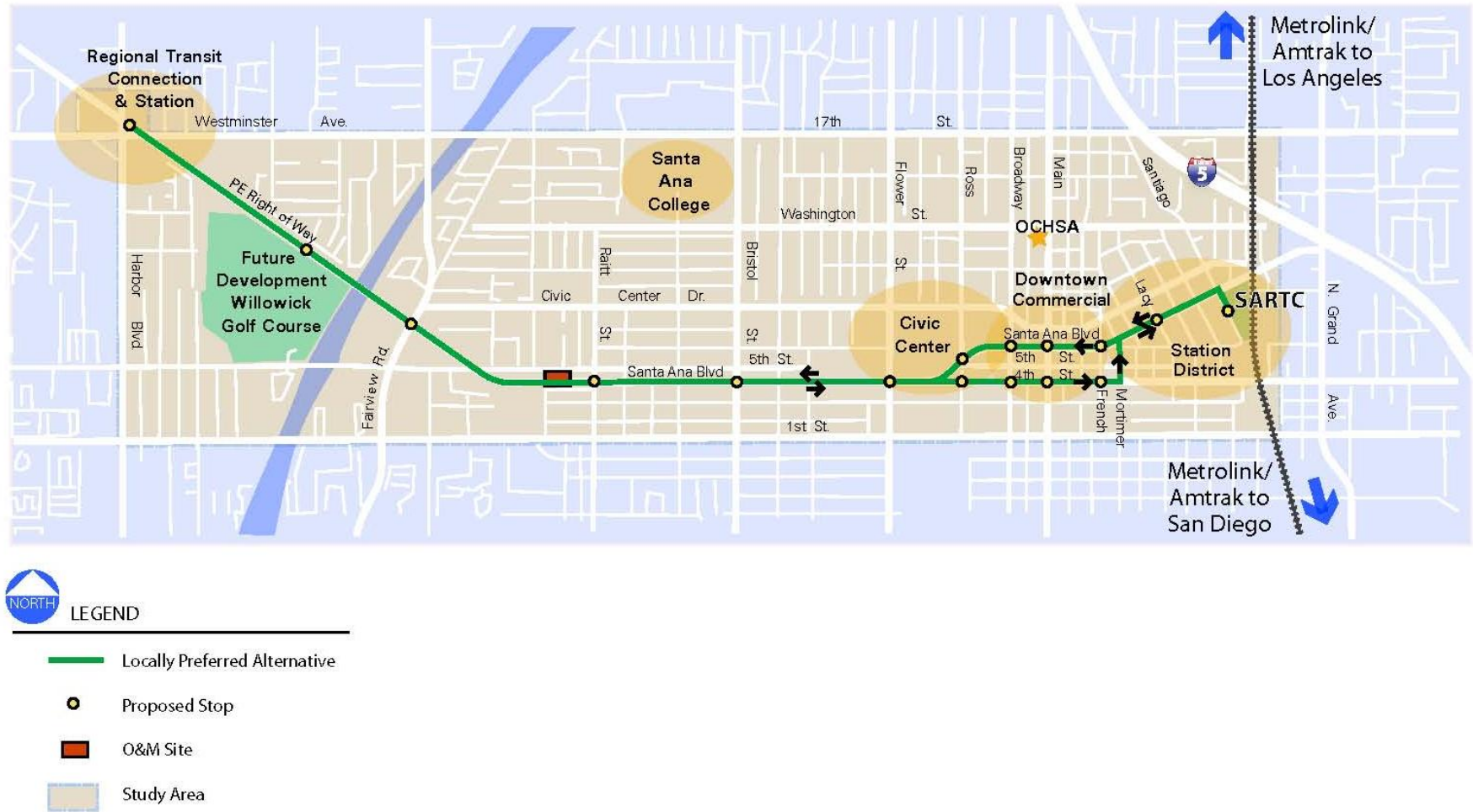
*Couplet Section (Eastbound)*

7. Sasscer Park
8. Broadway and 4<sup>th</sup> Street
9. Main St. and 4<sup>th</sup> Street
10. French St. and 4<sup>th</sup> Street
11. Santa Ana Boulevard and Lacy Street
12. SARTC

