OCTA

BOARD COMMITTEE TRANSMITTAL

August 13, 2012

To: Members of the Board of Directors

From: Wendy Knowles, Clerk of the Board

Subject: Measure M2 Comprehensive Transportation Funding Programs -2013 Annual Calls for Projects

Regional Planning and Highways Committee Meeting of August 6, 2012

Present: Directors Bates, Cavecche, Crandall, Glaab, Hansen, Herzog, and Nelson
Absent: Director Galloway

Committee Vote

This item was passed by the Members present.

Director Glaab was not present to vote on this item.

Committee Recommendations

A. Approve the proposed modifications to the Comprehensive Transportation Funding Programs guidelines.

B. Authorize staff to issue the 2013 annual call for projects for the Regional Capacity Program for $35 million.

C. Authorize staff to issue the 2013 annual call for projects for the Regional Traffic Signal Synchronization Program for $15 million.

ORANGE COUNTY TRANSPORTATION AUTHORITY

Measure M2 Comprehensive Transportation Funding Programs -2013 Annual Calls for Projects

Staff Report

August 6, 2012

To: Regional Planning and Highways Committee

From: Will Kempton, Chief Executive Officer

Subject: Measure M2 Comprehensive Transportation Funding Programs - 2013 Annual Calls for Projects

Overview

Measure M2 includes competitive capital grant programs for transportation projects, including the countywide Regional Capacity Program (Project O) and the Regional Traffic Signal Synchronization Program (Project P), which focus on improvements to the Master Plan of Arterial Highways. The Comprehensive Transportation Funding Programs guidelines provide the mechanism for the administration of the annual calls for projects for these various competitive programs. Staff has prepared modifications to the guidelines, funding estimates, and a schedule for the 2013 Regional Capacity Program and Regional Traffic Signal Synchronization Program calls for projects. Guideline modifications and authorization to issue the 2013 calls for projects are presented for Board of Directors' review and approval.

Recommendations

A. Approve the proposed modifications to the Comprehensive Transportation Funding Programs guidelines.

B. Authorize staff to issue the 2013 annual call for projects for the Regional Capacity Program for $35 million.

C. Authorize staff to issue the 2013 annual call for projects for the Regional Traffic Signal Synchronization Program for $15 million.

Background

Measure M2 (M2) includes a number of competitive grant programs that provide funding for regional streets and roads as well as transit projects. On March 22, 2010, the Orange County Transportation Authority (OCTA) Board of Directors (Board) approved guidelines for the Comprehensive Transportation Funding Programs (CTFP), which serves as the mechanism

OCTA uses to administer the Regional Capacity Program (RCP) and the Regional Traffic Signal Synchronization Program (RTSSP). Two annual calls for projects (calls) have been issued to date for both the RCP and RTSSP, providing total project funding allocations of $91 million and $17.5 million, respectively. In preparation for the 2013 annual calls, proposed updates to the guidelines and funding levels have been prepared.

Discussion

Staff worked with the Technical Advisory Committee (TAC) on refinements to the CTFP guidelines. Input was solicited based on the recent RCP and RTSSP calls in an effort to determine where the process could be improved for the 2013 calls. Based on input from the TAC, staff prepared a number of adjustments to the guidelines. These primarily address procedural clarifications and minor language changes. Additionally, provisions were added to assist in the administration of the programs and to provide additional clarification on costs that are eligible for reimbursement through the RCP.

A copy of the CTFP guidelines with the proposed modifications is included in Attachment A. In addition, a summary of the modifications is provided below.

RCP ($35 million funding target)

- Included Master Plan of Arterial Highways cross sections for cost eligibility purposes.
- Clarified language on the eligibility of utility relocations and the local agency responsibility to fund betterment.
- Added requirements related to the submission of a draft resolution with a grant application.

RTSSP ($15 million funding target)

- Added a requirement that if the involved local agencies would like OCTA to implement a regionally significant project, the involved agencies must make a request to OCTA as early as possible in the application process. OCTA will review and concur with the application scope based on discussions with the participating agencies.
- Increased project cap from $60,000 to $200,000 per project corridor mile to account for signal communications and related cost.
- Increased project cap from $20,000 to $60,000 per project signal to account for signal communications and related cost.
- Clarified items required as part of cost estimates to include system integration, contingency, and construction management.

General Program Administration Updates

- Included Measure M2 signage requirements in precepts.
- Clarified the starting point for the timely use of funds provision.
- Clarified the starting point for the 180-day final report requirement.
- Adjusted the semi-annual review process to include operations and maintenance reporting for the Environmental Cleanup Program (ECP).
- Consolidated payment sections in Chapters 8 and 12 into Chapter 10.
- Added requirement that documentation of decision to use local agency forces in lieu of a primary contract be supplied in case of audit.
- Added requirement that documentation supporting local agency liability for the costs of utility relocation be submitted with initial payment requests.
- Included sample payment forms related to RTSSP and ECP.
- Clarified language referring to the technical/field review process conducted as part of final report submittal and OCTA's independent audit process.

Additionally, one minor adjustment was made to the chapter pertaining to the ECP. For the Tier 1 Water Quality Program, the current guidelines call for submittal of a final report within 90 days of the completion of a project. A recommendation is being made to expand the deadline to 180 days after the completion of a project to bring the final report deadline for the ECP in line with the RCP and RTSSP. These recommended modifications were approved by the TAC on June 27, 2012.

Next Steps

With Board approval, staff anticipates sending out announcement letters to the local agencies regarding the calls by August 13, 2012. Project applications would be due to OCTA by October 26, 2012. Staff, in conjunction with the TAC, would prioritize the applications based on the selection criteria in the CTFP guidelines and would return with programming recommendations for final Board approval in spring 2013. Programming allocations would be effective with Board approval and available on July 1, 2013. Some projects may be programmed in subsequent fiscal years (FY) (FY 2014-15 and FY 2015-16), based on schedules provided by local agencies.

Summary

OCTA is ready to release the 2013 RCP and RTSSP calls to enhance street operations, reduce congestion, and improve signal synchronization. The guidelines have been updated to facilitate the issuance of the calls, which have a combined value of approximately $50 million.

Attachment

A. Comprehensive Transportation Funding Programs – August 2012 Guidelines – Orange County Transportation Authority

Prepared by:

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

Approved by:

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

ORANGE COUNTY TRANSPORTATION AUTHORITY

Measure M2 Comprehensive Transportation Funding Programs -2013 Annual Calls for Projects

Attachment A

ATTACHMENT A

A HALF-CENT GOES A LONG WAY

Comprehensive Transportation Funding Programs

August 2012 Guidelines Manual

Orange County Transportation Authority

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I. Overview

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

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

Background

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

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

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

~~Procedures Manual~~Guidelines Overview

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

contained within these ~~manual~~guidelines. OCTA may add, modify, or delete non-Measure M programs over time to reflect legislative action and funding availability.

II. Funding Sources

Renewed Measure M

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

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

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

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

Projects that receive M2 Fair Share revenues are not subject to a competitive process. However, program expenditures must maintain certain eligibility criteria as outlined in the M2 Eligibility Guidance Manual. Jurisdictions must conform to annual eligibility requirements in order to receive fair share funding and participate in the CTFP funding process. Key requirements include:

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

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

State/Federal Programs

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

Call for Projects

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

III. Definitions

1. "Competitive funds" refers to funding allocations received through the CTFP.

2. Renewed Measure M and M2 shall be used interchangeably to refer to the November 2006 voter extension of Measure M.

3. The term "complete project" is inclusive of acquiring environmental documents, preliminary engineering, right-of-way acquisition, construction, and construction engineering.

4. The term "funding allocation," "allocation," "project funding," "competitive funds," "phase" or any form thereof shall refer to the three project phases OCTA funds in the CTFP. Additionally, the "engineering phase" shall include the preparation of environmental documents, preliminary engineering, and right-of-way engineering, and the "right-of-way phase" shall include right-of-way acquisition, and the "construction phase" shall include construction and construction engineering.

5. The term "project phase completion" refers to the date all final 3rd party contractor invoices have been paid and any pending litigation has been adjudicated for either the engineering phase or for the right-of-way phase, and all liens/claims have been settled for the construction phase. The date of project phase completion will begin the 180 day requirement for the submission of a project final report as required by the Measure M2 Ordinance, Attachment B, Section III.A.9.

6. The term "Master Funding Agreements" or any form thereof shall refer to cooperative funding agreements described in Precept 4.

7. The term "agency," "agencies," or any form thereof shall refer to jurisdictions described in precept two.

8. Implementing agency is the lead agency for any proposed project.

9. Work Force Labor Rates (WFLR) include salaries plus fringe benefits.

10. Fully Burdened Labor Rates include WFLR plus up to 30 percent overhead allocation.

11. Match Rate refers to the match funding that a lead agency is pledging through the competitive process.

12. Escalation is the inflationary adjustment added to the application funding request (current year basis). OCTA will base escalation rates on the Engineering News Record (ENR) Construction Cost Index (CCI) 20-city average.

13. Excess Right of Way (ROW) is ROW acquired for projects and deemed excess to the proposed transportation use.

14. The term "Gap Closure" shall refer to the construction of a roadway to its full MPAH build-out for the purpose of connecting two existing ends of that roadway by filling in a missing segment or for completing the terminus of an MPAH roadway. This applies to increased roadway capacity only as it relates to vehicular traffic.

15. The term "reasonable" in reference to project costs shall refer to a cost that, in its nature and amount, does not exceed that which would normally be incurred under the circumstances prevailing at the time the decision was made to incur the cost. Factors that influence the reasonableness of costs: whether the cost is of a type generally recognized as ordinary and necessary for the completion of the work effort and market prices for comparable goods or services.

IV. Precepts

1. The Orange County Transportation Authority (OCTA) Board of Directors (Board) approved these guidelines on March 22, 2010. This edition of the guidelines were amended and subsequently approved by the Board on **September 26, 2011.** The purpose is to provide procedures that assist in the administration of the CTFP under M2 where other superseding documents lack specificity. OCTA, or an agent acting on the authority's behalf, shall enforce these guidelines.

2. All eligible Orange County cities and the County of Orange may participate in the M2 competitive programs and federal funding programs included in the CTFP.

3. To participate in the CTFP, OCTA must declare that an agency is eligible to receive M2 Net Revenues which include local fair share distributions. Failure to meet minimum eligibility requirements after programming of funds will result in deferral or cancellation of funding.

4. The lead agency must execute a Master Funding Agreement with the OCTA. OCTA and lead agencies will periodically amend the agreement via letter to reflect ~~project schedule and~~ funding changes through ~~semi-annual adjustments, CIP revisions, and~~ competitive calls for projects.

5. An agency must have a fully executed letter agreement prior to the obligation of funds. Local agencies may be granted pre-award authority for M2 funded projects once the letter agreement is executed. Local agencies, at their own risk, may use this pre-award authority to advance an M2 funded project prior to the programmed year. Reimbursement will be available in the Board approved programmed year.

6. Local agencies shall scope projects, prepare estimates, and conduct design in cooperation with and in accordance with the standards and procedures required by the jurisdictions involved with the project (e.g., Caltrans, County, state/federal resource agencies).

7. Agencies should select consultants based upon established contract management and applicable public contracting practices, with qualification based selection for architectural/engineering (A/E) services, as well as competitive bidding environments for construction contracts in accordance with the Public Contracts Code. Agencies must meet procurement and contracting requirements of Non-Measure M funding sources which may exceed those identified in the CTFP.

8. Based upon funding availability, a "Call for Projects" shall be considered annually but may be issued less frequently.

9. OCTA shall program projects for a three year period, based upon an estimate of available funds.

10. OCTA will base funding allocations on project cost estimates including up to 10 percent contingency for construction. During the programming process, OCTA adds an inflationary adjustment.

11. OCTA shall escalate project allocations for years two and three. OCTA will base escalation rates on the Engineering News Record (ENR) Construction Cost Index (CCI) 20-city average.

12. Match rate commitments identified by implementing agencies in the project grant application shall remain constant throughout the project. This includes projects where the programming has been escalated for future years. OCTA and implementing agencies shall not reduce match rate commitments or split the match rate by phase.

13. OCTA shall program funds by fiscal year for each phase of a project.

14. An allocation for a specific project shall lapse if the funds are not obligated and a contract is not awarded for that specific project within the fiscal year those funds are programmed.

15. Implementing agencies may request a **one-time** delay of up to 24 months per project allocation. Agencies shall justify this request, receive City Council/Board of Supervisor concurrence, and seek approval of OCTA staff, the TSC, and the TAC as part of the semi-annual review process.

16. Funds that have been obligated shall be used in a timely fashion. In the case of the engineering or construction phases, f~~F~~unds will expire after 36 months from date of contract award. For the right of way phase, funds will expire after 36 months from the date of the first offer letter. A one-time extension of 20 months may be granted through the SAR. For the ROW phase, any delays that require one additional 20 month extension will be considered on a case by case basis.

17. For all construction projects awarded CTFP funds in excess of $500,000 and/or exceeding a 90 day construction period schedule, the local agency shall install and remove signage in accordance with OCTA specifications during the construction period. The implementing agency may request OCTA furnished signage or it may

choose to provide agency furnished signage so long as said signage conforms to OCTA specifications as follows: Signage shall include a Measure M2 logo that is a minimum of 12" tall, an OCTA logo that is a minimum of 3" tall (image files provided by OCTA upon request), verbiage stating "Street Improvements Funded by Measure M" in Myriad Pro, bold condensed font at 256 pt. and "Your dollars at Work" in Myriad Pro, bold condensed font at 180 pt.

18. OCTA shall reprogram funds derived from savings or project cancellation based upon final project status. A lead agency may request to transfer 100% of savings of M2 funds between the phases within a project with approval from the Technical Advisory Committee (TAC) and Board of Directors. Funds can only be transferred to a phase that has already been awarded competitive funds. Such requests must be made within 180 days of project phase completion and prior to the acceptance of a final report. The requests must be submitted as part of the semi-annual review process. M1 funded savings can only be transferred to another M1 funded allocation within the same project. SLPP funds are not eligible for the transfer of savings. Agencies may only use savings as an aid for unanticipated cost overruns.

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

20. Where the functional classification of a roadway differs from the MPAH classification, OCTA shall use the functional classification for the purposes of competitive scoring. An agency may appeal to the TAC to request that the functional classification used be adjusted/reconsidered.

21. For the purpose of calculated level of service (LOS), the capacity used in the volume over capacity calculation shall be 100 percent capacity, or LOS level "E".

22. OCTA shall consider matching fund credit(s) for an implementing agency's proposed projects current and applicable environmental clearance expenditures. OCTA will review and consider these expenditures on a case by case basis at the time of funding approval.

23. An approved CTFP project may be determined ineligible for funding at any time if it is found that M2 funding has replaced all or a portion of funds or commitments that were to be provided by other sources such as: development conditions of approval, development deposits, fee programs, redevelopment programs or other dedicated local funding sources (i.e., assessment districts, community facilities districts, bonds, certificates of participation, etc.). Appeals may be made in accordance with the Appeals section discussed later in this chapter.

24. OCTA may fund environmental mitigation as required for the proposed roadway improvement and as contained in the environmental document. Environmental mitigation shall not exceed 50 percent of the total eligible construction costs.

25. Construction Engineering, Construction Management and/or Project Management shall not exceed 15 percent of the total eligible project cost.

26. OCTA shall evaluate "whole" projects during the initial review process. Subsequent phase application reviews shall not include prior phases in the evaluation unless pledged as a match. The criteria for ranking project applications is included in ~~this manual~~these guidelines as part of each program component chapter.

27. Projects that receive competitive CTFP funds shall not use other competitive funds as a match source. Lead agencies may request project consolidation. The TAC and OCTA Board of Directors must approve consolidation requests. OCTA shall use the average match rate of the consolidated project's individual segments.

28. OCTA shall conduct a semi-annual review of all active CTFP projects. All agencies shall participate in these sessions through a process established by OCTA. Currently, OCTA administers program through OCFundtracker. OCTA shall: 1) verify project schedule, 2) confirm project's continued viability, 3) discuss project changes to ensure successful and timely implementation, and 4) request sufficient information from agencies to administer the CTFP.

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

30. Agencies shall submit payment requests to OCTA in a timely fashion. Agencies may request an initial payment for M2 (up to 75 percent of programmed amount ~~rounded down to the nearest thousand~~ as described in Chapter 10) once a contract has been awarded or once an agency initiates right-of-way activities. The final 25 percent of the available programmed balance will be released upon the submission of an approved final report.

31. The final report retention shall be capped at $500,000 per project phase, but shall in no case be less than 10 percent of the allocation or the contract amount, whichever is less. Should the 75/25 payment distribution ratio result in a final payment retention that exceeds $500,000, the payment percentages will be

adjusted to meet the $500,000 cap until the 10 percent threshold is reached. At no time will the final payment retention be less than 10 percent.

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

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

34. The payment distribution ratio referenced in Precept no. 20 may be modified to a reimbursement process, at the discretion of the OCTA Board of Directors, in the event that financing or bonding is required to meet OCTA's cash flow needs.

35. The OCTA Board of Directors may grant time extensions for special circumstances that are beyond the control of the implementing agency. An agency shall make a formal request for a time extension to OCTA as early as possible, preferably during a semi-annual review, but no later than June 30 of the fiscal year in which OCTA programs the allocation.

36. Agencies may appeal to the TAC on issues that the agency and OCTA staff cannot resolve. An agency may file an appeal by submitting a brief written statement of the facts and circumstances to OCTA staff. The appellant agency must submit a written statement which proposes an action for TAC consideration. The TSC shall recommend specific action for an appeal to the TAC. The OCTA Board of Directors shall have final approval on appeals.

V. ~~2011~~ 2013 Call for Projects – Regional Capacity Program

The ~~2011~~ 2013 Call for Projects (call) will be the ~~second~~ third annual call for Project O – the Regional Capacity Program (RCP) – under M2. Through ~~the various funding sources – to be detailed below –~~ Measure M2 funds, this call will provide approximately **$35 million** for streets and roads improvements across Orange County.

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

For this call, OCTA shall program projects for a three year period, based upon the current estimate of available funds. For specifics on the funding policies that apply to this call, refer to the Program Precepts as found in Section IV of ~~this manual~~these guidelines.

Applications

In order for OCTA to consider a project for funding, applications will be prepared by the local agency responsible for the project implementation. OCTA shall require agencies to submit both online and hardcopy applications for the 2011 call for projects by **5:00 p.m. on Friday, ~~December 2, 2011~~October 26, 2012**. Late submittals will not be accepted.

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

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

Hardcopy applications can be hand delivered to:

600 S. Main Street
Orange, CA 92868

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

Application Review Process

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

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

Board authorization to issue call: ~~September 2011~~August 2012
Applications due to OCTA: ~~December 2, 2011~~October 26, 2012
TSC/TAC Review: February/March ~~2012~~2013
Committee/Board approval: May ~~2012~~2013

M2 Project O Funding

~~Unprogrammed M1 CTFP funds as well as Proposition 1B State-Local Partnership Program (SLPP) formula shares will be used to supplement the available~~ M2 Project O funding will be used for this call.

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

For the 2011 and 2012 calls, SLPP funds ~~will~~ supplemented the available M2 revenues. ~~As part of this call, A~~any construction phase award through ~~this~~ these calls for **$2 million or more** ~~will automatically be~~ included SLPP funds. ~~OCTA staff may modify that threshold as it becomes necessary.~~ Projects utilizing SLPP funds ~~will be~~are subject to the specific SLPP requirements and guidelines, which differ from the requirements for M2 funding as detailed in ~~this manual~~these guidelines. These are enumerated below.

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

2. *California Transportation Commission (CTC) required documentation*: For project(s) granted SLPP funds, the project is subject to additional allocation procedures. Request for CTC allocation requests must include the following documentation:

    a. Submittal of the California Environmental Quality Act (CEQA) environmental document to the CTC for consideration of funding.

    b. Certification of 100 percent design completion.

    c. Right-of-Way Certification concurrence by the California Department of Transportation (Caltrans), in accordance with the California Department of Transportation (Caltrans) Local Procedures Manual (LAPM) Chapter 13.

3. *Procurement Requirements*: For procurement requirements information, see Chapter 15 and 16 of the Caltrans Local Assistance Procedures Manual (LAPM). The local agency is responsible to comply with all local, state, and if applicable, federal requirements for procurement.

4. *Timely Use of Funds Requirements*: **Construction contracts cannot be awarded prior to CTC allocation or Letter of No Prejudice (LONP) approval.** Once a project is allocated by the CTC, it will have six months from the date of allocation to award a contract. If a LONP is approved the implementing agency must begin reporting on contract award within 4 months of the CTC approval.

5. *Required Contracts:*

    a) Master agreement between agency and OCTA which incorporates SLPP requirements.

    b) Caltrans Master agreement and Caltrans program supplement between OCTA and Caltrans.

    c) Construction Contracts (unless work is being carried out by the City directly).

    OCTA and the local agencies will work together to ensure the appropriate contracts are in place and are in compliance with timely use of funds requirements.

6. *Invoicing Requirements*: Invoicing Caltrans for the SLPP projects will be carried out by OCTA. The requirements for the SLPP projects are the same as the STIP and

state reimbursement project requirements. The general requirements are listed below.

a) Exhibit 5-F on Agency letterhead. Located on page 5-41 of the LAPM

b) Caltrans Program Supplement.

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

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

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

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

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

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

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

a) Description of scope of work.

b) Updates on estimated project costs.

c) Updates on schedule.

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

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

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

    a) Scope of completed project.

    b) Final costs as compared to approved project budget.

    c) Duration of completion compared to approved schedule.

    d) Performance outcomes derived from project compared to outcomes in project agreement.

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

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

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

    a) Semi-final audit report within 6 months of the final delivery report.

    b) Final audit report within 12 months after the final delivery report.

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

State-Local Partnership Program Reporting Assistance

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

Chapter 1 – Eligibility

Overview

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

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

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

The M2 Eligibility Preparation Manual outlines the eligibility requirements in detail. OCTA updates the Eligibility Preparation Manual annually and encourages agencies to use it as a reference when preparing items to meet eligibility requirements. Agencies will submit a CIP through an electronic database application. OCTA develops a manual and workshop to prepare local agency staff for the annual eligibility process. OCTA will make both the manual and workshop information available on its website and forwards the link to all local agencies.

Additional Information Regarding MPAH

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

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

MPAH Consistency Review and Amendment Process

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

Exhibit 1-1

SAMPLE RESOLUTION

A RESOLUTION OF THE CITY COUNCIL OF THE CITY/COUNTY OF _____
CONCERNING THE STATUS OF THE CIRCULATION ELEMENT
FOR THE CITY/COUNTY OF _____

WHEREAS, the City/County of _____ desires to maintain and improve the streets within its jurisdiction, including those arterials contained in the Master Plan of Arterial Highways (MPAH), and

WHEREAS, the City/County of _____ has endorsed a definition of and a purpose for, determining consistency of the City's Traffic Circulation Plan with the MPAH, and

WHEREAS, the City/County has adopted a General Plan Circulation Element which does not preclude implementation of the MPAH within its jurisdiction, and

WHEREAS, the City/County has adopted a resolution informing the Orange County Transportation Authority (OCTA) that the City's/County's Circulation Element is in conformance with the Master Plan of Arterial Highways and whether any changes to any arterial highways of said Circulation Element have been adopted by the City/County during Fiscal Years 20__ and 20__

WHEREAS, the City/County is required to send annually to the OCTA all recommended changes to the City/County Circulation Element and the County Master Plan of Arterial Highways for the purpose of re-qualifying for participation in Measure M Streets and Road Programs.

NOW, THEREFORE, BE IT RESOLVED THAT the City/County of _____ does hereby inform the OCTA that:

a) The arterial highway portion of the City/County Circulation Element of the City is in conformance with the County Master Plan of Arterial Highways.

b) The City/County attests that no unilateral reduction in through lanes has been made on any MPAH arterials during Fiscal Years 20__ and 20__.

c) The City/County has adopted a uniform setback ordinance providing for the preservation of right-of-way consistent with the MPAH arterial highway classification.

d) The City/County has adopted provisions for the limitation of access to arterial highways in order to protect the integrity of the system.

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Chapter 2 – Project Programming

Program Consolidation

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

Sequential Programming Process

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

In response to concerns raised by the OCTA Board of Directors and the Taxpayers Oversight Committee responsible for M2 oversight, OCTA will use a shorter term and sequential funding approach for M2 projects. OCTA expects this new approach to aid in a more timely use of funding and limit the potential for unanticipated project completion delays inherent with long lead time projects.

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

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

OR

- An agency may request implementation funding as part of the planning phase if the agency can demonstrate that the policy variance is necessary for timely

implementation. The agency will waive the opportunity to request a project delay.

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

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

Funding Projections – Call for Projects

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

Programming Adjustments

OCTA bases funding allocations on cost estimates that agencies provide and that OCTA validates against industry norms during the evaluation process. Agencies must provide estimates in current year dollars. OCTA will apply a construction cost index (CCI) adjustment to the first year of the funding cycle for implementation activities (right of way and construction) and is not subject to further adjustment.

Projects programmed in Year Two or Year Three include a CCI-based adjustment factor. Agencies shall not receive allocation increases. Cost overruns are the responsibility of agencies and may count against agencies' match commitment for eligible activities. Agencies may request scope adjustments to meet budget shortfalls when the agency can demonstrate substantial consistency and attainment of proposed transportation benefits compared to the original project scope.

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

Project Cost Escalation

OCTA will escalate approved projects in years two and three. Match rate commitments identified by implementing agencies in the project grant application shall remain constant throughout the project. This includes projects where the programming has been escalated for future years. OCTA will base escalation rates for future years on Engineering News Record (ENR) Construction Cost Index (CCI) escalation rates.

Each March, OCTA shall validate the escalation rate that will be used for projects programmed in the next fiscal year beginning on July 1st. Agencies should be aware that the rate established by OCTA each March may be greater or less than the "planning" rate used when projects were originally approved for funding.

Project Readiness

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

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

1. Approval for environmental clearance (CEQA for Measure M programs, NEPA and CEQA for federally funded programs), or;

2. Exempt (categorically or statutorily) under CEQA and/or NEPA (as applicable).

OCTA may consider exceptions to these programming rules, on a case by case basis, if an agency can confirm that a project will receive environmental clearance prior to the

scheduled start of right-of-way and construction. OCTA will not approve payment requests for right-of-way and construction until a project receives environmental clearance.

Programming Policies

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

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

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

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

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

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

Schedule change requests

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

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

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

Timely use of funds

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

Project Advancements

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

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

Should OCTA be unable to accommodate an advancement request for a project funded through Measure M, due to cash flow constraints, the agency may still move forward with the project using local funding. (See Precept no. 5) The lead agency must have a fully executed letter agreement ~~receive authorization/approval from OCTA~~ prior to beginning work. The lead agency may subsequently seek reimbursement of CTFP funds in the fiscal

year in which funds are programmed. Reimbursement shall follow the standard CTFP process described in Chapter 10.

Semi-Annual Review

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

Projects are reviewed to:

1. Update project cost estimates. For any project experiencing cost increases exceeding 10% of the originally contracted amount, a revised cost estimate must be submitted to OCTA. This is applicable even if the increase is within the overall grant allocation amount.
2. Review the project delivery schedule
3. Determine the project's continued viability
4. Verify project operations and maintenance expenditures (Environmental Cleanup Program)

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

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

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

- Require local agencies to abide by **Time Extension Policy**:

    - Agencies may request a delay of up to 24 months per allocation. Jurisdictions will be required to justify this request and seek approval of OCTA staff, Technical Steering Committee (TSC), and the TAC as part of the semi-annual review process.

    - Approved schedule changes will require an update of the local jurisdiction's seven-year CIP and the OCTA cooperative funding agreement.

    - Evidence of Council approval (resolution, minute order, or notification) must be provided prior to OCTA Board approval of delays.

    - An administrative extension may be granted for expiring M2 funds for a project phase that is clearly engaged in the procurement process (advertised but not yet awarded).

Environmental Cleanup Program Operations and Maintenance Reporting

For Tier 1 of the Environmental Cleanup Program, ongoing operations and maintenance of the project can be pledged as a match. (page 12-6) As part of the SAR reporting process, OCTA will verify local agency operations and maintenance expenditures to ensure local match commitments are being met. Local agencies must complete Form 10-17 (sample on page 10-59) for each ECP grant as part of their SAR updates.

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Chapter 3 – Arterial Highway Rehabilitation Program

Program Overview

The Arterial Highway Rehabilitation Program (AHRP) has been developed to address long term pavement maintenance in Orange County. Specifically, the AHRP is designed to fund pavement rehabilitation and/or reconstruction projects on Master Plan of Arterial Highway (MPAH) arterial roadways throughout Orange County.

Eligible Expenditures

The following general type of projects will be eligible under this program:

- Overlay
- Rehabilitation
- Reconstruction

For each of these projects the following expenditures will be eligible:[1]

- Engineering
- Construction
- Construction Engineering
- Bike lanes (striping only, must be on the Master Plan of County-wide Bikeways)
- Bus Turnouts (resurfacing only, must be on an OCTA route)
- Portland Concrete Cement (PCC) Bus Pads
- Replacement of parking lanes, curbs, gutters, catch basins, and minor profile revisions (i.e., curb to curb) as required by project
- Use of alternative materials such as rubberized asphalt, PCC, etc.
- Construction or modification of curb ramps within the limits of the project as necessary to satisfy Americans with Disabilities Act (ADA) requirements

Potentially Eligible Expenditures

Items that are potentially eligible under AHRP are:

- Sidewalks if mandated for ADA type improvement/upgrade and only up to 10% of the total improvement costs.

Ineligible Expenditures

Items that are not eligible under AHRP are:

- Landscaping
- New parking lanes, new curb and gutter

[1] For federally funded projects, expenditures prior to approval of the E-76 form will not be eligible.

- Utility adjustments that do not have prior rights
- Materials Report or other planning activity
- Environmental Documentation
- Retroactive Design Engineering
- Expenditures incurred prior to E-76 approval for the respective project phase

Slurry seals or overlays with a depth of less than 1.2 inches (0.10') are considered routine maintenance and shall not be eligible.

Requirements

Project Eligibility

Projects submitted for this program must be on the MPAH. Streets or roads that are not on the MPAH are ineligible to participate in this program. In addition, only arterials designated by local agencies' Pavement Management Plans (PMP) as having a Pavement Condition Index (PCI) of 74 or less in accordance with the following table shall be eligible for funding. Thickness may be adjusted for rubberized asphalt according to industry and standard practices.

Pavement Condition Assessment Standards

Condition Category	PCI Thresholds	Treatment	Eligible
Very Good	86-100	None Proposed	No
Good	75-85	Slurry Seal	No
Fair	60-74	Thin Overlay	Yes
Poor	41-59	Thick Overlay	Yes
Very Poor	0-40	Reconstruction	Yes

Matching Funds

Agencies will be required to provide 50 percent matching funds for each candidate project. Surface Transportation Program or M2 CTFP funds may not be used as matching funds. M2 local fair share funds can be used as matching funds for any phase. Projects will be limited to a maximum total funding amount of $400,000 or as otherwise approved. This cap provides an opportunity to fund more projects given the limited

resources. Additional matching funds for corridor improvements may be considered after approval of the project priority list.

Engineering and Inspection Costs

Preliminary engineering and inspection costs will be limited to a maximum of 10 percent and 15 percent, respectively, of the total construction, and general overhead shall not exceed 30 percent of payroll and fringe benefits.

Application Process

Funding for this program has not yet been identified and is not included in the initial call for projects.

Agencies will be required to complete and submit application materials provided by OCTA. In addition, detailed cost estimates, field survey evaluation documentation, pavement condition indices from respective PMP's, and a council resolution authorizing the application will be required at the time of submittal.

Cooperative project development is encouraged. Projects located within neighboring jurisdictions require letters of support from the affected agency(ies).

