

Date: Monday, November 14, 2005

Time: 9:00 a.m.

Where: Orange County Transportation Authority Headquarters
600 South Main Street, First Floor - Conference Room 154
Orange, California 92868



AGENDA

Orange County Transportation Authority Board Meeting
OCTA Headquarters, First Floor - Room 154
600 South Main Street, Orange, California
Monday, November 14, 2005, at 9:00 a.m.

ACTIONS

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 (2) business days prior to this meeting to enable OCTA to make reasonable arrangements to assure accessibility to this meeting.

Invocation

Director Norby

Pledge of Allegiance

Director Winterbottom

Agenda Descriptions

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

Public Comments on Agenda Items

Members of the public wishing to address the Board of Directors regarding any item appearing on the agenda may do so by completing a Speaker's Card and submitting it to the Clerk of the Board. Speakers will be recognized by the Chairman at the time the agenda item is to be considered. A speaker's comments shall be limited to three (3) minutes.



AGENDA

ACTIONS

Special Matters

1. Recognition of Retirees

Recognize Orange County Transportation Authority employees who have recently retired.

2. Public Hearing for 2005 Orange County Congestion Management Program Update

Wendy Garcia/Paul C. Taylor

Consent Calendar (Items 3 through 18)

All matters on the Consent Calendar are to be approved in one motion unless a Board member or a member of the public requests separate action on a specific item.

Orange County Transportation Authority Consent Calendar Matters

3. Approval of Minutes

Of the Orange County Transportation Authority and affiliated agencies' regular meeting of October 24, 2005.

4. State Legislative Status Report

Alex Esparza/Richard J. Bacigalupo

Overview

Of the 961 bills submitted to Governor Arnold Schwarzenegger, an estimated seventy six percent were approved. The Report on Legislation Enacted in 2005, containing a brief analysis of legislation of interest to the Orange County Transportation Authority, is submitted for your information.

Recommendation

Receive and file as an information item.



AGENDA

ACTIONS

5. **Annual Internal Audit Plan for Fiscal Year 2005-06 Quarterly Update**

Robert A. Duffy/Richard J. Bacigalupo

Overview

The Orange County Transportation Authority Board of Directors adopted the Annual Internal Audit Plan for Fiscal Year 2005-06. This is the quarterly update for the first quarter of the fiscal year.

Recommendation

Receive and file the Annual Internal Audit Plan for Fiscal Year 2005-06 First Quarter Update.

6. **Federal Transit Administration Section 5310 Fiscal Year 2005-06 Grant Awards and Action Plan for Federal Fiscal Year 2006-07**

Ric Teano/Richard J. Bacigalupo

Overview

The Federal Transit Administration's Section 5310 grant program provides capital funds for the purchase, replacement, and rehabilitation of paratransit vehicles to meet the transportation needs of elderly persons and persons with disabilities. The federal fiscal year 2005-06 awards have been announced and the action plan for the fiscal year 2006-07 grant cycle is presented for Board approval.

Recommendations

- A. Authorize staff to amend the Transportation Improvement Program to include the Section 5310 grant awards for federal fiscal year 2005-06.
- B. Direct staff to implement the proposed action plan for the Section 5310 grant program for federal fiscal year 2006-07.



AGENDA

ACTIONS

7. **Freeway Retrofit Soundwall Program Status Report**

Grace David/Paul C. Taylor

Overview

The Orange County Transportation Authority continues to work cooperatively with the California Department of Transportation to address the need for retrofit soundwalls along the Orange County freeway system. Development on the Orange County Freeway Retrofit Soundwall Program continues to advance at 12 study locations.

Recommendations

- A. Direct staff to continue cooperative efforts with the California Department of Transportation to develop projects in support of the Freeway Retrofit Soundwall Program.
- B. Direct staff to return with recommendations to address freeway retrofit soundwall cost issues as part of the development of the 2006 State Transportation Improvement Program.
- C. Approve the proposed revisions to the Freeway Retrofit Soundwall Policy.
- D. Direct staff to shift to an implementation mode, with efforts focused toward construction of eligible retrofit soundwall projects.

8. **Anaheim Regional Transportation Intermodal Center Memorandum of Understanding**

Jose Martinez/Paul C. Taylor

Overview

Staff has prepared a memorandum of understanding between the City of Anaheim and the Orange County Transportation Authority for the joint development of the Anaheim Regional Transportation Intermodal Center. This endeavor is part of the investment in gateways to regional rail category in the approved Five-Year Program. The use of this property as a transit hub is consistent with the proposed Long-Range Transportation plan transit element, which envisions enhancing the facilities and services along Orange County's rail backbone, the Metrolink commuter rail service.



AGENDA

ACTIONS

8. (Continued)

Recommendation

Authorize the Chief Executive Officer to execute the memorandum of understanding by and between the City of Anaheim and the Orange County Transportation Authority relating to the Anaheim Regional Transportation Intermodal Center.

9. **Central County Corridor Major Investment Study Status Report**

Kurt Brotcke/Paul C. Taylor

Overview

In April 2005, the Board of Directors endorsed five major conceptual alternatives for improving travel in central Orange County through the Central County Corridor Study – Phase I efforts. Staff has initiated the process to refine these alternatives through a future Major Investment Study, and a status report is provided for Board of Directors review.

Recommendation

Direct staff to return with a status report by February 2006.

10. **Fund Transfer Agreement with the California Department of Transportation for the Fiscal Year 2005-06 Planning, Programming, and Monitoring Program**

Jennifer Bergener/Paul C. Taylor

Overview

The California Department of Transportation requires authorization of the Chief Executive Officer to execute an agreement for the use of state funds by the Orange County Transportation Authority for the Planning, Programming, and Monitoring Program. The Orange County Transportation Authority Board of Directors previously approved the 2004 Orange County Regional State Transportation Improvement Program, which included the use of state funds for the Planning, Programming, and Monitoring Program.



AGENDA

ACTIONS

10. (Continued)

Recommendation

Authorize the Chief Executive Officer to execute Fund Transfer Agreement PPM06-6071(027) with the California Department of Transportation for the use of State Transportation Improvement Program funds for the fiscal year 2005-06 Planning, Programming, and Monitoring Program.

11. **Cooperative Agreement with the California Department of Transportation for the Chokepoint Improvement Project on the Santa Ana Freeway (Interstate 5) at Culver Drive**

Dipak Roy/Stanley G. Phernambucq

Overview

The Orange County Transportation Authority proposes to enter into a cooperative agreement with the California Department of Transportation. A cooperative agreement is required to establish the roles, responsibilities, funding, and process for design of the chokepoint improvement project on the Santa Ana Freeway (Interstate 5) at Culver Drive.

Recommendation

Authorize the Chief Executive Officer to execute Cooperative Agreement 12-533 between the Orange County Transportation Authority and the California Department of Transportation, to address the reimbursement of funds, and outline the roles and responsibilities of each party in the design of the chokepoint improvement project on the Santa Ana Freeway (Interstate 5) at Culver Drive.



AGENDA

ACTIONS

12. **Selection of a Consultant for Design Services for the Chokepoint on the Santa Ana Freeway (Interstate 5) at Culver Drive**
Dipak Roy/Stanley G. Phernambucq

Overview

As part of the Orange County Transportation Authority's Fiscal Year 2006 Budget, the Board approved the chokepoint improvement project on the Santa Ana Freeway (Interstate 5) at Culver Drive. Proposals were solicited in accordance with the Orange County Transportation Authority's procurement procedures for the retention of consultants to perform architectural and engineering work.

Recommendations

- A. Select RBF Consulting as the top ranked firm for design of the chokepoint improvement project on the Santa Ana Freeway (Interstate 5) at Culver Drive.
 - B. Authorize the Chief Executive Officer to request a cost proposal from RBF Consulting and negotiate an agreement for their services.
 - C. Authorize the Chief Executive Officer to execute the final agreement.
13. **Purchase Order for Property Insurance Policy**
Al Gorski/James S. Kenan

Overview

The Orange County Transportation Authority has a property insurance policy with Fireman's Fund Insurance Company. This policy is scheduled to expire on November 30, 2005.

Recommendation

Authorize the Chief Executive Officer to issue Purchase Order 05-73180, in the amount not to exceed \$200,000, for the purchase of property insurance on behalf of the Orange County Transportation Authority for the period of December 01, 2005, to November 30, 2006.



AGENDA

ACTIONS

14. **Agreements for Health Services** Debbie Christensen/James S. Kenan

Overview

The Orange County Transportation Authority presently has agreements with various companies to provide medical, dental, vision, life insurance and disability services for the Administrative employees and employees represented by the Transportation Communications Union.

Recommendations

- A. Authorize the Chief Executive Officer to execute Amendment No. 1 to Agreement C-5-0455 between the Orange County Transportation Authority and Kaiser Foundation Health Plan, Inc., in an amount not to exceed \$450,000, for prepaid medical services through December 31, 2006.
- B. Authorize the Chief Executive Officer to execute Agreement C-5-2860 between the Orange County Transportation Authority and CIGNA Healthcare, in an amount not to exceed \$850,000, for prepaid medical services through December 31, 2006.
- C. Authorize the Chief Executive Officer to execute Agreement C-5-2861 between the Orange County Transportation Authority and CIGNA Healthcare, in an amount not to exceed \$2,800,000, for preferred provider organization medical services through December 31, 2006.
- D. Authorize the Chief Executive Officer to execute Amendment No. 1 to Agreement C-5-0458 between the Orange County Transportation Authority and SmileSaver, in an amount not to exceed \$13,000, for prepaid dental services through December 31, 2007.
- E. Authorize the Chief Executive Officer to execute Agreement C-5-2862 between the Orange County Transportation Authority and Metropolitan Life Insurance Company, in an amount not to exceed \$880,000, for preferred provider organization dental services through December 31, 2007.



AGENDA

ACTIONS

14. (Continued)

Recommendations

- F. Authorize the Chief Executive Officer to execute Amendment No. 1 to Agreement C-4-0108 between the Orange County Transportation Authority and Vision Service Plan, in an amount not to exceed \$50,000, for vision services through December 31, 2006.
- G. Authorize the Chief Executive Officer to execute Amendment No. 1 to Purchase Order C-4-0081 between the Orange County Transportation Authority and Jefferson Pilot Life Insurance Company, in an amount not to exceed \$50,000, for life and accidental death and dismemberment insurance through December 31, 2006.
- H. Authorize the Chief Executive Officer to execute Amendment No. 1 to Purchase Order C-4-0082 between the Orange County Transportation Authority and Jefferson Pilot Life Insurance Company, in an amount not to exceed \$36,000, for long-term disability insurance through December 31, 2006.
- I. Amend the FY 2006 Personnel and Salary Resolution to provide for the new employee contribution amounts for health care benefits, effective January 1, 2006.

15. **Amendment to Agreement for Project Management Assistance**

Annette L. Hess/James S. Kenan

Overview

On August 11, 2004, the Board of Directors approved an agreement with KENDA Systems, in the amount of \$200,000, to provide project management support. KENDA Systems was retained in accordance with the Orange County Transportation Authority's procurement procedures for professional and technical services.

Recommendation

Authorize the Chief Executive Officer to execute Amendment No. 2 to Agreement C-4-0645 between the Orange County Transportation Authority and KENDA Systems, in an amount not to exceed \$160,000, for project management support.



AGENDA

ACTIONS

16. Santa Ana Freeway (Interstate 5) Far North Widening Project Name Change

Alice T. Rogan/Ellen S. Burton

Overview

The final section of the Santa Ana Freeway (Interstate 5) to be improved has been internally referred to as the Interstate 5 Far North Project due to its geographic location relative to the other Interstate 5 improvement projects. As outreach efforts are ready to begin, it is recommended the project be named the Interstate 5 Gateway Project.

Recommendation

Approve changing the name from the Interstate 5 Far North Widening Project to the Interstate 5 Gateway Project in outreach materials.

17. Amendment to Agreement with Alta Resources to Operate the Customer Information Center

Patricia Warrick/Ellen S. Burton

Overview

On November 8, 2004, the Board of Directors approved the execution of a second option term to the contract with Alta Resources, Inc. to operate the Customer Information Center. The firm was retained in accordance with the Orange County Transportation Authority's procurement procedures for professional services. Staff recommends exercising the third option term for calendar year 2006.

Recommendation

Authorize the Chief Executive Officer to execute Amendment No. 7 for the third option term to Agreement C-1-1853 between the Orange County Transportation Authority and Alta Resources, Inc., in an amount not to exceed \$1,500,000, for calendar year 2006.



AGENDA

ACTIONS

Orange County Local Transportation Authority Consent Calendar Matters

18. **Measure M Quarterly Progress Report**
Norbert Lippert/Stanley G. Phernambucq

Overview

Staff has prepared a Measure M progress report for the third quarter of 2005. This is a regular report that highlights the Measure M projects and programs currently under development.

Recommendation

Receive and file as an information item.

Regular Calendar

Orange County Transportation Authority Regular Calendar Matters

19. **Metrolink Service Expansion**
Darrell Johnson/Paul C. Taylor

Overview

The Board of Directors adopted the Commuter Rail Strategic Assessment service plan and phasing for expanded Metrolink service in May 2004. Staff has developed the required operating costs, capital improvements, and rolling stock requirements needed to implement the service plan and phasing for a 90 percent increase in Orange County Metrolink trains by 2009.

Recommendations

- A. Authorize staff to begin implementation of Metrolink Service Expansion for 36 more Metrolink trains serving Orange County, including service every 30 minutes between Mission Viejo/Laguna Niguel and Fullerton by the year 2009. The expansion of Metrolink service is identified in the adopted Commuter Rail Strategic Assessment and Five-Year Program.



AGENDA

ACTIONS

19. (Continued)

Recommendations

- B. Authorize staff to submit a request to the Southern California Regional Rail Authority to increase rail car purchase order quantities to support the requirements for the Metrolink Service Expansion.
- C. Authorize the release of a Request for Proposal for a project management consultant for the Metrolink Service Expansion.

Orange County Transit District Regular Calendar Matters

20. **Integrated Transportation Communication System: Proposed Response to Grand Jury Report**

David Simpson/William L. Foster

Overview

In September 1997, the Orange County Transportation Authority entered into a \$12.6 million contract with Orbital Sciences for replacement of its existing analog bus communication system with a modern digital system. Due to various project management issues, integrating the system has been a lengthy process; however, the system is now working and meets industry and federal guidelines. In May of this year, the Orange County Grand Jury issued a report on the communication system. An independent analysis of the system was completed in June 2005 and public workshop on the matter was held October 24, 2005. A proposed response to the Grand Jury report is submitted for Board consideration.

Recommendation

Review and approve response to Orange County Grand Jury's May 31, 2005 report on the Orange County Transportation Authority bus communication system.



AGENDA

ACTIONS

Other Matters

21. **Chief Executive Officer's Report**

22. **Directors' Reports**

23. **Public Comments**

At this time, members of the public may address the Board of Directors regarding any items within the subject matter jurisdiction of the Board of Directors, but no action may be taken on off-agenda items unless authorized by law. Comments shall be limited to three (3) minutes per speaker, unless different time limits are set by the Chairman subject to the approval of the Board of Directors.

24. **Closed Session**

A. Pursuant to Government Code Section 54957 to review the performance of the Chief Executive Officer.

B. Pursuant to Government Code Section 54956.9(b).

25. **Adjournment**

The next regularly scheduled meeting of the OCTA/OCTD/OCLTA/OCSAFE/OCSAAV Board will be held at **9:00 a.m. on November 28, 2005**, at OCTA Headquarters at 600 South Main Street, First Floor - Room 154, Orange, California.



November 14, 2005

To: Members of the Board of Directors
From: Arthur T. Leahy, ^{ATL} Chief Executive Officer
Subject: Public Hearing for the 2005 Orange County Congestion Management Program

Overview

The Orange County Transportation Authority is responsible for monitoring and reporting on Orange County's Congestion Management System every two years. The Congestion Management Program report has been updated for 2005 in accordance with state law. Monitoring efforts have determined that all requirements have been fulfilled by all jurisdictions.

Recommendations

- A. Conduct a public hearing for the adoption of the 2005 Orange County Congestion Management Program.
- B. Adopt the 2005 Orange County Congestion Management Program.
- C. Direct staff to forward the 2005 Orange County Congestion Management Program to the Southern California Association of Governments for a finding of regional consistency.

Background

With the passage of Proposition 111 in June of 1990, to continue to receive gas tax funds, urbanized areas in the state must designate a Congestion Management Agency (CMA) and adopt a Congestion Management Program (CMP). As Orange County's designated CMA, the Orange County Transportation Authority (OCTA) is responsible for developing, monitoring, and biennially updating Orange County's CMP. The goals of the CMP are to improve or maintain acceptable levels of traffic and provide a mechanism for coordinating land use and transportation decisions. The 2005 CMP is available under separate cover (Attachment A).

The Orange County CMP is a composite of local agency submittals developed through cooperative efforts between OCTA, local jurisdictions, and public agencies. Over the past year, these entities have been working together to develop CMP data, such as traffic Level of Service (LOS) and capital improvement programs, in accordance with state guidelines. The draft 2005 CMP, along with a request for public hearing, was presented to the OCTA Board of Directors (Board) on October 14, 2005.

The draft CMP document was distributed to local jurisdictions and public agencies throughout Orange County for review and comment. Comments were received and incorporated into the final document. The final CMP is now being presented for adoption at a noticed public hearing in accordance with state law. Public hearing notices were posted on October 7, 2005.

Upon Board approval, after the noticed public hearing, the document will be forwarded to the Southern California Association of Governments (SCAG) to determine consistency with the Regional Transportation Plan. Once SCAG issues a finding of consistency, local agencies will continue to be eligible to receive Proposition 111 gas tax funds.

Discussion

Local Jurisdiction Compliance

The 2005 Orange County CMP focused on the core areas outlined in the CMP legislation, which were discussed in detail in Attachment B of the October 14 staff report and are listed below:

- Land Use Coordination
- Transportation Demand Management
- Multi-modal Performance Measures
- Transportation Modeling and Planning
- Level of Service Standards
- Level of Service Deficiency Plans
- Capital Improvement Programs
- Monitoring and Conformance

All local jurisdictions were found to be in compliance with all applicable legislative requirements. Overall findings conclude that the average LOS for the Orange County CMP Highway System has improved when compared to CMP baseline figures established in 1992. The average LOS for all intersections studied reflects an improvement of nearly 10 percent in the morning peak hours and

12 percent during the evening peak. However, comparisons with the previous CMP update in 2003 show more modest improvements and key intersections continue to operate at critical levels. As a result, local jurisdictions with intersections exhibiting LOS's approaching the minimum acceptable level are urged to continue monitoring those intersections carefully over the next two years to insure that they do not fall into a deficient status during the next CMP cycle.

Next Steps

With OCTA Board approval, the 2005 CMP will be submitted to SCAG for a finding of consistency with regional transportation plans. Once SCAG determines consistency, local agencies will be eligible to continue to receive Proposition 111 gas tax funds.

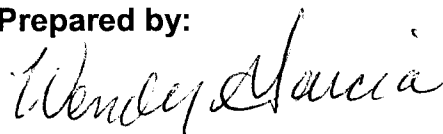
Summary

The 2005 Orange County CMP has been prepared in accordance with the statutory requirements of Proposition 111 and developed through cooperative efforts involving local jurisdictions and public agencies. Monitoring efforts have determined that all requirements have been fulfilled, and Board approval of the 2005 Orange County CMP is requested.

Attachment

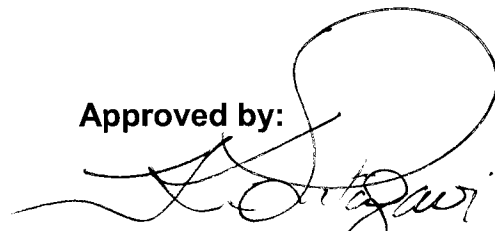
- A. 2005 Orange County Congestion Management Program

Prepared by:



Wendy Garcia
Transportation Analyst
(714) 560-5738

Approved by:



Paul C. Taylor, P.E. *for*
Executive Director,
Planning, Development and
Commuter Services
(714) 560-5431

2005 Orange County Congestion Management Program



November 2005



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Appendices

Appendix A	Freeway Level of Service Tables
Appendix B-1	Traffic Impact Analysis Guidelines
Appendix B-2	Traffic Impact Analysis Exempt Projects
Appendix C-1	Deficiency Plan Process Flow Chart
Appendix C-2	Deficiency Plan Process Decision Tree
Appendix D	Monitoring Checklists
Appendix E	Capital Improvement Programs (Under Separate Cover)
Appendix F	Orange County Subarea Modeling Guidelines Manual (Under Separate Cover)

CMP GOALS

- Reduce traffic congestion
- Coordinate land use and development
- Determine gas tax fund eligibility



Introduction

In June 1990, the passage of Proposition 111 gas tax increase required urbanized areas in the State with a population of 50,000 or more to adopt a Congestion Management Program (CMP). Decisions made the following year by the majority of local governments in Orange County designated the Orange County Transportation Authority (OCTA) as the Congestion Management Agency (CMA) for the county. Since then, OCTA has been charged with the development, monitoring and biennial updating of Orange County's CMP. The goals of Orange County's Congestion Management Program are to reduce traffic congestion and provide a mechanism for coordinating land use and development decisions. The CMP is also the vehicle for proposing transportation projects, which are eligible to compete for the State gas tax funds.

The passage of Assembly Bill 2419 in July 1996 provided local agencies the option to elect out of the CMP process without the risk of losing state transportation funding. For this to occur, a majority of local governments, representing a greater part of the county population, must adopt resolutions electing to be exempt from the CMP. However, because CMP requirements are similar to those of the Orange County Measure M Growth Management Program, and because the CMP's developed in the Southern California area provide the basis for fulfilling federal requirements for the Congestion Management System (CMS) prepared by the Southern California Association of Governments (SCAG), local jurisdictions in Orange County expressed a desire to continue the existing CMP process. The OCTA Board of Directors affirmed this decision on January 13, 1997.

The 2005 Orange County CMP is a composite of OCTA and local agency programs and submittals, developed through a cooperative effort involving local jurisdictions, public agencies, business, and community groups. While the Congestion Management Program embodies several of Orange County's policies for improving traffic congestion and air quality, it is not the only program

designed to do so. The Measure M Growth Management Program, for example, was developed to assess and mitigate the impacts of local land use decisions on the transportation network. In addition, the countywide air quality strategy incorporates policies that help to reduce air pollution and ease traffic congestion. The OCTA's long-range transportation plan, Directions 2030, establishes multi-modal policies, goals, and programs for the county and ties all of OCTA's programs into a unified transportation strategy designed to address the transportation needs arising from continued growth both within the county as well as in neighboring communities. This plan was developed with extensive community and local agency input and coordination. While these other programs are not discussed at great length in the 2005 CMP, it should be realized that they, too, play an important part in improving traffic congestion and air quality.



Land Use Coordination

Legislative Text

There are two provisions of the CMP legislation that specifically address the assessment of land use decisions and their impacts upon the CMP Highway System.

Government Code Section 65089(b)(4) requires development and implementation of "a program to analyze the impacts of land use decisions made by local jurisdictions on regional transportation systems, including an estimate of the costs associated with mitigating those impacts". Further, it also states: "In no case shall the program include an estimate of the costs of mitigating inter-regional travel. The program shall provide credit for local public and private contributions to improvements to regional transportation systems. However, in the case of toll road facilities, credit shall only be allowed for local public and private contributions which are unreimbursed from toll revenues or other state and federal sources. The (congestion management) agency shall calculate the amount of credit to be provided."

Government Code Section 65089.3 requires the congestion management agency to monitor implementation of the CMP biennially and make a determination as to whether the county and the cities have adopted and implemented a program to analyze the impacts of land use decisions. An estimate of the costs associated with mitigating these impacts must be included in the program.

Compliance

Each jurisdiction in Orange County selected a CMP Traffic Impact Analysis (TIA) process to analyze impacts of development project submittals on the CMP Highway System (CMPHS). Local jurisdictions were given a choice of either using the process outlined in the CMP TIA guidelines (see Appendix B-1) or using their existing traffic-environmental analysis processes, as long as consistency is maintained with the CMP TIA guidelines.

Since January 1, 1994, the selected TIA process has been consistently applied to all development projects meeting the adopted trip generation thresholds (i.e., 2,400 or more daily trips for projects adjacent to the CMP Highway System and 1,600 or more daily trips for projects that directly access the CMP Highway System).

Exemptions from this requirement were allowed for selected categories of development projects consistent with state legislation (see Appendix B-2 for a listing

of exempt projects). For each of the traffic impact analyses conducted, attention was focused on:

- Identifying the extent to which, and location where, trips generated by the proposed project cause CMPHS intersections to exceed their LOS standards
- Assessing feasible mitigation strategies capable of reducing the identified impact, thereby maintaining the adopted LOS standard
- Utilizing existing environmental processes and inter-jurisdictional forums to conduct cooperative, inter-jurisdictional discussion when a proposed development which will generate an increase in traffic at CMPHS locations outside the jurisdiction's boundaries was identified, and where proposed CMP mitigation strategies include modifications to roadway networks beyond the jurisdiction's boundaries

The biennial reporting process enables jurisdictions to report any locations where CMPHS level of service standards are projected to be exceeded as well as the extent to which they would be impacted as a result of development project approvals undergoing CMP traffic impact analyses. All jurisdictions in Orange County were found in compliance with the CMP land use coordination requirement.

Transportation Demand Management

Legislative Text

As originally enacted, CMP legislative provisions specifically addressed Transportation Demand Management. Government Code Section 65089(b)(3) required "A travel demand element that promotes alternative transportation methods, including, but not limited to, carpools, vanpools, transit, bicycles, and park-and-ride lots; improvements in the balance between jobs and housing; and other strategies, including, but not limited to, flexible work hours, telecommuting, and parking management programs". Section 65089.3 also specified that the Lead Agency should biennially monitor local jurisdictions' compliance with the requirement to adopt and implement a trip reduction and travel demand ordinance.

In 1995, these provisions were modified by revisions to the Federal Clean Air Act as well as Sections 40454 and 40717.9 of the California Health and Safety Code, which eliminated the requirement for mandatory employer based trip reduction programs. These programs became optional, with employers with 100 or more employees at a single worksite now only required to provide information to employees on rideshare and transit programs.

Introduction

Transportation Demand Management (TDM) programs are designed to reduce the need or demand for trips, especially during congested commute times. Transportation Demand Management strategies are geared toward increasing vehicle occupancy; promoting the use of alternative modes; reducing the number of work and non-work trips; and decreasing overall trip lengths.

The adoption of a TDM ordinance was required of every local jurisdiction for Orange County's 1991 Congestion Management Program. The ordinances adopted by local jurisdictions were based on a facilities standards approach contained in a model TDM ordinance prepared by OCTA. OCTA reviewed local jurisdiction TDM ordinances in 2002 to insure conformance with existing legislation that eliminated mandatory trip reduction programs.

Existing TDM Programs

Trip Reduction/TDM Ordinances

To implement a comprehensive TDM program countywide, a uniform model TDM ordinance was established, affording local jurisdictions a consistent mechanism to directly comply with the spirit and intent of the CMP's legislative requirements for

TDM. The model ordinance aims to promote carpools, vanpools, alternate work hours, park and ride facilities, telecommuting, and other traffic reduction strategies. Originally drafted for consistency with Regulation XV, the model ordinance was updated in 2001 to reflect the adoption of Rule 2202 by the South Coast Air Quality Management District.

Principal provisions of the TDM model ordinance are as follows:

- Applies to non-residential public and private development proposals expected to generate more than 250 employees;
- Contains a methodology for determining projected employment for specified land use proposals;
- Includes mandatory facility-based development standards (conditions of approval) that apply to proposals that exceed the established employment threshold;
- Presents optional provisions for implementing operational TDM programs and strategies that target the property owner or employer, and requires annual reporting on the effectiveness of programs and strategies proposed for facilities;
- Contains implementation and monitoring provisions;
- Includes enforcement and penalties provisions.

All local jurisdictions in Orange County have adopted TDM ordinances that incorporate the provisions of the model ordinance. Moreover, several jurisdictions have adopted ordinances that go beyond those contained in the model TDM ordinance. Such strategies include:

- Encouraging employers to establish and help subsidize telecommuting, provide monetary incentives for ridesharing, and implement alternative work hour programs;
- Requiring proposed development projects to establish and participate in Transportation Management Associations (TMAs);
- Requiring on-site bus loading facilities;

- Requiring pedestrian facilities such as sidewalks, paved pathways and pedestrian grade separations over arterial streets to connect a worksite to shopping, eating, recreation, parking, or transit facilities;
- Requiring participation in the development of remote parking facilities and the high-occupancy vehicles (i.e., shuttles, etc.) that serve them.

Employer-Sponsored Trip Reduction Plans

The TDM Ordinance adopted for the CMP is primarily a facilities based ordinance, although it also contains optional provisions for implementing operational programs and strategies that target property owners or employers. Previously, the Federal Clean Air Act, as well as South Coast Air Quality Management District (SCAQMD) Regulation XV required employers with 100 or more employees to prepare trip reduction plans intended to reduce commute trips to the worksite. The CMP required that local TDM ordinances reflect these policies. However revisions to the Federal Clean Air Act, as well as Sections 40454 and 40929 of the California Health and Safety Code, eliminated the requirement for employer based trip reduction programs, making them optional. Consequently, public agencies can no longer require employers to develop and implement trip reduction plans. Employers are now required only to provide information on trip reduction programs. However, employers with 250 or more employees are still mandated to comply with the requirements of SCAQMD's Rule 2202 which requires these employers to develop a program to reduce mobile source emissions generated from employee commutes. One of the options for compliance is the employee commute reduction program.

Implementation of Adopted TDM Ordinances

Compliance with the TDM requirement for 2005 was measured against local jurisdiction implementation of their respective TDM ordinances. The CMP checklists developed for the CMP monitoring component provided this information. All local jurisdictions indicated that they had applied the TDM ordinance to development projects that met the thresholds specified in the ordinance.

Other Existing TDM Programs

TDM efforts in Orange County are not just limited to implementation of TDM ordinances. Other TDM activities are also underway throughout the County. These transportation demand management activities are summarized on the following pages.

Freeway Construction Mitigation

OCTA and Caltrans have developed a comprehensive public outreach program for commuters impacted by construction projects and improvements on Orange County freeways. The program was designed to alleviate traffic congestion during freeway construction by providing up-to-date ramp, lane and bridge closure information and suggestions on alternate routes and travel modes. Outreach efforts include public workshops, open houses, fast fax construction alerts, flyers and newsletters, as well as other collateral materials and presentation events. Detour and closure information is also made available at OCTA's website at www.octa.net and through the Orange County Freeway Construction Helpline at (800) 724-0353.

Transit/Shuttle Service

Transit service is an integral part of Orange County's TDM activities. Local fixed route comprises the largest portion of OCTA's transit services. In addition to local fixed route service, OCTA also provides commuter services such as commuter rail service (Metrolink) and rail connector bus service (StationLink). The transit services section of the CMP contains a complete description of Orange County's existing and planned transit services. Recent improvements to transit service include continued expansion of services on both commuter rail lines serving Orange County, as well as the expansion of bus service to maintain transit service standards. During 2004, bus boardings increased 4 percent, almost double the national average. Metrolink commuter rail ridership in Orange County surpassed 3 million.

Jobs/Housing Balance

To satisfy the Measure M Growth Management Program requirements, all local jurisdictions in Orange County developed Growth Management Programs that address a jobs/housing balance as it relates to transportation demand. The adopted policies represent a commitment towards achieving balanced land usage, where residential, non-residential and public land uses are proportionally balanced.

Transportation Management Associations

Presently, Orange County has Transportation Management Associations (TMAs) located in the following areas:

- Newport Beach (Newport Center TMA)
- Irvine (Irvine Spectrum TMA)

- Anaheim (Anaheim Transportation Network)

The TMAs are comprised of groups of employers in an area who work together to solve mutual transportation problems and implement programs to increase average vehicle ridership.

Park-and-Ride Lots

The availability of park-and-ride lots is essential to supporting Orange County's TDM efforts. Currently there are 34 park-and-ride lots in Orange County providing over 6,000 parking spaces. Parking is dedicated to Metrolink train service at 10 of the 34 park-and-ride lots, accounting for about 3,400 of the over 6,000 parking spaces.

Park-and-ride lots serve as transfer points for commuters to change from one mode of travel (private auto) to another, higher capacity mode (bus, train, carpool, vanpool). Providing a convenient system of park-and-ride transfer points throughout the county encourages the use of higher capacity transit systems, which improves the efficiency of the transportation system. Park-and-ride lots are also a natural companion to the development of a countywide system of High Occupancy Vehicle (HOV) lanes and transitways on the freeways.

Future plans for expansion of park-and-ride lots will be related to express bus service and HOV lanes which will be addressed through the 2006 Long-Range Transportation Plan for Orange County.

Bicycle and Pedestrian Facilities

Between 1990 and 2005, OCTA has allocated over \$39 million for bicycle and bus stop improvement projects. Additionally, OCTA solicits Transportation Demand Management (TDM) projects from the cities every 2 years. Approximately, \$2 million in funds are available under this program. Examples of eligible TDM projects are bikeways, transit shelters, and carpool incentives.

The current Regional Transportation Improvement Program for Orange County has approximately \$14 million programmed for bikeways. The Regional Transportation Plan proposes \$115 million in investments on non-motorized transportation projects in Orange County through the year 2030, which is higher than proposed in any Plan in the past.

In 1995, OCTA developed an integrated system of countywide commuter bikeways as part of the Commuter Bikeways Strategic Plan (CBSP). Updated in August 2001, the primary focus of the plan is to provide bicycle commuters with attractive, convenient bicycle facilities that link residential areas with activity

centers and intermodal transportation centers. In an effort to accommodate the diverse needs and interests of Orange County bicycle commuters, several public agencies and private sector organizations reviewed and commented on the plan at various stages of development. Contributors included Caltrans, the Orange County Bicycle Coalition, as well as the 34 Orange County cities and the County of Orange.

In 1995, OCTA launched a successful demonstration project to install bicycle racks on four bus routes, which served work sites, schools, shopping malls, and the beach. The success of the demonstration program led to a decision to equip all large buses in the OCTA fleet with bicycle racks. This program was completed June 1998. In addition, bicycle lockers have been installed at Metrolink stations in Anaheim, Fullerton, Irvine, and Orange.

A comprehensive update of the CBSP was completed in August 2001 to expand the focus on commuter bikeways to include more local routes, as well as emphasize regional connectivity and coordination. The plan was updated to ensure consistency with the requirements of California Streets and Highways Code 891.2. Consistency allows local jurisdictions to adopt the plan and apply for funds available in the Bicycle Transportation Account.

Compliance

The Orange County Congestion Management Program requires every local jurisdiction to adopt a TDM ordinance based on a model ordinance prepared by the County of Orange. Each local jurisdiction in Orange County has prepared, adopted, and implemented a TDM ordinance, therefore complying with the TDM requirement of the 2005 Congestion Management Program.

Transit Services Performance Measures

Legislative Text

Government Code Section 65089(b)(2) requires that performance measures be established for the highway and roadway system, and for the frequency and routing of public transit. It also calls for coordination of transit service provided by separate operators. This section evaluates transit system performance in Orange County, while Congestion Management Program Highway System performance measures are discussed in following sections.

Background

In addition to planning and providing funding for highway and roadway improvements in Orange County, the Orange County Transportation Authority (OCTA) offers a variety of transit services, including bus service and commuter rail service.

Since the adoption of the previous CMP, the use of OCTA transit services has grown. Changes have been implemented to make transit service more responsive to customer needs, resulting in a 10 percent increase in ridership since March 2003. To meet the heightened demand and to maintain service standards for passenger loading and on-time performance, levels of service have been increased by approximately 4 percent from March 2003 to March 2005.

Commuter rail service, funded in part by OCTA and operated by the Southern California Regional Rail Authority (Metrolink), continues to see growing demand. Ridership on both the Orange County Line and Inland Empire – Orange County Line shows continued growth. The trains on the Orange County Line, which operates both peak direction and reverse direction service between Oceanside and Downtown Los Angeles, remains one of the most productive in the Metrolink system, providing essential congestion relief in the busy Santa Ana Freeway Corridor. The Inland Empire – Orange County Line was the first suburb-to-suburb commuter rail line in the country, connecting Riverside and San Bernardino with Orange County. Launched in May 2002, the 91 Line provides much needed service for commuters traveling from largely residential areas in Riverside to employment centers in Orange and Los Angeles Counties. As a part of the expanded rail service, new feeder bus service was added and schedules on existing routes were modified to insure bus/rail connections for the new trains.

The Congestion Management Program performance measures are designed to provide an index of both the effectiveness and efficiency of transit services in

Orange County. These measures are based on indices used in OCTA's long range planning process, and allow identification of areas needing improvement.

Description of Transit Services

OCTA Transit Services include local fixed route, express, and paratransit bus service. Metrolink commuter rail also serves Orange County.

- The fixed route network includes bus service on 41 major corridor routes, 14 community routes, 9 inter/intra-county express routes, and 13 StationLink rail feeder routes that provide access to employment centers for commuters using Metrolink commuter rail service (77 routes total).
- Express bus service provides limited-stop, freeway-based service to major employment areas in Orange and Los Angeles counties. An express bus expansion program is underway that will lead to new and improved service linking Orange County with Riverside County and eastern Los Angeles County.
- Paratransit Service provides transportation services, as required by the Americans with Disabilities Act (ADA), on a curb-to-curb basis to persons with disabilities who are unable to use fixed route bus service.
- Commuter Rail Service provides weekday service between Orange County and the counties of Los Angeles, Riverside and San Diego during peak commute hours.


Bus Transit Service Parameters

Service and performance standards direct the development, implementation, monitoring, and modification of OCTA transit services. The standards currently in place were adopted in 1994 and are summarized in Table 1.

Each route is evaluated according to the standard listed in Table 1. The current (April 2005) adherence to these standards systemwide is detailed below.

Eighty percent of OCTA bus routes (excluding Express and Rail Feeder service) fall within the minimum span of service standards. Not all routes meet the span of service goal because resources are allocated to routes with the highest demand due to funding limitations.

Table 1:
Service Standards for the OCTA Bus System

 Bus System Improvement Project						
Service Standards for OCTA Bus System						
STANDARDS	BASIC NETWORK		SUPPORT SYSTEM			RAIL FEEDER SERVICE
	BASE ROUTES	CONNECTOR ROUTES	LOCAL FIXED ROUTES	COMMUNITY SERVICE	EXPRESS SERVICE	
SERVICE STANDARDS						
WALKING DISTANCE CRITERIA:						
% OF POPULATION WITHIN 1/4 MILE OF BUS ROUTE						
• INCREMENT	50%	10%		30%	n/a	n/a
• ACCUMULATIVE	50%	60%		90%	n/a	n/a
MINIMUM SPAN OF SERVICE						
• WEEKDAY AND SATURDAY	5:30am-8:30pm	5:30am-8:30pm	(1)	(1)	(1)	(1)
• SUNDAY	7:00am-7:00pm	7:00am-7:00pm	(1)	(1)	(1)	(1)
MINIMUM HEADWAYS						
• PEAK WEEKDAY PERIOD (6-9a, 3-6p)	30 min.	30 min.	30 min.	30 min.	(2)	(2)
• SUNDAY	30 min.	60 min.	60 min.	60 min.	n/a	n/a
• SUNDAY	30 min.	60 min.	(1)	(1)	n/a	n/a
MAXIMUM TRANSFER WAIT TIME						
• PEAK WEEKDAY PERIOD	15 min.	15 min.	15 min.	15 min.	n/a	n/a
• OTHER PERIODS	15 min.	30 min.	30 min.	30 min.	n/a	n/a
LOADING STANDARDS (MAX)						
• PEAK 60 MINUTES	125%	125%	125%	125%	100%	125%
• PEAK AND OFF PEAK PERIODS	100%	100%	100%	100%	100%	100%
PERFORMANCE STANDARDS (4)						
BOARDINGS / RVH						
• ROUTE	30	20	20	10	20	10
• SYSTEM	40	25	25	25	n/a	n/a

(1) Based on demand.

(2) Minimum of two (2) trips each way per peak weekday period.

(3) May be reduced by interlining and/or timed transfers.

(4) Performance standards apply to changed existing routes and new routes after one year.

Seventy-one percent of OCTA bus routes (excluding Express and Rail Feeder service) fall within the minimum headway (frequency) standard. Again, this is primarily due to the need to allocate limited resources to service with the greatest demand.

OCTA's goal is for 90 percent of county residents, schools, places of business, etc. to be within ¼-mile walking distance of a bus route. Currently, 73 percent of Orange County residents are within ¼-mile air line of a route. Due to the circuitous nature of many residential streets, about fifty percent are within actual distance of a bus stop.

Service standards are periodically reviewed and updated to reflect conditions and changes that have occurred in the operating, policy and financial environments. At this time, existing service standards are under review with a goal to update them within calendar year 2005.

Table 2 is a summary of service characteristics by route, including (where applicable) headway, weekday span, and average boardings per revenue vehicle hour.

Table 2:
Summary of Service Characteristics
April 2005

OCTA LOCAL FIXED ROUTES						
Line	HEADWAY (Minutes)				Weekday Span	Boardings/ Revenue Hour**
	Peak	Base	Sat	Sun		
1	30	30	60	60	430a -- 1030p	22.9
20	45	60	--	--	545a -- 800p	16
21	45	45	--	--	500a -- 945p	19.5
24	30	60	60	60	500a -- 1100p	25.2
25	30	30	60	60	500a -- 1100p	30.2
26	30	30	50	50	600a -- 1045p	29.4
29	12	20	15	15	400a -- 230a	42.8
30	30	30	60	60	415a -- 1045p	37.7
33	30	30	45	60	500a -- 845p	37.6
35	20	30	35	60	445a -- 945p	38.6
37	20	30	30	60	430a -- 930p	47.3
38	8	20	45	45	415a -- 1200a	46.5
42	15	20	20	30	130a -- 1200a	39.7
43	8	15	15	15	24-hour	55.4
46	20	30	60	60	430a -- 1145p	43.2
47	15	20	20	20	100a -- 1115p	48.1
50	20	30	30	45	24-hour	43.5
51	30	30	30	30	500a -- 1115p	28.2
53	12	12	12	15	415a -- 1200a	45
54	20	30	30	40	445a -- 1130p	45.2
55	15	20	20	20	430a -- 1145p	38.9
56	30	30	60	60	430a -- 1115p	40
57	8	12	12	12	24-hour	50.5
59	20	30	60	60	430a -- 1145p	30.4
60	16	20	15	15	24-hour	49.6
62	30	30	--	--	530a -- 900p	22.1
64	12	15	12	12	445a -- 1145p	51.6
66	15	15	15	15	430a -- 1115p	50.2
70	15	20	20	20	430a -- 1215a	39.5
71	30	30	30	40	445a -- 1100p	31
72	20	30	45	60	500a -- 900p	34.7
74	45	45	--	--	500a -- 715p	15.3
75	60	60	--	--	600a -- 645p	4.4
76	30	30	60	60	515a -- 1045p	17.8
79	30	45	70	70	500a -- 1100p	23.4
82	30	45	60	60	530a -- 745p	19
85	30	30	45	45	500a -- 1100p	17.8
86	55	55	50	--	530a -- 900p	18.5
87	45	45	45	--	545a -- 730p	24.2
89	30	30	30	30	430a -- 1115p	30.5
91	30	30	45	45	500a -- 1100p	30.5

OCTA COMMUNITY ROUTES						
Line	HEADWAY (Minutes)				Weekday Span	Boardings/ Revenue Hour**
	Peak	Base	Sat	Sun		
131	--	50	--	--	845a -- 600p	6.6
145	30	60	45	45	500a -- 1030p	24.2
147	--	--	--	--	Peak only	6.1
164	70	70	--	--	515a -- 630p	6.7
167	45	60	45	45	500a -- 1030p	20.2
172	60	60	60	60	500a -- 1030p	10.7
173	45	45	--	--	530a -- 815p	11.2
175	60	65	--	--	630a -- 1100p	10.9
177	45	45	45	45	530a -- 730p	22.6
178	30	60	45	--	600a -- 1115p	16.2
187	45	--	--	--	545a -- 630p	18.8
188	45	--	--	--	530a -- 745p	8.8
191	30	60	60	60	500a -- 945p	10.5
193	60	60	60	60	515a -- 800p	5.5

OCTA EXPRESS ROUTES						
Line	HEADWAY (Minutes)				Weekday Span	Boardings/ Revenue Hour**
	Peak	Base	Sat	Sun		
205	8*	30	30	30	445a -- 1215a	33.8
206	--	--	--	--	Peak only	33.5
211	30	30	--	--	Peak only	10.5
212	--	--	--	--	Peak only	6.5
213	30	30	--	--	Peak only	30.6
216	--	--	--	--	Peak only	9.4
701	30	30	--	--	Peak only	11.5
721	30	30	--	--	Peak only	11.5
757	30	30	--	--	Peak only	10.4

OCTA RAIL FEEDER ROUTES						
Line	HEADWAY (Minutes)				Weekday Span	Boardings/ Revenue Hour**
	Peak	Base	Sat	Sun		
410	--	--	--	--	Peak only	27.4
411	--	--	--	--	Peak only	18
430	--	--	--	--	Peak only	13.3
453	--	--	--	--	Peak only	27
454	--	--	--	--	Peak only	26.9
462	--	--	--	--	Peak only	23.1
463	--	--	--	--	Peak only	9.2
464	--	--	--	--	Peak only	9.6
470	--	--	--	--	Peak only	17.5
471	--	--	--	--	Peak only	12.8
480	--	--	--	--	Peak only	18.2
482	--	--	--	--	Peak only	17.1
490	--	--	--	--	Peak only	6.5

* = Headway of predominate direction
 ** = Average Boardings per Revenue Vehicle Hour from April 2005

Performance Measures for Evaluation of Service

While service standards guide the delivery of service, performance measures evaluate the effectiveness of the service.

Performance Measure 1: Productivity

A widely accepted industry measure, productivity measures the average number of riders using a bus route for each hour of service that is provided. At the OCTA, productivity standards range from 10 to 30 riders per revenue vehicle hour, depending on the type of service. Specialized services such as rail feeders, community shuttles and connector routes are not expected to handle as many riders as high demand services operating on major arterials. As of April 2005, 80 percent of the Local Fixed Routes meet the productivity standards, as well as 64 percent of the Community Routes, 33 percent of the Express Routes, and 77 percent of the Rail Feeder Routes.

Performance Measure 2: Vehicle Load Factor

Another common industry measure, vehicle loading or average load factor compares the average number of passengers on-board buses with the average number of seats scheduled for a given time period expressed as a ratio. It is an important service quality measure since it gives perspective on load size and crowding that occurs as more riders are required to stand. It attempts to establish a reasonable balance between the high cost of operating service and the comfort of passengers using the service.

Maximum load standards differ among the classes of service operated by the OCTA and are either 100-percent or 125-percent of seated capacity depending on the type of service, and the time interval measured. During peak periods, when demand is greatest, OCTA schedules to a higher average load compared to other lower demand periods. The exception to this is express service where passengers generally travel much greater distances and remain on-board longer than the average local bus rider. In the case of OCTA express service, trips are scheduled to average no more than 100-percent of seated capacity.

Performance Measure 3: On-time Performance (OTP)

The on-time performance goal is set at 85-percent of all bus trips systemwide, at the line level, and at the base level will meet the standard. Failure to achieve the standard and goal will trigger remedial activities to move the target service into compliance.

Currently, the OTP measurement is applied to the timepoint nearest the maximum load point (MLP) of the bus route under review. As more automated measurement tools become available, measurements will be made at all timepoints in the system, not just the MLP for each route.

OTP is reported to executive leadership and bus operations management on a monthly basis in the On-Time Performance Report. Currently (April 2005), approximately 86 percent of OCTA bus trips meet the OTP standard.

Other Bus Service Measures

General Service Expansion Measures

OCTA considers a service expansion of any of its family of bus services by determining its potential to achieve a specific minimum productivity level for that type of service within one year of operation. New lines or major extensions of established lines usually are associated with the development of major employment locations, large new residential centers or increased residential density, large retail centers or educational centers, or major medical facilities. A major consideration of service expansion to serve new markets is to insure that the benefit of the new service will outweigh that of the established service that may have to be deleted to provide resources for it.

General Service Contraction Measures

Routes or parts of routes that perform consistently below performance measures are candidates for service reduction or deletion to provide resources to (1) maintain measures on more productive routes, and (2) provide new services. A major consideration of service reduction is to insure that the benefits of re-deployed resources outweigh that of retaining the service. Other considerations to be taken into account include service area coverage and service span.

Connection with Other Carriers

OCTA coordinates the delivery of transit services with several other transit agencies. They include Laguna Beach Transit, Riverside Transit Agency, Norwalk Transit System, Los Angeles County Metropolitan Transportation Authority, Long Beach Transit, North County Transit District, various specialized charter bus services, and commuter rail services. Except for charter services, OCTA has interagency agreements with these agencies, which allow riders to transfers from one agency's services to another. In addition, OCTA coordinates schedules and bus stops with neighboring agencies and commuter rail service.

Paratransit Service

In addition to the fixed route services described above, OCTA also provides paratransit service, in compliance with the Americans with Disabilities Act (ADA), for persons with disabilities who are unable to use standard bus service.

Since paratransit service, as operated by OCTA, is not considered a congestion management tool, performance measures have not been included in this report.

Commuter Rail Service

In May 1990, legislation (SB 1402) was signed by the Governor of California requiring the Los Angeles, Orange, Riverside, and San Bernardino County Transportation Commissions to develop a coordinated regional transit plan, including commuter rail and bus service. To implement Senate Bill 1402, the participating agencies worked under a two-tiered organizational structure consisting of the Regional Commuter Rail Coordinating Council and an interim Joint Powers Agency. In 1991, the interim agencies evolved into the Southern California Regional Rail Authority (SCRRA), a joint powers agency composed of the Orange County Transportation Authority, the Los Angeles County Metropolitan Transportation Authority, the Riverside County Transportation Commission, the San Bernardino Association of Governments and the Ventura County Transportation Commission. The purpose of the agency is to develop, operate, and maintain the regional commuter rail system known as Metrolink.

Current Service

Currently, Metrolink service in the region includes seven rail lines, with 143 weekday trains operating throughout the 400-mile Metrolink system, which serves 53 stations, carries nearly 36,000 riders each weekday. Service on Saturdays is provided on the Antelope Valley and San Bernardino Lines. The San Bernardino Line also offers limited Sunday service. The IEOC provides some limited summer service to connect the beach areas with the interior of Orange County and Riverside County.

Presently, three routes serve Orange County, the Orange County Line, the Inland Empire – Orange County Line (IEOC), and the 91 Line. Throughout the past year, the ridership on all the Orange County routes continued to grow. The most significant growth though has been on the new 91 Line, which started service in May 2002.

Each weekday, the Orange County Line including the Metrolink riders on Amtrak trains, serves an average of 6,900 riders with the IEOC Line serving 3,500. The

new 91 Line has been carrying 1,800 riders. The combined ridership on the IEOC, 91, and Orange County Lines annually surpass 2.6 million passengers.

The continued growth of the Metrolink customer base has strained the existing system infrastructure. With parking lots at stations full and train cars packed, plans are underway to build more stations and add more train cars to help ease the overcrowding. In the next year, the Buena Park Station is scheduled to be constructed and available for service. New parking structures at both the Irvine and Fullerton stations are also being planned. The OCTA also undertook a Strategic Plan for Commuter Rail in the Orange County area. This Plan lays out significant improvements on the commuter rail lines to dramatically increase service over the next 25 years. These service increases will provide up to 30-minute service on the Orange County Line and improved service on the IEOC and 91 Lines. OCTA is currently finishing an Implementation Plan to layout a schedule and framework to begin these proposed service improvements.

To address the immediate overcrowding, and to expand the existing service, Metrolink also anticipates the purchase of 31 new rail cars over the next few years. OCTA has programmed \$13.5 million in 2004 for OCTA's share of these cars.

Future Transit Improvements

Orange County's transit system must be enhanced as the county develops. Based on the OCTA's service standards and performance measures, as well as the Ten Strategic Initiatives, various transit improvements will be implemented in the future.

With the approval of the OCTA's Ten Strategic Initiatives by the Board of Directors in 2002, the groundwork has been established to begin to offer more improvements within the OCTA's transit network, thereby creating transportation alternatives for the residents of Orange County. These strategic initiatives include: (1) expanding Local Bus service, (2) implementing a Bus Rapid Transit (BRT) service, (3) adding Express Bus service using over-the-road-coaches, and (4) expanding Commuter Rail feeder service to complement an increasing Metrolink rail service.

Expanding Local Bus Service

Local bus service represents the bulk of service offered throughout Orange County. The annual Comprehensive Business Plan illustrates how the OCTA will further expand local bus service by increasing Local Fixed Route, Small Bus Fixed Route, BRT, and Rail Feeder service. Local Fixed Route Service will grow at approximately

1 percent annually over the next eight years reaching over two million Revenue Vehicle Hours (RVH) by Fiscal Year 2015.

Bus Rapid Transit Service

As part of a continuous effort to explore transportation alternatives for passengers that utilize the OCTA's bus system, a new component of the Fixed Route Operations, known as Bus Rapid Transit (BRT), is being introduced to the residents of Orange County. As part of the ten strategic initiatives, the OCTA will provide BRT service to improve mobility within the county. BRT combines the flexibility of a bus system with some of the features that are typical of rail transit. BRT features include signal priority and fewer stops, allowing for faster travel times in easily identifiable vehicles. Harbor Boulevard and Westminster Avenue have been chosen as demonstration BRT routes in Orange County. Additionally, four more BRT corridors have been identified in the long-range plan, along Beach Boulevard, Katella Avenue, La Palma Avenue, and Edinger Avenue.

