OCTA

COMMITTEE TRANSMITTAL

August 12, 2013

To: Members of the Board of Directors

From: Wendy Knowles, Clerk of the Board

Subject: Measure M2 Comprehensive Transportation Funding Programs - 2014 Annual Calls for Projects

Regional Planning and Highways Committee Meeting of August 5, 2013
Present: Directors Bates, Donchak, Harper, Lalloway, Miller, and Spitzer
Absent: Directors Murray and Nelson

Committee Vote

This item was passed by the Members present.

Director Harper 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 2014 annual call for projects for the Regional Capacity Program for approximately $35 million.

C. Authorize staff to issue the 2014 annual call for projects for the Regional Traffic Signal Synchronization Program for approximately $12 million.

ORANGE COUNTY TRANSPORTATION AUTHORITY

Measure M2 Comprehensive Transportation Funding Programs -2014 Annual Calls for Projects

Staff Report

OCTA

August 5, 2013

To: Regional Planning and Highways Committee

From: Darrell Johnson, Chief Executive Officer

Subject: Measure M2 Comprehensive Transportation Funding Programs - 2014 Annual Calls for Projects

Overview

Measure M2 includes competitive capital grant programs for transportation projects, including the countywide Regional Capacity Program and the Regional Traffic Signal Synchronization Program, which focus on capital and operational 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 included the schedule for the 2014 Regional Capacity Program and Regional Traffic Signal Synchronization Program calls for projects. Guideline modifications and authorization to issue the 2014 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 2014 annual call for projects for the Regional Capacity Program for approximately $35 million.

C. Authorize staff to issue the 2014 annual call for projects for the Regional Traffic Signal Synchronization Program for approximately $12 million.

Background

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

source for improvements to the Orange County Master Plan of Arterial Highways. The program also provides for intersection improvements and other projects to help improve street operations and reduce congestion. The Regional Traffic Signal Synchronization Program (RTSSP) provides funding for multi-agency, corridor-based signal synchronization throughout Orange County. These programs allocate funds through a competitive process and target projects that improve traffic by considering factors such as degree of congestion relief, cost effectiveness, project readiness, etc. 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 for administration of the RCP and RTSSP. The CTFP Guidelines provide the procedures necessary for Orange County agencies to apply for funding and seek reimbursement for projects that have been allocated funds. Three annual calls for projects (calls) have been issued to date for both the RCP and RTSS and, collectively, OCTA has provided $157 million for approximately 118 projects. In preparation for the 2014 annual calls, updates to the guidelines have been prepared.

Discussion

In anticipation of the RCP and RTSSP 2014 annual calls, staff has worked with the Technical Advisory Committee (TAC) to determine areas of the call process and scoring criteria that need to be adjusted. With the completion of the third call, staff has sufficient project and application data to analyze the overall effectiveness of the project ranking process. As a result of this analysis, some minor adjustments were made to the scoring criteria for the RCP arterial capacity enhancement category, as well as the intersection capacity enhancement category. The freeway arterial/street transitions category remains unchanged. Similar minor adjustments were made to RTSSP scoring criteria.

A copy of the CTFP Guidelines manual with the proposed modifications is included in Attachment A. In addition, a general summary of the proposed modifications by program is provided below.

RCP ($35 million funding target)

- Increase points given for a completed final design package, putting additional emphasis on projects that are “shovel ready.”
- Adjust the point ranges on the economic effectiveness category. Additional points will be awarded to projects that achieve higher levels of economic effectiveness.
- Lower the threshold for overmatch points. Projects with a minimum five percent overmatch will receive a point.

- Assign additional points to some facets of the operational efficiencies category. Project improvements such as the addition of new bike lanes and the removal of on-street parking will net an additional point each. For intersection improvements, additional efficiencies such as free right turns and protected/permissive turns will be added.
- Adjust the point scale for the existing level of service (LOS) range to focus more points on projects with higher levels of congestion. Additionally, adjust the point scale for LOS improvement. Projects must now meet a minimum improvement to receive points.