Additional Requirements

Because AHRP funds may come from federal sources, additional steps are required to ensure proper receipt of funds.

1. Local agencies must execute a funding agreement for use of any federal funds.

2. Once projects are approved by OCTA they will be administered by Caltrans Local Assistance. They will require additional information and review of projects. It is imperative that local agencies contact Caltrans once funding is approved.

3. OCTA staff and Cities will jointly explore, on a case-by-case basis, the possibility of a funds exchange with Gas Tax or Measure M funds.

4. Projects must be included in the Regional Transportation Improvement Program (RTIP) before agencies can begin work. Local agencies will be responsible for including projects in the RTIP, OCTA will administer amendments as necessary.

5. An agency must receive an "Authorization to Proceed" (an approved E-76 form from Caltrans). Caltrans Local Assistance is responsible for processing this form. Any activity undertaken by the local agency prior to approval of the E-76 form will not be reimbursed.

Chapter 4 – Transit Extensions to Metrolink (Project S)

Overview

This Measure M2 (M2) Program establishes a competitive process to enable local jurisdictions to enhance regional transit capabilities through creation of new connections to the existing Metrolink system. Projects must meet specific criteria in order to compete for funding through this program. In addition, local jurisdictions will be required to demonstrate the ability to fund the local share of operations and maintenance on an ongoing basis using non-Orange County Transportation Authority (OCTA) resources. Public-private partnerships[2] are encouraged but not required.

Objectives

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

Project Participation Categories

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

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

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

[2] Public-private partnerships are defined as direct financial contributions or sponsorships for eligible program activities.

- Maintenance facilities and fueling stations

Match Funding Requirements

Local funding must meet a minimum 10 percent match requirement for the whole project comprised of any combination private contributions, advertising revenues, and local discretionary funds. Match funding commitments in excess of 10 percent for one project phase (capital or operations/maintenance) may result in a reduced minimum match requirement for another phase subject to Board of Directors (Board) approval. Match funding commitments will be incorporated into the master funding agreement and will apply on an annual basis to the entire service life of the project (typically 5, 7, or 25 years).

Eligibility Requirements

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

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

Selection Criteria

Specific selection criteria will be used to evaluate competitive program project applications. (See Table 4.1) Emphasis is placed on projects with firm financial commitments and overall project readiness as shown on the Project S selection criteria. In addition, projects will be evaluated based upon existing and future transit usage, ease of connection, cost effectiveness, and local/regional benefits. Although a minimum of 10 percent match funding for capital investments is required, projects that leverage M2 funds with a higher percentage from other sources are encouraged and will be more competitive.

Application Process

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

- Complete information application
- Provide funding/operations plan
- Allocations subject to master funding agreement

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

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

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

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

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

Application Guidelines

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

Financial Details

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

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

Technical Attributes

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

- Planned employment densities per square mile (opening year)
- Planned population densities per square mile (opening year)

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

Other Application Materials

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

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

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

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

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

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

Reimbursements

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

Project Cancellation

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

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

Audits

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

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

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

* May assume first three-years Congestion Mitigation Air Quality funded and no Project S funds for operations
** Average within 1/4 mile of each station
*** Total within 2 miles of proposed route (one mile buffer)
****Incremental cost per hour of system user benefit from FTA "Summit" Program (in opening and horizon years)

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Chapter 5 – Metrolink Gateways (Project T)

Overview

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

Objectives

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

Project Participation Categories

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

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

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

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

Eligibility Requirements

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

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

Funding Estimates

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

Selection Criteria

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

Application Process

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

- Complete information application
- Provide funding/operations plan
- Allocations subject to Master funding agreement

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

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

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

Applications will be reviewed by the Authority for consistency, accuracy and concurrence. Once applications have been completed in accordance with the program requirements, the projects will be scored, ranked and submitted to the T2020 Committee and Board of Directors for consideration and funding approval.

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

Reimbursements

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

Status Reports

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

Project Cancellation

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

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

Audits

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

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

Application Guidelines

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

Financial Details

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

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

Technical Attributes

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

- Current employment estimates within five mile radius of project site (cite reference)

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

Other Application Materials

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

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

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

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

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

[2]Program should not build retail or other leasable space. Mixed Use and TOD elements will be the responsibility of others.

[3] "Off-site" improvements adjacent to the project site such as monumentation, traffic control, etc.

TABLE 5-1

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

Financial Commitment (30 points)

Total Project Cost (information only)	
$ (capital)	*(No Points)*
Percent of M2 for capital	
50% or less	16 points
51% to 65%	12 points
66% to 80%	8 points
81% to 90%	4 points
Level of commitment from private partners	
Investment agreement (binding)	8 points
Commitment letters	2 points
OCTA concurrence with financial assumptions/analysis	
Yes	6 points
No	0 points

Readiness (20 points)

High-speed rail system status	
In constrained 2008 RTP	10 points
Added in unconstrained RTP	2 points
Land acquired for total project	
Yes	5 points
No	0 points
Project design status	
Design complete	5 points
Environmental complete	3 points
PSR equivelent complete	1 point

Regional Markets / Land Use (12 points)

Adjacent freeway lane miles (within five miles)	
>500 lane miles	3 points
400 to 500 lane miles	2 points
<400 lane miles	1 point
Current employment (within 5 miles)	
>350,000	3 points
200,000 to 350,000	2 points
<200,000	1 point
Planned job density within 1,500 feet	
>2.0 avg. floor area ratio	3 points
1.5 to 2.0 avg. floor area ratio	2 points
<1.5 avg. floor area ratio	1 point
Planned housing density within 1,500 feet	
>35 dwelling units/acre	
20 to 35 dwelling units/acre	
<20 dwelling units/acre	

Transit Usage (20 points)

Existing transit boardings (within 5 miles)	
>75,000 a day	4 points
50,000 to 75,000 a day	3 points
25,000 to 49,000 a day	2 points
<25,000 a day	1 point
Transit boardings growth (within 5 miles)	
>20,000 daily increase	8 points
15,000 to 20,000 daily increase	6 points
10,000 to 14,900 daily increase	4 points
<10,000 daily increase	2 points
Consistent ridership projections	
100% to 110% of OCTAM*	
111% to 120% of OCTAM	
121% to 140% of OCTAM	
**Projections below OCTAM get 8 points*	

Intermodal Connections (18 points)

Number of current transit modes provided	
>6	5 points
4 to 6	3 points
<4	1 point
Future increase in the number of transit modes	
>5 added	10 points
3 to 5 added	6 points
<3 added	2 points
OCTA concurrence with intermodal analysis	
Yes	3 points
No	0 points

* OCTAM - Orange County Transportation Analysis Model

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

Overview

This M2 project establishes a competitive program for local jurisdictions to develop local bus transit services such as community based circulators, shuttles and bus trolleys that complement regional bus and rail services, and meet needs in areas not adequately served by regional transit.

Program funding guidelines and project selection criteria are being developed. A transit call for projects may be issued in 2010.

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Chapter 7 – Regional Capacity Program

Introduction

The Regional Capacity Program (RCP) is a competitive program that will provide more than $1 billion over a thirty year period. The RCP replaces the current Measure M Local and Regional streets and roads competitive programs.

Although each improvement category described in this chapter has specific eligible activities, the use of RCP funding is restricted to and must be consistent with the provisions outlined in Article XIX of the State Constitution. In the case of any ambiguity related to Article XIX, the California State Controllers Gas Tax Guidelines will provide additional clarification.

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

- The Arterial Capacity Enhancements (ACE) improvement category complements freeway improvement initiatives underway and supplements development mitigation opportunities on arterials throughout the MPAH.

- The Intersection Capacity Enhancements (ICE) improvement category provides funding for operational and capacity improvements at intersecting MPAH roadways.

- The Freeway Arterial/Streets Transition (FAST) focuses upon street to freeway interchanges and includes added emphasis upon arterial transitions to interchanges.

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

Also included under the RCP is the Rail Grade Separation Program (RGSP), which is meant to address vehicle delays and safety issues related to at-grade rail crossings. Seven rail crossing projects along the Master Plan of Arterial Highways (MPAH) network were identified by the CTC to receive Trade Corridors Improvement Funds (TCIF). These TCIF allocations required an additional local funding commitment. To meet this need, the Board approved the commitment of $160 million in Regional Capacity Program funds to be allocated from M2. The RGSP captures these prior funding commitments. Future calls for projects for grade separations are not anticipated.

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Section 7.1 – Arterial Capacity Enhancements (ACE)

Overview

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

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

Objectives

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

Project Participation Categories

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

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

Eligible Activities

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

Potentially Eligible Items

- Direct environmental mitigation
- Storm drains/catch basins/detention basins/bioswales
- Sound walls (in conjunction with roadway improvement mitigation measures)
- Aesthetic improvements including landscaping within the project ROW (eligible improvements up to 25% of construction costs, provided costs are reasonable for the transportation benefit)
- ITS infrastructure (advance placement in anticipation of future project)
- Rehabilitation and/or resurfacing of existing pavement when necessitated by proposed improvement (such as change in profile and cross section)
- Utility relocation

Environmental mitigation will be allowed only as required for the proposed roadway improvement, and only as contained in the environmental document. Program participation in environmental mitigation shall not exceed 50% of the total eligible construction costs.

Longitudinal storm drains are eligible for program participation when, in the opinion of the TAC, the storm drain is an incidental part (cost is less than 50% of the total eligible improvement cost) of an eligible improvement. Program participation shall not exceed 25% of the cost of storm drain longitudinal/parallel and main lines. Storm drain inlets, connectors, laterals and cross culverts shall have full participation in ACE Program funding.

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

Soundwalls are eligible only if they are required as part of the environmental mitigation for the proposed project. Aesthetic enhancements and landscaping in excess of minimum environmental mitigation requirements are subject to limitations described in this section above.

Utility Relocations

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

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

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

Liability can be determined by property rights, franchise rights/agreements, state and local statutes/ordinances, permits, or a finding by the local agency's counsel. Documentation providing proof of the local agency's liability for the costs of utility relocation must be submitted with an initial payment request (see Chapter 10).

If a relocation is eligible to be reimbursed, and to be performed by the utility owner or by the utility owner's contractor, the work should be included in the ROW phase costs and clearly identified in the project application submittal. For eligible relocations to be performed during the construction phase by the local agency's contractor, the work should be included in the plans and specifications like any other construction activity.

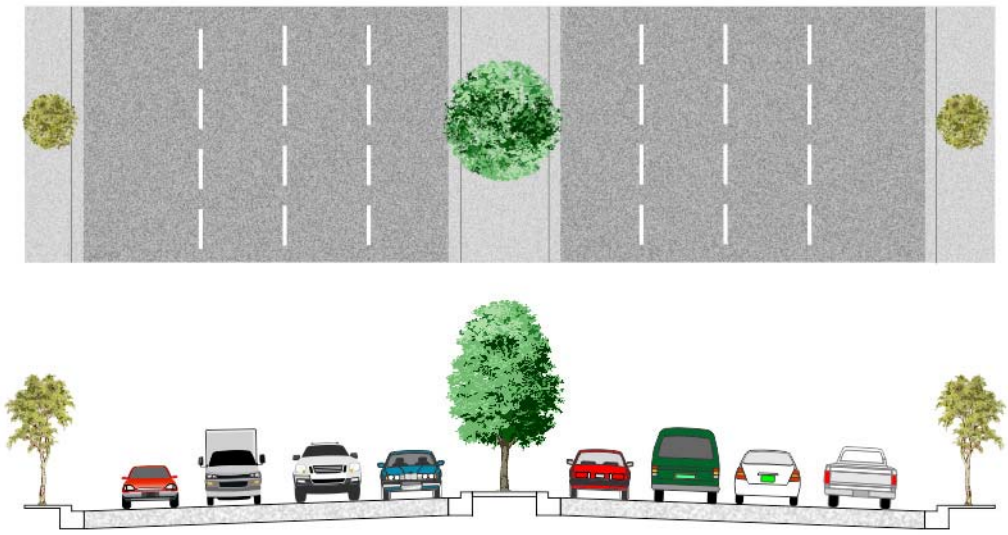
In all cases, eligible costs shall only include "in-kind" relocation. No reimbursements will be made for betterments above the cost of "in-kind" relocation. Additionally, costs submitted for program reimbursement must include any salvage credits received.

Ineligible Expenditures

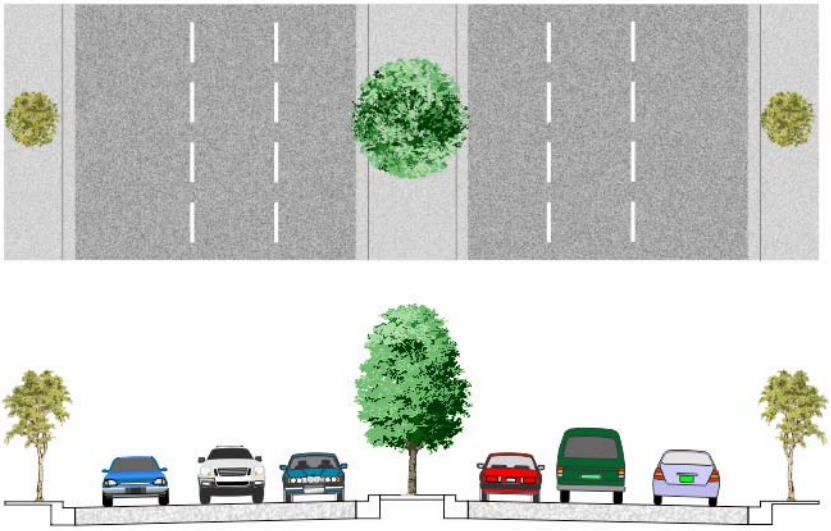
Items that are not eligible under the ACE Program are:

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

Exhibit 7-1
Standard MPAH Cross Sections

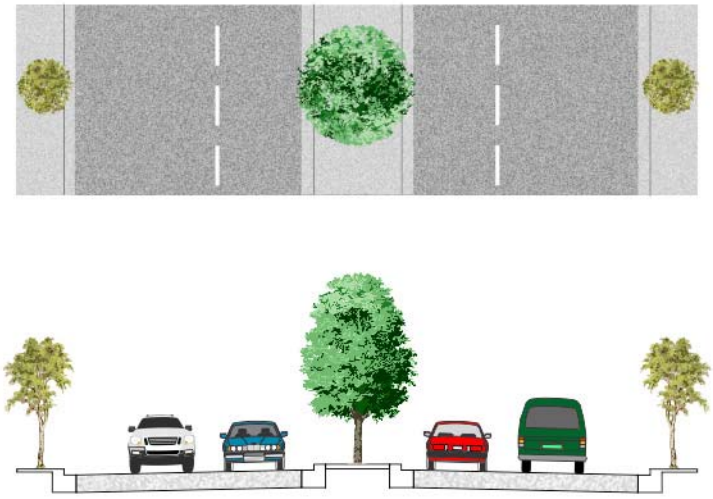


PRINCIPAL
144 FT
(8 LANES, DIVIDED)

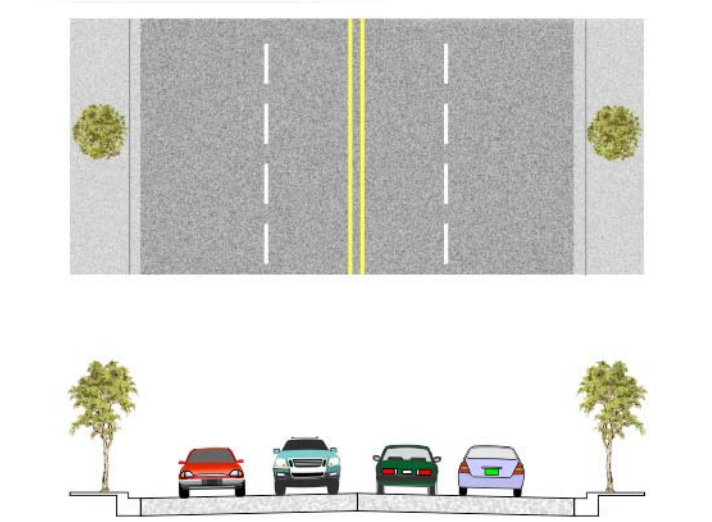


MAJOR
120FT
(6 LANES, DIVIDED)

Exhibit 7-1 *continued*
Standard MPAH Cross Sections

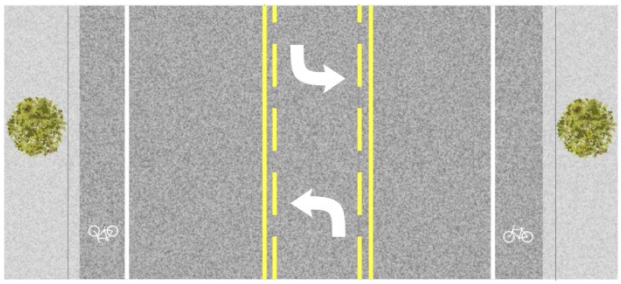


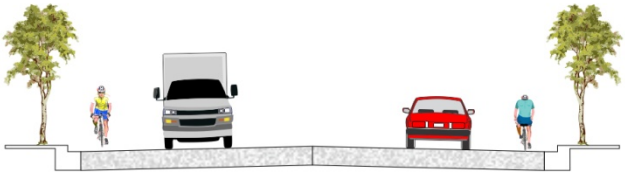
PRIMARY
100 FT
(4 LANES, DIVIDED)



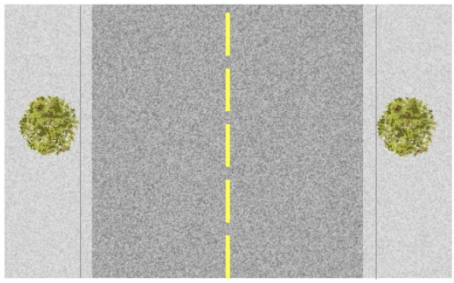
SECONDARY
80 FT
(4 LANES, UNDIVIDED)

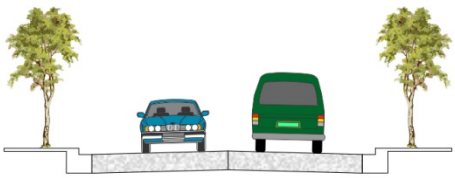
Exhibit 7-1 *continued*
Standard MPAH Cross Sections





DIVIDED COLLECTOR
80 FT
(2 LANES, DIVIDED)





COLLECTOR
56 FT
(2 LANES, UNDIVIDED)

Master Plan of Arterial Highway Capacities

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

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

Note: Values are maximum Average Daily Traffic

Funding Estimates

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

Selection Criteria

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

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts or OCTA Traffic Flow Map data for the proposed segment for comparison purposes. The agency must submit the project

projected ADT, current ADT, the delta, as well as a justification of the increase. Regarding "current" counts, these are defined as those taken for a typical mid-week period within the preceding 12-month period. New facilities will be modeled through OCTAM and requests should be submitted to OCTA with sufficient time to generate report prior to submittal of application.

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

Vehicle Miles Travelled (VMT): Centerline length of segment proposed for improvement multiplied by the existing ADT for the proposed segment length.

Current Project Readiness: This category is additive. Points are earned for each satisfied readiness stage at the time applications are submitted. Right of Way (All easements and titles) applies where no ROW is needed for the project or where all ROW has been acquired/dedicated). Right of Way (all offers issued) applies where offers have been made for every parcel where acquisition is required and/or offers of dedication have been received by the jurisdiction. Final Design (PS&E) applies where the jurisdiction's City engineer or other authorized person has approved the final design. Preliminary design (35% level) will require certification from the City Engineer and is subject to verification. Environmental Approvals applies where all environmental clearances have been obtained on the project.

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

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

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

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

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

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

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

- Gap Closures: the construction of a roadway to its full MPAH build-out for the purpose of connecting two existing ends of that roadway by filling in a missing segment or for completing the terminus of an MPAH roadway. This applies to increased roadway capacity only as it relates to vehicular traffic.
- New Facility/Extensions: Construction of new roadways.
- Bridge crossing: Widening of bridge crossing within the project limits.
- Adds capacity: Addition of through traffic lanes.
- Improves traffic flow: Installation of a median, restricting cross street traffic, adding midblock turn lanes, or elimination of driveways.

Level of Service (LOS) Improvement: This category is a product of the existing or projected LOS based upon volume/capacity– or v/c -- and LOS improvement "with project". **Projects must meet a minimum existing or projected LOS of "D" (.81 v/c) to qualify for priority consideration for funding.** Projects that do not meet the minimum LOS "D" can be submitted, but are not guaranteed consideration as part of the competitive process.

If during the competitive process, it is determined that additional programming capacity exists after all eligible projects with LOS "D" have been funded, a consideration of projects with a minimum LOS "C" (.71 v/c) may be undertaken. Such consideration will be at the discretion of OCTA.

Application Process

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

- Complete application
  - Funding needs by phase and fiscal year
  - Match funding source
  - Supporting technical information
  - Project development and implementation schedule
  - Right of way status and strategy for acquisition
  - Any additional information deemed relevant by the applicant
- Allocations subject to Master Funding Agreement

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

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

Minimum Eligibility Requirements

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

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

New Facilities

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

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

Level of Service: LOS on existing facilities may be positively or negatively affected by a proposed new roadway segment through trip redistribution. A current condition model run is generated "with" and "without" the proposed project. The intent is to test the efficacy of the proposed segment. A comparison of these before and after project runs (using current traffic volumes) yields potential discernable changes in LOS. The greatest benefit is generally on a parallel facility directly adjacent to the proposed project. Trip distribution changes generally dissipate farther from the project. For evaluation purposes, the segment LOS (determined through a simple volume / capacity calculation) for the "with" and "without project" will be used for the Existing LOS and LOS Improvement calculations.

Matching Funds

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

Other Application Materials

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

Council Approval: A Council Resolution or Minute Order action authorizing request for funding consideration with a commitment of project match funding (local sources) must be provided with the project application. **If a *draft* copy of the resolution is provided, the local agency must also provide the date the resolution will be finalized by the local agency's governing body.**

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

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

Project Summary Information: With each application, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for review and discussion purposes. The presentation shall be no more than three (3) slides and should contain, at a minimum, a project description, project benefits, location map, and cost estimate. Should the project submitted be recommended for funding, agency staff should be prepared to present the PowerPoint to the TSC.

Reimbursements

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

Project Cancellation

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

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

Audits

All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation, which may include repayment, reduction in overall allocation, and/or other sanctions to be determined.

Audits shall be conducted by OCTA's Internal Audit department or other authorized agent either through the normal annual process or on a schedule to be determined by the OCTA Board of Directors. See Chapter 11 for detailed independent audit requirements.

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

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TABLE 7-1

Regional Capacity Program
Street Widening

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

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TABLE 7-2

Point Breakdown for Widening Projects
Maximum Points = 100

Facility Usage **Points: 25**

Existing ADT

Range		Points
40+	thousand	10
35 - 39	thousand	8
30 - 34	thousand	6
25 - 29	thousand	5
20 - 24	thousand	4
15 - 19	thousand	3
10-14	thousand	2
5 - 9	thousand	1
<5	thousand	0

VMT

Range		Points
22+	thousand	10
18 - 21	thousand	8
14 - 17	thousand	6
11 - 13	thousand	5
8 - 10	thousand	4
5 - 7	thousand	3
3 - 4	thousand	2
1.5 - 2	thousand	1
<1,500	thousand	0

Current Project Readiness — Max Points: 5

Range	Points
Right Of Way (All easement and titles)	3
Right Of Way (All offers issued)	1
Final Design (PS&E)	1
Preliminary Design (35%)	1
Environmental Approvals	1

Points are additive, ROW limited to highest qualifying designation

Economic Effectiveness **Points: 20**

Cost Benefit (Total $/ADT)

Range*	Points
<25	15
25-49	13
50 - 74	11
75 - 99	9
100 - 149	7
150 - 199	5
200 - 249	4
250 - 299	3
300 - 349	2
350+	1

Funding Over-Match (local match/project cost) minus minimum local match requirement

Range*		Points
30+	%	5
25-29	%	4
20 - 24	%	3
15 - 19	%	2
10 - 14	%	1
0-9	%	0

*Range refers to % points above agency minimum requirement

Facility Importance **Points: 20**

Transportation Significance

Range	Points
Principal or CMP Route	5
Major	4
Primary	3
Secondary	2
Collector	1

MPAH Assessment Category

Range	Points
Category 1	10
Category 2	8
Category 3	6
Category 4	4
Category 5	2

Operational Efficiencies — Maximum 5 points

Characteristics (i.e.)	Points
Pedestrian Facilities (New)	3
Meets MPAH Configs.	3
Active Transit Route(s)	2
Bus Turnouts	2
Bike Lanes (New)	2
Median (Raised)	2
Remove On-Street Parking	1
Other	2

Benefit: **Points: 35**

Improvement Characteristics	Points
Gap Closure	10
New Facility/Extension	8
Bridge Crossing	8
Adds Capacity	6
Improves Traffic Flow	2

LOS Improvement — Max Points: 25

Calculation: LOS Imp x LOS Starting Pt.

Existing LOS Starting Point

Range	Points
1.06+	5
1.01 - 1.05	4
.96 - 1.00	3
.91 -. 95	2
.81-.90	1

LOS Improvement W/Project (exist. volume)

Range	Points
.20+	5
.16-.19	4
.1-.15	3
.05 - .09	2
<.05	1

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Section 7.2 – Intersection Capacity Enhancements (ICE)

Overview

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

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

For the purposes of the ICE improvement category, the limits of an intersection shall be defined as the area that includes all necessary (or planned) through lanes, turn pockets, and associated transitions required for the intersection. Project limits of up to 600 feet for each intersection leg is recommended.

Objectives

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

Project Participation Categories

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

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

Eligible Activities

- Planning, environmental clearance
- Design (plans, specifications, and estimates)
- Right of way acquisition

- Construction (including bus turnouts, curb ramps, median, and striping)

Potentially Eligible Items

- Storm drains/catch basins
- Aesthetic improvements including landscaping within the project ROW (eligible improvements up to 25% of construction costs, provided costs are reasonable for the transportation benefit)
- Signal equipment (as incidental component of program)

Ineligible Items

- Right of way acquisition greater than the typical right of way width for the applicable MPAH Roadway Classification. Additional turn lanes not exceeding 12 feet in width needed to maintain an intersection LOS D requiring right of way in excess of the typical right of way width for the applicable MPAH classification shall be fully eligible. Where full parcel acquisitions are necessary to meet typical right of way requirements for the MPAH classification any excess parcels shall be disposed of in accordance with the provisions of these guidelines and State statutes.
- Enhanced landscaping and aesthetic improvements.

Environmental mitigation will be allowed only as required for the proposed roadway improvement, and only as contained in the environmental document. Program participation in environmental mitigation shall not exceed 50 percent of the total eligible project costs.

Longitudinal storm drains are eligible for program participation when, in the opinion of the TAC, the storm drain is an incidental part (cost is less than 50 percent of the total eligible improvement cost) of an eligible improvement. Program participation shall not exceed 25 percent of the cost of storm drain longitudinal/parallel and main lines. Storm drain inlets, connectors, laterals and cross culverts shall have full participation in ICE improvement category funding.

Soundwalls are eligible only if they are required as part of the environmental clearance for the proposed project. Program participation for soundwalls shall not exceed 50 percent of the total eligible project costs.

Funding Estimates

Funding will be provided on a pay-as-you go basis. The RCP will make an estimated $1.1 billion available (in 2005 dollars) during the 30-year M2 program. Programming

estimates are developed in conjunction with periodic calls for projects. Funding is shared with road widening, interchange and grade separation improvement categories. No predetermined funding set aside has been established for intersection improvements.

Selection Criteria

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

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts or OCTA Traffic Flow Map data for the proposed segment for comparison purposes. The agency must submit the project projected ADT, current ADT, the delta, as well as a justification of the increase. Regarding "current" counts, these are defined as those taken for a typical mid-week period within the preceding 12-month period. Average ADT for the east and west legs of the intersection will be added to the average ADT for the north and south legs.

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

Current Project Readiness: This category is additive. Points are earned for each satisfied readiness stage at the time applications are submitted. Right of Way (All easements and titles) applies were no ROW is needed for the project or where all ROW has been acquired/dedicated). Right of Way (all offers issued) applies where offers have been made for every parcel where acquisition is required and/or offers of dedication have been received by the jurisdiction. Final Design (PS&E) applies where the jurisdiction's City Engineer or other authorized person has approved the final design. Preliminary design (35% level) will require certification from the City Engineer and is subject to verification. Environmental Approvals applies where all environmental clearances have been obtained on the project.

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

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

Coordination with Contiguous project: Projects that complement a proposed arterial improvement project with a similar implementation schedule earn points in this category.

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

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

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

- Bike Lanes/Bus Turnouts: Extension of bike lanes (Class I or II) through intersection or construction of a bus turnout as a new feature.
- Lowers density: Addition of through travel lanes.
- Channels traffic: Addition and/or extension of turn pockets.
- Pedestrian Facilities: Placement of a new sidewalk if none currently exists.
- Grade separations: Street to street grade separations and do not apply to rail grade separation projects which are covered by the grade separation program category.

Level of Service (LOS) Improvement: This category is a product of the existing or projected LOS based upon volume/capacity– or v/c -- and LOS improvement "with project". **Projects must meet a minimum existing or projected LOS of "D" (.81 v/c) to qualify for priority consideration for funding.** Projects that do not meet the minimum LOS "D" can be submitted, but are not guaranteed consideration as part of the competitive process.

If during the competitive process, it is determined that additional programming capacity exists after all eligible projects with LOS "D" have been funded, a consideration of projects with a minimum LOS "C" (.71 v/c) may be undertaken. Such consideration will be at the discretion of OCTA.

Application Process

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

- Complete application
  - Funding needs by phase and fiscal year
  - Match funding source
  - Supporting technical information
  - Project development and implementation schedule
  - Right of way status and strategy for acquisition
  - Any additional information deemed relevant by the applicant
- Allocations subject to master funding agreement

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

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

Minimum Eligibility Requirements

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

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

Matching Funds

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

Other Application Materials

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

Council Approval: A Council Resolution or Minute Order action authorizing request for funding consideration with a commitment of project match funding (local sources) must be provided with the project application. **If a *draft* copy of the resolution is provided, the local agency must also provide the date the resolution will be finalized by the local agency's governing body.**

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

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

Project Summary Information: With each application, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for review and discussion purposes. The presentation shall be no more than three (3) slides and should contain, at a minimum, a project description, project benefits, location map, and cost estimate. ~~-~~Should the project submitted be recommended for funding, agency staff should be prepared to present the PowerPoint to the TSC.

Reimbursements

This program is administered on a reimbursement basis for capital improvements, planning, design, and right of way acquisition. Reimbursements will be disbursed upon review and approval of an acceptable ~~a complete~~ initial payment submittal, final report and consistency with master funding agreement or cooperative agreement if federal funds are awarded.

Project Cancellation

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

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

Audits

All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall allocation, and/or other sanctions to be determined. Audits shall be conducted by OCTA's Internal Audit department or other authorized agent either through the normal annual process or on a schedule to be determined by the OCTA Board of Directors. See Chapter 11 for detailed independent audit requirements.