BRT service is anticipated to begin in Fiscal Year 2007 and requires about 65,000 RVH annually to operate the initial route traveling on Harbor Boulevard. The investment increases to about 166,000 RVH by Fiscal Year 2013 with the introduction of Westminster, Beach Boulevard, and Katella routes. The OCTA will focus on providing passengers with improved travel time and better connectivity for easier and more convenient access to the bus system, and other modes serving Orange County.

In order to better serve the densely populated areas of the county, passengers traveling in the core area of the county will be offered service with ten-minute headways. By planning these service levels, the OCTA continues on course to achieve the goal of meeting the growing demand for bus service.

Express Bus Service

In addition to increased Local Fixed Route service and implementing a new BRT service, the strategic initiatives call for improvements along the State Route 91 Corridor. This transportation corridor continues to experience congestion and increasingly long drive times between Orange and Riverside Counties. Congestion is anticipated to increase as new residential construction in the Inland Empire continues to provide affordable housing for individuals employed in Orange County. One way the OCTA is addressing this challenge is with Express Bus service between Orange and Riverside Counties. The OCTA foresees adding four new express routes to the three existing OCTA operated express routes, 701, 721 and 757, which currently travel to Los Angeles County.

Commuter Rail Service

Another element of the Ten Initiatives includes providing increased levels of bus feeder service for the Metrolink commuter rail system in Orange County. Rail Feeder service, also known as StationLink, provides 13 connector service routes for the Metrolink commuter rail system allowing passengers to reach employment centers after disembarking the train. One of the OCTA's priorities is to continue expanding Commuter Rail service between Los Angeles, Riverside, and Orange Counties commensurate with Metrolink expansion. The focal points include the addition of extra trains at peak and off-peak commute times, making Metrolink Orange County's backbone rail service.

As Orange County's economy and population grow, and demand for bus service continues to increase, the OCTA is on track to implement these strategic initiatives that impact Fixed Route Operations. The initiatives include increasing Local Fixed Route service by improving bus frequency to ten-minute headways on major routes within the core service area, implementing six new BRT routes, adding eleven Express Bus service routes, and increasing rail feeder service to complement the increase in Metrolink rail service.

Compliance

Bus and rail transit are essential components of Orange County's transportation system, and are considered important tools for reducing overall traffic congestion. OCTA's transit service performance measures insure that the level of bus and rail service is sufficient to meet demand and is coordinated within and between counties. As the transit provider for Orange County, OCTA continually monitors the frequency and routing of its transit services. The current service expansion program is designed to bring all transit services up to adopted standards.

Transportation Modeling and Planning

Legislative Text

Government Code Section 65089 (c) established important provisions for transportation models, which require consistency between transportation models, as well as consistency in databases used in transportation modeling efforts. Key provisions include:

- The development of "a uniform data base on traffic impacts for use in a countywide transportation computer model."
- The approval of "transportation computer models of specific areas within the County that will be used by local jurisdictions to determine the quantitative impacts of development on the circulation system."
- Consistency between subarea models, the County's model, and the regional (SCAG) model, both in terms of methodology and in terms of databases.

Background

In September 2001, OCTA adopted the Orange County Transportation Analysis Model (OCTAM) modeling methodology as the regional model for transportation planning in Orange County. OCTAM 3.2 is a "state-of-the-practice" multi-modal transportation model, which incorporates Orange County Projections 2004 (OCP-2004) and the Southern California Association of Governments (SCAG) RTP 2004 demographic growth projections.

Compliance

In 1993, OCTA adopted an approach to ensure consistency between the various traffic modeling efforts that occur at local and regional levels. Accordingly, traffic studies must compare data in local models with data from the Orange County Projections (OCP) database. The process applies in cases where a traffic model is used to perform a CMP-related traffic study. Any major differences found in the comparison between the two databases must be reconciled.

The reconciliation must demonstrate how the data used in the local model compares to the current OCP database. The intent of the demonstration is to ensure that the data assumptions employed in the local models are consistent with countywide data, resulting in CMP traffic studies that reflect anticipated levels of future land use. All jurisdictions in Orange County have complied with the transportation modeling and planning requirements of the previous CMP.

Subarea Modeling Guidelines

Adopted in January 1999 and updated in July 2005 in concert with the OCTAM 3.2 Model, the Orange County Subarea Modeling Guidelines Manual provides a uniform set of guidelines for agencies to use in developing local subarea models (Appendix F). The guidelines ensure that subarea models conform to CMP requirements and are consistent at both regional and county levels. Local subarea models must conform to the most current guidelines when utilized for CMP purposes and OCTA funding.

Highway Level of Service

Legislative Text

Government Code Section 65089 (b)(1)(A) and (B) sets forth responsibilities and requirements involved in establishing highway levels of service. These provisions include, but are not limited to, the following items.

Traffic Level of Service (LOS) standards are to be established for a system of highways and roadways designated by the agency. The system shall include at a minimum all state highways and principal arterials¹. No highway or roadway designated as part of the system shall be removed from the system. All new state highways and principal arterials shall be designated as part of the system except if within an infill opportunity zone. Level of Service shall be measured by Circular 212, (or by the most recent version of the Highway Capacity Manual), or by a uniform methodology adopted by the agency which is consistent with the Highway Capacity Manual (HCM). The determination as to whether an alternative method is consistent with the Highway Capacity Manual shall be made by the regional agency, except that the department shall make this determination instead if either (i) the regional agency is also the agency, as those terms are defined in Section 65088.1, or (ii) the department is responsible for preparing the regional transportation improvement plan for the County.

In no case shall the LOS standards established be below the level of service E or the base year level, whichever is farthest from level of service A, except where a segment or intersection is within an infill opportunity zone, or has been designated as deficient and a deficiency plan has been adopted pursuant to Section 65089.4.

Level of Service Monitoring

In 1991, a method of determining and monitoring traffic Level of Service (LOS) for CMP Highway System (CMPHS) intersections was established. To fulfill its responsibility as the Congestion Management Agency, the Orange County Transportation Authority conducts traffic counts and calculates LOS for the CMPHS intersections. Caltrans collects the necessary data and performs calculations for freeway level of service.

¹ Principal arterials as cited in the Government Code are not to be confused with the principal arterials functional classification of the Master Plan of Arterial Highways (MPAH).

Methodology

The Orange County CMP uses the Intersection Capacity Utilization (ICU) methodology for determining LOS at intersections. This methodology is generally compatible with the current Highway Capacity Manual. LOS is calculated using data collected in the field.

Saturation Flow Rate: A saturation flow rate value of 1,700 vehicles per lane per hour is used to determine the saturation flow rate at intersections. This is increased by 15 percent for unrestricted right turns. In all other cases, no adjustments are made for protected movements with dedicated lanes (including right and left turns).

Lost Time: A lost time factor of 5 percent (.05) is added to the ICU calculation.

LOS	Capacity
A	0 - .60
B	.61 - .70
C	.71 - .80
D	.81 - .90
E	.91 - 1.00
F	> 1.00

Level of Service Ranges: The thresholds listed in the following table are used in assigning a letter value to the resulting LOS.

Peak Periods: Weekday peak periods are defined as 6:00 to 9:00 a.m. and from 3:00 to 7:00 p.m. All peak-hour studies are contained within these periods.

Peak-Hour: The highest one-hour period in both the am and pm peak periods, as determined by four consecutive 15-minute count intervals, is used in the LOS calculations. Both am and pm peak-hours are studied.

Peak-Hour Data Consistency: Because daily variations in peak-hour volumes can affect LOS calculations, no counts are taken on Mondays, Fridays, holidays, weekends, days of inclement weather or during construction activities that reduce the number of travel lanes. Counts are taken on at least three separate days. An average of three daily counts is used in the LOS calculation with completed counts sent to each local jurisdiction for review and approval. Traffic counts are adjusted by the local jurisdiction to reflect legislative requirements, as appropriate, and then that information is returned to OCTA.

Geometric Features: Data collection for intersections includes a determination of the number of lanes, width of curb lanes at intersections, signal phasing, and pedestrian activity. The determination is made through field observation or other reliable means. This information is submitted to local jurisdictions for review and approval concurrently with the volume data.

Pedestrians: If field observation indicates the presence of more than 100 pedestrians per hour, then actual pedestrian counts are conducted simultaneously with intersection vehicle counts. Impacts of pedestrian activity are then factored in the ICU calculation using standard reductions in saturation flow rates for affected lanes in accordance with Chapter 16 of the Highway Capacity Manual.

Lane Distribution: In most cases, approaching traffic is assumed evenly distributed among all lanes serving a given movement (left, through, or right). An exception to this may occur in the case of split signal phasing. Additionally, atypical distributions of traffic may occur in locations where unusual attractions exist, such as a freeway ramp entrance or entrance to a shopping center. In such cases, volume distributions are indicated on the ICU form.

Signal Phasing: At some intersections, split signal phasing exists where optional through/left or through/right lanes may be present. Analysis done for these situations reflects the true distribution of the approach traffic into these optional lanes.

Right Turn Movements: If the distance from the inside edge of the outside through travel lane is at least 19 feet and parking is prohibited during the peak period, right turning vehicles are assumed to utilize this "unofficial" right turn lane. Otherwise, all right turn traffic is assigned to the outside through lane. If a right turn lane exists, right turn on red, if not prohibited at that location, is assumed. If a free right turn exists, where right turns do not have to stop for the signal, a flow rate of 1955 vehicles per hour is assumed for it. The volume capacity (V/C) ratio of the right turn lane is reported, but not included in the sum of the critical V/C ratios.

Arterial Class: All arterials on the Smart Street network are "principal arterials" (i.e., Arterial Class I) with LOS as defined in Table 3, "Arterial Levels of Service," from Table 11-1 of the HCM Application. Working in consultation with local jurisdictions, OCTA determines level of service for intersections on the Orange County CMP Highway System. The Congestion Management Program Highway System map (Figure 1) identifies intersections within each of the jurisdictions in Orange County. The CMPHS includes a consideration of the state-owned and operated freeway network elements that lie within a particular local jurisdiction's boundaries.

Freeway LOS: Caltrans collects the necessary data and performs any required calculations for freeway LOS as part of their ongoing system monitoring efforts. Freeway LOS data is presented in a Countywide format in the CMP. Individual cities are not responsible for freeway mainline volume data collection. OCTA incorporates Caltrans' figures into the final countywide CMP (Appendix A).

CMHS Evaluation

The CMP Highway System (CMPHS) consists of the Orange County smart street network plus the state highway system (Figure 1). The CMP monitors the level of service (LOS) at all CMPHS intersections, including intersections between smart streets and freeways (including toll corridors). In addition, levels of service on freeways and toll corridors themselves are monitored (see "Freeway LOS" section above).

Intersection LOS

Intersection LOS is calculated using ICU's from field data collected for intersections shown in the CMPHS map (Figure 2). The LOS figures for 2005 for each intersection are shown in Table 3.

LOS Criteria

Within the defined CMP highway network, intersections and freeway segments are not allowed to deteriorate to a condition which is worse than LOS E, or the base year LOS if worse than E, without mitigation being prescribed in an acceptable deficiency plan. In the case of base conditions reflecting a LOS worse than E, "existing LOS" is defined as any increase in V/C ratio of up to 0.10 over the base condition. V/C ratio increases beyond 0.10 above the base condition are considered not to comply with CMP LOS objectives and shall require mitigation or a deficiency plan.

TABLE 3: Page 1 of 3
Orange County Congestion Management Program
LEVEL OF SERVICE 2005

Intersection/interchange	Jurisdiction	Baseline AM		2005 AM		Baseline PM		2005 PM		Percent Change	
		LOS	ICU	LOS	ICU	LOS	ICU	LOS	ICU	AM ICU	PM ICU
Harbor Blvd./Katella Avenue	Anaheim	A	0.53	B	0.62	B	0.67	C	0.71	16.98%	5.97%
I-5 NB Ramp/Harbor Boulevard	Anaheim	A	0.52	A	0.5	A	0.54	A	0.59	-3.85%	9.26%
I-5 SB Ramp/Harbor Boulevard	Anaheim	A	0.29	A	0.28	A	0.31	A	0.29	-3.45%	-6.45%
Anaheim Blvd-I-5 NB Ramp/Katella Avenue	Anaheim	A	0.49	A	0.48	D	0.82	A	0.58	-2.04%	-29.27%
I-5 SB Ramp/Katella Avenue	Anaheim	A	0.48	B	0.61	A	0.41	A	0.52	27.08%	26.83%
Imperial Highway/Orangethorpe Avenue	Anaheim	B	0.67	C	0.8	D	0.89	D	0.84	19.40%	-5.62%
SR-57 NB Ramps/Katella Avenue	Anaheim	A	0.51	B	0.64	A	0.41	B	0.67	25.49%	63.41%
SR-57 SB Ramps/Katella Avenue	Anaheim	A	0.52	A	0.48	A	0.51	A	0.52	-7.69%	1.96%
SR-91 EB Ramp/Harbor Boulevard	Anaheim	A	0.46	A	0.42	A	0.52	A	0.54	-8.70%	3.85%
SR-91 WB Ramp/Harbor Boulevard	Anaheim	B	0.61	A	0.56	C	0.77	A	0.56	-8.20%	-27.27%
SR-91 EB Ramp/Imperial Highway	Anaheim	C	0.73	B	0.64	C	0.79	B	0.63	-12.33%	-20.25%
SR-91 WB Ramp/Imperial Highway	Anaheim	C	0.71	A	0.53	B	0.63	A	0.57	-25.35%	-9.52%
SR-91 EB Ramps/State College Boulevard	Anaheim	B	0.69	A	0.56	D	0.82	B	0.66	-18.84%	-19.51%
SR-91 WB Ramp/State College Boulevard	Anaheim	A	0.55	A	0.43	B	0.63	A	0.53	-21.82%	-15.87%
SR-91 EB Ramps/Tustin Avenue	Anaheim	B	0.66	A	0.57	D	0.84	A	0.57	-13.64%	-32.14%
SR-91 WB Ramps/Tustin Avenue	Anaheim	B	0.64	D	0.82	A	0.60	C	0.77	28.13%	28.33%
SR-57 NB Ramps/Imperial Highway	Brea	C	0.78	E	0.94	E	0.91	B	0.68	20.51%	-25.27%
SR-57 SB Ramps/Imperial Highway	Brea	B	0.68	C	0.72	B	0.70	D	0.88	5.88%	25.71%
State College Boulevard/Imperial Highway	Brea	C	0.73	B	0.65	E	0.93	C	0.8	-10.96%	-13.98%
Valencia Avenue/Imperial Highway	Brea	A	0.56	A	0.57	A	0.59	A	0.58	1.79%	-1.69%
Beach Boulevard/Orangethorpe Avenue	Buena Park	C	0.76	B	0.65	D	0.87	B	0.61	-14.47%	-29.89%
I-5 SB Ramps/Beach Boulevard	Buena Park	C	0.72	C	0.74	C	0.78	C	0.74	2.78%	-5.13%
SR-91 EB Ramp/Beach Boulevard	Buena Park	C	0.74	A	0.55	D	0.84	A	0.59	-25.68%	-29.76%
SR-91 WB Ramp/Beach Boulevard	Buena Park	A	0.58	A	0.52	A	0.59	A	0.59	-10.34%	0.00%
SR-91 EB Ramp/Valley View Street	Buena Park	A	0.58	A	0.54	D	0.86	B	0.66	-6.90%	-23.26%
SR-91 WB Ramp/Valley View Street	Buena Park	C	0.80	B	0.61	E	0.94	C	0.73	-23.75%	-22.34%
Harbor Boulevard/Adams Avenue	Costa Mesa	E	0.99	B	0.69	F	1.09	D	0.82	-30.30%	-24.77%
I-405 NB Ramps/Harbor Boulevard	Costa Mesa	A	0.53	B	0.61	B	0.63	C	0.76	15.09%	20.63%
I-405 SB Ramps/Harbor Boulevard	Costa Mesa	A	0.53	A	0.55	B	0.63	B	0.66	3.77%	4.76%
SR-133 NB Ramps/Irvine Boulevard	County of Orange	A	0.37	A	0.43	A	0.33	A	0.46	16.22%	39.39%
SR-133 SB Ramps/Irvine Boulevard	County of Orange	A	0.37	A	0.39	A	0.29	A	0.42	5.41%	44.83%
Valley View Street/Katella Avenue	Cypress	B	0.63	B	0.64	D	0.87	B	0.68	1.59%	-21.84%
Crown Valley Parkway/Bay Drive/PCH	Dana Point	F	1.41	B	0.63	F	1.62	B	0.63	-55.32%	-61.11%
Street of the Golden Lantern/Del Prado Avenue	Dana Point	A	0.32	A	0.37	A	0.53	A	0.51	15.63%	-3.77%
Street of the Golden Lantern/PCH	Dana Point	A	0.42	A	0.46	A	0.55	A	0.56	9.52%	1.82%

TABLE 3: Page 2 of 3
Orange County Congestion Management Program
LEVEL OF SERVICE 2005

Intersection/Interchange	Jurisdiction	Baseline AM		2005 AM		Baseline PM		2005 PM		Percent Change	
		LOS	ICU	LOS	ICU	LOS	ICU	LOS	ICU	AM ICU	PM ICU
Harbor Boulevard/Orangethorpe Avenue	Fullerton	A	0.60	C	0.73	E	0.94	D	0.83	21.67%	-11.70%
State College Boulevard/Orangethorpe Avenue	Fullerton	C	0.80	B	0.65	D	0.86	C	0.74	-18.75%	-13.95%
SR-22 WB Ramp/Valley View Street	Garden Grove	C	0.76	A	0.58	D	0.87	A	0.6	-23.68%	-31.03%
SR-22 WB Ramps/Harbor Boulevard	Garden Grove	F	1.10	C	0.8	F	1.16	C	0.78	-27.27%	-32.76%
Beach Boulevard/405 SB Ramp/Edinger Avenue	Huntington Beach	B	0.63	C	0.72	E	1.03	D	0.86	14.29%	-16.50%
Beach Boulevard/Adams Avenue	Huntington Beach	A	0.55	A	0.54	C	0.67	B	0.63	-1.82%	-5.97%
Beach Boulevard/Pacific Coast Highway	Huntington Beach	A	0.45	B	0.64	A	0.47	B	0.62	42.22%	31.91%
Beach Boulevard/Warner Avenue	Huntington Beach	C	0.78	C	0.77	E	0.93	C	0.76	-1.28%	-18.28%
Bolsa Chica Street/Bolsa Avenue	Huntington Beach	B	0.66	B	0.66	A	0.53	A	0.6	0.00%	13.21%
Bolsa Chica Street/Warner Avenue	Huntington Beach	A	0.57	B	0.61	D	0.81	B	0.63	7.02%	-22.22%
Pacific Coast Highway/Warner Avenue	Huntington Beach	D	0.81	C	0.77	B	0.72	C	0.74	-4.94%	2.78%
I-405 NB Ramps/Enterprise/Irvine Center Drive	Irvine	E	0.95	D	0.82	A	0.39	A	0.55	-13.68%	41.03%
I-405 SB Ramps/Irvine Center Drive	Irvine	E	1.00	C	0.74	A	0.57	A	0.56	-26.00%	-1.75%
I-405 NB Ramps/Jamboree Road	Irvine	F	1.03	C	0.77	C	0.78	C	0.75	-25.24%	-3.85%
I-405 SB Ramps/Jamboree Road	Irvine	E	0.92	E	0.91	B	0.66	C	0.73	-1.09%	10.61%
I-5 NB Ramps/Jamboree Road	Irvine	A	0.54	B	0.68	C	0.75	D	0.9	25.93%	20.00%
I-5 SB Ramps/Jamboree Road	Irvine	A	0.40	D	0.83	A	0.35	C	0.8	107.50%	128.57%
MacArthur Boulevard/Jamboree Road	Irvine	B	0.61	B	0.65	B	0.69	D	0.88	6.56%	27.54%
SR-261 NB Ramps/Irvine Boulevard	Irvine	A	0.38	A	0.41	A	0.53	A	0.49	7.89%	-7.55%
SR-261 SB Ramps/Irvine Boulevard	Irvine	A	0.42	A	0.5	A	0.40	A	0.4	19.05%	0.00%
El Toro Road/SR-73 NB Ramps	Laguna Beach	E	0.91	A	0.52	A	0.59	A	0.56	-42.86%	-5.08%
El Toro Road/SR-73 SB Ramps	Laguna Beach	A	0.41	A	0.4	B	0.67	B	0.62	-2.44%	-7.46%
Laguna Canyon Rd/SR-73 NB Ramps	Laguna Beach	C	0.73	F	1.07	C	0.72	B	0.65	46.58%	-9.72%
Laguna Canyon Rd/SR-73 SB Ramps	Laguna Beach	A	0.32	A	0.37	A	0.33	A	0.33	15.63%	0.00%
Laguna Canyon Road/El Toro Road	Laguna Beach	F	1.54	E	0.97	F	1.16	D	0.81	-37.01%	-30.17%
Laguna Canyon Road/Pacific Coast Highway	Laguna Beach	D	0.84	D	0.89	C	0.74	C	0.72	5.95%	-2.70%
I-5 SB Ramp/Avenue de la Cartotta/El Toro Road	Laguna Hills	F	1.18	A	0.44	F	1.13	B	0.61	-62.71%	-46.02%
Moulton Parkway/Crown Valley Parkway	Laguna Niguel	A	0.56	A	0.58	B	0.65	B	0.68	3.57%	4.62%
Moulton Parkway/SR-73 SB Ramps	Laguna Niguel	A	0.45	A	0.38	A	0.38	A	0.46	-15.56%	21.05%
Moulton Parkway/El Toro Road	Laguna Woods	E	0.94	E	0.95	F	1.26	D	0.85	1.06%	-32.54%
Beach Boulevard/Imperial Highway	La Habra	D	0.85	C	0.75	D	0.87	C	0.74	-11.76%	-14.94%
Beach Boulevard/Whittier Boulevard	La Habra	A	0.33	A	0.45	A	0.29	A	0.51	36.36%	75.86%
Harbor Boulevard/Imperial Highway	La Habra	D	0.81	C	0.71	D	0.86	C	0.75	-12.35%	-12.79%

TABLE 3: Page 3 of 3
 Orange County Congestion Management Program
 LEVEL OF SERVICE 2005

Intersection/Interchange	Jurisdiction	Baseline AM		2005 AM		Baseline PM		2005 PM		Percent Change	
		LOS	ICU	LOS	ICU	LOS	ICU	LOS	ICU	AM ICU	PM ICU
I-5 NB/Bridger/EI Toro Road	Lake Forest	A	0.56	A	0.57	D	0.81	B	0.63	1.79%	-22.22%
Trabuco Road/EI Toro Road	Lake Forest	F	1.03	C	0.74	C	0.80	B	0.7	-28.16%	-12.50%
I-605 NB Ramps/Katella Avenue	Los Alamitos	B	0.69	A	0.49	B	0.65	A	0.55	-28.99%	-15.38%
I-5 NB Ramps/Crown Valley Parkway	Mission Viejo	B	0.68	A	0.53	B	0.69	B	0.68	-22.06%	-1.45%
I-5 SB Ramps/Crown Valley Parkway	Mission Viejo	D	0.86	B	0.63	F	1.01	E	0.93	-26.74%	-7.92%
MacArthur Boulevard/Pacific Coast Highway	Newport Beach	A	0.51	A	0.58	B	0.70	B	0.7	13.73%	0.00%
Newport Boulevard/Pacific Coast Highway	Newport Beach	A	0.56	C	0.76	A	0.49	B	0.62	35.71%	26.53%
SR-55 NB Ramps/Sacramento/Katella Avenue	Orange	C	0.75	A	0.53	D	0.85	C	0.73	-29.33%	-14.12%
SR-55 SB Ramps/Katella Avenue	Orange	C	0.73	E	0.92	E	0.95	C	0.75	26.03%	-21.05%
Rose Drive/Imperial Highway	Placentia	E	0.95	B	0.66	E	0.99	D	0.86	-30.53%	-13.13%
Rose Drive/Tustin Avenue/Orangethorpe Avenue	Placentia	C	0.76	B	0.66	F	1.03	C	0.71	-13.16%	-31.07%
SR-57 NB Ramps/Orangethorpe Avenue	Placentia	B	0.67	A	0.60	C	0.80	B	0.67	-10.45%	-16.25%
SR-57 SB Ramps/Iowa Place/Orangethorpe Avenue	Placentia	C	0.74	A	0.41	B	0.69	A	0.45	-44.59%	-34.78%
I-5 NB Ramps/Ortega Highway	San Juan Capistrano	A	0.52	F	1.10	A	0.58	F	1.05	111.54%	81.03%
I-5 SB Ramps/Ortega Highway	San Juan Capistrano	B	0.61	E	0.97	C	0.77	F	1.15	59.02%	49.35%
Harbor Boulevard/1st Street	Santa Ana	A	0.48	B	0.68	D	0.81	D	0.85	41.67%	4.94%
Harbor Boulevard/Warner Avenue	Santa Ana	E	0.93	C	0.77	E	0.98	D	0.88	-17.20%	-10.20%
I-5 SB Ramps/1st Street	Santa Ana	A	0.29	A	0.39	A	0.46	A	0.42	34.48%	-8.70%
SR-55 SB Ramp/Auto Mall/Edinger Avenue	Santa Ana	D	0.90	C	0.75	F	1.06	D	0.81	-16.67%	-23.58%
SR-55 SB Ramps/Irvine Boulevard (Fourth Street)	Santa Ana	B	0.68	A	0.58	D	0.83	B	0.7	-14.71%	-15.66%
Beach Boulevard/Katella Avenue	Stanton	D	0.89	C	0.71	F	1.02	C	0.75	-20.22%	-26.47%
Jamboree Road/Edinger Avenue-NB Ramp	Tustin	A	0.28	A	0.31	A	0.32	A	0.4	10.71%	25.00%
Jamboree Road/Edinger Avenue-SB Ramp	Tustin	D	0.81	C	0.71	A	0.41	A	0.36	-12.35%	-12.20%
Jamboree Road/Irvine Boulevard	Tustin	B	0.65	C	0.79	A	0.59	C	0.78	21.54%	32.20%
SR-55 NB Ramps/Edinger Avenue	Tustin	C	0.72	A	0.6	B	0.65	C	0.74	-16.67%	13.85%
SR-55 NB Ramps/Irvine Boulevard	Tustin	A	0.59	C	0.71	A	0.45	C	0.77	20.34%	71.11%
Beach Boulevard/Bolsa Avenue	Westminster	F	1.09	C	0.73	F	1.11	C	0.75	-33.03%	-32.43%
Bolsa Chica Road/Garden Grove Boulevard	Westminster	E	0.91	D	0.86	E	0.97	E	0.93	-5.49%	-4.12%
COUNTY AVERAGE			0.72		0.65		0.79		0.69	-9.90%	-12.31%

■ = Level of Service F (ICU value of over 1.00)

Deficiency plans are not required if a deficient intersection is brought into compliance within eighteen (18) months of its initial detection through improvements which have been previously planned and programmed in the CMP Capital Improvement Program. In addition, CMP legislation specifies that facilities meeting the following criteria may be exempted from a deficiency finding:

- Interregional travel (trip origin outside the Orange County CMP area);
- Construction or maintenance that impact the facility;
- Freeway ramp metering;
- Traffic signal coordination by the State or multi-jurisdictional agencies;
- Traffic generated by the provision of low and very low income housing;
- Improvements contained in the CIP or other prior development approvals constructed in the next Fiscal Year that will address the potential deficiency.

Implementation and Monitoring

The Level of Service for intersections on the CMP Highway System is determined by OCTA in consultation with local jurisdictions. For each CMPHS intersection, OCTA submits information on intersection geometry and level of service traffic count data to the appropriate local agencies for review. Data for each intersection is assessed by the local agency for accuracy. Any errors are promptly reported to OCTA. The procedure is monitored and updated as necessary to ensure that the methods are efficient and the results are accurate.

Compliance

For the 2005 update of the CMP, all local jurisdictions were found in compliance with LOS requirements. Based on the data exhibited in Table 3, approximately 62 percent of the CMP intersections show improvements during the P.M. peak hours when compared with base year figures with 55 percent improving for the A.M. peak period. The average level of service for Orange County improved over the base year by nearly 10 percent during morning peak hours and by more than 12 percent during the evening peak.

However, comparisons made to the previous CMP monitoring effort show more modest improvements. During the A.M. peak period, 44 percent of the intersections in the CMP Highway System improved, while slightly more than half showed improvements during the P.M. peak period. Average levels of service improved

only slightly in the A.M. peak period, with a 4 percent improvement exhibited during the P.M. peak period. As a result, local jurisdictions with intersections exhibiting levels of service approaching the minimum acceptable level of service are urged to continue monitoring those intersections carefully to ensure that they do not fall into a deficient status during the next CMP cycle.

While three intersections exceeded established LOS standards, they were not found deficient due to mitigating factors (Table 4). These were exempted under the statutory criteria listed above. In all cases, these intersections were either impacted by nearby freeway construction, or programmed for improvements. The I-5/Ortega Highway interchange was designed prior to significant development in the San Juan Capistrano area, and has been impacted by both new development and a significant increase in traffic from Riverside County using Ortega Highway. Plans have been developed to improve the interchange, with the project now in the preliminary engineering phase.

Table 4
Status of 2005 CMP Intersections Not Meeting Standards

Jurisdiction	Intersection	2005 ICU AM	2003 ICU AM	1991 ICU AM	2005 ICU PM	2003 ICU PM	1991 ICU PM	Status
Laguna Beach	Laguna Canyon Road/SR-73 NB Ramps	1.07	0.77	0.73	0.65	0.77	0.72	Impacted by Caltrans construction on Laguna Canyon. Also, Statutorily exempt. Signal controlled by State.
San Juan Capistrano	I-5 NB Ramps/Ortega Highway	1.10	0.98	0.52	1.05	0.85	0.58	Statutorily exempt. Signal controlled by State. Interchange improvement in preliminary engineering.
San Juan Capistrano	I-5 SB Ramps/Ortega Highway	0.97	0.77	0.61	1.15	0.91	0.77	Statutorily exempt. Signal controlled by State. Interchange improvement in preliminary engineering.

Level of Service (LOS) Deficiency Plans

Legislative Text

The CMP legislation provides a procedure for dealing with LOS deficiencies that occur on the CMP Highway System. Government Code Section 65089.4 states that a local jurisdiction must prepare a deficiency plan when highway or roadway level of service standards are not maintained. The deficiency plan must be adopted by the city or county at a noticed public hearing and include, but not limited to, all of the following:

- An analysis of the causes and impacts of the deficiency;
- A list of improvements necessary for the deficient road or intersection to maintain the minimum level of service otherwise required and the estimated costs of the improvements;
- A list of improvements, programs, or actions, and estimates of costs, that will measurably improve the level of service of the system, and contribute to significant improvements in air quality, such as improved public transit service and facilities, improved non-motorized transportation facilities, high occupancy vehicle facilities, parking cash-out programs, and transportation control measures. The air quality management district or the air pollution control district establishes and periodically revises a list of approved improvements, programs, and actions. If an improvement, program, or action is on the approved list and has not yet been fully implemented, it will be deemed to contribute to significant improvements in air quality. If an improvement, program, or action is not on the approved list, it can not be implemented unless approved by the local air quality management district or air pollution control district;
- An action plan, consistent with the provisions of Chapter 5 (commencing with Section 66000) of Division 1 of Title 7, that must be implemented, consisting of the improvements discussed in the previous paragraphs and found by the agency to be in the interest of the public's health, safety and welfare. The action plan must also include a specific implementation schedule.

The adopted deficiency plan must be forwarded to the congestion management agency within 12 months of the identification of the deficiency. The agency must hold a noticed public hearing within 60 days of receiving the deficiency plan and determine whether the plan should be accepted or rejected. If the plan is rejected, the city will be notified of the reasons for the rejection.

Background

Although deficiency plans have not yet been required for Orange County's CMP preparation effort, a deficiency plan process was developed by the CMP Technical Advisory Committee and its deficiency plan subcommittee to assist local jurisdictions in understanding and planning for future CMP requirements.

The CMP establishes a process that allows local jurisdictions to designate as “deficient” those roads or intersections that do not meet the established traffic Level of Service (LOS) standards (i.e., LOS E or better, unless the baseline was LOS F). The local jurisdiction must then develop and adopt a deficiency plan to bring the road up to the established LOS standard. The deficiency plan identifies the cause of congestion, the improvements needed to solve the problem, and the cost and timing of the proposed improvements. The deficiency plan process provides local jurisdictions with a framework for maintaining compliance with the CMP when a portion of the CMP Highway System fails to meet its established LOS standard.

Through the long-range transportation planning process, OCTA identifies potential deficiencies before they occur. As funding becomes available, projects are programmed to allow them to be included in the Capital Improvement Plan in sufficient time to prevent deficiencies in the roadway system.

Deficiency Plan Process

The Orange County deficiency plan process has been fully developed and defined. A flow chart summarizing the deficiency plan process is provided in Appendix C-1. The flow chart illustrates the basic components of the deficiency plan process and shows some of its inter-relationships with other CMP components. The established deficiency plan process is designed to identify both existing and projected CMP Highway System deficiencies. The Deficiency Plan Decision Tree (Appendix C-2) illustrates the individual steps that must be taken in order for a local jurisdiction to meet CMP deficiency plan requirements.

Deficiency plans are only required when a location on the CMP Highway System has been identified as not conforming with its LOS standard, as defined in the LOS Component.

Cities with deficient intersections must prepare deficiency plans that describe how conditions at an identified deficient location will be improved to an acceptable LOS, or describe how other actions will achieve an overall improvement of the system. Deficiency plans are not required if a deficient intersection will be brought into compliance within eighteen (18) months of its initial detection through improvements

which have been previously planned and programmed in the CMP Capital Improvement Program.

Compliance

Level of service data was collected for all intersections on the CMP Highway System between February and May 2005. To ensure validity, data collection was suspended temporarily to avoid the disruption of travel patterns during Easter/Spring Break holidays. No deficiency plans are required for the 2005 CMP.

Capital Improvement Program

Legislative Text

Government Code Section 65089(b)(5) requires development of a seven-year capital improvement program to maintain or improve the performance of the multimodal system for the movement of people and goods, and to mitigate regional transportation impacts. The capital improvement program must conform to transportation-related vehicle emissions and air quality mitigation measures, and include projects that will increase the capacity of the multimodal system.

Background

The CMP capital improvement program (CIP) includes projects that will help to maintain or improve traffic conditions on the Congestion Management Program Highway System (CMPHS) and adjacent facilities. In addition to traditional capital projects such as street improvements, the CMP CIP can also include projects that provide transit and air quality benefits. Consistency with statewide standards is emphasized in order for projects in the CMP CIP to adequately compete for state funding.

The capital improvement programs prepared by local jurisdictions for inclusion in the Orange County CMP contain projects that mitigate regional transportation impacts identified in the Land Use Coordination Component of the CMP.

Several types of projects were submitted by local jurisdictions for inclusion in the CMP. Freeway ramp widenings, transportation systems management projects such as bus turnouts, intersection improvements, roadway widenings, and signal coordination projects are among the types of projects found there. Each of Orange County's jurisdiction's CMP CIP is included in Appendix E, which is published separately.

In addition, projects in the CIP that are federal or state funded, as well as locally funded projects of regional significance, are also included in the Orange County portion of the Regional Transportation Improvement Program (RTIP), and are consistent with the Regional Transportation Plan (RTP).

Compliance

In preparing their 7-year Capital Improvement Programs, all Orange County jurisdictions have met the CIP requirements of Government Code Section 65089(b)(5) of the CMP legislation.

Monitoring and Conformance

Legislative Text

The Congestion Management Program requires that the Congestion Management Agency (in Orange County, the Orange County Transportation Authority) monitor the implementation of all elements of the Congestion Management Program and biennially determine conformance. Section 65089.4 of the Government Code provides that the conformity determination include, but not be limited to, the following:

- Consistency with levels of service and performance standards;
- Adoption and implementation of a program to analyze the impacts of land use decisions, including an estimate of costs associated with mitigating these impacts;
- Adoption and implementation of a deficiency plan when highway and roadway level of service standards are not maintained.

If, based on this biennial monitoring, the Congestion Management Agency determines, after a noticed public hearing, that a city or county is not conforming with the CMP requirements, the Agency shall notify the city or county in writing of the specific areas of non-conformance. If within 90 days of the written notice the city or county has not come into conformance, the governing body of the Agency shall make a finding of non-conformance and shall submit the finding to the California Transportation Commission and to the State Controller. Upon receiving the notice of non-conformance from the Agency, the Controller shall withhold apportionments of Proposition 111 gas tax funds from the non-conforming jurisdiction.

Background

In Orange County, conformity with the Congestion Management Program is based on the following criteria:

- Local jurisdictions' consistency with the Level of Service (LOS) standards;
- Transit operators' consistency with transit performance measures;
- Local jurisdictions' adoption of Capital Improvement Programs;

- Local jurisdictions' adoption and implementation of a program to analyze the impacts of land use decisions, including an estimate of the costs associated with mitigating those impacts and;
- When necessary, preparation and adoption of deficiency plans which list specific actions and implementation dates.

Monitoring Process

To fulfill the monitoring requirements for the CMP, OCTA developed a set of monitoring checklists to guide local jurisdictions through the CMP conformity process (see Appendix D). All jurisdictions completed these checklists and included them with their agency's 2005 CMP submittal to OCTA.

The checklists provide OCTA with information essential for determining if the goals of the CMP are being met. Of primary interest are indications of declining levels of service on the CMPHS since they point to the need for improvements to the system. OCTA also seeks confirmation from local jurisdictions that development impacts are being evaluated and mitigated as needed. Taken together, these can help local jurisdictions avoid having to prepare deficiency plans by identifying and responding to trouble spots early on.

Based on the CMP checklists completed by the local jurisdictions, the following was determined:

Level of Service

OCTA collected Level of Service (LOS) information for all the CMPHS intersections and provided this information to local jurisdictions for verification. A few discrepancies in LOS reporting occurred as a result of slight variations in the data collection methodology used by the cities and OCTA, or due to erroneously reported intersection geometry. Through an interactive, cooperative process, the cities and OCTA reached a consensus on all LOS counts, and corrections were made to reported lane configurations and signal phasing. All local jurisdictions were found in compliance with the LOS requirement.

Transit Performance Measures

OCTA Operations staff completed the transit performance measures checklist. It was determined that the transit service performance had been met.

Transportation Demand Management (TDM)

All local jurisdictions indicated that they had applied the TDM ordinance to development projects that met the thresholds specified in the ordinance.

Capital Improvement Program

All local jurisdictions submitted adopted seven-year capital improvement programs that included projects to maintain or improve the traffic LOS on the CMPHS or adjacent facilities, which benefit the CMPHS.

Land Use Coordination

All local jurisdictions adopted CMP Traffic Impact Analysis (TIA) processes for analyzing the impacts of land use decisions on the CMP Highway System. Most Orange County local jurisdictions chose to use the CMP TIA process adopted by the CMP Policy Task Force. Two jurisdictions adjusted their existing processes to incorporate CMP TIA requirements.

All local jurisdictions applied their selected TIA process to development projects that met the CMP minimum threshold of 2,400 or more daily trips. (The threshold is 1,600 or more trips per day for development projects that will directly access the CMPHS.) The CMP TIA process was applied to over 88 development projects. The TIA process identified two locations on the CMPHS where level of service may be measurably impacted by a proposed development project.

Deficiency plans

Based on the data exhibited in Table 3, all intersections on the CMP highway system were found in compliance with level of service requirements. Therefore, no deficiency plans were required for the 2005 CMP.

Consistency with Other Counties

To ensure consistency between Congestion Management Programs within the Southern California region, OCTA submits each biennial update of the Orange County Congestion Management Program to the Southern California Association of Governments. SCAG, as the regional agency, evaluates consistency with the regional transportation plans and with the CMPs of adjoining counties, and incorporates the program into the Regional Transportation Improvement Program (RTIP) once consistency is determined. Cooperative efforts undertaken by OCTA for projects that go beyond jurisdictional boundaries also ensure consistency

among agencies. Examples include ride-share services, bus and rail service, and freeway corridor improvements. The previous update of the Orange County CMP was submitted in December 2003 and was found consistent by SCAG.

Summary of Compliance

Jurisdiction	LOS Counts	TDM Element	Capital Improvement Program	Deficiency Plan	Land Use	2005 Compliance
Aliso Viejo	yes*	yes	yes	n/a	yes	yes
Anaheim	yes	yes	yes	n/a	yes	yes
Brea	yes	yes	yes	n/a	yes	yes
Buena Park	yes	yes	yes	n/a	yes	yes
Costa Mesa	yes	yes	yes	n/a	yes	yes
Cypress	yes	yes	yes	n/a	yes	yes
Dana Point	yes	yes	yes	n/a	yes	yes
Fountain Valley	yes*	yes	yes	n/a	yes	yes
Fullerton	yes	yes	yes	n/a	yes	yes
Garden Grove	yes	yes	yes	n/a	yes	yes
Huntington Beach	yes	yes	yes	n/a	yes	yes
Irvine	yes	yes	yes	n/a	yes	yes
Laguna Beach	yes	yes	yes	n/a	yes	yes
Laguna Hills	yes	yes	yes	n/a	yes	yes
Laguna Niguel	yes	yes	yes	n/a	yes	yes
Laguna Woods	yes*	yes	yes	n/a	yes	yes
Lake Forest	yes	yes	yes	n/a	yes	yes
La Habra	yes	yes	yes	n/a	yes	yes
La Palma	yes	yes	yes	n/a	yes	yes
Los Alamitos	yes	yes	yes	n/a	yes	yes
Mission Viejo	yes	yes	yes	n/a	yes	yes
Newport Beach	yes	yes	yes	n/a	yes	yes
Orange	yes	yes	yes	n/a	yes	yes
Placentia	yes	yes	yes	n/a	yes	yes
Rancho Santa Margarita	yes*	yes	yes	n/a	yes	yes
San Clemente	yes*	yes	yes	n/a	yes	yes
San Juan Capistrano	yes	yes	yes	n/a	yes	yes
Santa Ana	yes	yes	yes	n/a	yes	yes
Seal Beach	yes*	yes	yes	n/a	yes	yes
Stanton	yes	yes	yes	n/a	yes	yes
Tustin	yes	yes	yes	n/a	yes	yes
Villa Park	yes*	yes	yes	n/a	yes	yes
Westminster	yes	yes	yes	n/a	yes	yes
Yorba Linda	yes*	yes	yes	n/a	yes	yes
County of Orange	yes	yes	yes	n/a	yes	yes

* These cities do not have intersections on the CMPHS

APPENDIX A
Freeway Level of Service

Caltrans District 12 CMP DATA

Orange Route	Post Mile	Description	2004 AADT	NB LOS		SB LOS	
				AM	PM	AM	PM
5	0.00	SAN DIEGO-ORANGE COUNTY LINE AT CHRISTIANITOS	143,000	D	D	D	D
5	1.00	AVENIDA CALIFIA	149,000	D	D	D	D
5	1.63	EL CAMINO REAL	157,000	D	D	D	D
5	2.31	AVENIDA PRESIDIO	157,000	D	D	D	D
5	2.66	AVENIDA PALIZADA	178,000	D	D	E	E
5	3.39	AVENIDA PICO	198,000	E	E	E	E
5	5.80	CAMINO ESTRELLA	218,000	F	F	F	F
5	6.78	JCT. RTE. 1, PACIFIC COAST HIGHWAY	215,000	F	F	F	F
5	7.34	CAMINO CAPISTRANO On-Ramp	220,000	F	F	F	F
5	8.80	SAN JUAN CREEK ROAD	225,000	E	E	E	E
5	9.60	JCT. RTE. 74, ORTEGA HIGHWAY EAST	240,000	E	E	E	F
5	10.91	JUNIPERO SERRA ROAD	240,000	E	E	E	F
5	12.94	AVERY PARKWAY	245,000	E	E	F	F
5	13.78	CROWN VALLEY PARKWAY	280,000	F	F	F	F
5	15.22	OSO PARKWAY	300,000	F	F	F	F
5	16.53	LA PAZ ROAD	305,000	F	F	F	F
5	17.47	ALICIA PARKWAY	335,000	F	F	F	F
5	18.69	EL TORO ROAD	357,000	F	F	E	F
5	19.89	LAKE FOREST DRIVE	300,000	F	E	D	D
5	21.30	JCT. RTE. 405, SANTA ANA FREEWAY	223,000	F	E	F	F
5	22.21	ALTON PARKWAY	242,000	F	E	E	F
5	23.12	JCT. RTE. 133	255,000	F	E	D	E
5	23.94	SAND CANYON AVENUE	265,000	E	D	D	F
5	24.99	JEFFREY ROAD	273,000	F	D	E	F
5	26.58	CULVER DRIVE	306,000	F	E	E	F
5	27.58	JAMBOREE ROAD	316,000	F	E	E	F
5	28.25	TUSTIN RANCH ROAD	330,000	F	E	E	F

Caltrans District 12 CMP DATA

Orange Route	Post Mile	Description	2004 AADT	NB LOS		SB LOS	
				AM	PM	AM	PM
5	29.09	RED HILL AVENUE	318,000	F	E	E	F
5	29.62	NEWPORT AVENUE	336,000	F	F	F	F
5	30.26	JCT. RTE. 55, COSTA MESA FREEWAY	334,000	F	F	F	F
5	30.90	FIRST/FOURTH STREETS	344,000	F	D	F	F
5	31.76	GRAND AVENUE	367,000	F	E	F	E
5	32.46	17TH STREET	370,000	F	E	F	F
5	33.09	MAIN STREET	345,000	F	F	F	D
5	34.00	JCT. RTES 22 & 57 GARDEN GROVE/ORANGE FREEWAYS	260,000	C	D	C	C
5	34.83	CHAPMAN AVENUE	242,000	C	D	C	B
5	35.20	STATE COLLEGE BOULEVARD	242,000	D	E	D	C
5	36.37	KATELLA AVENUE	245,000	D	E	D	C
5	36.61	HASTER STREET	245,000	D	E	D	C
5	37.40	HARBOR BOULEVARD	241,000	D	E	D	C
5	37.67	BALL ROAD	257,000	D	F	D	C
5	38.95	LINCOLN AVENUE	250,000	D	E	D	C
5	39.49	EUCLID AVENUE	259,000	D	F	D	C
5	40.71	BROOKHURST STREET	254,000	F	E	D	C
5	42.10	JCT. RTE. 91, RIVERSIDE/ARTESIA FREEWAYS	221,000	F	F	D	C
5	43.13	STANTON AVENUE	181,000	F	F	E	C
5	43.43	JCT. RTE. 39 (BEACH BOULEVARD OVERCROSS	191,000	F	F	E	C
5	44.26	ARTESIA AVENUE	185,000	F	F	F	E
5	44.38	ORA-LA COUNTY LINE (BUENA PARK CITY LIMITS)					

Caltrans District 12 CMP DATA

Orange Route	Post Mile	Description	2004 AADT	NB LOS		SB LOS	
				AM	PM	AM	PM
22	0.34	BEGIN GARDEN GROVE FREEWAY	97,000				
22	0.37	JCT. RTE. 605 NORTH	93,000				
22	0.65	WEST JCT. RTE. 405	93,000				
22	0.66	EAST JCT. RTE. 405, SAN DIEG FREEWAY AT BOLSA	136,000				
22	2.65	KNOTT AVENUE/ GOLDEN WEST STREET	153,000				
22	3.59	BEACH BOULEVARD	170,000				
22	4.81	MAGNOLIA STREET	173,000				
22	5.82	BROOKHURST STREET	170,000				
22	6.81	EUCLID STREET	181,000				
22	7.83	HARBOR BOULEVARD	208,000				
22	8.82	GARDEN GROVE BOULEVARD	209,000				
22	9.73	ORANGE, MANCHESTER AVENUE/CITY DRIVE	176,000				
22	10.48	JCT. RTES. 5 AND 57; SANTA ANA/ORANGE FREEWAYS	149,000				
22	10.99	SANTA ANA, MAIN STREET	149,000				
22	11.83	ORANGE, GLASSELL STREET	143,000				
22	12.87	ORANGE, TUSTIN AVENUE	120,000				
22	13.16	JCT. RTE. 55, COSTA MESA FREEWAY					

NO DATA AVAILIBABLE DUE TO CONSTRUCTION OF HOV WIDENING PROJECT

Caltrans District 12 CMP DATA

Orange Route	Post Mile	Description	2004 AADT	NB LOS		SB LOS	
				AM	PM	AM	PM
55	0.00	FINLEY AVENUE	43,000	<i>CONVENTIONAL HIGHWAY</i>			
55	0.27	JCT. RTE. 1, PACIFIC COAST HIGHWAY	54,000				
55	1.51	EAST 17TH STREET	86,000				
55	1.82	HARBOR BOULEVARD	70,000				
55	2.02	19TH STREET	97,000				
55	2.77	VICTORIA/22ND STREETS					
55	4.02	MESA DRIVE	135,000	D	C	C	E
55	4.74	JCT. RTE. 73, CORONA DEL MAR FREEWAY	162,000	C	D	C	E
55	5.99	JCT. RTE. 405, SAN DIEGO FREEWAY	155,000	F	D	C	E
55	6.99	SANTA ANA, MAC ARTHUR BOULEVARD INTERCHANGE	220,000	F	F	F	F
55	7.85	SANTA ANA, DYER ROAD	240,000	F	E	D	F
55	9.44	SANTA ANA, EDINGER AVENUE	262,000	F	E	D	D
55	9.96	TUSTIN, MC FADDEN STREET	276,000	E	E	F	F
55	10.45	TUSTIN, JCT. RTE. 5, SANTA ANA FREEWAY	276,000	C	D	E	D
55	10.98	SANTA ANA, FOURTH STREET	221,000	D	E	E	D
55	11.79	TUSTIN, SEVENTEENTH STREET	229,000	D	E	F	F
55	12.97	JCT. RTE. 22 WEST, GARDEN GROVE FREEWAY	234,000	D	F	E	D
55	13.70	ORANGE, CHAPMAN AVENUE	257,000	C	D	F	F
55	15.24	ORANGE, KATELLA AVENUE	228,000	C	E	F	F
55	16.98	ORANGE, LINCOLN AVENUE	211,000	D	E	E	E
55	17.83	JCT. RTE. 91, RIVERSIDE FREEWAY	207,000	F	F	D	E

Caltrans District 12 CMP DATA

Orange Route	Post Mile	Description	2004 AADT	NB LOS		SB LOS	
				AM	PM	AM	PM
57	10.83	JCT. RTES. 5 AND 22, SANTA ANA/GARDEN GROVE	220,000	D	F	F	F
57	11.24	CHAPMAN AVENUE	230,000	D	F	F	D
57	11.80	ORANGEWOOD AVENUE	232,000	D	D	F	E
57	12.53	KATELLA AVENUE	233,000	D	E	F	E
57	13.42	BALL ROAD	245,000	E	E	F	E
57	14.78	LINCOLN AVENUE	270,000	E	F	F	E
57	15.60	JCT. RTE. 91, RIVERSIDE FREEWAY	300,000	F	F	F	E
57	16.39	ORANGETHORPE AVENUE	293,000	F	F	F	E
57	17.30	CHAPMAN AVENUE	280,000	E	F	F	E
57	17.57	NUTWOOD AVENUE	280,000	E	F	F	E
57	18.34	YORBA LINDA BOULEVARD	250,000	D	F	F	D
57	19.86	JCT. RTE. 90, IMPERIAL HIGHWAY	222,000	D	F	F	D
57	20.88	LAMBERT ROAD	214,000	C	D	D	C
57	21.78	TONNER CANYON ROAD	212,000	C	E	F	D
57	22.55	ORANGE-LOS ANGELES COUNTY LINE					

Caltrans District 12 CMP DATA

Orange Route	Post Mile	Description	2004 AADT	NB LOS		SB LOS	
				AM	PM	AM	PM
73	0.00	ORANGE COUNTY					
			46,000	C	B	A	C
73	10.00	JCT. INTERSTATE 5					
			46,000	C	B	A	C
73	11.76	GREENFIELD ROAD					
			46,000	C	B	A	C
73	13.40	LA PAZ ROAD					
			53,000	D	B	A	C
73	14.39	ALISO CREEK ROAD					
			61,000	D	B	A	D
73	16.25	EL TORO ROAD					
			64,000	E	C	B	D
73	18.69	TOLL PLAZA					
			66,000	D	B	A	C
73	21.43	NEWPORT COAST DRIVE					
			67,000	F	C	B	D
73	22.45	BONITA CANYON DRIVE/FORD ROAD					
			63,000	E	C	B	D
73	24.78	JAMBOREE ROAD					
			150,000	F	D	B	F
73	26.58	JCT. RTE. 55					
			118,000	E	E	C	D
73	27.28	BEAR STREET					
			110,000	D	C	C	F
73	27.81	JCT. RTE. 405, SAN DIEGO FREEWAY					

Caltrans District 12 CMP DATA

Orange Route	Post Mile	Description	2004 AADT	NB LOS		SB LOS	
				AM	PM	AM	PM
91	0.00	LOS ANGELES-ORANGE COUNTY LINE	236,000	D	D	D	E
91	0.49	LA PALMA, ORANGETHORPE AVENUE	218,000	D	D	D	E
91	0.85	BUENA PARK, VALLEY VIEW STREET	235,000	D	D	D	D
91	1.84	BUENA PARK, KNOTT AVENUE					
91	2.62	BUENA PARK, JCT. RTE. 39, BEACH BOULEVARD	235,000	D	D	E	D
91	3.64	FULLERTON, JCT. RTE. 5, SANTA ANA FREEWAY	240,000	E	E	E	D
			200,000	D	D	F	E
91	1.23	ANAHEIM, BROOKHURST AVENUE	235,000	D	E	F	F
91	2.23	ANAHEIM, EUCLID AVENUE					
			246,000	F	F	F	F
91	3.26	FULLERTON, HARBOR BOULEVARD					
			250,000	F	F	E	E
91	3.51	ANAHEIM, LEMON STREET/HARVARD AVENUE	250,000	E	E	E	E
91	4.26	ANAHEIM, EAST STREET					
			245,000	E	E	F	F
91	5.26	ANAHEIM, STATE COLLEGE BOULEVARD					
			240,000	E	E	F	F
91	6.12	ANAHEIM, JCT. RTE. 57, ORANGE FREEWAY					
			232,000	C	D	F	F
91	7.35	ANAHEIM, KRAEMER BOULEVARD/GLASSELL STREET	229,000	F	F	D	F
91	8.40	ANAHEIM, TUSTIN AVENUE					
			236,000	D	E	F	F
91	9.19	ANAHEIM, JCT. RTE. 55 SOUTH, COSTA MESA FRWY					
			311,000	F	F	F	F
91	10.09	ANAHEIM, LAKEVIEW AVENUE	289,000	F	F	F	F
91	11.54	ANAHEIM, JCT. RTE. 90 WEST, IMPERIAL HIGHWAY					
			284,000	D	E	F	F
91	14.43	WEIR CANYON ROAD					
			269,000	D	D	E	D
91	15.93	JCT. RTE. 241					
			265,000	F	F	E	D
91	16.40	GYP SUM CANYON ROAD					
			268,000	E	F	E	D
91	17.95	COAL CANYON ROAD					
			268,000	E	F	E	D
91	18.91	Orange Riverside County line, Green River Rd					

Caltrans District 12 CMP DATA

Orange Route	Post Mile	Description	2004 AADT	NB LOS		SB LOS	
				AM	PM	AM	PM
133	8.08	BEGIN FREEWAY	34,000	A	C	C	A
133	8.38	IRVINE, JCT. RTE. 405, SAN DIEGO FREEWAY	39,000	A	C	D	A
133	8.93	BARRANCA PARKWAY	34,000	A	C	C	A
133	9.52	IRVINE, JCT. RTE. 5, SANTA ANA FREEWAY	46,000	B	E	F	B

Caltrans District 12 CMP DATA

Orange Route	Post Mile	Description	2004 AADT	NB LOS		SB LOS	
				AM	PM	AM	PM
241	0.00	ORANGE COUNTY					
241	14.55	OSO PARKWAY	8,200	A	A	A	A
241	17.54	ANTONIO PARKWAY					
241	18.49	SANTA MARGARITA PARKWAY	16,800	C	B	A	C
241	20.08	LOS ALISOS BOULEVARD	42,000	F	C	B	E
241	21.80	PORTOLA PARKWAY SOUTH	42,000	F	C	B	E
241	23.42	ALTON PARKWAY	38,000	E	B	B	D
241	27.38	JCT. ROUTE 133	45,000	F	C	B	E
241	32.54	CHAPMAN-SANTIAGO ROAD	43,000	F	C	B	E
241	36.10	WINDY RIDGE TOLL PLAZA	45,000	B	D	C	A
241	39.08	JCT. ROUTE 91	45,000	A	C	C	A

Caltrans District 12 CMP DATA

Orange Route	Post Mile	Description	2004 AADT	NB LOS		SB LOS	
				AM	PM	AM	PM
261	0.00	WALNUT AVENUE	15,900	A	C	C	A
261	2.85	PORTOLA PARKWAY	14,300	A	B	B	A
261	6.21	JCT. ROUTE 241					

Caltrans District 12 CMP DATA

Orange Route	Post Mile	Description	2004 AADT	NB LOS		SB LOS	
				AM	PM	AM	PM
405	0.23	IRVINE, JCT. RTE. 5, SAN DIEGO FREEWAY CONTINUES					
405	0.95	IRVINE, IRVINE CENTER DRIVE	231,000	F	F	F	F
405	1.80	IRVINE, JCT. RTE. 133, LAGUNA FREEWAY					
405	2.88	IRVINE, SAND CANYON AVENUE	262,000	F	F	F	F
405	3.95	IRVINE, JEFFREY ROAD/UNIVERSITY DRIVE	277,000	F	F	F	F
405	5.62	IRVINE, CULVER DRIVE	284,000	F	F	F	F
405	6.92	IRVINE, JAMBOREE BOULEVARD	326,000	F	F	F	F
405	7.80	IRVINE, MAC ARTHUR BOULEVARD	337,000	F	F	F	F
405	8.74	JCT. RTE. 55, COSTA MESA FREEWAY	308,000	F	F	F	F
405	9.51	COSTA MESA, BRISTOL STREET	325,000	F	F	F	F
405	10.28	FREEWAY, FAIRVIEW ROAD	308,000	F	F	E	E
405	11.45	COSTA MESA, HARBOR BOULEVARD	365,000	F	F	F	F
405	12.64	FOUNTAIN VALLEY, EUCLID STREET	346,000	E	E	F	F
405	13.78	FOUNTAIN VALLEY, BROOKHURST STREET	291,000	E	E	F	F
405	14.82	FOUNTAIN VALLEY, WARNER AVENUE	284,000	E	E	F	F
405	15.21	HUNTINGTON BEACH, MAGNOLIA STREET	287,000	F	E	F	F
405	16.54	BOULEVARD	282,000	E	E	F	F
405	17.75	STREET	276,000	E	E	F	F
405	19.16	WESTMINSTER, WESTMINSTER AVENUE	283,000	E	F	F	F
405	20.75	JCT. RTE. 22 EAST, GARDEN GROVE FREEWAY	287,000	E	F	F	E
405	22.64	SEAL BEACH, SEAL BEACH BOULEVARD	341,000	E	E	F	F
405	23.28	SEAL BEACH, JCT. RTE. 22 WEST	343,000	F	F	E	D
405	23.98	SEAL BEACH, JCT. RTE. 605	382,000	F	F	F	F
405	24.18	ORANGE-LOS ANGELES COUNTY LINE	262,000	D	E	E	D

Caltrans District 12 CMP DATA

Orange Route	Post Mile	Description	2004 AADT	NB LOS		SB LOS	
				AM	PM	AM	PM
605	3.09	SEAL BEACH, JCT. RTE. 22; BEGIN FREEWAY	44,000	B	B	B	B
605	3.50	SEAL BEACH, JCT. RTE. 405; SAN DIEGO FREEWAY	187,000	F	F	F	F
605	1.41	LOS ALAMITOS, KATELLA AVENUE	188,000	E	F	E	F
605	1.64	ORANGE-LOS ANGELES COUNTY LINE					

APPENDIX B-1
CMP Traffic Impact Analysis Guidelines

MEETING CMP TRAFFIC IMPACT ANALYSIS REQUIREMENTS
AN OPTIONAL GUIDANCE FOR LOCAL JURISDICTIONS

Prepared for:

**Orange County Environmental Management Agency
Orange County Transportation Commission
Orange County Transit District
League of Cities, Orange County Division
Transportation Corridor Agencies**

Prepared by:

**Kimley-Horn and Associates, Inc.
and
The Planning Center**

June 11, 1991

CMP-TIA REQUIREMENTS

Requirements of CMP legislation

- Analyze impacts of land use decisions on CMP Highway System.
- Estimate costs associated with mitigation of impacts on CMP Highway System.
- Exclude costs associated with mitigating the impacts of interregional travel.
- Allow credits against mitigation costs for local public and private contributions to improvements to the CMP Highway System.
 - For toll road facilities, allow credits only for local public and private contributions which will not be reimbursed from toll revenues or other state or federal sources.
- Report annually on actions taken to adopt and implement a program to analyze the impacts of land use decisions on the CMP Highway System and to estimate the costs of mitigating those impacts.