RTSSP ($12 million funding target)

- Change the calculation of the signals being retimed category from a per mile calculation to an overall corridor evaluation, emphasizing the regional aspect of the program.
- Add "uninterruptible power sources" as an eligible cost as part of intersection system modernization and replacement.

Additional formatting and clerical adjustments have been made throughout the guidelines. The proposed modifications were approved by the TAC on June 26, 2013, with unanimous support.

Next Steps

With Board approval, staff anticipates sending out announcement letters to the local agencies regarding the calls by August 12, 2013. Project applications would be due to OCTA by October 25, 2013. Staff, in conjunction with the TAC, will prioritize the applications based on the selection criteria in the CTFP Guidelines and will return with programming recommendations for final Board approval in spring 2014. Programming allocations would be effective with Board approval and available on July 1, 2014. Some projects may be programmed in subsequent fiscal years (FY) (FY 2015-16 and FY 2016-17), based on schedules provided by local agencies.

Summary

Measure M2 provides funds for intersection and arterial improvements and signal synchronization in an effort to enhance street operations and reduce congestion. The Comprehensive Transportation Funding Program serves as the mechanism Orange County Transportation Authority uses to administer the competitive Regional Capacity Program and Regional Traffic Signal Synchronization Program. Staff is seeking approval of proposed modifications to the guidelines and authorization to release the 2014 annual calls for projects.

Attachment

A. Comprehensive Transportation Funding Programs August 2013 Guidelines

Prepared by:

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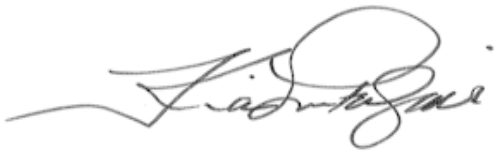
Approved by:



Kia Mortazavi
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ORANGE COUNTY TRANSPORTATION AUTHORITY

Measure M2 Comprehensive Transportation Funding Programs -2014 Annual Calls for Projects

Attachment A

ATTACHMENT A

Comprehensive Transportation Funding Programs

AUGUST 2013 GUIDELINES

Orange County Transportation Authority

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I. Overview

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

Expected growth demands in Orange County over the next 30 years will require agencies to continue to invest in transportation infrastructure projects. A collaborative effort between County leaders and 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.

Guidelines Overview

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

within these guidelines. 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 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~~ are wholly funded by M2 Fair Share revenues and/or local sources are not subject to a competitive process. However, program expenditures must maintain certain eligibility criteria as outlined in the 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 revenue~~s~~ sources, such as M2, will provide funding opportunities on an annual basis. OCTA will update program guidelines and selection criteria ~~on even-numbered years~~periodically. OCTA ~~will~~ may 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 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 t~~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 in accordance with the Cost Accounting Policies and Procedures Manual of the California Uniform Public Construction Cost Accounting Commission.~~.~~

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) for ROW and construction phases. 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. Excess ROW designation shall be acknowledged by applicant during the grant application process.

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.

16. The term "Fast Track" shall refer to projects that apply for both planning and implementation phase funding in a single competitive application/call for projects.

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IV. Precepts

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

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

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

4. The lead agency must execute a Master Funding Agreement with the OCTA. OCTA and lead agencies will periodically amend the agreement via letter to reflect funding changes through competitive calls for projects.

5. A separate cooperative funding agreement will be issued for any OCTA-led Regional Traffic Signal Synchronization Program projects.

6. An agency must have a fully executed letter agreement prior to the obligation of funds. Local agencies may be granted pre-award authority for M2 funded projects once the letter agreement is executed. Local agencies, at their own risk, may use this pre-award authority to advance an M2 funded project prior to the programmed year. Reimbursement will be available in the Board approved programmed year according to approved guidelines contained in Chapter 10 of this guidelines manual.

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

8. 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.

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

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

11. 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.

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

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

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

15. 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.

16. 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. Extension requests are not permitted for projects that seek "fast track" allocations.

17. Funds that have been obligated shall be used in a timely fashion. In the case of the engineering or construction phases, funds 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.

18. 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.