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

TABLE 7-3

Regional Capacity Program
Intersection Improvement

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

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TABLE 7-4

Point Breakdown for Intersection Capacity Enhancements
Maximum Points = 100

Facility Usage **Points: 20**

ADT

Range*		Points
60+	thousand	15
55 - 59	thousand	13
50 - 54	thousand	11
45 - 49	thousand	9
40 - 44	thousand	7
35 - 39	thousand	5
30 - 34	thousand	3
25 - 29	thousand	1

* Sum of AVG ADT for all four legs based upon OCTA Traffic Flow Map

Current Project Readiness Max Points: 5

Range*	Points
Right Of Way (All easement and titles)	4
Right Of Way (All offers issued)	2
Final Design (PS&E)	1
Preliminary Design (35%)	1
Environmental Approvals	1

Points are additive, ROW limited to highest qualifying designation

Economic Effectiveness **Points: 25**

Cost Benefit (Total $/ADT)

Range*	Points
<10	15
11-20	12
21-30	9
31-50	7
51-75	5
76-100	3
>100	1

* = total cost / average ADT

Funding Over-Match (local match/project cost) minus minimum local match requirement

Range		Points
30+	%	5
25-29	%	4
20-24	%	3
15-19	%	2
10-14	%	1
0-9	%	0

Coordination with Contiguous Project

Range	Points
yes	5
no	0

Coordination based upon similar project schedule

Facility Importance **Points: 25**

Transportation Significance

Range	Points
Principal or CMP Route	5
Major	4
Primary	3
Secondary	2
Collector	1

MPAH Assessment Category

Range	Points
Category 1	10
Category 2	8
Category 3	6
Category 4	4
Category 5	2

Operational Efficiencies

Characteristics (i.e.)	Points
Bike lanes/bus turnouts	4
Lowers density	3
Channels traffic	3
Ped. facilities (new)	4
Grade separations	10

*contains a combination of the above

Benefit: **Points: 30**

LOS Improvement Max Points: 30

Calculation: LOS Imp x LOS Starting Pt.

Existing LOS (Peak Hour)

Range	Points
1.06+	6
1.01 - 1.05	5
.96 - 1.00	4
.91 - .95	3
.86 - .90	2
.81 - .85	1

LOS Reduction W/Project (exist. volum

Range	Points
.20+	5
.16-.19	4
.1-.15	3
.05-.09	2
<.05	1

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Section 7.3 – Freeway Arterial/Streets Transitions (FAST)

Overview

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

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

Objectives

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

Project Participation Categories

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

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

Eligible Activities

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

Potentially Eligible Items

- Aesthetic improvements including landscaping within the project ROW (eligible improvements up to 10% of construction costs, provided costs are reasonable for the transportation benefit)
- Auxiliary lanes if necessitated by interchange improvements
- Soundwalls as mitigation for project

Environmental mitigation will be allowed only as required for the proposed roadway improvement, and only as contained in the environmental document. Program participation in environmental mitigation shall not exceed 50% of the total eligible project costs.

Longitudinal storm drains are eligible for program participation when, in the opinion of the TAC, the storm drain is an incidental part (cost is less than 50% of the total eligible improvement cost) of an eligible improvement. Program participation shall not exceed 25% of the cost of storm drain longitudinal/parallel and main lines. Storm drain inlets, connectors, laterals and cross culverts shall have full participation in FAST improvement category funding.

Soundwalls are eligible only if they are required as part of the environmental clearance for the proposed project. Program participation for soundwalls shall not exceed 50 percent of the total eligible project costs.

Ineligible Projects

- Seismic retrofit projects (unless combined with eligible capacity enhancements)
- Enhanced landscaping and aesthetics

Funding Estimates

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

Selection Criteria

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

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts and ramp volumes projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts or OCTA Traffic Flow Map data for the proposed segment for comparison purposes. The agency must submit the project projected ADT, current ADT, the delta, as well as a justification of the increase. Regarding "current" counts, these are defined as those taken for a typical mid-week period within the preceding 12-month period Average ramp intersection volume for each interchange ramp will be used for the current counts. New facilities will rely on projected ramp volume based upon Caltrans approved projection.

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

Current Project Readiness: This category is additive. Points are earned for each satisfied readiness stage at the time applications are submitted. Right of Way (all easements and titles) applies where no ROW is needed for the project or where all ROW has been acquired/dedicated). Right of Way (all offers issued) applies where offers have been made for every parcel where acquisition is required and/or offers of dedication have been received by the jurisdiction. Final Design (PS&E) applies where the jurisdiction's City engineer or other authorized person has approved the final design. Preliminary design (35% level) will require certification from the City engineer and is subject to verification. Project Approvals/Environmental Documentation (PA/ED) applies where a Project Report-level analysis has been completed and environmental approvals have been attained.

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

Funding Over-Match: The percentages shown apply to match rates above a jurisdiction's minimum match requirement. M2 requires a 50% local match for RCP projects. This minimum match can be reduced by up to 25 percentage points if certain

eligible components are met. If a jurisdiction's minimum match target is 30% and a local match of 45% is pledged, points are earned for the 15% over-match.

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

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

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

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

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

Level of Service (LOS) Improvement: This category is a product of the existing or projected LOS based upon volume/capacity– or v/c -- and LOS improvement "with project". **Projects must meet a minimum existing or projected LOS of "D" (.81 v/c) to qualify for priority consideration for funding.** Projects that do not meet the minimum LOS "D" can be submitted, but are not guaranteed consideration as part of the competitive process.

If during the competitive process, it is determined that additional programming capacity exists after all eligible projects with LOS "D" have been funded, a consideration of projects with a minimum LOS "C" (.71 v/c) may be undertaken. Such consideration will be at the discretion of OCTA.

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

- New facility: New interchange where none exists.
- Partial facility: New interchange which does not provide full access.

- Interchange reconstruction: improvement of existing interchange to provide additional arterial capacity (widening of overcrossing or undercrossing).
- Ramp reconfiguration: Widening of ramp or arterial to improve turning movements or other operational efficiencies.
- Ramp metering: Installation of metering on ramp.

Application Process

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

- Complete application
  - Funding needs by phase and fiscal year
  - Match funding source
  - Supporting technical information
  - Project development and implementation schedule
  - Right of way status and strategy for acquisition
  - Any additional information deemed relevant by the applicant
- Allocations subject to master funding agreement or cooperative agreement if federal funds are awarded

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

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

Minimum Eligibility Requirements

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

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

Transportation Authority wants to ensure that Caltrans facilities are not negatively affected.

Matching Funds

Local agencies are required to provide match funding for each phase of the project. As prescribed by Ordinance No. 3, a 50% minimum match is required. A lower local match may be permitted if certain eligibility criteria are met.

Reimbursements

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

Caltrans Coordination

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

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

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

Project Cancellation

Projects deemed infeasible during the planning phase will be cancelled and further expenditures will be prohibited (except where necessary to bring the current phase to a logical conclusion. Right of way acquired for projects which are cancelled prior to

construction will require repayment to the contributing funding program(s) within a reasonable time as determined by the OCTA Board of Directors.

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

Audits

All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall allocation, and/or other sanctions to be determined. Audits shall be conducted by OCTA's Internal Audit department or other authorized agent either through the normal annual process or on a schedule to be determined by the OCTA Board of Directors. See Chapter 11 for detailed independent audit requirements.

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

Other Application Materials

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

Council Resolution: A Council Resolution authorizing request for funding consideration with a commitment of project match funding (local sources) must be provided with the project application. **If a *draft* copy of the resolution is provided, the local agency must also provide the date the resolution will be finalized by the local agency's governing body.**

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

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

Project Summary Information: With each application, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for review and discussion purposes. The presentation shall be no more than three (3) slides and should contain, at a minimum, a project description, project benefits, location map, and cost estimate. Should the project submitted be recommended for funding, agency staff should be prepared to present the PowerPoint to the TSC.

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TABLE 7-5

Freeway/Arterial Street Transitions
Interchange Improvements

	Category	Points Possible	Percentage
Facility Usage			
	Existing ADT	10	10%
	Current Project Readiness	10	10%
Economic Effectiveness			
	Cost Benefit	10	10%
	Matching Funds	10	10%
	Coordination with Freeway Project	5	5%
Facility Importance			
	Transportation Significance	5	5%
	MPAH Assessment Category	10	10%
	Operational Efficiencies	10	10%
Benefit			
	Existing LOS	10	10%
	LOS Reduction W/Project	10	10%
	Improvement Characteristics	10	10%
TOTAL		100	90%

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TABLE 7-6

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

Facility Usage **Points: 20**

ADT (Arterial plus daily exist volume)

range		points
55+	thousand	10
50 - 54	thousand	9
45 - 49	thousand	8
40 - 44	thousand	6
35 - 39	thousand	4
30 - 34	thousand	3
25 - 29	thousand	2
20 - 24	thousand	1
15 - 19	thousand	0
10-14	thousand	0
<10	thousand	0

Current Project Readiness — Max. 10 pts.

range	points
Right Of Way (All easement and titles)	6
Right Of Way (All offers issued)	4
Final Design (PS&E)	3
PA/ED	2
Project Study Report or Equiv.	1

Points are additive, ROW is highest qualifying designation

Economic Effectiveness **Points: 25**

Cost Benefit (Total $/ADT)

range	points
<20	10
20-39	8
40-79	6
80-159	4
160-319	2
320-640	1
>640	0

Funding Over-Match (local match/project cost) minus minimum local match requirement

range		Points
30+	%	10
25-29	%	8
20-24	%	6
15-19	%	4
10-14	%	2
0-9	%	1

Range refers to % points above agency min. req.

Coordination with Freeway Project

Range	Points
yes	5
no	0

Facility Importance **Points: 25**

Transportation Significance

range	points
Principal or CMP Route	5
Major	4
Primary	3
Secondary	2
Collector	1

MPAH Assessment Category

range	points
Category 1	10
Category 2	8
Category 3	6
Category 4	4
Category 5	2

Operational Efficiencies — Max. 10 pts.

characteristic(s)	points
Eliminate left turn conflict	3
Coordinated signal	2
Add turn lanes	3
Add traffic Control	1
Enhanced ramp storage	3
Pedestrian Facilities (New)	3

*contains a combination of the above

Benefit **Points: 30**

LOS Improvement — Max: 20

Calculation: Ave LOS Imp + Ave LOS Starting Pt.

LOS Reduction W/Project (exist. volume)

range	points
.20+	10
.16 - .19	8
.1 - .15	6
.05 - .09	4
<.05	2

Existing LOS

range	points
1.06+	10
1.01 - 1.05	8
.96 - 1.00	6
.91 - .95	4
.86 - .90	2
.81 - .85	1

Improvement Characteristics

characteristic(s)	points
New facility (full interchange)	10
New facility (partial interchange)	8
Interchange reconstruction	6
Ramp reconfiguration	4
Ramp metering	2

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Section 7.4 – Regional Grade Separation Program (RGSP)

Background

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

Future calls for projects for grade separations are not anticipated.

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Chapter 8 – Regional Traffic Signal Sychronization Program

Overview

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

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

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

The Master Plan will be reviewed and updated by OCTA every three years and will provide details on the status and performance of the traffic signal synchronization activities over that period. Local jurisdictions are required to adopt and maintain a Local Traffic Signal Synchronization Plan (Local Plan) that is consistent with the Master Plan by December 31, 2010. Details on both the Master Plan and requirements for Local Plan development are available in the "Guidelines for the Preparation of Local Signal Synchronization Plans" document dated September 15, 2010. A hard copy of these guidelines can be requested from OCTA.

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

- Funding guidelines for the competitive call for projects
- Reimbursements and reporting requirements
- ~~2011~~ 2013 Call for Projects

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

Chapter 8 – Regional Traffic Signal Sychronization Program

Section 8.1 – Funding Guidelines

Objectives

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

Project Definition

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

Projects must consist of a corridor along the priority corridor network, signal synchronization network, or the Master Plan of Arterial Highways (MPAH). Figure 1 shows the signal synchronization network ~~with the priority corridor network. The priority corridor network and the signal synchronization network are further defined in the Regional Traffic Signal Synchronization Master Plan~~corridors eligible for funding as part of the 2013 call for projects[1]. Projects can be the full length of the corridor or a segment that complies with the project requirements identified later in the chapter. Note, communication system improvements that directly benefit signal synchronization along the project corridor limits, but are not physically within the project corridor, are eligible for inclusion in a project.

[1] Also eligible will be corridors previously granted RTSSP funding that cancel the existing allocation prior to funding award.

FIGURE 8-1: Eligible Signal Synchronization Network Corridors 2013 ~~with Priority Corridor Network~~

Eligible Activities

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

- Signal Coordination ~~(new or 3+ years since funded)~~
  - Developing and implementing new signal synchronization timing and parameters based on current travel patterns
  - Monitor (minimum quarterly/maximum monthly) and regularly improve the signal synchronization timing and parameters after project signal timing is implemented for remainder of the project
  - "Before" and "after" studies for the project using travel times, average speeds, green lights to red lights, average stops per mile, and green house gases

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

- New or upgraded detection ~~(new or 6+ years since funded)~~
  - Upgrade detection along the signal synchronization corridors to ensure necessary conditions for signal synchronization: inductive loops, video detection, other types of detection systems

- New or upgraded communication systems ~~(new or 6+ years since funded)~~
  - Contemporary communication system improvements (e.g. Ethernet)
  - Replacement fiber optic or copper cabling for network communication
  - Software and hardware for system traffic control
  - Control and monitoring interconnect conduit (including upgrades or replacement of existing systems)

- Communications and detection support (maximum three years)
  - Monitor, maintain, and repair communication and detection along synchronized corridors to ensure necessary conditions for signal synchronization including interconnect and communications equipment

- Intersection/field system modernization and replacement ~~(new or 6+ years since funded)~~
  - Traffic signal controller replacement of antiquated units
  - Controller cabinet replacements that can be shown to enhance signal synchronization
  - Closed circuit television (CCTV)

- Minor signal operational improvements (new)
  - Emergency vehicle preempt (signal equipment only)
  - Transit signal priority (signal equipment only)
  - Channelization improvements required for traffic signal phasing but not requiring street construction
  - Traffic signal phasing improvements that will improve traffic flow and system performance including protective permissive left turns
  - Improvements to comply with new federal or state standards for traffic signal design as related to signal synchronization

- Traffic management center (TMC)/traffic operations centers (TOC) and motorist information ~~(new or 6+ years since funded)~~
  - New TMCs or TOCs (any project funded under this category must be planned or built to be center-to-center communication "ready" with nearby agencies and/or OCTA)
  - Upgrades to existing TMCs or TOCs (any project funded under this category must be planned or built to be center-to-center communication "ready" with nearby agencies and/or OCTA)
  - Motorist information systems (up to 10 percent of total project costs)
  - Video display equipment, including wall monitors, screens, mounting cabinets, and optical engines (up to 10 percent of total project costs)

- Real-time traffic actuated operations and demonstration projects ~~(new or 6+ years since funded)~~
  - Adaptive traffic signal systems

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

Ineligible Expenditures

- Isolated traffic signal improvements
- Traffic hardware (pole, mast arms, lights, electrical, signs, etc.)

- Regular signal operation and maintenance (such as replacement of light bulbs)
- Field display equipment (signal heads)
- ~~display equipment~~
- Feasibility studies
- Relocation of utilities
- Battery backup systems
- Right-of-way

Funding Estimates

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

The Program targets over 2,000 intersections across Orange County for coordinated operations. Because of the limited amount of funds available for Project P, project cap of ~~$20,000~~$60,000 per signal or ~~$60,000~~$200,000 per project corridor mile included as part of each project (whichever is higher) has been established for the ~~initial~~ call for projects.

Selection Criteria

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

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

*200 vehicles * 1 mile + 300 vehicles * 1 mile + 400 vehicles * 1 mile = 900 vehicle miles.*

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

Benefit Cost Ratio: Existing VMT divided by total project cost (including unfunded phases). (maximum: 15 points)

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

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

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

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

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

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

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

Table 8-1
Project P Selection Criteria for Eligible Projects

Vehicle Miles Traveled (VMT) (20 points)

VMT	
250,000 or above	20
200,000 to 249,999	15
150,000 to 199,999	10
100,000 to 149,999	6
50,000 to 99,999	3
49,999 or below	1
	20

Calculation: $(ADT_1 * D_1) + (ADT_2 * D_2) \ldots + (ADT_n * D_n)$ = Total Project VMT

Note: n equals the number of roadway segments

Benefit Cost Ratio (15 points)

Total Project Cost (information only)	
$ (capital)	*(No Points)*

VMT / Project Cost	
0.81 or above	15
0.71 to 0.80	12
0.61 to 0.70	8
0.51 to 0.60	4
0.41 to 0.50	1
0.40 or below	0
	15

Project Characteristics (10 points)

Signal coordination	5
Communication and detection support	3
TMC/TOC and motorist information	2
New or upgraded communication systems	1
New or upgraded detection	1
Intersection/field system modernization and replacement	1
Minor signal operational improvements	1
Real-time traffic actuated operations and demonstration projects	1
	10

Add all elements included as part of submitted project
Up to a maximum of 15 points

Transportation Significance (10 points)

Corridor Type	
Priority Corridor	10
Signal Synchronization Network Corridor	5
	10

Maintenance of Effort (5 points)

A Commitment to Operate Signal Synchronization for a Defined Period of Time	
6 years or more	5
4 to 5 years	3
3 years	0
	5

Project Scale (10 points)

Signals Being Retimed per Mile	
5 or above	5
4.0 to 4.9	4
3.0 to 3.9	3
2.0 to 2.9	2
1.9 or below	1
	5

Calculation: number of signals coordinated divided by the project length (in miles)

AND

Percent of Corridor Signals Being Retimed	
90% or above	5
80% to 89%	4
70% to 79%	3
60% to 69%	2
50% to 59%	1
	5

Calculation: number of signals coordinated divided by total number of signals along the full corridor length

Number of Jurisdictions (20 points)

Total Number of Involved Jurisdictions	
5 or above	20
4	16
3	12
2	8
	20

OR

% of Priority Corridor Jurisdictions Involved	
100%	20
75% to 99%	12
50% to 75%	6
	20

Current Project Readiness (5 points)

Estimated Project Start	
Within 12 months	5
Within 24 months	3
Within 36 months	1
	5

Funding Match (5 points)

Funding Match	
50% or above	5
40%-49%	4
35%-39%	3
30%-34%	2
25%-29%	1
	5

ADT - Average daily traffic
MPAH - Master Plan of Arterial Highways
TMC/TOC - Traffic management center/traffic operations center

Application Process

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

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

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

Applications will be reviewed by OCTA for consistency, accuracy, and concurrence. Once applications have been completed in accordance with the Program requirements, the projects will be scored, ranked, and submitted to the Technical Steering Committee, Technical Advisory Committee, and the Board for consideration and funding approval. OCTA reserves the right to evaluate submitted project costs for reasonableness as part of the review and selection process and suggest potential revisions to make the cost more appropriate. Allocations will be subject to funding agreements with OCTA.

Minimum Eligibility Requirements

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

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

1. Be on a ~~corridor~~ street segment that is part of the priority corridor network, signal synchronization network, or the MPAH. The project must be consistent with Local Signal Synchronization Plans and support the Regional Traffic Signal Synchronization Master Plan goals ~~of signal synchronization that is corridor-based, multi-jurisdictional, and emphasizes local control~~.

2. Be multi-jurisdictional, ~~and~~ have documented support from all participating jurisdictions (~~local~~ cities, County ~~of Orange~~, or Caltrans) and a minimum of 20 signals~~, or cover a distance of five miles~~

   or

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

   or

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

   or

   ~~If within a single jurisdiction, include~~Include the full length of the priority corridor, signal synchronization network corridor, or MPAH corridor

Matching Funds

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

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

improvements that are "eligible activities" per the funding guidelines, which can be shown to improve signal synchronization and would not include any prior investments made by the agency.

The specific matching requirement by project category type is listed below:

Project category	Type of matching allowed*
Signal coordination	In-kind** or cash ~~dollar~~ match
New or upgraded detection	In-kind** or cash ~~dollar~~ match
New or upgraded communications systems	In-kind** or cash ~~dollar~~ match
Communications and detection support	In-kind** or cash ~~dollar~~ match
Intersection/field system modernization and replacement	In-kind** or cash ~~dollar~~ match
Minor signal operational improvements	In-kind** or cash ~~dollar~~ match
Traffic management center/traffic operations centers and motorist information systems	Cash ~~Dollar~~ match only
Real-time traffic actuated operations and demonstration projects	Cash ~~Dollar~~ match only

* Project over-match is limited to dollar match only
** In-kind services are subject to audit.

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

- Staffing commitment
  - staff position
  - number of hours
  - hourly (fully burdened) rate
  - total cost

- New signal system investment
  - cost of any signal system investment
  - benefit to project

OCTA staff will review in detail the presented in-kind match by local agency for reasonableness. ~~Match must be made after funding agreements with OCTA are~~

~~executed.~~ Additional requirements on in-kind match as part of the upcoming call are provided in Section 8.2.

Other Application Materials

Supporting documentation is required to fully consider each project application. A Supplemental Application Template is included in Exhibit 8-1 that is required to be completed for each project application. In addition to the funding plan described above, local agencies will be required to submit the following materials:

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

Participating Agencies: All participating agencies must be identified.

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

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

Lead Agency

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

Local Agency Lead: If a local city is the lead agency, then only the lead agency will receive payments in accordance to the Comprehensive Transportation Funding Guidelines regarding payment for costs related to project for optimized signal timing development, capital improvements, planning, and related design. Payments will be disbursed consistent with M2 guidelines regarding payment. The lead agency is responsible for reimbursing other agencies as part of the effort. Additionally, the lead agency is also responsible for ensuring that all agencies participating in the project provide the match proposed in the project application.

OCTA Lead: OCTA will, at the request of the involved local agencies, act as the lead agency for regionally significant signal synchronization projects with the approval of the local agencies involved. If the involved local agencies would like OCTA to implement a

project on the signal synchronization network, the local agency shall work cooperatively with OCTA to develop the scope of work and cost elements of the project. The lead local agency shall contact OCTA with a written request by September 7, 2012. The application will be scored using the criteria outlined in the previous sections. Based on local agency interest and OCTA resource availability, a limited number of projects will be developed and implemented by OCTA. Recent Calls for Projects have resulted in OCTA implementing seven projects per year.

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

Special Project P Certification

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

Project Cancellation

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

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

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

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

Audits

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

Data Compatibility

All count data collected as part of any funded project shall be provided to OCTA in one of the two following digital formats: 1) NDS/Southland Car Counters style ~~e~~Excel spreadsheet; or 2) JAMAR comma separated value style text file. Any count data provided to OCTA shall be consistent with one of these two formats. The data shall then be able to be loaded into the OCTA Roadway Operations and Analysis Database System (ROADS). Any data files containing numeric intersection or node identifiers shall use the same node identification (ID) numbers as is stored in the ROADS database. OCTA shall provide a listing of intersections and corresponding unique node ID numbers. Each count data file shall adhere to the following file naming or csv. As an example, a turning movement count file for the intersection of Harbor Boulevard and Wilson Street in Costa Mesa would be given the filename CostaMesa_Harbor-Wilson_4534.csv.

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

Section 8.2 – ~~2011~~2013 Call for Projects

The following information provides an overview of the ~~2011~~ 2013 RTSSP Call for Projects.

1. For this initial RTSSP Call for Projects, projects totaling up to $~~12~~ 15 million in Measure M2 funds will be available to local agencies.

2. Projects must result in new, optimized, and field-implemented coordination timing.

3. Project must be a single contiguous corridor. Multiple corridors, related systems of corridors, and corridors that form a "grid" must be submitted as separate corridor projects.

4. Projects selected will be programmed after July 1st of the programmed year.

5. Project delays resulting in an extension requests will fall within the process outlined in the CTFP Guidelines.

6. Projects are funded for a grant period of three (3) years and are divided into two phases: ~~.~~

    a. Primary Implementation – includes the required implementation of optimized signal timing as well as any signal improvements proposed as part of a project. As an exception to Precept no. 16, Primary Implementation of the project must be completed within one (1) year of the initial payment.

    b. Ongoing Maintenance and Operations – includes the required monitoring and improving optimized signal timing in addition to any optional communications and detection support. Ongoing Maintenance and Operations will begin after the Primary Implementation of the project is completed and be required for the remainder of the project. (Typically 2 Years)

7. Projects shall include a Before and After Study. This study shall collect morning and evening peak period using travel times, average speeds, green lights to red lights, stops per mile, and the derived corridor system performance index (CSPI) metric. This information shall be collected both before any signal timing changes

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

8. Any corridor or portion of a corridor funded through this Project P Call for Projects cannot re-apply for Project P funding until the three year grant period or commitment to operate signal synchronization beyond the three year grant period is completed, whichever ends later.

~~9. Projects or any portion of projects funded by OCTA through the Traffic Light Synchronization Program or as part of the BRT Traffic Signal Synchronization effort are ineligible for this round of Project P funding.~~

~~10.~~9. Section 8.1 (Funding Guidelines) identifies the Project P selection criteria for projects, eligible activities, minimum project requirements, data compatibility required as part of any funded project, and other key information.

Applications

In order for OCTA to consider a project for funding, applications will be prepared by the local agency responsible for the project application. OCTA shall require agencies to submit applications for the ~~2011~~ 2013 call for projects by **5:00 p.m. on Friday, ~~December 2, 2011~~October 26, 2012**. Late submittals will not be accepted. The local agency responsible for the project application must submit the application and any supporting documentation via OCFundtracker as outlined below.

Project Submittal

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

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

Attn: Anup Kulkarni

Application Review and Program Adoption

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

2. The TSC will receive and evaluate the project applications and funding allocations.

3. Based on recommendations from the TSC, a program will be presented to the TAC for review and endorsement.

4. Recommendations from the TAC will be presented to the OCTA Board of Directors, who will approve projects for funding under the CTFP.

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

Application Instructions

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

OCFundtracker Application Components

Final applications MUST be submitted via OCFundtracker and in hard copy format. Selection criteria must be inputted as part of the OCFundtracker online application and includes the following categories of information (see "Project P Funding Guidelines" for additional information):

- Vehicle Miles Traveled
- Benefit/Cost Ratio
- Project Characteristics

- Transportation Significance
- Maintenance of Effort
- Project Scale
- Number of Jurisdictions
- Current Project Readiness
- Funding Over-Match

Additional Application Documentation

In addition to the selection criteria information, the following additional documentation shall be included with the completed project application:

1. Key technical information such as diagrams, aerial photos, and maps:
    a. Project limits of the corridor to synchronize
    b. Designation of the corridor to synchronize: priority corridor, signal synchronization network corridor, or master plan of arterial highways corridor
    c. Project start date and end date, including any commitment to operate signal synchronization beyond the three year grant period
    d. Signalized intersections that are part of the project
    e. Traffic Forum members: Traffic Forums are project-based, working group sessions that are a requirement of M2 and are equivalent to a project team. The local agency seeking funding should indentify all the agencies participating (e.g., the agency seeking funding, other participating cities, California Department of Transportation, OCTA, etc.).

2. Lead agency option: The local agency seeking funding shall indicate the lead agency to *implement* the project. The default is the local agency applying for funding. ~~however, OCTA can be named the lead agency if desired. If no lead agency is identified, the local agency applying for funding will be the lead agency by default.~~ If the involved local agencies would like OCTA to implement a project on the signal synchronization network, the lead local agency must make a written request to OCTA by September 7, 2012. OCTA will review and concur with the application scope and cost elements based on discussion with the participating agencies.

3. Provide a resolution of support from each member of the project Traffic Forum/ participating local agencies.

4. Preliminary plans for the project. The plans shall include details about both phases of the project: Primary Implementation and the Ongoing Maintenance and Operation. The plan shall be organized using the following setup.

   Primary Implementation shall include details about the following:
   a. Project administration (required)
   b. Developing and implementing optimized signal synchronization timing (required)
   c. Producing a Before and After Study for the project (required)
   d. Engineering design of signal improvements for the project (optional)
   e. System integration (optional)
   f. Proposed signal improvements, construction support, and contingency (optional):
      i. New or upgraded detection
      ii. New or upgraded communication systems
      iii. Intersection/field system modernization and replacement
      iv. Minor signal operation improvements
      v. Traffic management centers
      vi. Real-time traffic actuated operations and demonstration projects
   g. Contingencies (optional) 10% may be included as contingency as part of the cost estimates and should be clearly identified as part of the cost.
   h. Construction Management (optional)

   Ongoing Maintenance and Operations will begin after the Primary Implementation of the project is completed. It shall include details the following:
   a. Monitoring and improving optimized signal timing (required)
   b. Communications and detection support (optional)
   c. Final report (required)

5. Funding needs/costs for the project by task (with a total cost clearly identified) and fiscal year:

   Clearly include a listing of all expenditures and costs for the project by task (as included in the previous item). In the Primary Implementation, costs associated with project administration, developing timing, Before and After Study, engineering design, system integration~~project administration~~, signal improvements, contingencies, and construction management, ~~and inspection~~ must be identified specifically. ~~Additionally, up to 10% may be included as contingency as part of the cost estimates and should be clearly identified if part of the cost.~~ Ongoing Maintenance and Operation items must be included over the three year grant period.

6. Project schedule by task

7. Identification of local agency funding match type (e.g., in-kind or ~~dollar~~cash), source, and description including any match over twenty percent (20%). In-kind match may only account up to 20% of a project. Match beyond 20% must be ~~dollar~~cash. Additional requirements on the match type are included in the CTFP Guidelines.

   In-kind match must be defined for each local agency as part of the supplemental application. The supplemental application template will include a section to input in-kind match by task and type: staffing commitment or new signal system investment. Additional data related to the staffing commitment (staff position, number of hours, hourly burdened rate, total cost) and/or new signal system investment (description of signal system investment, cost, anticipated date of implementation, and benefit to project) must also be provided. OCTA staff will review in detail the presented in-kind match by local agency for reasonableness.

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

   - Primary Implementation (12 months)
     - Project Administration - Each local agency traffic engineer or equivalent participates in approximately 10-15 hours per month of project administration (meetings, review of reports, minutes, and other administration).
     - Signal Synchronization Timing - Each local agency traffic engineer or equivalent reviews consultant developed draft and final timing plans for intersections within the local agency, approximately 2-4 hours per local agency intersection.
     - Before and After Study - Each local agency traffic engineer or equivalent reviews consultant developed draft and final project Before and After Study, approximately 2-5 hours per local agency.
     - Engineering ~~D~~design/~~R~~review - Each local agency traffic engineer or equivalent reviews consultant developed engineer design within the local agency, approximately 2-4 hours per

affected local agency intersection ~~or provides design services in-house (provide reasonable number of hours based on type of engineering design)~~.

- o System integration - Each local agency traffic engineer or equivalent provides support for this function (hours vary depending on improvements).
- o ~~Proposed signal improvements, c~~Construction ~~support, and contingency~~management - Each local agency traffic engineer or equivalent provides construction management support ~~and~~including inspection (hour vary depending on improvements.

- Ongoing Maintenance and Monitoring (24 months) - Each local agency traffic engineer or equivalent participates in continued project level meetings of 2-5 hours per local agency per month to review consultant traffic engineering progress of Ongoing Maintenance and Monitoring. In addition, each local agency traffic engineer or equivalent reviews consultant developed draft and final project report.

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

8. Environmental clearances and other permits.

9. Calculations used to develop the VMT, benefit cost ratio, project scale, and all other submissions as part of the OCFundtracker online application.

10. Any additional information deemed relevant by the applicant.

Exhibits

Project P Supplemental Application Template

The "Project P Regional Traffic Signal Synchronization Program Application Template" has been provided (Exhibit 8-1). The application template shall be used and included as part of an application for funding as part of the program.

Checklist Guide

The "Project P Regional Traffic Signal Synchronization Program Application Checklist" has been provided for the Project P/RTSSP (Exhibit 8-2). The checklist identifies the basic documentation required for the program. In addition to items required at the time of project submittal, additional items that are not specified may be requested later. The checklist should be provided as a cover sheet for **each** application submitted. For any items that are required for the candidate project or program that are missing or incomplete, an explanation should be included in a cover letter with the application.

Sample Resolution Form

A resolution or minute action must be approved by the local jurisdiction's governing body. A sample resolution is included as Exhibit 8-2. The mechanism selected shall serve as a formal request for Project P funds and states that matching funds will be provided by the agency, if necessary. All project requests (i.e., multiple corridors proposed for Project P funds) must be included in this action.