Year One Goal

- Identify the impacts of development anticipated to occur over the next 7 years on the CMP Highway System and the projected costs of mitigating those impacts.

Actions Required of Local Jurisdictions

- A TIA will be required for CMP purposes for all proposed developments generating 2,400 or more daily trips. For developments which will directly access a CMP Highway System link, the threshold for requiring a TIA should be reduced to 1,600 or more trips per day.
- Document procedures used to identify and analyze traffic impacts of new development on CMP Highway System. This documentation should include the following:
 - Identification of type of development proposals which are subject to a traffic impact analyses (TIA).
 - Description of required or acceptable TIA methodology
 - Description of inter-jurisdictional coordination process used when impacts cross local agency boundaries
- Document procedures/standards used to determine the costs of mitigation requirements for impacts of new development on CMP Highway System.
- Document methodology and procedures for determining applicable credits against mitigation costs including allowable credits associated with contributions to toll road facilities.

SECTION 1 – INTRODUCTION

PURPOSE

State legislation creating the Congestion Management Program (CMP) requires that the program contain a process to analyze the impacts of land use decisions by local governments on the regional transportation system. Once impacts of a land use decision are identified, the CMP also requires that the costs to mitigate the impacts be determined.

For CMP purposes, the regional transportation system is defined by the legislation as all state highways and principal arterials at a minimum. This system is referred to as the CMP Highway System. The identification and analysis of impacts along with estimated mitigation costs are determined with respect to this CMP Highway System.

The objectives of this report are to:

- Provide guidance to local agencies in conducting traffic impact analyses.
- Assist local agencies in maintaining eligibility for funds through documentation of CMP compliance.
- Make available minimum standards for jurisdictions wishing to use them for identifying and analyzing impacts on CMP Highway System.
- Establish CMP documentation requirements for those jurisdictions which elect to use their own TIA methodology.
- Establish a baseline from which TIA standardization may evolve as experience is gained in the CMP process.
- Cause the analysis of impacts on the CMP Highway System to be integrated into the local agency development review process.
- Provide a method for determining the costs associated with mitigating development impacts.
- Provide a framework for facilitating coordination between agencies when appropriate.

BACKGROUND

Through a coordinated effort among local jurisdictions, public agencies, business and community groups, Orange County has developed a Congestion Management Program framework in response to the requirements of Assembly Bill 1791. This framework is contained in the Congestion Management Program Preparation Manual which was issued in January 1991 as a joint publication of the following agencies:

County of Orange
Orange County Division, League of California Cities
Orange County Transportation Commission
Orange County Transit District
Transportation Corridor Agencies

The CMP Manual describes the CMP Program requirements for each component prescribed by the CMP provision of AB 1791. The components include one entitled Land Use Coordination, which sets forth the basic requirements for the assessment, mitigation, and monitoring of traffic impacts to the CMP Highway System which are attributable to development projects.

Consolidation of Remaining Issues

This report is intended to present a useful reference in addressing the remaining issues associated with the identification and treatment of development impacts on the CMP Highway System. It is desirable that a standardized approach be utilized for determining which projects require analysis and in carrying out the resulting traffic impact analysis (TIA). It is also desirable that a reasonably uniform approach be utilized in determining appropriate mitigation strategies and estimating the associated costs.

TIA Survey History

In 1989, Kimley-Horn and Associates, Inc. conducted a survey of TIA procedures being used at the time by local jurisdictions within Orange County. The survey revealed that although there were some commonalities, there was considerable variation in approach, scope, evaluation methodology, and project disposition.

As part of the CMP process, it was determined that the identification of TIA elements which can or should be standardized should be accomplished. Additional documentation of cost estimating practices and the development of standardized costs and estimating procedures will be valuable in achieving desired consistency among jurisdictions.

In order to accomplish these objectives, Kimley-Horn's previous TIA survey was updated and additional information was solicited from each local agency within Orange County. The information was obtained through telephone interviews with City Engineers and Planners after they had an opportunity to examine the survey questionnaire which was mailed to them in advance of the interview. The information obtained was used in preparing the methodology recommendations contained in this report. A summary of the update survey results is provided in the Appendix.

Relationships with Other Components

In addition to being an integral part of the Land Use Coordination component of the CMP, the traffic impact analysis requirements also relate to all other CMP components to a greater or lesser degree. These components include the following:

Modeling
Level of Service
Transit Standards
Traffic Demand Management
Deficiency Plans
Capital Improvement Program

The Land Use Coordination section in Chapter 3 of the CMP Preparation Manual dated January, 1991 contains a detailed description of each of the component linkages listed above.

SECTION 2- REQUIREMENTS OF CMP LEGISLATION

The complete text of CMP legislation is contained in Appendix A to the Preparation Manual for the Congestion Management Program for Orange County dated January, 1991. For ease of reference, the requirements of this legislation related to analysis of the impacts of land use decisions made by local jurisdictions are summarized as follows.

- Analyze impacts of land use decisions on CMP Highway System.
- Estimate costs associated with mitigation of impacts on CMP Highway System.
- Exclude costs associated with mitigating the impacts of interregional travel.
- Allow credits against mitigation costs for local public and private contributions to improvements to the CMP Highway System.
 - For toll road facilities, allow credits only for local public and private contributions which will not be reimbursed from toll revenues or other state or federal sources.
- Report annually on actions taken to adopt and implement a program to analyze the impacts of land use decisions on the CMP Highway System and to estimate the costs of mitigating those impacts.

SECTION 3 - ACTIONS REQUIRED OF LOCAL AGENCIES

The provisions of CMP legislation, as summarized in the preceding section, impose a requirement on local jurisdictions to carry out certain actions in order to demonstrate their compliance with the CMP program. This compliance will maintain eligibility to receive state gas tax funds made available by the voter approved Proposition 111. The actions and documentation requirements related to the identification and analysis of traffic impacts include the following:

- A TIA will be required for CMP purposes for all proposed developments generating 2,400 or more daily trips. For developments which will directly access a CMP Highway System link, the threshold for requiring a TIA should be reduced to 1,600 or more trips per day.
- Document procedures used to identify and analyze traffic impacts of new development on CMP Highway System. This documentation should include the following:
 - Identification of type of development proposals which are subject to a traffic impact analyses (TIA).
 - Description of required or acceptable TIA methodology
 - Description of inter-jurisdictional coordination process used when impacts cross local agency boundaries
- Document procedures/standards used to determine the costs of mitigation requirements for impacts of new development on CMP Highway System.
- Document methodology and procedures for determining applicable credits against mitigation costs including allowable credits associated with contributions to toll road facilities.
- Establish annual monitoring and reporting process to summarize activities performed in analyzing the impacts of land use decisions on the CMP Highway System and in estimating the associated mitigation costs. Procedures for incorporating mitigation measures into the Capital Improvement Program should also-be established.
- For the first year, local jurisdictions may assume that all interregional travel occurs on the freeway system or they may develop an analysis methodology to determine the amount of interregional travel occurring on arterials which are part of the CMP Highway System. During the first year, TIAs need to analyze only the impacts to arterial portions of the CMP Highway System.

SECTION 4 - CMP TRAFFIC IMPACT ANALYSIS METHODOLOGY

In order to assure that the CMP Program meets its objectives of linking land use decisions with the adequate evaluation of impacts related to those decisions, traffic impact analyses must often be undertaken. There are a number of essential elements which should be included in traffic impact analyses (TIA) used to support the program. Many local jurisdictions already employ development review processes which will be adequate for addressing CMP requirements. For those jurisdictions wishing technical guidance in carrying out the analysis of traffic impacts on the CMP Highway System, this section offers an appropriate TIA methodology.

PROJECTS REQUIRING TIA ANALYSIS

All development in Orange County will use the CMP Network to a greater or lesser extent from time-to-time. The seven-year capital improvement program, together with deficiency plans to respond to deficiencies which cannot be resolved in the 7-year timeframe, are developed in response to anticipated growth in travel within a jurisdiction. Thus, a certain level of travel growth is addressed in the normal planning process and it is not necessary to evaluate relatively small projects with a TIA or to rely on TIA's as the primary means of identifying needed CMP Highway System improvements. Furthermore, County voters have approved a sales tax increase which will fund major improvements to the transit and highway systems serving the County.

Many jurisdictions will require an EIR for a proposed development project. When required, the EIR should include steps necessary to incorporate the required CMP analysis. Most or all of the TIA elements described in this section would normally be incorporated into the typical EIR traffic analysis.

Certain development projects not requiring an EIR should still be evaluated through a TIA process due to their land use type, intensity, proximity to the CMP network, and/or duration of development timeframe. In other words, developments which will significantly alter the anticipated demand on a CMP roadway should be evaluated through a TIA approach.

At the present time, there is a wide-ranging approach to determining which projects will require a TIA. In some jurisdictions, there are formal guidelines, while in others it depends primarily on the judgment of a member of staff relative to the probable significance of the project's impact on the surrounding road system.

The OCTC TIA guidelines recommended defining three percent of the level of service standard as significant impact. This seems reasonable for application for CMP purposes. Thus, project impacts of three percent or less can be mitigated by impact fees or other revenues. Projects with a potential to create an impact of more than three percent of Level of Service E capacity will require TIA's. On this basis, it is recommended that all development projects which generate more than 2,400 daily trips be subject to a TIA for CMP evaluation. For projects which will directly access or be in close

proximity to a CMP Highway System link a reduced threshold of 1,600 trips/day would be appropriate. Appendix B provides background information of the derivation of these threshold values.

TIA PROCESS

There are a number of essential elements in the TIA process itself. It is desirable that all of these elements be evaluated within an acceptable range of criteria in order to assure the objectives of the CMP process and to maintain a reasonable degree of equity from jurisdiction to jurisdiction. It is recognized, however, that for certain of the elements, some variations relating to professional judgment and local criteria and characteristics are necessary and appropriate to the process. These factors have been fully considered in developing the descriptions of the following elements.

- Evaluation of existing conditions
- Trip generation
- Internal capture and passer-by traffic
- Trip distribution and assignment
- Radius of development influence
- Background traffic
- Capacity analysis methodology
- Impact costs/mitigation

Evaluation of Existing Conditions

In order to evaluate the relative impacts of a proposed development, determine CMP Highway System status and define appropriate mitigation for new impacts, it is necessary to understand the existing conditions on the affected roadway network. Evaluation of existing conditions is common to nearly all jurisdictions in Orange County. Given that most jurisdictions use link and intersection capacity analysis techniques compatible with the techniques identified in the level-of-service component, no changes in existing local jurisdiction procedures should be necessary in connection with the CMP Program.

Trip Generation

At the foundation of traffic impact analyses is the quantification of trip generation. Use of the ITE Trip Generation Manual is common throughout Orange County. In addition, other widely accepted practices are being used when appropriate to supplement the lit data. These practices include use of acceptable rates published by local agencies and surveys conducted at similar sites, subject to approval of the reviewing agency. Given the uniformity of practice in Orange County to date, no major adjustments in this procedure should be required. It would be desirable however to establish a central library for reporting the results of special trip generation studies and making these results

available to all other jurisdictions who wish them.

Internal Capture and Passer-by Traffic

Techniques for identifying the internal relationship of travel within mixed-use developments and the degree to which development captures passer-by trips as opposed to creating new trips are being applied by approximately 2/3 of the local jurisdictions within Orange County. The use of guidelines in the ITE Trip Generation Manual and appropriate professional judgment are the predominant techniques employed. To supplement the guidance available through ITE documentation, local jurisdictions are encouraged to undertake additional studies to document rates applicable within their jurisdiction. The determination of applicable rates should be undertaken by experienced transportation engineering professionals with thorough documentation of the methodology, data, and assumptions used. It is recommended that those jurisdictions which do not currently allow these adjustments establish revised TIA procedures incorporating this element. As with trip generation data, a central library would be desirable for reporting of data and analyses performed locally related to determination of appropriate factors.

Trip Distribution and Assignment

Several appropriate distribution and assignment techniques are used in Orange County, depending on the size of the development and the duration of buildout. Manual and computer modeling approaches are used as appropriate. Manual methods based on the best socio-economic information available to the agency and applicant should be acceptable except when a development's size makes a modeling approach more appropriate. Sources of this information include demographic surveys, market analyses, and previous studies.

Radius of Development Influence

There are numerous ways to identify the study area to be evaluated in a TIA. These include both qualitative and quantitative approaches. One of the most effective ways is through the determination of the quantity of project traffic on CMP roadway links compared to a selected level of impact. The goal of a quantitative approach is to be sure that all elements of the CMP network are addressed in a comparable manner from jurisdiction to jurisdiction. This is important due to the potential for overlapping impacts among jurisdictions. It is also important to maintain flexibility within a quantitative process to allow transportation professionals at local jurisdictions to add areas to the study which are of specific concern. It is not intended that CMP practices should restrict this aspect of each agency's existing TIA process.

It is recommended that the study area for CMP Highway System links be defined by a measure of significant impact on the roadway links. As a starting point, it is proposed that the measure be three percent of existing roadway capacity. Thus, when a traffic impact analysis is being done it would require the inclusion of CMP roadway links that are impacted by 3 percent or more of their LOS E capacity. If a TIA is required only for CMP purposes, the study area would end when traffic falls below three percent of capacity on individual roadway links. If the TIA is also required for other purposes, additional analysis can be required by the local jurisdiction based on engineering judgment or local regulation as applicable.

Background Traffic

In order for a reasonable assessment of the level of service on the CMP network, it is necessary to not only identify the proposed development impact, but also the other traffic which can be expected to occur during the development of the project. There are numerous methods of evaluating background traffic. The implications of these alternative methods are that certain methodologies may result in deficiencies, while other methodologies may find an acceptable operating conditions.

The cost to mitigate impacts of a land use decision is unrelated to background traffic. Rather, it is related to the cost of replacing the capacity which is consumed by the proposed development. However, it is necessary to understand background traffic in order to evaluate level-of-service. Background traffic is composed of existing traffic demands and growth from new development which will occur over a specific period of time. Both the existing and the growth elements of background traffic contain sub-elements. These include traffic which is generated within Orange County, that which begins and/or ends within the County, and interregional traffic which has neither end in Orange County. CMP legislation stipulates that interregional traffic will not be considered in CMP evaluations with respect to LOS compliance or determining costs of mitigation. Given that the CMP process is new, there is no existing practice of separating interregional traffic from locally generated traffic. Until a procedure for identifying interregional traffic is developed, local jurisdictions may assume that all interregional traffic occurs on the freeway system. Initially TIA's required for CMP purposes need only analyze the impacts to arterial portions of the CMP Highway System.

Local governments in Orange County are generally consistent in their approach to background traffic. There are three major approaches used. The first is to use historical growth factors which are applied to existing traffic volumes to project future demands. The second is to aggregate the impacts of specific individual projects which have been approved or planned but not built to identify the total approved background traffic on the study area roadway system. A third method is to use computer modeling to identify total traffic demands which represent both background traffic and project impact traffic. For the present CMP program, it is recommended that the discretion for the appropriate process lie within the local jurisdiction, however, the method to be used in the jurisdiction should be clearly defined in the agency's TIA rules and procedures. In addition, it is recommended that all jurisdictions create a listing of approved development projects and a map showing their locations which would be updated frequently and be available to other jurisdictions on request. The listing should include information related to type and size of land use and phasing for each project.

It is appropriate to periodically update long range forecasts based on development approvals and anticipated development growth in the region and plan a transportation system which will provide the necessary level-of-service for this amount of development. When a development proposal will significantly alter this long-term plan, it will be necessary to address the aggregate of all approved development to assure that there is a long-term solution. However, from a TIA perspective, it is reasonable and practical to consider only that development traffic which can be expected to exist at the time of buildout of a new development proposal. That is to say, for CMP purposes background traffic should be limited to that traffic which is generated by development which will exist at the time of buildout of a proposed development. CEQA requirements may dictate that other background traffic scenarios be analyzed as well.

Capacity Analysis Methodology

Once the projected traffic demands are known, it is necessary to evaluate these demands relative to available and planned roadway capacity. The methodology used in capacity determination in Orange County is relatively uniform. Additionally, the level of service (LOS) component of the CMP Program has identified specific criteria which are to be used in determining level-of-service on the CMP Highway System.

Impact Costs/Mitigation

This element is at the heart of the CMP process; that is to identify the costs of mitigating a land development decision on the CMP System.

The current practice throughout Orange County is to require mitigation only when the level-of-service standard is exceeded. However, some jurisdictions require regular impact mitigation fees and phasing road improvements with development. The growth management requirement of the sales tax Measure M mandates a traffic phasing program. Often, mitigation is equated to construction of roadway improvements to maintain an acceptable level-of-service and/or to maintain the existing level-of-service. In some instances, a pay and go mitigation approach is allowed. This means that new development may pay its fair share and go forward and the provision of improvements remain the responsibility for the local jurisdiction.

In order to assess responsibility for impacts, there are a variety of approaches. One approach is to consider impact traffic as a percent of total traffic. Impact traffic may also be taken as a percentage of existing capacity. Another common approach is to use the net impact of development as a percent of total future traffic demand.

Since CMP legislation requires the identification of costs of land use decisions and impacts across jurisdictional lines, it is desirable that the CMP program have a consistent method for identifying the costs of development impacts. On the other hand, a wide variety of mitigations can occur from jurisdiction to jurisdiction.

It is recommended that the impact costs be calculated as the total of new development traffic on a roadway link requiring improvement divided by the capacity of the improvement times the cost of the improvement. This can be expressed in a formula as follows.

$$\text{Impact Cost} = \frac{\text{development traffic}}{\text{capacity of improvement}} \times \text{improvement cost}$$

Improvements to be included in the cost analysis should be those identified in the jurisdiction's adopted Circulation Element and any additional improvements identified in the development TIA. The total impact cost for a development would be the sum of costs for all significantly impacted links. Funds collected from these assessments could be aggregated and applied to specific projects on an annual basis in accordance with locally established priorities. If project impacts extend across jurisdictional boundaries the impact costs calculated for significantly impacted links in an adjacent jurisdiction should be allocated to that jurisdiction for use in its program of prioritized improvements.

Through this process, progress can be achieved in implementing system improvements without

having to wait for 100% of the funds being collected for each individual improvement. In theory, all required improvements will be accomplished over time as new developments are approved which will generate traffic to utilize available and planned system capacity. The costs should be based on recent Unit cost experience in Orange County and may include planning, permitting, preliminary engineering, design, right-of-way, construction, landscaping, construction inspection, and, if applicable, financing costs.

There are two approaches to mitigation. One is traffic reduction and the other is to build improvements to accommodate the new traffic. Traffic reduction through transportation demand ordinances or other regulations which will reduce impacts can be calculated in the same way a development impact would be calculated. But in this case, it would be taken as a credit or a reduction in impact. Mitigation techniques such as TDM or phasing or reduction in project intensity merely reduce for a new development the amount of impact which must be mitigated and are changes which should occur prior to the calculation of project impact costs. A monitoring program should be established to confirm that anticipated reductions are realized.

To comply with the CMP process, a local jurisdiction should accomplish two things. First, it should demonstrate that it is analyzing and mitigating the impact of new development on the CMP Highway System. Second, it should maintain the level-of-service standards or adopt a deficiency plan Consistent with CMP legislation. In order to demonstrate the mitigation which has been undertaken, the local jurisdiction should maintain a record of the cumulative impact cost of all development approvals and the cumulative mitigation value of improvements provided by the local jurisdiction. These could be construction programs or credits from a TDM ordinance or other traffic reduction measures. It is then only necessary to show on an annual basis that the total improvement costs plus traffic reduction credits are equal to or greater than the total impact cost of new development approvals to prove mitigation compliance.

The maintenance of level-of-service would come through implementation of improvements contained in the 7-year capital improvements element, Measure M and state-funded improvements, additional improvements which may be made in conjunction with development approvals, and from deficiency plans which may be required from time to time. From a TIA perspective, it would be necessary to document the following:

- a. the level-of-service on the CMP network at buildout of the proposed development will be: 1) level—of-service “E or better, or 2) will not result in a cumulative increase of more than 0.10 in v/c ratio if the established LOS standard is worse than LOS E.
- b. a deficiency plan exists to address the links for which level-of-service is not provided, and
- c. a deficiency plan will be developed for a new link when a deficiency will occur.

DOCUMENTATION OF RULES AND PROCEDURES

To assure a clear understanding of the TIA procedures which are necessary to support a viable CMP program, it is recommended that a set of rules and procedures be established by each local

jurisdiction. Ideally, these rules and procedures would cover the requirements for the full TIA analysis and would include minimum requirements for the CMP process. Local jurisdictions which prefer not to adopt separate CMP TIA standards could implement standards for CMP requirements within a TIA and maintain their existing approach for all other aspects of their existing TIA process. The following is a summary of the elements which should be included in CMP procedures documentation and the methodologies applicable to each element.

1. **Thresholds for Requiring a TIA for CMP** - Projects with the potential to create an impact of more than 3% of LOS “E” capacity on CMP Highway system links should require a TIA. All projects generating 2,400 or more daily trips should require a TM for CMP evaluation. If a project will have direct access to a CMP link this threshold should be reduced to 1,600 or more daily trips. A TIA should not be required again if one has already been performed for the project as part of an earlier development approval which takes the impact on the CMP Highway System into account.
2. **Existing Conditions Evaluation** - Identify current level-of-service on CMP roadways and intersections where the proposed development traffic will contribute to 3 percent of the existing capacity. Use procedures defined in the level-of-service component for evaluation of level—of-service.
3. **Trip Generation** - ITE trip generation rates or studies from other agencies and locally approved studies for specific land uses.
4. **Internal Capture and Passerby Traffic** - Justification for internal capture should be included in the discussion. Passerby traffic should be calculated based upon ITE data or approved special studies.
5. **Distribution and Assignment** - Basis for trip distribution should be discussed and should be linked to demographic or market data in the area. Quantitative and/or qualitative information can be used depending on the size of the proposed development. As the size of the project increases, there should be a tendency to use a detailed quantitative approach for trip distribution. Trip assignment should be based on existing and projected travel patterns and the future roadway network and its travel time characteristics.
6. **Radius of Impact/Project Influence** - The analysis should identify the traffic assignment on all CMP roadway links until the impact becomes less than 3 percent of level of service E capacity.
7. **Background Traffic** - Total traffic which is expected to occur at buildout of the proposed development should be identified.
8. **Impact Assessment Period** - This should be the buildout timeframe of the proposed development. -
9. **Capacity Analysis Methodology**- The methodology should be consistent with that specified in the level-of—service component of the CMP Program.

10. **Improvement Costs** - The cost of roadway improvements should include all costs of implementation including studies, design, right-of-way, construction, construction inspection, and financing costs, if applicable.
11. **Impact Costs and Mitigation** - The project impact divided by the capacity of a roadway improvement times the cost of the improvement should be identified for each significantly impacted CMP link and summed for the study area.
12. **Projected Level-of-Service** - The TIA should document that the projected level-of-service on all CMP links in the study area will be at Level-of-Service “E” or the existing level-of-service whichever is less, or that a deficiency plan exists or will be developed to address specific links or intersections.

SECTION 5 – APPENDICES

Appendix A – Summary of TIA Update Survey Results (Available Upon Request)

Appendix B – Deviation of Thresholds for Projects Requiring TIA Analysis

APPENDIX B

DERIVATION OF THRESHOLDS FOR PROJECTS REQUIRING TRAFFIC IMPACT ANALYSIS

The TIA process recommendation is to require a TIA for any project generating 2,400 or more daily trips. This number is based on the desire to analyze any impacts which will be 3% or more of the existing capacity. Since most CMP Highway System will be four lanes or more, the capacity used to derive the threshold is a generalized capacity of 40,000 vehicles/day. The calculations are as follows:

$$\begin{aligned} 40,000 \text{ veh./day} \times 3\% &= 1,200 \text{ veh./day} \\ \text{Assuming 50/50 distribution of project traffic on a CMP link} \\ 1,200 \times 2 &= 2,400 \text{ veh./day total generation} \end{aligned}$$

As can be seen, a project which will generate 2,400 trips/day will have an expected maximum link impact on the CMP system of 1,200 trips/day based on a reasonably balanced distribution of project traffic. On a peak-hour basis, the 3% level of impact would be 120 peak-hour trips. For intersections, a 3% level of impact applied to the sum of critical volume (1,700 veh./hr.) would be 51 vehicles per hour.

A level of impact below 3% is not recommended because it sets thresholds which are generally too sensitive for the planning and analytical tools available. Minor changes in project assumptions can significantly alter the results of the analysis and the end result can be additional unnecessary cost to the developer and additional review time by staff with little benefit. Additionally, a lower threshold of significance will expand the study area, which also increases effort and costs, and increases the probability that the analysis would extend beyond jurisdictional boundaries.

The following illustration shows that the 2,400 trip/day threshold would be expected to produce a 3% impact on the CMP System only when the project has relatively direct access to a CMP link. As a project location moves further off the CMP System the expected impacts is reduced. With a more directional distribution of project traffic a development with direct CMP System access could produce a 3% impact with somewhat lower daily trip generation. The table included on the following page illustrates the daily trip generation thresholds which would produce various levels of impact on the CMP System for project locations with and without direct access to the system. Based on a 3% impact the trip generation thresholds for requiring a TIA are 1,600 veh./day with direct CMP System access and 2,400 veh./day if a project does not have direct CMP System access.

**CMP Highway System Impacts for Development Generating 2,400 trips/day
Based on proximity to CMP System**

	50		50		250	
	80	80		280	80	
100	100	100		300	100	300
200	600	800	2400	800	600	100
300	100	300		200	100	200

MAXIMUM IMPACT < 1%

400						200
200	600	700			600	800
	200	300	1200	1200	300	200
			2400			200

MAXIMUM = 1.8%

	400			100		200
200	800	1000	1200	1200	900	700
	200		2400	100		200

**MAXIMUM = 3%
COULD BE 4.5% WITH 75/25 SPLIT**

Alternative Criteria

Assume 75/25 distribution

For direct access to CMP System:
 $1,200 / .75 = 1,600$ veh./day

For no direct CMP System Access:
Approximately 1/3 less impact on CMP System
 $1,600 \times 3/2 = 2,400$ veh./day

Daily Trip Generation

<u>Significant Impact</u>	<u>Direct Access</u>	<u>No Direct Access</u>
1%	500	800
2%	1,100	1,600
3%	1,600	2,400

APPENDIX B-2
CMP Traffic Impact Analysis Exempt Projects

CMP Traffic Impact Analysis Exempt Projects

Projects exempt from the requirements of a mandatory, CMP Traffic Impact Analysis are listed below. This list is not meant to be all-inclusive. Any inquiries regarding additional exemptions shall be transmitted in writing to the Orange County Transportation Authority, attention CMP Program Manager.

Project Not Requiring a CMP TIA Analysis:

1. Applicants for subsequent development permits (i.e., conditional use permits, subdivision maps, site plans, etc.) for entitlement specified in and granted in a development agreement entered into prior to July 10, 1989. ³
2. Any development application generating vehicular trips below the Average Daily Trip (ADT) threshold for CMP Traffic Impact Analysis, specifically, any project generating less than 2,400 ADT total, or any project generating less than 1,600 ADT directly onto the CMPHS. ^{2,3}
3. Final tract and parcel maps. ^{1,2,3}
4. Issuance of building permits. ^{1,2,3}
5. Issuance of certificates of use and occupancy. ^{1,2,3}
6. Minor modifications to approved developments where the location and intensity of project uses have been approved through previous and separate local government actions prior to January 1, 1992. ^{1,2,3}

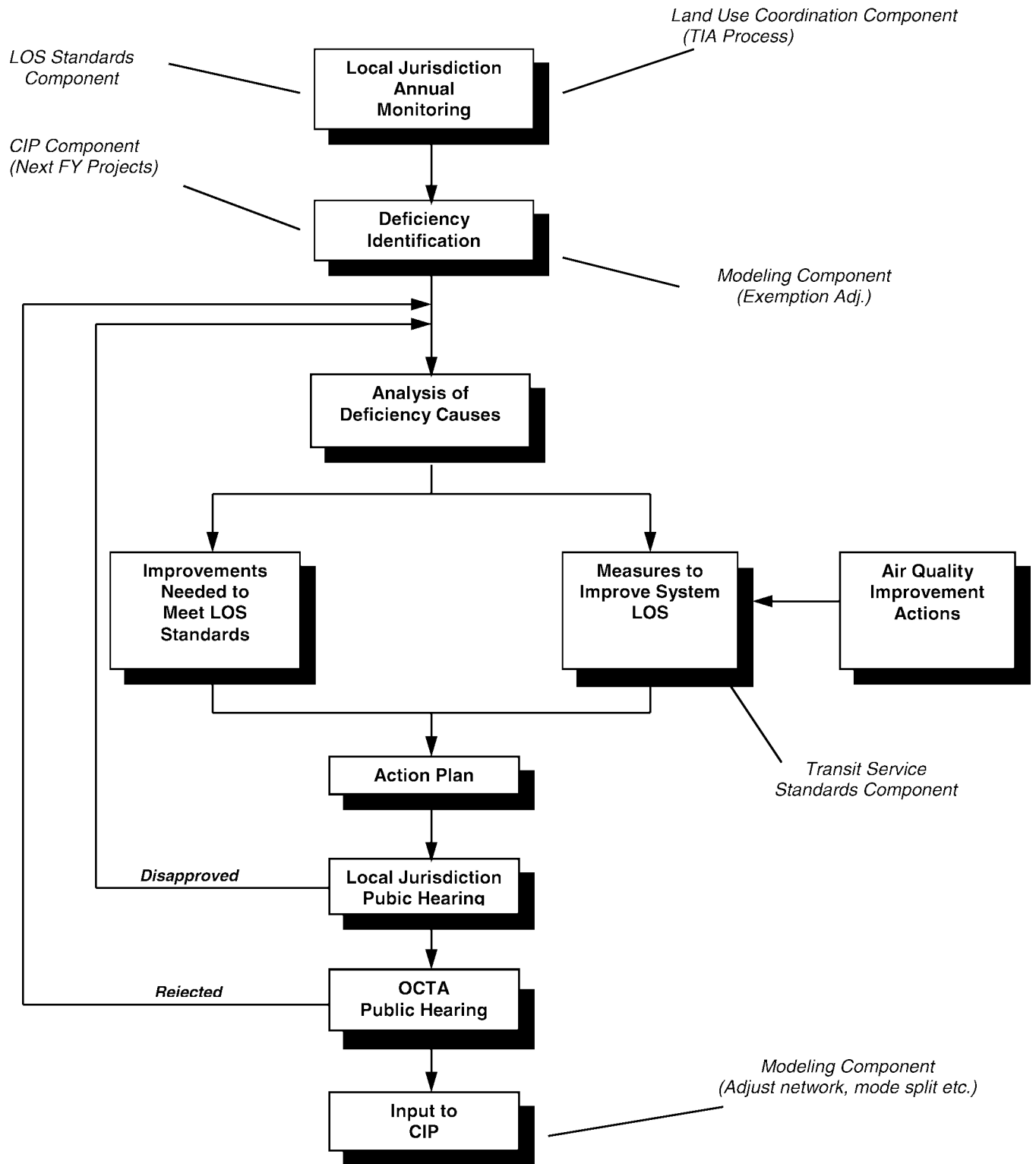
¹ A CMP TIA is not required for these projects only in those instances where development approvals granting entitlement for the project sites were granted prior to the effective date of CMP TIA requirements (i.e., January 1992).

²Exemption from conduction a CMP TIA shall not be considered an exemption from such project' participation in approved, transportation fee programs established by the local jurisdiction.

³Vehicular trips generated by CMP TIA-exempt development applications shall not be factored out in any traffic analyses or levels of service calculations for the CMPHS.

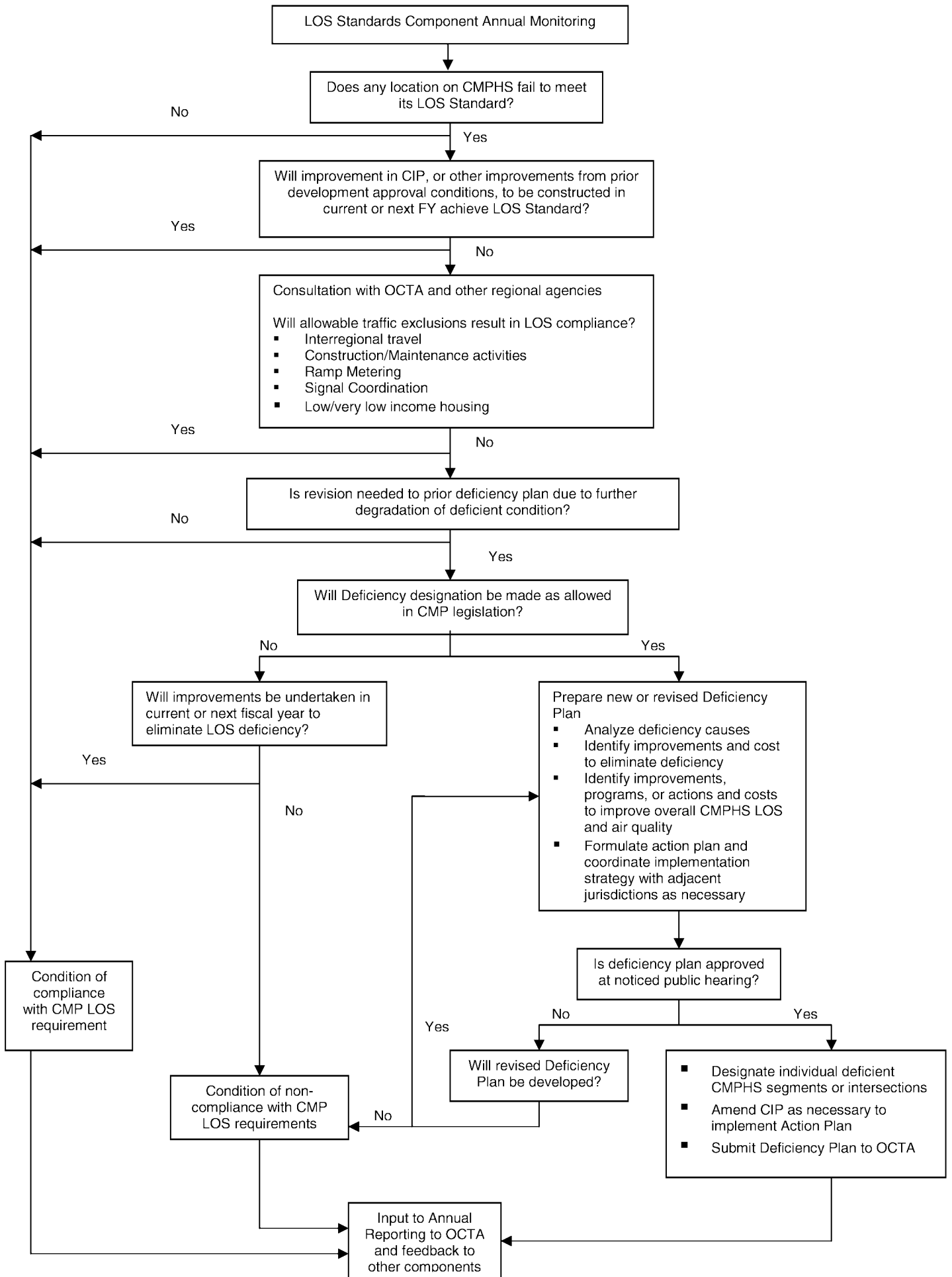
APPENDIX C-1
CMP Deficiency Plan Process Flow Chart

DEFICIENCY PLAN PROCESS



APPENDIX C-2
CMP Deficiency Plan Process Decision Tree

Deficiency Plan Decision Tree Process



APPENDIX D
CMP Monitoring Checklists

<p style="text-align: center;">CMP MONITORING CHECKLIST CAPITAL IMPROVEMENT PROGRAM</p>
--

Responsibility: Cities, County, Caltrans, transit operators

2005 CMP CHECKLIST

	YES	NO
1. Did you submit a seven-year Capital Improvement Program (CIP) to OCTA by June 30, 2005?	<input type="checkbox"/>	<input type="checkbox"/>
a. Does it include projects that will maintain or improve the traffic LOS on the CMPHS or adjacent facilities which benefit the CMPHS?	<input type="checkbox"/>	<input type="checkbox"/>
b. Are maintenance, rehabilitation, and reconstruction projects excluded for CMP purposes?	<input type="checkbox"/>	<input type="checkbox"/>
c. Was the CIP Development Program, distributed with the Measure M eligibility package, used to prepare the CMP CIP?	<input type="checkbox"/>	<input type="checkbox"/>
e. Have projects included as part of a deficiency plan been identified as such in the CIP?	<input type="checkbox"/>	<input type="checkbox"/>

CMP MONITORING CHECKLIST DEFICIENCY PLANS
--

Responsibility: Cities, County

2005 CMP CHECKLIST

	YES	NO*
1. After adjustments, were any locations on the CMPHS identified as failing to meet the LOS standard through the data collection and calculation process?	<input type="checkbox"/>	<input type="checkbox"/>
a. If so, which?		

NOTE: Only those agencies which answered question #1 affirmatively need to answer the remaining questions.

2. Will the deficiencies at these locations be corrected by improvements scheduled for completion during the next 18 months?	<input type="checkbox"/>	<input type="checkbox"/>
3. Has a deficiency plan or a schedule for preparing a deficiency plan been submitted to OCTA?	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the deficiency plan fulfill the statutory requirements:		
a. include an analysis of the causes of the deficiency?	<input type="checkbox"/>	<input type="checkbox"/>
b. include a list of improvements necessary to maintain minimum LOS standards on the CMPHS and the estimated costs of the improvements?	<input type="checkbox"/>	<input type="checkbox"/>

		YES	NO*
c.	include a list of improvements, programs, or actions, and estimates of their costs, that will improve LOS on the CMPHS and improve air quality?	<input type="checkbox"/>	<input type="checkbox"/>
1)	do the improvements, programs, or actions meet the criteria established by SCAQMD (see the CMP Preparation Manual)?	<input type="checkbox"/>	<input type="checkbox"/>
d.	include an action plan and implementation schedule?	<input type="checkbox"/>	<input type="checkbox"/>
5.	Are the capital improvements identified in the deficiency plan programmed in your seven-year CMP CIP?	<input type="checkbox"/>	<input type="checkbox"/>
6.	Does the deficiency plan include a monitoring program that will ensure its implementation?	<input type="checkbox"/>	<input type="checkbox"/>
7.	Does the deficiency plan include a process to allow some level of development to proceed pending correction of the deficiency?	<input type="checkbox"/>	<input type="checkbox"/>
8.	Has necessary inter-jurisdictional coordination occurred?	<input type="checkbox"/>	<input type="checkbox"/>
9.	Please describe any innovative programs included in the deficiency plan:		
	<hr/>		
	<hr/>		
	<hr/>		

* Submitting jurisdiction is encouraged to provide a brief explanation of those questions answered "No."

**CMP MONITORING CHECKLIST
LAND USE COORDINATION**

Responsibility: Cities, County

2005 CMP CHECKLIST

	YES	NO*
CMP Traffic Impact Analysis:		
1. Have you changed the CMP traffic impact analysis (TIA) process you selected for the 2003 CMP?	<input type="checkbox"/>	<input type="checkbox"/>
2. If you answered "Yes" to the above question, have you submitted documentation of the revised TIA approach and methodology used to OCTA?	<input type="checkbox"/>	<input type="checkbox"/>
3. Was your CMP TIA process applied to applicable development projects filed and approved by the local jurisdiction between July 1, 2003 and June 30, 2005?	<input type="checkbox"/>	<input type="checkbox"/>
a. How many approved development projects were required to conduct a CMP TIA?		
b. Did the TIA process identify whether any CMPHS links/intersections would exceed their established LOS standard as a result of project related traffic?	<input type="checkbox"/>	<input type="checkbox"/>
c. If so, which CMPHS links/intersections?		
	<hr/>	
	<hr/>	
	<hr/>	
d. Which, if any, of these impacted CMPHS links/intersections are located outside the boundaries of your jurisdiction?		
	<hr/>	
	<hr/>	
	<hr/>	

- | | YES | NO* |
|--|--------------------------|--------------------------|
| e. Did your agency participate in inter-jurisdictional discussions with other affected jurisdictions to develop a mitigation strategy for each impacted link/intersection? | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Did you use, or do you anticipate using, a local model for your traffic impact analysis on any projects initiated between July 1, 2003 and June 30, 2005? | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. If you answered "Yes" to the above question, did you follow the modeling consistency process outlined in Attachment 1? | <input type="checkbox"/> | <input type="checkbox"/> |

* Submitting jurisdiction is encouraged to provide a brief explanation of those questions answered "No" (with the exception of questions 1 and 4).

ORANGE COUNTY CONGESTION MANAGEMENT PROGRAM
IMPLEMENTATION OF
LAND USE/SOCIOECONOMIC DATA CONSISTENCY REQUIREMENT
FOR MODELING
IN CMP-REQUIRED TRAFFIC IMPACT ANALYSES

Data Consistency

Data consistency is required under the terms of an agreement reached between OCTA and SCAG, that was incorporated in the County's 1993/1994 CMP Preparation Manual as part of the Modeling Consistency component of the County's CMP. In cases where a traffic model is used to perform a CMP-required traffic impact analysis, the requirement mandates that a reconciliation be performed to show consistency between the land use or socioeconomic data input to the local model and the County's recently adopted OCP-2004 countywide database.

With the approval of OCP-2004 by the County and the incorporation of OCP-2004 data by the Southern California Association of Governments (SCAG) into the regional socioeconomic database, Orange County is obligated to implement this requirement in the interest of data/modeling consistency. The Orange County Subarea Modeling Guidelines Manual is available to aid data reconciliation and to provide assistance to local agencies on how to convert land-use based data to socioeconomic data equivalents. This data consistency requirement has become part of a larger set of ongoing modeling consistency requirements under CMP.

Model Consistency

OCTAM 3.2 is a "state-of-the-practice" multi-modal transportation model specifically designed to evaluate regional multi-modal transportation systems, such as autos, bus, rail, toll roads, as well as walking and bicycle trips. The model is an "analytical tool" used to estimate transportation impacts based on transportation infrastructure, land use, and demographic input assumptions. OCTAM 3.2 is often supplemented with additional detailed analysis and/or requires judicious interpretation of its results when applied specifically for detailed sub-regional analysis. In order to conduct detailed analysis with OCTAM 3.2 data, OCTA has developed procedures by which "subarea" traffic models could be used to supplement OCTAM 3.2 regional data for project specific and local area analyses. The procedures on how this could be accomplished are documented in the Orange County Subarea Modeling Guidelines Manual, July 2005 (Appendix F).

On January 25, 1999, the OCTA Board of Directors adopted the Orange County Subarea Modeling Guidelines Manual and authorized staff to implement the guidelines' certification process, effective one year after completion of the Orange County Transportation Analysis Model, Version 3. Since then, the Subarea Modeling Guidelines Manual has been revised to reflect the updated OCTAM 3.2 and the OCP-2004 growth projections. The updated manual requires that the cities' subarea models must be certified by OCTA for consistency with OCTAM

3.2 to satisfy Congestion Management Program (CMP) and OCTA funding program requirements.

Applicability

Consistency requirements will apply in all situations where a CMP-required traffic impact analysis is performed using traffic modeling. This includes situations in which a local agency model or a consultant model is employed. The local agency having jurisdiction over the proposed project will be responsible for assuring that the reconciliation requirement is met through the traffic impact analysis process and through documentation in the traffic impact analysis report itself.

Effective Date

Data Consistency

The requirement is effective on March 1, 1994. Any proposed project for which a CMP-required traffic impact modeling analysis was initiated on or after March 1, 1994, must comply with this requirement. Any proposed project for which such analysis was already underway or completed before March 1, 1994, would not be affected by this requirement.

Model Consistency

Subarea traffic models used for CMP purposes must be consistent with OCTAM 3.2 as specified in the Orange County Subarea Modeling Guidelines Manual, July 2005.

Required Data Reconciliation

The following data reconciliation check would need to be performed. The geographic level on which the reconciliation would be required to be performed would be at the citywide level (or equivalent) in the jurisdiction in which the proposed project is located.

1. From the local model database, housing unit totals would be aggregated across all local data base housing categories, and that total would be compared directly to the equivalent dwelling unit total from OCP-2004.
2. All other nonresidential land uses from the local model data base would be converted into an equivalent employment total across all land uses, and that total would be compared directly to the total employment out of OCP-2004.
3. Local agencies who have their own sets of conversion rates for converting land use data into equivalent employment totals would be free to use those conversion rates for the purposes of this reconciliation. Such agencies would simply be asked to provide a tabulation of the rates used and a brief documentation of how those rates historically have been used or how they were derived by the local agency.

4. For local agencies that would like employment conversion rates provided to them for their use in meeting this requirement, please refer to the Orange County Subarea Modeling Guidelines Manual, July 2005 for applicable land use to socio-economic data conversion rates.
5. Local agencies would be free to include other rates for individual local land use categories where, in their judgment, different rates are justified; provided that the source of those rates is documented and the rationale for using them is explained in the reconciliation.

Timeframes for Which the Data Reconciliation Is to Be Performed

For each CMP-required traffic impact analysis using modeling, the reconciliation will be required to be performed for two different timeframes:

1. “Base year” timeframe

For the purposes of this requirement, “base year” will be taken to mean a current or recent year for which the model was calibrated. The local agency will be allowed considerable discretion in selecting the “base year” appropriate to the circumstance of the particular model that was employed in the traffic impact analysis.

The purpose of the “base year” reconciliation is to “benchmark” the local model data against OCP-2004 for “current” conditions. It is important that it be demonstrated that there are not any unexpected or unexplained significant discrepancies between the two databases before moving on to the “future year” reconciliation.

2. “Future year” timeframe

For the purposes of this requirement, “future year” will be taken to mean the specific future year (or future scenario) for which the full impacts of the proposed project are analyzed. Any future year within the future time horizon covered by OCP-2004, from the present time out to the Year 2030, could be used as the “future year” (see also the discussion which follows later in this section for “buildout” scenarios). The “future year” should match the “future year” for which the model was employed to forecast the full traffic impacts of the proposed project.

If the “future year” happens to match one of the five-year increment milestones employed by OCP-2004, then the local data can be compared to the OCP-2004 data directly. If the “future year” happens to fall between the five-year increments, the local agency will be free to interpolate between the OCP-2004 data sets for the 5-year timeframe immediately preceding and immediately following the “future year” in question. All source OCP-2004 data required to perform this reconciliation is included in the guidance document that has been produced to assist local agencies in performing this reconciliation.