*Couplet Section (Westbound)*

7. Ross Street and Santa Ana Boulevard
8. Broadway and Santa Ana Boulevard
9. Main Street and Santa Ana Boulevard
10. French Street and Santa Ana Boulevard

Figure ES-1: Recommended Locally Preferred Alternative



**Operations & Maintenance (O&M) Facility Location:** The preferred location for the maintenance facility for the streetcar is between the PE ROW and 5<sup>th</sup> Street, west of Raitt Street (between Daisy Avenue and English Street. This is Site B as examined in the EA/DEIR.

**4<sup>th</sup> Street Parking:** Diagonal parking is currently provided along 4<sup>th</sup> Street between Ross Street and French Street. It is recommended that, with implementation of the streetcar, the diagonal parking along the south side of 4<sup>th</sup> Street be replaced by parallel parking (4<sup>th</sup> Street Parking Scenario A), resulting in the loss of approximately 26 to 30 parking spaces along the roadway segment. The sidewalks along the south side of 4<sup>th</sup> Street will be widened from 12 feet to 20 feet.

Section 5.5 provides a more detailed discussion of the physical and operating characteristics of the recommended LPA.





COMMITTEE TRANSMITTAL

**September 22, 2014**

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

*WK*

**From:** Wendy Knowles, Clerk of the Board

**Subject:** Measure M2 Environmental Cleanup Program – 2014 Tier 1  
Water Quality Grant Funding Allocations

Regional Planning and Highways Committee Meeting of September 15, 2014

**Present:** Directors Bates, Donchak, Harper, Lalloway, Miller, Murray,  
Nelson, and Spitzer

**Absent:** None

**Committee Vote**

This item was passed by the Members present.

**Committee Recommendation**

Approve the Tier 1 programming recommendations for \$2,834,361 of Measure M2 Environmental Cleanup Program funding.





**September 15, 2014**

**To:** Regional Planning and Highways Committee

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

**Subject:** Measure M2 Environmental Cleanup Program – 2014 Tier 1 Water Quality Grant Funding Allocations

### **Overview**

The Orange County Transportation Authority's Environmental Cleanup Program, Project X, provides for allocation of Measure M2 revenues to improve overall water quality from transportation-generated pollution. The Tier 1 Grant Program fiscal year 2014-15 call for projects was issued on March 17, 2014. Evaluations have been completed, and a priority list of projects for funding is presented for review and approval.

### **Recommendation**

Approve the Tier 1 programming recommendations for \$2,834,361 of Measure M2 Environmental Cleanup Program funding.

### **Background**

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

The Tier 1 Grant Program is designed to remove the more visible forms of pollutants, such as litter and debris, which collect on the roadways and in the catch basins (storm drains) prior to being deposited in waterways and the ocean. These funds are available for Orange County local governments to purchase equipment and upgrades for existing catch basins and other related

best management practices (BMP). Examples include screens, filters, and inserts for catch basins, as well as other devices designed to remove the above mentioned pollutants. In September 2013, the Board approved funding of 19 projects, totaling \$2,831,240, for the third funding cycle for the Tier 1 Grant Program based on the scoring criteria.

### ***Discussion***

OCTA issued the fiscal year (FY) 2014-15 Tier 1 call between March 17 and May 16, 2014. Twenty-two applications were submitted from 19 cities and the County of Orange. Applications were reviewed and evaluated by OCTA staff and the Vice Chairman of the Environmental Cleanup Allocation Committee (ECAC).

The applications were ranked based on the following Board-approved criteria: (1) the highest priority project from each agency; (2) identification of the affected waterway and the pollutant(s) treated by the proposed BMP; (3) an operations and maintenance plan adequate to maintain the efficiency of the proposed BMP for regularly scheduled inspections, maintenance, and cleaning/disposal of pollutants; (4) a clear and detailed work plan with a specific implementation period; (5) project readiness; and (6) the proposed project's effectiveness at removing trash and debris.