19. 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.

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

21. 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.

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

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

24. 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.

25. 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.

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

27. OCTA shall evaluate "whole" projects during the initial review process. Subsequent phase application reviews shall not include prior phases in the evaluation unless locally funded and pledged as a match and are subject to OCTA verification. The criteria for ranking project applications is included in these guidelines as part of each program component chapter.

28. 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.

29. 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.

30. 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.

31. 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 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.

32. The final report retention shall be capped at $500,000 per project phase, but shall in no case be less than 10 percent of the allocation 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.

33. An agency shall provide final accounting in an approved final report format (see Chapter 10 of the guidelines) within 180 days of project phase completion. Delinquent 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.

34. 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.

35. The payment distribution ratio referenced in Precept no. ~~20~~ 31 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.

36. 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.

37. 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. 2014 Call for Projects – Regional Capacity Program

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

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

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

Applications

In order for OCTA to consider a project for funding, applications will be prepared by the local agency responsible for the project implementation. OCTA shall require agencies to submit both online and hardcopy applications for the 2014 call for projects by **5:00 p.m. on Friday, October 25, 2013**. 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 these guidelines.

Application Review Process

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

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

Board authorization to issue call: August 2013
Applications due to OCTA: October 25, 201
TSC/TAC Review: February/March 2014
Committee/Board approval: May 2014

M2 Project O Funding

M2 Project O funding will be used for this call.

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

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

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

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

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

b. Certification of 100 percent design completion.

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

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

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

5. *Required Contracts:*

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

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

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

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

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

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

b) Caltrans Program Supplement.

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

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

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

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

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

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

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

   a) Description of scope of work.

   b) Updates on estimated project costs.

   c) Updates on schedule.

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

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

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

   a) Scope of completed project.

   b) Final costs as compared to approved project budget.

   c) Duration of completion compared to approved schedule.

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

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

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

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

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

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

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

State-Local Partnership Program Reporting Assistance

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

Chapter 1 – Eligibility

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

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Chapter 2 – Project Programming

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 and an inability to fund smaller time sensitive projects in the interim.

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 a Fast Track approach, seeking implementation funding as part of the planning phase. The ~~if the~~ agency ~~can~~ must demonstrate that the

policy variance is necessary for timely implementation. The agency will waive the opportunity to request a project delay under this approach.

Each call for projects will cover a three-year period which overlaps subsequent future cycles. Funding targets for each cycle are based upon prior funding commitments, anticipated revenues, reprogramming of unused 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.

Project Cost Escalation

OCTA will escalate approved right-of-way and construction 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.

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 of each funding cycle include a CCI-based adjustment factor for the right-of-way and construction phases only. 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 right-of-way and construction 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 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 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).

    - Agencies that have requested Fast Track funding cannot request time extensions.

Environmental Cleanup Program Operations and Maintenance Reporting

For Tier 1 of the Environmental Cleanup Program, ongoing operations and maintenance of the project can be pledged as a match (page 12-6). As part of the SAR 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 (see sample in chapter 10) 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 Cement Concrete (PCC) Base Ends
- 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.

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.

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

NO CHANGE TO THIS CHAPTER

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

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 will be issued in the future.

NO CHANGE TO THIS CHAPTER

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 (1991-2011).

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

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

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

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

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

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

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

captures these prior funding commitments. Future calls for projects for grade separations are not anticipated.

Funding Estimates

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

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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~~activities and enables improvements based upon existing deficiencies.

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

Objectives

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

Project Participation Categories

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

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

Eligible Activities

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

Potentially Eligible Items

- Direct environmental mitigation for projects funded by ACE
- 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~~25% 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~~25% of the total eligible ~~improvement~~ construction cost) of an eligible improvement. Program participation shall not exceed ~~25~~10% of the cost of storm drain longitudinal/parallel and main lines. Storm drain inlets, connectors, laterals and cross culverts shall have full participation in ACE Program funding.

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.