In some cases, the “future year” used by local agencies are termed as “buildout”, a future scenario at which full general plan land use intensities are assumed to be in place. Such a

“buildout” scenario is not necessarily associated with a specific future calendar year. Moreover, it would not be uncommon for “buildout” to occur later than the Year 2030, which is the latest “future” year in the OCP-2004 forecast array. If the local agency uses “buildout” that is understood to be beyond the Year 2030, then the local agency is requested to do the reconciliation exercise comparing local buildout data to the Year 2030 OCP-2004 data, with the understanding that buildout numbers can be substantially higher than the OCP-2004 Year 2030 equivalents.

The purpose of the “future year” reconciliation is to assure that the land use or socioeconomic data on which future project traffic forecasts are based, will adequately account for future project impacts on the CMP highway system. This is key to the purposes of model consistency and data consistency requirements in CMP.

Tolerances for Satisfactory Data Reconciliation

It is the ultimate goal to have models and data bases as consistent with each other as possible. As a practical matter, and for the purposes of meeting this data reconciliation requirement, it will generally be considered that the local data and OCP-2004 data have been satisfactorily reconciled if the two data bases can be shown to come within 5 percent for the “base year” timeframe, and within 10 percent for the “future year” timeframe. (However, it should be noted that a number of example applications have been performed thus far in which matches far closer than 5 percent have been achieved in the reconciliation.) The rationale for having the closer tolerance (5 percent) for the “base year” timeframe is that the “base year” timeframe essentially represents development already existing; and closer convergence between the two data bases should be expected. The rationale for using the 10 percent tolerance for the “future year” timeframe is to recognize that there will be inherent uncertainties in forecasting future development, including differences in assumptions about the timing and phasing of future development, that will enter into numerical differences between the two data bases for future forecast years.

Recognizing that a major purpose of the reconciliation requirement is to assure that project impacts to the CMP highway system are adequately accounted for and adequately mitigated, close attention should be given to any reconciliation that shows the local data totals being less than the comparable totals from OCP-2004.

Particularly for “future year” reconciliation, there may be instances where differences in the assumed timing of future development lead to differences between the local data totals and the comparable OCP-2004 figures. In such cases, the reconciliation should account for those differences in assumptions as explicitly as possible, and should document as well as possible how much of the variance comes from such different assumptions.

In cases where the local agency employs “buildout” as the “future year”, and where “buildout” is understood to be beyond the Year 2030, the reconciliation will be considered satisfactorily performed if the buildout data is shown to meet or exceed the equivalent data from the Year 2030 OCP-2004 forecast series. It will be expected that a good faith effort will have been made to assure that the level to which “buildout” exceeds OCP-2004 Year 2030 data has been examined and that its order of magnitude bears some logical relationship to the proportion of future development that the local agency anticipates to extend beyond the Year 2030.

Documentation Requirement for the Reconciliation

For any CMP-required traffic impact analysis in which modeling is used, it will be required that the above-defined data reconciliation be documented in writing and included as a section in the traffic impact analysis report that is ultimately prepared.

The required documentation need not be lengthy, but it should, as a minimum, include the following:

- A tabular accounting showing the conversion of the local model data to OCP-2004 equivalents, for both “base year” and “future year”;
- A clear presentation showing the raw numerical comparison and the percentage difference between the local model data totals and the comparable data from OCP-2004, for both “base year” and “future year”;
- Brief text accounting for the nature and numerical extent of any significant differences between the two databases, for both “base year” and “future year”.
- A statement affirming that the two data bases have been reconciled to within 5 percent tolerance for the “base year”, and to within 10 percent tolerance for the “future year”; or otherwise arguing why it is believed that the purposes of the reconciliation requirement have been met.

The local agency having jurisdiction over the proposed project will be responsible for assuring that the required reconciliation documentation is included in each CMP-required traffic impact analysis report where modeling is used.

Once each CMP cycle, each local agency will be required to affirm to OCTA that it has complied with this requirement. The affirmation will be in the form of a CMP compliance checklist response to OCTA, in which the local agency certifies that all CMP-required traffic impact analysis reports using modeling, that have been submitted to the local agency or prepared by the local agency, do indeed include the required reconciliation documentation.

Clarification

The traffic models governed by this particular requirement are only those local traffic models which employ area wide existing and future land use data or socioeconomic data to estimate total

future traffic.

This is to be distinguished from those local “traffic models” which build on current measured traffic volumes, and which use land use data only pertaining to specific proposed projects to estimate increments of traffic that would be added to those measured volumes. Such models do not employ the types of area wide existing or future land use databases that are the subject of this model consistency requirement.

CMP MONITORING CHECKLIST LEVEL OF SERVICE

Responsibility: Cities, County

2005 CMP CHECKLIST

	YES	NO*
1. In your jurisdiction, are all of the intersections on the CMPHS operating at LOS E (or the baseline level, if worse than E) or better?	<input type="checkbox"/>	<input type="checkbox"/>
a. If not, have the impacts of traffic which are categorically exempt under the CMP legislation (interregional travel, traffic generated by the provision of low and very low income housing, construction rehabilitation or maintenance of facilities that impact the system, freeway ramp metering, or traffic signal coordination) been factored out of the LOS traffic counts?	<input type="checkbox"/>	<input type="checkbox"/>
2. After adjustments have been included, which intersections, if any, are operating below LOS E (or the baseline level, if worse than E)?	<input type="checkbox"/>	<input type="checkbox"/>
<hr/>		
<hr/>		
<hr/>		
3. Will the LOS at those intersections be improved by mitigation measures which will be implemented in the next 18 months or improvements programmed in the first year of any FY 2005/2006 funding program (i.e., local agency CIP, CMP CIP, Measure M CIP)?	<input type="checkbox"/>	<input type="checkbox"/>
a. If not, has a deficiency plan been developed for each intersection which will be operating below LOS E (or the baseline level, if worse than E)?	<input type="checkbox"/>	<input type="checkbox"/>

* Submitting jurisdiction is encouraged to provide a brief explanation of those questions answered "No."

**CMP MONITORING CHECKLIST
TDM ORDINANCE**

Responsibility: Cities, County

2005 CMP CHECKLIST

	YES	NO
1. Have you made revisions to the TDM ordinance used to satisfy the TDM requirements of the last CMP reporting cycle (i.e. 20031)?	<input type="checkbox"/>	<input type="checkbox"/>
a. If so, please attach a copy of the revised ordinance and adopting resolution.		
2. Have you applied your TDM ordinance to development projects?	<input type="checkbox"/>	<input type="checkbox"/>
a. If not, please provide a brief explanation.		

APPENDIX E
Capital Improvement Programs

(Under Separate Cover)

APPENDIX F
Orange County Subarea Modeling Guidelines

(Under Separate Cover)

Minutes of the Meeting of the
Orange County Transportation Authority
Orange County Service Authority for Freeway Emergencies
Orange County Local Transportation Authority
Orange County Transit District
October 24, 2005

Call to Order

The October 24, 2005, regular meeting of the Orange County Transportation Authority and affiliated agencies was called to order at 9:05 a.m. at the Orange County Transportation Authority Headquarters, Orange, California; Chairman Campbell presided over the meeting.

Roll Call

Directors Present: Bill Campbell, Chairman
Arthur C. Brown, Vice Chairman
Peter Buffa
Carolyn Cavecche
Lou Correa
Richard Dixon
Michael Duvall
Cathy Green
Gary Monahan
Chris Norby
Curt Pringle
Miguel Pulido
Susan Ritschel
Mark Rosen
James W. Silva
Gregory T. Winterbottom
Cindy Quon, Governor's Ex-Officio Member

Also Present: Arthur T. Leahy, Chief Executive Officer
Richard J. Bacigalupo, Deputy Chief Executive Officer
Wendy Knowles, Clerk of the Board
Laurena Weinert, Assistant Clerk of the Board
Kennard R. Smart, Jr., General Counsel
James Donich, Attorney, Woodruff, Spradlin, and Smart
Members of the Press and the General Public

Directors Absent: Thomas W. Wilson

Invocation

Director Duvall gave the invocation.

Pledge of Allegiance

Director Monahan led the Board and audience in the Pledge of Allegiance to the Flag of the United States of America.

Public Comments on Agenda Items

Chairman Campbell announced that members of the public who wished to address the Board of Directors regarding any item appearing on the agenda would be allowed to do so by completing a Speaker's Card and submitting it to the Clerk of the Board.

Special Matters

1. Presentation of Resolutions of Appreciation for Employees of the Month for October 2005

Chairman Campbell presented Orange County Transportation Authority Resolutions of Appreciation Nos. 2005-115, 2005-116, and 2005-117, respectively, to Coach Operator Elisha Rainwaters, Jeffrey Ferree of Maintenance, and Rick Smith of Administration, as Employees of the Month for October 2005.

2. Sacramento Legislative Update

Chris Kahn, OCTA's Sacramento advocate, presented an update on legislative issues taking place in the State's capitol. Mr. Kahn summarized the 2005 legislative season, which ended early in October, and discussed areas on which he plans to focus for 2006.

Chairman Campbell advised the Board that he was in Washington, D.C., last week and had very positive meetings with all of the Orange County Delegation.

Consent Calendar (Items 3 through 10)

Chairman Campbell stated that all matters on the Consent Calendar would be approved in one motion unless a Board Member or a member of the public requests separate action on a specific item.

No items were requested to be pulled by Board Members or members of the public.

Orange County Transportation Authority Consent Calendar Matters

3. Approval of Minutes

Motion was made by Vice Chairman Brown, seconded by Director Monahan, and declared passed by those present, to approve the minutes of the Orange County Transportation Authority and affiliated agencies' regular meeting of October 14, 2005.

4. Approval of Resolutions of Appreciation for Employees of the Month of October 2005

Motion was made by Vice Chairman Brown, seconded by Director Monahan, and declared passed by those present, to approve the Orange County Transportation Authority Resolutions of Appreciation Nos. 2005-115, 2005-116, and 2005-117, respectively, to Coach Operator Elisha Rainwaters, Jeffrey Ferree of Maintenance, and Rick Smith of Administration, as Employees of the Month for October 2005.

5. Summary of Federal Advocacy Strategic Planning Session

Motion was made by Vice Chairman Brown, seconded by Director Monahan, and declared passed by those present, to approve the review of the strategic planning session as submitted.

6. Orange County Transportation Authority's Draft 2006 Federal Legislative Platform

Motion was made by Vice Chairman Brown, seconded by Director Monahan, and declared passed by those present, to authorize staff to circulate copies of the Draft 2006 Federal Legislative Platform to advisory groups, Orange County legislative delegations, cities, and interested members of the public.

7. Right-of-Way Administration Review

Motion was made by Vice Chairman Brown, seconded by Director Monahan, and declared passed by those present, to receive and file the Review of Right-of-Way Administration, Internal Audit Report No. 05-012.

8. Cooperative Agreement for the Garden Grove Freeway (State Route 22) Design-Build Project between the Orange County Transportation Authority and the City of Orange

Motion was made by Vice Chairman Brown, seconded by Director Monahan, and declared passed by those present, to authorize the Chief Executive Officer to execute Cooperative Agreement C-4-0940 between the Orange County Transportation Authority and the City of Orange, in amount not to exceed \$185,000 for the City's costs associated with traffic management and police services for improvements to Garden Grove Freeway (State Route 22) Design-Build Project.

9. Amendment to Agreement for Plan Check and Construction Management Services for Santa Ana Bus Base

Motion was made by Vice Chairman Brown, seconded by Director Monahan, and declared passed by those present, to authorize the Chief Executive Officer to execute Amendment No. 8 to Agreement C-1-2282 between the Orange County Transportation Authority and MARRS Services, in an amount not to exceed \$125,000, for construction management services for the Santa Ana Bus Base, and extend the contract period to June 2006.

10. Third Quarter 2005 Debt and Investment Report

Motion was made by Vice Chairman Brown, seconded by Director Monahan, and declared passed by those present, to receive and file the Quarterly Debt and Investment Report prepared by the Treasurer as an information item.

Regular Calendar

Orange County Transportation Authority Regular Calendar Matters

11. Agreement for Operation and Management of the 91 Express Lanes

At this time Director Dixon recused himself from participating in any discussion or vote regarding this agenda item and left the Board room.

Chief Executive Officer (CEO), Arthur T. Leahy, stated he would also recuse himself from participating in this discussion, due to the fact his brother is named as one of the potential subcontractors on this contract award. Mr. Leahy also left the Board room at this time.

Paul Taylor, Executive Director of Planning, Development, and Commuter Services, gave a PowerPoint and verbal presentation on this item. Mr. Taylor included an overview of the Request for Proposal process, the evaluation committee and process, various information provided on the proposals that were received, and the cost savings associated with each proposal.

Discussion followed regarding costs, level of service proposed to be offered, and concerns relative to insurance issues.

Manfred Rietsch, representing VESystems of Irvine, addressed the Board, giving an overview of the provisions in their proposal for insurance, staffing, comparisons with VESystems and the competitor, experience, and comments regarding the proposed project manager, Michael Leahy.

Gary Hausdorfer, representing Cofiroute USA, addressed the Board and gave a summary of their experience working with OCTA, managing the State Route 91 Express Lanes, and their proposal for this new contract.

11. (Continued)

Discussion followed with Board Members asking Mr. Rietsch and Mr. Hausdorfer questions and evaluating each gentleman's responses regarding insurance and liability coverage, costs, experience, and abilities to manage this contract.

Chris Hall, Manager from TransCore (part of VESystems' proposal staff) addressed the Board regarding insurance questions from Director Duvall.

Motion was made by Director Pulido, seconded by Director Buffa, and declared passed by those present, to authorize the Chief Executive Officer to execute Agreement C-5-0300 between the Orange County Transportation Authority and Cofiroute USA, LLC, in an amount not to exceed \$30,800,854, to operate and manage the 91 Express Lanes for a five-year term. The recommended agreement would include two, 24-month option terms to be exercised at the conclusion of the initial five-year term at the sole discretion of the Board of Directors.

Directors Norby and Silva voted to oppose this recommendation.

Director Pringle suggested that perhaps in the future on the more complicated and detailed procurements such as this one, consideration could be given to the Board seeing the Request for Proposal prior to release to ensure that all the criteria Members would like to have evaluated is included.

12. Garden Grove Freeway (State Route 22) Design-Build Project Update

CEO, Arthur T. Leahy, provided opening comments on this update, then introduced Rick Grebner, Project Manager for the State Route 22 project. Mr. Grebner gave a PowerPoint and verbal presentation and provided Members with up-to-date information on the project and future closings of on- and off-ramps on the freeway.

This item was presented to receive and file; no action was taken on this item.

13. Measure M Extension Policy Guidance

Chairman Campbell at this time invited Monte Ward, Director of Special Projects, to address the Board on this material. He also suggested that Mr. Ward first provide the poll information (under Item 14, below) first, then go into the policy material. Mr. Ward agreed to take the items in the order suggested by the Chairman, addressing Item 14 first in his presentation.

Mr. Ward gave a PowerPoint and verbal presentation to the Board regarding the polling research data that has been received as a result of surveys sent out to members of the voting public.

13. (Continued)

Director Buffa inquired as to the top groups who were surveyed, and Mr. Ward responded that they were:

- √ Cities in the County;
- √ Citizens' Advisory Committee;
- √ Technical Advisory Committee (which includes cities' Public Works Directors);
- √ Business groups; and
- √ Community groups and organizations.

Director Cavecche requested specific data be provided as to where taxpayers spend much of their time in gridlock – either on local streets and roads or on the freeway.

Director Pringle requested that staff look into where funding would come from for improvements to local streets and roads if Measure M is not extended.

Public comments were heard from:

Alan Roeder, City Manager of Costa Mesa, who urged that the State Route 55 extension not be deleted from the list of projects.

Darrell Nolta, resident of Westminster, stated that he opposes a Measure M extension.

Director Cavecche stated that the Members need to understand (regarding Recommendation C) where the numbers came from, where they go, and how the numbers were arrived at.

Director Norby asked for clarification of the terms of 'highways' and 'roads'. He mentioned that the language for 'surface streets' is not clear.

Motion was made by Vice Chairman Brown, seconded by Director Cavecche, and declared passed by those present, to:

- A. Direct staff to use 30-year duration, from 2011 to 2041, for purposes of developing a draft Transportation Investment Plan for an extension of Measure M.
- B. Direct staff to use a 30-year sales tax revenue estimate of \$11.862 billion in 2005 dollars based upon an average of projections prepared by Chapman University, California State University Fullerton and the University of California, Los Angeles.

13. (Continued)

- C. Direct staff to maintain the current overall Measure M percentage allocation of funds for highways at 43 percent; streets and roads at 32 percent; and transit at 25 percent for purposes of developing an initial draft Transportation Investment Plan.
- D. Direct staff to integrate the existing taxpayer and funding safeguards with the draft Transportation Investment Plan and seek further input prior to final adoption of the plan.
- E. Direct staff to exclude from the initial draft Measure M Transportation Investment Plan “Tier III” Long Range Transportation Plan proposals for which costs, funding and project feasibility has yet to be determined.

Directors Monahan and Pulido were not present for this vote.

Other Matters

14. Measure M Poll Update

(This material was presented as combined with Item 13 above.)

15. Update on Riverside County/Orange County Major Investment Study

Paul C. Taylor, Executive Director, Planning, Development, and Commuter Services, gave a PowerPoint and verbal presentation on this major investment study. His presentation included an overview of the study and what the Committee had reviewed.

Director Ritschel requested new average daily traffic (ADT) statistics be available at the October 28 Riverside County - Orange County Major Investment Study Policy Committee meeting.

Director Dixon requested information on future impacts to the 241 toll road and Interstate 15 in regard to an Ortega Highway project.

Director Pringle stated emphatically that only one lane in each direction may be added to the State Route 91 in the future.

Vice Chairman Brown asked that the jobs/housing balance be considered as projects are discussed. This would impact both Riverside and Orange County residents and their job situations.

16. Chief Executive Officer's Report

CEO, Arthur T. Leahy, advised Members:

- √ Last week, there was another threat to the liquefied natural gas supply, which had gotten to very low levels, but currently, supplies have been restored.
- √ A mediation meeting was held last week with Caltrans and CH2MHill regarding the State Route 55/Interstate 405 project; no resolution was reached.
- √ The County approved negotiations with the City of Anaheim regarding the location for the ARTIC rail station in Anaheim. OCTA staff has had discussion with the City and information will come to the Board in the near future relative to financial participation on the part of OCTA.
- √ The annual Halloween event will be hosted by OCTA for the local school children, who come to the Authority and enjoy decorations and treats.
- √ Employees at the OCTA have been notified to begin wearing identification badges on November 1, 2005.

17. Directors' Reports

Director Quon expressed her appreciation for OCTA supporting the "Don't Trash California" campaign and allowing ten buses to have the bus wraps with this campaign advertising on them. Also, she thanked the Authority for having the "Go California" workshop at their Headquarters on October 25.

Chairman Campbell stated he would like the Chief Executive Officer's performance review agendaized at the Executive Committee in November and then moving forward to the full Board later in the month.

18. Public Comments

At this time, Chairman Campbell invited the public to address the Board of Directors regarding any items within the subject matter jurisdiction of the Board of Directors, but no action may be taken on off-agenda items unless authorized by law.

Darrell Nolta, resident of Westminster, addressed the Board, stating he was unhappy with the decision by them relative to the award of the contract for the operation and management of the State Route 91 Express Lanes today.

19. Closed Session

A Closed Session was not held at this meeting.

A brief break was announced at 12:25 p.m. by the Chairman, and he stated the Board would then reconvene to conduct the Bus Communications Workshop.

20. Bus Communications Workshop

The Chairman reconvened the Board of Directors at 12:40 p.m. and conducted this workshop. James Donich, Attorney at Law with Woodruff, Spradlin, and Smart, provided opening comments with background information on this issue, followed by presentations from OCTA staff, Local Union 952, representatives of Cinergy, and representatives of the Richter Group.

Discussion began and the following comments are noted:

Donna Metcalfe, representing Teamsters Local Union 952, addressed the Board, providing copies of recent comments from coach operators regarding the function of the bus radio system.

Vice Chairman Brown thanked Ms. Metcalfe for gathering these comments and presenting them. He indicated to staff that these recent comments need to be addressed.

Ian Telfer, representing Cinergy, provided a hand-out to Members and gave a presentation regarding the radio communications development, abilities, and contract process.

James Donich provided a summary as to what issues have changed to date as opposed to when the Grand Jury's letter was first issued several months ago.

Darrell Nolta, resident of Westminster, addressed the Board and stated that an engineer should be evaluating the situation, not an attorney.

Cindy O'Shiro, representing Cinergy, countered statements made that Cinergy would not be able to manage the contract and expectations. She stated that she believes the Grand Jury report is correct and that OCTA staff has not been honest with the Board.

Al Pierce, Manager, Maintenance, responded to many of the comments offered by Coach Operators and categorized them as mechanical problems, training issues, "dead zone" issues, and communications difficulties.

Dennis Elefante, Section Manager, Maintenance, commented regarding the issues Dispatch faces and how many operators work there and the workload they can handle before potentially becoming overwhelmed.

Dr. Henry Richter, representing the Richter Group, stated that his group performed the third-party independent assessment of the bus communications system and stands behind the report issued several months ago. He further stated that in his opinion, coverage effectiveness is 99 percent, and the system is definitely not "broken".

21. Adjournment

The meeting was adjourned at 2:15 p.m. Chairman Campbell announced that the next regularly scheduled meeting of the OCTA/OCTD/OCLTA/OCSAFE/OCSSAAV Board would be held at **9:00 a.m. on Monday, November 14, 2005**, at OCTA Headquarters at 600 South Main Street, First Floor - Room 154, Orange, California.

ATTEST

Wendy Knowles
Clerk of the Board

Bill Campbell
OCTA Chairman



BOARD COMMITTEE TRANSMITTAL

November 14, 2005

To: Members of the Board of Directors
From: ^{WK} Wendy Knowles, Clerk of the Board
Subject: State Legislative Status Report

Legislative and Government Affairs/Public Communications
Committee

November 3, 2005

Present: Directors Wilson, Ritschel, Correa, Rosen, and Buffa
Absent: Directors Silva, Cavecche, and Brown

Committee Vote

This item was passed by all Committee Members present.

Committee Recommendation

Receive and file as an information item.



November 3, 2005

To: Legislative and Government Affairs/Public Communications Committee
From: Arthur T. Leahy, Chief Executive Officer
Subject: State Legislative Status Report

Overview

Of the 961 bills submitted to Governor Arnold Schwarzenegger, an estimated 76 percent were approved. The Report on Legislation Enacted in 2005, containing a brief analysis of legislation of interest to the Orange County Transportation Authority, is submitted for your information.

Recommendation

Receive and file as an information item.

Discussion

2005 Legislative Session Adjourns

The legislative deadline for Governor Arnold Schwarzenegger to either sign or veto legislation on his desk was October 9, 2005. Of the 961 bills that awaited action by the Governor, 729 were signed into law, while 232 bills were vetoed. The Governor's legislative approval rating of 76 percent in 2005, is comparable to his 68 percent approval rating of a year ago, his first year in office.

Although the 2005 legislative session included discussion of notable legislation, the presence of the November 2005 Special Elections altered much of the typical legislative activity of years past.

Report on Legislation Enacted in 2005

Of the 961 bills that Governor Schwarzenegger signed into law, there is a multitude of transportation specific bills that may be of interest to the Orange County Transportation Authority (OCTA).

Noteworthy pieces of legislation signed into law include:

- AB 144 (Hancock, D-Berkeley), the Bay Bridge deal which authorized \$630 million from multiple state sources such as the State Highway Operations and Protection Program (SHOPP) to be directed towards construction of the eastern span of the Bay Bridge. This bill also requires any future cost overruns to be paid for with toll revenue.
- AB 462 (Tran, R-Costa Mesa), OCTA's sponsored legislation, authorizes the Department of Transportation (Caltrans) to certify facilities located in the state highway system rights-of-way in compliance with disability accessibility standards. This bill codified a practice that had occurred for more than 30 years until January 1, 2005.

Conversely, the Governor also vetoed notable legislation such as:

- AB 275 (Torlakson, D-Concord), would have required a 10-year needs assessment of the state's transportation system to be developed by the state's regional planning agencies, cities, and counties. In his veto message, the Governor suggested that adoption of this bill would have added to the bureaucratic and burdensome reporting requirements already in place.

Although OCTA did not take a position on all of the bills contained in the attached report, it is important OCTA be aware of statutory changes impacting other agencies and local government. Attachment A is a brief analysis of all of the legislation enacted this year that may be of interest to OCTA.

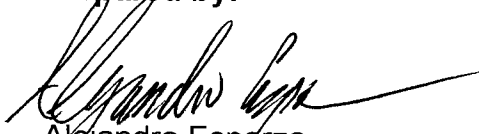
Summary

With the 2005 legislative session having adjourned, there are many bills signed into law that may be of interest to OCTA.

Attachments

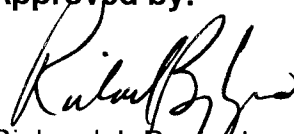
- A. Legislation Enacted in 2005
- B. Legislative Matrix

Prepared by:



Alejandro Esparza
Government Relations
Representative
(714) 560-5393

Approved by:



Richard J. Bagicalupo
Deputy Chief Executive Officer
(714) 560-5901

LEGISLATION ENACTED IN 2005

Agency Organization

AB 1234 (Salinas, D-Salinas) - Local Agencies: Compensation and Ethics (Chapter 700 of the Statutes of 2005)

AB 1234 requires a local agency that provides reimbursement for expenses to members of its legislative body to adopt a written policy on the duties for which legislative body members may receive compensation, other than routine activities. Requires such body to adopt a written policy concerning what occurrences qualify a member to receive reimbursement of expenses for travel, meals, and lodging. Requires filing of expense reports, which would be public records. Requires ethics training by specified entities.

OCTA Position – Monitor

Impact on OCTA

Special district has been included in the definition of local agency and therefore, may require the OCTA Board of Directors to comply with the provisions of the bill. This bill has been forwarded to legal counsel to determine the impacts and action that may need to be taken.

AB 1595 (Evans, D-Santa Rosa) - Public Official: Personal Information (Chapter 343 of the Statutes of 2005)

AB 1595 prohibits a person, business, association, state, or local agency from publicly posting or displaying on the Internet the home address or telephone number of any elected or appointed official if the official has made a written demand not to disclose their information. Specifies penalties for individuals that knowingly post this information, with the intention of causing bodily harm.

OCTA Position – None

Impact on OCTA

OCTA would abide by this law and obtain written permission from its Board members before posting personal information such as home address and telephone number in materials that are made publicly accessible.

SB 8 (Soto, D-Ontario) - Political Reform Act of 1974: Local Officials (Chapter 680 of the Statutes of 2005)

SB 8, commencing on July 2006, would prohibit certain local officials who held a position with a local government agency for a period of one year after leaving those positions from acting as agents and appearing before the local government entity for purposes of influencing administrative or legislative action. This bill applies the so-called revolving door prohibition to every city, county, school district, and special district in the state.

OCTA Position – None

Impact on OCTA

This bill would prohibit a former OCTA Board member from lobbying the OCTA Board within one year of leaving office for the purpose of influencing administrative or legislative action, or influencing any action or proceeding involving the issuance, amendment, awarding, or revocation of a permit, license, grant, or contract, or the sale or purchase of goods or property.

**SB 15 (Escutia, D-Norwalk) - Public Utilities Commission
(Chapter 591 of the Statutes of 2005)**

SB 15 relates to items appearing on the Public Utilities Commission (PUC) agenda. This bill extends from 10 days to 30 days the minimum public review/comment period for alternate decision and rescheduling of the item for future consideration. Requires the alternative item be accompanied by a digest that explains the substantive revisions to the proposed decision. Requires certain information be posted on the Internet.

OCTA Position – None

Impact on OCTA

This bill could delay PUC action on an OCTA item that may need approval by the PUC.

**SB 274 (Romero, D-Los Angeles) - Incompatible Offices: Elected and Appointed Positions
(Chapter 254 of the Statutes of 2005)**

SB 274 codifies common law practice that provides that a public officer, including, but not limited to, an appointed or elected member of a governmental board, commission, committee, or other body, shall not simultaneously hold two public offices that may be deemed incompatible. Provides that when two offices are incompatible that a public officer shall be deemed to have forfeited the first office upon acceding to the second. Provides this provision is enforceable by the Attorney General.

OCTA Position – None

Impact on OCTA

Listed for informational purposes. This bill should not have a direct impact on the Board of Directors; however, each Board member may want to review the three prong test when seeking office on other boards.

Alternative Fuels and Technology

**AB 1007 (Pavley, D-Woodland Hills) - Air Quality: Alternative Fuels
(Chapter 371 of the Statutes of 2005)**

AB 1007 requires the State Air Resources Board to develop and adopt a state plan to increase the use of alternative transportation fuels, including standards for such fuels and vehicles.

OCTA Position – None

Impact on OCTA

Implementation of plans to increase the use of alternative fuels will assist in air quality conformity requirements. Since alternative fuels are either not charged a user fee excise tax or charged at a much lower rate, implementation will eventually affect the amount of revenue available for transportation.

**AB 1660 (Pavley, D-Woodland Hills) - Energy Efficient Vehicles
(Chapter 580 of the Statutes of 2005)**

AB 1660 creates the California Energy Efficient Vehicle Group Purchase Program in the Department of General Services to encourage the purchase of energy efficient vehicles by local and state agencies through a group purchasing program. Requires the department to negotiate the lowest possible purchase price for energy efficient vehicles. Provides every city, county, city and county, special district, including a school district and community college district may require acquiring such vehicles.

OCTA Position – None

Impact on OCTA

This bill may allow OCTA to purchase alternative fuel vehicles at a lower cost and eliminate the need for a lengthy competitive procurement process.

Audits, Records, Reports and Litigation

**AB 361 (Runner S, R-Lancaster) - Notaries Public
(Chapter 295 of the Statutes of 2005)**

AB 361 makes it a misdemeanor for a notary public to willfully fail to perform the required duties of a notary public or to willfully fail to keep the seal of the notary under his or her direct and exclusive control. Requires that a court revoke the commission of a notary public should he or she be convicted of any offense related to his or her duties, or of any felony. This bill also requires surrender to the court of the seal, which would be forwarded to the Secretary of State.

OCTA Position – None

Impact on OCTA

This bill is listed for informational purposes since some employees at OCTA are notary publics.

**AB 378 (Chu, D-Monterey Park) - Statue of Limitation: Protected Classes
(Chapter 123 of the Statutes of 2005)**

AB 378 extends from one year to three years the statute of limitation to bring a civil action to collect penalties against any person who interferes with the exercise of an individual's right to be free from violence, or intimidation by threat of violence, committed against their persons or property because of their race, color, religion, ancestry, national origin, political affiliation, sex, sexual orientation, age, disability or position in a labor dispute.

OCTA Position – None

Impact on OCTA

The additional time to bring a civil action for penalties could increase the exposure for civil suits associated with violence or threats of violence to protected classes.

SB 759 (Maldonado, R-San Luis Obispo) – Public Works: Payroll Records (Chapter 500 of the Statutes of 2005)

SB 759 authorizes contractors on public works contracts to use the printouts of payroll data that are maintained as computer records for the purposes of payroll recordkeeping requirements providing the computer records includes all of the information contained on the Division of Labor Standards Enforcement forms.

OCTA Position – None

Impact on OCTA

Listed for informational purposes. This bill provides an alternative method of producing payroll information.

Employment Terms and Conditions

AB 538 (Harman, R-Huntington Beach) - County Employees' Retirement: Rate Adjustments (Chapter 63 of the Statutes of 2005)

AB 538, sponsored by the Orange County Board of Supervisors, requires the county board of retirement to recommend changes in contribution rates, based upon actuarial valuations, to the governing body of districts, not governed by the board of supervisors, that contract for retirement benefits. The governing body of the district is required to adopt the necessary changes in contribution rates.

OCTA Position – None

Impact on OCTA

This bill will require the OCTA Board of Directors, instead of the Orange County Board of Supervisors, to implement changes in employer and employee contribution rates as determined by the Orange County Employees' Retirement System's (OCERS) actuarial valuations.

AB 1044 (Aghazarian, R-Stockton) - Public Officers: Retirement Benefits Forfeiture (Chapter 322 of the Statutes of 2005)

AB 1044 provides any elected public officer, who takes office, or is reelected to office, on or after a specified date, shall forfeit specified retirement benefits that accrue during a term of office if convicted of any felonies arising out of his or her official duties, unless the governing body authorizes the public officer to receive benefits. Provides certain contributions made by the elected public officer shall be returned. Provides for membership forfeiture.

OCTA Position – None

Impact on OCTA

Listed for information purposes. OCTA does not contribute to OCERS on behalf of Board members; however, Board members may receive retirement benefits through another office and be affected by the provisions of this bill.

**AB 1093 (Matthews, D-Stockton) - Employment: Wages
(Chapter 149 of the Statutes of 2005)**

AB 1093 provides that an employer may deposit the wages or advance on wages in an account in any bank, savings and loan association or credit union of the employee's choice that has a place of business in the state. Modifies existing law to provide that if an employee is discharged or quits, the employer may pay the wages earned and unpaid at the time the employee is discharged or quits by depositing that sum into the account authorized by the employee. Exempts certain computer software employees from overtime.

OCTA Position – None

Impact on OCTA

This bill would allow for the final pay of a terminating employee to be made via direct deposit instead of a check.

**AB 1311 (Labor and Employment Committee) - Labor Standards: Enforcement Hearings
(Chapter 405 of the Statutes of 2005)**

AB 1311 permits the Labor Commissioner to serve complaints by leaving a copy of the complaint at the home or office of the person being served and mailing a copy to the person at the place where the copy was served. Previously, the complaint had to be served personally or by certified mail.

OCTA Position – None

Impact on OCTA

The person being served a complaint does not have to be present to be served.

**AB 1533 (Bass, D-Los Angeles) - Health Care Coverage
(Chapter 542 of the Statutes of 2005)**

AB 1533 adds to those exceptions under which an eligible employee or dependent is not considered a late enrollee of a health care service plan to include an individual, or his or her dependent, who has lost or will lose Healthy Families Program coverage as a result of exceeding the program's income or age limits and who requests enrollment within 30 days after termination of coverage.

OCTA Position – None

Impact on OCTA

Listed for informational purposes.

**ACR 43 (Horton J, D-Inglewood) - Labor
(Chapter 81 of the Statutes of 2005)**

ACR 43 declares that the Division of Labor Standards Enforcement does not have the authority to promulgate a specified regulation relating to meal and rest periods, that this authority rests with the Legislature or the Industrial Welfare Commission, and that the specified regulation is inconsistent with existing law.

OCTA Position – None

Impact on OCTA

ACR 43 is a declaration of the Legislature and has no impact on Wage Order Number 9 that governs meal and rest periods for OCTA coach operators.

**SB 101 (Battin, R-Moreno Valley) - Employee Compensation
(Chapter 103 of the Statutes of 2005)**

Beginning January 1, 2008, existing law prohibits using more than the last four digits of an employee's social security number on a check, draft, or voucher. SB 101 clarifies that this law also applies to any itemized statement that accompanies any check, draft, or voucher.

OCTA Position – None

Impact on OCTA

OCTA has complied with existing law, but should ensure that social security numbers are not printed on statements accompanying checks.

Environment

**SB 467 (Lowenthal, D-Long Beach) - Carl Moyer Air Quality Standards Attainment Program
(Chapter 209 of the Statutes of 2005)**

SB 467 requires the State Air Resources Board to revise grant criteria and guidelines to incorporate projects in which an applicant turns in a non-road internal combustion technology and equipment that the applicant owns and that still has some useful life, coupled with the purchase of non-road zero emission technology and equipment that is in a similar category or that can perform the same work. Imposes restrictions on the state board's evaluation of the cost effectiveness of a project.

OCTA Position – None

Impact on OCTA

This bill may result in minor reallocation of Carl Moyer grants from currently eligible projects for which OCTA applies to non-road technology and equipment swaps.

Freeways

ACR 23 (Garcia, R-Cathedral City) - Intrastate Trucking: Traffic Congestion (Chapter 90 of the Statutes of 2005)

ACR 23 urges the regional transportation agencies to examine the flow of traffic to develop commercial trucking routes that would provide for the most direct movement through a city and a county in order to reduce the time that trucks are in city limits and county areas and the level of pollution that is created. Urges city and counties to incorporate this process as part of the revisions to their general and specific plans.

OCTA Position – None

Impact on OCTA

OCTA may be asked by the Department of Transportation to compile this information.

Funding

AB 144 (Hancock, D-El Cerrito) - Bay Area State Owned Toll Bridges: Financing (Chapter 71 of the Statutes of 2005)

AB 144 appropriates \$630 million from the Motor Vehicle Account and other specified funds to fund the seismic retrofit and replacement of the state owned toll bridges. This bill further transfers responsibility of the toll bridges to the Bay Area Toll Authority, including but not limited to maintenance of the bridges, ability to increase tolls and refinance debt, and responsibility to pay for any additional cost increases associated with the Bay Bridge from toll revenue.

OCTA Position – None

Impact on OCTA

Finalizes the agreement over how the cost overruns on the Bay Bridge will be paid and expressly requires any additional costs to be paid by toll revenue. This will limit the loss of statewide funds that may otherwise be available to OCTA.

AB 164 (Nava, D-Santa Barbara) - Disaster Relief (Chapter 623 of the Statutes of 2005)

AB 164 provides for state allocations to make up property taxes lost by the counties of Kern, Los Angeles, Santa Barbara, and Ventura as a result of a series of severe rain storms, flooding, and mud slides that occurred in those counties during a specified period. This bill also provides a one time reduction of fare box recovery requirements for the Ventura County Transportation Commission.

OCTA Position – None

Impact on OCTA

No direct impact on OCTA; however, this bill sets a precedent to waive fare box recovery requirements.

**AB 216 (Oropeza, D-Carson) - Administration of Transportation Funds
(Chapter 522 of the Statutes of 2005)**

AB 216 authorizes the California Transportation Commission to reallocate lapsed funds to Traffic Congestion Relief Program projects that were delayed due to circumstances beyond the control of the lead agency.

OCTA Position – None

Impact on OCTA

Listed for information purposes.

**AB 451 (Yee, D-San Francisco) - Local Sales Tax: Jet Fuel: Place of Sale
(Chapter 391 of the Statutes of 2005)**

AB 451 provides that the rate of a sales tax on sales of jet fuel will be determined by the point of delivery of the jet fuel to the aircraft.

OCTA Position – None

Impact on OCTA

Listed for informational purposes. This bill may provide additional sales tax revenue to the local jurisdiction associated with John Wayne Airport.

**SB 62 (Budget and Fiscal Review Committee) - Transportation
(Chapter 76 of the Statutes of 2005)**

SB 62 is a budget trailer bill for transportation. Specifically, this bill repeals the repayment of certain transportation loans due and payable by June 30, 2006 and instead makes repayment contingent upon proceeds from bonds backed by tribal gaming compacts. SB 62 also suspends the transfer of spillover in fiscal year 2005-2006, estimated at \$380 million, and up to \$200 million in fiscal year 2006-2007 from the General Fund to the Public Transportation Account. This bill also provided full funding of Proposition 42.

OCTA Position – None

Impact on OCTA

Due to litigation associated with the tribal gaming compacts, repayment of transportation loans totaling \$1.2 billion is being delayed and therefore, will not be available for transportation purposes. Additionally, OCTA will not receive an estimated \$16.74 million in state transit assistance revenue from spillover.

SB 66 (Torlakson, D-Antioch) - Bay Area State Owned Toll Bridges: Financing (Chapter 375 of the Statutes of 2005)

SB 66 makes minor modification to AB 144 related to funding the Bay Bridge cost overruns. This bill also requires the CTC to modify its guidelines related to letters of no prejudice for TCRP projects, effective with fiscal year 2006-2007, to ensure that lead applicant agencies who obtained letters of no prejudice are reimbursed on an equitable basis.

OCTA Position – None

Impact on OCTA

Because the effective date that the CTC must modify its TCRP guidelines was delayed to fiscal year 2006-2007, OCTA was able to obtain its \$123.7 million allocation for State Route 22.

SB 457 (Kehoe, D-Can Diego) - Disaster Relief (Chapter 622 of the Statutes of 2005)

SB 457 provides for state allocations for property tax revenue reductions, resulting from a reassessment ordinance, incurred by the Counties of Orange, Riverside, San Bernardino, San Diego, which were declared by the Governor to be in a state of emergency as a result of severe rain storms that occurred in those counties during 2004 and 2005.

OCTA Position – None

Impact on OCTA

This bill should provide reimbursement of minor property tax revenue lost to OCTD due to the devaluation of property damaged or destroyed during the severe rain storms.

SB 987 (Migden, D-San Francisco) - County Transportation Authorities (Chapter 83 of the Statutes of 2005)

SB 987 authorizes any of the 9 Bay Area counties to spend a portion of its sales tax proceeds in another county if so provided in its county transportation expenditure plan. Authorizes the membership of the county transportation authority to be specified in the tax ordinance. Authorizes the authority to be the sponsoring agency for projects included in the expenditure plan. Changes the existing threshold for contracts to be competitively bid.

OCTA Position – None

Impact on OCTA

This bill does not directly impact OCTA. However, this bill sets a precedent should OCTA determine it is in the best interest of the Orange County taxpayers to expend local sales tax revenue on interregional projects that cross county lines.

Public Works

AB 338 (Levine, D-Van Nuys) - Recycling: Crumb Rubber (Chapter 709 of the Statutes of 2005)

AB 338 defines the terms “asphalt containing crumb rubber” and “rubberized asphalt concrete”. This bill requires the Department of Transportation, beginning January 1, 2007, to use crumb rubber at a specified percentage of the total amount of asphalt paving materials used for state highway and construction projects that use asphalt as a construction material. Specifies only crumb rubber manufactured in the United States that is derived from waste tires taken from vehicles owned and operated in the United States may be used.

OCTA Position – None

Impact on OCTA

AB 338 should have little effect on OCTA freeway construction operations. According to the committee analysis, the construction cost on state highways that are paved with rubberized asphalt will increase in the near future due to the requirement. However, state highways that are paved with a rubberized asphalt only, not used as an overlay on concrete, should experience a cost savings in the long run due to the increased durability of asphalt that uses crumb rubber in contrast to regular asphalt.

AB 453 (Benoit, R-Riverside) - Grade Separation Projects (Chapter 298 of the Statutes of 2005)

AB 453 extends from one year to two years the time allowed to issue a construction contract for a grade separation project.

OCTA Position – None

Impact on OCTA

This bill would provide additional time to secure matching funds, approvals, and execute agreements with railroads for grade separation projects.

AB 462 (Tran, R-Costa Mesa) - Disability Access (Chapter 299 of the Statutes of 2005)

AB 462 authorizes Caltrans to approve that state highway rights of way satisfactorily allow access by persons with disabilities. Requires Caltrans to use engineers certified through a program, if established by the State Architect, to verify that Caltrans' standards, guidelines, and design exceptions comply with State and Federal requirements.

OCTA Position – Sponsor

Impact on OCTA

Codifies a long standing agreement between Caltrans and the State Architect where Caltrans certifies accessibility requirements of the state highway system. This bill eliminates redundant reviews by two separate state agencies thereby reducing delays.

**AB 1511 (Evans, D-Santa Rosa) - Design Build Contracting
(Chapter 350 of the Statutes of 2005)**

AB 1511 authorizes the Counties of Del Norte, Humboldt, Los Angeles, Mendocino, Napa and Yolo to use the design build process on certain projects. Deletes the requirement that contracts with costs that are within a certain funds range be awarded to the lowest responsible bidder and instead authorize the counties to award projects using either the lowest responsible bidder or best value method. Requires the counties using this method to submit specified reports by certain dates. This bill is double joined to SB 287.

OCTA Position – None

Impact on OCTA

Listed for informational purposes. This bill recognizes the value of design-build; however, intent language is included in the bill to not authorize the use of design-build for transportation facilities, including, but not limited to, roads and bridges.

**SB 130 (Margett, R-Glendora) - Works of Improvement: Stop Notices
(Chapter 15 of the Statutes of 2005)**

SB 130 enables a stop notice claimant to reduce or release a stop notice served on an owner for a work of improvement, without precluding subsequent stop notices. This bill was enacted to correct misinterpretations by some public agencies of the stop notice statutory provisions that prevented the filing of subsequent stop notices.

OCTA Position – None

Impact on OCTA

OCTA may be served more than one stop notice by a claimant.

**SB 287 (Cox, R-Roseville) - Design Build Contracting
(Chapter 376 of the Statutes of 2005)**

SB 287 extends the authorization for design build contracts, with costs over a specified amount, for certain counties, with the approval of the board of supervisors. Adds specifically named counties, including the County of Orange, to those counties that may elect to use these provisions. Provisions of the bill are similar to AB 1511. This bill along with AB 1511 enables 30 counties to use design-build for the construction of buildings.

OCTA Position – None

Impact on OCTA

Listed for informational purposes. This bill recognizes the value of design-build; however, intent language is included in the bill to not authorize the use of design-build for transportation facilities, including, but not limited to, roads and bridges.

Transportation Modes

AB 1067 (Frommer, D-Glendale) - Railroads (Chapter 716 of the Statutes of 2005)

AB 1067 relates to penalties for railroad grade crossing violations. Permits a court to order attendance at a traffic safety school that includes a rail safety presentation or Internet rail safety test. Adds additional rail transit related violations to the existing list of rail transit related violations that are subject to these provisions. This bill also authorizes the California Transportation Commission to increase from \$5 million to \$15 million the amount that can be allocated to high priority grade separation projects identified by the PUC.

OCTA Position – None

Impact on OCTA

Since OCTA receives a share of the fines associated with violations for rail safety programs and grade separation projects, this revenue source may increase slightly. Additionally, by increasing the amount the CTC can allocate for projects on the PUC priority list, these grade separations projects might be completed sooner.

Other Legislation

AB 348 (Arambula, D-Fresno) - Small Business Certification and Reciprocity Program (Chapter 185 of the Statutes of 2005)

AB 348 specifies that a business certified by, or on behalf of, another governmental entity may be eligible for certification as a small business if the certifying entity uses substantially the same or more stringent definitions as those set forth in existing law and substantially the same or a more stringent certification analysis than that used by the department. Requires the development of a certification application.

OCTA Position – None

Impact on OCTA

Could reduce costs associated with multiple small business certification processes among various government agencies.

AB 582 (Matthews, D-Stockton) - Political Advertisements: Text Messages (Chapter 711 of the Statutes of 2005)

AB 582 prohibits a candidate or political committee in this state from transmitting a text message advertisement, including a political advertisement to a cellular telephone, a pager, or a two way messaging device, unless the candidate or political committee has an existing relationship with the subscriber.

OCTA Position – None

Impact on OCTA

Listed for informational purposes.

**AB 823 (Nava, D-Santa Barbara) - Disaster Response
(Chapter 233 of the Statutes of 2005)**

AB 823 ratifies, approves, and sets forth the provisions of the Emergency Management Assistance Compact. The purpose of these compacts is to provide mutual aid among the states in meeting any emergency or disaster, whether natural or otherwise, such as the recent Gulf Coast hurricane. Requires the state to indemnify and make whole any officer or employee who is a resident of the state, if the officer or employee is injured or killed in another state when rendering aid pursuant to the compact. Requires the Attorney General or other legal counsel to defend the local government or district who is deployed under the compact.

OCTA Position – None

Impact on OCTA

This bill is applicable to local government and special district personnel, including OCTA staff, who might be deployed in the future under the Emergency Management Assistance Compact.

**AB 1051 (Benoit, R-Riverside) - Pocket Bikes
(Chapter 323 of the Statutes of 2005)**

AB 1051 requires a manufacturer of a pocket bike to affix on the bike a sticker with a specified printed disclosure stating that the pocket bike is prohibited from being operated on a sidewalk, roadway, or any part of a higher, or on a bikeway, bicycle path or trail, equestrian trail, hiking or recreational trail, or on public lands open to off highway motor vehicle use. Authorizes a peace officer to cause the removal and seizure of a pocket bike found to be operating in violation. Authorizes municipal ordinances.

OCTA Position – None

Impact on OCTA

Since this issue has been discussed by the Board of Directors, this bill has been listed for informational purposes.

**SB 802 (Simitian, D-Palo Alto) - Debit Cards
(Chapter 445 of the Statutes of 2005)**

SB 802 prohibits a person or business that accepts debit cards for the transaction of business from printing more than the last 5 digits of the debit card's account number or the expiration date upon any receipt provided to the cardholder.

OCTA Position – None

Impact on OCTA

OCTA accepts credit cards for the purchase of bus passes and other goods. Since debit cards can be used as credit cards, OCTA needs to ensure that no more than the last five digits of the card number are printed on the receipt.

**SB 833 (Bowen, D-Redondo Beach) - Unsolicited Advertising Faxes
(Chapter 667 of the Statutes of 2005)**

SB 833 makes it unlawful for a person or entity, if located in California or if the recipient is located in California, to send an unsolicited advertisement to a telephone facsimile machine without prior consent from the recipient. Authorizes the recipient to bring an action for a violation of these provisions for injunctive relief and damages, if the violation was willful. Prohibits sending a facsimile using a machine or a transmission that does not provide identifying information, including the name of the entity, date and time, and telephone number of the sending machine or entity sending the transmission.

OCTA Position – None

Impact on OCTA

This bill may limit the number of unsolicited facsimiles received by OCTA. Additionally, OCTA will need to ensure that each fax machine operated by the Authority provides the proper identifying information.

Orange County Transportation Authority Legislative Matrix

OCTA Sponsor Legislation

CA AB 267 **AUTHOR:** Daucher (R)
TITLE: Transportation Projects
LAST AMEND: 08/15/2005
COMMITTEE: Senate Appropriations Committee
HEARING: 08/22/2005 1:30 pm
STATUS:
08/15/2005 In SENATE. Read second time and amended. Re-referred to Committee on APPROPRIATIONS.
NOTES: LP Sec. IV(f) Repayment of local funds
COMMENTARY:
Sponsor bill clarifying Legislature's intent to fully reimburse, without time limits, local agencies that use local funds to advance projects in the STIP. Relevance to OCTA: Ensures reimbursement of local funds expended on STIP projects.

CA AB 462 **AUTHOR:** Tran (R)
TITLE: Disability Access
LAST AMEND: 07/13/2005
FILE: 136
STATUS:
Signed by the Governor. Chapter 299, Statutes 2005
NOTES: LP Sec. VI(j) – ADA accessibility standards
COMMENTARY:
Sponsor bill to codify 34 year practice of Caltrans certifying accessibility standards for projects within the state highway system right-of-way. Relevance to OCTA: Eliminates added costs of fees and delays.

CA AB 1173 **AUTHOR:** Tran (R)
TITLE: Safe, Reliable High-Speed Passenger Train Bond Act
LOCATION: Assembly Appropriations Committee
STATUS:
05/25/2005 In ASSEMBLY Committee on APPROPRIATIONS: Heard, remains in Committee.
NOTES: LP Sec. VII(d) High speed rail line
COMMENTARY:
Sponsor bill to extend the terminus of the initial high-speed rail line from Los Angeles to Anaheim. Relevance to OCTA: Ensures that the high speed train provides service to Orange County and improves safety at 10 grade crossings.

Bills with Official Positions

CA AB 697 **AUTHOR:** Oropeza (D)
TITLE: Highway Users Tax Account: Appropriation of Funds
LOCATION: Assembly Appropriations Committee
STATUS:
05/25/2005 In ASSEMBLY Committee on APPROPRIATIONS: Heard, remains in Committee.
NOTES: LP Sec. IV(h) removing funding barriers
COMMENTARY:
Allows fuel taxes to be continuously appropriated from the previous year should a budget not be passed by July 1. Relevance to OCTA: Ensures that unnecessary costs are not incurred due to projects being stopped and restarted when a state budget is not enacted on time.
Position: Support

CA AB 1067 **AUTHOR:** Frommer (D)
TITLE: Railroads
LAST AMEND: 07/05/2005
COMMITTEE: Senate Appropriations Committee
HEARING: 08/25/2005
STATUS: **Signed by the Governor. Chapter 716, Statutes 2005**
NOTES: LP Sec. VII(c) rail improvement
COMMENTARY:
Metrolink bill that increases penalties for obstructing trains and provides additional funding for rail grade crossings. Relevance to OCTA: Provides additional funds to OCTA for rail safety and grade crossing safety projects.
Position: Support

CA ACA 4 **AUTHOR:** Plescia (R)
TITLE: Transportation Investment Fund
LAST AMEND: 05/09/2005
LOCATION: Assembly Transportation Committee
STATUS:
05/09/2005 From ASSEMBLY Committee on TRANSPORTATION with author's amendments.
05/09/2005 In ASSEMBLY. Read second time and amended. Re-referred to Committee on TRANSPORTATION.
NOTES: LP Sec. I(j) Protect Proposition 42
COMMENTARY:
Deletes Proposition 42 suspension provisions. Relevance to OCTA: Ensures that OCTA, Orange County, and cities receive their share of Proposition 42 annually allowing for better project planning and delivery.
Position: Support

CA SB 208 **AUTHOR:** Alquist (D)
TITLE: Transportation Projects: Electronic Fund Transfers
LAST AMEND: 05/31/2005
LOCATION: Assembly Transportation Committee
STATUS:
06/27/2005 In ASSEMBLY Committee on TRANSPORTATION: Not heard.
NOTES: LP Sec. IV(h) Removing funding barriers
COMMENTARY:
Requires Caltrans to implement a rapid electronic funds transfer system by June 30, 2006. Relevance to OCTA: Expedites the reimbursement of local funds expended on STIP projects.
Position: Support

CA SB 275 **AUTHOR:** Torlakson (D)
TITLE: Transportation Needs Assessment
LAST AMEND: 06/30/2005
COMMITTEE: Assembly Appropriations Committee
HEARING: 08/25/2005
STATUS: **Vetoed by the Governor.**
NOTES: Not addressed in platform.
COMMENTARY:
Requires Caltrans to submit a 10 year transportation needs assessment by June 20, 2006. Relevance to OCTA: Provides additional justification for the need to fully fund transportation accounts.
Position: Support

CA SB 705 **AUTHOR:** Runner G (R)
TITLE: Design-Build Contracts
LOCATION: Senate Transportation and Housing Committee
STATUS:
04/19/2005 In SENATE Committee on TRANSPORTATION AND HOUSING: Not heard.
NOTES: LP Sec. VI(d) Design-build
COMMENTARY:
Authorizes Caltrans to use design-build. Part of the GoCalifornia. Bill was held in Senate Transportation. Issue will be addressed in SB 371. Relevance to OCTA: Provides an additional delivery mechanism that can save time and open transportation projects early.
Position: Support

CA SCA 7 **AUTHOR:** Torlakson (D)
TITLE: Loans of Transportation Revenues and Funds
LOCATION: Senate Appropriations Committee
STATUS:
05/26/2005 In SENATE Committee on APPROPRIATIONS: Heard, remains in Committee.
NOTES: LP Sec. I(j) Repay transportation loans with interest
COMMENTARY:
Requires that any loan from a transportation fund not repaid 30 days after passage of the budget bill be paid back with interest. Relevance to OCTA: Ensures that transportation funds are paid interest, ultimately increasing the amount of funds distributed to OCTA through the STIP.
Position: Support

Bills being Monitored

CA AB 189 **AUTHOR:** Horton S (R)
TITLE: Highway Capacity Enhancement Demonstration Projects
LAST AMEND: 04/11/2005
LOCATION: Assembly Appropriations Committee
STATUS:
05/25/2005 In ASSEMBLY Committee on APPROPRIATIONS: Heard, remains in Committee.
COMMENTARY:
Establishes the Highway Capacity Project Delivery Demonstration Act which requires Caltrans to identify and the CTC to approve three highway capacity enhancement projects to be delivered using coordinated environmental review process.