Upon scoring, the evaluation team recommended 18 projects for funding based on total points earned. This item was presented to the ECAC for endorsement on July 10, 2014. Although the ECAC meeting did not have a quorum (seven members minimum needed out of twelve), the six present ECAC members voted unanimously to move forward with the recommendation to fund 18 projects in the amount of \$2,834,361.

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

- 1) Automatic retractable screen and other debris screens or inserts (15 projects): Screen or insert units prevent debris from entering the storm drain system.
- 2) Continuous deflective separator (CDS) (two projects): CDS units divert runoff away from waterways and screen storm drain flows from trash and debris. CDS units screen, separate, and trap debris, sediment, oil, and grease from storm water runoff.
- 3) Bioretention system (one project): Pollutants are captured and immobilized into the bioretention system. Storm water continues to flow into the drain system where the treated water is discharged.

As part of this grant program, local agencies agree to contribute a minimum match of 25 percent of the project cost. These matching funds can be provided with capital funding and/or in-kind services such as the cost of maintenance and operations of the improvements. Attachment B includes proposed projects not recommended for funding.

To date, all of Orange County's 34 cities and the County of Orange have applied for funding. With the inclusion of the recommended projects from this fourth call, 33 cities plus the County of Orange will have received funding.

#### **Next Steps**

Upon approval of the recommendation by the Board, each local agency will be requested to execute a letter agreement under the M2 master funding agreement approved by the OCTA Board in July 2011. Further, staff will continue to monitor project status and project delivery through the Combined Transportation Funding Programs (CTFP) semi-annual review process.

The next Tier 1 call is anticipated in mid-2015. It is anticipated that approximately \$2.8 million will be available. Prior to the release of the next call, the ECAC will review the CTFP Guidelines and scoring criteria to determine if changes should be made.

#### **Fiscal Impact**

This project was approved in OCTA's FY 2014-15 Budget, Planning Division, Account 0017-7831-MX001-T6S, and is funded with M2 funds.

#### **Summary**

Proposed programming recommendations for the Measure M2 Environmental Cleanup Program Tier 1 Water Quality Grant Program have been developed by staff and endorsed by the Environmental Cleanup Allocation Committee. Staff is seeking Board of Directors' approval to fund 18 projects, totaling \$2,834,361.

***Attachments***

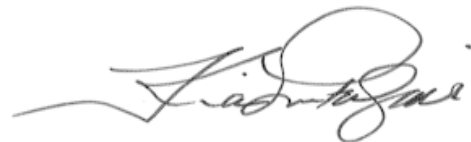
- A. 2014 Orange County Transportation Authority Environmental Cleanup Program - Tier 1 Call for Projects Funding Recommendations – Funded Projects List
- B. 2014 Environmental Cleanup Program Tier 1 Call for Projects – Unfunded Projects List

**Prepared by:**



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**Approved by:**



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

**2014 Orange County Transportation Authority Environmental Cleanup Program - Tier 1 Call for Projects Funding Recommendations - Funded Projects List**