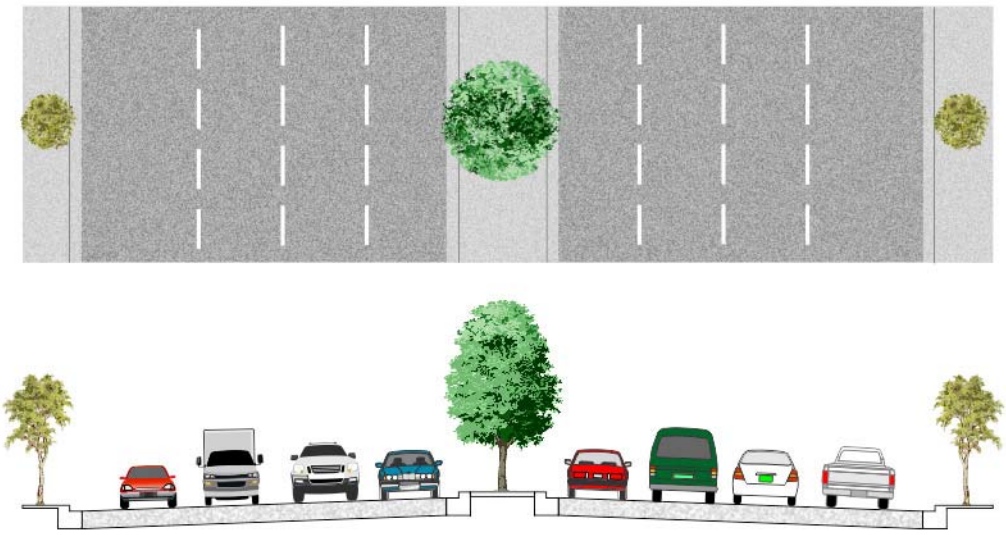
In all cases, eligible costs shall only include "in-kind" relocation. No reimbursements will be made for betterments above the cost of "in-kind" relocation. Additionally, costs submitted for program reimbursement must include any salvage credits received.

Ineligible Expenditures

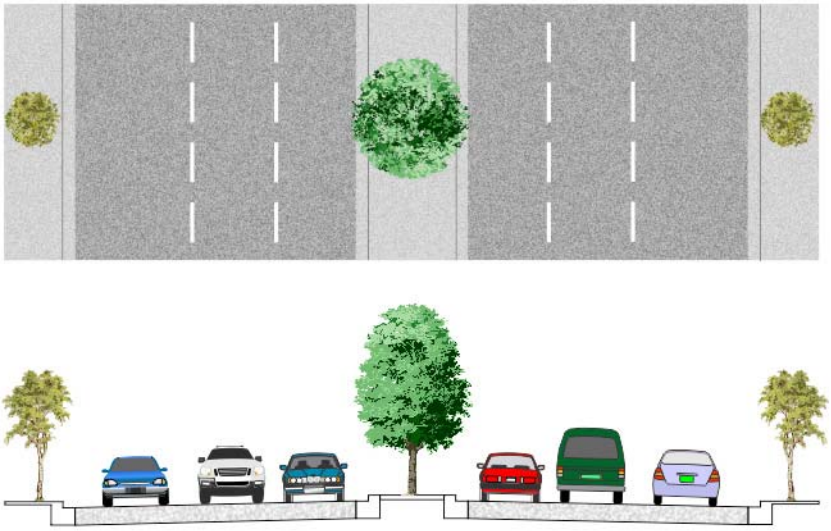
Items that are not eligible under the ACE Program are:

- 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 (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape)
- 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