Position: Watch

CA AB 236 **AUTHOR:** Bermudez (D)
TITLE: Sales and Use Taxes: Exemptions: Fuel and Petroleum
LAST AMEND: 04/13/2005
LOCATION: Assembly Revenue and Taxation Committee
STATUS:
05/16/2005 In ASSEMBLY Committee on REVENUE AND TAXATION: Heard, remains in Committee.

COMMENTARY:
Restores partial state sales tax exemption for aviation fuel. Aviation fuel sales tax exemption was eliminated in 1991.

Position: Watch

CA AB 426 **AUTHOR:** Bogh (R)
TITLE: HOV Lanes
LAST AMEND: 04/20/2005
LOCATION: Assembly Appropriations Committee
STATUS:
05/25/2005 In ASSEMBLY Committee on APPROPRIATIONS: Heard,
remains in Committee.

COMMENTARY:
Requires Caltrans to convert all HOV lanes in Riverside County to mixed flow
lanes except during peak hours.
Position: Watch

CA AB 453 **AUTHOR:** Benoit (R)
TITLE: Grade Separation Projects
LAST AMEND: 08/16/2005
FILE: 326
STATUS: **Signed by the Governor. Chapter 298, Statutes 2005**

COMMENTARY:
Increases from 1 year to 2 years after the allocation of funds that a local agency
must begin construction on a grade separation project.
Position: Watch

CA AB 713 **AUTHOR:** Torrico (D)
TITLE: High-Speed Passenger Train Bond Act
LOCATION: Senate Transportation and Housing Committee
STATUS:
06/09/2005 To SENATE Committee on TRANSPORTATION AND
HOUSING.

COMMENTARY:
Puts the \$9.95 billion High Speed Rail Bond Act on the Nov. 8, 2008 ballot.
Position: Watch

CA AB 850 **AUTHOR:** Canciamilla (D)
TITLE: Toll Road Agreements
LAST AMEND: 05/03/2005
LOCATION: Assembly Appropriations Committee
STATUS:
05/25/2005 In ASSEMBLY Committee on APPROPRIATIONS: Heard,
remains in Committee.

COMMENTARY:
Authorizes Caltrans to enter into toll agreements with public and private entities.
Part of GoCalifornia.
Position: Watch

CA AB 948 **AUTHOR:** Oropeza (D)
TITLE: Design-Build and Transit Operators
LAST AMEND: 04/13/2005
FILE: A-43
LOCATION: Senate Inactive File
STATUS:
07/11/2005 In SENATE. To Inactive File.

COMMENTARY:
Metrolink sponsored bill that would lower the threshold for design build from \$50
million to \$25 million. Would also require a labor compliance program if there is
no collective bargaining agreement.
Position: Watch

CA AB 1010 **AUTHOR:** Oropeza (D)
TITLE: Rail Transit
LAST AMEND: 04/06/2005
LOCATION: Senate Energy, Utilities and Communications Committee
STATUS:
06/09/2005 To SENATE Committee on ENERGY, UTILITIES AND COMMUNICATIONS.
COMMENTARY:
Transfers responsibility for rail grade crossing safety from PUC to Caltrans.
Position: Watch

CA AB 1112 **AUTHOR:** Cohn (D)
TITLE: Loitering: Transit Facilities
LAST AMEND: 04/04/2005
LOCATION: Assembly Public Safety Committee
STATUS:
04/26/2005 In ASSEMBLY Committee on PUBLIC SAFETY: Not heard.
COMMENTARY:
Makes loitering in a transit facility misdemeanor. This bill may have constitutional issues.
Position: Watch

CA AB 1118 **AUTHOR:** Umberg (D)
TITLE: Non-highway Vehicles: Disclosure
LAST AMEND: 04/19/2005
LOCATION: Senate Transportation and Housing Committee
STATUS:
06/02/2005 To SENATE Committee on TRANSPORTATION AND HOUSING.
COMMENTARY:
Requires manufacturers of non-highway vehicles, including but not limited to pocket bikes, place a notice on the vehicles that they cannot be operated on highways.
Position: Watch

CA AB 1157 **AUTHOR:** Frommer (D)
TITLE: State Highways: Performance Measures
LAST AMEND: 04/11/2005
LOCATION: Senate Transportation and Housing Committee
STATUS:
06/09/2005 To SENATE Committee on TRANSPORTATION AND HOUSING.
COMMENTARY:
Requires Caltrans to work with regional transportation agencies to develop highway performance measures. Requires an annual report to Legislature regarding highway performance.
Position: Watch

CA AB 1169 **AUTHOR:** Torrico (D)
TITLE: Transit District Operators: Assault and Battery
LAST AMEND: 05/27/2005
LOCATION: Senate Public Safety Committee
STATUS:
07/12/2005 In SENATE Committee on PUBLIC SAFETY: Heard, remains in Committee.
COMMENTARY:
Increases penalty for assault against an operator of a transit district's vehicle.
Position: Watch

- CA AB 1203 **AUTHOR:** Mullin (D)
TITLE: Housing: Regional Job Growth
LOCATION: ASSEMBLY
STATUS:
02/22/2005 INTRODUCED.
COMMENTARY:
Requires the creation of Greyfield housing and investment zones in areas where job growth and high density housing is desired. Uses tax incentives and infrastructure funds to promote transportation, air quality, and other regional priorities.
Position: Watch
- CA AB 1234 **AUTHOR:** Salinas (D)
TITLE: Local Agencies: Compensation and Ethics
LAST AMEND: 08/15/2005
FILE: 177
STATUS: Signed by the Governor. Chapter 700, Statutes 2005
COMMENTARY:
Requires local agencies to establish written policy for compensating board members. Imposes an ethics training requirement for board members of a local agency that provides reimbursement for expenses.
Position: Watch
- CA AB 1266 **AUTHOR:** Niello (R)
TITLE: State Highways: Design-Sequencing Contracts
LAST AMEND: 05/04/2005
LOCATION: Assembly Appropriations Committee
STATUS:
05/25/2005 In ASSEMBLY Committee on APPROPRIATIONS: Heard, remains in Committee.
COMMENTARY:
Part of GoCalifornia package, this measure would allow Caltrans to award contracts utilizing design sequencing, if certain requirements are met.
Position: Watch
- CA AB 1276 **AUTHOR:** Oropeza (D)
TITLE: Intermodal Corridors of Economic Significance
LOCATION: Assembly Transportation Committee
STATUS:
03/10/2005 To ASSEMBLY Committee on TRANSPORTATION.
COMMENTARY:
Requires Caltrans and regional transportation agencies to develop plans to reduce freight related congestion along intermodal corridors.
Position: Watch
- CA AB 1283 **AUTHOR:** DeVore (R)
TITLE: State Highway: Reversible Lanes
LAST AMEND: 04/19/2005
LOCATION: ASSEMBLY
STATUS:
06/20/2005 From ASSEMBLY Committee on TRANSPORTATION without further action pursuant to JR 62(a).
COMMENTARY:
Requires Caltrans to study the feasibility of adding reversible lanes before adding conventional lanes.
Position: Watch

CA AB 1520 **AUTHOR:** Niello (R)
TITLE: Public Works Contracts: Infrastructure Projects
LAST AMEND: 04/05/2005
LOCATION: Assembly Business and Professions Committee
STATUS:
04/26/2005 In ASSEMBLY Committee on BUSINESS AND PROFESSIONS: Failed passage.
04/26/2005 In ASSEMBLY Committee on BUSINESS AND PROFESSIONS: Reconsideration granted.
COMMENTARY:
Authorizes state agencies to enter into public private partnerships to design, build, and operate public infrastructure projects.
Position: Watch

CA AB 1699 **AUTHOR:** Frommer (D)
TITLE: Transportation: Highway Construction
LAST AMEND: 05/27/2005
LOCATION: Senate Transportation and Housing Committee
STATUS:
06/15/2005 To SENATE Committee on TRANSPORTATION AND HOUSING.
COMMENTARY:
Authorizes Caltrans or self help counties to construct up to 8 toll road HOT lane projects using design build. Contains a labor compliance component.
Position: Watch

CA AB 1702 **AUTHOR:** Frommer (D)
TITLE: State Finances: Economic Recovery/Transportation
LAST AMEND: 04/07/2005
LOCATION: Assembly Appropriations Committee
STATUS:
05/25/2005 In ASSEMBLY Committee on APPROPRIATIONS: Heard, remains in Committee.
COMMENTARY:
This bill would appropriate from the General Fund, from the amount transferred to that fund from the Economic Recovery Fund, \$500,000,000 to the Controller for deposit in the Traffic Congestion Relief Fund
Position: Watch

CA AB 1714 **AUTHOR:** Plescia (R)
TITLE: Toll Bridge Seismic Retrofit Program
LAST AMEND: 05/03/2005
LOCATION: Assembly Appropriations Committee
STATUS:
05/25/2005 In ASSEMBLY Committee on APPROPRIATIONS: Heard, remains in Committee.
COMMENTARY:
Administration spot bill to address funding of Bay Bridge cost overruns.
Position: Watch

CA ACA 5 **AUTHOR:** Richman (R)
TITLE: Public Retirement Systems
LOCATION: Assembly Public Employees, Retirement and Social Security Committee
STATUS:
04/14/2005 To ASSEMBLY Committee on PUBLIC EMPLOYEES, RETIREMENT AND SOCIAL SECURITY.
COMMENTARY:
Proposes a constitutional amendment that would prohibit new public employees,

hired after July 1, 2007, from participating in a defined benefit plan. These employees would be limited to a defined contribution plan or a retirement system.

Position: Watch

- CA ACA 7 **AUTHOR:** Nation (D)
TITLE: Local Governmental Taxation
LOCATION: Assembly Appropriations Committee
STATUS:
05/25/2005 In ASSEMBLY Committee on APPROPRIATIONS: Heard, remains in Committee.
COMMENTARY:
Lowers voter threshold to 55% for special tax measures.
Position: Watch
- CA ACA 9 **AUTHOR:** Bogh (R)
TITLE: Motor Vehicle Fuel Sales Tax Revenue
LOCATION: Assembly Transportation Committee
STATUS:
04/21/2005 To ASSEMBLY Committees on TRANSPORTATION and APPROPRIATION.
COMMENTARY:
Would amend Prop 42 to require 4/5ths of the legislature to suspend transfer instead of the current 2/3rds.
Position: Watch
- CA ACA 11 **AUTHOR:** Oropeza (D)
TITLE: Transportation Funds: Loans
LOCATION: Assembly Transportation Committee
STATUS:
04/21/2005 To ASSEMBLY Committee on TRANSPORTATION.
COMMENTARY:
Deletes Proposition 42 suspension provisions. Permits up to 2 loans of Proposition 42 funds to the General Fund or to any other state fund or account in a 10 year period provided the first loan is repaid in full prior to permitting a second loan. Relevance to OCTA: Provides better protection of Proposition 42 allowing for better project planning and delivery.
Position: Watch
- CA SB 66 **AUTHOR:** Torlakson (D)
TITLE: Bay Area State-Owned Toll Bridges: Financing
LAST AMEND: 07/13/2005
STATUS: Signed by the Governor. Chapter 375, Statutes 2005
NOTES: LP1(d) and (f)
COMMENTARY:
Beginning in fiscal year 2006-2007, the California Transportation Commission would be required to revise its guidelines to assure that letters of no prejudice (LONP) issued before June 30, 2005 are reimbursed on an equitable basis taking into account specific criteria including the impact on allocations for other projects, cash flow requirements, and impact on other projects. SB 66 is linked to AB 144 (Bay Bridge cost overrun deal) and contains language regarding funding and oversight for the Bay Bridge cost overruns.
Position: Watch
- CA SB 172 **AUTHOR:** Torlakson (D)
TITLE: Bay Area State-Owned Toll Bridge: Financing
LAST AMEND: 05/27/2005
LOCATION: Assembly Transportation Committee

STATUS:
06/13/2005 To ASSEMBLY Committee on TRANSPORTATION.

COMMENTARY:
Gives the Bay Area Toll Authority more control over Caltrans construction of toll bridge seismic retrofits in the Bay Area. Requires quarterly reports by Caltrans the projects.

Position: Watch

CA SB 371 **AUTHOR:** Torlakson (D)
TITLE: Public Contracts: Design-Build: Transportation
LAST AMEND: 04/26/2005
LOCATION: Senate Appropriations Committee
STATUS:
05/26/2005 In SENATE Committee on APPROPRIATIONS: Heard, remains in Committee.
COMMENTARY:
Design-build spot bill to be jointly authored by Senators Torlakson and Runner.
Position: Watch

CA SB 427 **AUTHOR:** Hollingsworth (R)
TITLE: California Environmental Quality Act: Exemption
LAST AMEND: 04/25/2005
LOCATION: Senate Environmental Quality Committee
STATUS:
04/25/2005 From SENATE Committee on ENVIRONMENTAL QUALITY with author's amendments.
04/25/2005 In SENATE. Read second time and amended. Re-referred to Committee on ENVIRONMENTAL QUALITY.
04/25/2005 In SENATE Committee on ENVIRONMENTAL QUALITY: Heard, remains in Committee.
COMMENTARY:
Exempts from CEQA the expansion of any overpass, on-ramp, or off-ramp that is built on an right-of-way under the control of state or local transportation agency, city, county, or city and county.
Position: Watch

CA SB 459 **AUTHOR:** Romero (D)
TITLE: Air Pollution: South Coast District: Locomotives
LAST AMEND: 04/12/2005
LOCATION: Assembly Transportation Committee
STATUS:
06/27/2005 In ASSEMBLY Committee on TRANSPORTATION: Heard, remains in Committee.

COMMENTARY:
Authorizes SCAQMD to collect a fee associated with locomotive air pollution and to expend it for specified mitigation purposes including railroad grade crossings.

Position: Watch

CA SB 561 **AUTHOR:** Runner G (R)
TITLE: Toll Road Agreements
LAST AMEND: 05/24/2005
LOCATION: Senate Appropriations Committee
STATUS:
05/24/2005 In SENATE. Read second time and amended. Re-referred to Committee on APPROPRIATIONS.

COMMENTARY:
Authorizes Caltrans to enter into toll road agreements with private entities. Permits competitive facilities and safety work.

Position: Watch

CA SB 601 **AUTHOR:** Soto (D)
TITLE: Build California Bond Act of 2006
LAST AMEND: 04/12/2005
LOCATION: Senate Transportation and Housing Committee
STATUS:
04/12/2005 From SENATE Committee on TRANSPORTATION AND HOUSING with author's amendments.
04/12/2005 In SENATE. Read second time and amended. Re-referred to Committee on TRANSPORTATION AND HOUSING.

COMMENTARY:
Would place a \$3 billion bond before voters to funds goods movement and other transportation projects.

Position: Watch

CA SB 760 **AUTHOR:** Lowenthal (D)
TITLE: Ports: Congestion Relief: Security Enhancement
LAST AMEND: 05/27/2005
LOCATION: Assembly Appropriations Committee
STATUS:
06/27/2005 From ASSEMBLY Committee on NATURAL RESOURCES: Do pass to Committee on APPROPRIATIONS.

COMMENTARY:
Authorizes the Ports of Los Angeles and Long Beach to impose a \$30 fee on each Twenty foot Equivalent Unit (TEU). The Port would retain \$10 for improvements and would forward \$10 to AQMD for air quality mitigation, and \$10 to the CTC to use on railroad improvement projects in Orange and other counties.

Position: Watch

CA SB 1020 **AUTHOR:** Migden (D)
TITLE: County Sales and Use Taxes: Rate Increase
LOCATION: Senate Revenue and Taxation Committee
STATUS:
04/13/2005 In SENATE Committee on REVENUE AND TAXATION: To Suspense File.

COMMENTARY:
Authorizes a county or a city and county to impose, with voter approval, an additional quarter cent sales tax for transit operations.

Position: Watch

CA SB 1024 **AUTHOR:** Perata (D)
TITLE: Public Works and Improvements: Bond Measure
LAST AMEND: 05/12/2005
LOCATION: Senate Third Reading File
STATUS:
05/27/2005 In SENATE. Read second time. To third reading.

COMMENTARY:
Enacts the Essential Facilities Seismic Retrofit Bond Act of 2005 to place a \$7.688 billion general obligation bond before voters to funds seismic retrofit of essential facilities, including the Bay Bridge, repay Proposition 42 loans, and to facilitate goods movement.

Position: Watch

BOARD COMMITTEE TRANSMITTAL



November 14, 2005

To: Members of the Board of Directors
From: Wendy Knowles, Clerk of the Board
Subject: Annual Internal Audit Plan for Fiscal Year 2005-06 Quarterly Update

This item will be considered by the Finance and Administration Committee on November 9, 2005. Following Committee consideration of this matter, staff will provide you with a summary of the discussion and action taken by the Committee.

Please call me if you have any comments or questions concerning this correspondence. I can be reached at (714) 560-5676.



November 9, 2005

To: Finance and Administration Committee
From: Arthur T. Leahy, Chief Executive Officer
Subject: Annual Internal Audit Plan for Fiscal Year 2005-06
Quarterly Update

Overview

The Orange County Transportation Authority Board of Directors adopted the Annual Internal Audit Plan for Fiscal Year 2005-06. This is the quarterly update for the first quarter of the fiscal year.

Recommendation

Receive and file the Annual Internal Audit Plan for Fiscal Year 2005-06 First Quarter Update.

Background

The Internal Audit Department is an independent appraisal function whose purpose is to examine and evaluate the Orange County Transportation Authority's (OCTA) operations and activities as a tool for management and to assist management in the discharge of their duties and responsibilities.

Discussion

The Internal Audit Department performs a wide range of auditing services that includes overseeing the annual financial audit, operational reviews, contract compliance reviews, internal control assessments, investigations, pre-award Buy America award reviews, and pre-award price reviews. Internal Audit also monitors and provides guidance in computer software system implementation to help ensure that proper controls are built into systems prior to implementation. All audits initiated by entities outside of OCTA are coordinated through the Internal Audit Department.

The Annual Internal Audit Plan for Fiscal Year 2005-06 First Quarter Update (Attachment A) reflects the status of each of the projects.

During the first quarter seven audit reports (Attachment B) were completed. Of these audit reports, six have been presented to the Committee, and management is giving further study to its response for one report which will be presented to Committee at a future date.

Summary

The Internal Audit Department will continue to implement the Annual Internal Audit Plan for Fiscal Year 2005-06, and report to the Board of Directors on a quarterly basis the status of the plan.

Attachments

- A. Annual Internal Audit Plan for Fiscal Year 2005-06 First Quarter Update
- B. Listing of Audit Reports Issued in First Quarter

Prepared by:



Robert A. Duffy
Manager, Internal Audit
(714) 560-5669

Approved by:



Richard J. Bacigalupo
Deputy Chief Executive Officer
(714) 560-5901

<u>Audits</u>	<u>Description</u>	<u>Minimum Frequency</u>	<u>Reason</u>	<u>Quarter Work Starts</u>	<u>Status</u>	<u>Planned Hours</u>	<u>Hours To Date</u>	<u>Under (Over)</u>
OCTA								
Annual Financial Audit	Annual Financial Audit contracted to CPA firm with oversight and assistance provided by Internal Audit	Annually	Mandatory	1st	In-process	620	529	91
COC	Time allowed to coordinate audit activities with the Audit Committee of the Measure M Citizen's Oversight Committee	Continually	Monitoring	All	In-process	80	62	19
Contract Audits - Unscheduled	Compliance reviews of various contracts selected based on staff input during the year.	Annually	Compliance, Cost Recovery	2nd, 3rd & 4th	N/A	560		560
DMV Pull Notice Process Review	Operational review to ensure procedures are in place and operating effectively and efficiently.	As Needed	Operational Review (O/P)	1st	In-process	240	32	208
Follow-up Reviews	Reviews to ensure recommendations as agreed to, are implemented.	As Needed	Compliance	All	In-process	320		320
LTF City Audits (Article 3.5, 4.0, 4.5)	Legally required annual audits of the recipients of LTF Funds, primarily Senior Mobility participating cities.	Annually	Mandatory	1st	In-process	760	727	33
Payroll Distributions	Unannounced payroll distributions to ensure the accuracy of the payroll files	Random During the Year	Internal Control (I/C)	All	In-process	160		160
Price Reviews	Cost and Price analysis as required per Board Policy	As Needed	Cost avoidance	All	In-process	1,300		1,300
Projects - Carryover	Projects started in FY04 to be completed in FY05	N/A		1st	In-process	440	608	(168)
Projects - Unallocated	Time allowed for requests from management	Annually		All	N/A	120		120
Finance, Administration & Human Resources								
Cycle Counts	Unannounced inventory cycle counts to ensure the accuracy of the inventory balances	Once per Quarter	I/C	All	In-process	600		600
Fixed Asset Inventory Observation	Observation of the annual physical inventory of fixed assets to ensure assets are physically present, properly recorded and are in working condition.	Annually	I/C	4th	N/A	200		200
General Accounting	Review of internal controls and an evaluation of operational efficiencies.	Every Three Years	I/C and O/P	3rd	N/A	160		160
HRIS	Review of internal controls during the first year of implementation to ensure the proper procedures and practices are established and implemented.	During Implementation	I/C	2nd	N/A	240	38	202
Information Systems	Review of internal controls and an evaluation of operational efficiencies.	Every Three Years	I/C	4th	N/A	160		160
MINCOM	Participation during the implementation of the new inventory, maintenance and procurement system to help ensure proper internal controls are established prior to implementation.	During Implementation	Monitoring	All	In-process	160	10	150
Procurement	Compliance and operational review of the procurement process to ensure that Board adopted policies and procedures are being followed, and to identify opportunities to improve operational efficiencies.	Every Three Years	Compliance, O/P	3rd	N/A	240		240
Systems Development Reviews	Review of internal controls and an evaluation of operational efficiencies in regards to system development.	As Needed	I/C	2nd	N/A	80		80
Treasury Reviews - Quarterly	Financial and compliance reviews of the OCTA treasury function.	Minimum Quarterly	I/C	All	In-process	120	28	92

<u>Audits</u>	<u>Description</u>	<u>Minimum Frequency</u>	<u>Reason</u>	<u>Quarter Work Starts</u>	<u>Status</u>	<u>Planned Hours</u>	<u>Hours To Date</u>	<u>Under (Over)</u>
Bus Operations								
Bus Observations	Coach Operator observations to ensure compliance with the operating practices of OCTA.	As Needed	I/C	All	In-process	400		400
Buy America Pre-award Review	Pre-award review to ensure the vendor meets the 60% US cost content requirements.	As Needed	Mandatory	2nd	N/A	120		120
Farebox Testing/GFI Analysis	Random testing of the accuracy of the GFI fareboxes and analysis of data contained in the database.	Continually	I/C	All	In-process	280		280
Laidlaw Contract Closeout Audit	Contract compliance review of the ACCESS provider	End of Contract	Compliance, Cost Recovery	3rd	N/A	720		720
Maintenance	Operational review of the maintenance process to improve operational efficiencies.	Annually	O/P	2nd	N/A	240		240
Operations	Operational review of bus operations to improve efficiencies and to ensure compliance with established practices.	Annually	O/P	3rd	N/A	280		280
Transit Police Services Contract Audit	Compliance and operational review to ensure policies and practices are being followed and to evaluate opportunities to make the process more efficient. This includes contract compliance and management of the process.	Every Three Years	Compliance, O/P	2nd	N/A	320		320
Planning, Development and Commuter Services								
Cofiroute Contract Closeout	Compliance review of contracted operations, determine cost recovery opportunities and evaluate operational efficiencies.	Every Three Years	Compliance, Cost Recovery, O/P	3rd	N/A	240		240
Combined Transportation Funding Program (CTFP) SCRRA	Review of project costs at time of closeout by the cities.	Annually	Compliance, Cost Recovery	3rd	N/A	1,320		1,320
SR91 Express Lanes	Time to monitor and to assist SCRRA operations	Continually	Monitoring	All	In-process	60	2	58
SR91 Express Lanes	Coordinating with staff to ensure Internal Audit is informed about this project.	Continually	Monitoring	All	In-process	60	4	56
SR91 Express Lanes - New Contract	Compliance review of contracted operations, determine cost recovery opportunities and evaluate operational efficiencies.	Every Three Years	Compliance, Cost Recovery, O/P	4th	N/A	160		160
Construction and Engineering								
Project Controls	Compliance and operational review to ensure policies and practices are being followed and to evaluate opportunities make the process more efficient.	Every Three Years	Compliance, O/P	1st	In-process	320	312	8
Santa Ana Base Construction Contract	Compliance review of the contractors during construction.	During Construction	Compliance, Cost Recovery	1st	In-process	240	24	216
SR22	Coordinating with staff to ensure Internal Audit is informed about this project.	During Construction	Monitoring	All	In-process	120	4	116
SR22 Contract Audits	Compliance review of the consultants	During Construction	Compliance, Cost Recovery	4th	N/A	720		720

<u>Audits</u>	<u>Description</u>	<u>Minimum Frequency</u>	<u>Reason</u>	<u>Quarter Work Starts</u>	<u>Status</u>	<u>Planned Hours</u>	<u>Hours To Date</u>	<u>Under (Over)</u>
Labor Relations & Civil Rights								
Labor Relations & Civil Rights	Operational review of the labor relations and civil rights functions to determine that adequate policies and procedures are in place, effective and efficient, to ensure compliance with applicable laws and regulations.	As Needed	Compliance, I/C, O/P	4th	N/A	240		240
External Affairs								
Bus Advertising Contract	Compliance and operational review to ensure policies and practices are being followed and to evaluate opportunities make the process more efficient. This includes contract compliance, including the proper reporting of revenue, and management of the contract.	As Needed	Compliance, O/P	3rd	N/A	280		280
Total Audit Hours						12,680	2,380	10,301

**LISTING OF AUDIT REPORTS ISSUED
IN FIRST QUARTER**

<i>Issue Date</i>	<i>Report No.</i>	<i>Name of Report</i>	<i>Date to Finance and Administration Committee</i>
07/07/05	05-028	Fourth Quarter Payroll Distribution Review	07/27/05
7/11/05	05-032	Limited Scope Review of Parsons Brinckerhoff Quade & Douglas, Inc. - Contract Compliance and Overhead Audit	07/27/05
07/13/05	05-033	Review of Bus Operations, Company Equipment Assigned	08/24/05
07/21/05	05-034	Fixed Asset Accounting and Administration Review	08/24/05
08/01/05	05-029	Review of Investment Activities for January through March 2005	08/24/05
09/27/05	05-012	Right-of-Way Administration Review	10/24/05
09/02/05	05-035	Review of Accounts Payable - Employee Expense Reports	TBD

BOARD COMMITTEE TRANSMITTAL



November 14, 2005

To: Members of the Board of Directors
From: Wendy Knowles, Clerk of the Board ^{WK}
Subject: Federal Transit Administration Section 5310 Fiscal Year 2005-06
Grant Awards and Action Plan for Federal Fiscal Year 2006-07

This item will be considered by the Transit Planning and Operations Committee on November 10, 2005. Following Committee consideration of this matter, staff will provide you with a summary of the discussion and action taken by the Committee.

Please call me if you have any comments or questions concerning this correspondence. I can be reached at (714) 560-5676.



November 10, 2005

To: Transit Planning and Operations Committee

From: Arthur T. Leahy, Chief Executive Officer

Subject: Federal Transit Administration Section 5310 Fiscal Year 2005-06 Grant Awards and Action Plan for Federal Fiscal Year 2006-07

Overview

The Federal Transit Administration's Section 5310 grant program provides capital funds for the purchase, replacement, and rehabilitation of paratransit vehicles to meet the transportation needs of elderly persons and persons with disabilities. The federal fiscal year 2005-06 awards have been announced and the action plan for the fiscal year 2006-07 grant cycle is presented for Board approval.

Recommendations

- A. Authorize staff to amend the Transportation Improvement Program to include the Section 5310 grant awards for federal fiscal year 2005-06.
- B. Direct staff to implement the proposed action plan for the Section 5310 grant program for federal fiscal year 2006-07.

Background

The Federal Transit Administration's (FTA) Section 5310 program is a capital grant program that provides funds for the purchase, replacement, and rehabilitation of paratransit vehicles to meet the transportation needs of the elderly and persons with disabilities. The program has been in existence since 1975 and mitigates transportation needs that extend beyond local bus systems, including complementary paratransit service.

Funds are distributed by FTA to all states based on their respective percentage of elderly persons and persons with disabilities. The funds are then distributed to private non-profit organizations, and public agencies under certain circumstances, on a statewide competitive basis.

The Orange County Transportation Authority (OCTA), as the Regional Transportation Planning Agency (RTPA), is responsible for assisting applicants, and collecting, reviewing, and scoring applications from Orange County.

The California Transportation Commission (CTC) provides RTPA's with prescriptive project scoring criteria and successful applicants enter into agreements with the California Department of Transportation (Caltrans). Caltrans is responsible for project management and ensuring that all applicants comply with federal regulations.

Discussion

On April 14, 2005, the OCTA Board of Directors authorized staff to submit a locally adopted Program of Projects for the federal fiscal year (FFY) 2005-06 Section 5310 program. On September 29, 2005, the (CTC) adopted a statewide Program of Projects awarding a total of \$425,600 in federal funds to four applicants in Orange County. Golden Rain Foundation was awarded \$256,000, St. Jude Hospital was awarded \$98,400, Buena Park Senior Center was awarded \$38,400, and AIDS Services Foundation was awarded \$32,800. A summary of funding for Orange County is provided in Attachment A.

Board approval is requested to amend the Transportation Improvement Program to include the FFY 2005-06 CTC awards.

In addition, on October 17, 2005, Caltrans issued a call for projects for the FFY 2006-07 program year. Applications are due March 3, 2006, and regionally adopted scores must be submitted to Caltrans by May 5, 2006. In order for OCTA to meet the responsibilities and timeline established by Caltrans, the following action plan is recommended:

- Form a small evaluation committee, comprised of members from the community representing social services, elderly, developmentally disabled, physically disabled, and/or local government, to evaluate and score eligible projects. (January 2006)
- Conduct a workshop for potential applicants to review the Caltrans grant application process, forms, scoring criteria, and program requirements. (January 2006)
- Grant applications due to OCTA. (March 3, 2006)
- Evaluation committee reviews, scores, and prioritizes projects. (March 2006)

- OCTA Board adopts regional prioritized project list. (April 2006)
- Regional prioritized project list due to Caltrans. (May 5, 2006)

The Orange County priority list is advisory in nature and may be changed by the state for a variety of reasons. The local process is intended to ensure complete applications and encourage a cooperative spirit. Ultimately, a statewide priority list is developed by Caltrans and successful applicants enter into grant agreements with Caltrans. The final recommendations for FFY 2006-07 funding will be announced in October 2006.

Fiscal Impact

There is no fiscal impact associated with this action. The federal share for projects under the Section 5310 program may not exceed 80 percent of the total project cost. Applicants are required to provide the 20 percent local, non-federal match. The State enters into agreements directly with the applicants to provide them with Section 5310 vehicles.


Summary

The California Transportation Commission adopted a statewide Program of Projects for the fiscal year 2005-06 program year. Four organizations in Orange County were collectively awarded \$425,600. In addition, Caltrans has started the Section 5310 grant application process for fiscal year 2006-07. The Orange County Transportation Authority assists Caltrans by working with local applicants, and collecting, reviewing, and scoring proposed projects from Orange County. An action plan is presented for Board approval.

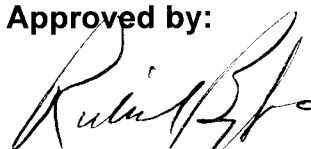
Attachment

- A. California Transportation Commission Adopted Program of Projects for Orange County. Federal Fiscal Year 2005-06.

Prepared by:


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Approved by:


Richard J. Bacigalupo
Deputy Chief Executive Officer
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**California Transportation Commission
 Adopted Program of Projects for Orange County
 Fiscal Year 2005-2006**

Applicant	Project Description	Applicant Requested Project Costs	Project Cost Approved by CTC*	FTA Grant Funds Awarded (80%)	Required Local Match (20%)	Local Match Source
Golden Rain Foundation	Type VII Large Bus for replacement service	\$160,000	\$160,000	\$128,000	\$32,000	Assessments
Golden Rain Foundation	Type VII Large Bus for replacement service	\$160,000	\$160,000	\$128,000	\$32,000	Assessments
St. Jude Hospital	Type IV Minivan for replacement service	\$41,000	\$41,000	\$32,800	\$8,200	St. Jude Medical Center
St. Jude Hospital	Type IV Minivan for replacement service	\$41,000	\$41,000	\$32,800	\$8,200	St. Jude Medical Center
St. Jude Hospital	Type IV Minivan for replacement service	\$41,000	\$41,000	\$32,800	\$8,200	St. Jude Medical Center
Buena Park Senior Center	Modified Van for replacement service	\$48,000	\$48,000	\$38,400	\$9,600	Donations
Aids Services Foundation	Type IV Minivan for replacement service	\$41,000	\$41,000	\$32,800	\$8,200	Donations, Grants
St. Jude Hospital	Type IV Minivan for service expansion	\$41,000				
St. Jude Hospital	Type IV Minivan for service expansion	\$41,000				
St. Jude Hospital	Type IV Minivan for service expansion	\$41,000				
St. Jude Hospital	Type IV Minivan for service expansion	\$41,000				
St. Jude Hospital	Type IV Minivan for service expansion	\$41,000				
St. Jude Hospital	Type IV Minivan for service expansion	\$41,000				
St. Jude Hospital	Type IV Minivan for service expansion	\$41,000				
St. Jude Hospital	Type IV Minivan for service expansion	\$41,000				
Rehabilitation Institute	Type I Small Bus for replacement service	\$45,000				
Rehabilitation Institute	Type I Small Bus for service expansion	\$45,000				
Rehabilitation Institute	Type I Small Bus for service expansion	\$45,000				
Orange County ARC	Type III Large Bus for replacement service	\$60,000				
Orange County ARC	Type III Large Bus for replacement service	\$60,000				
St. Jude Hospital	Type IV Minivan for replacement service	\$41,000				
Total		\$1,156,000	\$532,000	\$425,600	\$106,400	

Note: Projects below the line were not approved for funding.



BOARD COMMITTEE TRANSMITTAL

November 14, 2005

To: Members of the Board of Directors
From: Wendy Knowles^{WK}, Clerk of the Board
Subject Freeway Retrofit Soundwall Program Status Report

Regional Planning and Highways Committee

November 7, 2005

Present: Directors Norby, Cavecche, Rosen, Dixon, Brown, Green, Monahan, Pringle, and Ritschel
Absent: None

Committee Vote

This item was passed by all Committee Members present.

Committee Recommendations

- A. Direct staff to continue cooperative efforts with the California Department of Transportation to develop projects in support of the Freeway Retrofit Soundwall Program.
- B. Direct staff to return with recommendations to address freeway retrofit soundwall cost issues as part of the development of the 2006 State Transportation Improvement Program.
- C. Approve the proposed revisions to the Freeway Retrofit Soundwall Policy.
- D. Direct staff to shift to an implementation mode, with efforts focused toward construction of eligible retrofit soundwall projects.

Attachment A has been revised (see Revised Attachment A).

Orange County Freeway Retrofit Soundwall Program: Tier Two List

Project Description	City	Status ^{1, 2}
Riverside Freeway (State Route 91) Eastbound (EB) West of Costa Mesa Freeway (State Route 55)	Anaheim	NSR Approved Awaiting NBSSR
Santa Ana Freeway (Interstate 5) Northbound (NB) Southeast of Costa Mesa Freeway (State Route 55)	Tustin	NSR Approved Awaiting NBSSR
Riverside Freeway (State Route 91) Westbound (WB) North of Eastern Toll Road (State Route 241)	Anaheim	NSR Approved Awaiting NBSSR
San Diego Freeway (Interstate 5) Northbound (NB) North of Camino de Estrella	Dana Point	NSR Approved Awaiting NBSSR
San Diego Freeway (Interstate 5) Northbound (NB) North of Junipero Serra Road	San Juan Capistrano	NSR Approved NBSSR in progress
San Diego Freeway ((Interstate 5) Southbound (SB) North of Cristianitos Road	San Clemente	NSR Approved Awaiting NBSSR
San Diego Freeway (Interstate 405) Southbound (SB) South of Bolsa Avenue	Westminster	NSR Complete Caltrans Review
Orange Freeway (State Route 57) Northbound (NB) South of Imperial Highway	Fullerton	Project Not Feasible No further action.
Riverside Freeway (State Route 91) Eastbound (EB) East of Santa Ana Freeway (Interstate 5)	Fullerton	NSR in progress
San Diego Freeway (Interstate 5) Northbound (NB) South of South El Camino Real	San Clemente	Study pending available funding
San Diego Freeway (Interstate 5) Northbound (NB) South of Avenida Pico	San Clemente	Study pending available funding
San Diego Freeway (Interstate 405) Southbound (SB) North of Brookhurst Street	Fountain Valley	Study pending available funding
San Diego Freeway (Interstate 405) Northbound (NB) North of Goldenwest Street	Westminster	Study pending available funding
Orange Freeway (State Route 57) Northbound (NB) North of Lincoln Avenue	Anaheim	Study pending available funding
Orange Freeway (State Route 57) Northbound (NB) North of Lincoln Avenue	Anaheim	Study pending available funding
Costa Mesa Freeway (State Route 55) Northbound (NB) North of Garden Grove Freeway (State Route 22) Interchange	Orange	Study pending available funding
San Diego Freeway (Interstate 5) Southbound (SB) South of Camino Delos Mares	San Clemente	Study pending available funding
San Diego Freeway (Interstate 5) Northbound (NB) South of Avenida Vaquero	San Clemente	Study pending available funding
San Diego Freeway (Interstate 405) Southbound (SB) North of Beach Boulevard	Huntington Beach	Study pending available funding
San Diego Freeway (Interstate 405) Northbound (NB) South of Brookhurst Street	Fountain Valley	Study pending available funding
San Diego Freeway (Interstate 5) Northbound (NB) South of Camino Las Ramblas	San Juan Capistrano	Study pending available funding
Artesia Freeway (State Route 91) Eastbound (EB) At Orangethorpe	La Palma	Study pending available funding

¹ NSR refers to Noise Study Report

² NBSSR refers to Noise Barrier Scope Summary Report



November 7, 2005

To: Regional Planning and Highways Committee
From: Arthur T. Leahy, Chief Executive Officer
Subject: Freeway Retrofit Soundwall Program Status Report

Overview

The Orange County Transportation Authority continues to work cooperatively with the California Department of Transportation to address the need for retrofit soundwalls along the Orange County freeway system. Development on the Orange County Freeway Retrofit Soundwall Program continues to advance at 12 study locations.

Recommendations

- A. Direct staff to continue cooperative efforts with the California Department of Transportation to develop projects in support of the Freeway Retrofit Soundwall Program.
- B. Direct staff to return with recommendations to address freeway retrofit soundwall cost issues as part of the development of the 2006 State Transportation Improvement Program.
- C. Approve the proposed revisions to the Freeway Retrofit Soundwall Policy.
- D. Direct staff to shift to an implementation mode, with efforts focused toward construction of eligible retrofit soundwall projects.

Background

The Orange County Freeway Retrofit Soundwall Program is an optional program created by the Orange County Transportation Authority (OCTA) to address noise concerns from residential neighborhoods next to freeways. Although not required by state or federal rules, the program provides a process for evaluating freeway noise complaints and developing retrofit soundwall projects.

Unlike typical soundwalls built in conjunction with freeway construction projects, retrofit soundwalls serve as noise mitigation for neighborhoods that do not predate the freeway. As such, retrofit soundwalls do not qualify for Measure M or federal funding. Instead, retrofit soundwalls must satisfy stringent criteria to qualify for limited, state-only dollars contained in the State Transportation Improvement Program (STIP), which is subject to allocation by the California Transportation Commission. In addition to the Freeway Retrofit Soundwall Program, OCTA also uses STIP dollars to fund freeway capacity enhancement projects as part of the Freeway Chokepoint Program.

The preparation of a freeway retrofit soundwall project for design and construction funding is essentially a three-step process, initiated by a noise screening conducted by the California Department of Transportation (Caltrans). Qualifying sites are placed on a Tier Two list of project areas that are eligible for more extensive noise and engineering analysis (Attachment A).

As projects advance, OCTA completes a noise study evaluating the feasibility of the soundwall. As defined in state criteria, a minimum noise reduction must be achieved in order for the proposed noise barrier to be considered feasible. If feasible, a more detailed preliminary engineering study is conducted and summarized in a Noise Barrier Scope and Summary Report (NBSSR). If the project meets cost effectiveness criteria, the site is approved and prioritized in a Tier One list of project areas awaiting limited funds available for design and construction (Attachment B).

Discussion

Work on the Orange County Freeway Retrofit Soundwall Program continues with 25 proposed freeway noise barriers (Attachment C). Advancements have been made since the previous Board of Directors (Board) update provided in October 2004.

Status of Noise Studies

Work during this period was focused on completing technical work on Noise Study Report (NSR) documents. The current Tier Two list includes 22 project sites in various stages of noise study development. In addition, Caltrans continues to forward qualifying noise complaint locations, which are then added to the Tier Two list as stipulated by the OCTA Freeway Retrofit Soundwall Policy (Policy). With the limited funding available for retrofit soundwalls, projects remain on the Tier Two list for several years before starting noise studies.

OCTA has completed the noise analyses for seven locations. Caltrans is reviewing these reports and has approved the noise studies for the following six locations:

- Riverside Freeway (State Route 91) Eastbound (EB), west of Costa Mesa Freeway (State Route 55) Interchange, Anaheim
- Santa Ana Freeway (Interstate 5) Northbound (NB), southeast of State Route 55 (SR-55) Interchange, Tustin
- State Route 91 (SR-91) Westbound (WB), north of Eastern Toll Road (State Route 241) Interchange, Anaheim
- San Diego Freeway (Interstate 5) NB, north of Camino de Estrella, San Juan Capistrano
- Interstate 5 (I-5) NB, north of Junipero Serra Road, San Juan Capistrano
- I-5 Southbound (SB), north of Cristianitos Road, San Clemente

An NSR was also completed for the location along Orange Freeway (State Route 57) NB, south of Imperial Highway in Fullerton. The report indicated that soundwalls were not feasible in reducing noise levels at that location by the minimum criteria. As a result, there will be no further action on this project. The remaining projects with approved noise studies will advance to the NBSSR phase as funding becomes available.

Status of NBSSRs

OCTA and Caltrans continue cooperative efforts to refine retrofit soundwall projects and prepare them for the NBSSR phase. OCTA has retained consultant services to complete the NBSSR for the location along I-5 NB, north of Junipero Serra Road in San Juan Capistrano. Current funding in fiscal year 2005-06 allows for the preparation of two additional NBSSR documents. The remaining sites will be advanced as funding becomes available.

On August 4, 2004, staff was successful in programming \$2.3 million in STIP funding for the design and/or construction of the following Tier One projects:

- SR-91 EB at Imperial Highway and Weir Canyon Road, Anaheim
- I-5 SB, south of El Camino Real, San Clemente
- I-5 NB, north of Avenida Vaquero Road, San Clemente

As part of the 2006 STIP development cycle, staff is currently working with Caltrans to finalize the revised cost estimates and will return to the Board with a revised cost estimate in November 2005.

Funding

Due to California budget shortfalls, transportation funds were redirected to the State General Fund over the last three years. With Freeway Retrofit Soundwall Program funding diverted, progress has been limited to noise studies and NBSSRs alone. Design and construction of retrofit soundwalls are not programmed to begin until fiscal year 2006-07.

Next Steps

The next steps in facilitating the Orange County Freeway Retrofit Soundwall Program are to investigate policy refinements and program delivery options.

The Policy dictates that walls be analyzed on a first come, first serve basis. This approach does not allow the flexibility for OCTA to apply the limited resources toward more critical projects. Therefore, to factor in project potential, staff recommends that the Policy be amended to add Item 6(C) and revise Item 8(D) as follows (Attachment D):

Item 6(C). For projects on the Tier Two list, a preliminary PI will be calculated using project costs as estimated in the Noise Study Report.

Item 8(D). Future projects identified in Tier Two will be listed according to date of complaint. NBSSRs will be completed ~~on a first come, first serve basis~~ by OCTA in rank order according to their preliminary PI.

The Policy also stipulates an estimated dollar amount to be made available from STIP funds each year. Over the last three years, this estimate had not been fulfilled due to the state budget crisis. Therefore, staff recommends that Item 9(A) be revised as follows (Attachment D):

Item 9(A). Funds ~~estimated at \$3 million per year~~ will be made available through the State Transportation Improvement Program (STIP) or other eligible funds to develop and construct eligible approved retrofit noise barriers. STIP funds are subject to allocation by the California Transportation Commission.

With the growing list of approved soundwall projects, the Freeway Retrofit Soundwall Program is ready to advance to the next stage of project delivery. Staff has identified four strategy options as shown in Attachment E. Staff recommends pursuing Option 2, which shifts to an implementation mode, with

with efforts focused toward construction of eligible soundwall projects. By shifting from a development mode to an implementation mode, limited STIP funding can be used effectively to build a retrofit soundwall project every two years.

Summary

OCTA and Caltrans continue to work together to develop freeway retrofit soundwall projects to address freeway noise at complaint locations throughout Orange County. Significant progress has been made with several projects ready for the next stages of development. A progress report on the status of these projects is presented for review. Staff will return with an update in six months.

Attachments

- A. Orange County Freeway Retrofit Soundwall Program: Tier Two List
- B. Orange County Freeway Retrofit Soundwall Program: Tier One List
- C. Orange County Freeway Retrofit Soundwall Program: Project Locations
- D. Freeway Retrofit Soundwall Policy (Revised November 14, 2005)
- E. Orange County Freeway Retrofit Soundwall Program: Strategy Options

Prepared by:

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Approved by:

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ATTACHMENT A

Orange County Freeway Retrofit Soundwall Program: Tier Two List

Project Description	City	Status ^{1,2}
Riverside Freeway (State Route 91) Eastbound (EB) West of Costa Mesa Freeway (State Route 55)	Anaheim	NBSSR Approved
Santa Ana Freeway (Interstate 5) Northbound (NB) Southeast of Costa Mesa Freeway (State Route 55)	Tustin	NBSSR Approved
Riverside Freeway (State Route 91) Westbound (WB) North of Eastern Toll Road (State Route 241)	Anaheim	NBSSR Approved
San Diego Freeway (Interstate 5) Northbound (NB) North of Camino de Estrella	Dana Point	NSR Approved Awaiting NBSSR
San Diego Freeway (Interstate 5) Northbound (NB) North of Junipero Serra Road	San Juan Capistrano	NSR Approved NBSSR in progress
San Diego Freeway ((Interstate 5) Southbound (SB) North of Cristianitos Road	San Clemente	NSR Approved Awaiting NBSSR
San Diego Freeway (Interstate 405) Southbound (SB) South of Bolsa Avenue	Westminster	NSR Complete Caltrans Review
Orange Freeway (State Route 57) Northbound (NB) South of Imperial Highway	Fullerton	Project Not Feasible No further action.
Riverside Freeway (State Route 91) Eastbound (EB) East of Santa Ana Freeway (Interstate 5)	Fullerton	NSR in progress
San Diego Freeway (Interstate 5) Northbound (NB) South of South El Camino Real	San Clemente	Study pending available funding
San Diego Freeway (Interstate 5) Northbound (NB) South of Avenida Pico	San Clemente	Study pending available funding
San Diego Freeway (Interstate 405) Southbound (SB) North of Brookhurst Street	Fountain Valley	Study pending available funding
San Diego Freeway (Interstate 405) Northbound (NB) North of Goldenwest Street	Westminster	Study pending available funding
Orange Freeway (State Route 57) Northbound (NB) North of Lincoln Avenue	Anaheim	Study pending available funding
Orange Freeway (State Route 57) Northbound (NB) North of Lincoln Avenue	Anaheim	Study pending available funding
Costa Mesa Freeway (State Route 55) Northbound (NB) North of Garden Grove Freeway (State Route 22) Interchange	Orange	Study pending available funding
San Diego Freeway (Interstate 5) Southbound (SB) South of Camino Delos Mares	San Clemente	Study pending available funding
San Diego Freeway (Interstate 5) Northbound (NB) South of Avenida Vaquero	San Clemente	Study pending available funding
San Diego Freeway (Interstate 405) Southbound (SB) North of Beach Boulevard	Huntington Beach	Study pending available funding
San Diego Freeway (Interstate 405) Northbound (NB) South of Brookhurst Street	Fountain Valley	Study pending available funding
San Diego Freeway (Interstate 5) Northbound (NB) South of Camino Las Ramblas	San Juan Capistrano	Study pending available funding
Artesia Freeway (State Route 91) Eastbound (EB) At Orangethorpe	La Palma	Study pending available funding

¹ NSR refers to Noise Study Report² NBSSR refers to Noise Barrier Scope Summary Report

ATTACHMENT B

Orange County Freeway Retrofit Soundwall Program: Tier One List

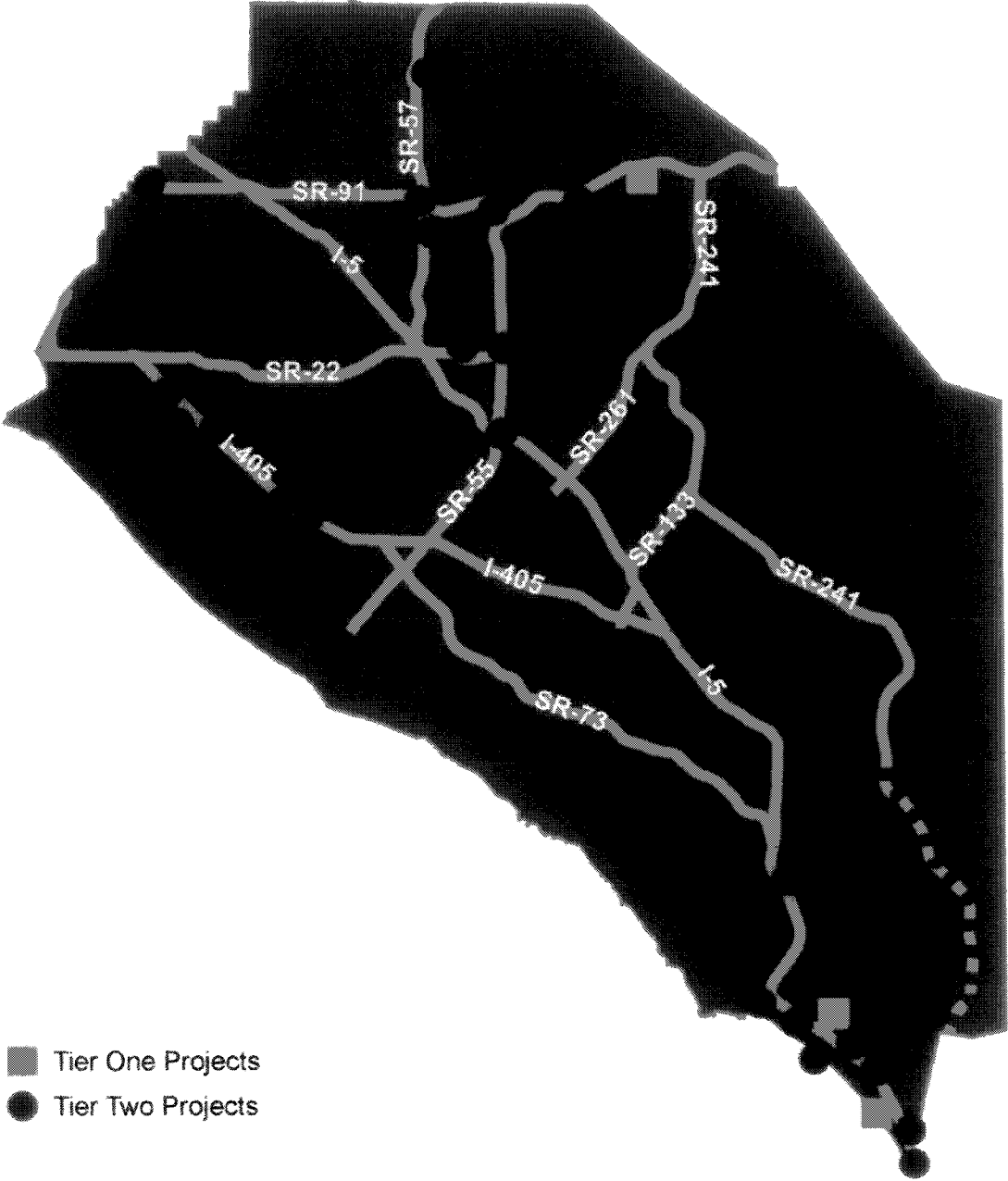
Project Description	City	Status ^{1, 2}
San Diego Freeway (Interstate 5) Southbound (SB) South of El Camino Real	San Clemente	NBSSR Approved
Riverside Freeway (State Route 91) Eastbound (EB) South of Weir Canyon Road	Anaheim	NBSSR Approved
San Diego Freeway (Interstate 5) Northbound (NB) North of Avenida Vaquero	San Clemente	NBSSR Approved

¹ NSR refers to Noise Study Report

² NBSSR refers to Noise Barrier Scope Summary Report

ATTACHMENT C

Orange County Freeway Retrofit Soundwall Program: Project Locations



Freeway Retrofit Soundwall Policy

Revised November 14, 2005

1. Eligibility Requirements
 - A. Qualifying conditions are limited to the residential areas next to existing freeways where noise levels exceed 67 dBA (~~Leq~~Leq(h))¹.
 - B. A retrofit noise barrier must be cost effective. The cost effectiveness criterion is established as \$45,000 (2002 dollars) per benefited residential unit located immediately adjacent to a freeway (first row of residences). This criterion will be adjusted every other year using the California Cost Index as a guide.
 - C. Noise barrier's cost effectiveness calculations should include all residential units (i.e., houses, apartments, and condominiums) immediately located adjacent to a freeway (first row residences) that will benefit by a reduction of 5dBA or more as a result of the noise barrier construction, unless specified otherwise in Item 1(D).
 - D. If a noise barrier fails the cost effectiveness criterion by 10 percent or less, a supplemental evaluation may be conducted to include benefited residential units beyond first row of residences. Cost effectiveness may be achieved if the criterion can be satisfied through a supplemental evaluation.
 - E. Cost effectiveness may be achieved or enhanced through a local funding contribution. The amount of a local funding will be used to reduce the project cost².
 - F. A retrofit noise barrier must meet minimum state and federal standards and considered cost effective in order to be added to the Tier One project list.