	Agency	Project Title	Project Description	Cumulative Programming	Funds Requested	Local Match	Project Cost	Score
1	Huntington Beach	Huntington Beach Catch Basin Retrofit Project	Retrofit 110 catch basins with Bio Clean curb inlet filters throughout the City of Huntington Beach.	\$193,827	\$193,827	\$109,578	\$303,405	85
2	Orange	Lemon Street continuous deflection separator (CDS) unit	Install a CDS unit at the downstream end of a 54-inch storm drain line on Lemon Street.	\$343,827	\$150,000	\$50,000	\$200,000	84
3	Buena Park	City of Buena Park G2 Full Capture Catch Basin Insert Project	Install automatic retractable screens (ARS) and connector pipe screens (CPS) in 118 catch basins throughout the City of Buena Park.	\$542,771	\$198,944	\$74,340	\$273,284	83
4	Fullerton	Catch Basin Debris Screen Project	Retrofit up to 204 existing catch basins at various locations in Fullerton with BioClean curb inlet filters.	\$742,771	\$200,000	\$326,700	\$526,700	83
5	La Habra	Installation of automatic retractable screens (ARS) at multiple locations in the City of La Habra	Install 123 ARS on high traffic streets such as Harbor Boulevard, Euclid, La Habra, Whittier Boulevard, Lambert Road, and Idaho.	\$892,771	\$150,000	\$50,000	\$200,000	82
6	Westminster	Fiscal year (FY) 2014-15 Catch Basin Screen Installation Project	Install new ARS and CPS to 84 existing catch basins and add CPS to 128 catch basins already equipped with ARS at various locations throughout the City of Westminster.	\$1,087,336	\$194,565	\$68,053	\$262,618	82
7	Laguna Beach	Mountain Road Diversion Project	Install one CDS unit on Mountain Road in the City of Laguna Beach.	\$1,262,336	\$175,000	\$75,000	\$250,000	78.5
8	Brea	Citywide Catch Basin Inserts Project 7524	Install 119 BioClean curb inlet baskets and grate inlet skimmer boxes into storm drain inlets throughout the City of Brea.	\$1,462,336	\$200,000	\$121,212	\$321,212	78
9	Seal Beach	2014 Environmental Cleanup Program Project	Install approximately 50 DrainPacs at various catch basin locations throughout the City of Seal Beach.	\$1,477,336	\$15,000	\$5,000	\$20,000	76
10	Santa Ana	Residential (South) Catch Basin Connector Pipe Screen Installation Project	Install 576 CPS in residential neighborhoods in the City of Santa Ana.	\$1,677,336	\$200,000	\$311,200	\$511,200	76
11	Lake Forest	ARS catch basin retrofit, Phase 4	Retrofit approximately 70 catch basins with ARS units throughout the City of Lake Forest.	\$1,777,336	\$100,000	\$33,334	\$133,334	75
12	Mission Viejo	Marguerite Parkway Roadway Pollutant and Runoff Abatement Project (Trabuco to Alicia)	Install six ARS units and replace overhead spray nozzles with laser drip irrigation within 57,000 square feet of roadway median along Marguerite Parkway.	\$1,977,336	\$200,000	\$67,000	\$267,000	74
13	Placentia	City of Placentia catch basin ARS CL 12 debris screen	Install ARS units at 50 catch basins within the City of Placentia.	\$2,037,336	\$60,000	\$20,000	\$80,000	74
14	County of Orange	Catch basin screens Phase IV	Retrofit 350 existing catch basins with CPS throughout Orange County.	\$2,237,336	\$200,000	\$87,375	\$287,375	73
15	La Palma	Installation of automatic retractable catch basin and CPS Project [Phase-II]	Install 121 ARS and 123 CPS on 124 catch basins throughout the City of La Palma.	\$2,399,636	\$162,300	\$89,200	\$251,500	73
16	Anaheim	Green Alley Bio-Infiltration Project	Install a bio-infiltration trench, pervious concrete, and parkway biofilters in an alley and along adjacent parkways between west Walnut Street and south West Street, just north of west Broadway.	\$2,599,636	\$200,000	\$67,000	\$267,000	71
17	Laguna Hills	Laguna Hills debris gates Phase IV	Install 44 ARS units throughout the City of Laguna Hills.	\$2,670,711	\$71,075	\$23,936	\$95,011	66
18	Cypress	FY 2014-15 ARS Installation Priority Project No. 1	Install 134 ARS and 134 grate inlet skimmer boxes within the catch basins throughout the City of Cypress.	\$2,834,361	\$163,650	\$55,097	\$218,747	65