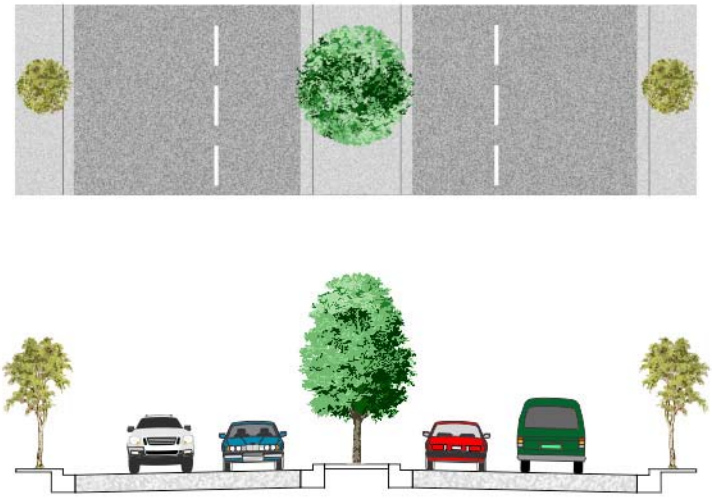


PRINCIPAL
144 FT
(8 LANES, DIVIDED)



MAJOR
120FT
(6 LANES, DIVIDED)

Exhibit 7-1 *continued*
Standard MPAH Cross Sections



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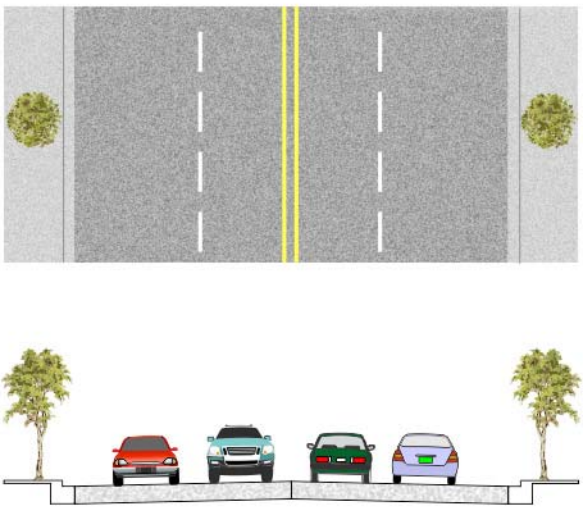

SECONDARY
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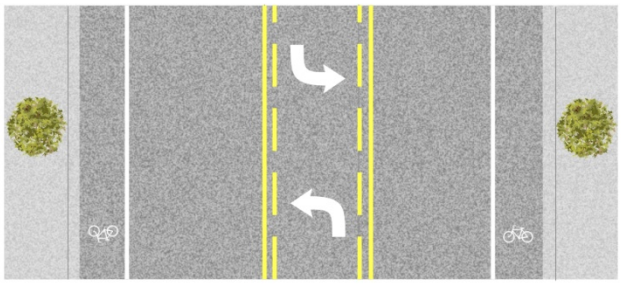
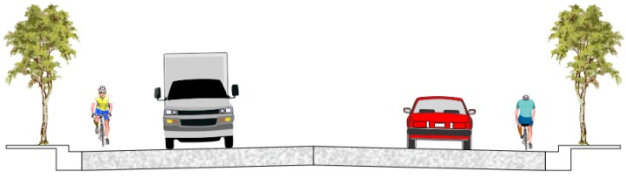
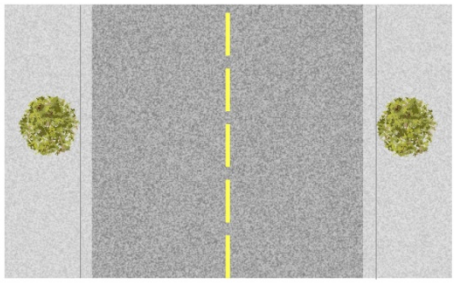
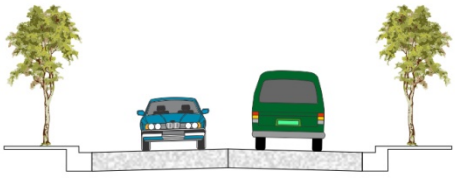
Exhibit 7-1 *continued*
Standard MPAH Cross Sections





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 current OCTA Traffic Flow Map data for the proposed segment for comparison purposes. The agency must submit the project

projected ADT, current ADT, the delta, as well as a 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. Regarding "current" OCTA Traffic Flow Map data, it is defined as counts provided within the preceding 36 months. Projects submitted without "current counts" will be considered incomplete and non-responsive. New facilities will be modeled through OCTAM and requests should be submitted to OCTA with sufficient time to generate report prior to submittal of application.