¹ Measured as the energy-average of the A-weighted sound levels occurring during a one hour period, dBA, Leq(h).

² Project costs are defined as all items necessary for construction according to the Caltrans Traffic Noise Analysis ~~Protocol~~ Protocol and Appendix F of the Caltrans Project Development Procedures Manual.

2. Ineligible Projects

- A. Noise barriers identified as part of an environmental document for noise abatement purposes for highway improvement or development projects will not be eligible as a retrofit noise barrier.
- B. Noise impacts resulting from rail or from sources other than a freeway or state route will not be considered under this program.
- C. Non-residential areas will not be considered under this program.
- D. Projects that do not meet the cost effectiveness criterion will not be considered under this program.

3. Eligible Expenditures

- A. Only project features directly attributable to a retrofit noise barrier are eligible for funding. Acceptable project features include drainage modification, earthwork, safety treatments, miscellaneous asphalt paving, landscaping, traffic control, and right of way acquisition that is directly related to and needed for proper installation of the noise barrier.
- B. Support costs (development of final engineering plans, environmental clearance, right of way appraisal, construction management) are eligible for funding. Inappropriate project features include maintenance, upgrades, or enhancements to the adjacent residence or roadway, roadway slopes, or roadway features.
- C. OCTA reserves the right to fund more cost effective noise mitigation alternatives.

4. Noise Barrier Requests

- A. Caltrans will maintain a Request Log that documents all future requests for noise barriers and field measurements. Caltrans will investigate on a first-come basis all future requests contained in the Request Log.
- B. Caltrans will notify the requestor, local jurisdiction, and OCTA regarding the findings of the Initial Assessment.

5. Noise Barrier Scope Summary Report (NBSSR)

- A. All NBSSRs will include noise studies and Priority Index calculations and be prepared according to Appendix F of the Caltrans Project Development Procedures Manual.
- B. Caltrans is responsible for oversight, review, and approval of NBSSRs for compliance with state guidelines as defined through cooperative agreements.
- C. All NBSSRs must address long-term maintenance strategies and include alternative mitigation.

6. Priority Index Calculation

- A. The Priority Index (PI) number is used for ranking Tier One projects and is calculated using the following formula.

$$PI = (NL-67)^2 * AR * LU / \text{Cost (in \$1,000)}$$

NL: Is the average of the field-measured noise levels, dBA, Leq(h) measured during the noisiest hour of the day.

AR: Is the average reduction in noise levels that the proposed noise barrier will achieve. The 67dBA, Leq(h), is a goal for achievement, but is not mandatory. However, any noise barrier considered under this program must provide a minimum of 5 dBA noise reduction.

LU: Is the number of residential units immediately adjacent to the freeway (i.e., first line receivers) that will receive a minimum of 5 dBA noise reduction with the proposed noise barrier.

Cost: The noise barrier cost in \$1,000's includes all items necessary for construction according to the Caltrans Traffic Noise Analysis Protocol and Appendix F of the Caltrans Project Development Procedures Manual.

- B. For projects that include noise barriers at multiple locations, the overall project's PI is calculated independently for each location. The PI for the combined project is calculated using a weighted average method, with the weighting based on the number of residential units at each location.
- C. For projects on the Tier Two list, a preliminary PI will be calculated using project costs as estimated in the Noise Study Report.

7. Priority Index (PI) Enhancements

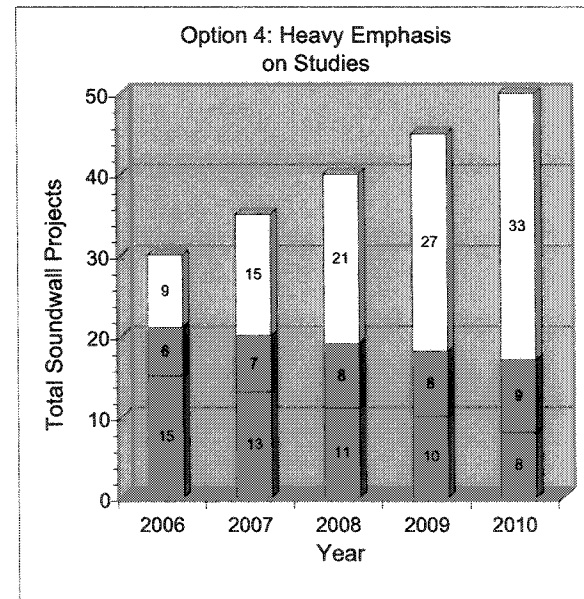
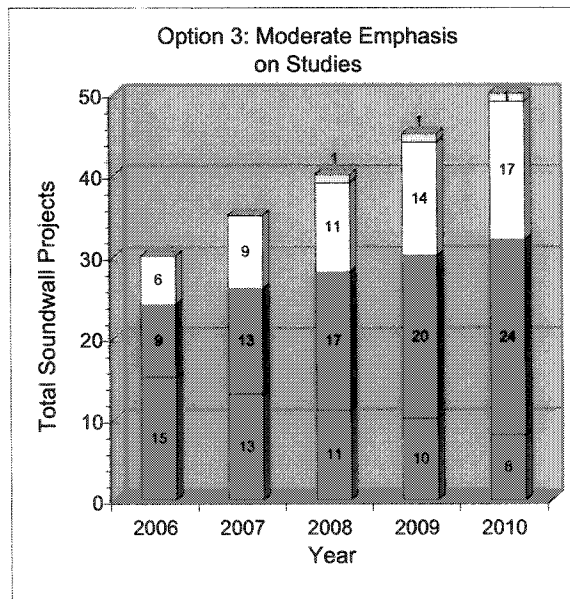
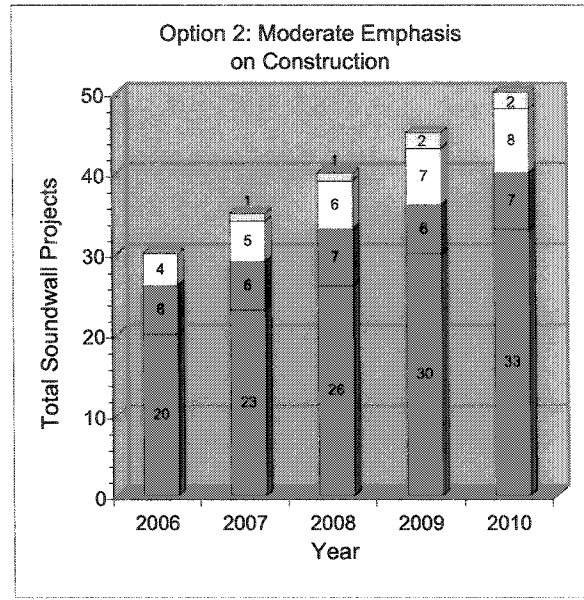
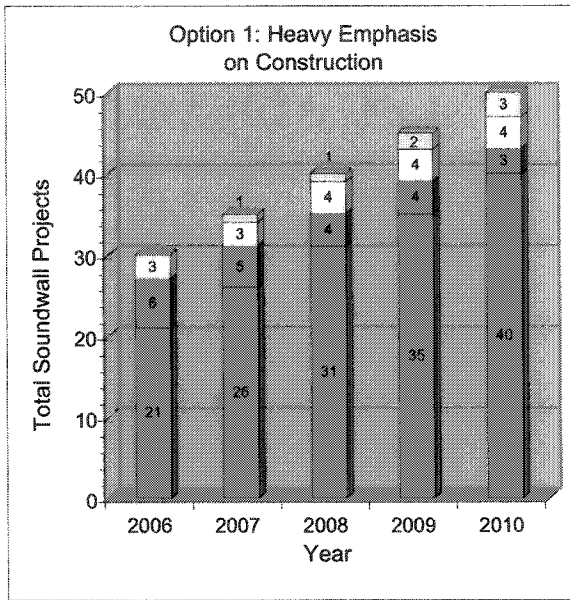
- A. An added factor in determining priority is the age of residential units immediately adjacent to the freeway and whether the units were constructed prior to the opening of the freeway segment. The NBSSR must provide documentation of the date of the structure and determine the percentage of residential units that predate the applicable segment of the freeway. PI calculated by the above formula is enhanced by an amount equal to the actual percentage of residential units that were built prior to the opening date of the freeway segment. For example, if the PI for a noise barrier is calculated to be 10.00 and the current qualifying residential unit percentage is 52.5 percent, then the priority index is adjusted to 62.5.
- B. Another factor that may enhance priority is the amount of funds contributed from a local jurisdiction. The PI of the project will be increased by an amount equal to the actual percentage of local funding contributed towards the project cost. Each percentage of cost equates to one PI point. For example, if a local jurisdiction contributes 30% to the project cost, the PI is increased by 30 points. Local contributions to all phases of the project will be considered in PI enhancement including NBSSRs, environmental documentation and design. The project cost used for determining the level of contribution is the same as for determining the PI. Resolution of the city council demonstrates a local contribution.
- C. A noise barrier may qualify for both types of priority enhancements.
- D. OCTA reserves the right to design, construct and/or coordinate improvements with other programmed projects (including safety barriers) to minimize construction impacts to the community, maximize cost effectiveness, and ensure the timely delivery of projects.

8. Project Lists

- A. Caltrans will perform field noise measurements as needed.
- B. All projects that exceed 67 dBA move to the Tier Two project list.
- C. OCTA will maintain a two-tiered list of potential freeway retrofit soundwall projects as follows:
 - Tier Two Projects: Proposed noise barriers awaiting NBSSRs.
 - Tier One Projects: Proposed noise barriers with approved NBSSRs.

- D. Future projects identified in Tier Two will be listed according to date of complaint. NBSSRs will be completed ~~on a first come, first serve basis~~ by OCTA in rank order according to their preliminary PI.
 - E. A proposed project will advance to Tier One once the NBSSR is approved by Caltrans. Tier One projects will be identified and funded in rank order according to their PI. Proposed noise barriers shall, whenever possible, be coordinated with projects currently programmed in the Regional Transportation Improvement Program (RTIP). OCTA reserves the right to determine the phasing of projects.
9. Fund Allocation
- A. Funds ~~estimated at \$3 million per year~~ will be made available through the State Transportation Improvement Program (STIP) or other eligible funds to develop and construct ~~eligible~~ approved retrofit noise barriers. STIP funds are subject to allocation by the California Transportation Commission.
 - B. Funds will be allocated to noise barrier(s) with the highest Priority Index number as determined by the Noise Barrier Scope Summary Report (NBSSR). A two-tiered project list will be maintained consisting of Tier One and Tier Two projects. Funds will only be allocated to Tier One projects.
 - C. To accelerate the study process, local jurisdictions may elect to fund and complete their own NBSSRs.

Orange County Freeway Retrofit Soundwall Program: Strategy Options



- Estimated number of projects with constructed retrofit soundwalls
- Estimated number of projects with approved Noise Barrier Scope Summary Reports (NBSSRs) awaiting construction
- Estimated number of projects with approved Noise Study Reports (NSR's) awaiting NBSSR's
- Estimated number of projects awaiting NSR's



BOARD COMMITTEE TRANSMITTAL

November 14, 2005

To: Members of the Board of Directors
From: Wendy Knowles^{WK}, Clerk of the Board
Subject Anaheim Regional Transportation Intermodal Center Memorandum of Understanding

Transit Planning and Operations Committee

October 27, 2005

Present: Directors Winterbottom, Brown, Silva, Pulido, Dixon, and Duvall
Absent: Director Green

Committee Vote

This item was passed by all Committee Members present.

Committee Vice Chairman Pulido was not present for this vote.

Committee Recommendation

Authorize the Chief Executive Officer to execute the memorandum of understanding by and between the City of Anaheim and the Orange County Transportation Authority relating to the Anaheim Regional Transportation Intermodal Center.



October 27, 2005

To: Transit Planning and Operations Committee
From: Arthur T. Leahy, ^{ML} Chief Executive Officer
Subject: Anaheim Regional Transportation Intermodal Center
Memorandum of Understanding

Overview

Staff has prepared a memorandum of understanding between the City of Anaheim and the Orange County Transportation Authority for the joint development of the Anaheim Regional Transportation Intermodal Center. This endeavor is part of the investment in gateways to regional rail category in the approved Five-Year Program. The use of this property as a transit hub is consistent with the proposed Long-Range Transportation Plan transit element, which envisions enhancing the facilities and services along Orange County's rail backbone, the Metrolink commuter rail service.

Recommendation

Authorize the Chief Executive Officer to execute the memorandum of understanding by and between the City of Anaheim and the Orange County Transportation Authority relating to the Anaheim Regional Transportation Intermodal Center.

Background

On October 14, 2005, the Board of Directors (Board) approved the Five-Year Program (Program), containing improvements to all modes within Orange County, and directed staff to begin its refinement. A component of the Program is to invest in gateways to regional rail to interconnect the Metrolink commuter rail service to future high-speed rail lines that would serve areas further away. Planned technology options such as high-speed rail and magnetic levitation (maglev) could connect Orange County to the San Francisco Bay Area, Los Angeles, San Diego, and Ontario Airport. The Orange County Transportation Authority (Authority) investment in these gateways to regional rail will take several forms. One will be advancing the Anaheim-to-Los Angeles segment on the California High-Speed Rail Authority plan by providing funding for environmental work. Another will be advancing both Anaheim-to-Los Angeles and Anaheim-to-

Ontario services by jump-starting development of the Anaheim Regional Transportation Intermodal Center (ARTIC), which is the subject of this report.

Discussion

The ARTIC is a proposed transportation hub located on a 13.58-acre site along the Los Angeles to San Diego (LOSSAN) rail line, bounded by the Orange Freeway (State Route 57), the Santa Ana River, and Katella Avenue, and in close proximity to Santa Ana Freeway (Interstate 5). The proposed site is located on Orange County Flood Control District owned property. This facility will house many transit modes providing everything from conventional bus service to a gateway to planned regional high technology transportation systems. Local transit modes will have seamless intermodal access to the planned systems for the California High-Speed Rail Authority and California-Nevada maglev.

The joint development of ARTIC by the City of Anaheim (Anaheim) and the Authority will require mutual cooperation. A memorandum of understanding (MOU), included as Attachment A, has been prepared to outline the initial cooperative effort for the development of this site for a transit use. Furthermore, the MOU establishes that the funding, planning, design, construction, and operation details of ARTIC will be finalized at a later date.

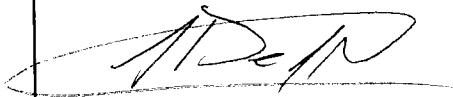
Summary

In accordance with the approved Program, staff has prepared an MOU between Anaheim and the Authority for the joint development of the ARTIC facility. The use of this property as a transit hub is consistent with the Authority's transit vision of enhancing the facilities and services along the Metrolink commuter rail service, which is Orange County's rail backbone.

Attachment

- A. Memorandum of Understanding by and Between the City of Anaheim and the Orange County Transportation Authority relating to ARTIC

Prepared by:



Jose de Jesus Martinez, P.E.
Project Manager
(714) 560-5755

Approved by:



Paul C. Taylor, P.E.
Executive Director, Planning,
Development and Commuter Services
(714) 560-5431

MEMORANDUM OF UNDERSTANDING

BY AND BETWEEN

THE CITY OF ANAHEIM

AND

ORANGE COUNTY TRANSPORTATION AUTHORITY

RELATING TO ARTIC

The following memorandum of understanding is entered into by and between the City of Anaheim (“ANAHEIM”) and the Orange County Transportation Authority (“OCTA”) with regard to the following matters:

Whereas, OCTA considers its railroad lines linking Los Angeles and San Diego to be the core of Orange County’s future transit system; and

Whereas, OCTA’s vision for transit improvement calls for enhancing facilities and services within the transit core;

Whereas, high speed rail modal options are planned that improve travel time reliability and safety, national security, conservation of energy, and environmental quality; and

Whereas, OCTA believes that modal options to improve inter-regional and airport access are vital to Orange County businesses and residents; and

Whereas, convergence of the planned Anaheim to Ontario International Airport super speed train service with expanding Metrolink and AMTRAK service and planned California High Speed Rail service on the Los Angeles to San Diego (LOSSAN) rail line is sited adjacent to the Angel Stadium of Anaheim on Orange County Flood Control District owned property, hereinafter referred to as the, “Katella Yard property”; and

Whereas, the 13.58 acre Katella Yard property has recently been declared surplus; and

Whereas, the Katella Yard property is zoned Institutional and is sited for highest and best use as a regional transit center; and

Whereas, transit oriented development has been entitled for the 820 acres around the intended regional transit center, consisting of 9,500 high rise dwelling units, 5 million square feet of office and 2 million square feet of retail; and

Whereas, OCTA's plans to enhance Metrolink service include expansion of the parking supply at the Angel Stadium of Anaheim station to meet forecasted needs; and

Whereas, the City desires relocation of the existing 401 rail parking spaces; and

Whereas, OCTA's plans to extend the reach of the Metrolink service include Bus Rapid Transit (BRT) and Express Bus service to be provided at this location for seamless intermodal transit connections; and

Whereas, planned California High Speed Rail service will require additional parking, and station platform extension towards the County of Orange property; and

Whereas, a convenient pedestrian connection can be provided under SR-57 between the station platforms and the County of Orange property; and

Whereas, ANAHEIM has developed plans for the construction of the Anaheim Regional Transportation Intermodal Center ("ARTIC") in order to maintain economic competitiveness and quality of life within the County and serve the region's mobility needs and growth; and

Whereas, ANAHEIM and OCTA desire to develop a partnership to improve transit opportunities in the Anaheim area in order to better serve an emerging high density residential/sports/entertainment hub, utilizing ARTIC as the transportation hub for the Anaheim area; and

Whereas, in furtherance of this partnership, OCTA and ANAHEIM desire to cooperate in the negotiations with the County of Orange to purchase the strategically located Katella Yard property for transit purposes; and

Whereas, OCTA and ANAHEIM desire to enter into this Memorandum of Understanding to demonstrate their commitment to improving transit opportunities for Orange County and to set forth their goals and objectives as a basis for future negotiations concerning the development of ARTIC.

Now, therefore, ANAHEIM and OCTA enter into the following Memorandum of Understanding with respect to the matters set forth herein:

1. OCTA and ANAHEIM will cooperate in negotiations with the County of Orange for the purchase of the Katella Yard property for transit purposes.
2. The Katella Yard property shall be planned to address immediate and long-term needs, with immediate needs entailing station parking and BRT integration and expanded

Metrolink and Amtrak service, and long-term needs to provide ample capacity for future extension of rapid transit from the transportation hub and inter-connection of the transportation hub to high-speed rail service.

3. The Katella Yard property shall provide for a high speed regional rail terminal and support development of high speed ground transportation systems that will serve Orange County.

4. OCTA and ANAHEIM will establish at a later date responsibilities for planning, design, construction and operation of ARTIC and planning and development of rapid transit extension(s) from ARTIC and local community feeder services for ARTIC; and

5. OCTA and ANAHEIM shall consider developing a long term funding program that will allow the facility to develop incrementally.

IN WITNESS WHEREOF, the City of Anaheim and the Orange County Transportation Authority have entered into this Agreement as of the dates set forth below.

Signature Blocks to be inserted.



BOARD COMMITTEE TRANSMITTAL

November 14, 2005

To: Members of the Board of Directors
From: ^{WK} Wendy Knowles, Clerk of the Board
Subject Central County Corridor Major Investment Study Status Report

Regional Planning and Highways Committee

November 7, 2005

Present: Directors Norby, Cavecche, Rosen, Dixon, Brown, Green, Monahan, Pringle, and Ritschel
Absent: None

Committee Vote

This item was passed by the Committee Members present.

Committee Member Green voted in opposition.

Committee Recommendation

Direct staff to return with a status report by February 2006.



November 7, 2005

To: Regional Planning and Highways Committee
From: Arthur T. Leahy, ^{ATL} Chief Executive Officer
Subject: Central County Corridor Major Investment Study Status Report

Overview

In April 2005, the Board of Directors endorsed five major conceptual alternatives for improving travel in central Orange County through the Central County Corridor Study – Phase I efforts. Staff has initiated the process to refine these alternatives through a future Major Investment Study, and a status report is provided for Board of Directors review.

Recommendation

Direct staff to return with a status report by February 2006.

Background

In April 2005, the Board of Directors (Board) endorsed a set of five multimodal alternatives for improving travel in central Orange County. The five alternatives, developed in the Central County Corridor Study-Phase I (Phase I) work, focus on varying increments of additional transportation capacity that could be attained by widening the Costa Mesa Feeway (State Route 55), extending the Orange Freeway (State Route 57) south of its current terminus to the San Diego Freeway (Interstate 405), improving local streets, deploying new traffic signal technology, or implementing new transit services. The Phase I process included public open houses and workshops and input from local agencies' elected officials and technical and management staff.

As part of approving the five conceptual alternatives, the Board directed staff to initiate a subsequent Major Investment Study (MIS) to narrow the list of transportation alternatives, perform conceptual engineering and environmental work, and recommend a preferred program of projects. Staff has started follow-up work on the MIS, and this report focuses on addressing critical issues identified in Phase I.

Discussion

Three major activities are currently underway for the Central County Corridor MIS. These include: (1) finalizing the technical Scope of Work for the MIS; (2) Army Corps of Engineers (ACOE) consultation; and (3) review of State Route 55 (SR-55) issues and opportunities. A status report on each of these efforts is provided below.

MIS Scope of Work

Staff has prepared the draft Scope of Work for the MIS technical work. Travel demand forecasting, conceptual engineering, and environmental work are key elements of the Scope of Work. Prior to releasing the Request for Proposals for the MIS technical work, staff recommends completing the two efforts discussed below in order to follow up on Board requests as well as clarify issues associated with potential transportation improvements along and within the Santa Ana River.

ACOE Consultation Process

In approving the Phase I recommendations, the Central County Corridor Study Committee, chaired by Director Cavecche, requested staff work with the ACOE and other agencies to delineate issues and responsibilities related to potential transportation improvements along and within the Santa Ana River. The ACOE is the federal agency responsible for planning, designing, building, and operating the nation's water resources; any improvements within the Santa Ana River require ACOE approval.

A new transportation facility along and within the Santa Ana River is included in the Phase I study alternatives. In order to evaluate the impacts of this concept further, the ACOE will require details on proposed transportation concepts within the Santa Ana River to provide feedback on the feasibility of this option. As a result, staff recommends conducting a brief study to define these improvements further in cooperation with the ACOE. The Scope of Work for this three-month effort is provided in Attachment A. ACOE issues arising from this effort will be included in the future MIS. Staff will report back on specific recommendations emerging from meetings with the ACOE.

SR-55 Issues and Opportunities

The Phase I study includes an alternative for widening SR-55 from the Riverside Freeway (State Route 91) to 19th Street in Costa Mesa. The Orange County Transportation Authority forecasts prepared for the Phase I effort indicate SR-55 will be over capacity by at least two lanes (one in each direction) by 2030. However, these forecasts do not capture operational problems occurring now on

SR-55 that significantly impede traffic flow. For example, significant merging and weaving reduces capacity near the Santa Ana Freeway (Interstate 5), and closely spaced on- and off-ramps further reduce capacity south of Interstate 5. At the same time, SR-55 may have opportunities for more improvements within the existing right-of-way based on recent discussion with the California Department of Transportation (Caltrans). Medians and shoulders in some sections may offer opportunities for lower-cost improvements within existing right-of-way. As a result of these issues and opportunities, staff is developing a brief SR-55 operations study to quantify the bottleneck impacts, as well as a more detailed discussion with Caltrans on SR-55 widening opportunities within existing right-of-way. Clarifying these issues now will lead to a clearer Scope of Work for the MIS effort.

Action Plan

Below is the recommended action plan for follow-up on the items discussed above with the goal of finalizing releasing the MIS Request for Proposals in October 2005.

Action Item	Timeframe
Army Corp of Engineers Consultation	December '05 - February '06
SR-55 Operations Study	Now – December '05
SR-55 Right-of-Way Evaluation	December '05 – February '06
Finalize MIS Scope of Work/Release Request for Proposals	February '06

Summary

Next steps for the Central County Corridor Major Investment Study are identified and recommended for follow-up over the next several months.


Attachment

- A. SR-57 Extension Concept Planning Study - Draft Scope of Work

Prepared by:


Kurt Brotcke
Department Manager
(714) 560-5742

Approved by:


Paul C. Taylor, P.E.
Executive Director, Planning,
Development and Commuter Services
(714) 560-5431

**SR-57 Extension Concept Planning Study
Draft Scope of Work****Objective**

The objective of the Orange Freeway (State Route 57) Concept Planning Study is to define a concept for the extension of State Route 57 (SR-57) from its current terminus at the Santa Ana Freeway (Interstate 5)/Garden Grove Freeway (State Route 22)/SR-57 interchange (the Orange Crush) southerly to the San Diego Freeway (Interstate 405), within the Santa Ana River channel. The purpose of the study is to develop this alternative to a sufficient level of detail to allow agencies with jurisdiction (the California Department of Transportation (Caltrans), the U.S. Army Corps of Engineers and the Orange County Flood Control District) to conduct an initial evaluation of the feasibility of this alternative. At the completion of the Concept Planning Study, if the extension of SR-57 along the Santa Ana River is considered by the Orange County Transportation Authority (OCTA) and the agencies with jurisdiction to be potentially feasible, this alternative will be included for more detailed analysis in a future Central County Corridor Major Investment Study.

Background

In December 2002, the OCTA Board of Directors adopted Directions 2030, Orange County's long-range transportation plan. The Board also approved a short-term action plan, which included several corridor studies, to be conducted over the next few years. One of these studies included options for improving travel in a north-south direction in the central part of the county, including study of extending SR-57 to Interstate 405 (I-405) via the Santa Ana River. This north/south study, known as the *Central County Corridor Study – Phase I*, was completed in April 2005 with the OCTA Board of Directors voting to further study the options identified in Phase I in a major investment study. The five alternatives defined in Phase I range from improvements to key streets and the transit system, to major widening of the Costa Mesa Freeway (State Route 55) and extension of SR-57 in the Santa Ana River channel to the I-405. The extension of SR-57 received the most public focus and comment. Several major technical and environmental issues were raised relative to extending SR-57. In voting to move forward with the Central County Corridor Major Investment Study, the OCTA Board of Directors expressed their interest in ascertaining the technical and environmental feasibility of extending the SR-57 in the Santa Ana River channel as early as possible in the study process, so that study resources could be focused on evaluating only implementable alternatives.

Services

OCTA is seeking proposals from qualified firms to conduct a *SR-57 Extension Concept Study*. The selected consultant will perform the tasks outlined in the scope of work detailed below. The study is anticipated to be completed within approximately three months.

OCTA is seeking a consultant with a full-range of professional and technical skills required to fulfill and effectively integrate the tasks outlined in this scope of work. The selected consultant team shall have a demonstrated understanding of the full range of issues and challenges associated with extending SR-57 in the Santa Ana River channel, and knowledge of Caltrans design standards and experience in performing Caltrans' Advance Planning Studies. The consultant selected for this study will use available mapping, data and resources to develop a concept for the extension of SR-57 along the Santa Ana River channel from its current terminus

SR-57 Extension Concept Planning Study Draft Scope of Work

at Interstate 5 (I-5)/State Route 22 (SR-22) interchange to I-405, and perform the equivalent of an Advance Planning Study, defining the basic structure layout, design assumptions and structure features, foundation requirements, channel accessibility during and after construction, hydrologic impacts and hydraulic requirements, other environmental considerations, and order-of-magnitude cost. The consultant will coordinate and participate with OCTA in meetings with agencies of jurisdiction to present and discuss the results of the study.

General Project Description

The *SR-57 Extension Concept Study* will build upon the work already completed by OCTA in the Central Orange County Corridor Study – Phase I, developing an alignment and conceptual design for the extension of SR-57 from I-5 to I-405 within the Santa Ana River channel, as a basis for discussing the feasibility of the project with other agencies with jurisdiction.

SCOPE OF WORK

TASK 1: ENGINEERING CONCEPT

1.1 Alignment Study

Based on the preliminary alternative described in the Central Orange County Corridor Study – Phase I Final Report, the consultant shall develop an engineering concept for the extension of SR-57 from its current terminus at I-5/SR-22, southerly to an interchange with I-405. The SR-57 extension concept shall be developed as a limited-access facility and should be assumed to include two lanes in each direction. The concept will incorporate an alignment for the facility within the Santa Ana River channel right-of-way and include interchanges at the following locations:

- I-5 Connectors
- Memory Lane
- First Street
- Warner Avenue
- I-405/SR-73 Connectors

The concept shall include plan, profiles, and typical sections. It will also define structural column size, placement, and spacing. While a detailed utilities survey is not required at this time, the concept shall address readily apparent utilities within the alignment. The alignment concept shall be depicted on plan sheets at a scale of 1"= 500'.

1.2 Order-of-Magnitude Cost Estimates

The Consultant shall prepare an order-of-magnitude cost estimate to construct the SR-57 extension concept, with supporting documentation, using unit costs acceptable to OCTA and Caltrans, and including design and engineering, contingency factor and mobilization factor.

1.3 Design Memo

The consultant shall prepare a Design Memo addressing the concept for the extension of SR-57 in the Santa Ana River channel and documenting key assumptions, design features, and order-of-magnitude cost. The memo should describe the concept in sufficient detail, with

SR-57 Extension Concept Planning Study Draft Scope of Work

supporting plans and graphics, to allow agencies with jurisdiction to understand its design and operating characteristics as a basis for evaluating the feasibility of the concept and its potential impact on Santa Ana River channel operations.

Task 1 Deliverables:

- Conceptual Design Plans, Profiles and Typical Sections (1"=500')
- Itemized Cost Estimate
- Design Memo

TASK 2: PRELIMINARY HYDROLOGIC REPORT

Based on the design concept developed in Task 1, the consultant shall prepare a hydrologic assessment of the effects of the concept on channel flow and operations. The affected stretch of the Santa Ana River from I-5 to I-405 is part of a larger Santa Ana watershed project, and recent improvements to the channel are part of a system-wide design to provide adequate flood control and manage flow below the Prado Dam. It is therefore imperative that the design concept for the extension of SR-57 not impact the capacity of the channel or its ability to manage and contain water flow and discharge from Prado Dam through this stretch, or that such impact be mitigated through design. The hydrologic report shall identify hydrologic factors and parameters that will affect the design of the structure for the SR-57 extension, and the affects of the structure, as defined in Task 1, on channel flow, capacity, and operations. The study must be sufficiently detailed so that the impacts of the structure placement on channel flow, capacity, and operations are clearly described and substantiated.

Task 2 Deliverables:

- Preliminary Hydrologic Report

TASK 3: AGENCY COORDINATION

Following completion of the Concept Planning Study, the consultant team will support OCTA in a series of meetings with agencies with jurisdiction including the U.S. Army Corps of Engineers, Orange County Flood Control District and Caltrans, to present and discuss the concept for the extension of SR-57 in the Santa Ana River channel. OCTA staff will have primary responsibility for coordinating the meetings. The consultant team shall assist through active participation in meetings scheduled by OCTA, preparation of materials in advance of the meetings, and development of complete and accurate meeting notes following each meeting. There will be up to three meetings with key agencies with jurisdiction.

Task 3 Deliverables:

- Materials to support meetings
- Meeting notes



BOARD COMMITTEE TRANSMITTAL

November 14, 2005

To: Members of the Board of Directors
From: ^{WK} Wendy Knowles, Clerk of the Board
Subject: Fund Transfer Agreement with the California Department of Transportation for the Fiscal Year 2005-06 Planning, Programming, and Monitoring Program

Regional Planning and Highways Committee

November 7, 2005

Present: Directors Norby, Cavecche, Rosen, Dixon, Brown, Green, Monahan, Pringle, and Ritschel
Absent: None

Committee Vote

This item was passed by all Committee Members present.

Committee Recommendation

Authorize the Chief Executive Officer to execute Fund Transfer Agreement PPM06-6071(027) with the California Department of Transportation for the use of State Transportation Improvement Program funds for the fiscal year 2005-06 Planning, Programming, and Monitoring Program.



November 7, 2005

To: Regional Planning and Highways Committee
From: Arthur T. Leahy, Chief Executive Officer
Subject: Fund Transfer Agreement with the California Department of Transportation for the Fiscal Year 2005-06 Planning, Programming, and Monitoring Program

Overview

The California Department of Transportation requires authorization of the Chief Executive Officer to execute an agreement for the use of state funds by the Orange County Transportation Authority for the Planning, Programming, and Monitoring Program. The Orange County Transportation Authority Board of Directors previously approved the 2004 Orange County Regional State Transportation Improvement Program, which included the use of state funds for the Planning, Programming, and Monitoring Program.

Recommendation

Authorize the Chief Executive Officer to execute Fund Transfer Agreement PPM06-6071(027) with the California Department of Transportation for the use of State Transportation Improvement Program funds for the fiscal year 2005-06 Planning, Programming, and Monitoring Program.

Background

The State Transportation Improvement Program (STIP) is a major source of funding for transportation improvements in the State of California. Revenues from federal and state sources are consolidated into the STIP. The STIP is divided into two major funding categories. Seventy-five percent goes to the Regional Transportation Improvement Program (RTIP), allocated to regional agencies such as the Orange County Transportation Authority (OCTA). The remaining 25 percent is the Interregional Transportation Improvement Program (ITIP), allocated to the California Department of Transportation (Caltrans) for projects of interregional significance including intercity and commuter rail projects.

Every two years, new revenues are programmed for the next five-year period. On February 9, 2004, the Board of Directors (Board) approved the 2004 Orange County STIP. Included in the approved STIP is the Planning, Programming, and Monitoring Program (PPM). The PPM provides funding for activities related to the development of the RTIP, STIP, and for the monitoring of project implementation for projects programmed against the PPM funding. The fiscal year 2005-06 PPM work plan has been included in Attachment A. This work plan lists eligible projects that OCTA can seek reimbursement for over a three-year time frame. These projects are to be implemented with the PPM funds and other Board approved OCTA funds.

Discussion

As step one of OCTA's approval process of programming STIP funding, the PPM has been previously approved by Board action in February 2004. The next step in this process is to authorize the Chief Executive Officer (CEO) to execute Fund Transfer Agreement PPM06-6071(027). The execution of Fund Transfer Agreement PPM06-6071(027), is necessary in order to access the STIP PPM funding. This agreement must be accompanied by specific Board authorization for the CEO to execute the agreement. Staff is seeking Board approval for the CEO to execute this agreement with Caltrans. This agreement is consistent with previous Board action approving the 2004 STIP.

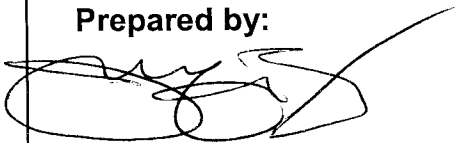
Summary

On February 9, 2004, the Board approved the 2004 STIP for Orange County which included the PPM. In order to access this funding, a fund transfer agreement must be executed between OCTA and Caltrans.

Attachment

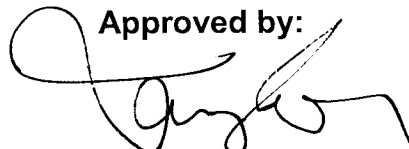
- A. Planning, Programming, and Monitoring Fiscal Year 2005-06 Work Program

Prepared by:



Jennifer Bergener
Senior Transportation Analyst
Capital Programs
(714) 560-5462

Approved by:



Paul C. Taylor, P.E.
Executive Director
Planning, Development and Commuter
Services
(714) 560-5431

**PLANNING, PROGRAMMING, AND MONITORING
FISCAL YEAR 2005-06 WORK PROGRAM**

Central Orange County Corridor Study Phase II Consultant services to screen and evaluate the recommendations from the Central County Corridor Study Phase I, completed in fiscal year 2005. In addition to the evaluation of the "57 Freeway Extension" to Interstate 405, this project will evaluate improvements to parallel freeways such as State Route 55, local streets, transit services including bus and rail, and other alternatives emerging from the process. (Proposed budget: \$925,000)

Central Orange County Corridor Study Phase II Outreach This project will utilize consultant assistance to provide outreach support as needed on the Central Orange County Corridor Study Phase II. (Proposed budget: \$100,000)

OC/LA Border Transportation Study Consultant services to develop, evaluate, and recommend transportation improvements focused on issues at the Orange County/Los Angeles County border in western and northwestern Orange County. This project will evaluate improvements to freeway border issues at State Route 22, Interstate 405, Interstate 605, and State Route 91. Improvements to local streets, transit services including bus and rail, and other alternatives will also be developed and evaluated in this process. (Proposed budget: \$475,000)

Planning Support Services Consultant services including, but not limited to, assist in various work efforts including the Congestion Management Plan update, periodic review of significant environmental documents, Long-Range Transportation Plan action plan items, and responding to requests from policy-makers. (Proposed budget \$185,000)

Maglev-HSR Support Services Consultant services for the on-going monitoring of various HSR projects and plans including concept definition, evaluation, and recommendation. (Proposed budget \$20,000)

Soundwall Program Consultant services to assist in delivery of the Soundwall Program; including, but not limited to, project management support service and project monitoring. (Proposed budget \$75,000)



BOARD COMMITTEE TRANSMITTAL

November 14, 2005

To: Members of the Board of Directors
From: Wendy Knowles, Clerk of the Board
Subject: Cooperative Agreement with the California Department of Transportation for the Chokepoint Improvement Project on the Santa Ana Freeway (Interstate 5) at Culver Drive

Regional Planning and Highways Committee

November 7, 2005

Present: Directors Norby, Cavecche, Rosen, Dixon, Brown, Green, Monahan, Pringle, and Ritschel
Absent: None

Committee Vote

This item was passed by all Committee Members present.

Committee Recommendation

Authorize the Chief Executive Officer to execute Cooperative Agreement 12-533 between the Orange County Transportation Authority and the California Department of Transportation, to address the reimbursement of funds, and outline the roles and responsibilities of each party in the design of the chokepoint improvement project on the Santa Ana Freeway (Interstate 5) at Culver Drive.



November 7, 2005

To: Regional Highways and Planning Committee

From: Arthur T. Leahy, Chief Executive Officer

Subject: Cooperative Agreement with the California Department of Transportation for the Chokepoint Improvement Project on the Santa Ana Freeway (Interstate 5) at Culver Drive

Overview

The Orange County Transportation Authority proposes to enter into a cooperative agreement with the California Department of Transportation. A cooperative agreement is required to establish the roles, responsibilities, funding, and process for design of the chokepoint improvement project on the Santa Ana Freeway (Interstate 5) at Culver Drive.

Recommendation

Authorize the Chief Executive Officer to execute Cooperative Agreement 12-533 between the Orange County Transportation Authority and the California Department of Transportation, to address the reimbursement of funds, and outline the roles and responsibilities of each party in the design of the chokepoint improvement project on the Santa Ana Freeway (Interstate 5) at Culver Drive.

Background

For the past five years, the Orange County Transportation Authority (Authority) has worked cooperatively with the California Department of Transportation (Caltrans) to identify and improve freeway chokepoints. Chokepoints are freeway areas with localized chronic congestion, which regularly result in bottlenecks impacting the overall traffic network. Remedies include the addition of auxiliary lanes between interchanges, modifications to ramps or interchanges, restriping and/or signing where warranted by traffic volume, and connection of auxiliary lanes. The initial list of chokepoint areas and proposed projects, developed by Caltrans, was based on operational studies in conjunction with regional transportation studies.

Recognizing the regional significance of this program, in September 2001, the freeway chokepoint program was included in the Authority's Ten Strategic Initiatives for the Next Ten Years. On March 11, 2002, the Board of Directors (Board) approved the programming of \$8.3 million in State Transportation Improvement Program (STIP) funds to initiate project reports incorporating preliminary engineering, environmental assessments, and design for the five chokepoint projects listed below:

- Santa Ana Freeway (Interstate 5) southbound (SB) at Culver Drive – ramp widening
- San Diego Freeway (Interstate 5) SB at Oso Parkway – storage lane north of Oso Parkway off-ramp
- San Diego Freeway (Interstate 5) SB at Avenida Pico – ramp widening
- San Diego Freeway (Interstate 5) at Camino Capistrano – ramp widening
- San Diego Freeway (Interstate 405) northbound and SB from Magnolia Avenue to Beach Boulevard – auxiliary lane

Discussion

The STIP funds for this project were initially programmed in fiscal year 2003-04. Due to the continuing state budget crisis, the funding was deferred to the current fiscal year. In fiscal year 2005-06, \$307,000 in STIP funds will be programmed for design services. The Authority will request the allocation of funds at an upcoming California Transportation Commission meeting.

The proposed cooperative agreement between Caltrans and the Authority outlines the roles and responsibilities of each agency and prescribes the reimbursement of funds.

Project design for the chokepoint on the Santa Ana Freeway (Interstate 5) at Culver Drive will be a joint undertaking between Caltrans and the Authority. The Authority will serve as lead agency for delivery of the design, which includes the preparation of plans, specifications and estimates, and for the right-of-way (ROW) phase of the project.

Fiscal Impact

This project is included in the Authority's Fiscal Year 2005-06 Budget, Construction & Engineering, Account 0051-7519-A9205-X6S, and is funded through the STIP.

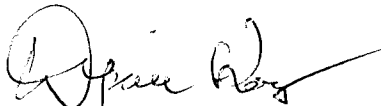
Summary

The Authority will be the lead for the design and ROW engineering for the chokepoint improvement project on the Santa Ana Freeway (Interstate 5) at Culver Drive. A cooperative agreement between Caltrans and the Authority is required to address the reimbursement of funds and to outline the roles and responsibilities of each agency.

Attachment

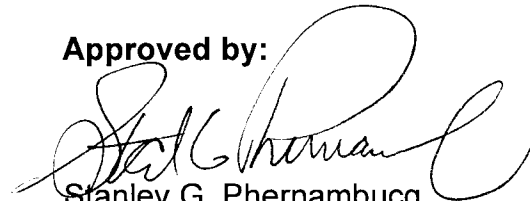
None.

Prepared by:



Dipak Roy, P.E.
Senior Project Manager
(714) 560-5863

Approved by:



Stanley G. Phernambucq
Executive Director,
Construction & Engineering
(714) 560-5440



BOARD COMMITTEE TRANSMITTAL

November 14, 2005

To: Members of the Board of Directors
From: Wendy Knowles, Clerk of the Board
Subject: Selection of a Consultant for Design Services for the Chokepoint on the Santa Ana Freeway (Interstate 5) at Culver Drive

Regional Planning and Highways Committee

November 7, 2005

Present: Directors Norby, Cavecche, Rosen, Dixon, Brown, Green, Monahan, Pringle, and Ritschel
Absent: None

Committee Vote

This item was passed by all Committee Members present.

Committee Member Dixon was not present to vote.

Committee Recommendations

- A. Select RBF Consulting as the top ranked firm for design of the chokepoint improvement project on the Santa Ana Freeway (Interstate 5) at Culver Drive.
- B. Authorize the Chief Executive Officer to request a cost proposal from RBF Consulting and negotiate an agreement for their services.
- C. Authorize the Chief Executive Officer to execute the final agreement.



November 7, 2005

To: Regional Highways and Planning Committee

From: Arthur T. Leahy, Chief Executive Officer

Subject: Selection of a Consultant for Design Services for the Chokepoint on the Santa Ana Freeway (Interstate 5) at Culver Drive

Overview

As part of the Orange County Transportation Authority's Fiscal Year 2006 Budget, the Board approved the chokepoint improvement project on the Santa Ana Freeway (Interstate 5) at Culver Drive. Proposals were solicited in accordance with the Orange County Transportation Authority's procurement procedures for the retention of consultants to perform architectural and engineering work.

Recommendations

- A. Select RBF Consulting as the top ranked firm for design of the chokepoint improvement project on the Santa Ana Freeway (Interstate 5) at Culver Drive.
- B. Authorize the Chief Executive Officer to request a cost proposal from RBF Consulting and negotiate an agreement for their services.
- C. Authorize the Chief Executive Officer to execute the final agreement.

Background

For the past five years, the Orange County Transportation Authority (Authority) has worked cooperatively with the California Department of Transportation (Caltrans) to identify and improve freeway chokepoints. Chokepoints are freeway areas with localized chronic congestion, which regularly result in bottlenecks impacting the overall traffic network. Remedies include the addition of auxiliary lanes between interchanges, modifications to ramps or interchanges, restriping and/or signing where warranted by traffic volume, and connection of auxiliary lanes. The initial list of chokepoint areas

Selection of a Consultant for Design Services for the Chokepoint Page 2 on the Santa Ana Freeway (Interstate 5) at Culver Drive

and proposed projects, developed by Caltrans, was based on operational studies in conjunction with regional transportation studies.

Recognizing the regional significance of this program, in September 2001, the freeway chokepoint program was included in the Authority's Ten Strategic Initiatives for the Next Ten Years. On March 11, 2002, the Board of Directors (Board) approved the programming of \$8.3 million in State Transportation Improvement Program (STIP) funds to initiate project reports incorporating preliminary engineering, environmental assessments, and design for the five chokepoint projects listed below:

- Santa Ana Freeway (Interstate 5) southbound (SB) at Culver Drive – ramp widening
- San Diego Freeway (Interstate 5) SB at Oso Parkway – storage lane north of Oso Parkway off-ramp
- San Diego Freeway (Interstate 5) SB at Avenida Pico – ramp widening
- San Diego Freeway (Interstate 5) at Camino Capistrano – ramp widening
- San Diego Freeway (Interstate 405) northbound and SB from Magnolia Avenue to Beach Boulevard – auxiliary lane

Discussion

This procurement was handled in accordance with Authority procedures for architectural and engineering services, which conform to both federal and state law. Proposals are evaluated without consideration of cost and are ranked in accordance with the qualifications of the firm and the technical proposal. The highest ranked firm is requested to submit a cost proposal and the final agreement is negotiated. Should negotiations fail with the highest ranked firm, a cost proposal will be solicited from the second ranked firm in accordance with the procurement policies previously adopted by the Board.

The project was advertised on August 30 and September 6, 2005, in a newspaper of general circulation, and on CAMMNet. A pre-proposal meeting was held on September 7, 2005, and was attended by 45 people representing 38 firms.

On September 27, 2005, four proposals were received. An evaluation committee consisting of staff from Contracts Administration and Materials Management, Construction & Engineering, Caltrans, and the City of Irvine met to review the proposals.

**Selection of a Consultant for Design Services for the Chokepoint Page 3
on the Santa Ana Freeway (Interstate 5) at Culver Drive**

The evaluation committee reviewed all proposals and found two of the firms qualified to perform the work. The firms were invited to present their proposals and respond to questions from the evaluation committee at the Authority offices. The interviews were held on October 6, 2005. The two qualified firms are:

Firm and Location

RBF Consulting
Irvine, California

Washington Group International
Irvine, California

Based upon the proposals and presentations to the evaluation committee, RBF Consulting ranked the highest, giving the committee confidence that the firm would perform in accordance with contract requirements.

Fiscal Impact

The project was approved in the Authority's Fiscal Year 2005-06 Budget, Construction & Engineering, Account 0051-7519, and is funded through the STIP.

Summary

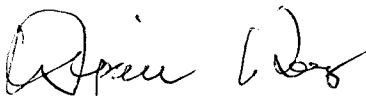
The evaluation committee met and reviewed this item. Based on the material provided, the committee recommends the selection of RBF Consulting as the most qualified firm to perform the design for the chokepoint on the Santa Ana Freeway (Interstate 5) at Culver Drive.

Staff is requesting authorization to request a cost proposal from RBF Consulting and negotiate an agreement within the approved budget of \$276,000.

Attachment

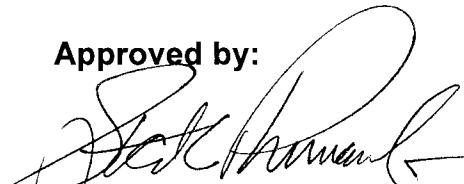
None.

Prepared by:



Dipak Roy, P.E.
Senior Project Manager
(714) 560-5863

Approved by:



Stanley G. Phernambucq
Executive Director,
Construction & Engineering
(714) 560-5440



BOARD COMMITTEE TRANSMITTAL

November 14, 2005

To: Members of the Board of Directors
From: ^{WK} Wendy Knowles, Clerk of the Board
Subject Purchase Order for Property Insurance Policy

Finance and Administration Committee

October 20, 2005

Present: Directors Wilson, Duvall, Correa, Ritschel and Cavecche
Absent: Directors Campbell and Silva

Committee Vote

This item was passed by all Committee Members present.

Committee Recommendation

Authorize the Chief Executive Officer to issue Purchase Order 05-73180, in the amount not to exceed \$200,000, for the purchase of property insurance on behalf of the Orange County Transportation Authority for the period of December 01, 2005, to November 30, 2006.



October 20, 2005

To: Finance and Administration Committee
From: Arthur T. Leahy, Chief Executive Officer
Subject: Purchase Order for Property Insurance Policy

Overview

The Orange County Transportation Authority has a property insurance policy with Fireman's Fund Insurance Company. This policy is scheduled to expire on November 30, 2005.

Recommendations

Authorize the Chief Executive Officer to issue Purchase Order 05-73180, in the amount not to exceed \$200,000, for the purchase of property insurance on behalf of the Orange County Transportation Authority for the period of December 01, 2005, to November 30, 2006.

Background

The Orange County Transportation Authority (OCTA) currently owns buildings, contents, and buses with an insurable value of \$411,317,561. OCTA purchases insurance to protect OCTA property from accidental loss. OCTA is currently insured with Fireman's Fund for an annual premium of \$164,067, which is based on the stated property values of \$388,075,644, determined at the time this policy was purchased in November 2004.

The 91 Express Lanes are insured under a separate insurance policy.

Discussion

Insurance companies determine property insurance quotes based upon current insurance market conditions affecting rates per \$100 in property values and the total value of property to be insured. The current rate with the incumbent insurance carrier, Fireman's Fund is .0423 per \$100 of OCTA property value or \$164,067 which includes property coverage for OCTA's bus fleet and

non-revenue vehicles. Due to the large number of insured vehicles included in this policy, special insurance conditions and deductibles are applied to the OCTA vehicle fleet by size of vehicle.

OCTA has purchased property insurance at very reasonable rates in recent years due to a favorable loss history and a long relationship with Fireman's Fund. Although the overall property insurance market has softened, Fireman's Fund and other insurers have recently sustained some underwriting losses from their property policies in the Gulf Coast region that may affect property insurance premium renewal quotes.

OCTA's Broker of Record, Marsh Risk and Insurance Services (Marsh) is surveying the market to competitively obtain the lowest quotes.

Fiscal Impact

Funds in the amount of \$116,666, are available in the fiscal year 2005-06 budget and \$83,334, will be requested in the fiscal year 2006-07 budget.

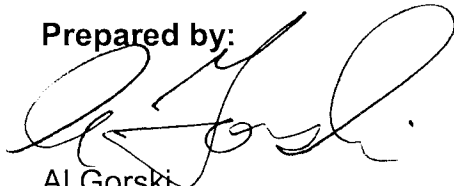
Summary

Marsh Risk and Insurance Services, Broker of Record under Agreement C-4-0275 for marketing, placement, and administration of property and liability, will obtain competitive quotes from the insurance market and award to the insurance firm providing best pricing and property coverage to Orange County Transportation Authority. Staff recommends the approval of purchase order 05-73180 to compete and purchase property insurance with a not-to-exceed amount of \$200,000, for a coverage period of December 1, 2005, through November 30, 2006.

Attachment

None.