Exhibit 8-1
Project P Supplemental Application Template

Project P

Regional Traffic Signal Synchronization Program

Supplemental Application Information

Euclid Street

6/4/2012

Agency: City of Fountain Valley

Contact Name: Andy Williams
Contact Number: 714.555.5555
Contact Email: andywilliams@city.net

Exhibit 8-1, continued

Project P Regional Traffic Signal Synchronization Program Application Checklist

Project P Application Checklist	Included
RTSSP Online Application – submitted through OCFundTracker 1. Vehicle Miles Traveled 2. Benefic Cost Ratio 3. Project Characteristics 4. Transportation Significance 5. Maintenance of Effort 6. Project Scale 7. Number of Jurisdictions 8. Current Project Readiness 9. Funding Over-Match	Online
Section 1: Key technical information a. Project limits of the corridor to synchronize b. Designation of the corridor to synchronize: priority corridor, signal synchronization network corridor, or master plan of arterial highways corridor c. Project start date and end date, including any commitment to operate signal synchronization beyond the three year grant period d. Signalized intersections that are part of the project e. Traffic Forum members	Pg. 2 -4
Section 2: Lead agency	Pg. 4
Section 3: Resolutions of support from the project's Traffic Forum members	Pp. 4 - 5
Section 4: Preliminary plans for the proposed project by task (detail below) The plans shall include details about both phases of the project: Primary Implementation and the Ongoing Maintenance and Operation. The plan should be organized using the following setup. Primary Implementation shall include details about the following: a. Project Administration (required) b. Developing and implementing optimized signal synchronization timing (required) c. Producing a Before and After Study for the proposed project (required) d. Engineering design of signal system improvements (optional) e. System integration (optional) f. Proposed signal improvements (optional) g. Contingencies (optional) h. Construction management (optional) Ongoing Maintenance and Operation will begin after the Primary Implementation of the project is completed. It shall include details about the following: a. Monitoring and improving optimized signal timing (required) b. Communications and detection support (optional) c. Project final report (required)	Pg. 6-8 Pg. 8
Section 5: Total proposed project cost by task	Pp. 9-10
Section 6: Project schedule for the 3 year grant period by task	Pp. 10-11
Section 7: Matching funds	Pp. 11-12
Section 8: Environmental clearances and other permits	Pg. 12
Section 9: Calculations used to develop selection criteria inputs	Pp. 12-13
Section 10: Any additional information deemed relevant by the applicant	Pg. 14
Appendices	Pg. 14

1

Exhibit 8-1, continued

Section 1: Key Technical Information

a. The proposed project would synchronize Euclid Street. The limits for the project are from Whittier Boulevard in the north to Ellis Street in the south. Figure 1 shows a map of the project.

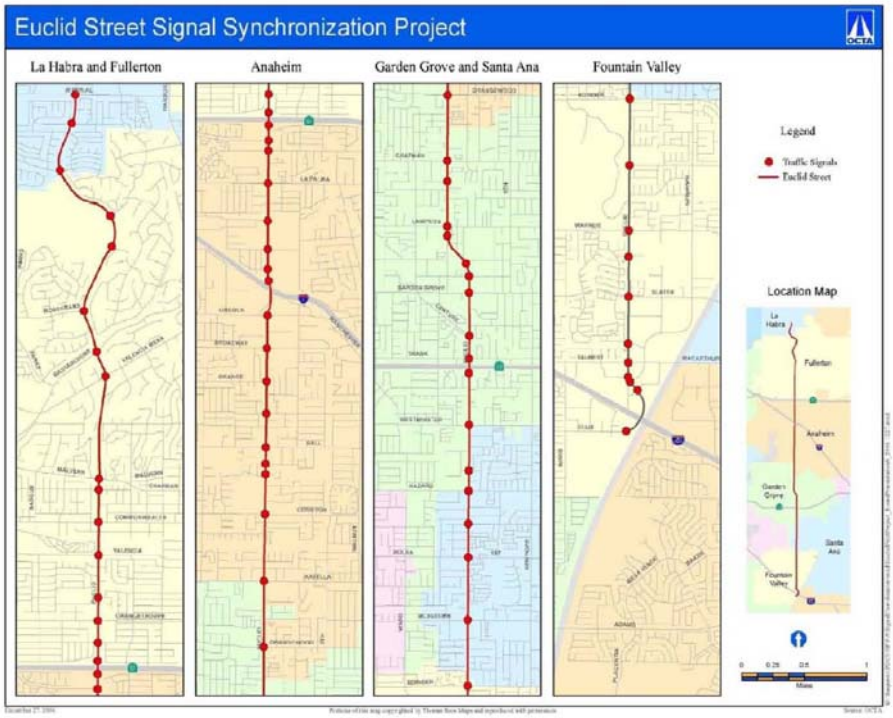

Figure 1: Signalized intersection and proposed project limits

b. Designation of the corridor to synchronize:

☒ Priority Corridor ☐ Signal Synchronization Network Corridor

☐ Master Plan of Arterial Highways Corridor

c. Project start date _____ Project end date_____

2

Exhibit 8-1, continued

All agencies commit to operate signal synchronization beyond the three year grant period for:

☒0 years ☐1 year ☐2 years ☐ 3 years ☐ Other _____

d. Signalized intersections that are part of the project: see Table 1

<EXAMPLE> Table 1: Project Traffic Signals for the Euclid Street Signal Synchronization Project	
1 Euclid St @ Imperial Hwy Caltrans	32 Euclid St @ Katella Ave
2 Euclid St @ Montwood Ave	33 Euclid St @ Orangewood Ave
3 Euclid St @ Country Hills Dr	34 Euclid St @ Chapman Ave
4 Euclid St @ Lakeview Dr	35 Euclid St @ Marian Dr
5 Euclid St @ Laguna Rd	36 Euclid St @ Lampson Ave
6 Euclid St @ Rosecrans Ave	37 Euclid St @ Main St-College Ave
7 Euclid St @ Bastanchury Rd	38 Euclid St @ Stanford Ave
8 Euclid St @ Valencia Mesa Dr	39 Euclid St @ Acacia Pkwy
9 Euclid St @ Malvern Ave	40 Euclid St @ Garden Grove Blvd
10 Euclid St @ Chapman Ave	41 Euclid St @ Century Blvd
11 Euclid St @ Commonwealth Ave	42 Euclid St @ Trask Ave
12 Euclid St @ Valencia Dr	43 Trask Ave @ SR-22 WB Ramps-Havenwood Dr
13 Euclid St @ Hill Ave-Southgate Ave	44 Euclid St @ SR-22 EB Ramps
14 Euclid St @ Orangethorpe Ave	45 Euclid St @ Westminster Ave Garden Grove
15 Euclid St @ Baker Ave	46 Euclid St @ Business Center Pkwy-Oakfield Ave
16 Euclid St @ SR-91 WB Ramps	47 Euclid St @ Hazard Ave
17 Euclid St @ SR-91 EB Ramps	48 Euclid St @ 5th St
18 Euclid St @ Medical Center Dr	49 Euclid St @ Bolsa Ave-1st St
19 Euclid St @ Romneya Dr	50 Euclid St @ McFadden Ave
20 Euclid St @ La Palma Ave	51 Euclid St @ Edinger Ave
21 Euclid St @ Glenoaks Ave	52 Euclid St @ Heil Ave
22 Euclid St @ Crescent Ave	53 Euclid St @ Warner Ave
23 Euclid St @ Anaheim Plaza	54 Euclid St @ Hospital Campus
24 Euclid St @ I-5 Ramps Caltrans	55 Euclid St @ Slater Ave
25 Euclid St @ Lincoln Ave	56 Euclid St @ Southpark Ave
26 Euclid St @ Broadway	57 Euclid St @ Talbert Ave
27 Euclid St @ Orange Ave	58 Talbert Ave @ Newhope St
28 Euclid St @ Crone Ave	59 Euclid St @ Kalama River Ave
29 Euclid St @ Ball Rd	60 Euclid St @ I-405 NB Ramps-Newhope St Caltrans
30 Euclid St @ Palais Rd	61 Euclid St @ Condor Ave Fountain Valley
31 Euclid St @ Cerritos Ave	62 Ellis Ave-Euclid St @ I-405 SB Ramps

3

Exhibit 8-1, continued

e. Traffic Forum members: La Habra
Fullerton
Anaheim
Santa Ana
Garden Grove
California Department of Transportation
Fountain Valley

Section 2: Lead Agency

☒ City of Fountain Valley will be the lead agency

☐ OCTA agency is requested to be the lead

☐ County of Orange will be the lead agency

Section 3: Resolutions of Support

Resolutions of support from Traffic Forum members are provided on the following pages.

Exhibit 8-1, continued

Regional Transportation Signal Synchronization Program Projects

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

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

(a) WHEREAS, the Measure M2 Regional Traffic Signal Synchronization Program targets over 2000 signalized intersections across Orange County to maintain traffic signal synchronization, improve traffic flow, and reduce congestion across jurisdictions; and

(b) WHEREAS, the City of _____ has been declared by the Orange County Transportation Authority to meet the eligibility requirements to receive revenues as part of Measure M2; and

(c) WHEREAS, th "Sample Resolution" ynchronization Plan consistent w Exhibit X-2 Form key component of local agencie: ndaries; and

(d) WHEREAS, th t as required by the Orange Coun Manual; and

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

(f) WHEREAS, the City of _____ desires to implement multi-jurisdictional signal synchronization listed below; and

NOW, THEREFORE, BE IT RESOLVED THAT:

The City Council of the City of _____ hereby requests the Orange County Transportation Authority allocate funds in the amounts specified in the City's application to said City from the Regional Transportation Signal Synchronization Program to implement regional signal synchronization along the following street(s):

ADOPTED BY THE CITY COUNCIL on _____, 20____.
SIGNED AND APPROVED on _____, 20____.
City Clerk Mayor

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Exhibit 8-1, continued

Section 4: Preliminary Plans for the Project

Primary Implementation

a. Project Administration

<*EXAMPLE TEXT*> The City of Fountain Valley will lead the project using contracted consultant staff to optimize signal synchronization timing along the Euclid corridor. The City of Fountain Valley will work cooperatively with all other agencies involved in the project to improve traffic flow. The local agencies shall perform normal day to day project administration duties. Project budget shall include time and funding for agency outreach and cooperative agreement development and execution and collection of matching funds required of and by participating agencies. The contracted consultant staff shall be responsible for all aspects o the project with City of Fountain Valley internal staff.

b. Developing and implementing optimized signal synchronization timing (required)

<*EXAMPLE TEXT*> Synchronization will be inter-jurisdictional in nature. All existing traffic patterns, flows, and conditions will be taken into account. Synchronized timing will be developed for the AM Peak, PM Peak, Mid-day Peak and Weekend Peak. Special Generators such as schools and businesses along with cross street traffic will be considered as part of the project. Timing plans will be developed that assist traffic in getting to its destination without regard to physical or political boundaries.

c. Producing a Before and After Study for the project (required)

<*EXAMPLE TEXT*> Project team will develop a before and after study for the project. This report will be completed after the Primary Implementation is completed and will include the following:

- Introduction/project description: a summary of the project including the purpose, background, and objectives of the project.
- Data collection: a summary of the data collected as part of the effort including the traffic counts, phasing, lane configurations, etc.
- Traffic signal systems improvements: a summary of the implemented traffic signal systems improvements by city.
- Signal timing optimization: a summary of the development and implementation of updated signal timing including the models, selected cycle lengths, intersection groupings, etc.

6

Exhibit 8-1, continued

- Results: the study will contain directional morning and evening peak period using travel times, average speeds, green lights to red lights, stops per mile, and the derived corridor system performance index (CSPI) metric. This information shall be collected both before any signal timing changes have been made. Additional details based on the Final Report Template will also be included.
- Benefits to cost analysis: project benefits resulting from signal synchronization will be evaluated based on the before and after study results. Savings will be calculated for travel time, fuel consumptions, vehicle maintenance, and a final benefit cost ratio.
- Future signal corridor improvements: recommendations for system and equipment enhancements to improve traffic flow and signal synchronization will be provided.
- Conclusion: a summary of the before and after study and its findings.

d. Engineering design of signal improvements for the project (recommended if not existing)

<*EXAMPLE TEXT*> The City of Fountain Valley will use qualified traffic engineering consultants' assistance to complete the engineering design of the fiber upgrade and communications for the project. Additionally, the traffic engineering consultant will provide design support for the central control software upgrade in the City of La Habra.

e. System integration (optional)

<*EXAMPLE TEXT*> The City of Fountain Valley will not assume system integration costs.

f. Proposed signal improvements (optional)

<*EXAMPLE TEXT*>

Caltrans

At Caltrans locations, two 170 controllers will be replaced with 2070 local controllers with TSCP firmware at the EB SR-22 ramps and at the NB I-405 ramps. A new 170E Field Master controller with TRFM firmware shall be installed. A GPS time source unit with antennae shall be supplied and installed and interfaced to the new 170E TRFM controller.

La Habra

La Habra will receive a new license for TACTICS central control software (or equivalent) to replace Siemens ACTRA. A GPS antenna time source receiver or server will also be connected with their central control system.

Fullerton

Fullerton will receive a new GPS antenna time source receiver at Street D. Fullerton will also receive central master modifications at city hall.

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Exhibit 8-1, continued

Anaheim
Anaheim will receive a single 2070LN controller to replace a T-1 controller at Street E along with a software upgrade at the location.

Garden Grove
Garden Grove will receive an Emergency vehicle preempt at Street H (jointly controlled with Santa Ana).

Santa Ana
Santa Ana will receive an Emergency vehicle preempt system for all directions at Street I.

Fountain Valley
Fountain Valley will install approximately 10 feet of fiber in existing conduit to upgrade communications between city hall and Street J. Fountain Valley will receive an Ethernet switch to improve communications at Street L.

g. Contingencies (optional)

<*EXAMPLE TEXT*> The City of Fountain Valley will assume a 10% contingency for the proposed signal improvements.

h. Construction management (optional)

<*EXAMPLE TEXT*> The City of Fountain Valley will assume 15% for construction management for the proposed signal improvements.

Ongoing Maintenance and Operation

<*EXAMPLE TEXT*> The ongoing maintenance and operation period will start after signal timing is implemented and last for a period of two years. It will consist both of (1) monitoring and improving optimized signal timing and (2) communications and detection support. Descriptions of both are provided below:

a. Monitoring and improving optimized signal timing

<*EXAMPLE TEXT*> The corridor will be driven monthly from end to end in order to monitor and regularly improve the signal synchronization timing and parameters. Improvements and corrections will be implemented as necessary. These reviews will begin upon the completion of the primary implementation and will continue until the end of the three year grant period.

b. Communications and detection support timing

<*EXAMPLE TEXT*> Regular scheduled communication and detection support will be provided along the synchronized corridor in Figure 1 and the intersections identified in Table 1 to ensure the necessary conditions for signal synchronization. The primary focus

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Exhibit 8-1, continued

will be on the monitoring and reporting of communications and detection issues. As issues are identified, they will be reported to the local agencies and potential repairs will be identified with local agencies' consultation. These reviews will begin upon the completion of the primary implementation and will continue until the end of the three year grant period. This support can implemented using a variety of tools including monthly drives along the corridor, analysis of central system report output, and discussion with the local agency staff.

c. **Final report**

<*EXAMPLE TEXT*> Project team will develop a final report for the project. This report will be completed after the three year grant period. In addition to the CTFP Guideline requirements, the report will include the before and after report and an update of the results from the ongoing maintenance and operations phase (general findings from the monthly drives, timing updates, detection support, etc.).

Exhibit 8-1, continued

Section 5: Total Proposed Project Cost by Task

Primary Implementation <EXAMPLE>

The Primary Implementation will last for one year and include the following elements (See Table 2). Be sure to carefully review those items included in the signal system improvements that may need engineering design or development of specifications prior to construction (For Example – Interconnect conduit installation, new service locations, or cabinet foundation). Include this cost in the engineering estimate.

Table 2. Estimated Cost of Proposed Signal Improvements for Euclid Street by Agency <EXAMPLE>

a. Project Administration					$30,895
b. Developing and Implementing Optimized Signal Synchronization Timing					$159,105
c. Producing a Before and After Study for the proposed project					$50,000
d. Engineering design of Signal Systems Improvements					$10,000
Total 1 – Project Admin, Developing/Implement Timing, Final Report, and Engineering Design					**$250,000**
e. System integration					$0
f. Proposed Signal System Improvements					
Agency	**Euclid @**	**Description of Work at This Location**	**Unit Price**	**Unit Measure**	**Total**
Caltrans	EB SR-22 Ramp	Controller upgrade, installed	$2,000/ea	1	$2,000
Caltrans	EB SR-22 Ramp	New GPS unit, installed	$2,000/ea	1	$2,000
Caltrans	NB I-405 Ramp	Controller upgrade, installed	$2,000/ea	1	$2,000
La Habra	City Hall	New central system, installed	$100,000	1	$100,000
La Habra	City Hall	New GPS unit, installed	$2,500/ea	1	$2,500
Fullerton	Street D	New GPS unit, installed	$2,000/ea	1	$2,000
Fullerton City Hall	System Wide	Central Master Modifications	$52,500/ea	1	$52,500
Anaheim	Street E	Controller upgrade, installed	$2,000/ea	1	$2,000
Anaheim	Street E	Software upgrade, installed	$1,000/ea	1	$1,000
Garden Grove/Santa Ana	Street H	Emergency vehicle preempt, installed	$8,000/ea	1	$8,000
Santa Ana	Street I	Emergency vehicle preempt, installed	$8,000/ea	1	$8,000
Fountain Valley	Street J	Install fiber in existing conduit	$1,000/ft	10 ft.	$10,000
Fountain Valley	Street L	Ethernet switch (Long Range)	$8,000/ea	1	$8,000
		Subtotal: Estimated cost of "Proposed Signal System Improvements" (sum of above)			*$200,000*
g. Contingency (up to 10% of the estimated costs of "Proposed Signal System Improvements")					$20,000
h. Construction management (up to 15% of the estimated costs of "Proposed Signal System Improvements" for support and inspection costs)					$30,000
Total 2- Signal System Improvements, Construction Support/Inspection, and Contingency Costs					**$250,000**
				Totals 1+2	**$500,000**

Please refer to Chapter 8 of the CTFP Guidelines for additional information about eligible and ineligible items as part of Project P. Examples of eligible signal synchronization improvements: new or upgraded detection, including inductive loops, video, and others; New or upgraded communication systems; Replacement of fiber optic or copper cabling; Software and hardware for system traffic control; Interconnect conduit; Intersection/field system modernization and replacement; Traffic signal controllers; Controller cabinets; CCTV, GPS, etc.; Minor signal improvements; Emergency vehicle preempt (signal equipment only); Transit signal priority (signal equipment only); Channelization improvements; Traffic signal phasing improvements; New or upgrades to existing Traffic Management Center (TMC) or Traffic Operations Center (TOC); Motorist information systems; and Adaptive traffic signal systems.

Exhibit 8-1, continued

Ongoing Maintenance and Operation <EXAMPLE>

a. Monitoring and improving optimized signal timing

Estimated Cost: $104,160 (see Table 3)

b. Communications and detection support

Estimated Cost: $44,640 (see Table 3)

Table 3. Estimated Cost of Proposed Ongoing Maintenance and Operation for Euclid Street by Agency <EXAMPLE>

Description of Work	Description	Unit Price	Unit Measure	Cost
Monitoring and improving optimized signal timing	Drive monthly and improve timing parameters along 62 signals for 24 months after signal timing is implemented along Euclid Street from Imperial Highway to I-405 after signal timing	$70 per signal per month	62 signals for 24 months	$104,160
Communications and detection support	Regularly monitor, maintain, and provide reports on communication and detection issues along for 62 signals for 24 months after signal timing is implemented along Euclid Street from Imperial Highway to I-405	$30 per signal per month	62 signals for 24 months	$44,640
Project final report	Project team will develop a final report for the project. This report will be completed after the three year grant period.	Negligible	Negligible	$0
Proposed Ongoing Maintenance and Operation				$148,800

Total Project Cost Including Primary Implementation and Ongoing Maintenance and Operation for Three Year Grant Period

Total Estimated Cost: $648,800 (Table 2 + Table 3 = $500,000+$148,600)

Comments(if any): _____

_____

Section 6: Project Schedule by Task for the 3 Year Grant Period

Project start date: September 1, 2012

Project end date: September 1, 2015

Primary Implementation

Task	Starting Date	Ending Date
a. Project Administration	September 1, 2012	September 1, 2013
b. Developing and implementing optimized signal synchronization timing	September 1, 2012	September 1, 2013
c. Producing a before and after study	September 1, 2012	May 15, 2013
d. Engineering design of Signal Systems Improvement	September 1, 2012	September 1, 2013
e. System integration	N/A	N/A
f. Proposed Signal System Improvements, Construction Support/Inspection, and Contingency Costs	September 1, 2012	September 1, 2013
g. Contingency	September 1, 2012	September 1, 2013
h. Construction management	September 1, 2012	September 1, 2013

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Exhibit 8-1, continued

Ongoing Maintenance and Operation

Task	Starting Date	Ending Date
a. Monitoring and improving optimized signal timing	September 1, 2012	September 1, 2015
b. Communications and detection support	September 1, 2012	September 1, 2015
c. Producing a Final Report	June 1, 2015	September 1, 2015

Section 7: Matching Funds

M2 Funds Requested	**$519,040**
Total Match Amount (min 20%)	**$129,760**
In-kind match amount (max 20%)	*$100,000*
Cash match amount	*$29,760*
Total Project Cost	**$648,800**

Total Match Ratio (to total project cost)	$129,760 / $648,800 = 20%

Details of Matching Funds

Provide details in tables (expand as necessary)
Total Cash Match for the Project: $_____
Total In-kind Funding for the Project: $_____
Total Match for Project: $_____

Direct Cash Match -

Agency	Funding Source	Amount of Contribution
		$
		$
		$
		$
	TOTAL	$

In-kind match (Improvements of equipment)
Specific Improvements (List items and Cost)

Agency	Improvement	Date of Construction	Expenditure
			$
			$
			$
		TOTAL	$

Exhibit 8-1, continued

In-kind match (Staffing commitment)

Agency	Staff Position	Type of Service to Project	No. of Hours**	Hourly Rate (fully burdened)	Total
					$
					$
					$
				TOTAL	$

**Note - Staff hours should not exceed staffing and reasonable dedicated time

Section 8: Environmental clearances and other permits
Environmental clearance documentation and/or other permits obtained for this project are provided on the following pages. If none, then include a general statement outlining specific environmental clearances needed to be obtained. For instance, "A categorical exemption will be obtained for this project upon project award."

Section 9: Calculations used to Develop Selection Criteria Inputs <*EXAMPLE: Modify as needed* >

1. Vehicle Miles Traveled (VMT):

Segment	Current Average Daily Traffic	Distance (mi)	VMT = ADT*D
Street A to Street B	17,300	1.82	31,486
Street B to Street C	30,800	1.6	49,280
Street C to Street D	35,748	0.94	33,603
Street D to Street E	44,200	0.39	17,238
Street E to Street F	43,900	0.7	30,730
Street F to Street G	46,600	1.1	51,260
Street G to Street H	33,100	1.77	58,587
Street H to Street I	26,800	0.93	24,924
Street I to Street J	38,100	0.91	34,671
Street J to Street K	43,200	0.91	39,312
Street K to Street L	32,800	0.88	28,864
Street L to Street M	33,200	1.3	43,160
Street M to Street N	25,900	0.82	21,238
Street N to Street O	22,700	0.15	3,405
Street O to Street P	46,600	0.48	22,368
Street P to Street Q	Total Project VMT		490,126

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Exhibit 8-1, continued

Source of current average daily traffic: Most recent corridor counts dated 2010

Calculations and Estimated Points	
Criteria	**Estimated Points**
1. Vehicle Miles Traveled (VMT) (20 points) VMT = 490,126 (See above Table)	20
2. Benefit Cost Ratio: (15 points) Calculation for VMT/Total Project Cost = 490,000/$648,800=0.76	12
3. Project Characteristics: (10 points) Signal Coordination; Communications and detection support; New or upgraded communication systems; Intersection/field system modernization and replacement	10
4. Transportation Significance: (10 points) Priority corridor	10
5. Maintenance of Effort: (5 points) 0 years beyond 3 year grant period	0
6. Project Scale: (10 points) a. Number of signals / Project length (mi) = 62/14.7 = 4.2 b. Number of signals being synchronized/ Total number of corridor signals= 62/62=100%	9
7. Number of Jurisdictions: (20 points) 7 jurisdictions	20
8. Current Project Readiness (5 points) Project start date: September 1, 2012	5
9. Funding Match: (5 points) $129,760 / $648,800 = 20%	1
Total Points	**87**

Exhibit 8-1, continued

Section 10: Include any additional information or documentation deemed relevant by the applicant

Project Summary

☒ All guidelines were met for this project

☐ Not all qualifications were met, provide an explanation below of why the guidelines were not met for this project.

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Exhibit 8-2

Project P Regional Traffic Signal Synchronization Program Application Checklist

Project P Application Checklist	Included
RTSSP Online Application – submitted through OCFundTracker 1. Vehicle Miles Traveled 2. Benefic Cost Ratio 3. Project Characteristics 4. Transportation Significance 5. Maintenance of Effort 6. Project Scale 7. Number of Jurisdictions 8. Current Project Readiness 9. Funding Over-Match	
Section 1: Key technical information a. Project limits of the corridor to synchronize b. Designation of the corridor to synchronize: priority corridor, signal synchronization network corridor, or master plan of arterial highways corridor c. Project start date and end date, including any commitment to operate signal synchronization beyond the three year grant period d. Signalized intersections that are part of the project e. Traffic Forum members	
Section 2: Lead agency	
Section 3: Resolutions of support from the project's Traffic Forum members	
Section 4: Preliminary plans for the proposed project The plans shall include details about both phases of the project: Primary Implementation and the Ongoing Maintenance and Operation. The plan should be organized using the following setup. Primary Implementation shall include details about the following: a. Developing and implementing optimized signal synchronization timing (required) b. Producing a Before and After Study for the proposed project (required) c. Proposed signal improvements (optional): i. New or upgraded detection ii. New or upgraded communication systems iii. Intersection/field system modernization and replacement iv. Minor signal operation improvements v. Traffic management centers vi. Real-time traffic actuated operations and demonstration projects Ongoing Maintenance and Operation will begin after the Primary Implementation of the project is completed. It shall include details about the following: a. Monitoring and improving optimized signal timing (required) b. Communications and detection support (optional)	
Section 5: Total Proposed Project Cost by Task	
Section 6: Project Schedule by Task for the 3 Year Grant Period	
Section 7: Matching Funds	
Section 8: Environmental clearances and other permits	
Section 9: Calculations used to Develop Selection Criteria Inputs	
Section 10: Any additional information deemed relevant by the applicant	

Exhibit 8-3
Sample Resolution for Candidate Orange County
Regional Transportation Signal Synchronization Program Projects

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

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

(a) WHEREAS, the Measure M2 Regional Traffic Signal Synchronization Program targets over 2000 signalized intersections across Orange County to maintain traffic signal synchronization, improve traffic flow, and reduce congestion across jurisdictions; and

(b) WHEREAS, the City of _____ has been declared by the Orange County Transportation Authority to meet the eligibility requirements to receive revenues as part of Measure M2; and

(c) WHEREAS, the City of _____ has a currently adopted a Local Signal Synchronization Plan consistent with the Regional Traffic Signal Synchronization Master Plan as a key component of local agencies' efforts to synchronizing traffic signals across local agencies' boundaries; and

(d) WHEREAS, the City of _____ will provide matching funds for each project as required by the Comprehensive Transportation Funding Programs Procedures Manual; and

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

(f) WHEREAS, the City of _____ desires to implement multi-jurisdictional signal synchronization listed below; and

NOW, THEREFORE, BE IT RESOLVED THAT:

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

ADOPTED BY THE CITY COUNCIL on _____, 20____.
SIGNED AND APPROVED on _____, 20____.
City Clerk Mayor

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Chapter 9 – Application Materials

Project Submittal

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

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

Hardcopy applications can be hand delivered to:

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

Application Review and Program Adoption

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

2. The TSC will receive and evaluate the project applications and funding allocations.

3. Based on recommendations from the TSC, a program will be presented to the TAC for review and endorsement.

4. Recommendations from the TAC will be presented to the OCTA Board of Directors, who will approve projects for funding under the CTFP.

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

Project Guidelines

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

1. The travel lane width should be no less than 11 feet (12 feet if adjacent to a raised median or other obstruction) for all arterial highways.

2. For divided roadways, the minimum median width should be no less than 10 feet to allow for turning movements. Divided roadways are defined as those with either a painted or raised median.

3. Arterial highways that are designated for uses in addition to automobile travel (e.g., bicycle, pedestrian, parking) shall provide additional right-of-way consistent with local jurisdiction standards to facilitate such uses.

4. An eight-lane roadway should provide for a continuous median, protected dual or single left-turn pockets as warranted at signalized intersections, single left-turn pockets at non-signalized intersections, and a right-turn lane at signalized intersections where determined necessary by traffic volumes. Right-of-way for a free right-turn lane should be provided at locations warranted by traffic demand.

5. A six-lane divided roadway should provide a continuous median, protected dual or single left-turn pockets as warranted by existing traffic at all signalized intersections, and single left-turn pockets at non-signalized intersections. A right-turn option lane should also be provided as warranted by traffic demand.

6. A four-lane divided roadway should provide a continuous median, protected dual or single left-turn pockets at all signalized intersections, and a left-turn pocket at all non-signalized intersections. A right-turn lane should also be provided as warranted by traffic demand.

7. A four-lane undivided roadway shall provide for a single left-turn pocket at all intersections as warranted by traffic demand.

Application Instructions

A single application should be submitted for each phase of a project. **If funding is requested under multiple program components for a single project (i.e., arterials and intersections) a separate application must be prepared for each request.** Final applications MUST be submitted via OCFundtracker and in hard copy format.

Checklist Guide

Since each funding program has slightly different application requirements, an "Internal Application Checklist Guide" has been provided for the three programs under the RCP (Exhibits 9-1, 9-2, and 9-3). The checklist guide identifies the basic forms and documentation required for each of the program components. In addition, items required at the time of project submittal are differentiated from supplemental items due later. The appropriate checklist should be provided as a cover sheet for **each** application submitted. For any items that are required for the candidate project or program that are missing or incomplete, an explanation should be included in a cover letter with the application. In addition to this checklist guide, please review the **Attachments/Additional Information** section of each program component for a description of supplementary documentation which may be required to support your agency's project application in specific cases.

Attachments

"Priority List of Projects" Form - CTFP Application

Agencies must submit a “Priority List of Projects” with the application submittals. This document is created within the CTFP Application. Although no points are assigned to your top project priorities, this information may be useful in the programming decision process.

"Project Cost Estimate" Form

Include a separate attachment listing all expenditures and costs for the project. Accurate unit prices and a detailed description of work, including design, will be critical when the candidate project is reviewed. For example, design applications should include major tasks that will be performed. ROW cost estimate should include parcel information (including project area needed), improvements taken, severance damages, ROW engineering, appraisal and legal costs. Construction should include a listing of

all bid items including a maximum 10% allowance for contingencies and a maximum 15% allowance for construction engineering/project management. The anticipated disbursement of costs (e.g., Agency, Other, Non-Eligible) must also be completed. Agencies should reference the program from which funding is expected to be allocated when completing this portion of the form. Each of the funding programs described in ~~this manual~~these guidelines may have differing matching fund requirements.

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

"Sample Resolution" Form

A resolution or minute action must be approved by the local jurisdiction's governing body. A sample resolution is included as Exhibit 9-4. The mechanism selected shall serve as a formal request for ~~Comprehensive Transportation Program~~CTFP funds and states that matching funds will be provided by the agency, if necessary. All project requests must be included in this action. **If a *draft* copy of the resolution is provided, the local jurisdiction must also provide the date the resolution will be finalized by the local jurisdiction's governing body.**

Pavement Management Supporting Documentation

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

Project Summary Information

With each application, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for review and discussion purposes. The presentation shall be no more than three (3) slides and should contain, at a minimum, a project description, project benefits, location map, and cost estimate.