**2014 Environmental Cleanup Program Tier 1 Call for Projects - Unfunded Projects List**

	Agency	Project Title	Project Description	Cumulative Programming	Funds Requested	Local Match	Project Cost	Score
19	Aliso Viejo	Aliso Viejo Stormwater Litter Control Project - Phase IV	Install 109 BioClean high-capacity filter inserts into stormdrains throughout the City of Aliso Viejo	\$3,034,343	\$199,982	\$70,890	\$270,872	61
20	Mission Viejo	Marguerite Parkway Pollutant and Runoff Abatement Project (Vista del Lago to Santa Margartia Parkway)	Install 13 automatic retractable screens units and replace overhead spray nozzles with laser drip irrigation within 55,000 square feet of roadway median on Marguerite Parkway	\$3,234,343	\$200,000	\$67,000	\$267,000	59
21	Newport Beach	Irvine Avenue Runoff Elimination Project	Install low water-use turf, smart irrigation controllers, high efficiency sprinkler nozzels and drip irrigation, and up to five bioswales along Irvine Avenue	\$3,434,343	\$200,000	\$82,380	\$282,380	0 (disqualified)*
22	Newport Beach	Newport Boulevard Runoff Elimination Project	Install low water-use turf, smart irrigation controllers, high efficiency sprikler nozzels and drip irrigation, up to four bioswales, and curb cuts for flow diversion to the median for infiltration on Newport Boulevard	\$3,434,343	\$200,000	\$134,995	\$334,995	0 (disqualified)*

\* The Newport Beach runoff elimination projects were disqualified since the key components of these projects consist of landscaping, which was specified as an ineligible expenditure in the Comprehensive Transportation Funding Program Guidelines





REVISED COMMITTEE TRANSMITTAL

**September 22, 2014**

**To:** Members of the Board of Directors  
*WK*  
**From:** Wendy Knowles, Clerk of the Board  
**Subject:** Update on the Interstate 405 Improvement Project Between  
State Route 55 and Interstate 605

Regional Planning and Highways Committee Meeting of September 15, 2014

**Present:** Directors Bates, Donchak, Harper, Lalloway, Miller, Murray,  
Nelson, and Spitzer  
**Absent:** None

***Committee Vote***

This item was passed by the Members present.

Director Miller voted in opposition to this motion.

***Committee Recommendation***

Consistent with direction provided by the Board of Directors on December 9, 2013, direct staff to continue implementing Measure M2 Project K, which adds one general purpose lane in each direction on Interstate 405 between Euclid Street and Interstate 605, and build in a manner to not preclude additional freeway capacity in the future.





**September 15, 2014**

**To:** Regional Planning and Highways Committee

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

**Subject:** Update on the Interstate 405 Improvement Project Between State Route 55 and Interstate 605

### **Overview**

On July 25, 2014, the California Department of Transportation informed the Orange County Transportation Authority that Alternative 3, the tolled express lanes alternative, had been recommended as the project preferred alternative for improvements to the Interstate 405 Improvement Project between State Route 55 and Interstate 605. This report outlines how the Orange County Transportation Authority staff proposes to deliver Measure M2 Project K and the associated project delivery milestone schedule based on the California Department of Transportation's recommended project preferred alternative.

### **Recommendation**

Consistent with direction provided by the Board of Directors on December 9, 2013, direct staff to continue implementing Measure M2 Project K, which adds one general purpose lane in each direction on Interstate 405 between Euclid Street and Interstate 605, and build in a manner to not preclude additional freeway capacity in the future.

### **Background**

The environmental phase of project development for the Interstate 405 (I-405) Improvement Project (Project) includes three build alternatives:

- Alternative 1 adds a single general purpose (GP) lane in each direction on I-405 from Euclid Street to the Interstate 605 (I-605) interchange.
- Alternative 2 adds one GP lane in each direction on I-405 from Euclid Street to the I-605 interchange (as in Alternative 1), plus adds a second GP lane in the northbound (NB) direction from

Brookhurst Street to the State Route 22 (SR-22)/7<sup>th</sup> Street interchange, and a second GP lane in the southbound (SB) direction from the Seal Beach Boulevard on-ramp to Brookhurst Street.