Prepared by:



Al Gorski
Manager
Risk Management
(714) 560- 5817

Approved by:



Kenneth Phipps
Director, Finance, Administration,
and Human Resources
(714) 560-5637



BOARD COMMITTEE TRANSMITTAL

November 14, 2005

To: Members of the Board of Directors
From: Wendy Knowles, Clerk of the Board
Subject: Agreements for Health Services

Finance and Administration Committee

October 20, 2005

Present: Directors Wilson, Duvall, Correa, Ritschel and Cavecche
Absent: Directors Campbell and Silva

Committee Vote

This item was passed by all Committee Members present.

Committee Member Correa was not present to vote on this item.

Committee Recommendations

- A. Authorize the Chief Executive Officer to execute Amendment No. 1 to Agreement C-5-0455 between the Orange County Transportation Authority and Kaiser Foundation Health Plan, Inc., in an amount not to exceed \$450,000, for prepaid medical services through December 31, 2006.
- B. Authorize the Chief Executive Officer to execute Agreement C-5-2860 between the Orange County Transportation Authority and CIGNA Healthcare, in an amount not to exceed \$850,000, for prepaid medical services through December 31, 2006.
- C. Authorize the Chief Executive Officer to execute Agreement C-5-2861 between the Orange County Transportation Authority and CIGNA Healthcare, in an amount not to exceed \$2,800,000, for preferred provider organization medical services through December 31, 2006.



BOARD COMMITTEE TRANSMITTAL

- D. Authorize the Chief Executive Officer to execute Amendment No. 1 to Agreement C-5-0458 between the Orange County Transportation Authority and SmileSaver, in an amount not to exceed \$13,000, for prepaid dental services through December 31, 2007.
- E. Authorize the Chief Executive Officer to execute Agreement C-5-2862 between the Orange County Transportation Authority and Metropolitan Life Insurance Company, in an amount not to exceed \$880,000, for preferred provider organization dental services through December 31, 2007.
- F. Authorize the Chief Executive Officer to execute Amendment No. 1 to Agreement C-4-0108 between the Orange County Transportation Authority and Vision Service Plan, in an amount not to exceed \$50,000, for vision services through December 31, 2006.
- G. Authorize the Chief Executive Officer to execute Amendment No. 1 to Purchase Order C-4-0081 between the Orange County Transportation Authority and Jefferson Pilot Life Insurance Company, in an amount not to exceed \$50,000, for life and accidental death and dismemberment insurance through December 31, 2006.
- H. Authorize the Chief Executive Officer to execute Amendment No. 1 to Purchase Order C-4-0082 between the Orange County Transportation Authority and Jefferson Pilot Life Insurance Company, in an amount not to exceed \$36,000, for long-term disability insurance through December 31, 2006.
- I. Amend the FY 2006 Personnel and Salary Resolution to provide for the new employee contribution amounts for health care benefits, effective January 1, 2006.



October 20, 2005

To: Finance and Administration Committee
From: Arthur T. Leahy, Chief Executive Officer
Subject: Agreement for Health Services

Overview

The Orange County Transportation Authority presently has agreements with various companies to provide medical, dental, vision, life insurance and disability services for administrative employees and employees represented by the Transportation Communications Union.

Recommendations

- A. Authorize the Chief Executive Officer to execute Amendment No. 1 to Agreement C-5-0455 between the Orange County Transportation Authority and Kaiser Foundation Health Plan, Inc., in an amount not to exceed \$450,000, for prepaid medical services through December 31, 2006.
- B. Authorize the Chief Executive Officer to execute Agreement C-5-2860 between the Orange County Transportation Authority and CIGNA Healthcare, in an amount not to exceed \$850,000, for prepaid medical services through December 31, 2006.
- C. Authorize the Chief Executive Officer to execute Agreement C-5-2861 between the Orange County Transportation Authority and CIGNA Healthcare, in an amount not to exceed \$2,800,000, for preferred provider organization medical services through December 31, 2006.
- D. Authorize the Chief Executive Officer to execute Amendment No. 1 to Agreement C-5-0458 between the Orange County Transportation Authority and SmileSaver, in an amount not to exceed \$13,000, for prepaid dental services through December 31, 2007.
- E. Authorize the Chief Executive Officer to execute Agreement C-5-2862 between the Orange County Transportation Authority and

Metropolitan Life Insurance Company, in an amount not to exceed \$880,000, for preferred provider organization dental services through December 31, 2007.

- F. Authorize the Chief Executive Officer to execute Amendment No. 1 to Agreement C-4-0108 between the Orange County Transportation Authority and Vision Service Plan, in an amount not to exceed \$50,000, for vision services through December 31, 2006.
- G. Authorize the Chief Executive Officer to execute Amendment No. 1 to Purchase Order C-4-0081 between the Orange County Transportation Authority and Jefferson Pilot Life Insurance Company, in an amount not to exceed \$50,000, for life and accidental death and dismemberment insurance through December 31, 2006.
- H. Authorize the Chief Executive Officer to execute Amendment No. 1 to Purchase Order C-4-0082 between the Orange County Transportation Authority and Jefferson Pilot Life Insurance Company, in an amount not to exceed \$36,000, for long-term disability insurance through December 31, 2006.
- I. Amend the fiscal year 2006 Personnel and Salary Resolution to provide for the new employee contribution amounts for health care benefits, effective January 1, 2006.

Background

Medical Services

Orange County Transportation Authority (OCTA) has offered three choices of medical plans to its employees and their families since 1981. In addition to the self-funded preferred provider organization (PPO) plan, OCTA currently offers two health maintenance organization (HMO) plans, Kaiser Foundation Health Plan, Inc. (Kaiser) and Health Net, Inc. (Health Net). On May 23, 2005, the Board of Directors (Board) approved new agreements with Kaiser and Health Net for the period July 1, 2005, through June 30, 2006.

Dental Services

OCTA has also offered two choices of dental plans to its employees and their families since 1981. In addition to the self-funded PPO plan, OCTA currently offers one prepaid dental plan, SmileSaver. On May 23, 2005, the Board

approved a new agreement with SmileSaver for the period July 1, 2005, through June 30, 2007.

Vision Services

Vision Service Plan (VSP) has been under contract with OCTA since 1984 to provide a vision care program for employees enrolled in OCTA's Self-Funded Medical Plan and the Health Net plan. Effective August 1993, OCTA self-funded the vision care program with VSP administering the claims. On June 14, 2004, the Board approved a new agreement with VSP for the period July 1, 2004, through June 30, 2006.

Life and Disability Insurances

To provide for the employee's financial security and for OCTA to be competitive in the labor market, life insurance, accidental death and dismemberment (AD&D), and long-term disability coverages are purchased. Long-term disability provides financial protection to an employee by paying a portion of his income while disabled for an extended period of time. On June 14, 2004, the Board approved policies with Jefferson Pilot Life Insurance Company (Jefferson Pilot) to provide life, AD&D and long-term disability coverages for the period July 1, 2004, through June 30, 2006.

Health Care Changes

On July 1, 2005, OCTA made changes to the Health Care Program. Some of these changes included unbundling the medical and dental plans and allowing employees to have a choice of dental plan, changing plan design of the PPO medical plan to encourage employees and their families to use providers in the network instead of out-of-network, changing the plan design of the PPO dental plan to encourage employees and their families to maintain their health by providing a higher co-insurance for preventive care, and changing the contribution amounts by OCTA and employees to provide more equity among the plans and increase the employee share.

Health care meetings have continued over the past several months with OCTA's Broker of Record, Mercer Human Resource Consulting (Mercer), to develop a three year strategy in the Health Care Program (Attachment A). In moving forward with the next phase of the strategy, OCTA requested Mercer to market the medical and dental services to replace the self-funded medical and dental plans for a January 1, 2006, effective date and to change the period on all agreements from a fiscal year basis to a calendar year basis.

Discussion

These procurements were handled as a competitive negotiated procurement by Mercer. A Request for Proposals was e-mailed to six carriers for medical services and 12 carriers for dental services.

On September 1, 2005, offers were received from four medical carriers and four dental carriers. A committee comprised of representatives from the Finance, Administration and Human Resources Division met with Mercer to evaluate these health care options. The committee considered the following factors in determining the best proposal: cost, network, benefit plan flexibility, performance standards and guarantees, offerors qualifications and experience, and finalist interview/presentation.

Medical Services

Kaiser has agreed to extend to December 31, 2006, the rates that are currently guaranteed through June 30, 2006, at no increase to OCTA (Attachment B).

It was more cost effective for OCTA to solicit proposals from the carriers for both a PPO plan and a HMO plan. Mercer received proposals from Blue Cross, Health Net, Blue Shield, and CIGNA Healthcare (CIGNA). Blue Cross had the highest cost and would not respond to requests for additional information. The committee short-listed the carriers to Blue Shield, Health Net and CIGNA, and invited them for interviews.

The committee ranked Health Net third because they did not disclose their PPO discounts, had the largest PPO disruption at 39 percent, could not match the benefits of the self-funded PPO plan, would not agree to performance standards and guarantees, is rated B++ by Best Rating, and did not interview as well as CIGNA and Blue Shield. CIGNA had the lowest cost and Blue Shield had the highest cost of the three carriers (Attachment B). Blue Shield had the lowest PPO provider disruption at 6 percent and CIGNA had a PPO provider disruption of 24 percent. Of the current non-PPO providers, CIGNA includes 75 percent of this group in their network and Blue Shield includes 67 percent in their network.

There will be, therefore, more providers that the self-funded medical plan participants currently use, in the CIGNA and Blue Shield networks than in the current Orange County Preferred Provider Organization (OCPPO) network. This will benefit employees and lower costs for OCTA because more claims will be processed in-network rather than out-of-network. CIGNA was able to match the self-funded PPO plan benefits better than Blue Shield. While both CIGNA and Blue Shield provided performance guarantees, CIGNA was willing to risk

\$40,000, of their premiums based on OCTA's business. Blue Shield was willing to risk 1.8 percent of the premiums, but the performance guarantees were based on their entire book of business, not OCTA's business. Both CIGNA and Blue Shield had very good disease management and wellness programs, are ranked A- by Best Rating and provided very good presentations. The committee ranked Blue Shield second and CIGNA first for having the best proposal. CIGNA is agreeable to a three year contract with the health plan rates reviewed each year. A comparison of CIGNA's proposed plan design with that of the current self-funded plan is provided in Attachment C.

Dental Services

SmileSaver has agreed to extend to December 31, 2007, the rates that are currently guaranteed through June 30, 2007, at no increase to OCTA (Attachment B).

Mercer received proposals for dental services from Blue Shield, CIGNA, Delta Dental and Metropolitan Life Insurance Company (MetLife). Delta Dental's proposed rates were 10 percent higher than MetLife's. Since it was cost effective for OCTA to solicit proposals for both the medical HMO and PPO plans, it was hoped that it might be cost effective to have the same carrier for both medical and dental services. The committee, therefore, short-listed the carriers to Blue Shield, CIGNA, and MetLife, and invited them for interviews.

All of the carriers were willing to match the self-funded plan benefits and interviewed very well. MetLife had the lowest cost compared to CIGNA and Blue Shield, and would guarantee their rates for two years (Attachment B). MetLife also provided a 1 percent of premium performance guarantee which Blue Shield and CIGNA were not willing to provide. MetLife had the least PPO provider disruption at 32 percent compared to CIGNA at 56 percent and Blue Shield at 63 percent. The committee ranked the dental carriers as CIGNA third, Blue Shield second, and MetLife as the best.

Although MetLife had a provider disruption rate of 32 percent, employees will still be able to select and visit the dentist of their choice with a 20 percent co-insurance for major treatment. Employees visiting out-of-network dentists will be required to pay 20 percent of non-contracted benefits, whereas those visiting in-network dentists will pay 20 percent of contracted benefit costs.

Vision Services

Vision Service Plan has agreed to extend to December 31, 2006, the administration and network rate that is currently guaranteed through

June 30, 2006, at no increase to OCTA. The current administration and network rate is \$1.84 per employee per month.

Life and Disability Insurances

Jefferson Pilot has agreed to extend to December 31, 2006, the life, AD&D, and long-term disability rates that are currently guaranteed through June 30, 2006, at no increase to OCTA. The current life insurance rate is \$0.16 per \$1,000, of coverage and the AD&D rate is \$0.03 per \$1,000, of coverage. The current long-term disability rate is \$0.30 per \$100, of salary.

Financial Impact

Converting from OCTA's self-insured medical and dental plans to the fully insured plans offered by CIGNA and MetLife will save OCTA approximately \$844,000, per year. This is calculated by comparing OCTA's current medical and dental costs of \$4.70 million for fiscal year (FY) 2006 with the proposed amounts quoted by CIGNA and MetLife, which total approximately \$3.86 million.

Over the past several years, health care benefit costs have been increasing by an average of 15 percent per year. In an effort to control these costs, changes were made to the plan design benefits. As a result, OCTA was able to secure an increase of only 5 percent for FY 2006.

The recommended conversion to CIGNA and MetLife will reduce total health care costs by \$844,000, or a decline of 17.9 percent from the current levels. While health care costs continue to increase throughout the nation, this 17.9 percent decline will provide a new lower basis against which future health care cost increases will be applied.

Employee Contributions

Employee contribution levels were changed for FY 2006. In an effort to establish equitable rates for employees, a percentage amount based upon the cost of the plan selected was used as the basis for determining the contribution rate paid by employees. For those employees with no dependents, a 10 percent contribution was set. For employees who selected dependent coverage, a 15 percent rate was established. This translated into the dollar amounts shown in Attachment D.

In an effort to mitigate the impact of changing providers and plan benefits on employees, it is recommended that the dollar amounts currently contributed by

employees remain in effect throughout calendar year 2006. The monthly costs of the recommended providers and proposed employee contribution levels are provided in Attachment E. In most cases, the dollar amounts currently contributed by employees represent an increased percentage of the new premiums.

The proposed changes to employee contributions will result in a mid-year change to Section 19. Life, Accident, and Health Insurance Benefits in the fiscal year 2006 Personnel and Salary Resolution. The current percentage amount the employee pays would be deleted and instead the amount the employee pays would be based on the difference between the total plan premium and the OCTA contribution rates approved by the Board of Directors shown in Attachment F.

Fiscal Impact

For fiscal year 2005-06, funds of \$2,045,000, are available for the new health plans that are effective January 2006, in the departmental operating budget, account 0042-Health Internal Service Fund – Administrative. There will be a budget savings of about \$800,000, from the current plans.

Summary

Based on the information provided, staff recommends approval of agreements with Kaiser, CIGNA, SmileSaver, MetLife, Vision Service Plan and Jefferson Pilot to provide continuity of health coverages for the employees and their families.

Attachments

- A. Orange County Transportation Authority Three Year Health Care Strategy
- B. Orange County Transportation Authority Health Premiums
- C. Medical Plan Design Discrepancies – CIGNA
- D. Current Employee Contributions
- E. Proposed Plan Rates and Contributions Effective January 1, 2006
- F. Current OCTA Contribution Rates
- G. Fact Sheet Kaiser Foundation Health Plan, Inc., Agreement C-5-0455
- H. Fact Sheet SmileSaver, Agreement C-5-0458
- I. Fact Sheet Vision Service Plan, Agreement C-4-0108
- J. Fact Sheet Jefferson Pilot Life Insurance Company, Agreement C-4-0081
- K. Fact Sheet Jefferson Pilot Life Insurance Company, Agreement C-4-0082

Prepared by:



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(714) 560-5811

Approved by:



Kenneth Phipps
Director, Finance, Administration and
Human Resources
(714) 560-5678

**ORANGE COUNTY TRANSPORTATION AUTHORITY
THREE YEAR HEALTH CARE STRATEGY**

Initiative	Reviewed in 2005	Implemented In 2005	Change In 2006	Potential Change In 2007	Potential Change In 2008
Re-Structure Current Plans <ul style="list-style-type: none"> Unbundle medical and dental plans Change self-funded plans to fully insured Consolidate medical plans to a single carrier, if cost effective Implement deeper discount PPO networks 	Yes	Yes	Yes* Yes* Yes*		
Plan Design/Benefit Modifications	Yes	Yes, minor changes	Yes	Yes	
Employee Contribution Amounts and Structure	Yes	Yes		Yes	
Cafeteria Plans/Flex Credits	Yes				
Health Management Programs <ul style="list-style-type: none"> Expanded disease management programs Health risk appraisals Wellness programs for general population Lifestyle interventions/participation incentives 	Yes		Yes Yes	Yes	Yes
Consumer Support <ul style="list-style-type: none"> Employee communications Web-based tools Consumerism-focused culture 	Yes		Yes Yes Yes	Yes Yes Yes	Yes Yes Yes
Consumer-Directed Health Plans <ul style="list-style-type: none"> HRA Based Plan 	Yes			Yes	Yes

* Pending Board Approval

ORANGE COUNTY TRANSPORTATION AUTHORITY HEALTH PREMIUMS

MEDICAL



Current Premium Rates

Proposed Premium Rates for Calendar Year 2006

	<u>Kaiser</u>	<u>Health Net</u>	<u>Self-Funded</u>	<u>CIGNA HMO</u>	<u>Blue Shield HMO</u>	<u>Health Net HMO</u>	<u>CIGNA PPO</u>	<u>Blue Shield PPO</u>	<u>Health Net PPO</u>	<u>Kaiser</u>
Employee Only	\$253.39	\$242.58	\$551.25	\$252.48	\$262.82	\$269.29	\$422.19	\$447.62	\$433.68	253.39
Two-Party	\$506.78	\$521.52	\$1,102.50	\$542.83	\$565.07	\$578.94	\$907.71	\$962.37	\$932.40	506.78
Family	\$717.09	\$715.53	\$1,601.25	\$732.19	\$762.19	\$794.31	\$1,224.36	\$1,298.09	\$1,257.66	717.09

DENTAL



Current Premium Rates

Proposed Premium Rates for Calendar Year 2006

	<u>SmileSaver</u>	<u>Self-Funded</u>	<u>MetLife</u>	<u>CIGNA</u>	<u>Blue Shield</u>	<u>SmileSaver</u>
Employee Only	\$10.35	\$60.66	\$49.95	\$52.58	\$50.81	\$10.35
Two-Party	\$16.00	\$121.32	\$107.39	\$113.36	\$99.62	\$16.00
Family	\$21.00	\$183.35	\$144.19	\$170.36	\$157.70	\$21.00

ATTACHMENT B

Medical Plan Design Discrepancies - CIGNA

PPO PLAN	Current Plan Details		Discrepancy
	PPO Provider	Non-PPO Provider	
Medical Plan Deductible	\$250 per person (per calendar year) \$750 per family (per calendar year)	\$250 per person (per calendar year) \$750 per family (per calendar year)	
Hospital Maximum	Unlimited Days	Unlimited Days	
Hospital Room and Board, Intensive Care Unit, Miscellaneous Charges	80% of UCR* to \$3,500 Semi-Private Room: After deductible	60% of UCR to \$3,500, 100% of UCR* thereafter Semi-Private Room: after deductible	80%/60% OOP Max IN- \$1,500 Individual (2x Out of Network) \$3,000 Family (2x Out of Network) Please note that CIGNA IN-network is Fee schedule and OON is UCR
Convalescent Hospital	80% of UCR after deductible Skilled Nursing Care: 180 days per Benefit Period	60% of UCR after deductible Skilled Nursing Care: 180 days per Benefit Period	60 days per calendar year
Inpatient Mental Health	80% of UCR after deductible	60% of UCR after deductible	In-network: 80% after \$50 per day copay and plan deductible; 30 days combined maximum per calendar year. Out-of-network: 60% after \$50 per day copay and plan deductible; 30 days combined maximum per calendar year.
Maternity Normal Delivery Miscarriage and Cesarean Complications	80% of UCR after deductible	60% of UCR after deductible	
DOCTOR'S CHARGES			
Primary & Assistant Surgeon, Anesthesiologist, Radiotherapy	80% of UCR after deductible	60% of UCR after deductible	Same
Doctor's Calls Home Hospital Office	80% of UCR after deductible	60% of UCR after deductible	Same
X-Ray & Lab (Out-of-Hospital)	100% up to \$100 per person per calendar year; thereafter, 80% of UCR after deductible	100% up to \$100 per person per calendar year; thereafter, 80% of UCR after deductible	80% after plan deductible in network; 60% after plan deductible out-of-network- No limit
Psychiatric Care, Hospital Calls	80% of UCR after deductible	Non-PPO Provider: 60% of UCR after deductible	
Outpatient Mental Health	80% of UCR after deductible	60% of UCR after deductible	In-network: 80% after plan deductible and \$50 per day copay. Out-of-network: 60% after plan deductible and \$50 per day copay.
Obstetrics, Normal Delivery, Miscarriage and Cesarean Ectopic & Complications	80% of UCR after deductible	60% of UCR after deductible	

Medical Plan Design Discrepancies - CIGNA

PPO PLAN	Current Plan Details		Discrepancy
	PPO Provider	Non-PPO Provider	
Well Baby Care	80% of UCR after deductible Up to age two (2) years; maximum of \$300 per year between ages two and six	60% of UCR after deductible Up to age two (2) years; maximum of \$300 per year between ages two and six	80%/60% up to age 16- No limit
Renal Dialysis	80% of UCR after deductible	60% of UCR after deductible	
Organ Transplants	PPO Provider: 80% of UCR after deductible	Non-PPO Provider: 60% of UCR after deductible	80% after plan deductible In-Network coverage only in one of our Centers of Excellence
Routine Physical Exams	80% of UCR after deductible Limited coverage	60% of UCR after deductible Limited coverage	For children through age 16, 80% after plan deductible in-network, 60% out-of-network. No charge after plan deductible in-network only for adults from age 17 limit \$250 per year.
Physical, Occupational or Speech Therapy	80% of UCR after deductible	60% of UCR after deductible	
Immunizations (Specific)	No coverage	No coverage	For children through age 16, 80% after plan deductible in-network, 60% out-of-network. No charge after plan deductible in-network only for adults from age 17 - limit \$250 per year.
Allergy Test/Treatment	80% of UCR after deductible	60% of UCR after deductible	
Serum	80% of UCR after deductible	60% of UCR after deductible	
Injectible Medicine	80% of UCR after deductible	60% of UCR after deductible	
Family Planning, Birth Control Pills/IUDs	80% of UCR after deductible	60% of UCR after deductible	
Tubal Ligation	80% of UCR after deductible	60% of UCR after deductible	
Vasectomy	80% of UCR after deductible	60% of UCR after deductible	
Interrupted Pregnancy	80% of UCR after deductible No coverage unless life is in danger	60% of UCR after deductible No coverage unless life is in danger	
Alcoholism and Drug Abuse	80% of UCR after deductible	60% of UCR after deductible	
OTHER CHARGES			
Prescription Drugs	Generic: 80% of UCR Brand Name: 70% of UCR	Generic: 80% of UCR Brand Name: 60% of UCR	\$10/\$20/\$40 in-network coverage only
Aids & Appliances	80% of UCR after deductible	60% of UCR after deductible	
Durable Medical Equipment	80% of UCR after deductible	60% of UCR after deductible	Unlimited
Ambulance (Local)	80% of UCR after deductible	60% of UCR after deductible	
Private Nurse, RN (Home)	80% of UCR after deductible	60% of UCR after deductible	
Blood & Plasma	80% of UCR after deductible	60% of UCR after deductible	
Chiropractic Care	80% of UCR after deductible	60% of UCR after deductible	
Routine Podiatric Care	No coverage	No coverage	
Home Health Care	No coverage	No coverage	Same

Medical Plan Design Discrepancies - CIGNA

PPO PLAN	Current Plan Details		Discrepancy
	PPO Provider	Non-PPO Provider	
EMERGENCY BENEFITS			
Emergency In- and-Out-of-Area Benefits	80% of UCR after deductible To \$500 of UCR incurred within 90 days of an accident; no deductible thereafter	60% of UCR after deductible To \$500 of UCR incurred within 90 days of an accident; no deductible thereafter	80% after deductible; except out-of-network 60% after deductible if not true emergency. \$100 deductible applies.
SPECIAL RESTRICTIONS			
Hospitalization for Diagnostic Purposes	80% of UCR after deductible	60% of UCR after deductible	
Third-Party Liability	Benefits assigned, or must be reimbursed	Benefits assigned, or must be reimbursed	

* UCR – Usual, Customary and Reasonable Charges.

NOTE: Under the Self-Funded plan, some surgeries are required to be done on an out-patient basis or require a second opinion to determine the need for surgery. If not followed, there may be a reduction in benefits. See Plan Document for details.

NOTE: The Self-Funded Plan provides up to \$2,000,000 of medical benefits during each person's lifetime. At the beginning of each calendar year, any previously used portion of a covered person's full maximum amount will automatically be reinstated for future charges to the extent of the lesser \$1,000 per year or the amount needed to reinstate the full maximum amount.

CIGNA is unlimited on the Open Access Plus Plan

Medical Plan Design Discrepancies - CIGNA

HMO PLAN	Current Plan Details	Discrepancy
Medical Plan Deductible	No deductible applied	
Hospital Maximum	Unlimited days	
Hospital Room and Board, Intensive Care Unit, Miscellaneous Charges	Full coverage – after \$500 admit copay (no limit)	
Convalescent Hospital	Full coverage after \$500 copay Skilled nursing care – 100 days per calendar year	
Inpatient Mental Health	Non-Severe Mental Health*: full coverage, 30-day maximum per calendar year Severe Mental Health*: no maximum days limit	\$50 copay per day, up to 25 days per contract year
Maternity		
Normal Delivery	Full coverage after \$500 copay	
Miscarriage	Full coverage after \$500 copay	
Cesarean Complications	Full coverage after \$500 copay	
DOCTOR'S CHARGES		
Primary & Assistant Surgeon	Full coverage	
Anesthesiologist, Radiotherapy		
Doctor's Calls		
Home	\$40 copay per home visit	
Hospital	Full coverage	
Office	\$20 copay per office visit	
X-Ray & Lab (Out-of-Hospital)	Full coverage	
Psychiatric Care, Hospital Calls	Full coverage	\$50 per day, up to 25 days per contract year
Outpatient Mental Health	Non-Severe Mental Health*: Individual session: \$20 copay/visit, Group session: \$10 copay/visit; limited to 20 visits per calendar year Severe Mental Health*: \$20 copay/no limit; unlimited visits	\$30 copay per visit, up to 20 visits per contract year \$15/ 40v for group therapy
Obstetrics, Normal Delivery, Miscarriage and Cesarean Ectopic & Complications	\$20 copay per prenatal visit Full coverage for doctor's charges in hospital	
Well Baby Care	\$20 copay per office visit	

Medical Plan Design Discrepancies - CIGNA

HMO PLAN	Current Plan Details	Discrepancy
Renal Dialysis	Outpatient: \$20 copay per office visit Inpatient: Full coverage	
Organ Transplants	Full coverage when authorized by your Health Net physician (excludes experimental procedures)	
Routine Physical Exams	\$20 copay per office visit for periodic health exams as directed by PCP	
Physical, Occupational or Speech Therapy	\$20 copay per office visit	
Immunizations (Specific)	Full Coverage 20% copay for occupational or foreign travel	
Allergy Test/Treatment	Full coverage	
Serum	Full coverage	
Injectible Medicine	Full coverage (50% limit on infertility)	
Family Planning, Birth Control Pills/IUDs	Covered under Prescription Drug Benefit IUD insertion and removal \$20 copay (device not covered)	Covered under Prescription Drug Benefit
Tubal Ligation	\$150 copay	
Vasectomy	\$50 copay	
Interrupted Pregnancy	\$150 copay for elective abortion (paid in full if medically necessary)	
Alcoholism and Drug Abuse	Individual session: \$20 copay/visit Group session: \$10 copay/visit; limited to 20 visits per calendar year	Individual Session: \$30 copay/visit, 20 visit max. Group Session: \$15 copay/visit, 40 visit max
OTHER CHARGES		
Prescription Drugs	\$10 copay for generic \$20 copay for brand name Up to 30-day supply Non-formulary: see Recommended Drug List	\$10 copay for generic \$20 copay for brand name \$40 copay for non-preferred brand names Up to 30-day supply
Aids & Appliances	Full coverage (when medically necessary and authorized by your Health Net physician)	
Durable Medical Equipment	Full coverage (when medically necessary and authorized by your Health Net physician)	No charge \$3,500 max per contract year

Medical Plan Design Discrepancies - CIGNA

HMO PLAN	Current Plan Details	Discrepancy
Ambulance (Local)	Full coverage (when medically necessary and authorized by your Health Net physician)	
Private Nurse, RN (Home)	Full coverage when authorized by your Health Net physician; \$20 copay starts the 31st calendar day after the first visit	
Blood & Plasma	Full coverage	
Chiropractic Care	No coverage	
Routine Podiatric Care	No coverage	
Home Health Care	Full coverage when authorized by your Health Net physician; \$20 copay starts the 31st calendar day after the first visit	Full coverage 60 days per contract year with a 16 hour per day limit
EMERGENCY BENEFITS		
Emergency In- and-Out-of-Area Benefits	\$100 copay per emergency room visit (authorized); copay waived if admitted <i>Emergency defined: the occurrence of an unforeseen injury or acute illness requiring immediate attention and which is life-threatening. Use of the emergency room without prior authorization except for life threatening emergencies is not covered. Member must notify member's physician group as soon as possible.</i>	
SPECIAL RESTRICTIONS		
Hospitalization for Diagnostic Purposes	Full coverage after \$500 copay (when authorized by your Health Net physician)	
Third-Party Liability	Benefits assigned, or must be reimbursed to member's Physician Group.	

* Refer to Disclosure and Summary of Benefits for definitions

Note: When copayments made by a member during any calendar year meet the annual copayment maximum, no further copayments will be required for services received during the remainder of the calendar year. Member must present receipts as proof.

Health Net Annual Maximum: Individual – \$1,500; Employee plus one dependent – \$3,000; Family – \$4,500

CIGNA Annual Maximum : Individual- \$1,500 and Family \$4,500

Current Employee Contributions

Plan	Monthly Premium		Employee Share (%)
	Plan Cost	Current Employee Contributions	
Kaiser HMO			
Employee Only	\$ 253.39	\$ 25.34	10%
Two-Party	\$ 506.78	\$ 76.02	15%
Family	\$ 717.09	\$ 107.56	15%
HMO Plan			
Employee Only	\$ 242.58	\$ 24.26	10%
Two-Party	\$ 521.52	\$ 78.23	15%
Family	\$ 715.53	\$ 107.33	15%
PPO Medical Plan			
Employee Only	\$ 551.25	\$ 55.13	10%
Two-Party	\$ 1,102.50	\$ 165.38	15%
Family	\$ 1,601.25	\$ 240.19	15%
SmileSaver DMO			
Employee Only	\$ 10.35	\$ 1.04	10%
Two-Party	\$ 16.00	\$ 2.40	15%
Family	\$ 22.00	\$ 3.30	15%
PPO Dental Plan			
Employee Only	\$ 60.66	\$ 6.07	10%
Two-Party	\$ 121.32	\$ 18.20	15%
Family	\$ 183.35	\$ 27.50	15%
Vision Plan			
Employee Only	\$ 11.34	\$ 1.13	10%
Two-Party	\$ 22.68	\$ 3.40	15%
Family	\$ 32.40	\$ 4.86	15%

Proposed Plan Rates and Contributions
Effective January 1, 2006

Plan	Monthly Premium		Employee Share (%)
	Plan Cost	Proposed Employee Contribution	
Kaiser HMO			
Employee Only	\$ 253.39	\$ 25.34	10%
Employee + 1 Dependent	\$ 506.78	\$ 76.02	15%
Employee + Family	\$ 717.09	\$ 107.56	15%
CIGNA HMO			
Employee Only	\$ 252.48	\$ 24.26	10%
Employee + 1 Dependent	\$ 542.83	\$ 78.23	14%
Employee + Family	\$ 732.19	\$ 107.33	15%
CIGNA PPO Medical			
Employee Only	\$ 422.19	\$ 55.13	13%
Employee + 1 Dependent	\$ 907.71	\$ 165.38	18%
Employee + Family	\$ 1,224.36	\$ 240.19	20%
SmileSaver			
Employee Only	\$ 10.35	\$ 1.04	10%
Employee + 1 Dependent	\$ 16.00	\$ 2.40	15%
Employee + Family	\$ 22.00	\$ 3.30	15%
MetLife PPO Dental			
Employee Only	\$ 49.95	\$ 6.07	12%
Employee + 1 Dependent	\$ 107.39	\$ 18.20	17%
Employee + Family	\$ 144.19	\$ 27.50	19%
Vision Service Plan			
Employee Only	\$ 11.34	\$ 1.13	10%
Employee + 1 Dependent	\$ 22.68	\$ 3.40	15%
Employee + Family	\$ 32.40	\$ 4.86	15%

Current OCTA Contribution Rates

Plan	Monthly Contribution Funded by OCTA	
Kaiser HMO		
Employee Only	\$	228.05
Employee + 1 Dependent	\$	430.76
Employee + Family	\$	609.53
CIGNA HMO		
Employee Only	\$	228.22
Employee + 1 Dependent	\$	464.60
Employee + Family	\$	624.86
CIGNA PPO Medical		
Employee Only	\$	367.06
Employee + 1 Dependent	\$	742.33
Employee + Family	\$	984.17
SmileSaver DMO		
Employee Only	\$	9.31
Employee + 1 Dependent	\$	13.60
Employee + Family	\$	18.70
MetLife PPO Dental		
Employee Only	\$	43.88
Employee + 1 Dependent	\$	89.19
Employee + Family	\$	116.69
Vision Service Plan		
Employee Only	\$	10.21
Employee + 1 Dependent	\$	19.28
Employee + Family	\$	27.54

**Fact Sheet
Kaiser Foundation Health Plan, Inc.
Agreement C-5-0455**

1. May 23, 2005, Agreement C-5-0455, \$850,000, approved by Board of Directors.
 - To provide prepaid medical services for OCTA's Administrative employees and employees represented by Transportation Communications Union for the period July 1, 2005 through June 30, 2006.
2. October 20, 2005, Amendment No. 1 to Agreement C-5-0455, \$450,000, pending approval by Board of Directors.
 - To extend the termination date to December 31, 2006.

Total committed to Kaiser Foundation Health Plan, Inc., Agreement C-5-0455 for the amount of \$1,300,000.

**Fact Sheet
SmileSaver
Agreement C-5-0458**

1. May 23, 2005, Agreement C-5-0458, \$105,000, approved by Board of Directors.
 - To provide prepaid dental services for OCTA's Administrative employees and employees represented by Transportation Communications Union for the period July 1, 2005 through June 30, 2007.
2. October 20, 2005, Amendment No. 1 to Agreement C-5-0458, \$13,000, pending approval by Board of Directors.
 - To extend the termination date to December 31, 2007.

Total committed to SmileSaver., Agreement C-5-0458 for the amount of \$118,000.

**Fact Sheet
Vision Service Plan
Agreement C-4-0108**

1. June 14, 2004, Agreement C-4-0108, \$190,000, approved by Board of Directors.
 - To provide vision services for OCTA's Administrative employees and employees represented by Transportation Communications Union for the period July 1, 2004, through June 30, 2006.
2. October 20, 2005, Amendment No. 1 to Agreement C-4-0108, \$50,000, pending approval by Board of Directors.
 - To extend the termination date to December 31, 2006.

Total committed to Vision Service Plan., Agreement C-4-0108 for the amount of \$240,000.

**Fact Sheet
Jefferson Pilot Life Insurance Company
Agreement C-4-0081**

1. June 14, 2004, Agreement C-4-0081, \$350,000, approved by Board of Directors.
 - To provide life insurance and accidental death and dismemberment policies for OCTA's Administrative employees and employees represented by Transportation Communications Union for the period July 1, 2004, through June 30, 2006.

2. October 20, 2005, Amendment No. 1 to Agreement C-4-0081, \$50,000, pending approval by Board of Directors.
 - To extend the termination date to December 31, 2006.

Total committed to Jefferson Pilot Life Insurance Company., Agreement C-4-0081 for the amount of \$400,000.

**Fact Sheet
Jefferson Pilot Life Insurance Company
Agreement C-4-0082**

1. June 14, 2004, Agreement C-4-0082, \$225,000, approved by Board of Directors.
 - To provide long-term disability coverage for OCTA's Administrative employees and employees represented by Transportation Communications Union for the period July 1, 2004, through June 30, 2006.
2. October 20, 2005, Amendment No. 1 to Agreement C-4-0082, \$36,000, pending approval by Board of Directors.
 - To extend the termination date to December 31, 2006.

Total committed to Jefferson Pilot Life Insurance Company., Agreement C-4-0082 for the amount of \$261,000.



BOARD COMMITTEE TRANSMITTAL

November 14, 2005

To: Members of the Board of Directors
From: ^{WK} Wendy Knowles, Clerk of the Board
Subject: Amendment to Agreement for Project Management Assistance

Finance and Administration Committee

October 20, 2005

Present: Directors Wilson, Duvall, Correa, Ritschel and Cavecche
Absent: Directors Campbell and Silva

Committee Vote

This item was passed by all Committee Members present.

Committee Recommendation

Authorize the Chief Executive Officer to execute Amendment No. 2 to Agreement C-4-0645 between the Orange County Transportation Authority and KENDA Systems, in an amount not to exceed \$160,000, for project management support.



October 20, 2005

To: Finance and Administration Committee
From: Arthur T. Leahy, Chief Executive Officer
Subject: Amendment to Agreement for Project Management Assistance

Overview

On August 11, 2004, the Board of Directors approved an agreement with KENDA Systems, in the amount of \$200,000, to provide project management support. KENDA Systems was retained in accordance with the Orange County Transportation Authority's procurement procedures for professional and technical services.

Recommendation

Authorize the Chief Executive Officer to execute Amendment No. 2 to Agreement C-4-0645 between the Orange County Transportation Authority and KENDA Systems, in an amount not to exceed \$160,000, for project management support.

Background

The Orange County Transportation Authority (Authority) is in the process of replacing the existing maintenance, inventory and purchasing system with Mincom's Enterprise Asset Management (EAM) system called Ellipse. The project officially began in July 2004 after Mincom was approved by the Board of Directors on May 24, 2004, for \$3,500,000. The replacement system will provide the Authority with a proven state-of-the-art EAM functionality. Ellipse will enhance staff's ability to plan, control, track and account for maintenance, purchasing, and materials management activities. Implementing a new system will also allow for a clean sweep of business practices and replaces them with technology developed for a transit industry increasingly reliant on electronic transactions and information flow.

Due to the complexities of the project and the length of time required to implement Mincom's EAM application, the Authority has dedicated a full-time

staff member to fulfill the role of lead project manager. The lead project manager has been the main point of contact for Mincom's project manager.

The implementation of Mincom's Ellipse software was originally proposed by Mincom at 15 months. The project team includes five key full-time Mincom consultants and a full-time project team of 10 OCTA staff members. To keep pace with the demands of the implementation an assistant project manager was selected to support and report to the Authority's lead project manager.

The assistant project manager has been responsible for supporting the lead project manager in all activities and tasks required to implement the Ellipse application. The added support has allowed the lead project manager more time to concentrate on the contractual and business issues leaving the routine activities for the assistant project manager.

Throughout the project, adjustments to the overall schedule have been made to accommodate an in-depth business requirement and solution design phase, resource constraints and holiday schedules. Recently a project review was conducted between Contracts Administration and Materials Management (CAMM) and Mincom's senior management to assess the project schedule, project risks and Mincom related resource issues. The result of the project review now shows a implementation schedule of 22 months. The project sponsors and the project advisory committee representing Information Systems, CAMM and Maintenance believe extending the schedule is a positive step toward mitigating risks and ensuring a successful cut-over from the old system.

The original intent was to keep the assistant project manager on board for approximately six months following the cut-over to Ellipse to assist staff in refining business procedures and implementing enhanced functions such as advanced contracts administration and barcoding using remote technologies. To accommodate the schedule change, after cut-over support and future adjustments the contract for the assistant project manager needs to be amended.

Discussion

This procurement was originally handled in accordance with the Authority's procedures for professional and technical services. The original agreement was awarded on a competitive basis. It has become necessary to amend the agreement due to an extended project implementation schedule.

Staff requested a price proposal from KENDA Systems, to perform this additional work. The proposal was reviewed by the internal auditor and the cost was found to be fair and reasonable for the work to be performed.

The original agreement awarded on August 23, 2004, was in the amount of \$200,000. This agreement has been amended previously (Attachment A). The total amount after approval of Amendment No. 2 will be \$160,000.

Fiscal Impact

The additional work described in Amendment No. 2 to Agreement C-4-0645 was approved in the Authority's Fiscal Year 2006 Budget, Finance, Administration and Human Resources, Account 1281-7519-IX031-9R7, and is funded through the General Fund.

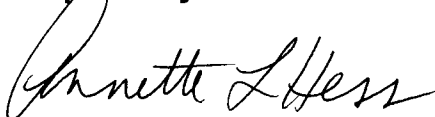
Summary

Based on the material provided, staff recommends approval of Amendment No. 2, in the amount of \$160,000, to Agreement C-4-0645 with KENDA Systems.

Attachment

- A. KENDA Systems Agreement C-4-0645 Fact Sheet.

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Approved by:



Kenneth Phipps
Director, Finance, Administration,
and Human Resources
(714) 560-5637

ATTACHMENT A

**KENDA Systems
Agreement C-4-0645 Fact Sheet**

1. August 11, 2004, Agreement C-4-0645, \$200,000, approved by Board of Directors.
 - To provide project management assistance during the implementation of the Ellipse software package.
2. August 16, 2005, Amendment No. 1 to Agreement C-4-0645 approved by Purchasing Agent.
 - To extend the terms of the agreement 10 months for continued project management services at no increase in the maximum cumulative payment obligation
3. November 14, 2005, Amendment No. 2 to Agreement C-4-0645 pending approval by Board of Directors.
 - To extend the terms of the agreement to December 2006, for continued project management services.
 - To increase the maximum cumulative payment obligation by \$160,000, to cover the extension of project management services.

Total committed to KENDA Systems, Agreement C-4-0645 : \$360,000.



BOARD COMMITTEE TRANSMITTAL

November 14, 2005

To: Members of the Board of Directors
From: Wendy Knowles, Clerk of the Board
Subject: Santa Ana Freeway (Interstate 5) Far North Widening Project Name Change

Legislative and Government Affairs/Public Communications
Committee

November 3, 2005

Present: Directors Wilson, Ritschel, Correa, Rosen, and Buffa
Absent: Directors Silva, Cavecche, and Brown

Committee Vote

This item was passed by all Committee Members present.

Committee Recommendation

Approve changing the name from the Interstate 5 Far North Widening Project to the Interstate 5 Gateway Project in outreach materials.



November 3, 2005

To: Legislative and Government Affairs/Public Communications Committee

From: Arthur T. Leahy, Chief Executive Officer *ATL*

Subject: Santa Ana Freeway (Interstate 5) Far North Widening Project Name Change

Overview

The final section of the Santa Ana Freeway (Interstate 5) to be improved has been internally referred to as the Interstate 5 Far North Project due to its geographic location relative to the other Interstate 5 improvement projects. As outreach efforts are ready to begin, it is recommended the project be named the Interstate 5 Gateway Project.

Recommendation

Approve changing the name from the Interstate 5 Far North Widening Project to the Interstate 5 Gateway Project in outreach materials.

Background

The Santa Ana Freeway (Interstate 5) is Orange County's "Main Street" and runs throughout the County. The Interstate 5 (I-5) has been widened during the past decade in different stages. In order to differentiate between the various improvement projects, in technical documents they were named according to geographic location: El Toro Y/I-5 South, I-5 Central, I-5 North and I-5 Far North.

Discussion

The I-5 Far North Widening Project is scheduled to begin in early 2006. Outreach activities are set to begin shortly to notify the community of the upcoming construction project.

Although this project has been referred to as the I-5 Far North in technical terms, the name has little relevance to community members. As the project is

located at the entrance to both Orange and Los Angeles counties, it is commonly referred to as the gateway, consequently, the City of Buena Park has suggested the project name be changed from the I-5 Far North Widening Project to the I-5 Gateway Project for use in all outreach materials. This term more accurately reflects the nature of the area and is also more appropriate for branding and communications purposes.

Summary

In order to have stronger project identification and name recognition, it is recommended the I-5 Far North Widening Project be renamed the I-5 Gateway Project.

Attachment

None.

Prepared by:

Alice T. Rogan

Alice T. Rogan
Community Relation Officer
(714) 560-5577

Approved by:

Stella Fin for EB

Ellen S. Burton
Executive Director, External Affairs
(714) 560-5923



BOARD COMMITTEE TRANSMITTAL

November 14, 2005

To: Members of the Board of Directors
From: Wendy Knowles, Clerk of the Board
Subject: Amendment to Agreement with Alta Resources to Operate the Customer Information Center

Transit Planning and Operations Committee

Present: Directors Winterbottom, Brown, Silva, Pulido, Dixon, and Duvall
Absent: Director Green

Committee Vote

This item was passed by all Committee Members present.

Committee Vice Chairman Pulido and Committee Member Dixon were not present for this vote.

Committee Recommendation

Authorize the Chief Executive Officer to execute Amendment No. 7 for the third option term to Agreement C-1-1853 between the Orange County Transportation Authority and Alta Resources, Inc., in an amount not to exceed \$1,500,000, for calendar year 2006.



October 27, 2005

To: Transit Planning and Operations Committee
From: ^{ATL/EJ} Arthur T. Leahy, Chief Executive Officer
Subject: Amendment to Agreement with Alta Resources to Operate the Customer Information Center

Overview

On November 8, 2004, the Board of Directors approved the execution of a second option term to the contract with Alta Resources, Inc. to operate the Customer Information Center. The firm was retained in accordance with the Orange County Transportation Authority's procurement procedures for professional services. Staff recommends exercising the third option term for calendar year 2006.

Recommendation

Authorize the Chief Executive Officer to execute Amendment No. 7 for the third option term to Agreement C-1-1853 between the Orange County Transportation Authority and Alta Resources, Inc., in an amount not to exceed \$1,500,000, for calendar year 2006.

Background

The Orange County Transportation Authority's (OCTA) Customer Information Center (CIC) provides transit information to more than 660,000 callers per year. Callers receive bus schedule, bus route itinerary, and general bus information by calling the 714-636-RIDE or 1-800-636-RIDE telephone numbers. To realize private sector efficiencies, the CIC was first outsourced in October 1995. OCTA contracted with Alta Resources to operate the CIC beginning January 1, 2002. This agreement was awarded for a two-year initial term, with three one-year option terms. The Pass Sales and Reduced Fare Identification Card programs were added to the Alta Resources Scope of Work in July 2005.

Alta Resources, Inc., headquartered in Neenah, Wisconsin, with a location in Brea, California, has extensive experience managing call centers, handling both inbound and outbound calls. Alta Resources currently employs over 800 individuals, 220 of them in their Brea location. Specialists in managing and operating call centers for customers throughout the United States, the firm currently represents over 30 clients well known for high customer service standards including FedEx, Johnson & Johnson, Metrolink, Apria Healthcare, PacifiCare, and Purina.

Discussion

Alta Resources was hired to provide exceptional customer service and quality information to OCTA transit users. Since the contract commenced in November 2002, all performance measurement requirements outlined in the contract have been met or exceeded.

OCTA provides the CIC with the Hastinfo computer program used to generate routing itineraries for customers throughout the County. Hastinfo is dynamically linked to OCTA's scheduling database. Representatives creating trip itineraries for customers access actual OCTA schedule data, which ensures accuracy.

The CIC also manages the Integrated Voice Response System (IVR). An IVR is a computer that uses touch-tone phones for data selection. It allows callers to be routed to the proper department within OCTA or listen to recorded information. The IVR is updated periodically to reflect new messages and changes at OCTA. Through the IVR, OCTA customers can access the CIC, Riders' Alert Hotline, Customer Relations, Rideshare, job opportunities, etc.

Alta's IVR system is state-of-the-art and allows OCTA more options in assisting its customers and retrieving data about users of the system. The IVR enables OCTA to generate reports indicating where callers are traveling and what information they are requesting from the system. This allows OCTA to constantly improve the system to better meet the needs of its customers.

Alta's IVR also provides "skills-based routing" that allows calls to be directed to specific agents as needed. In particular, as Spanish callers are identified by their selections, they can be directed to Spanish-speaking agents.

OCTA's Pass Sales and Reduced Fare Identification Card programs provide retail sales of bus passes and fare coupons. Customers can place orders through OCTA's website, by mail, and telephone. In addition, persons with

disabilities and senior citizens 65 and older may apply for OCTA's Reduced Fare Identification Card by submitting a completed application. These functions were approved by the Board and added to Alta's Scope of Work effective July 1, 2005. Since that time, Alta's Pass Sales staff has processed over \$400,000 in sales, with an average of 1,970 transactions per month. In addition, more than 970 applications for the OCTA Reduced Fare Identification Card have been processed and 600 identification cards have been issued.

Alta Resources provides ongoing training to its staff to ensure they are performing to designated standards. Calls are randomly monitored by Alta Resources supervisors and by OCTA staff to ensure call quality and accuracy of information being provided to customers. In addition, Alta Resources, in conjunction with OCTA, offers ongoing training on various skill sets including, but not limited to, manual bus routing, Thomas Brothers map reading, understanding service changes, and familiarization with bus routes. Each representative is required to ride the bus for at least two hours per month using an itinerary generated from Hastinfo.

Amendment No. 1 to this contract was executed in November 2001 to make minor modifications to the original Scope of Work. In March 2003, Amendment No. 2 was executed extending the CIC hours to include one additional hour in the morning and two additional evening hours. Amendment No. 3 was executed in July 2003, when OCTA requested Alta Resources begin handling Rideshare calls. A fourth amendment was completed in December 2003 to exercise the first option term in the contract. The fifth amendment, executed November 2004, was to exercise the second option term. Amendment No. 6 was executed May 2005 to add the Pass Sales and Reduced Fare Identification Card programs. All amendments to the contract were handled seamlessly by Alta Resources, clearly demonstrating their ability to quickly adapt to changes or requests by OCTA staff.

Overall, the service provided by Alta Resources has been superior. OCTA staff will continue to provide ongoing training with CIC staff on all aspects of the transit system to ensure optimal performance.

The original agreement awarded in November 2001 allocated \$1.84 per call, this increased slightly with the first option to \$1.89 per call. Since the call volume has steadily increased, staff negotiated a tiered-pricing structure for 2005. Pending approval of this option term, the pricing structure will remain as indicated below.

0 to 57,000 calls per month	\$1.89 per call
57,001 to 75,000 calls per month	\$1.87 per call
75,001 plus	\$1.85 per call

Fiscal Impact

Funds for Amendment No. 7 to Agreement C-1-1853 are included within the OCTA Fiscal Year 2005-2006 Budget, Account 7519.

Summary

Staff recommends approval of Amendment No. 7 to exercise the third option term in Agreement C-1-1853 between the Orange County Transportation Authority and Alta Resources. Since the contract commenced, Alta Resources has clearly demonstrated its ability to provide superior customer service to OCTA customers.

Attachment

- A. Alta Resources Agreement C-1-1853 Fact Sheet

Prepared by:



Patricia Warrick
Associate Customer Relations Specialist
714-560-5933

Approved by:



Ellen S. Burton
Executive Director, External Affairs
714-560-5923

**ALTA RESOURCES, INC.
Agreement C-1-1853 Fact Sheet**

1. November 2001, Agreement C-1-1853, approved by OCTA Board of Directors, for an initial term of two years with three one-year option terms. Maximum cumulative obligation \$1,830,000.
2. November 2001, Amendment No. 1 to Agreement C-1-1853, to amend system performance measurement requirements. Approved by purchasing agent.
No fiscal impact.
3. March 2003, Amendment No. 1 to Agreement C-1-1853, extending hours of operation. Approved by purchasing agent.
Cost = \$95,000, maximum cumulative obligation increases to \$1,925,000.
4. July 2003, Amendment to Agreement C-1-1853, to begin handling Rideshare calls. Approved by OCTA Board of Directors.
Cost = \$30,000, maximum cumulative obligation increases to \$1,955,000.
5. December 2003, Amendment No. 4 to Agreement C-1-1853, to exercise the first option term in the original contract, extending operation of the CIC through December 2004. Approved by OCTA Board of Directors.
Cost = \$1,150,000, maximum cumulative obligation increases to \$3,105,000.
6. November 2004, Amendment to Agreement C-1-1853, to exercise the second option term in the original contract, extending operation of the CIC through December 2005. Approved by OCTA Board of Directors.
Cost = \$1,300,000, maximum cumulative obligation increases to \$4,405,000.
7. May 2005, Amendment No. 3 to Agreement C-1-1853, for Alta Resources to handle OCTA Pass Sales and Reduced Fare Identification Card programs.
Approved by purchasing agent.
No fiscal impact.
8. November 2005, Amendment No. 7 to Agreement C-1-1853, request approval by OCTA Board of Directors for Alta Resources to exercise the third option term in the original contract, extending operation of the CIC through December 2006.
Cost = \$1,500,000, maximum cumulative obligation increases to \$5,905,000.



November 14, 2005

To: Members of the Board of Directors
From: Arthur T. Leahy, Chief Executive Officer
Subject: Measure M Quarterly Progress Report

Overview

Staff has prepared a Measure M progress report for the third quarter of 2005. This is a regular report that highlights the Measure M projects and programs currently under development.

Recommendation

Receive and file as an information item.

Background

Measure M Ordinance No. 2 requires quarterly reports to the Orange County Transportation Authority's (OCTA) Board of Directors (Board), which present the progress of implementing the Measure M Expenditure Plan. The first quarterly report was presented to the Board on October 26, 1992. Quarterly reports highlight accomplishments for the freeway, streets and roads, and transit programs within Measure M. Reports also include summary financial information for the period and total program to date.

Discussion

This quarterly report updates progress in implementing the Measure M Expenditure Plan during the third quarter of 2005 (July through September). Highlights and accomplishments of work-in-progress for freeway, streets and roads, and transit programs along with expenditure information are presented for Board review.