Additional Information

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

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

1. Letters of support for the candidate project (optional).

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

3. Preliminary plans, if available for the project. The plans (1"=40' preferred) should include:

    a. Existing and proposed right-of-way (include plat maps and legal descriptions for proposed acquisitions).

    b. Agency boundaries, dimensions and station numbers.

    c. Existing and proposed project features such as: pavement width and edge of pavement, curb, gutter and sidewalk, raised median, driveway reconstruction, signal pole locations, etc.

    d. Typical cross sections.

    e. Proposed striping.

    f. Structural sections per the materials report.

    g. Proposed traffic signals, storm drains, bridges, railroad crossing improvements, safety lighting, etc.

    h. If requesting funds for traffic signals, include a traffic signal warrant(s) prepared by the City Traffic Engineer or City Engineer.

i. If the project includes construction, relocation, alteration or widening of any railroad crossing or facility, include a copy of the letter of intent sent to the railroad, a copy of which must be sent to the Public Utilities Commission (PUC). Any project including work of interest to a railroad will not be considered for eligibility until the railroad and PUC have been notified.

j. If the project is proposed as a staged project and additional funds will be necessary in subsequent calls for projects, the preliminary project statement should be accompanied with a complete preliminary estimate and schedule for the completion of the entire project.

k. If the project is proposed as a safety improvement, provide justifying accident data for the past three years and show the expected decrease in intersection or mid-block accident rate.

Exhibit 9-1
Arterial Capacity Enhancement (ACE)
CTFP Application Checklist Guide

Planning – Environmental & Engineering

- CTFP Online Application – submitted through OCFundTracker
- Project Description, Scope of Work and Project Limits
- Cost Estimate Form for Complete Project - ALL PHASES (refer to page 10-31)
- General Application Sample Resolution (refer to page 9-7)
- Peak Hour Turning Movement Counts and LOS Calculations
- Aerial Photo w/ Proposed Improvements Shown

Right of Way (ROW)

- CTFP Online Application – submitted through OCFundTracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Potential ROW Acquisition Plan
- Cost Estimate Form for Complete Project - ALL PHASES (refer to page 10-31)
    - Estimated ROW Cost by Parcel (Land, Improvements Taken, Severance, Goodwill, Incidental Expenses)*
- General Application Sample Resolution (refer to page 9-7)
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Aerial Strip Map w/ Existing and Proposed Improvements Shown
    - Include ROW Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans*

Construction

- CTFP Online Application – submitted through OCFundTracker
- Project Construction Specifications
- Cost Estimate Form for Complete Project - ALL PHASES (refer to page 10-31)
- General Application Sample Resolution (refer to page 9-7)
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report *
- Approved Project Construction Plans*

NOTE: To qualify for the 10 percent local match discount for measureable improvement of PCI, please include documentation from the last two PMP biennial Measure M Eligibility submittals that provide:

1. *PCI for Overall System*
2. *PCI for Arterial System*
3. *PCI for Local Street System*

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

Exhibit 9-2
Intersection Capacity Enhancement (ICE)
CTFP Application Checklist Guide

Planning – Environmental & Engineering

- CTFP Online Application – submitted through OCFundTracker
- Project Description, Scope of Work and Project Limits
- Cost Estimate Form for Complete Project - ALL PHASES (refer to page 10-31)
- General Application Sample Resolution (refer to page 9-7)
- Peak Hour Turning Movement Counts and LOS Calculations
- Aerial Photo w/ Proposed Improvements Shown

Right of Way (ROW)

- CTFP Online Application – submitted through OCFundTracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Potential ROW Acquisition Plan
- Cost Estimate Form for Complete Project - ALL PHASES (refer to page 10-31)
    - Estimated ROW Cost by Parcel (Land, Improvements Taken, Severance, Goodwill, Incidental Expenses)*
- General Application Sample Resolution (refer to page 9-7)
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Aerial Strip Map w/ Existing and Proposed Improvements Shown
    - Include ROW Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans*

Construction

- CTFP Online Application – submitted through OCFundTracker
- Project Construction Specifications
- Cost Estimate Form for Complete Project - ALL PHASES (refer to page 10-31)
- General Application Sample Resolution (refer to page 9-7)
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report *
- Approved Project Construction Plans*

NOTE: To qualify for the 10 percent local match discount for measureable improvement of PCI, please include documentation from the last two PMP biennial Measure M Eligibility submittals that provide:

1. *PCI for Overall System*
2. *PCI for Arterial System*
3. *PCI for Local Street System*

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

Exhibit 9-3
Freeway Arterial/Streets Transition (FAST)
CTFP Application Checklist Guide

Planning – Environmental & Engineering

- CTFP Online Application – submitted through OCFundTracker
- Project Description, Scope of Work and Project Limits
- Cost Estimate Form for Complete Project - ALL PHASES (refer to page 10-31)
- General Application Sample Resolution (refer to page 9-7)
- Peak Hour Turning Movement Counts and LOS Calculations
- Caltrans Letter of Support
- Aerial Photo w/ Proposed Improvements Shown

Right of Way (ROW)

- CTFP Online Application – submitted through OCFundTracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Potential ROW Acquisition Plan
- Cost Estimate Form for Complete Project - ALL PHASES (refer to page 10-31)
    - Estimated ROW Cost by Parcel (Land, Improvements Taken, Severance, Goodwill, Incidental Expenses)*
- General Application Sample Resolution (refer to page 9-7)
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Aerial Strip Map w/ Existing and Proposed Improvements Shown
    - Include ROW Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans*

Construction

- CTFP Online Application – submitted through OCFundTracker
- Project Construction Specifications
- Cost Estimate Form for Complete Project - ALL PHASES (refer to page 10-31)
- General Application Sample Resolution (refer to page 9-7)
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report *
- Approved Project Construction Plans*

NOTE: To qualify for the 10 percent local match discount for measureable improvement of PCI, please include documentation from the last two PMP biennial Measure M Eligibility submittals that provide:

1. *PCI for Overall System*
2. *PCI for Arterial System*
3. *PCI for Local Street System*

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

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Exhibit 9-4
Sample Resolution for Candidate Orange County Comprehensive Transportation Programs Projects

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

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

(a) WHEREAS, the City of _____ desires to implement the transportation improvements listed below; and

(b) WHEREAS, the City of _____ has been declared by the Orange County Transportation Authority to meet the eligibility requirements to receive Measure M "turnback" funds; and

(c) WHEREAS, the City's Circulation Element is consistent with the County of Orange Master Plan of Arterial Highways; and

(d) WHEREAS, the City of _____ will provide matching funds for each project as required by the Orange County Comprehensive Transportation Funding Programs ~~Procedures Manual~~Guidelines; and

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

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

NOW, THEREFORE, BE IT RESOLVED THAT:

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

ADOPTED BY THE CITY COUNCIL on _____, 20____.

SIGNED AND APPROVED on _____, 20____.

_____ City Clerk

_____ Mayor

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Procedures for Receiving Funds

An implementing agency must obligate funds OCTA allocates to a project phase within the fiscal year of the phase allocation. Prior to the obligation of funds, an agency must have a fully executed letter agreement with OCTA. An agency obligates funds by awarding a contract, completing the appraisal for one parcel of right-of-way, or by providing expense reports to prove an agency's workforce costs, provided that the agency intends to complete the phase with agency staff. OCTA shall consider the primary contract or the contract with the largest dollar amount, associated with the phase's tasks, when an agency uses a contract to show obligation of CTFP funds. Once an agency obligates CTFP funds for a phase, it can begin the process for receiving payment of the funds.[4]

OCTA will release funds through two payments. The initial payment will constitute 75 percent of the contract award or programmed amount, whichever is less~~, rounded down to the nearest thousand~~. OCTA will disburse the final payment, ~~approximately~~ 25 percent of eligible funds, after it approves the final report.

The final report retention shall be capped at $500,000 per project phase, but shall in no case be less than 10 percent of the allocation for that phase. Should the 75/25 payment distribution ratio result in a final payment retention that exceeds $500,000, the payment percentages will be adjusted to meet the $500,000 cap until the 10 percent threshold is reached. At no time will the final payment retention be less than 10 percent.

Agencies shall submit payment requests to OCTA in a timely fashion. The M2 Ordinance requires the submittal of a final report within 180 days of the project phase completion date. Failure to submit a final report within the 180 day time frame will result in an agency being found ineligible to receive net revenues. Per the M2 Ordinance, no provision for extension is allowed. The project completion date refers to the date all final invoices have been paid and any pending litigation has been adjudicated for either the engineering phase or for the right-of-way phase, and all liens/claims have been settled for the construction phase.

Agencies must submit payment requests through OCTA's online database, OCFundtracker: http://ocfundtracker.octa.net. Detailed instructions for OCFundtracker are available online. Staff is also available to assist agencies with this process.

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

Agencies must upload appropriate backup documentation to the database. OCTA may request hardcopy payment requests.

Availability of Funds

The funds allocated by OCTA for each phase will be available on July 1, the first day of the fiscal year. After bids are opened and a contractor is selected, the final allocation will be the lesser amount of the original allocation or the revised project cost estimate.

Cancellation of Project

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

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Section 10.1 – Regional Capacity Program Initial Payment

Payment Requests

An agency shall use the report and checklist provided in Form 10-1 (**Form 10-1A** for Engineering and Construction, **Form 10-1B** for Right of Way) in order to determine the reporting and documentation requirements for initial payment requests. Staff may request additional documentation that is not listed on the checklist prior to approving the request. The interactive electronic versions of the forms provided as samples in this chapter can be downloaded via OCFundtracker.

OCTA will release the remaining balance, approximately 25% of CTFP funds, when the project is complete and OCTA accepts the final report. The balance is determined based on final costs for CTFP eligible program expenditures. Prior to submitting the report, review the section in ~~this manual~~these guidelines discussing the final report process.

Measure M informational "Funded By" sign removal costs should be requested in the Final Report. OCTA will reimburse costs associated with the Measure M informational signs (fabrication, installation and removal) and do not count against a project's allocation.

Below is additional information regarding the documentation requirements of payment requests:

1. Invoice – For initial payments, an agency shall invoice for 75% of the contract amount or programmed amount, whichever is less~~, rounded down to the nearest thousand dollars~~. For final payments, an agency shall invoice for the remaining balance of the contract amount or programmed amount, whichever is less. Final payment request invoices shall normally be approximately 25% of the eligible funds. Interest earned by an agency for initial payments received shall be applied to and deducted from the final payment balance amount.

2. Project Certification Letter – The public works director, or appropriate equivalent, shall submit a certification letter, with applicable statements, using **Form 10-2**.

3. Minutes – The agency shall submit a minute order, agency resolution, or other council/board action showing award of the contract and the contract amount. The city clerk, clerk of the board, or appropriate equivalent shall certify minutes. Agencies that use on-call consultants shall submit a purchase order that includes the scope of work for the contractor.

4. Revised Cost Estimate – The agency shall use the format provided in **Form 10-3**.

5. Work Schedule – OCTA prefers a complete project schedule, but an agency may provide as little as the expected start and completion dates for preliminary engineering, final engineering, right-of-way, and construction phases.

6. Right-of-Way Documents – Each parcel shall include an appraiser's invoice, written offer letter, plat map, and legal description. Agencies attempting to acquire five or more parcels for a project shall include a parcel location map.

7. Plans, Specifications, & Estimate (PS&E) Certification – Agencies shall submit a PS&E certification using **Form 10-4**. The agency engineer shall certify that the local agency properly prepared and approved plans and specifications in accordance with authorized procedures and adopted standards, followed approved scope of work, and incorporated materials report.

8. Layout Plans – An agency shall not submit layout plans that print on paper larger than 11 inches by 17 inches.

9. Documentation of Decision to Use Local Agency Forces – For all construction phase work performed by local agency forces, in lieu of a primary contract, local agency must document that local agency forces could perform the work more cost effectively or timely than a contractor; and documentation of this decision can be supplied in case of audit.

10. Documentation Supporting Local Agency Liability for Utility Relocation Costs – Local agency liability can be supported by the documentation of property rights, franchise rights/agreements, state and local statutes/ordinances, permits, or a finding by the local agency's counsel.

Samples of the forms listed above are included on the pages to follow. Electronic copies of the forms can be downloaded from OCFundtracker.

Project Advancement

Agencies that wish to expedite a CTFP project by one or more fiscal years may request a programming advancement. The agency must demonstrate that it will award a contract during the fiscal year it is requesting the advance. Advancement requests will be considered if program funds are available. If approved, OCTA shall de-escalate the

allocation for the project to remove inflation adjustments made for the original program year.

Agencies shall request advances during the semi-annual review. The TAC and OCTA Board of Directors shall approve advances. If approved, the agency must meet the new obligation deadline.

If OCTA is unable to accommodate programming advancement requests due to cash flow constraints, an agency may initiate the project using local funds and seek reimbursement during the fiscal year OCTA programmed the funds. (See Precept no. 5) The lead agency must have a fully executed letter agreement prior to beginning work.

Reimbursement

OCTA shall not reimburse for a project prior to the beginning of the fiscal year of the allocation. If an agency receives an advancement and begins work prior to the start of the fiscal year of the allocation, the agency may request an initial payment against the allocation. If an agency receives an advancement and completes a project prior to the start of the fiscal year of the allocation, OCTA shall disburse the allocation in a single payment. OCTA must approve the final report prior to issuing a payment.

Calculation of Payment

Once an agency obligates Measure M funds, the agency may request a maximum of 75% of the contract amount or programmed amount, whichever is less~~, rounded down to the nearest thousand dollars~~. Examples of calculating the initial funding request are described below.

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

Given:

$200,000 = Total CTFP funds programmed for Project X
$200,000 = Estimated construction cost (CTFP share)
$160,000 = Construction contract award (CTFP share)

Calculations:

75% of contract amount = $160,000 x 0.75 = $**120,000**.

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

Given:

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

Calculations:

Construction costs = $280,000
Since this amount exceeds $200,000 programmed, the initial payment is limited to 75% of the programmed amount.
75% of contract amount = $200,000 x 0.75 = $**150,000**.

~~After completing the calculations, agencies must round down the initial payment request to the nearest thousand dollars.~~

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Form 10-1A

Comprehensive Transportation Funding Program — **Form 10-1A**

OCTA

Engineering & Construction Phase Initial Report

Date:

1	Project Number	Lead Agency
	Project Title	
	Grant Request: Select Payment Type: ☒ Inital	Select Phase: ☐ Engineering ☐ Construction
2	Agency Contact / Contact Title / Contact Phone / Contact E-mail	

3 Project Schedule

	Start Date Month	Start Date Year	Completion Date Month	Completion Date Year
Engineering	Jan	2010	Jan	2010
Right-of-Way	Jan	2010	Jan	2010
Construction	Jan	2010	Jan	2010

Phase Completion Date

Length of Improvements (mi):

Document Checklist

All Phases

4 ☐ Initial Report Form (Form 10-1A)
5 ☐ Project Certification Letter (Form 10-2)
6 ☐ Revised Cost Estimate (Form 10-3)
7 ☐ Invoice
8 ☐ Contract Authorization
9 ☐ Work Schedule

Construction

10 ☐ PS&E Certification (Form 10-4)
11 ☐ Layout Plans (Half Size)

12 Division of Costs — **a** Phase Allocation

	CTFP Funds	Matching Funds	Local Fairshare	Other Funds	Total Amount
Match Rate **b**					
Contract Costs				**c**	
Extra Work/ Change Orders				**d**	
Agency Expenses				**e**	
TOTAL **g**			**f**		

Form 10-1A - Revised 08/10

Form 10-1A (continued)

Comprehensive Transportation Funding Program Engineering & Construction Initial Report
Form 10-1A
Page 2

Project Number

Payment Type ☒ Initial ☐ Engineering ☐ Construction

13 Scope of Work/Description of Improvements:

14 Remarks: Engineer in Charge:

Form 10-1A - Revised 08/10

Form 10-1B

Comprehensive Transportation Funding Program — **Form 10-1B**

OCTA

Right-of-Way Phase Initial Report

Date:

1	Project Number	Lead Agency
	Project Title	
	Grant Request: Select Payment Type: ☒ Inital	Select Phase: ☒ Right-of-Way
2	Agency Contact / Contact Title / Contact Phone / Contact E-mail	

3 Project Schedule

	Start Date		Completion Date	
	Month	Year	Month	Year
Engineering	Jan	2010	Jan	2010
Right-of-Way	Jan	2010	Jan	2010
Construction	Jan	2010	Jan	2010

Phase Completion Date

Length of Improvements (mi):

Document Checklist

- 4 ☐ Initial ROW Report Form (Form 10-1B)
- 5 ☐ Project Certification Letter (Form 10-2)
- 6 ☐ Revised Cost Estimate (Form 10-3)
- 7 ☐ Invoice
- 8 ☐ Contract Authorization
- 9 ☐ Work Schedule
- 10 ☐ Written Offer Letters
- 11 ☐ Parcel Plat Maps
- 12 ☐ Parcel Legal Descriptions
- 13 ☐ ROW Parcel Location Map

As Applicable

- 14 ☐ Orders of Immediate Possession

15 Division of Costs

	CTFP Funds	Matching Funds	Local Fairshare	a Phase Allocation: Other Funds	Total Amount
Match Rate	b				
Contract Costs				c	
Extra Work/ Change Orders				d	
Agency Expenses				e	
TOTAL g			f		

Form 10-1B - Revised 08/10

Form 10-1B (continued)

Comprehensive Transportation Funding Program

Right-of-Way Initial Report
Form 10-1B
Page 2

Project Number

Payment Type ☒ Initial ☒ Right-of-Way

16	Scope of Work/Description of Improvements:
17	Remarks: Engineer in Charge:

Form 10-1B - Revised 08/10

Form 10-1B (continued)

Comprehensive Transportation Funding Program

Right-of-Way Initial Report
Form 10-1B
Page 3

Project Number

Payment Type ☒ Initial ☒ Right-of-Way

18

APN	Grantor	Location	Permanent ROW (SQFT)	Temporary Easement (SQFT)	Appraised Value	Offer Price	Final Price	Acquisition Status
Page Total								

SAMPLE

Form 10-1B - Revised 08/10

Form 10-1B (continued)

Comprehensive Transportation Funding Program

Right-of-Way Initial Report
Form 10-1B
Page 4

Project Number

Payment Type ☒ Initial ☒ Right-of-Way

A	ASSESSOR'S PARCEL NUMBER Grantor(s) Address
	DEBITS
B	Amount for Land:
C	Relocation Costs:
D	Operation Expenses:
E	Moving or Restoring Improvements:
F	CREDITS:
	TOTAL:
G	Appraised Value
H	Remarks:

A	ASSESSOR'S PARCEL NUMBER Grantor(s) Address
	DEBITS
B	Amount for Land:
C	Relocation Costs:
D	Operation Expenses:
E	Moving or Restoring Improvements:
F	CREDITS:
	TOTAL:
G	Appraised Value
H	Remarks:

Form 10-1B - Revised 08/10

Form 10-2

Comprehensive Transportation Funding Program — **Form 10-2**

Project Certification Letter

OCTA

Date:

Project Number	Lead Agency
Project Title	

Select Payment Type: Grant Request: ☐ Inital ☐ Final

Select Phase: ☐ Engineering ☐ Right-of-Way ☐ Construction

I, _____ , _____

for the _____ , do hereby certify that:

		Check one: Yes	No	N/A
1	The project is designed to city/county and other participating jurisdictions' standards.	☐	☐	☐
2	The project contract was awarded on _____ .			
3	The total cost of the contract based on award is _____ .			
4	The city/county has committed matching funds to the project.	☐	☐	☐
5	Right-of-way was acquired in conformance with city/county procedures.	☐	☐	☐
6	All required environmental documentation is complete and certified.	☐	☐	☐
7	A final report and payment request will be submitted in accordance with the guidelines.	☐	☐	☐
8	An updated project schedule is included with the payment request.	☐	☐	☐

_____ Signed

_____ Date

Please include a project certification letter for each project phase.

Form 10-1B - Revised 08/10

Form 10-3

Comprehensive Transportation Funding Program

Revised Cost Estimate

Form 10-3

OCTA

Date

1 Project Number | Lead Agency | Phase ☐ Engineering ☐ Right-of-way ☐ Construction

Project Title

2

Description	Unit Price	Unit Measure	CTFP Funds Quantity	CTFP Funds Cost	Matching Funds Quantity	Matching Funds Cost	Other/Non-eligible Quantity	Other/Non-eligible Cost	Total Quantity	Total Cost
Sub-total										
Construction Engineering										
Contingency										
Design										
Total Project Cost										

3

No.	Description	Unit Price	Unit Measure	CTFP Funds Quantity	CTFP Funds Cost	Matching Funds Quantity	Matching Funds Cost	Other/Non-eligible Quantity	Other/Non-eligible Cost	Total Quantity	Total Cost
	Page Sub-total										

SAMPLE

Form 10-3 - Revised 08/10

Form 10-3 (continued)

Comprehensive Transportation Funding Program

Revised Cost Estimate
Form 10-3
Page 2

Phase
- ☐ Engineering
- ☐ Right-of-way
- ☐ Construction

Project Number

SAMPLE

4 No.	Description	Unit Price	Unit Measure	CTFP Funds Quantity	CTFP Funds Cost	Matching Funds Quantity	Matching Funds Cost	Other/Non-eligible Quantity	Other/Non-eligible Cost	Total Quantity	Total Cost
	Page Sub-total										

Form 10-3 - Revised 08/10

Form 10-4

Comprehensive Transportation Funding Program

Plans, Specifications, and Estimate Certification

Form 10-4

OCTA

Date:

Project Number	Lead Agency
Project Title	

Select Payment Type — Select Phase

Grant Request: ☐ Inital ☐ Final ☐ Engineering ☐ Right-of-Way ☐ Construction

The _____ hereby certifies in connection with the above project that:

1 All proposed work is within existing right-of-way and no additional right-of-way is necessary.

2 Existing improvements (check which apply):

☐ No building improvements or utility conflicts in the right-of-way area.

☐ The following improvements exist in the right-of-way area, but will be removed before the contractor enters to perform the construction:

☐ Utilities which have prior rights and will require relocation are:

3 Plans and Specifications for the project have been properly prepared and approved in accordance with authorized procedures.

4 The division of costs as shown in the Engineer's Estimate has been based on the Transportation Funding Program scope of work as approved by OCTA.

_____ Signed

_____ Date

Form 10-4 - Revised 08/10

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Section 10.2 – Regional Capacity Program Final Report and Payment Process

The remaining 25% of CTFP funds are made available to the lead agency following completion of the final reporting process. This balance is determined based upon final costs of CTFP eligible expenditures as stated in each applicable program less interest earned against the any related initial payment. Prior to submitting the Final Report, review the following section which includes items important to the final reporting process.

Project Cost Changes

If the contract price is lower than the amount programmed and the agency requested additional items and/or change orders during construction/study, OCTA may approve the additional costs during the review of the final report. OCTA will review these reports to:

1. Determine that the agency submitted proper justification for the change order(s)

2. Determine if the items are eligible for reimbursement

3. Confirm that expenses are within the project's original scope of work

4. The lead agency should provide information supporting the need for the change orders in the final report. Changes in project limits for construction projects are not eligible for reimbursement.

Additional Documentation Requirements

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

1. Final Report Form – The local agency shall prepare a final report form as provided in Form 10-6 (**Form 10-5A** for construction and engineering projects, **Form 10-5B** for right-of-way projects).

2. OCTA shall distribute general lump sum pay items, appraisal cost, design, and construction engineering in the same ratio as the total right-of-way acquisition or construction costs.

3. Proof of Project Payment and Division of Costs – For proof of project payment, this documentation will include approved contract invoices and may also include, but is not limited to, supportive material for agency work forces, equipment, and material. For the division of costs, original contract bid item lists can be supplied. If these are not available **Form 10-6** can be used. Supportive material shall equal the division of costs totals that are located in the final report form.

4. Summary of Right-of-Way Acquisition – Agencies shall submit a summary of right-of-way acquisition as described in Form 10-5B.

5. Notice of Completion – An agency may submit a recorded Notice of Completion (NOC) or where a NOC is not typically used, **Form 10-7** may be used to certify the phase completion date.

6. Before and After Project Photos – photographs showing the project before and after the improvements.

Samples of the forms listed above are included on the pages to follow. Electronic copies of the forms can be downloaded from OCFundtracker.

Delinquent Final Report

OCTA will work with jurisdictions to ensure the timeliness of final reports by utilizing the following procedures:

1. Require jurisdictions to notify OCTA of the project phase completion date within 30 days of completion.

2. Require all jurisdictions to file a final report within 180 days of project phase completion date.

3. Issue a reminder notice to the public works directors or TAC representative(s) 90 days after the project completion date to remind jurisdictions that the final report is due in 90 days. The reminder notice should also include an offer from OCTA to assist in preparation of the final report by using consultant services. The agency shall reimburse OCTA for the consultant services.

4. Issue a final notice letter to the public works directors or TAC representative(s) with a copy to the agency's management and finance director if OCTA does not receive the final report or a request for an extension within 180 days of the

project completion date. The final notice letter should inform the jurisdictions that if OCTA does not receive a response to the final notice letter then OCTA shall assume that the agency cancelled the project and OCTA shall request that the agency return disbursed funds.

5. Require OCTA to issue the final payment to jurisdictions within 60 days of receiving the final report and all supporting documentation.

Failure to Submit Final Report

Agencies who fail to submit a Final Report will be required to repay applicable M2 funds received for the project in a manner consistent with the master funding agreement and will be found ineligible to receive M2 net revenues.

Excess Right-of-Way

Agencies that use Net Revenues (through CTFP or Local Fair Share programs) to acquire project right-of-way shall dispose of land deemed in excess of the proposed transportation use. Excess land sold by the lead agency will be in accordance with the process established in Government Code, Article 8, Surplus Land, Section 54220-54232, et. Seq., and the agency shall return proceeds from the sale to OCTA. OCTA shall return the funds to the program of origin for future use.

Proceeds from the sale of excess right-of-way shall be returned to OCTA in proportion to the amount of M2 funds used in the purchase.

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

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

OCTA shall consider excess right-of-way with a value of $10,000.00 or less as an unsalable remnant. OCTA shall determine if excess right-of-way is an unsalable remnant.

The agency shall submit a fair market value appraisal report for the excess land of each parcel. Appraisers must conduct appraisals in accordance with the Uniform Standards

of Professional Appraisal Practice (USPAP). If an agency suspects that the excess right-of-way has a value of $10,000.00 or less, the agency may conduct a limited fair market value appraisal to confirm the value of the excess right-of-way. The agency shall submit the appraisals with the right-of-way final report.

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

An agency may include incidental expenditures from the disposal of property in their final report for the right-of-way allocation.

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

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

Example:

OCTA's right-of-way (ROW) allocation:	$500,000
OCTA allocation match rate	75%
Parcel Costs:	
Cost – Parcel 1:	$300,000
Cost – Parcel 2:	$380,000
Cost – Parcel 3:	$120,000
Cost – Parcel 4:	$100,000
Total ROW Costs:	$900,000
Payment with no excess ROW:	$500,000
Excess right-of-way:	
Value of excess ROW for parcel 1:	$200,000
Value of excess ROW for parcel 2:	$105,000
Value of excess ROW for parcel 3:	$ 0
Value of excess ROW for parcel 4:	$ 0
Total Value of excess ROW:	$305,000

OCTA contribution to ROW acquisition:

CTFP ROW contribution ÷ Agency total cost of ROW

$500,000 ÷ $900,000 = 56%

OCTA's shall reduce the final ROW payment by:

Parcel 1:	$200,000 x 56% =	$112,000
Parcel 2:	$105,000 x 56% = +	$ 58,800
Total:		$170,800

Payment (incorporating excess ROW):	$500,000
	$170,800
	$329,200

Agency Workforce and Equipment Rental

An agency must provide supporting documentation for work completed by agency staff. The agency shall multiple the fully burdened labor rate by the number of hours for each staff person assigned to the project. An agency may add actual overhead costs at an allowable rate up to 30% of payroll and fringe benefits. Where an agency due to size cannot calculate its specific overhead rate, an agency may refer to the Cost Accounting Policies and Procedures Manual of the California Uniform Public Construction Cost Accounting Commission, which allows for a fixed overhead rate billing dependant on city size.

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

~~Audit~~Technical and/or Field Review

Once an agency submits a final report for a project, OCTA shall review the report for compliance with the CTFP guidelines and may conduct a ~~-~~technical and/or field review. As part of the technical/field review of a CTFP project, OCTA may:

- review right-of-way acquisitions and the potential for excess right-of-way
- compare hourly breakdown of staff time compared to staff time sheets
- conduct a project field review – ensure improvements are within scope
- review items that agencies self-certify
- verification of the reasonableness of project costs

OCTA may review all phases of the project.

OCTA will use the project cost estimate forms submitted with the application and revised where appropriate, project accounting records and the final report as the primary items to conduct the review. Agencies must maintain separate records for

projects (i.e., expenditures, interest) to ensure compliance. OCTA will only reimburse eligible CTFP items listed on the cost estimate.

See Chapter 11 for ~~specific~~ independent audit requirements beyond the technical/field review.

Reporting of Local Fair Share

For the purposes of reporting non-project work (maintenance, repair, and other non-project related costs) funded by Measure M local fair share funds, the Measure M expenditure report cited Measure M Ordinance No. III, Section III(B)(8) shall satisfy reporting requirements. If local fair share funds are used for projects, the local agency shall also include a list of those funds and/or other Measure M funds in the Project Final Report cited in Section III(B)(9).

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Form 10-5A

Comprehensive Transportation Funding Program

Engineering & Construction Phase Final Report

Form 10-5A

OCTA

Date:

1	Project Number	Lead Agency
	Project Title	
	Grant Request: Select Payment Type: ☒ Final	Select Phase: ☐ Engineering ☐ Construction
2	Agency Contact / Contact Title / Contact Phone / Contact E-mail	
	Public Works Director / Contractor	

3 Project Schedule

	Start Date		Completion Date	
	Month	Year	Month	Year
Engineering	Jan	2010	Jan	2010
Right-of-Way	Jan	2010	Jan	2010
Construction	Jan	2010	Jan	2010

Phase Completion Date

Length of Improvements (mi):

Document Checklist

All Phases

4 ☐ Project Certification Letter (Form 10-2)
5 ☐ Revised Cost Estimate (Form 10-3)
6 ☐ PS&E Certification (Form 10-4)
7 ☐ Final Report Form (Form 10-5A)
8 ☐ Division of Costs Schedule (Form 10-6)
9 ☐ Certification of Phase Completion (Form 10-7)
10 ☐ Invoice
11 ☐ Contract Authorization
12 ☐ Proof of Project Payment
13 ☐ Project Expenditure Certification
14 ☐ Work Schedule

Final Construction

15 ☐ Layout Plans (Half Size)

16 Project Expenditures Certification

I hereby certify that the information contained in this report is a true and correct statement of the work performed and costs incurred on the above project.