- Alternative 3 adds one GP lane in each direction on I-405 from Euclid Street to the I-605 interchange (as in Alternatives 1 and 2), plus adds a tolled express lane in each direction on I-405 from State Route 73 (SR-73) to SR-22 east. The tolled express lanes would be combined with existing high-occupancy vehicle (HOV) lanes to provide dual express lanes in both the NB and SB directions on I-405 between SR-73 and I-605.

A key project delivery milestone was the public release of the Project draft environmental impact report/environmental impact statement (EIR/EIS) in mid-2012. The supplemental draft EIR/EIS was released in mid-2013 with additional traffic impact studies in Los Angeles County.

### ***Discussion***

On October 22, 2012, the Board recommended Alternative 1 as the locally preferred alternative (LPA) to the California Department of Transportation (Caltrans). On December 9, 2013, the Board reaffirmed the recommendation of Alternative 1 as the LPA to Caltrans and directed that Alternative 1 be built in a manner that does not preclude additional freeway capacity in the future.

On July 25, 2014, Caltrans informed the Orange County Transportation Authority (OCTA) that Alternative 3, in a phased approach, would be the recommended Project preferred alternative (PA). Under this phased approach, OCTA would construct one GP lane in each direction from Euclid Street to I-605, consistent with M2 Project K, as the first phase of the Project. Caltrans intends to pursue funding for the second phase, which entails Caltrans constructing an additional lane in each direction that would combine with the existing HOV lane to provide dual express lanes in each direction on I-405 from SR-73 to I-605. The proposed second phase is currently unfunded and the timing of implementation is unknown.

Caltrans has committed to working closely with OCTA staff to ensure timely completion of all necessary documentation that will facilitate final approval of the final EIR/EIS in early 2015. It is critical to complete the final EIR/EIS and final project report (PR) in a timely fashion. This will allow OCTA to initiate right-of-way (ROW) acquisition, which is the critical path for project delivery and can be a lengthy process. Caltrans has also committed to continue to

work closely with OCTA staff on the procurement documents leading to a design-build (D-B) contract that adds one GP lane in each direction as directed by the Board. Minimizing delay is crucial to the Project cost as any delay has cost escalation consequences.

D-B procurement documents that are ready to be released include the Industry Outreach Letter and request for qualifications (RFQ). Work continues on the draft D-B request for proposals (RFP). In addition, the construction management (CM) RFP is ready for release.

OCTA's program management consultant continues to work on preliminary engineering, ROW mapping, and coordination with third parties, including utility companies, Orange County Flood Control District, and other stakeholders.

If the Board approves the recommended action, the estimated timeframe for delivery of M2 Project K would be:

- October 2014      Issue CM RFP
- October 2014      Issue D-B Industry Outreach Letter
- November 2014    Issue D-B RFQ
- February 2015     Signed Final Environmental Document
- March 2015        Issue D-B Draft RFP
- May 2015          Notice of Determination/Record of Decision
- August 2015       Issue D-B Final RFP
- June 2016         Issue D-B Notice to Proceed
- 2016 – 2021        Design and Construct the Project

The D-B procurement dates above have been moved out approximately two months as compared to the dates provided at the June 23, 2014 Board meeting.

***Summary***

On July 25, 2014, the California Department of Transportation informed the Orange County Transportation Authority that Alternative 3, in a phased approach, would be the recommended Interstate 405 Improvement Project preferred alternative for improvements to the Interstate 405 between State Route 55 and Interstate 605. Staff is recommending moving forward with implementation of Measure M2 Project K as the first phase of the Interstate 405 Improvement Project, which adds one general purpose lane in each direction on Interstate 405 between Euclid Street and Interstate 605, and building in a manner to not preclude additional freeway capacity in the future.

***Attachment***

None.

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