Freeway Program

Prior Measure M construction projects along the Santa Ana Freeway (Interstate 5), Costa Mesa Freeway (State Route 55), and the Riverside

Freeway (State Route 91) are essentially complete with the California Department of Transportation (Caltrans) continuing to negotiate final change orders and claims. The OCTA continued full-scale implementation of the Garden Grove Freeway (State Route 22) design-build project as well as the design activities on the Interstate 5 (I-5) Far North Project from the I-5/State Route 91 (SR-91) Interchange north to the Los Angeles County line. The following are highlights and major accomplishments along each of the freeway corridors:

I-5, South Projects

Measure M provided funding for several High Occupancy Vehicle (HOV) lane and related improvement projects along the I-5 between El Toro Road and Pacific Coast Highway. These projects included soundwalls for noise mitigation and were completed some time ago. Because of certain physical constraints, some areas did not receive a soundwall under the original construction contract. One of those areas remaining is the Aliso Creek community in Laguna Hills.

The Aliso Creek soundwall project was approved by the Board on October 17, 2002. This project involves the construction of a soundwall in three separate sections along the southbound I-5 between Los Alisos Boulevard and Alicia Parkway. Costs for the project are estimated to be \$1,300,000. The City of Laguna Hills is taking the lead on gathering the affected homeowners approval, which is required prior to the project moving forward into the final design stage. If the remainder of approvals are not received, the City of Laguna Hills must decide how to proceed with the project. As this decision is currently on hold, the project has not yet been included in the Measure M freeway program budget or estimate-at-completion.

I-5, North Projects

Construction on the 13 I-5 projects from State Route 22 (SR-22) to just north of the I-5/SR-91 Interchange originally began in December 1996 and was substantially completed by the end of December 2000, as scheduled. Caltrans is currently in the process of negotiating final construction quantities and change orders/claims for several projects.

Construction funding for the I-5 North projects include State Transportation Improvement Program (STIP) funds, Measure M freeway, and local city contributions. Measure M construction/claim payments during the third quarter were \$1.4 million, with \$230.5 million paid to date. Total anticipated Measure M construction payments are currently estimated at \$235.6 million. The remaining

balance is comprised of an allowance of \$5.1 million to settle outstanding change orders and construction claims.

I-5, Far North Project

The two-mile stretch of I-5, from just north of the I-5/SR-91 Interchange to the Los Angeles County line, is the last phase of the I-5 in Orange County to be improved. The total project cost is estimated at \$251 million with \$178.9 million funded through Measure M and \$72.1 million through STIP funds.

The Plans, Specifications and Estimate documents, which are critical to the bidding process, were submitted to Caltrans Headquarters in Sacramento in July 2005.

The necessary advance work for the relocation of the various utilities is in process. Additionally, coordination meetings with the utility companies involved continued throughout the report period.

A cooperative agreement between OCTA and Caltrans for construction and construction management services has been executed. The cooperative agreement to implement right-of-way (ROW) acquisition has been in place since early December 2004. Acquisitions and documentation necessary for the initial ROW certification, which allows the project to be advertised for construction, was completed in July 2005. The project was advertised in late September 2005. Bids are due December 1, 2005, with construction anticipated to begin in January 2006, with substantial completion by March 2010.

Cooperative agreements with the Cities of Buena Park and La Mirada have been executed. Additionally, a cooperative agreement with the Union Pacific Railroad (UPRR) has now been finalized. The agreement is for the relocation of a UPRR storage track that will be impacted by the construction. Relocation of the storage track is anticipated to begin in December 2005.

In addition to the coordination meetings with the various partner cities and agencies, OCTA continues to meet with the local businesses that will be affected to varying degrees by the project. These advance meetings are being held in an effort to mitigate any potential issues before they occur.

SR-22

On August 23, 2004, the Board approved awarding the SR-22 design-build contract to Granite-Meyers-Rados (GMR). Actual construction activities began

October 5, 2004. The contract requires substantial completion within 800 calendar days after the Notice-to-Proceed, or November 30, 2006. Final project completion is required within 90 days after substantial completion.

The Board approved overall project budget for the SR-22 project is \$495 million. This includes the \$395 million design-build contract with GMR and \$100 million in other program costs, including project management support, legal services, ROW, Caltrans oversight, other construction costs, and a \$16 million construction contingency allocation.

Overall progress advanced significantly during the report period to 42 percent, with design now 90 percent complete and construction nearly 30 percent complete. At the end of the report period, 374 contract days have elapsed with 426 days remaining.

Some outstanding construction activities took place during the report period. The encasement and backfill of the Mesa Water District waterline was completed, the relocation of a 66 inch storm drain began, and the remainder of the wet and dry utility relocations continued to progress. Meetings continue between staff and the various utility companies to ensure that all relocations meet the project schedule.

Work on the various bridge structures continues to progress rapidly. Pile-driving for the structures continues with four pile-driving rigs in operation simultaneously at various bridge locations. The design work for the bridge structures is nearing completion with 22 foundation designs, 20 substructure designs, and 14 superstructure designs completed and released for construction. Out of the 34 bridges, 19 are currently under construction. The pouring of the concrete for the Newhope Street bridge deck was completed, as was the demolition of the Lewis Street bridge.

Additionally, after a nine-month closure, a portion of Metropolitan Drive in the City of Orange was re-opened with one lane in each direction. The closure was part of the reconfiguring of The City Drive on- and off-ramps in an effort to provide better access to The Block at Orange and other local businesses. Metropolitan Drive was temporarily closed to accommodate the construction work in this area.

To secure the required ROW for the SR-22 project, OCTA will need to obtain an interest in an estimated 57 individual parcels, comprised of two full-take and 55 partial-take acquisitions. A total of 41 parcels have now been acquired, two are in escrow, five have been verbally accepted, and the remaining nine are in varying stages of negotiation. On September 27, 2004, the Board authorized

the use of eminent domain to ensure critical parcels are acquired in support of the contractor's schedule, and currently, OCTA does have legal possession of all 57 parcels required for the project. This allows work to continue while staff pursues negotiations and works with property owners to purchase the land throughout these eminent domain proceedings.

To provide sufficient funding for the overall project, the Board approved amending the Measure M Expenditure Plan to increase the SR-22 funding by \$123.7 million to a total of \$327 million. The additional Measure M funding commitment was required at that time, as future State Transportation Congestion Relief Program (TCRP) allocation requests were on hold. On July 13, 2005, OCTA's final TCRP allocation request of \$123.7 million was approved by the California Transportation Commission. The final distribution of the additional funds between OCTA and Caltrans will not be finalized until the fourth quarter of 2005, at which time the SR-22 estimate-at-completion and project budget figures will be revised.

SR-91

In October 2003, the Board approved the use of Measure M funds to complete the design and construction of the new Peralta Hills soundwall project located on eastbound SR-91, between State Route 55 (SR-55) and Lakeview Avenue. With Caltrans acting as the lead agency, the construction of the soundwall began in March 2005. The project was completed in August 2005, and is now in the plant establishment period.

Street and Roads Programs

Substantial additional funding to cities and the County is provided by the various programs within the Measure M Local and Regional Streets and Roads Programs through OCTA's Combined Transportation Funding Program (CTFP). The CTFP encompasses Measure M streets and roads competitive programs, as well as federal sources such as the Regional Surface Transportation Program (RSTP). Funds are awarded on a competitive basis within the guidelines of each program and are used to fund a wide range of transportation projects.

During the third quarter, the CTFP contributed approximately \$4 million for streets and roads improvements. Significant payments include \$1,085,666 to the City of Fountain Valley for the installation of various signal coordination techniques, thus improving traffic flow; \$639,875 to the City of Fullerton for the State College Boulevard Grade Separation Project; \$210,494 to the City of Huntington Beach for the improvement of the intersection at Beach Boulevard and Edinger Avenue; \$143,451 to the City of Costa Mesa for

the Gisler Avenue Bike Trail Project; and \$493,200 to the City of Newport Beach for the widening of Jamboree Road.

On June 27, 2005, the Board approved the final CTFP allocation of \$208 million in Measure M and federal RSTP funds for local streets and roads improvements. The 2004 CTFP Call for Projects was a competitive process that identified 509 local projects which will receive funding over the next five years, and was the last such that will occur before Measure M sunsets in 2011.

Transit Programs

Commuter Rail

Orange County's commuter rail service is provided by Metrolink (under a joint powers agreement with OCTA). Metrolink is the service operated by the Southern California Regional Rail Authority (SCRRA). Formed in 1991, the SCRRA is a joint powers authority of five member agencies, representing the five Southern California Counties of Ventura, Los Angeles, San Bernardino, Riverside, and Orange.

Commuter rail service in Orange County includes three routes: the Orange County Line operating from Oceanside to downtown Los Angeles, the Inland Empire – Orange County (IEOC) Line, serving passengers going from San Bernardino and Riverside to Orange County, and the 91 Line operating from Riverside to downtown Los Angeles via Fullerton. The Orange County Line provides 19 weekday trips between Orange County and Los Angeles, including two reverse-commute roundtrips that offer service from Los Angeles to employment centers in Orange County. The IEOC Line service provides 12 weekday trips and the 91 Line provides nine weekday trips. In addition, under the Rail 2 Rail program, monthly pass holders are allowed to ride Amtrak trains providing weekday and up to 22 weekend trains for Orange County riders at no additional charge.

During the Summer of 2005, from July 16 through October 9, the "Summerlink" weekend beach trains will be running on the IEOC Line. Thanks to the efforts of OCTA, Riverside County Transportation Commission, and the San Bernardino Association of Governments, three trains are running in each direction between San Bernardino and Oceanside, stopping at all Orange County Stations along the way. This provides an excellent way to get to the beach without the hassle of the usual summer traffic and parking woes.

The expansion of the Rail 2 Rail program continues. Through the combined efforts of OCTA, Caltrans, Metrolink, and Amtrak, the Metrolink service area will

be making a number of improvements. Currently, this program allows only those with a monthly Metrolink Pass to ride Amtrak trains within the service area at no additional fee; however, OCTA has continued to work with the various stakeholders to expand this program to a new ten-trip ticket program. This new ten-trip ticket will be usable on both Amtrak and Metrolink trains in the service area. This effort has been on-going for some time, and it is anticipated it will now become available sometime in first quarter of 2006.

Other improvements to commuter rail service in Orange County are both planned and in process. Passenger improvements to the Santa Ana Station were placed under contract in late 2004. A pedestrian overpass and improved platforms are currently under construction. A railroad bridge upgrade project is also underway to replace some older bridges and to provide upgrades to others. This effort is being undertaken to ensure that the future needs of Metrolink service in Orange County are met, and are anticipated to be complete by the second quarter of 2006. Additionally, the Santa Ana double track project is getting underway, with the construction set to begin in the first quarter of 2006. Once completed, the double track project will improve the on-time performance of our trains and allow for additional service expansion in the future.

Another significant improvement to Orange County's commuter rail service will be the addition of the Buena Park Intermodal Commuter Rail Facility (BPIF). The BPIF is the last station to be built in the Metrolink Orange County Line, and will provide commuters with convenient bus and rail connections. The facility encompasses a 3.5 acre site located at Lakeknoll Drive and Dale Avenue in the City of Buena Park.

During third quarter 2005, the City of Buena Park continued to take the lead in managing the project's bidding and construction, and OCTA continued to provide project management oversight and technical assistance. The City of Buena Park made progress on developing and executing agreements for ROW, SCRRA commuter rail equipment installation, Burlington Northern Santa Fe Railroad Company construction and maintenance, and consultant services during construction. Groundbreaking, delayed from September due to these agreements being negotiated, is now scheduled for December 14, 2005. The City of Buena Park is working with the contractor to develop a construction schedule that can achieve substantial completion by the fourth quarter of 2006, with the start of commuter rail operations around December 2006.

In the third quarter of 2005, Metrolink ridership in Orange County experienced continued growth on all three lines. The Orange County Line, including the Metrolink Riders on Amtrak trains under the Rail 2 Rail program, averaged 7,340 daily passengers, which represents a 4 percent increase over the

second quarter of 2004. The daily number of Metrolink monthly pass holders riding Amtrak via the Rail 2 Rail program averaged 1,280 during the quarter. The IEOC Line averaged 3,737 daily riders, a 1.7 percent increase over the third quarter of 2004. The 91 Line averaged 1988 riders, a 10.1 percent increase over the third quarter of 2004.

The commuter rail program was made possible by the rapid implementation of a comprehensive capital improvement plan made up of 36 percent Measure M funds. Also helping the commuter rail program is \$115 million in the long-term rail operating fund, the Commuter Rail Endowment, established in 1992 and funded by Measure M.

The CenterLine Light Rail Project

Due to federal funding issues related to The CenterLine Light Rail Project (CenterLine), on February 14, 2005, the Board voted to pause work on CenterLine and directed staff to begin exploring alternatives for other rapid transit options.

Efforts for this quarter focused on the development and refinement of the various rapid transit options currently under consideration by the Board. A workshop was held with the Transit Planning and Operations Committee on July 28, 2005, to discuss the definition of bus rapid transit (BRT) for Orange County and to provide an update on the analysis of options and BRT phasing.

During the months of August and September 2005, staff continued the analysis of rapid transit options. The BRT phasing was refined and staff ran modeling to confirm the potential emission reductions for various rapid transit options. This quarter, staff initiated the preparation of a BRT implementation strategy for an eventual deployment of BRT in Orange County.

The limited activities that were related to the CenterLine Project focused primarily on the continued coordination with the Federal Transit Administration, and the preparation of documents in response to their inquiries.

San Diego Freeway (Interstate 405)/SR-55 Interchange and Transitway

The Interstate 405 (I-405)/SR-55 South Transitway structure was completed and opened for traffic January 2005. The transitway provides a seamless carpool connection between the two freeways. Currently, the project closeout is on-going, and OCTA continues to work closely with all parties to resolve the

cost responsibilities associated with the repair of the previously damaged portions of the transitway structure.

Construction on the much larger second phase of the I-405/SR-55 Interchange project began in February 2001. Currently, the construction cost is estimated at \$63.3 million. As with the first phase, this project included a freeway-to-freeway transitway connector linking southbound SR-55 HOV lanes to the northbound I-405 HOV lanes and the reverse movement. Currently, the project closeout is on-going, with the final landscaping items being completed, as well as the negotiating of outstanding change orders and construction claims.

On June 27, 2005, the Board approved an increase of \$1,343,000 in additional Measure M funds for the addition of full landscaping to be installed in the areas affected by the I-405/SR-55 interchange projects. This funding has been allocated to the Cities of Costa Mesa and Santa Ana who will be jointly managing the project. The cooperative agreements between OCTA and the cities are in process. Once the preliminary design is completed, the cities will be responsible for advertising for construction, which is currently scheduled to begin in the second quarter of 2006.

Financial Status

As required in Measure M, all Orange County eligible jurisdictions receive 14.6 percent of the sales tax revenue based on population ratio, Master Plan of Arterial Highways miles, and total taxable sales. There are no competitive criteria to meet, but there are administrative requirements, such as having a Growth Management Plan. This money can be used for local projects as well as ongoing maintenance of local streets and roads. The total amount of Measure M turnback funds distributed since program implementation is \$379 million. Distributions to individual agencies, from inception to-date and for the report period, are detailed in Attachment A.

Net Measure M expenditures through September 30, 2005, total \$2.447 billion. Net expenditures include project specific reimbursements to Measure M from cities, local agencies, and Caltrans. Total Net Tax Revenues consist primarily of Measure M sales tax revenues and non-bond interest minus estimated non-project related administrative expenses through 2011. Net revenues, expenditures, estimates-at-completion, and summary project budgets, per the Measure M Expenditure Plan, are presented in Attachment B. The basis for project budgets within each of the Expenditure Plan programs is identified in the notes accompanying Attachment B.

Budget Variances

Project budget verses estimate-at-completion variances generally relate to freeway and transitway elements as these programs have existing defined projects. Other programs, such as regional and local streets and roads, assume all net tax revenues will be spent on existing and yet to be defined future projects.

The Internal Audit Department recently completed a review of OCTA's compliance with the various requirements of the Measure M ordinance. While the review found OCTA compliant in all areas, a recommendation was made to reallocate direct project-related OCTA staff costs to the specific projects benefiting from these efforts in each mode. This recommendation was made in an effort to better capture actual project costs. Prior to the current Measure M Quarterly Report, all OCTA staff costs, while recorded to the various projects, were included as administrative costs, being deducted from Total Net Tax Revenues and not included in the Project Budget, Estimate at Completion, or To Date Net Project Costs as represented in Attachment B. While this reallocation increases project budgets and final costs, it results in a corresponding increase in the available distributed net tax revenues. The overall freeway program estimate-at-completion has been revised by \$5.9 million to reflect this reallocation. The \$5.9 million reflects inception to-date project related staff costs and is distributed within the various freeway projects. During the fourth quarter, future direct project-related staff costs through the completion of the Measure M program, will be determined and added to the project budgets and estimates-at-completion to reflect the implementation of the recent recommendation.

The estimate-at-completion for the "Transitways" was increased by \$2,088,000. Of this amount, \$1,246,000 is associated with an increase in the construction estimate to accommodate bid item quantity overruns and potential future change orders during the close-out phase of the project. The remaining \$842,000 is associated with the inclusion of OCTA staff costs in the actual Net Project Costs as discussed above.

Summary

As required in Measure M Ordinance No. 2, a quarterly report is provided to update progress in implementing the Measure M Expenditure Plan. This report covers freeways, streets and roads, transit program highlights, and accomplishments from July through September 2005.

Attachments

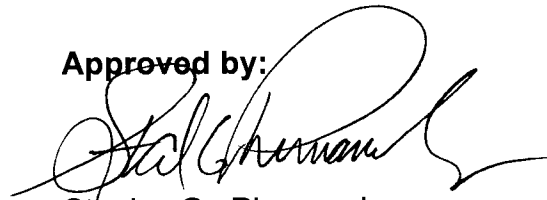
- A. Measure M Local Turnback Payments
- B. Measure M Revenue and Expenditure Summary as of September 30, 2005

Prepared by:



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Approved by:



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(714) 560-5440

ATTACHMENT A**MEASURE M LOCAL TURNBACK PAYMENTS**

Agency	Third Quarter 2005	Total Apportionment as of 9/30/05
Aliso Viejo	\$ 58,199	\$ 1,685,584
Anaheim	548,485	41,675,342
Brea	85,181	6,824,384
Buena Park	129,503	10,182,826
Costa Mesa	228,239	18,045,940
Cypress	86,748	6,676,896
Dana Point	53,610	4,305,395
Fountain Valley	101,206	8,313,610
Fullerton	204,639	16,531,324
Garden Grove	242,112	18,709,356
Huntington Beach	308,611	24,704,615
Irvine	373,088	25,752,018
Laguna Beach	42,179	3,187,173
Laguna Hills	60,121	4,469,910
Laguna Niguel	110,369	7,982,116
Laguna Woods	20,918	958,110
La Habra	84,665	6,330,473
Lake Forest	126,557	7,940,346
La Palma	29,175	2,093,369
Los Alamitos	21,429	1,833,201
Mission Viejo	155,100	11,784,109
Newport Beach	159,702	11,429,117
Orange	257,511	19,704,050
Placentia	75,990	5,916,025
Rancho Santa Margarita	69,962	2,349,081
San Clemente	87,805	5,743,570
San Juan Capistrano	63,710	4,644,486
Santa Ana	470,421	37,801,587
Seal Beach	39,214	2,999,160
Stanton	48,601	3,753,267
Tustin	130,521	10,323,456
Villa Park	8,639	691,614
Westminster	143,582	11,295,109
Yorba Linda	93,690	7,006,990
County Unincorporated	276,404	25,372,299
Total County:	\$ 4,995,884	\$ 379,015,908

**Measure M Revenue and Expenditure Summary
as of September 30, 2005**

<u>Project Description</u>	<u>Total Net Tax Revenues</u>	<u>Project Budget</u>	<u>Estimate at Completion</u>	<u>Variance Total Net Tax Revenues to Est at Completion</u>	<u>Variance Project Budget to Est at Completion</u>	<u>To Date Net Project Cost</u>	<u>Percent Budget Expended</u>	<u>Notes</u>
<i>(\$ in thousands, escalated to year of expenditure/revenue)</i>	A	B	C	(A - C)	(B - C)	D	(D / B)	
Freeways (43%)								
I-5 between I-405 (San Diego Fwy) and I-605	\$ 1,032,510	\$ 810,010	\$ 799,323	\$ 233,187	\$ 10,687	\$ 641,272	79.2%	1, 6
I-5 between I-5/I-405 Interchange and San Clemente	71,587	55,390	57,553	14,034	(2,163)	57,535	103.9%	1, 6
I-5/I-405 Interchange	90,861	72,802	73,135	17,726	(333)	73,075	100.4%	1, 6
S.R. 55 between I-5 and S.R. 91	60,574	44,511	49,779	10,795	(5,268)	48,708	109.4%	1, 6
S.R. 57 between I-5 and Lambert Road	30,287	24,128	22,750	7,537	1,378	22,750	94.3%	1, 6
S.R. 91 between Riverside Co. line & Los Angeles Co. line	130,784	116,136	105,672	25,112	10,464	105,151	90.5%	1, 6
S.R. 22 between S.R. 55 and Valley View St.	407,497	321,408	323,195	84,302	(1,787)	34,476	10.7%	1,2,5,6
Subtotal Projects	\$ 1,824,100	\$ 1,444,385	\$ 1,431,407	\$ 392,693	\$ 12,978	\$ 982,967	68.1%	
Net (Bond Revenue)/Debt Service		346,455	346,455	(346,455)	-	270,558		
Total Freeways	\$ 1,824,100	\$ 1,790,840	\$ 1,777,862	\$ 46,238	\$ 12,978	\$ 1,253,525	70.0%	
Expenditures as a Percent of Total Program						51.2%		
Regional Street and Road Projects (11%)								
Smart Streets	\$ 159,987	\$ 157,311	\$ 157,311	\$ 2,676	\$ -	\$ 114,072	72.5%	3
Regionally Significant Interchagnes	\$ 93,326	93,326	93,326	-	-	30,133	32.3%	3
Intersection Improvement Program	\$ 133,323	133,323	133,323	-	-	49,525	37.1%	3
Traffic Signal Coordination	\$ 66,661	66,661	66,661	-	-	26,953	40.4%	3
Transportation Systems and Transporation Demand Mgmt	\$ 13,332	13,332	13,332	-	-	6,057	45.4%	3
Subtotal Projects	\$ 466,629	\$ 463,953	\$ 463,953	\$ 2,676	\$ -	\$ 226,740	48.9%	
Net (Bond Revenue)/Debt Service		2,676	2,676	(2,676)	-	2,090		
Total Regional Street and Road Projects	\$ 466,629	\$ 466,629	\$ 466,629	\$ -	\$ -	\$ 228,830	49.0%	3
Expenditures as a Percent of Total Program						9.3%		

ATTACHMENT B

**Measure M Revenue and Expenditure Summary
as of September 30, 2005**

<u>Project Description</u>	<u>Total Net Tax Revenues</u>	<u>Project Budget</u>	<u>Estimate at Completion</u>	<u>Variance Total Net Tax Revenues to Est at Completion</u>	<u>Variance Project Budget to Est at Completion</u>	<u>To Date Net Project Cost</u>	<u>Percent Budget Expended</u>	<u>Notes</u>
<i>(\$ in thousands, escalated to year of expenditure/revenue,</i>	A	B	C	(A - C)	(B - C)	D	(D / B)	
Local Street and Road Projects (21%)								
Master Plan of Arterial Highway Improvements	\$ 174,104	\$ 174,104	\$ 174,104	\$ -	\$ -	\$ 53,562	30.8%	3
Streets and Roads Maintenance and Road Improvements	616,734	616,734	616,734	-	-	379,078	61.5%	3
Growth Management Area Improvements	100,000	100,000	100,000	-	-	51,170	51.2%	3
Subtotal Projects	\$ 890,838	\$ 890,838	\$ 890,838	\$ -	\$ -	\$ 483,810	54.3%	
Net (Bond Revenue)/Debt Service						-		
Total Local Street and Road Projects	\$ 890,838	\$ 890,838	\$ 890,838	\$ -	\$ -	\$ 483,810	54.3%	
Expenditures as a Percent of Total Program						19.8%		
Transit Projects (25%)								
Pacific Electric Right-of-Way	\$ 20,526	\$ 15,000	\$ 13,760	\$ 6,766	\$ 1,240	\$ 13,629	90.9%	4
Commuter Rail	376,314	365,128	376,298	16	(11,170)	258,473	70.8%	
High-Technology Advanced Rail Transit	465,261	451,432	464,580	681	(13,148)	27,001	6.0%	
Elderly and Handicapped Fare Stabilization	27,368	20,000	20,000	7,368	-	13,010	65.1%	4
Transitways	171,052	146,381	124,145	46,907	22,236	120,675	82.4%	1,7
Subtotal Projects	\$ 1,060,521	\$ 997,941	\$ 998,783	\$ 61,738	\$ (842)	\$ 432,788	43.4%	
Net (Bond Revenue)/Debt Service		62,580	62,580	(62,580)	-	48,871		
Total Transit Projects	\$ 1,060,521	\$ 1,060,521	\$ 1,061,363	\$ (842)	\$ (842)	\$ 481,659	45.4%	
Expenditures as a Percent of Total Program						19.7%		
Total Measure M Program	\$ 4,242,088	\$ 4,208,828	\$ 4,196,692	\$ 45,396	\$ 12,136	\$ 2,447,824	58.2%	

Notes:

1. Project Budget based on escalated value of 1996 Freeway Strategic Plan plus subsequent Board approved project funding plan adjustments.
2. Project Budget and funding based on September 13, 2004 Measure M Expenditure Plan amendment.
3. Project Budget and Estimate at Completion equal to Total Net Tax Revenues as all funds collected will be expended on future projects.
4. Project Budget based on Expenditure Plan.
5. To Date Net Project Cost decreased significantly by reimbursements from TCRP and CMAQ funding sources.
6. Overall Estimate at Completion for Freeways increased by \$5,900,000 for inclusion of staff costs.
7. Estimate at Completion increased by \$2,088,000 for increase in construction estimate an inclusion of staff costs.



BOARD COMMITTEE TRANSMITTAL

November 14, 2005

To: Members of the Board of Directors
From: Wendy Knowles, Clerk of the Board
Subject: Metrolink Service Expansion

Transit Planning and Operations Committee

October 27, 2005

Present: Directors Winterbottom, Brown, Silva, Pulido, Dixon, and Duvall
Absent: Director Green

Committee Vote

This item was passed by all Committee Members present.

Committee Vice Chairman Pulido was not present for this vote.

Committee Recommendations

- A. Authorize staff to begin implementation of Metrolink Service Expansion for 36 more Metrolink trains serving Orange County, including service every 30 minutes between Mission Viejo/Laguna Niguel and Fullerton by the year 2009. The expansion of Metrolink service is identified in the adopted Commuter Rail Strategic Assessment and Five-Year Program.
- B. Authorize staff to submit a request to the Southern California Regional Rail Authority to increase rail car purchase order quantities to support the requirements for the Metrolink Service Expansion.
- C. Authorize the release of a Request for Proposal for a project management consultant for the Metrolink Service Expansion.



October 27, 2005

To: Transit Planning and Operations Committee
From: Arthur T. Leahy, Chief Executive Officer
Subject: Metrolink Service Expansion

Overview

The Board of Directors adopted the Commuter Rail Strategic Assessment service plan and phasing for expanded Metrolink service in May 2004. Staff has developed the required operating costs, capital improvements, and rolling stock requirements needed to implement the service plan and phasing for a 90 percent increase in Orange County Metrolink trains by 2009.

Recommendations

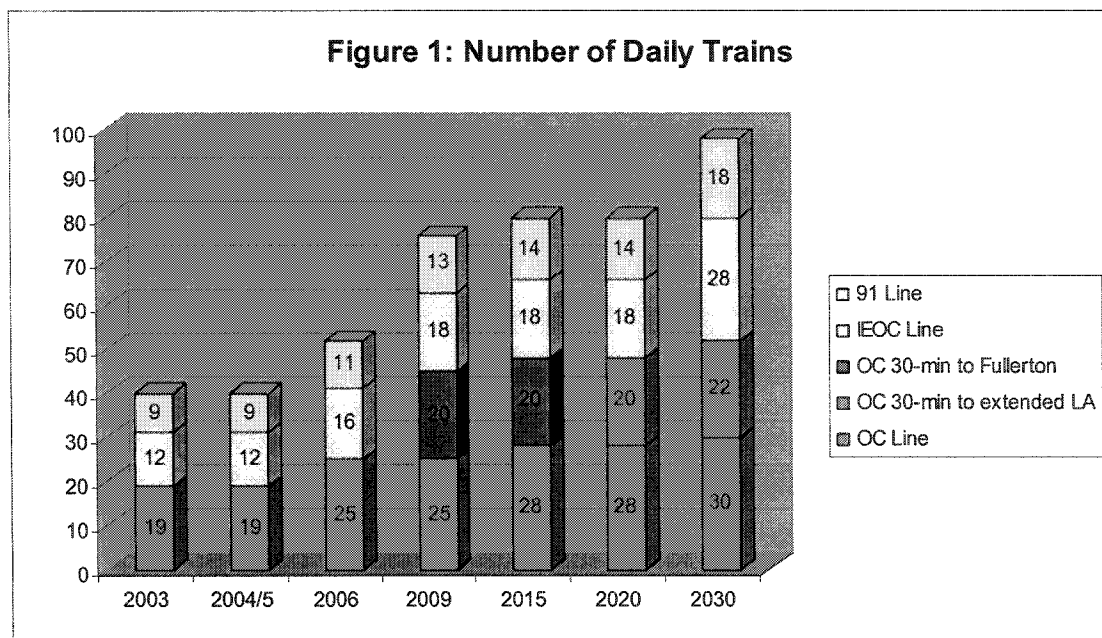
- A. Authorize staff to begin implementation of Metrolink Service Expansion for 36 more Metrolink trains serving Orange County, including service every 30 minutes between Mission Viejo/Laguna Niguel and Fullerton by the year 2009. The expansion of Metrolink service is identified in the adopted Commuter Rail Strategic Assessment and Five-Year Program.
- B. Authorize staff to submit a request to the Southern California Regional Rail Authority to increase rail car purchase order quantities to support the requirements for the Metrolink Service Expansion.
- C. Authorize the release of a Request for Proposal for a project management consultant for the Metrolink Service Expansion.

Background

A Commuter Rail Strategic Assessment (CRSA) was completed in April 2004 to identify future optimum commuter rail service levels for three Metrolink lines serving Orange County. This study was conducted in coordination with the Riverside County Transportation Commission (RCTC), the Los Angeles County Metropolitan Transportation Authority (LACMTA), the San Bernardino Associated Governments (SANBAG), and the Southern California Regional Rail Authority (SCRRA). On May 27, 2004, the Board of Directors (Board)

adopted the CRSA service plan and phasing strategy for the Orange County, Inland Empire - Orange County (IEOC), and 91 lines. The Board also directed staff to negotiate the expansion of the Rail 2 Rail Program on the Orange County line and to include 10-trip ticket holders in the Rail 2 Rail Program.

The CRSA identified a total of six phases for a complete build-out by the year 2030. Staff is currently recommending implementation of all service increases through the year 2009. Figure 1 provides a summary of the adopted CRSA phasing and service plan:



Since completing the CRSA, staff and consultants have been developing an implementation plan for service every 30 minutes between Fullerton and Mission Viejo/Laguna Niguel and future extension of this service all the way to Los Angeles. The implementation plan includes project cost estimates, conceptual design plans for capital improvements, a fleet management plan, equipment requirements, an operating and staffing plan, and identification of environmental documentation required to secure environmental clearances.

Staff further requested that the SCRRA provide operating cost and rolling stock cost data based on train schedules and service levels developed for the Metrolink Service Expansion (Service). Staff is prepared to move forward to ensure that the service expansion will be in place by the year 2009.

On October 14, 2005, the Board approved a Five-Year Program to improve public transportation in Orange County which includes a transit component

identified as options R1 and R3 which is equivalent to the proposed Service. The Five-Year Program provides for enhancement of the existing commuter rail right-of-way to support serving Fullerton to Mission Viejo/Laguna Niguel with a train every 30 minutes and increased IEOC and 91 line service. The Board directed staff to return with a financing plan for each component of the Five-Year Program.

Discussion

The Service represents a significant change to the Orange County Metrolink service including the number of daily, evening, and weekend trains; station and parking requirements; bus services linking stations to surrounding businesses and communities; safety improvements at rail crossings, capital improvements, fleet size, ridership and markets served. Full implementation cost and service levels are detailed in Attachments A, B, C, and D.

Service Implementation Plan

Assumption

Service increases of six more trains from Orange County to Los Angeles Union Station and two more trains on the 91 line are subject to factors currently beyond the Orange County Transportation Authority's (OCTA) control. For purposes of projecting total future service levels on all lines serving Orange County, it is assumed these trains will be operational by the year 2009. Staff will work with SCRRA, LACMTA, RCTC and Burlington Northern Santa Fe Railway (BNSF) on actions necessary for service level increases.

Service Levels

Several necessary steps have been taken leading up to the recommendation for the Service. The first step was to determine the operating cost based on service levels proposed in the CRSA. The goal is to increase the number of trains serving Orange County from 40 to 76 daily trains by the year 2009. Attachment A details analysis of trains by station. This will result in a 90 percent increase in trains serving Orange County by the year 2009.

A major change in the Orange County Metrolink service levels is implementation of local service between Fullerton and Mission Viejo/Laguna Niguel with trains running every 30 minutes in both directions seven days a week, all day from 5:00 a.m. to midnight. The Service includes the addition of evening and reverse peak trains and mid-day trains on the IEOC and 91 lines. Increases on the 91 line and Orange County line through to Los Angeles,

excluding 30-minute service are subject to negotiation with BNSF for triple track improvements. Negotiation with BNSF regarding triple track does not impact the implementation of train service every 30 minutes between Fullerton and Mission Viejo/Laguna Niguel.

RCTC is developing a separate implementation plan that anticipates higher service levels on the IEOC and 91 lines than proposed in the OCTA CRSA. OCTA, SCRRA, LACMTA and RCTC will continue to work together to develop a plan for system-wide service level increases as proposed by RCTC. Staff may return to the Board for a revision to the Service for additional Metrolink trains on the IEOC and 91 lines as proposed by RCTC.

Operating Costs

The SCRRA developed operating cost based on 2005 dollars for the expanded service levels. OCTA's net operating cost is equal to OCTA's share of the total cost less revenues. OCTA's net operating cost will increase from \$8.3 million per year for current service to \$18.6 million per year by 2009. Operating cost are currently funded by the Commuter and Urban Rail Endowment Fund (CURE). Funding for operation of the IEOC and 91 lines is provided on a cost-sharing basis between OCTA, RCTC and LACMTA.

Staff anticipates an increase in operating cost for StationLink feeder/shuttle bus service and will begin development of these costs.

Capital Costs

The Five-Year Program estimated capital cost at \$200 million based on the preliminary estimate provided in the CRSA. OCTA staff and consultants have developed updated capital costs. Capital improvement costs are estimated in 2005 dollars at \$232.4 million (Attachment C). Additional parking needs not originally anticipated in the CRSA have now been added to the Service.

Rolling Stock Costs

On February 7, 2005, the Board approved \$35 million for capital improvements including funding for a portion of the rolling stock requirements. Rolling stock is used to make up a train set to carry passengers. Rolling stock typically consists of locomotives, cab cars, and trailer cars (Attachment D). The SCRRA developed rolling stock requirements based on the 76 daily trains. A total of seven locomotives and 59 cab cars and trailer cars are required to support both previously planned growth and the Service for year 2009. In order to provide service every 30 minutes between Fullerton and

Mission Viejo/Laguna Niguel purchase of additional rail cars is needed to support the high frequency service. The only way to meet the Service schedule is to purchase rail cars under SCRRRA's rail car Invitation for Bid. Rolling stock costs are calculated in 2005 dollars using new conventional type equipment. The additional rolling stock investment needed to support the Service is estimated at \$150.1 million (Attachment D).

Total Costs

In summary, the total capital investment required to implement the Service is \$382.5 million. At this time staff is proposing an increase in the quantities in SCRRRA's rail car Invitation for Bid and releasing a Request for Proposal for project management consulting services. A complete financing plan for implementing the service will be presented for approval in the near future.

Request for Proposal for Project Management Consultant

Implementation of the expanded Service requires project management support services to supplement the one full-time position dedicated to commuter rail development. The project management consultant for the Service requires highly-specialized railroad expertise not available on staff or through other current consultants. The procurement will be handled in accordance with OCTA's procedures for architectural and engineering services awarded on a competitive basis. The project management consultant will provide support in the following areas:

- Technical expertise
- Freight railroad coordination
- Contract administration
- Project controls
- Administrative support

Summary

OCTA is prepared to proceed with implementation of the Service also identified as the commuter rail high frequency transit component specified in the Five-Year Program from the Long-Range Transportation Plan (LRTP). Implementation of the expansion will enhance Metrolink service to include 30-minute train service between Fullerton and Mission Viejo/ Laguna Niguel. Staff has identified the capital, rolling stock and operating costs to implement this 90 percent increase in the Service.

Attachments

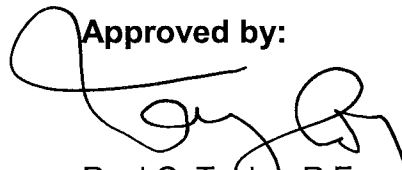
- A. Train Counts
- B. Operating Costs (\$2005 in thousands)
- C. Capital Improvements
- D. Equipment Costs for 2009 Service

Prepared by:



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Approved by:



Paul C. Taylor, P.E.
Executive Director, Planning,
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Train Counts

Train Counts		Phase/Year					
		Phase I current	Phase II 2006	Phase III 2009	Phase IV 2015	Phase V 2020	Phase VI 2030
By Station	Oceanside	12	12	12	12	12	12
	San Clemente	12	12	12	12	12	12
	San Juan Capistrano	14	14	12	12	12	12
	Laguna Niguel/Mission Viejo	19	29	63	66	66	80
	Irvine	31	41	63	66	66	80
	Tustin	31	41	63	66	66	80
	Santa Ana	31	41	63	66	66	80
	Orange	31	41	63	66	66	80
	Anaheim	19	25	45	48	48	52
	Fullerton	28	36	58	62	62	70
	Buena Park	28	36	38	42	62	70
	Anaheim Canyon	12	16	18	18	18	28
By Line	91	9	11	13	14	14	18
	IEOC	12	16	18	18	18	28
	Laguna Niguel to Fullerton			20	20		
	OC to Los Angeles	19	25	25	28	48	52
	TOTAL	40	52	76	80	80	98

Operating Costs (\$2005 in thousands)

	Current FY 05/06 Operating Costs	Estimated FY 09/10 Operating Costs
Expenditures	\$22,554	\$39,900
Revenues		
Farebox	10,927	18,166
Dispatch	915	957
MOW	1,964	1,964
Other	409	200
Total Revenues	\$14,216	\$21,288
Subsidy	\$8,338	\$18,612

Note: 2009 values reflect OCTA paying train mile expenses in Los Angeles County for 5 Laguna Niguel-LAUS trips, as LACMTA is not planning for this level of service until 2015.

Capital Improvements

2009 Service Expansion - Project Description	Estimated Capital Costs
Turnback Facility at Fullerton Station	\$3,629,800
Additional Track, La Palma to Fullerton	\$27,144,050
Relief Sidings between Anaheim Station and La Palma	\$3,075,860
Pedestrian Grade Separation at Orange Station	\$4,833,400
Relief Sidings between Tustin and Santa Ana Stations	\$2,154,160
Turnback Facility at Laguna Niguel/ Mission Viejo Station	\$9,335,900
Fullerton Parking Expansion ¹	\$10,400,000
Station Expansions	\$60,000,000
Orange Parking Expansion	\$26,506,200
Tustin Parking Expansion	\$7,006,150
Laguna Niguel / Mission Viejo Parking Expansion	\$59,428,000
Irvine Parking Expansion ²	\$18,875,000
BNSF Third Main Track Project ^{3,4} (OCTA Contribution)	TBD*
TOTAL	\$232,388,520

¹ \$14.6 mil is already funded with STIP and City funds. Total project cost is estimated at \$25 mil.

² \$6.125 mil is already funded with Federal and City funds. Total project cost is estimated at \$25 mil.

³ Subject to negotiation with BNSF, LACMTA, RCTC, and Caltrans.

⁴ BNSF Third Main Track Project is between Fullerton and Los Angeles.

Equipment Costs for 2009 Service

Equipment	Number	Estimated Unit Cost	Estimated Total Cost
Locomotives ¹	7	\$4.57 mil	\$32.0 mil
Cab Cars ²	7	\$2.97 mil	\$20.8 mil
Trailer Cars ³	52	\$2.42 mil	\$125.8 mil
Total			\$178.6 mil
Previously Funded by OCTA			(\$28.5 mil)
Total Estimated Amount Needed for 2009 Service			\$150.1 mil

¹ Locomotives are diesel-fueled engines that pull the trains.

² Cab Cars carry passengers and allow engineer to operate the locomotive remotely.

³ Trailer Cars carry passengers only.



November 14, 2005

To: Members of the Board of Directors
From: ^{AL} Arthur T. Leahy, Chief Executive Officer
Subject: Integrated Transportation Communication System: Proposed Response to Grand Jury Report

Overview

In September 1997, the Orange County Transportation Authority entered into a \$12.6 million contract with Orbital Sciences for replacement of its existing analog bus communication system with a modern digital system. Due to various project management issues, integrating the system has been a lengthy process; however, the system is now working and meets industry and federal guidelines. In May of this year, the Orange County Grand Jury issued a report on the communication system. An independent analysis of the system was completed in June 2005 and public workshop on the matter was held October 24, 2005. A proposed response to the Grand Jury report is submitted for Board consideration.

Recommendation

Review and approve response to Orange County Grand Jury's May 31, 2005 report on the Orange County Transportation Authority bus communication system.

Background

The Orange County Transportation Authority (OCTA) owns and operates an advanced 800 megahertz digital radio system designed to provide voice and data communications between the fixed route bus fleet and central communications dispatch.

Implementation of the radio system met with project management challenges along the way. Since June 2003, issues associated with the implementation of the OCTA bus communication system have been discussed at eight Transit Planning and Operations Committee meetings, five in closed session. Project management issues were recognized by executive staff and steps have been

taken to address these issues. Additional recommendations contained in a third party analysis of the system are currently under review.

Over time, the project management challenges gained media interest, ultimately leading to inquiries from the Orange County Grand Jury. The Chief Executive Officer and OCTA staff met with the Environmental and Transportation Subcommittee of the Grand Jury on three occasions beginning in the fall 2004. One such meeting included a tour of the Central Communications facility in Garden Grove. Additionally, several requests for information were made to OCTA staff and interviews were conducted by individual jurors with coach operators, central communication personnel, and other individuals who work with the communication system.

In March 2005, an independent review of the bus communication system was undertaken by the OCTA to determine if the existing system met industry as well as federal guidelines. On June 20, 2005, the Richter Group, a highly respected and well known communications consulting firm, issued its final report detailing the findings of its extensive review of the system. The Richter Group concluded that the "system meets specifications, and is at the forefront of a combined voice-and-data technology." This system meets recently established federal guidelines for transit systems, and compares favorably with other new transit systems, such as the Regional Transit District, Denver. Further, that the system is "adequate, is reliable, meets specifications, and had growth potential." Finally, "at this time, there are no major technical deficiencies that would indicate a degraded or partially functioning system."

Discussion

Primarily due to project management challenges, the successful implementation of modern digital system transit communication system has been an arduous endeavor. Despite a difficult journey, today the OCTA bus system has a working communication system that meets industry and federal guidelines.

Upon approval of the Transit Planning and Operations Committee on August 11, 2005, this matter was included as a part of the OCTA Board of Directors meeting on September 12, 2005. Following Board discussion and Chairman Campbell's direction, staff was directed to hold a public workshop that included representatives from Cinergy Innovations, Inc., a former consultant on the Integrated Transportation Communication System (ITCS) project, as well as Dr. Henry Richter and a representative of Local 952 which represent OCTA coach operators. This workshop was held as part of the October 24, 2005, Board Meeting.

The OCTA Board must respond to all findings and recommendations contained in the May 31, 2005, Orange County Grand Jury report by December 9, 2005. The Richter Group's evaluation of the communication system supports the Proposed Response to the Grand Jury (Attachment A).

Summary

Issues with the implementation and management of the bus communication system project have been discussed with the Transit Planning and Operations Committee over the last two years. An independent third party assessment of the bus communication system was conducted and the key findings of that comprehensive review were that the radio system purchased by OCTA is reliable and the OCTA received a system that meets specifications. The findings of the third party evaluation serve as the basis of OCTA's response to the Orange County Grand Jury's report on the communication system. It is noted that improvements to the bus communications system is an ongoing process and staff commits to continually seek improvements.

Attachment

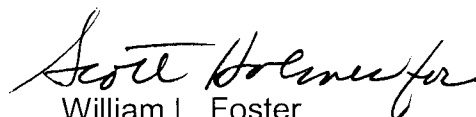
- A. Proposed Response to Orange County Grand Jury Report, OCTA Bus Communications System

Prepared by:



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Approved by:



William L. Foster
General Manager, Operations
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ATTACHMENT A

Proposed Response to Orange County Grand Jury Report OCTA Bus Communications System

November 14, 2005

Honorable Fredrick P. Horn
Presiding Judge of the Superior Court
700 Civic Center Drive
Santa Ana, CA 92701

SUBJECT: Orange County Grand Jury Report: OCTA Bus Communications System

Dear Judge Horn,

On behalf of the Orange County Transportation Authority (OCTA) Board of Directors, this is the response to the Orange County Grand Jury's May 31, 2005, report reviewing the OCTA bus communications system known as the Integrated Transportation Communication System (ITCS). We appreciate the observations and suggestions offered. The information provided will assist us in ensuring that OCTA continues to offer outstanding bus service for Orange County.

Since the Grand Jury's initial communications to OCTA on this matter in fall 2004, we have been listening. In December 2004, members of the Environmental and Transportation Subcommittee of the Grand Jury suggested OCTA hire an independent evaluator of the system. OCTA did this. The result was a June 2005 report by a nationally recognized communications firm headed by Dr. Henry L. Richter, Ph.D. / Professional Engineer (PE). The attached Richter Group report concludes that OCTA's current system is reliable and meets industry and federal guidelines. The report documents numerous improvements made to the system and OCTA's management processes and serves as the basis for many of our responses.

FINDINGS

5.1 Inadequate project management

OCTA agrees in part with this finding. It is noted that beginning in 2001, OCTA management acknowledged that project management was inadequate. Over the past four years, management has taken a number of corrective actions to ensure successful implementation of the project.

Project management challenges existed on several fronts. For example, the original project manager lacked the technical expertise to understand the underlying technology of this complicated system. In addition, as well as serving as ITCS project manager, this individual had other full time responsibilities.

Following OCTA's change in executive management in 2001, a project review was undertaken and an audit of the project conducted. This resulted in a change in the overall approach to project management. The new method was to establish a team approach to project management (versus a single project manager) that included Executive, Maintenance, User Group and Information Systems (IS) teams. A contract compliance officer and legal counsel augmented the team. The Richter Group report validates the team approach to project management.

- Automatic passenger counter was added and deleted in a matter of months

OCTA disagrees with this finding. As discussed in the exit interview with members of the Grand Jury, the ITCS contract was amended on November 13, 2000, to add the installation of automatic passenger counting systems on 75 buses in the OCTA's fleet. This requirement was never removed from the contract requirements. OCTA currently has 75 buses that are equipped with the automatic passenger counting system. This system is fully functional and utilized by OCTA on a regular basis.

- Original project manager was required to oversee this project in addition to his other duties.

OCTA agrees with this finding. OCTA management has acknowledged that the original project manager may have been overburdened by his other duties to the detriment of the ITCS project. Management has taken steps to ensure that this situation does not occur in the future by dedicating a full time project manager to all large-scale technical projects.

- It took five years of problems with the contract before an audit was performed.

OCTA agrees in part with this finding. Immediately following the execution of the contract in September 1997 and the notice to proceed, the contractor began to design the system. The actual system hardware was not installed and operational until early 2000. This was approximately two years prior to the audit. It is correct that a significant amount of time went by before an audit was conducted. We believe this was due to reluctance on the part of the project manager to communicate deficiencies with management in a timely manner. The audit report ordered by OCTA's Chief Executive Officer flagged communication issues and brought about a change in the approach to project management.

5.2 Unreliable system

OCTA disagrees with this finding. OCTA management made a decision to investigate thoroughly the allegations of a non-reliable system. To that end, in early 2005, OCTA retained an independent expert – the Richter Group -- to review the overall communications system and assess whether or not it performed within federal guidelines and to industry standards. The review also analyzed the system's capacity to grow as the bus fleet grows and provided an assessment and recommendations for ongoing maintenance and training.

The Richter Group spent three months reviewing the technical specifications of the system, testing and assessing performance. It included interviewing coach operators, radio communications personnel, maintenance staff, project team members and management.

On June 20, 2005, the Richter Group issued its final report detailing the findings of its exhaustive review of the system. The report states that the "system meets specifications, and is at the forefront of a combined voice-and-data technology. This system meets recently established Federal Guidelines for Transit Systems, and compares favorably with other new transit systems, such as RTD Denver." Further, the system is "adequate, is reliable, meets specifications, and has growth potential." It concluded, "At this time, there are no major technical deficiencies that would indicate a degraded or partially functioning system."

The Richter Group report also cited the fact that the ITCS project was, in the beginning, troubled. It initially lacked proper project management and did not address ongoing maintenance. However, the report noted that the replacement project team corrected the deficiencies of the past and the system has been tested and deemed reliable.

For example, in Spring 2005, the Richter Group conducted specific testing where a text message was sent to 195 buses at the same time. The results of the test indicated that at no time did system congestion occur. During the data test, normal voice traffic, data messaging, and Automatic Vehicle Locator were operational across all vehicles in service at that time.

5.3 System maintenance is inadequate

OCTA agrees in part with this finding. OCTA agrees with the Grand Jury's finding that during the implementation of the ITCS, project preventative maintenance was inadequate and gave rise to several failures prior to acceptance of the system.

In late August 2004, when the project was nearing final testing, it was determined by the project team that preventative maintenance was lacking and was a cause of several major deficiencies with the system. At that time, management decided that it was in OCTA's best interest to strengthen these functions and retained the services of former County of Orange's chief communications engineer to assist in the maintenance of the system. In addition, to provide further technical depth, OCTA's internal IS group was trained to support the system. Finally, OCTA has undertaken a training program with the support of Orbital Sciences to address system maintenance and support.

The Richter Group report emphasized the need for an established, regular maintenance program for the system. Working in conjunction with Orbital Sciences, OCTA staff has recommended a regular, scheduled communications system maintenance program be incorporated into OCTA's regular bus maintenance programs. A recommendation to procure needed maintenance training was approved by the OCTA Board of Directors on July 25, 2005.

5.4 System users excluded from problem resolution

OCTA disagrees with this finding. OCTA's communications system team made it a priority that not only central communications personnel, but also coach operators, line captains and field supervisors were included in problem resolution and system compliance testing.

RECOMMENDATIONS

6.1 Project managers should be dedicated solely to the project and have system expertise.

OCTA agrees with the recommended action. OCTA has determined that on future complex technical procurements, a technically competent, dedicated project manager will be assigned. Further, based on recommendations in the Richter Group report, OCTA will create project management teams to plan and implement such projects.

6.2 Internal audit should monitor contract implementation to ensure payment follows performance.

The recommended action has been implemented. Following the issuance of the internal audit report on this project in 2002, guidelines were established to review significant contracts within the first year of the contract with additional reviews conducted, as considered necessary, throughout the term of the contract.

6.3 Hire an independent consultant to analyze the system and make recommendations for improvement.

The recommended action has been implemented. In March 2005, OCTA retained the services of Dr. Henry L. Richter, Ph.D. / PE and his consulting group to investigate and evaluate OCTA's ITCS system. One outcome of this study is a plan to conduct a system-wide analysis of all vehicle communications systems in FY 2005/2006.

6.4 Implement the recommendations of the independent consultant to improve the system.

The recommended action has been implemented. OCTA received the final Richter Group report on June 20, 2005, and numerous recommendations have already been implemented. In addition, other recommendations will be implemented on an ongoing basis.

6.5 Continue training of technicians as planned, and consider hiring an independent firm with knowledge of the system to perform maintenance.

The recommended action will be implemented. The system provider Orbital Sciences and M/A-COM, will provide system and maintenance training. A recommendation to expend approximately \$80,000 on this training was approved by the OCTA Board of Directors on July 25, 2005.

Due to the proprietary nature of the technology, hiring an independent firm to perform system maintenance is not feasible or cost effective and OCTA is training its own personnel in operations and maintenance of the system.

6.6 Include system users in meetings where the system is being analyzed and recommendations are being made.

The recommended action has been implemented. From the outset of the procurement of this project, system users have been involved in the analysis, implementation and testing of the system. OCTA will expand this practice to utilize system users as a resource of information and ideas for the maintenance and any potential upgrade of the system.

6.7 Take steps to correct the perception by some users that reporting system problems could hurt their OCTA careers.

The recommended action has been implemented. OCTA is committed to open communication and recognizes the need for continual improvement. OCTA's Chief Executive Officer has communicated to executive and management staff his desire for creating an environment where all employees feel free to bring issues and problems to the attention of management. In the future, this perspective will be underscored through additional internal communications such as articles in the employee newsletter and communications via e-mail. The message will be to

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encourage employees to surface issues and provide suggestions to improve delivery of OCTA projects and services.

Conclusion

On behalf of the OCTA Board of Directors, I want to thank the Orange County Grand Jury for its report on the OCTA bus communication system. OCTA continually strives to provide outstanding bus service for Orange County and wants to be a national model for the industry. Constructive feedback can only help in this endeavor.

Should you have any questions, or require additional follow up on this matter, please do not hesitate to contact me directly at (714) 560-5584.

Sincerely,

Arthur T. Leahy
Chief Executive Officer

ATL:dgs

Attachment