Signed _____ Date _____

Form 10-5A - Revised 08/10

Form 10-5A (continued)

Comprehensive Transportation Funding Program Engineering & Construction Final Report
Form 10-5A
Page 2

Project Number

Payment Type ☒ Final ☐ Engineering ☐ Construction

17 Division of Costs — **a** Phase Allocation

	CTFP Funds	Matching Funds	Local Fairshare	Other Funds	Total Amount
Match Rate **b**					
Contract Costs				**c**	
Extra Work/ Change Orders				**d**	
Agency Expenses				**e**	
TOTAL **g**				**f**	

18 Scope of Work/Description of Improvements:

19 Remarks: Engineer in Charge:

Form 10-5A - Revised 08/10

Form 10-5B

Comprehensive Transportation Funding Program — **Form 10-5B**

Right-of-Way Phase Final Report

OCTA

Date:

1	Project Number		Lead Agency		
	Project Title				
		Select Payment Type		Select Phase	
	Grant Request:	☒ Final		☒ Right-of-Way	
2	Agency Contact	Contact Title	Contact Phone	Contact E-mail	
	Public Works Director	Contractor			

3 Project Schedule

	Start Date		Completion Date	
	Month	Year	Month	Year
Engineering	Jan	2010	Jan	2010
Right-of-Way	Jan	2010	Jan	2010
Construction	Jan	2010	Jan	2010

Phase Completion Date

Length of Improvements (mi):

Document Checklist

- 4 ☐ Project Certification Letter (Form 10-2)
- 5 ☐ Revised Cost Estimate (Form 10-3)
- 6 ☐ Final Report Form (Forms 10-5B)
- 7 ☐ Division of Costs Schedule (Form 10-6)
- 8 ☐ Certification of Phase Completion (Form 10-7)
- 9 ☐ Invoice
- 10 ☐ Contract Authorization
- 11 ☐ Proof of Phase Payments
- 12 ☐ Written Offer Letters
- 13 ☐ Parcel Plat Maps
- 14 ☐ Legal Descriptions
- 15 ☐ ROW Parcel Location Map
- 16 ☐ Project Expenditure Certification
- 17 ☐ Work Schedule

As Applicable

- 18 ☐ Orders of Immediate Possession

19 Project Expenditures Certification

I hereby certify that the information contained in this report is a true and correct statement of the work performed and costs incurred on the above project.

Signed _____ Date _____

Form 10-5B - Revised 08/10

Form 10-5B (continued)

Comprehensive Transportation Funding Program

Right-of-Way Final Report
Form 10-5B
Page 2

Project Number

Payment Type ☒ Final ☒ Right-of-Way

20 Division of Costs

	a Phase Allocation				
	CTFP Funds	Matching Funds	Local Fairshare	Other Funds	Total Amount
Match Rate b					
Contract Costs				c	
Extra Work/ Change Orders				d	
Agency Expenses				e	
TOTAL g			f		

21 Scope of Work/Description of Improvement:

22 Remarks: Engineer in Charge:

Form 10-5B - Revised 08/10

Form 10-5B (continued)

Comprehensive Transportation Funding Program
Right-of-Way Final Report
Form 10-5B
Page 3

Project Number

Payment Type ☒ Final
☒ Right-of-Way

SAMPLE

23 APN	Grantor	Location	Permanent ROW (SQFT)	Temporary Easement (SQFT)	Appraised Value	Offer Price	Final Price	Acquisition Status
Page Total								

Form 10-5B - Revised 04/10

Form 10-5B (continued)

Comprehensive Transportation Funding Program

Right-of-Way Final Report
Form 10-5B
Page 4

Project Number

A	ASSESSOR'S PARCEL NUMBER Grantor(s) Address
	DEBITS
B	Amount for Land:
C	Relocation Costs:
D	Operation Expenses:
E	Moving or Restoring Improvements:
F	CREDITS:
	TOTAL:
G	Appraised Value
H	Remarks:

A	ASSESSOR'S PARCEL NUMBER Grantor(s) Address
	DEBITS
B	Amount for Land:
C	Relocation Costs:
D	Operation Expenses:
E	Moving or Restoring Improvements:
F	CREDITS:
	TOTAL:
G	Appraised Value
H	Remarks:

Form 10-5B - Revised 04/10

Form 10-6

OCTA

Comprehensive Transportation Funding Program

Form 10-6

Engineering and Construction Final Report Division of Costs Schedule

Date:

1 Project Number

Lead Agency

Project Title

Grant Request: Select Payment Type ☒ Final

Select Phase ☐ Engineering ☐ Right-of-Way ☐ Construction

2 Contract Costs

		A		B		C		D
Item No.	Item of Work	Quantity		Unit Price		Total Amt.		Ineligible Amt.
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
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			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
3	► Column Totals						-	
4	► Sub-total Eligible Contract Expenses					=		

Form 10-6 - Revised 08/10

Form 10-6 (continued)

Comprehensive Transportation Funding Program

Final Report Division of Costs Schedule
Form 10-6

Payment Type
☒ Final
☐ Engineering
☐ Right-of-Way
☐ Construction

Project Number

5 Page

6 Amount from previous page . . . . ► Sub-total Eligible Contract Expenses

7 Contract Costs (cont.)

Item No.	Item of Work	A Quantity		B Unit Price		C Total Amt.		D Ineligible Amt.
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
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			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
8				► Column Totals			-	
9				► Sub-total Eligible Contract Expenses		=		

Form 10-6 - Revised 08/10

Form 10-6 (continued)

Comprehensive Transportation Funding Program

Final Report Division of Costs Schedule
Form 10-6

Payment Type
☒ Final
☐ Engineering
☐ Right-of-Way
☐ Construction

Project Number

10 Page

Total Contract Costs

11	Add all lines 3 & 8, Column C ▶	Total Contract Expenses
12	Add all lines 4 & 9, Column D ▶	Total Ineligible Contract Expenses
13	Line 4 or line 9 from preceding page ▶	Total Eligible Contract Expenses

14 Change Orders & Extra Work

CO No.	Item of Work	A Quantity		B Unit Price		C Total Amt.	D Ineligible Amt.
			x		=		-
			x		=		-
			x		=		-
			x		=		-
			x		=		-
			x		=		-
			x		=		-
			x		=		-
15	▶ Column Totals						-
16	▶ Total Change Orders & Extra Work Expenses						=

Total Change Orders & Extra Work

17	Line 15, Column C ▶	Total Contract Expenses
18	Line 15, Column D ▶	Total Ineligible Contract Expenses
19	Line 16 ▶	Total Eligible Contract Expenses

20 Labor

Position Title	A Hours		B Rate		C Overhead		D Total Amt.	E Ineligible Amt.
		x		+		=		-
		x		+		=		-
		x		+		=		-
		x		+		=		-
		x		+		=		-
		x		+		=		-
		x		+		=		-
		x		+		=		-
		x		+		=		-
		x		+		=		-
		x		+		=		-
21	▶ Column Totals							-
22	▶ Total Labor Expenses							=

Form 10-6 - Revised 08/10

Form 10-6 (continued)

Comprehensive Transportation Funding Program

Payment Type
- ☒ Final
- ☐ Engineering
- ☐ Right-of-Way
- ☐ Construction

Project Number

Final Report Division of Costs Schedule
Form 10-6

23 Page

	24 Materials		A	B
	Company	Item	Total Amt.	Ineligible Amt.
				-
				-
				-
				-
				-
				-
				-
				-
				-
				-
				-
				-
25	. . . . . ► Column Totals			-
26	. . . . . ► Total Material Expenses			=
	27 Equipment		A	B
	Company	Item	Total Amt.	Ineligible Amt.
				-
				-
				-
				-
				-
				-
				-
				-
				-
				-
				-
28	. . . . . ► Column Totals			-
29	. . . . . ► Total Equipment Expenses			=
	Total Agency Expenses			
30	Add Line 21, Column D and Lines 25 & 28, Column A . . ►		Total Agency Expenses	
31	Add Line 21, Column E and Lines 25 & 28, Column B . . ►		Total Ineligible Agency Expenses	
32	Add together Lines 22, 26, & 29 . . . . . ►		Total Eligible Agency Expenses	

Form 10-6 - Revised 08/10

Form 10-7

Comprehensive Transportation Funding Program — **Form 10-7**

Certification of Phase Completion

OCTA

Date:

Project Number	Lead Agency
Project Title	

Select Payment Type: Grant Request: ☒ Final

Select Phase: ☐ Engineering ☐ Right-of-Way ☐ Construction

I, _____ , _____

for the _____ , do hereby certify that:

1 The date of completion of the work hereinafter described is _____.

2 The owner of the work of improvements is _____.

3 The nature of the owner's interest or estate is Fee title of the herein described real property and improvements.

4 The work of improvements and limits are as follows:

5 The name of the contractor for the work of improvements is: _____

6 A general statement of the kind of work done or material furnished by the aforesaid contractor is as follows:

_____ Signed

_____ Date

Please include a Certification of Phase Completion for each project phase.

Form 10-7 - Revised 08/10

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Section 10.3 – Regional Traffic Signal Synchronization Program Reimbursements and Reporting Requirements

The previous sections of ~~Chapter 10 of the CTFP Guidelines~~this chapter outline~~s~~ the process and requirements regarding reimbursements and reporting for all competitive programs ~~(including Project P)~~ that are part of Measure M2. A lead agency shall also use the following additional reporting and documentation requirements specific to any competitive project funded through Project P as part of the reimbursement process. ~~The procedures of receiving funds are similar to that included in Chapter 10 of the CTFP Guidelines, with deviations to those guidelines as following.~~

Procedures for Receiving Funds

Regional Traffic Signal Synchronization Program funds projects with a three (3) year grant. Projects are divided into two components for the purposes of reimbursements and reporting: Primary Implementation and Ongoing Maintenance and Operations. The Primary Implementation of the project must be completed within one (1) year of the initial payment. Ongoing Maintenance and Operations will begin after the Primary Implementation of the project is completed and be required for the remainder of the project and last for a minimum of two (2) years.

Primary Implementation includes the following:

- Project administration (required)
- Developing and implementing optimized signal synchronization timing (required)
- Producing a Before and After Study for the proposed project (required)
- Engineering design of signal improvements for the project (optional)
- System integration (optional)
- Proposed signal improvements, construction support, and contingency (optional):
  - New or upgraded detection
  - New or upgraded communication systems
  - Intersection/field system modernization and replacement
  - Minor signal operation improvements
  - Traffic management centers
  - Real-time traffic actuated operations and demonstration projects
- Contingencies (optional)
- Construction management (optional)

Ongoing Maintenance and Operation will begin after the Primary Implementation of the project is completed. Includes the following:

- Monitoring and improving optimized signal timing (required)
- Communications and detection support (optional)
- Final report (required)

A lead agency must obligate funds OCTA allocates to a project within the fiscal year of the allocation and after funding agreements with OCTA are executed. A lead agency obligates funds by awarding a contract or providing expense reports to prove the lead or a participating agency's workforce costs, provided that the lead agency intends to complete the Primary Implementation with lead agency or participating agency staff. Once an agency obligates Project P funds for Primary Implementation, it can begin the process for receiving payment of the funds. Note that only the lead agency will receive payment of funds from OCTA. Any funds that due participating agencies are the responsibility of the lead agency and not OCTA.

The project lead agency must submit payment requests through OCTA's online database, OCFundtracker: http//ocfundtracker.octa.net. Additional details about the retention caps, timely payment requests, project closeout, and payment are available in Chapter 10 of the CTFP Guidelines.

Availability of Funds

The funds allocated for projects will be available to project lead agencies July 1st of the programmed year and after funding agreements with OCTA are executed.

Initial Payment Requests for Primary Implementation

The initial payment will cover 75% of funds for the Primary Implementation of the project. The following information specific to the Regional Traffic Signal Synchronization Project is provided regarding the documentation requirements for initial payment of Primary Implementation after an agency obligates funds for the project.

~~OCTA shall provide an updated version of the report and checklist Form 10-1 from the CTFP Guidelines~~Form 10-8 has been provided ~~for~~so a lead agency ~~to~~can determine the reporting and documentation required for an initial payment request. Staff may request additional documentation that is not listed on ~~the checklist~~ Form 10-8 prior to approving the request. The electronic versions of the forms ~~will be~~are available through the OCFundtracker.

Below is additional information updating Section 10.1 ~~in the CTFP Guidelines~~of this chapter regarding documentation requirements for Project P payment requests:

- Invoice - For initial payments, the lead agency shall invoice for 75% of the contract amount or programmed amount of the project's Primary Implementation, whichever is less~~, rounded down to the nearest thousand dollars~~. For final payments of the Primary Implementation, the lead agency shall invoice the remaining balance of the project's Primary Implementation phase contract amount or programmed amount, whichever is less. (Form ~~8-1~~10-8)

- Project Certification Letter. (Form ~~8-2~~10-9)

- Revised Cost Estimate. (Form ~~8-3~~10-10)

- Plans, Specifications, and Estimate (PS&E) Certification (Form 10-11)

- Certification of Phase (Form 10-12)

- Final Report Submission (Form 10-13)

- Division of Cost Schedule (Form 10-14)

- Work Schedule - OCTA requires a complete project schedule, including expected start and competition dates for tasks in the Primary Implementation and Ongoing Maintenance and Operation phases

- Right-of-Way Documents - No requirements as Right-of-Way is not a part of Project P

Detail on other aspects on Initial Payment Requests for Primary Implementation including project advancement and reimbursement is available in Chapter 10 of the CTFP Guidelines.

Final Payment Requests for Primary Implementation

OCTA will release the remaining balance to the lead agency, approximately 25% of funds for the Primary Implementation, when the project's Primary Implementation phase is complete and OCTA ~~accepts~~ receives the project Before and After Study ~~(final report equivalent – see below)~~. The balance is determined based on the final costs for the eligible Project P expenditures. The Before and After Study is defined as the following:

This study shall at minimum collect morning and evening peak period using travel times, average speeds, green lights to red lights, stops per mile, and the

derived corridor system performance index (CSPI) metric. In addition, greenhouse gas and gasoline savings should be identified. This information shall be developed both before any signal timing changes have been made and after the Primary Implementation. The study shall compare the information collected both before and after the timing changes. Comparisons shall identify the absolute and percent differences for the entire corridor, by segment, direction, and time period. Segments will be defined by major traffic movements as observed during the project (e.g. commuting segments between freeways, pedestrian-friendly segments in a downtown area, etc.).

A template for the before and after study is available. The Before and After Study for Project P shall be included as a requirement at the end of the Primarily Implementation phase and as part of the ~~is the equivalent of the~~ Final Report for reimbursement purposes as outlined in ~~Chapter 10 of the CTFP Guidelines~~this chapter. ~~A template for the Before and After Study will be provided at a later date.~~

~~Also, an Form 10-4 (PS&E Certification) will be provided for Plans, Specifications, and Estimate (PS&E) Certification. Detail on other aspects on Final Payment Requests for Primary Implementation including project cost changes, a delinquent final report, failure to submit a final report, agency workforce and equipment rental, audits, and reporting of local fair share is available in Chapter 10 of the CTFP Guidelines.~~

Payment Requests for Ongoing Maintenance and Operations

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

Project Final Report

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

Example of Reimbursement

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

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

Initial Payment = $900,000 x 0.75 = $675,000

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

Approximate Final Payment = $900,000 x 0.25 = $225,000

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

Samples of the forms are included on the pages to follow. Electronic copies of the forms can be downloaded from OCFundtracker.

Form 10-8A

Form 10-8A

Comprehensive Transportation Funding Program
Regional Traffic Signal Synchronization Program
Project P Primary Implementation Report Form

Date:

1	Project Number:	Lead Agency:		
	Project Title:			
	Phase 1: Primary Implementation	Payment Type: ☒ Initial ☐ Final		
2	Agency Contact:	Title:	Phone:	E-mail:

3 Project Schedule:

	Start Date		Completion Date		Number of Intersections:
	Month	Year	Month	Year	_____
Primary Implementation:					Length of project corridor: ____ miles

4 Document Checklist:

a. ☐ Project P Primary Implementation Report Form (8-1A)
b. ☐ Project P Primary Implementation Certification Letter (8-2)
c. ☐ N/A
d. ☐ Invoice & supporting documents (proof of payment, etc.)
e. ☐ Contract Authorization/Council Approval
f. ☐ Work Schedule
g. ☐ Project P PS&E Certification (8-4)
h. ☐ N/A
i. ☐ SYNCHRO, Timing, TruTraffic, and other ROADS data
j. ☐ N/A

5 Division of Costs:

*Payment Amount: $0
Phase Allocation:

	CTFP Funds	Matching Funds	Other Funds	Total Amount
Match Rate	1			
Contract Costs	$ -	$ -	$ -	
Extra Work/Change Orders	$ -	$ -	$ -	$ -
Agency Expenses	$ -	$ -	$ -	$ -
Total	$ -	$ -	$ -	$ -

**For Primary Implementation, requested Initial payment is allowed for up to 75% of the M2 funds*

Form 10-8A - Revised 04/12

Form 10-8A *(continued)*

Comprehensive Transportation Funding Program

Project Number: 0

Form 10-8A
Page 2

5 cont.	Agency	Direct Dollar Match	In Lieu/Soft Match	Total Match
				$ -
				$ -
				$ -
				$ -
				$ -
				$ -
				$ -
	TOTALS:	$ -	$ -	$ -

6 Scope of Work/Description of Improvements:

7 Remarks: Engineer in Charge:

Form 10-8A - Revised 04/12

Form 10-8B

Form 10-8B

Comprehensive Transportation Funding Program
Regional Traffic Signal Synchronization Program
Project P Ongoing Monitoring / Maintenance Report Form

Date:

1	Project Number:	Lead Agency:		
	Project Title:			
	Phase 2: Ongoing Monitoring / Maintenance	Year: ☒1 ☐2 ☐3* ☐4* ☐5*	Payment: ☒1 ☐2	
2	Agency Contact:	Title:	Phone:	E-mail:

3 Project Schedule:

	Start Date		Completion Date		Number of Project Intersections
	Month	Year	Month	Year	
Ongoing Maintenance/Monitoring:					Length of project corridor: _____ miles

4 Document Checklist:

a. ☑ Project P Ongoing Monitoring / Maintenance Report Form (8-1B)
b. ☐ Work Summary
c. ☐ Invoice & supporting documents (proof of payment, etc.)
d. ☐ Work Schedule
e. ☐ SYNCHRO, Timing, TruTraffic, and other ROADS data
f. ☐ Direct Labor Documentation

5 Division of Costs:

Payment Amount**:
Phase Allocation:

	CTFP Funds	Matching Funds	Other Funds	Total Amount
Match Rate	1			
Contract Costs	$ -	$ -	$ -	
Extra Work/Change Orders	$ -	$ -	$ -	
Agency Expenses	$ -	$ -	$ -	
Total	$ -	$ -	$ -	$ -

Payment Tracker:

		Year 1	Year 2	Year 3*	Year 4*	Year 5*	
Payment 1	Amount						
	Invoice #						
Payment 2	Amount						
	Invoice #						*Requested Payment to Date*
Annual Total to date:		$ -	$ -	$ -	$ -	$ -	$ -

**if applicable*
***Payment can only be requested every 6 months*

Form 10-8B - Revised 04/12

Form 10-8B *(continued)*

Comprehensive Transportation Funding Program

Project Number: 0

Form 10-8B
Page 2

5 cont.	Agency	Direct Dollar Match	In Lieu/Soft Match	Total Match
				$ -
				$ -
				$ -
				$ -
				$ -
				$ -
				$ -
	TOTALS:	$ -	$ -	$ -

6	Scope of Work/Description of Improvements:
7	Remarks: Engineer in Charge:

Form 10-8B - Revised 04/12

Form 10-8C

Form 10-8C

Comprehensive Transportation Funding Program
Regional Traffic Signal Synchronization Program
Project P Ongoing Monitoring / Maintenance Final Report Form

Date:

1	Project Number:	Lead Agency:		
	Project Title:			
	Phase 2: Ongoing Monitoring / Maintenance	Final Payment Request Amount*: $_____		
2	Agency Contact:	Title:	Phone:	E-mail:

3 Project Schedule:

	Start Date		Completion Date		Number of Project Intersections
	Month	Year	Month	Year	
Ongoing Maintenance/Monitoring:					Length of project corridor: ____ miles

4 Document Checklist:

a. ☑ Project P OMM Final Report Form (8-1C)
b. ☐ Division of Cost Schedule (8-7)
c. ☐ Invoice & supporting documents (proof of payment, etc.)
d. ☐ Work Schedule
e. ☐ Work Summary
e. ☐ Project P PS&E Certification (8-4)
f. ☐ Project P Certification of Phase Completion (8-5)
g. ☐ Project Final Report Submission (8-6)
h. ☐ SYNCHRO, Timing, TruTraffic, and other ROADS data

5 Division of Costs:

*Payment Amount:
Phase Allocation:

	CTFP Funds	Matching Funds	Other Funds	Total Amount
Match Rate	1			
Contract Costs	$ -	$ -	$ -	
Extra Work/Change Orders	$ -	$ -	$ -	
Agency Expenses	$ -	$ -	$ -	
Total	$ -	$ -	$ -	$ -

Payment Tracker:

		Year 1	Year 2	Year 3**	Year 4**	Year 5**	
Payment 1	Amount						
	Invoice #						
Payment 2	Amount						
	Invoice #						*Requested Payment to Date*
Annual Total to date:		$ -	$ -	$ -	$ -	$ -	$ -

*Last 6 months of Ongoing Monitoring/Maintenance payment can only be requested after OMM is completed and within 180 days of completion
**If applicable

Form 10-8C - Revised 04/12

Form 10-8C *(continued)*

Comprehensive Transportation Funding Program

Project Number: 0

Form 10-8C
Page 2

5 cont.	Agency	Direct Dollar Match	In Lieu/Soft Match	Total Match
				$ -
				$ -
				$ -
				$ -
				$ -
				$ -
				$ -
	TOTALS:	$ -	$ -	$ -

6 Scope of Work/Description of Improvements:

7 Remarks: Engineer in Charge:

Form 10-8C - Revised 04/12

Form 10-9

Form 10-9

Comprehensive Transportation Funding Program
Regional Traffic Synchronization Program
Project P Primary Implementation Certification Letter

Date:

1	Project Number	Lead Agency			
	Project Title				
	Phase 1: Primary Implementation	Payment Type: ☑ Initial			
2	I, _____, _____ for the _____, do hereby certify that:	Check one:	Yes	No	N/A
3	The project is designed to city/county and other participating jurisdictions' standards, as required.		☐	☐	☐
4	The project contract was awarded on _____.				
5	The total cost of the contract based on award is _____.				
6	The city/county has committed matching funds to the project.		☐	☐	☐
7	All required environmental documentation is complete and certified.		☐	☐	☐
8	All final report and payment request will be submitted in accordance with the guidelines.		☐	☐	☐
9	An updated project schedule is included with the payment request.		☐	☐	☐
10	Implementation/construction will be completed as outlined in the scope of work.		☐	☐	☐
11	Primary implementation will be completed within one (1) year of the initial payment.		☐	☐	☐
12	On-going monitoring/maintenance will begin after the completion of the Primary Implementation and will be required for the remainder of the project.		☐	☐	☐
13	An updated Revised Cost Estimate (Form 8-3) in conformance with the latest CTFP Guidelines will be submitted.		☐	☐	☐
14	A "Before" and "After" Study will be submitted prior to submitting the Final Payment Request.		☐	☐	☐

_____ _____
0 Date
0
0

Form 10-9 - Revised 04/12

Form 10-10

Comprehensive Transportation Funding Program — **Form 10-10**
Regional Traffic Signal Synchronization Program
Project P Revised Cost Estimate

OCTA

1	Project Number	Lead Agency		Date	
	Project Title				Application Match Rate

2	Description	Total Costs	CTFP Funds	Matching Funds	Other Funds
	Primary Implementation	$ -			
	Ongoing Maintenance/Monitoring	$ -			
	Total Project Cost	$ -	$ -	$ -	$ -

3	Phase*	Description	Location (Euclid @)	Quantity	Unit of Measure	Unit Price	Ineligible Costs	Total
								$ -
								$ -
								$ -
								$ -
								$ -
								$ -
								$ -
								$ -
								$ -
								$ -
								$ -
								$ -
								$ -
								$ -
								$ -
								$ -
								$ -
								$ -
								$ -
							Total	$ -

**Use "P.I." to indicate Primary Implementation phase and use "OMM" to indicate Ongoing Maintenance/Monitoring phase.*

Form 10-10 - Revised 04/12

Form 10-11

Form 10-11

Comprehensive Transportation Funding Program
Regional Traffic Synchronization Program
Project P Plans, Specifications, and Estimate Certification

OCTA

Date:

1	Project Number	Lead Agency
	Project Title	
	Phase 1: Primary Implementation	Submission Type: ☑ Initial ☐ Resubmission

2 The 0 hereby certifies in connection with the above project that:

3 All proposed work is within existing right-of-way and no additional right-of-way is necessary.

4 Existing improvements (check all that apply):

- ☐ No building improvements or utility conflicts in the right-of-way area.
- ☐ All jurisdictional permits for implementation has been documented and are available for inspection, if requested, by OCTA.
- ☐ The following improvements exist in the right-of-way area, but will be removed before the contractor enters to perform in the construction.
- ☐ Utilities which have prior rights and will require relocation are:

5 Plans and specifications for the project have been or will be properly prepared and approved in accordance with authorized procedures.

6 The division of costs as shown in the Revised Cost Estimate (Form 8-3) has been based on the Regional Traffic Signal Synchronization Program scope of work as approved by OCTA.

7 The work is true to the proposed/approved scope of work and any deviations required will remain consistent with the goals of the project and are justified.

(Insert Name)
(Insert Title)
(Insert Agency)

Date

Form 10-11 - Revised 04/12

Form 10-12

Form 10-12

Comprehensive Transportation Funding Program
Regional Traffic Signal Synchronization Program
Project P Certification of Phase Completion

Date:

1	Project Number	Lead Agency
	Project Title	
	Phase: ☑ Primary Implementation ☐ Ongoing Maintenance/Monitoring	

2 I, _____ , _____

for the _____, do hereby certify that:

3 The date of completion of the work hereinafter described is _____.

		Check one:	Yes	No	N/A
4	The agency has recorded a Notice of Acceptance for Project Completion.		☐	☐	☐
5	A description of the work and limits are attached.		☐	☐	☐

6 The name of the consultant for the work of improvements is: _____

7 A general statement of the kind of work done or material furnished by the aforesaid consultant is as follows:

_____ _____

0 Date

0

0

Form 10-12 - Revised 04/12

Form 10-13

Form 10-13

Comprehensive Transportation Funding Program
Regional Traffic Signal Synchronization Program
Project P Final Report Submission Form

Date:

1	Project Number:	Lead Agency:		
	Project Title:			
	Report Type: ☑ Project Implementation* ☐ Project Completion** *includes Before/After Study **includes final OMM report	Submission Type: ☑ Initial ☐ Resubmission		
2	Agency Contact:	Title:	Phone:	E-mail:
3	Document Checklist: a. ☑ Project P Final Report Submission Form b. ☑ One (1) electronic copy of the Project Final Report, as specified above, including all appendices, on a CD/DVD. c. ☑ Two (2) physical copies of the Project Final Report, as specified above, including all appendices, (1 bounded and 1 unbounded)			
4	I, _____, _____ for the _____, do hereby certify that the Project Final Report, as specified above, includes all the components required by the Comprehensive Transportation Funding Program (CTFP) Guidelines. _____ Date 0 0 0			

Form 10-13 - Revised 04/12

Form 10-14

Form 10-14

OCTA

Comprehensive Transportation Funding Program
Regional Traffic Signal Synchronization Program
Project P Final Report Division of Costs Schedule

Date:

1 Project Number:

Lead Agency:

Project Title:

Payment Type

Phase

Grant Request: ☑ Final ☐ Primary Implementation ☐ Ongoing Monitoring/Maintenance

2 Contract Costs:

			A		B		C	D	
	Item No.	Item of Work	Quantity		Unit Price		Total Amount	Ineligible Amount	
				x		=	$ -	-	
				x		=	$ -	-	
				x		=	$ -	-	
				x		=	$ -	-	
				x		=	$ -	-	
				x		=	$ -	-	
				x		=	$ -	-	
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				x		=	$ -	-	
				x		=	$ -	-	
				x		=	$ -	-	
				x		=	$ -	-	
				x		=	$ -	-	
				x		=	$ -	-	
3	. . . . ▶				Column Totals		$ -	-	-
4	. . . . ▶				Sub-total Eligible Contract Expenses			=	-

Form 10-14 - Revised 04/12

Form 10-14 *(continued)*

Comprehensive Transportation Funding Program

Final Report Division of Costs Schedule
Form 10-14
Page 2

Project Number: 0

Payment Type ☐ Primary Implementation ☐ Ongoing Monitoring/Maintenance

5 Amount from previous page . . . . ▶ Sub-total Eligible Contract Expenses $ -

6 Contract Costs (cont.):

Item No.	Item of Work	A Quantity		B Unit Price		C Total Amount	D Ineligible Amount
			x		=	$ -	-
			x		=	$ -	-
			x		=	$ -	-
			x		=	$ -	-
			x		=	$ -	-
			x		=	$ -	-
			x		=	$ -	-
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			x		=	$ -	-
			x		=	$ -	-
			x		=	$ -	-
			x		=	$ -	-
			x		=	$ -	-

7 . . . . ▶ Column Totals $ - - $ -

8 . . . . ▶ Sub-total Eligible Contract Expenses = $ -

Form 10-14 - Revised 04/12

Form 10-14 *(continued)*

Comprehensive Transportation Funding Program

Final Report Division of Costs Schedule
Form 10-14
Page 3

Project Number: 0

Payment Type: ☐ Primary Implementation ☐ Ongoing Monitoring/Maintenance

9	Total Contract Costs:						
10	Add all lines 3 & 7, Column C ▶				Total Contract Expenses		$0
11	Add all lines 3 & 7, Column D ▶				Total Ineligible Contract Expenses		$0
12	Subtract line 11 from line 10 ▶				Total Eligible Contract Expenses		$0
13	Change Orders & Extra Work:						
		A	B	C	D		
	CO No. / Item of Work	Quantity	Unit Price	Total Amount	Ineligible Amount		
		x	=	$ -	-		
		x	=	$ -	-		
		x	=	$ -	-		
		x	=	$ -	-		
		x	=	$ -	-		
		x	=	$ -	-		
		x	=	$ -	-		
		x	=	$ -	-		
		x	=	$ -	-		
		x	=	$ -	-		
14	▶			Column Totals	$ -	-	$ -
15	▶			Sub-total Change Orders & Extra Work Expenses		=	$ -
16	Total Change Orders & Extra Work:						
17	Line 14, Column C ▶				Total Contract Expenses	$	-
18	Line 14, Column D ▶				Total Ineligible Contract Expenses	$	-
19	Line 15 ▶				Total Eligible Contract Expenses	$	-
20	Labor:						
		A	B	C	D	E	
	Position Title	Hours	Rate	Overhead	Total Amount	Ineligible Amount	
		x	+	=	$ -	-	
		x	+	=	$ -	-	
		x	+	=	$ -	-	
		x	+	=	$ -	-	
		x	+	=	$ -	-	
		x	+	=	$ -	-	
		x	+	=	$ -	-	
		x	+	=	$ -	-	
		x	+	=	$ -	-	
		x	+	=	$ -	-	
21	▶			Column Totals	$ -	-	$ -
22	▶			Total Labor Expenses		=	$ -

Form 10-14 - Revised 04/12

Form 10-14 *(continued)*

Comprehensive Transportation Funding Program

Final Report Division of Costs Schedule
Form 10-14
Page 4

Project Number: 0

Payment Type: ☐ Primary Implementation ☐ Ongoing Monitoring/Maintenance

23	Materials:		A	B
	Company	Item	Total Amount	Ineligible Amount
				-
				-
				-
				-
				-
				-
				-
				-
				-
				-
				-
				-
				-
24	▶ Column Totals		$ -	$ -
25	▶ Total Material Expenses		=	$ -
26	Equipment:			
			A	B
	Company	Item	Total Amount	Ineligible Amount
				-
				-
				-
				-
				-
				-
				-
				-
				-
				-
				-
				-
				-
27	▶ Column Totals		$ -	$ -
28	▶ Total Equipment Expenses		=	$ -
29	Total Agency Expenses:			
30	Add Line 21, Column C and Lines 24 & 27, Column C ▶	Total Agency Expenses		$ -
31	Add Line 21, Column D and Lines 24 & 27, Column D ▶	Total Ineligible Agency Expenses		$ -
32	Add together Lines 22, 25 & 28 ▶	Total Eligible Agency Expenses		$ -

Form 10-14 - Revised 04/12

Section 10.4 – Environmental Cleanup Program Reimbursements and Reporting Requirements

Sections 10.1 and 10.2 of this chapter outline the process and requirements regarding reimbursements and reporting for the Regional Capacity Program. These processes are applicable to the Tier 1 and Tier 2 Grant Programs with the following exceptions:

- For an initial payment, Forms 10-15 and 10-17 (along with Forms 10-2, 10-3, and 10-4) must be submitted.
- For a final payment, Forms 10-16 and 10-17 (along with Forms 10-2, 10-4, 10-5A and 10-7) must be submitted. Supporting documentation for O & M costs (if used as match) and location maps must also be submitted.
- A final report must be filed within 180 days of the project being completed with information as shown in Form 10-16.
- Additionally, an exception to Precept #29: agencies may appeal to the ECAC and the OCTA Board on any issues that the agency and OCTA cannot resolve, as such are the approving bodies for this program.

For Tier 1 of the Environmental Cleanup Program, ongoing operations and maintenance of the project can be pledged as a match. (page 12-6) As part of the semi-annual review reporting process, OCTA will verify local agency operations and maintenance expenditures to ensure local match commitments are being met. Local agencies must complete Form 10-17 (sample on page 10-59) for each ECP grant as part of their SAR updates.

Samples of the forms are included on the pages to follow. Electronic copies of the forms can be downloaded from OCFundtracker.

Form 10-15

Comprehensive Transportation Funding Programs **Form 10-15**

Environmental Cleanup Program - Initial Payment Form

I. Project Title	II. Submittal Date

III. Lead Agency Information

Project Administrator/Person with day-to-day responsibility for implementing project

Name	Title
Agency	
Address	
Phone	E-Mail

IV. Contractor Information

Company	
Address	
Phone	E-Mail

V. Project Schedule

	Start Date	End Date
Permitting (if applicable)		
Construction		

VI. Division of Cost

Category	ECP Funds	Funding Match*	Funding Match Expended
Capital Purchases	$ -	$ -	$ -
Construction Costs (Installation)	$ -	$ -	$ -
Direct Project Administration Costs	$ -	$ -	$ -
Other Costs (Supplies, Materials, Equipment)	$ -	$ -	$ -
Total	$ -	$ -	$ -

* *Agency shall meet match rate commitments on a proportional basis as identified in the project application and certified in the project certification letter.*

CTFP Form 10-15

Page 1
Revised 02/12

Form 10-15 *(continued)*

Comprehensive Transportation Funding Programs **Form 10-15**

Environmental Cleanup Program - Initial Payment Form

VIII. Itemized Costs

CAPITAL COSTS

Item #	Description	Unit	Quantity	Unit Price	Amount
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -

CONSTRUCTION COSTS (INSTALLATION)

Item #	Description	Unit	Quantity	Unit Price	Amount
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -

OTHER COSTS (SUPPLIES, MATERIALS, AND EQUIPMENT)

Item #	Description	Unit	Quantity	Unit Price	Amount
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -

CTFP Form 10-15

Page 2
Revised 02/12

Form 10-16

Comprehensive Transportation Funding Programs **Form 10-16**

Environmental Cleanup Program - Final Report Form

I. Project Title	II. Submittal Date

III. Lead Agency Information

Project Administrator/Person with day-to-day responsibility for implementing project

Name	Title
Agency	
Address	
Phone	E-Mail

IV. Contractor Information

Company	
Address	
Phone	E-Mail

V. Project Schedule

	Start Date	End Date
Permitting (if applicable)		
Construction		

VI. Division of Cost

Category	ECP Funds	Funding Match*	Funding Match Expended
Capital Purchases	$ -	$ -	$ -
Construction Costs (Installation)	$ -	$ -	$ -
Direct Project Administration Costs	$ -	$ -	$ -
Other Costs (Supplies, Materials, Equipment)	$ -	$ -	$ -
Total	$ -	$ -	$ -

* *Agency shall meet match rate commitments on a proportional basis as identified in the project application and certified in the project certification letter.*

CTFP Form 10-16

Page 1
Revised 02/12

Form 10-16 *(continued)*

Comprehensive Transportation Funding Programs **Form 10-16**

Environmental Cleanup Program - Final Report Form

VIII. Itemized Costs

Copies of invoices are to be provided

CAPITAL COSTS

Item #	Description	Unit	Quantity	Unit Price	Amount
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -

CONSTRUCTION COSTS (INSTALLATION)

Item #	Description	Unit	Quantity	Unit Price	Amount
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -

OTHER COSTS (SUPPLIES, MATERIALS, AND EQUIPMENT)

Item #	Description	Unit	Quantity	Unit Price	Amount
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -

CTFP Form 10-16

Page 2
Revised 02/12

Form 10-16 *(continued)*

Comprehensive Transportation Funding Programs **Form 10-16**

Environmental Cleanup Program - Final Report Form

VI. Location of Installation

Please provide on a separate sheet the location of all installations (catch basin ID and nearest cross-section), inclusive of depicting locations within a GIS map.

VII. Project Results

Information should be provided describing the benefits, successess, and shortcomings related to the completed project.

CTFP Form 10-16

Page 3
Revised 02/12

Form 10-17

Comprehensive Transportation Funding Program **Form 10-17**

Environmental Cleanup Program In-Kind Service O&M Report

Date:

A	Project Number:	Lead Agency:	Reporting Period:	
			☐ July 1 _____ to Dec 31 _____	
	Project Title:		☐ Jan 1 _____ to June 30 _____	
B	Agency Contact:	Title:	Phone:	E-mail:

C In-Kind Services (O&M only)

	Staff Position	Hours	Hourly Rate	Burden	Overhead*	Total Cost
1						
2						
3						
4						
5						
6						
	Sub-Total					$ -

	Other (e.g. consultant services.):	Description	Total Cost
1			
2			
		Sub-Total	$ -
		Totals	$ -

D Operations & Maintenance (O&M) Expenditures:

Match rate	
Implementation phase reimbursements	$ -
O&M this reporting period	$ -
O&M previous period	$ -
Total O&M expended to date	$ -

E Remarks:

F Project Expenditures Certification:

I hereby certify that the information contained in this report is a true and correct statement of the work performed and costs incurred on the above project.

_____ _____

(Insert Signing Authority Name) Date

(Insert Title)

*must be acutal costs, maximum of 30% of hourly rate.

Form 10-17 - Revised 3/22/12

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Independent Audit Process Overview

~~Once an agency submits a final report for a project, OCTA shall review the report for compliance with the CTFP guidelines and may conduct a field review. OCTA will use the project cost estimate forms submitted with the application and revised where appropriate, project accounting records and the final report as the primary items to conduct the review. Agencies must maintain separate records for projects (i.e., expenditures, interest) to ensure compliance. OCTA will only reimburse eligible CTFP items listed on the cost estimate.~~

~~If possible, project audits will occur simultaneously with the M2 audit. All programs, including the AHRP, will require an audit of project expenditures. Only CTFP eligible items listed on a project's cost estimate form will be reimbursed.~~ Independent audits of CTFP projects may be initiated by OCTA's Internal Audit Department (or agent thereof). The project information on file at OCTA will serve as the primary source of information for each audit. ~~If necessary~~However, additional information may be requested of local jurisdictions.

~~The local agency may also be requested to participate in a field review of the completed project. Consequently, a~~Accurate records detailing specific expenditures for each CTFP project must be maintained by local jurisdictions. These records must show that proper accounting and cash management procedures were followed, the project was completed in accordance with the application and the CTFP guidelines, and that all records and documentation related to the project were adequately maintained. Consistent with the Measure M ordinance, local jurisdictions must also establish a separate fund accounting system for Measure M funds transactions and expenditures.

Local jurisdictions must cooperate with OCTA or its agent during the audit process and comply with the recommendations of the M2 financial and compliance audits. Project records must be maintained for five (5) years after ~~acceptance of a complete final report~~final payment.

~~Technical Review~~

~~At the time of the final report or shortly thereafter, OCTA may conduct a technical review of a CTFP project. OCTA may:~~

- ~~review right-of-way acquisitions and the potential for excess right-of-way~~
- ~~compare hourly breakdown of staff time compared to staff time sheets~~
- ~~conduct a project field review – ensure improvements are within scope~~
- ~~review items that agencies self-certify~~
- ~~review other items not part of a normal audit~~

~~OCTA will have 180 days past the final project disbursement to begin a technical review. OCTA may review all phases of the project.~~

Record~~s~~ Requirements ~~for Audit~~to Demonstrate Compliance

A description of the required records is given below. ~~OCTA will notify your agency of the audit results. Any discrepancies in, or noncompliance with, Transportation Funding Programs policies and procedures will be discussed with each agency to determine the necessary actions to resolve issues. A closeout letter will be sent upon verification of compliance signifying that no further funds will be disbursed for the project.~~

Contracts

For all contract expenses the following records must be maintained:

1. The original executed contract
2. Evidence ~~of the competitive bid procedures and selection criteria used~~the procurement of contracted public works and architectural and engineering services followed applicable state laws and local agency procurement requirements
3. All contractor invoices received
4. All contract change order documents
5. Proof of payment to contractors
6. Project “as built” or other final plans
7. Sign-off on completion by Local Agency (letter of acceptance)

Materials and other

For all materials and other miscellaneous expenses charged to the Comprehensive Transportation Programs project, the following records must be maintained:

1. Original invoice and purchase order
2. Proof of delivery
3. Evidence of reasonableness of price, if total cost of purchase is over $1,000
4. Proof of payment

Direct labor

For all direct labor charged to a project, including engineering labor, the following records must be maintained:

1. Summary time sheets showing total time charged to the project by the different individuals working on it

2. Individual time sheets or time cards showing the total time worked by the individual for each period (day, week, etc.) and the different tasks to which the individual's time was charged
3. Personnel files showing the individuals' pay rates
4. Payroll reports showing the computations of paychecks for the applicable periods

Equipment

Equipment rental charges related to a project shall be documented by the following records:

1. Vendor's or local agency's invoice showing hours, rate, and type of equipment and location of rented equipment
2. Evidence of quotes obtained to determine best rate (documented phone quotes are acceptable)
3. Documentation of project need for equipment

Local agency force work

For all construction phase work performed by local agency forces and the decision that local agency forces could perform the work more cost effectively or timely than a contractor must be documented.

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Chapter 12 – Environmental Cleanup Program

Overview

The Environmental Cleanup Program (ECP) provides for Measure M2 (M2) revenues to improve overall water quality in Orange County from transportation-related pollution. Specifically, the Orange County Local Transportation Authority's Ordinance No. 3 (M2 Ordinance) dated July 24, 2006 provides 2 percent of gross M2 revenue dedicated to protecting Orange County beaches and waterways from the conveyance of urban runoff associated with transportation-related pollution. The M2 ECP ensures that funds will be used on a countywide, competitive basis to meet federal Clean Water Act standards for controlling transportation-related pollution by funding nationally recognized best management practices (BMPs).

As required by the M2 Ordinance, an Environmental Cleanup Allocation Committee (ECAC), representing a broad cross-section of the water quality community, was formed in October 2007 to provide guidance on program design and funding. The goal of the ECP is to fund projects on a countywide, competitive basis. This will assist the County of Orange and Orange County cities in reducing transportation-related water quality pollution by meeting Clean Water Act standards for local waterways and beaches.

Proposed projects must demonstrate a direct nexus (connection) to a reduction of transportation-related pollution as developed and defined by the ECAC in conformity with the M2 Ordinance. All proposing agencies must demonstrate an understanding of how their proposed projects meet the following transportation pollution nexus definition:

- *Transportation-related activities can be a contributor of pollutants and/or impairments to receiving waters via aerial deposition, storm, and non-storm water discharges. Transportation-related activities are associated with the operation, construction, and maintenance of public roads, highways, and other ground transportation systems.*

- *The conveyance of transportation-related pollutants to surface and groundwater can occur from precipitation, runoff, and leaching entering or discharging from public roads, highways, and other ground transportation systems via drainage systems; such as catch basins, curbs, gutters, ditches, manmade channels, retention basins, or storm drains. The quality and quantity of these discharges vary considerably and are affected by hydrology, geology, land use, season, and sequence and discharge of hydrologic events.*

- *Pollutant sources can encompass right-of-way, properties, facilities, and activities related to motor vehicles, highway maintenance, construction site*

runoff, maintenance facility runoff, illegal dumping, spills, and landscaping care. Pollutant categories include, but are not limited to: metals (such as copper, lead, and zinc), organic chemicals and compounds (hydrocarbons and pesticides), sediment, nutrients (nitrogen and phosphorus), litter, oxygen demanding substances (decaying vegetation, animal waste, and other organic matter), groundwater dewatering discharges, and pathogenic material.

The M2 ECP funds are designed to supplement, not supplant existing water quality programs. Proposed projects must improve and not replace existing pollution reduction efforts by an eligible party. Funds will be awarded to the highest priority projects that improve water quality.

In May 2010, the Orange County Transportation Authority (OCTA) Board of Directors (Board) approved a two-tiered approach to fund the M2 ECP. Specifically, the funding plan called for up to $19.5 million in Tier 1 grants on a "pay-as-you-go" basis through fiscal year (FY) 2017-18, and up to $38 million in Tier 2 grants via bonding through FY 2014-15. The Board ~~also~~ has now approved the funding guidelines for both the Tier 1 and Tier 2 Grant Programs. ~~, as well as a planning and research study for the development of evaluation methodologies and implementation strategies related to the preparation of the funding guidelines for the Tier 2 Grant Program.~~

The Tier 1 Grant Program is designed to mitigate the more visible forms of pollutants, such as litter and debris, which collect on the roadways and in the catch basins (storm drains) prior to being deposited in waterways and the ocean. It consists of grant funding for Orange County local governments to purchase equipment and upgrades for existing catch basins and other related BMPs (i.e., "street-scale" low flow diversion projects). Examples include screens, filters, and inserts for catch basins, as well as other devices designed to remove the above mentioned pollutants. The aforementioned Tier 1 project types will be reassessed on an annual basis to determine if the needs have changed.

FY 2011-12 Implementation Summary

OCTA issued a call for projects for Tier 1 applications from February 18 to April 18, 2011. During the submission period, OCTA received 47 applications from 23 cities and the County of Orange. The total amount of funding requested by all agencies was $4,042,769. Staff, with input from the ECAC, reviewed and ranked the applications using the Board-approved evaluation criteria.

On August 8, 2011, the Board approved funding of approximately $2.8 million for the Tier 1 Grant Program. Specifically, the Board approved funding allocations for 34 of the 47 proposed projects based on the scoring criteria. All 24 applicant agencies received

Tier 1 funding for at least one project. The total recommended funding amount was $2,861,786.

The Tier 1 projects generally included five types of projects. Description of each project type is provided below:

1) Automatic Retractable Screen and other debris screens or inserts: screen or insert units prevent debris from entering the storm drain system.
2) Irrigation system retrofits to reduce runoff: these projects decrease runoff from highway medians by using more efficient irrigation systems and/or replacing existing landscape to reduce the amount of water used in irrigation.
3) Continuous Deflection Separator (CDS): CDS units divert runoff away from waterways and screen storm drain flows from trash and debris. CDS units screen, separate, and trap debris, sediment, oil, and grease from storm water runoff.
4) Linear Radial Gross Solid Removal Device (GSRD): GSRDs are certified full capture systems which efficiently remove large solids from runoff water flows.
5) Marina Trash Skimmer: marina trash skimmers draw in floating debris, such as plastics, bottles, paper, oil sheen, and drift wood. The installation of marina trash skimmers is expected to reduce the amount of trash and debris reaching the open ocean.

Organization of Chapter 12

As discussed earlier, the Board approved the funding guidelines for the Tier 1 Grant Program, as well as a planning and research study for the development of evaluation methodologies and implementation strategies related to the development of the funding guidelines for the Tier 2 Grant Program in May 2010.

A second call for the Tier 1 Grant Program is anticipated in early 2012. In order to facilitate with the Tier 1 call for projects, this chapter has been separated into two distinct sub-chapters. The first part of the chapter ~~will~~ consists of ~~discussion that is pertinent to the~~funding guidelines for the Tier 1 Grant Program. The second part of the chapter ~~will~~ consists of funding guidelines for the Tier 2 Grant Program. ~~The separation of the two-tiered funding program will enable the Board to approve the Tier 1 call for projects while the Tier 2 guidelines are in development.~~ The Tier 1 guidelines have been updated to reflect lessons learned from the first call for projects in 2011.

Section 12.1 – Tier 1 Grant Program

Pre-Application Process

In order to ensure the best use of M2 funds and assist eligible jurisdictions with the Tier 1 Grant Program, applicants may engage in a pre-application process with OCTA staff in project planning, cost estimate development, and determination of likely projected competitiveness. The pre-application timeframe is defined as the time between the initiation of the call for projects and one week prior to the application deadline date. Specific meeting times will be established once the call is initiated. Subsequent to the call for projects deadline, applicants will not be able to change the content of the application or scope of the project.

Eligible Applicants

ECP funds can be used to implement street and highway-related water quality improvement projects to assist Orange County cities and the County of Orange to meet federal Clean Water Act standards for urban runoff. Applicants eligible for ECP funds include the 34 Orange County cities plus the County of Orange. Eligible applicants must meet the transportation requirements discussed in the M2 Ordinance.

Third parties, such as water and wastewater public entities, environmental resource organizations, nonprofit 501(c) environmental institutions, and homeowners associations cannot act as the lead agency for a proposed project; however, these agencies can jointly apply with an Orange County city and/or the County of Orange.

Two or more agencies may participate in a project. If a joint application among agencies and/or third party entities is submitted, a preliminary agreement with joint or third party entities must be provided as part of the application. In order to meet M2 Ordinance requirements, an eligible applicant must be the lead agency for the funding application. Per Chapter 9, if a project includes more than one jurisdiction and is being submitted as a joint application, one agency shall act as lead agency and must provide a resolution of support from the other agency.

Each eligible jurisdiction must meet the eligibility criteria as set forth in Chapter 1 of theseis ~~Comprehensive Transportation Funding Program (CTFP) manual~~guidelines. For example, to apply for CTFP programs, local agencies must fulfill an annual eligibility process. Eligibility packages are due to OCTA by June 30 of each year. The M2 Eligibility Preparation Manual outlines the eligibility requirements in detail.

Project Programming

The Tier 1 Grant Program approach is designed to be consistent with Chapter 2 of this CTFP ~~Manual~~Guidelines regarding the provisions below:

- Program consolidation
- Sequential programming process
- Funding projections
- Programming adjustments
- Project cost escalation
- Project readiness
- Programming policies
- Schedule change requests
- Project advancements
- Semi-annual review

Refer to Chapter 2 for explanations of the above provisions.

Funding Estimates

A total of up to $19.5 million is available for the Tier 1 Grant Program over a seven-year window from FY 2011-12 through FY 2017-18. The initial call for projects for FY 2011-12 awarded approximately $2.8 million in funding. Subsequent calls for projects will cover the upcoming six fiscal years, encompassing FY 2012-13 through FY 2017-18.

The maximum amount for the Tier 1 Grant Program is $100,000 per project. To ensure that ECP funds are distributed to the highest number of eligible agencies, entities submitting more than one proposal must designate which project is the highest priority for funding. As part of the proposal scoring criteria, an extra 15 points will be awarded to the designated priority project. The maximum amount that an applicant can receive in a funding period is $500,000.

FY 2012-13 Tier 1 Implementation Timeline

FY 2012-13 Tier 1 applications must be received by OCTA **no later than 5:00 PM, April 20, 2012**. Projects that do not award construction contracts by June 30, 2013 will not be considered. Funds allocated by OCTA for each awarded project will be available on July 1, 2012.

After the Tier 1 applications are reviewed by OCTA, an advisory panel will review and rank projects. Following a review by the ECAC, a recommended priority list of projects will be forwarded to the OCTA Board for approval in late spring 2012. Funds allocated

for projects are final once approved by the OCTA Board. No additional funds will be allocated to the project. Grantees are responsible for any costs exceeding the allocated amount.

Matching Funds

For the Tier 1 Grant Program, a minimum local match of 25 percent of the project phase cost is required. These matching funds can be provided by cash contributions and/or in-kind services. In-kind services can include salaries and benefits for employees who work directly on the project. In addition, ongoing operations and maintenance of the project can be pledged as a match. For projects wherein ongoing operations and maintenance are pledged as match, the local agency will report on actual operations and maintenance expenditures as part of the semi-annual review process. (see page 2-7) Local agencies must complete Form 10-17 for each grant project.

Retroactive expenditures cannot be credited towards the matching fund threshold.

Overmatch

For the Tier 1 Grant Program, administering agencies may "overmatch" ECP projects; that is, additional cash match may be provided for the project. Applicants will receive additional points in the evaluation process for matching with cash above the minimum requirement. Proposals that exceed the 25 percent minimum funding match will be given an additional one-half point for every five percent over the minimum cash match (up to five bonus points).

Additionally, administering agencies must commit to cover any future cost overruns if the project is underfunded. Any work not eligible for ECP reimbursement must be funded by other means by the project applicant and cannot count as match. These non-eligible items should not be included in the cost estimate breakdown in the application.

Retroactive expenditures cannot be credited towards the matching fund threshold.

Reimbursements

For the Tier 1 Grant Program, OCTA will release funds through two payments. The initial payment will constitute 75 percent of the contract award or programmed amount at contract award. OCTA will disburse the final payment, approximately, 25 percent of eligible funds, after approval of the final report. Further information on reimbursements can be located within Chapter 10 of CTFP 2011 Guidelines.

Scope Reductions / Modifications and Cost Savings

Any proposed scope reductions of an approved project must be submitted to OCTA to ensure consistency with the Tier 1 Grant Program requirements. If the proposed scope reduction is approved by OCTA, cost savings will be proportionally shared between OCTA and the grantee -- a reduction in ECP funds must be applied proportionally to maintain the approved local match percentage. All cost savings will be returned to the Tier 1 Grant Program for reallocation for the subsequent call of projects.

Any minor scope modifications, such as BMP device quantities and/or the adjustment of device locations, must be submitted to OCTA for administrative approval prior to the implementation of the project. The proposed modifications must mitigate the same pollutants, effect the same waterways, and meet all other provisions as stipulated in these guidelines.

Tier 1 Selection Criteria

OCTA will evaluate all proposals that meet the mandatory prerequisites based on competitive selection criteria with the following categories:

- Problem and source identification
- Project design
- Project implementation and readiness
- Operations and maintenance
- Project benefits
- Performance metrics

Each proposal can receive a maximum of 100 points, inclusive of ten bonus points associated with up to five points related to a cash overmatch, which was discussed above and up to five points related to eligible agencies that have previously funded the implementation of structural BMPs to mitigate pollutant loading. Previous projects funded by M2 Tier 1 Grant Program cannot be used for bonus points consideration. Proof of documentation such as invoices or payment request must be available on the purchase of the equipment or services provided by vendors. These latter bonus points are based on the ECAC's recommendations that previous local funding of structural BMPs should be acknowledged and rewarded.

Application Process

The following information, which is to be completed within the Tier 1 Grant Application Form (Exhibit 12-1), is required by OCTA to evaluate and select projects. A checklist is included in the Tier 1 Grant Application Form to assist eligible agencies in assembling project proposals:

- ECP prerequisites requirements
- Project title
- Lead agency information
- Joint-application (if applicable)
- Proposed schedule
- Project management
- Integrated Regional Water Management Plan identification (if applicable)
- Description and scope of proposed project
- Water bodies and 303(d) listings
- Project readiness
- Long-term sustainability
- Performance metrics
- Budget information

In addition, the following exhibits are required to be included within the submitted proposal:

- Project design or concept drawings, including preliminary design calculations, of proposed BMP
- Precise maps to show tributary drainage area and proposed location(s) for BMP installation
- Discussion of funding leveraging/overmatch
- Digital project site photos
- A project master schedule
- Preliminary agreements with joint and/or third party entities if part of the funding application
- ~~Copy of signed Eligibility Requirement Certification (see funding application)~~
- A draft resolution

Information can be completed utilizing the grant application exhibit. For the Tier 1 Grant Program, an unbound original and five copies (total of six) of the completed application form and related exhibits are to be submitted, plus a CD copy of the complete application. Use separate sheets of paper if necessary.

There is no maximum length for proposals. All pages must be numbered and printed on 8 1/2 x 11 sheets of white paper. Maps and drawings can be included on 11 x 17 sheets, folded into the proposal. *The original proposal should be left unbound for reproduction purposes.*

Eligible Expenditures

- ECP funds must be for capital improvement. Operations and maintenance plans are not eligible expenditures, however, they can be utilized as in-kind services as a source of matching funds.
- Eligible jurisdictions may use in-kind services to meet all or part of the matching funds requirement. These services can include salaries and benefits for employees of the eligible jurisdiction who perform work on the project or programs. Only those employees' salaries and benefits working directly on the project will be considered for the matching requirement.
- ECP funds are not to be used for planning.
- ECP funds can only be used for facilities that are in public ownership for public use; however, water quality improvements on private property, which are connected to municipal separate storm sewer systems, are eligible. (For example, a homeowner association can apply for funding through an eligible agency if the proposed project is connected to a public facility.)
- Expenditures prior to the grantee executed letter agreement date cannot be considered eligible for funding or match.
- Reducing volume of surface flows is an integral factor of improving water quality, therefore, projects that have water-saving features (i.e., drip systems) are eligible for funding consideration.

Landscaping installation and replacement are not eligible for funding consideration.

Reporting and Reimbursement

Chapter 10 of the CTFP Guidelines outlines the process and requirements regarding reimbursements and reporting for the 2012 Tier 1 Grant Program Call for Projects with the following exceptions: A final report must be filed within ~~90~~ 180 days of the project being completed with information as shown in ~~Exhibit 12-2~~Form 10-16.

Additionally, an exception to Precept #~~29~~36: agencies may appeal to the ECAC and the OCTA Board on any issues that the agency and OCTA cannot resolve, as such are the approving bodies for this program.

~~Audit Process~~Technical and/or Field Review

Once an agency submits a final report for a project, OCTA shall review the report for compliance with the CTFP Guidelines and may conduct a field review. ~~The audit process for the Tier 1 Grant Funding Program is consistent with Chapter 11 of this CTFP manual. If possible, project audits will occur simultaneously with the M2 audit. All programs will require an audit of project expenditures~~OCTA will use the project cost estimate forms submitted with the application and revised where appropriate, project accounting records and the final report as the primary items to conduct the review. Agencies must maintain separate records for projects (i.e., expenditures, interest) to

ensure compliance. Only CTFP eligible items listed on a project's cost estimate form will be reimbursed. See Chapter 11 for independent audit requirements beyond the technical and/or field review.

Additional Information

Completed applications and questions regarding these procedures and criteria should be directed to:

By mail:

Dan Phu
Orange County Transportation Authority
P.O. Box 14184
Orange, CA 92863-1584
Tel: (714) 560-5907
Fax: (714) 560-5794

In person:

Orange County Transportation Authority
600 South Main Street
Orange, CA 92863-1584

Exhibit 12-1
ECP Tier 1 Grant Application

Part One: General Project Information (Non-scored)

Project Title: _____

Lead Agency Information (Project Administrator responsible for day-to-day project implementation) Name/Title: Address: Phone: Email:	FUNDS REQUESTED $ - LOCAL MATCH $ - TOTAL PROJECT COST $ - ☐ Project is a stand alone project. ☐ Project is part of a larger project. Total Project Cost (if part of a larger project)
Joint Applicant or Third Party: Name/Title: Agency: Address: Phone: Email:	**Joint Applicant or Third Party:** Name/Title: Agency: Address: Phone: Email:

i. Is this proposed project designated as the eligible agency's highest priority for funding?

Yes _____ No _____

ii. Proposed Schedule: Provide an estimate of the project's proposed schedule:

	Start Date	Completion Date
Design and Permitting (if applicable)		
Award of Contract		
Construction		

Exhibit 12-1 *(continued)*
ECP Tier 1 Grant Application

Part One: General Project Information (continued)

iii. Project Management

Provide an assessment of the management capabilities of the Lead Agency. At a minimum, include an organization chart (include as attachment), showing key project individuals who will be responsible for ensuring that the project is completed and long-term suitability is obtained.

iv. Integrated Regional Water Management Plan (IRWMP)

Is the proposed project identified in an existing IRWMP? Yes _____ No _____

If yes, provide further information on why it was included in the IRWMP:

v. Description and Scope of Proposed Project

Include a brief description of the proposed project, including why the project is important for controlling transportation-related pollutants to a watershed(s).

Exhibit 12-1 *(continued)*
ECP Tier 1 Grant Application

Part Two: Detailed Project Information (Scored)

1. Identify the priority areas of this project. Describe the need for the selected BMP(s). (5 points)

2. List the pollutant(s) which would be mitigated and the source(s) generating the pollutants. (2 points per pollutant, up to 10 points)

3. List the waterway(s) associated with the project, including applicable 303(d) listings, and provide a project map depicting the waterway(s). (2 points for listing waterways(s) plus 2 points per 303 (d) impairment addressed by the proposed BMP(s) up to 10 points total)

4. Provide detailed manufacturer's information for the proposed BMP(s) including how the equipment would operate and the estimated design life of the project. How is this determined? (5 points)

5. Provide relevant information on performance efficiency and/or effectiveness including pollutant capture, storage capacity, flow capacity, etc. (5 points)

Exhibit 12-1 *(continued)*
ECP Tier 1 Grant Application

Part Two: Detailed Project Information (continued)

6. Explain how the proposed BMP(s) meet(s) the jurisdiction's needs compared to other equipment (or BMPs). (5 points)

7. Include a detailed work plan demonstrating a definite implementation period. (5 points)

8. Provide a 5-year operations and maintenance (O&M) plan for the lifespan of the proposed project (i.e., schedule of inspections, cleaning and disposal of pollutants, repairs, etc.). (5 points)

9. Describe the anticipated benefits to water quality and any additional benefits that would result from the proposed BMP(s). (5 points)

10. Is this project the highest priority for your agency? Yes _____ No _____
(15 points will be given to the agency's highest priority project)

Exhibit 12-1 *(continued)*
ECP Tier 1 Grant Application

Part Two: Detailed Project Information (continued)

11. What is the methodology for measuring pollutant(s) reduction(s) before and after BMP(s) is/are implemented? (5 points)

12. How will the effectiveness of the project be monitored and assessed? How frequently will monitoring and assessment occur? (5 points)

13. BONUS: How many Tier 1 type or similar BMPs are currently installed within the street right of way? Do not include projects/BMPs funded with Tier 1 M2 ECAC funds. (Up to 5 bonus points may be awarded to jurisdictions that have previously funded the implementation of structural BMPs – 1 point per BMP implemented)

14. BONUS: Is the agency proposing matching funds exceeding the minimum of 25%? (applies to cash match only) If yes, at what percentage amount? (0.5 point for each 5% over 25%, up to 5 points maximum)

Exhibit 12-1 *(continued)*
ECP Tier 1 Grant Application

Part Three: Funding
(The information below is used to score numbers 15 and 16 of the Application Review Checklist [5 points each])

Project Title: _____	**Phone:** _____
Contact: _____	**Email:** _____
Agency: _____	

Budget Summary

The following table for the proposed project shall be completed with a reasonable estimate of cost for all work items.

Total Project Cost (TPC)	$
Total Amount of Funding Requested (not to exceed $100,000)	$
Total Contractual Service Costs for Project	$
Total Contractual Service Costs for Requested Funding	$
Total Capital Costs for Project for Requested Funding	$
Direct Project Administration, Inspection, Evaluation Costs	$
Total Project Costs of Supplies, Materials and Equipment (SM&E)	$
Total Project Costs of SM&E for Requested Funding	$

Local Funding Share Detail

Cash Contribution		**Total Project Cost**	
In-Kind Services *			
Other Grants			
Total Funding Share	$ -	**% of TPC**	#DIV/0!

Source(s) of Match

1. *In-Kind Services: Salaries and benefits for employees who will perform work on the proposed project are eligible as a matching requirement. Please provide details on how in-kind services are calculated. Identify the Fiscal Year(s) of In-Kind expenditure and amount for each year. Use no acronyms.

2. Other Grants - Eligible applicants may use grants awarded by other agencies (non-ECP grants) to meet all or part of the matching funds requirements. The non-ECP grant must be dedicated to the project in which M2 funding is requested to receive credit for the full amount of the grant. For non-ECP grants that cover multiple projects, only that portion of the grant specific to the project will be allowed credit. Please list the name and amount of any respective non-ECP grants that are proposed as a match.

Exhibit 12-1 *(continued)*
ECP Tier 1 Grant Application

Part Three: Funding (continued)

Estimated Capital Costs

Item #	Description	Unit	Quantity	Unit Price	Amount
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				Subtotal:	$0

Estimated Installation Costs

Item #	Description	Unit	Quantity	Unit Price	Amount
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				Subtotal:	$0

Other Costs

Item #	Description	Unit	Quantity	Unit Price	Amount
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				Subtotal:	$0
	TOTAL PROJECT COST				$0

Exhibit 12-1 *(continued)*
ECP Tier 1 Grant Application

Part Four: Tier 1 Grant Program Resolution
SAMPLE AGENCY RESOLUTION REQUESTING FUNDS FOR PROPOSED PROJECT

RESOLUTION NO. _____
A RESOLUTION OF THE CITY COUNCIL/BOARD OF THE CITY/COUNTY OF _____
AUTHORIZING AN APPLICATION FOR FUNDS FOR THE ENVIRONMENTAL CLEANUP, TIER 1 GRANT PROGRAM UNDER ORANGE COUNTY LOCAL TRANSPORTATION ORDINANCE NO. 3 FOR (NAME OF PROPOSAL) PROJECT.

WHEREAS, Orange County Local Transportation Ordinance No.3, dated July 24, 2006, and is known and cited as the Renewed Measure M Transportation Ordinance and Investment Plan makes funds available through the Environmental Cleanup Program to help protect Orange County beaches and waterways from transportation-generated pollution (urban runoff) and improve overall water quality.

WHEREAS, the Environmental Cleanup, Tier 1 Grant Program consists of funding purchases and installation to catch basins with Best Management Practices, such as screens, filters, inserts, and other "street-scale" low flow diversion projects.

WHEREAS, OCTA has established the procedures and criteria for reviewing proposals; and

WHEREAS, (ADMINISTERING AGENCY) possesses authority to nominate water quality improvement projects that have a transportation pollution nexus to finance and construct the proposed project; and

WHEREAS, by formal action the (GOVERNING BODY) authorizes the nomination of (NAME OF PROPOSAL), including all understanding and assurances contained therein, and authorizes the person identified as the official representative of the (ADMINISTERING AGENCY) to act in connection with the nomination and to provide such additional information as may be required; and

WHEREAS, the (ADMINISTERING AGENCY) will maintain and operate the equipment acquired and installed; and

WHEREAS, the (ADMINISTERING AGENCY) will give OCTA's representatives access to and the right to examine all records, books, papers or documents related to the funded Tier 1 Grant Project; and

WHEREAS, the (ADMINISTERING AGENCY) will cause work on the project to be commenced within a reasonable time after receipt of notification from OCTA and that the project will be carried to completion with reasonable diligence; and

WHEREAS, the (ADMINISTERING AGENCY) will comply where applicable with provisions of the California Environmental Quality Act, the National Environmental Policy Act, the American with Disabilities Act, and any other federal, state, and/or local laws, rules and/or regulations;

NOW, THEREFORE, BE IT RESOLVED that the City/County of _____, hereby authorizes (NAME OF AGENCY REPRESENTATIVE) as the official representative of the (ADMINISTERING AGENCY) to accept funds for the Environmental Cleanup, Tier 1 Grant Program for (NAME OF PROPOSAL).

BE IT FURTHER RESOLVED that the City/County of _____, agrees to fund its share of the project costs and any additional costs over the identified programmed amount.

Exhibit 12-1 *(continued)*
ECP Tier 1 Grant Application

Tier 1 Checklist

Mandatory Application Items (check all items included in this package)

_____ Review of CTFP Funding Program Guidelines

_____ Application (Parts 1 - 3)

_____ Environmental Documentation (if applicable)

_____ Preliminary Cooperative Agreement (if applicable)

_____ 25% Matching Fund Requirement

_____ Project Cost Estimate

_____ Proposed Budget

_____ Maps

_____ Design / Concept Drawing

_____ Digital Project Site Photos

_____ Project Schedule

_____ Draft Resolution

Section 12.2 – Tier 2 Grant Program

The Tier 2 Grant Program consists of funding larger (projects treating catchment areas of 50 acres or greater), potentially multi-jurisdictional, capital-intensive structural treatment BMP projects. Proposed projects covering smaller catchment areas which are otherwise eligible are not prohibited from the application process and will be regarded as eligible for consideration if the proposed project can demonstrate highly significant water quality improvement benefits (greater than other competing larger scale proposed projects) and cost-effectiveness under the scoring criteria guidelines. Tier 2 funds are designed to fund large-scale BMP construction projects. Examples include constructed wetlands, detention/infiltration basins and other large-scale BMPs that mitigate litter and debris, heavy metals, organic chemicals, sediment, nutrients, and other transportation-related pollutants. Funds will be awarded through a competitive grant process geared towards awarding funds to the highest scoring, most cost-effective projects.

Pre-Application Process

In order to facilitate a jurisdiction's best use of ECP funds, Tier 2 applicants may engage in a pre-application process with OCTA staff in order to assist jurisdictions in project planning, proposal and cost estimate development, and determination of likely projected competitiveness in the scoring criteria. The pre-application timeframe is defined as the time between the initiation of the call for projects and one week prior to the application deadline date. Subsequent to the call for projects deadline, applicants will not be able to change the content of their application or scope of the project.

Eligible Applicants

ECP funds can be used to implement street and highway-related water quality improvement projects to assist Orange County cities and the County of Orange to meet federal Clean Water Act standards for urban runoff. Applicants eligible for ECP funds include the 34 Orange County cities plus the County of Orange. Eligible applicants must meet the transportation requirements discussed in the M2 Ordinance.

For Tier 2 multi-agency collaborations, M2 eligible jurisdictions may partner with other entities such as special districts and non-profits, but the lead agency must be an M2 eligible jurisdiction.

Third parties, such as water and wastewater public entities, environmental resource organizations, non-profit 501(c) environmental institutions, and homeowners associations cannot act as the lead agency for a proposed project, however; these

agencies can jointly apply with an M2 eligible Orange County city and/or the County of Orange.

Two or more agencies may participate in a project. If a joint application among agencies and/or third party entities is submitted, a preliminary agreement with joint or third party entities must be provided as part of the application. In order to meet M2 Ordinance requirements, an eligible applicant must be the lead agency for the funding application. Per Chapter 9, if a project includes more than one jurisdiction and is being submitted as a joint application, one agency shall act as lead agency and must provide a resolution of support from the other agency.

Each eligible jurisdiction must meet the eligibility criteria as set forth in Chapter 1 of the CTFP guidelines. For example, to apply for CTFP programs, local agencies must fulfill an annual eligibility process. Eligibility packages are due to OCTA by June 30 of each year. The M2 Eligibility Preparation Manual outlines the eligibility requirements in detail.

In order for an applicant to accept ECP funding for their proposed project OCTA has certain requirements that must be met. These requirements include adhering to the OCTA CTFP Guidelines; meeting a 10-year BMP O&M commitment; and commitment to maintain and monitor the project commensurate with the design life.

Project Programming

The Tier 2 Grant Program is designed to be consistent in terms of approach with Chapter 2 of this CTFP Guidelines regarding the provisions below:

- Program Consolidation
- Sequential Programming Process
- Funding Projections
- Programming Adjustments
- Project Cost Escalation
- Project Readiness
- Programming Policies
- Schedule Change Requests
- Project Advancements
- Semi-Annual Review

Refer to Chapter 2 for explanation of the above provisions.

Funding Estimates

The Tier 2 program will be funded beginning in winter 2012-13 using bond financing revenues with up to $38 million allocated through FY 2014-15. Beyond 2014-15,

funding will be based on a pay-as-you-go basis. The maximum amount that an individual project may receive of the initial $38 million in Tier 2 funding is capped at $5 million per project phase. Projects must receive a minimum evaluation score of 70 out of 100 to receive grant funds.

The first Tier 2 call for projects is expected to be issued in spring 2012 with a total amount of $13.3 million. Jurisdictions may request allocation of funds to be in either FY 2012-13 or FY 2013-14. The second Tier 2 call of $24.7 million is expected in FY 2013-14 and jurisdictions may request allocation of funds in either FY 2013-14 or FY 2014-15. Depending on the outcome of the first two Tier 2 calls for projects, there may be a third call if there are residual funds available after the first two calls.

FY 2012-13 Tier 2 Implementation Timeline

The Tier 2 call for projects will be open for 90 days. The FY 2012-13 Tier 2 applications must be received by OCTA **no later than 5:00 PM, September 4, 2012**. OCTA is seeking applications for projects, which can be awarded no later than June 30, 2013 for the FY 2012-13 funding cycle, or by June 30, 2014 for the FY 2013-14 funding cycle. Projects that do not obligate funds by the dates/cycles listed above will not be considered. Funds allocated by OCTA for each awarded project will be available on July 1st of that funding cycle year.

After the Tier 2 applications are reviewed by OCTA, an advisory panel will review and rank projects. Following review and recommendation by the ECAC, a recommended priority list of projects will be forwarded to the OCTA Board for approval. Funds allocated for projects are final once approved by the OCTA Board. No additional funds will be allocated to the project. Grantees are responsible for any costs exceeding the allocated amount.

Matching Funds

For the Tier 2 Grant Program, a minimum local match of fifty (50) percent of the project phase cost is required. These matching funds can be provided by cash contributions or in-kind services. Construction management and project management cannot exceed 15% of construction costs. Previously completed phases of a project may not be attributed to the match. Prior expenditures cannot be used as matching funds. In-kind services can include salaries and benefits for employees who work directly on the project. In-kind services for O&M cannot be pledged as a match.

Potential to reduce matching funds up to 25%

- Project readiness (i.e., environmental [5%], design [5%] or right of way acquisition [5%]) – up to 15% reduction

- O&M commitment beyond 10 years: Five years above commitment for a total of 15 years (5% reduction) and ten years above commitment for a total of 20 years (10% reduction) – up to 10% reduction

If a joint application among agencies and/or third party entities is submitted, matching funds documentation must clearly identify the entity providing the funds for each line item in the matching funds description. Additionally, preliminary agreements are required to be submitted with the grant application that contains the matching funds commitments from a supporting agency.

Applicants must submit a draft BMP O&M Plan covering a minimum of ten years (10) after project completion. The BMP O&M Plan must document (through a resolution) project O&M financial commitment and sustainability for ten years and is subject to an OCTA semi-annual (twice yearly) review process over the ten-year period. BMP O&M costs cannot be used for the match or in-kind services. Applicants must include as part of the O&M Plan project assessment and monitoring of performance. A documented fifteen (15) or twenty (20) year draft BMP O&M Plan (submitted with application) will be eligible for a 5% or 10% matching funds reduction, respectively.

Refer to Chapter 10 for reimbursement details. Sufficient documentation including council resolutions, purchase orders, invoices, and payroll records must be submitted with the funding request to enable OCTA to verify total project expenditures and eligible costs.

Matching rate commitments identified in the project grant application shall remain constant throughout the project. Match rate commitments may not be reduced for any reason.

Eligible Expenditures

- ECP funds are designed to fund capital improvements. Tier 2 funds are designed to be strictly used for project construction costs, although up to 10% of total grant amount (i.e., funds requested) may be allocated to preliminary project design, environmental, or engineering costs. Non-capital expenses for enhancements such as education, recreation, etc. are not eligible for Tier 2 grant funding.

- Tier 2 projects must meet the transportation nexus as outlined previously in this chapter.

- Expenditures prior to award date cannot be considered eligible for funding or match.

- Eligible jurisdictions may use in-kind services to meet all or part of the matching funds requirement. These services can include salaries and benefits for employees of the eligible jurisdiction who perform work on the project or programs. Only those employees' salaries and benefits working directly on the project will be considered for the matching requirement. For Tier 2, construction management and project management cannot exceed 15% of the total construction costs.

- ECP funds are not to be used for planning.

- ECP funds can only be used for facilities that are in public ownership for public use; however, water quality improvements on private property, which are connected to municipal separate storm sewer systems, are eligible (For example, a homeowner's association can apply for funding through an eligible agency if the proposed project is connected to a public facility).

Overmatch

For the Tier 2 Grant Program, administering agencies may "overmatch" ECP projects; that is, additional cash match dollars may be provided for the project. Applicants will receive additional points in the evaluation process for over matching with cash contributions. Proposals that exceed the fifty (50) percent minimum funding match will be given an additional 1 point for every five (5) percent over the minimum cash match (up to 5 bonus points).

Additionally, administering agencies must commit to cover any future cost overruns if the project is underfunded. Any work not eligible for ECP reimbursement must be funded by other means by the project applicant and cannot count as match. These non-eligible items should not be included in the cost estimate breakdown in the application.

Expenditures incurred prior to letter agreement execution cannot be credited towards the matching fund threshold.

Reimbursements

For the Tier 2 Grant Program, OCTA will release funds through two payments. The initial payment will constitute 75 percent of the contract award or programmed amount at time of award. OCTA will disburse the final payment, approximately, 25 percent of eligible funds, after approval of the final report. Further information on reimbursements can be located within Chapter 10 of the CTFP 2012 Guidelines.

Scope Reductions and Cost Savings

Any proposed scope reductions of an approved project must be submitted to OCTA to ensure consistency with the Tier 2 Grant Program requirements. If the proposed scope reduction is approved by OCTA, cost savings will be proportionally shared between OCTA and the grantee. A reduction in ECP funds must be applied proportionally to maintain the approved local match percentage. All cost savings will be returned to the Tier 2 Grant Program for reallocation for the subsequent call for projects.

Tier 2 Selection Criteria

OCTA will evaluate all proposals that meet the mandatory prerequisites based on competitive selection criteria with the following categories:

- Problem and source identification
- Project design
- Project implementation and readiness
- Project benefits
- Performance metrics

Each proposal can receive a maximum of 100 points, exclusive of 5 bonus points associated with a cash "overmatch," which was discussed in a previous section. Tier 2 selection criteria include both technical scoring criteria – seventy (70) percent weighting – and non-technical scoring criteria – thirty (30) percent weighting.

A focus on several overarching concepts is emphasized in the funding guidelines and scoring criteria:

- Focus on a clear and measureable transportation nexus, defined as total lane miles in the project catchment area, as defined by the Master Plan of Arterial Highways
- Priority in the scoring criteria is given to projects in areas of highest water quality need, as established by predicted pollutant loading, receiving water monitoring, and the extent of impairment of receiving waters s (i.e., higher priority given to 303(d) listed water bodies or project in a water quality plan)
- Quantification of project benefits where possible in terms of a load reduction metric (pollutants or water volumes), expressed in terms of cost-benefit
- Emphasis on project readiness, and ability to leverage funding
- Emphasis on other regional and environmental benefits
- Emphasis on multi-jurisdictional and public benefits

Application Process

The following information, which is to be completed within the Tier 2 Grant Application Form (Exhibit 12-2), is required by OCTA to evaluate and select projects. A checklist is included in the Tier 2 Grant Application Form to assist eligible agencies in assembling project proposals:

- Project Title
- Lead Agency Information
- Joint-Application (if applicable)
- Funding Request/Match Commitment
- Proposed Schedule
- Project Management
- Integrated Regional Water Management Plan identification (if applicable)
- Description of Proposed Project
- Project Priority
- Funding Cycle preference
- Performance Metrics (Project Specific Information)
- Funding Information

In addition, the following exhibits are required to be included within the submitted proposal:

- Project design or concept drawings, including preliminary design calculations, of proposed BMP
- Estimates of pollutant load reduction, calculated using Structural BMP Prioritization Analysis Tool (SBPAT) or equivalent
- Precise maps to show tributary drainage area and proposed location(s) for BMP installation
- Disposition of environmental clearance and permitting
- Discussion and disposition of long term maintenance agreement
- Discussion of multiple benefits
- Discussion of funding leveraging/overmatch
- Digital project site photos
- A project master schedule
- Preliminary agreements with joint and/or third party entities if part of the funding application
- A draft resolution (final due prior to OCTA Committee and Board approval)
- A Ten (10) Year draft BMP O&M Plan. Applicants may propose up to a twenty (20) draft year BMP O&M Plan (if applicant desires match reduction)

Information can be completed utilizing the grant application exhibit. For the Tier 2 Grant Program, an unbound original and four copies (total of five) of the completed

application form and related exhibits are to be submitted, plus a CD copy of the complete application. Use separate sheets of paper if necessary.

There is no maximum length for proposals. All pages must be numbered and printed on 8 1/2 x 11 sheets of white paper. Maps and drawings can be included on 11 x 17 sheets, folded into the proposal. *The original proposal should be left unbound for reproduction purposes.*

Reporting and Reimbursement

The Tier 2 Grant Program is consistent with Chapter 10 of the CTFP Guidelines regarding the process and requirements of reimbursements and reporting including semi-annual reviews. Upon completion of project construction, a final BMP O&M plan is required to be submitted along with the final report.

Additionally, an exception to Precept #36: Agencies may appeal to the ECAC and the OCTA Board on any issues that the agency and OCTA cannot resolve.

Technical and/or Field Review

Once an agency submits a final report for a project, OCTA shall review the report for compliance with the CTFP Guidelines and may conduct a field review. OCTA will use the project cost estimate forms submitted with the application and revised where appropriate, project accounting records and the final report as the primary items to conduct the review. Agencies must maintain separate records for projects (i.e., expenditures, interest) to ensure compliance. Only CTFP eligible items listed on a project's cost estimate form will be reimbursed. See Chapter 11 for independent audit requirements beyond the technical and/or field review.

Additional Information

Completed applications and questions regarding these procedures and criteria should be directed to:

By mail:

Dan Phu
Orange County Transportation Authority
P.O. Box 14184
Orange, CA 92863-1584
Tel: (714) 560-5907
Fax: (714) 560-5794

In person:

Orange County Transportation Authority
600 South Main Street
Orange, CA 92863-1584

Exhibit 12-2
ECP Tier 2 Grant Application

Project Title: _____

Lead Agency Information	**FUNDING/MATCH SUMMARY**	
(Project Administrator responsible for day-to-day project implementation) Name: Title: Address: Phone: Email:	TOTAL PROJECT COST (TPC) $_____ Complete section "i." on next page to calculate amounts below TOTAL FUNDS REQUESTED APPLICANT MATCH % (50% min. minus reductions) OVERMATCH COMMITMENT APPLICANT MATCH AMOUNT Project is part of a larger effort (circle)	$_____ _____% _____% $_____ Yes / No
Joint Applicant / Third Party: Name: Title: Agency: Address: Phone: Email:	**Joint Applicant / Third Party:** Name: Title: Agency: Address: Phone: Email:	**Joint Applicant / Third Party:** Name: Title: Agency: Address: Phone: Email:

Exhibit 12-2 *(continued)*
ECP Tier 2 Grant Application

i. Funding Request / Match Commitment:

Total Funds Requested ($5 million max)	**$**_____	
Match Reduction Percentages (25% max)* Project Readiness up to 15% Draft Operations and Maintenance (O&M) Plan up to 10%	**Applicant Match**	**Match Calculation**
• Minimum Required Match Percent	50%	50%
Project Readiness • CEQA Certification (must be certified) • Construction Documents Complete • Right-of-Way Acquired	 5% reduction 5% reduction 5% reduction	 Subtract ☐ % Subtract ☐ % Subtract ☐ %
Draft O&M Plan (10-year Plan Required) • O&M Beyond 10 years: 15 years (5% reduction)or 20 years (10% reduction)	5% or 10% reduction	Subtract ☐ %
Calculated Applicant Match Percentage	_____%	
Applicant Overmatch Percentage (see Part Two, #7)	_____%	
Applicant Match Amount (Total Funds Requested x Match Percentage)	$_____	
Estimated Eligible Grant Funded Expenditures**	**Amount**	**Percentage**
• Construction	$_____	_____%
• Project Management/Construction Management (max 15% of Construction Cost)	$_____	_____%
• Preliminary Project Design, Environmental, & Engineering (max 10% of Total Funds Requested)	$_____	_____%
Total Eligible Expenditures (Cannot exceed total funds requested plus match amount)	$_____	

* Match reduction(s) require verification by evaluation committee.
** Provide if available. This information will be required for payment verification at time of invoicing.

Exhibit 12-2 *(continued)*
ECP Tier 2 Grant Application

ii. Proposed Schedule: Provide an estimate of the project's proposed schedule:

	Start Date	Completion Date
Environmental Document		
Design and Permitting (if applicable)		
Right-of-way (if applicable)		
Award of Contract		
Construction		
Operations & Maintenance (10 years min. 15 or 20 years for match reduction)		

iii. Project Management

Provide an assessment of the management capabilities of the Applicant/Lead Agency. At a minimum, include an organization chart (as attachment), showing key project individuals who will be responsible for ensuring that the project is completed and has long-term sustainability.

iv. Integrated Regional Water Management Plan (IRWMP)

Is the proposed project identified in an existing IRWMP? Yes _____ No _____

v. Description of Proposed Project

Describe the project and why it is important for controlling transportation-related pollutants to a watershed(s).

Exhibit 12-2 *(continued)*
ECP Tier 2 Grant Application

vi. Project Details:

INFORMATION REQUIRED	INPUT
1. Project Location (Street Address or Lat-Long)	
2. Project BMP Type (use CASQA or equivalent definition)	
3. Project Design Criteria. Select one: - Volume-based BMP (24-hour rainfall volume) - Flow-based BMP (design 1-hour intensity)	
4. Project Site Map	Provide as Attachment (provide as GIS file or in Google Earth format)
5. Project Tributary Drainage Area	Provide as Attachment (provide as GIS file or in Google Earth format)

vii. Project Priority

If submitting an application for more than one project, is this project your agency's priority?

Yes _____ No _____

viii. Funding Cycle

If awarded funding, in which funding cycle would you like to receive funds? (Check one)

FY 2012-13 (contract must be awarded by June 30, 2013 and funds would be available July 1, 2013)
FY 2013-14 (contract must be awarded by June 30, 2014 and funds would be available July 1, 2014)

Exhibit 12-2 *(continued)*
ECP Tier 2 Grant Application

Part Two: Project Specific Information (scored)

Each proposal can receive up to 105 points, inclusive of five bonus points associated with overmatch commitment. Tier 2 selection criteria includes both technical scoring criteria (70 percent weighting) and non-technical scoring criteria (30 percent weighting)

1) Transportation Priority Index (5/100 pts – Coordination with OCTA required to determine points)

   The Transportation Priority Index (TPI) is developed based on density of roadway lane miles within pre-defined catchment areas. OCTA will provide geospatial information (through ArcGIS and/or Google Earth) that will allow applicants to establish this point score based solely on project location/address.

   ☐ Points (5 max)

2) Water Quality Need Analysis (40/100 pts – Coordination with OCTA required to determine points)

   a) *The Environmental Cleanup Allocation Committee (ECAC) agreed upon criteria upon which water quality Catchment Prioritization Index (CPI) scores were established. CPI scores quantify water quality need using the GIS-based Structural BMP Prioritization and Analysis Tool (SBPAT) and Orange County land use and receiving water data. OCTA will provide geospatial information (through ArcGIS and/or Google Earth) that will allow applicants to establish this point score based solely on project location/address.*

   ☐ Points (30 max)

   b) *The OCTA team reviewed County monitoring data and regulatory (303d) impairment lists to establish indices of water quality need based on receiving water quality. OCTA will provide geospatial information (through ArcGIS and/or Google Earth) that will allow applicants to establish this point score based solely on project location/address.*

   ☐ Points (10 max)

Exhibit 12-2 *(continued)*
ECP Tier 2 Grant Application

3) BMP Performance (25/100 pts – Coordination with OCTA required to determine points)

a) For Wet Weather (25 pts), develop water quality load reduction index (WQLRI)

A	B	C	D
Pollutant Family	Relative Contribution to CPI Score from SBPAT Prioritization Output	Avg. Annual Load Reduction from SBPAT Analysis Output (units vary, max 100)	Weighted Load Reduction (B x C)
Volume	___%		
Metals	___%		
Bacteria	___%		
Nutrients	___%		
TSS	___%		
	___%	dimensionless WQLRI (sum)	

WQLRI/Total Project Cost: _____
Wet Weather Project Quantile (to be completed by OCTA): _____
Wet-Weather Points Allocated (to be completed by OCTA): _____

b) For Dry Weather (25 pts), estimate total dry-weather volume mitigated (include supplemental calculation package, including basis for estimates)

Proposed BMP Technology	
Estimated Total Dry Weather Flow Rate (cfs)	
Estimated Total Dry Weather Flow Rate Mitigated (cfs)	
Estimated Percentage of Dry-Weather Flow Removed or Avoided (MG/yr)	
Estimated Percentage of Dry-Weather Flow Treated to Water Quality Standards (MG/yr)	
Estimated Total Dry Weather Flow Volume Fully Mitigated (MG/year)	

Mitigated Dry Weather Volume/Total Project Cost: _____
Dry-Weather Project Quantile (to be completed by OCTA): _____
Dry-Weather Points Allocated (to be completed by OCTA): _____

c) Total BMP Performance Score
Wet-Weather Points Allocated (from a)) _____
Dry-Weather Points Allocated (from b)) _____
Total Points Allocated (max 25 points) _____

Exhibit 12-2 *(continued)*
ECP Tier 2 Grant Application

4) Multiple-Benefits (semi-qualitative analysis) (10/100 pts max from subcategories *a, b, c, d, e*)
All subcategories may not apply to your project.

a) Drainage (5 pts max)
How does the project increase levels of protection or mitigate a flooding problem?

b) Recreational (5 pts max)
How does the project provide a recreational benefit to the community?

c) Habitat (5 pts max)
How does the project provide a habitat benefit?

Exhibit 12-2 *(continued)*
ECP Tier 2 Grant Application

d) Water Resources (5 pts max)
Is there a potential water resources sustainability benefit? Describe.

e) Other (5 pts max)
Describe any other benefit your project provides not previously addressed in a *through* d.

5) Project Readiness (10 pts max)

Describe the project's readiness (i.e., how far along is the project with regard to concept development, cost estimates, design, environmental compliance, construction documents).

Exhibit 12-2 *(continued)*
ECP Tier 2 Grant Application

6) Policy (10/100 pts max from subcategories *a* and *b*)
   a) Multi-Jurisdictional Project with Regional Benefit (max 10 pts)
   If the project is multi-jurisdictional, describe how it would provide a regional benefit.

   b) Community and Public Support and Benefit (max 5 pts)
   Does the project have community and public support and how will it provide a benefit?

7) BONUS POINTS: Ability to Leverage Funding (5 pts max, 1 point per 5%)
   Will your agency provide matching funds above the minimum?

Part Three: Funding

Project Title: _____	**Phone:** _____
Contact: _____	**Email:** _____
Agency: _____	

Local Match Detail

Cash Contribution	_____
In-Kind Services *	_____
Other Grants	_____
Total Match Commitment	$ -

Source(s) of Local Match

1. ***In-Kind Services (excluding O&M): Salaries and benefits for employees who will perform work on the proposed project are eligible as a matching requirement. Please provide details on how in-kind services are calculated. Identify the Fiscal Year(s) of In-Kind expenditure and amount for each year. Do not use acronyms.**

2. **Other grants and/or funding may include fair share funds, non-ECP state or federal grant funds, local city funds, general funds, developer fees, etc. Please list the name and amount of any respective non-ECP grants that are proposed as a match. If there are other grant type(s), include the status of each.**

Part Three: Funding (continued)

Estimated Preliminary Project Design, Environmental, & Engineering Costs

Item #	Description	Unit	Quantity	Unit Price	Amount
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				Subtotal:	$0

Estimated Construction (Capital) Costs

Item #	Description	Unit	Quantity	Cost/Price	Amount
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				Subtotal:	$0

Estimated Project Management/Construction Management Cost

Item #	Description	Unit	Quantity	Cost/Price	Amount
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				Subtotal:	$0

Estimated Other Cost

Item #	Description	Unit	Quantity	Cost/Price	Amount
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				$ -	$ -
				Subtotal:	$0
	TOTAL PROJECT COST				$0

Part Four: Tier 2 Grant Program Resolution

SAMPLE AGENCY RESOLUTION REQUESTING FUNDS FOR PROPOSED PROJECT

RESOLUTION NO. _____

A RESOLUTION OF THE CITY COUNCIL/BOARD OF THE CITY/COUNTY OF _____ AUTHORIZING AN APPLICATION FOR FUNDS FOR THE ENVIRONMENTAL CLEANUP, TIER 2 GRANT PROGRAM UNDER ORANGE COUNTY LOCAL TRANSPORTATION ORDINANCE NO. 3 FOR (NAME OF PROPOSAL) PROJECT.

WHEREAS, Orange County Local Transportation Ordinance No.3, dated July 24, 2006, and is known and cited as the Renewed Measure M Transportation Ordinance and Investment Plan makes funds available through the Environmental Cleanup Program to help protect Orange County beaches and waterways from transportation-generated pollution (urban runoff) and improve overall water quality.

WHEREAS, the Environmental Cleanup, Tier 2 Grant Program consists of funding regional, potentially multi-jurisdictional, capital-intensive projects, such as constructed wetlands, detention/infiltration basins and bioswales, which mitigate pollutants including litter and debris, heavy metals, organic chemicals, sediment, and nutrients.

WHEREAS, OCTA has established the procedures and criteria for reviewing proposals; and

WHEREAS, (ADMINISTERING AGENCY) possesses authority to nominate water quality improvement projects that have a transportation pollution nexus to finance and construct the proposed project; and

WHEREAS, by formal action the (GOVERNING BODY) authorizes the nomination of (NAME OF PROPOSAL), including all understanding and assurances contained therein, and authorizes the person identified as the official representative of the (ADMINISTERING AGENCY) to act in connection with the nomination and to provide such additional information as may be required; and

WHEREAS, the (ADMINISTERING AGENCY) will maintain and operate the equipment acquired and installed; and

WHEREAS, the (ADMINISTERING AGENCY) will give OCTA's representatives access to and the right to examine all records, books, papers or documents related to the funded Tier 2 Grant Project; and

WHEREAS, the (ADMINISTERING AGENCY) will cause work on the project to be commenced within a reasonable time after receipt of notification from OCTA and that the project will be carried to completion with reasonable diligence; and

WHEREAS, the (ADMINISTERING AGENCY) will comply where applicable with provisions of the California Environmental Quality Act, the National Environmental Policy Act, the American with Disabilities Act, and any other federal, state, and/or local laws, rules and/or regulations;

NOW, THEREFORE, BE IT RESOLVED that the City/County of _____, hereby authorizes (NAME OF AGENCY REPRESENTATIVE) as the official representative of the (ADMINISTERING AGENCY) to accept funds for the Environmental Cleanup, Tier 2 Grant Program for (NAME OF PROPOSAL).

BE IT FURTHER RESOLVED that the City/County of _____, agrees to fund its share of the project costs and any additional costs over the identified programmed amount.

Tier 2 Checklist

Mandatory Application Items (check all items included in this package)

_____ Application (Parts 1 - 3)

_____ Environmental Document (if applicable)

_____ Preliminary Cooperative Agreement (if applicable)

_____ Project Cost Estimate

_____ Proposed Budget

_____ Maps

_____ Design / Concept Drawing

_____ Digital Project Site Photos

_____ Project Schedule

_____ Draft Resolution

_____ Applicable Exhibits (refer to Tier 2 Guidelines)

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