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. Measurement must be taken proximate to capacity increase.

Current Project Readiness: This category is additive. Points are earned for each satisfied readiness stage at the time applications are submitted. Right of Way (All easements and titles) applies where no ROW 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 differential.

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) "without project" condition to qualify for priority consideration for funding.** Projects that do not meet the minimum LOS "D" can be submitted, but are not guaranteed consideration as part of the competitive process.

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

be at the discretion of OCTA. Projects with an LOS better than "C" (.70 v/c) will not be considered.

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 (including current traffic counts)
  - Project development and implementation schedule
  - Right of way status and strategy for acquisition/disposal of excess ROW
  - 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 pr ovide 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. The reimbursement process is more fully described in Chapter 10 of this manual.

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 Arterial Capacity Enhancement Projects
Maximum Points = 100

Facility Usage **Points: 25**

Existing ADT

Range		Points
45+	thousand	10
40-44	thousand	8
35 - 39	thousand	6
30 - 34	thousand	5
25 - 29	thousand	4
20 - 24	thousand	3
15 - 19	thousand	2
10-14	thousand	1
<10	thousand	0

VMT

Range		Points
31+	thousand	10
26-30	thousand	8
22-25	thousand	6
18-21	thousand	5
14-17	thousand	4
11-13	thousand	3
8-10	thousand	2
4-7	thousand	1
<4,000	thousand	0

Current Project Readiness — Max Points: 5

Range	Points
Environmental Approvals	1
Preliminary Design (35%)	1
Right Of Way (All offers issued)	1
Right Of Way (All easement and titles)	3
Final Design (PS&E)	2

Points are additive, Design and ROW limited to highest qualifying designation

Economic Effectiveness **Points: 20**

Cost Benefit (Total $/ADT)

Range*	Points
<25	15
25-49	13
50 - 99	11
100 - 149	9
150 - 199	7
200 - 249	5
250 - 299	4
300 - 349	3
350 - 399	2
400 - 499	1
500+	0

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

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

*Range refers to % points above agency minimum requirement

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)	3
Median (Raised)	2
Remove On-Street Parking	2
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
1.01+	5
.96 - 1.00	4
.91 -. 95	3
.86-.90	2
.81-.85	1

LOS Improvement W/Project (exist. volume)

Range	Points
.20+	5
.16 -.19	4
.1 -.15	3
.05 - .09	2
.01 - .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~~improving operations
- 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 service~~s~~ 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 current OCTA Traffic Flow Map data for the proposed segment for comparison purposes. The agency must submit the project projected ADT, current ADT, the delta, as well as a 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. Regarding "current" OCTA Traffic Flow Map data, it is defined as counts provided within the preceding 36 months. Project applications without "current" counts will be deemed incomplete and non-responsive. Average ADT for the east and west legs of the intersection will be added to the average ADT for the north and south legs.

For agencies where event 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. This category is intended to recognize large projects that segregate intersection components from arterial components for funding purposes.

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

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

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

- Bike Lanes~~/~~: Extension of bike lanes (Class I or II) through intersection
- Bus Turnouts: ~~Extension of bike lanes (Class I or II) through intersection or e~~Construction of a bus turnout as a new feature.
- Lowers density: Addition of through travel lanes.
- Channels traffic: Addition and/or extension of turn pockets (other than free right turn).
- Free right turn: installation of new free right or conversion of an existing right turn to free right
- Protected/permissive left turn: Convert from protected to protected/permissive
- Pedestrian Facilities: Placement of a new sidewalk if none currently exists.
- Grade separations: Street to street grade separations and do not apply to rail grade separation projects which are covered by the grade separation program category.

Level of Service (LOS) Improvement: This category is a product of the existing or projected LOS based upon volume/capacity– or v/c -- and LOS improvement "with project" using Intersection Capacity Utilization (ICU) calculation with 1,700 vehicles per lane per hour and a .05 clearance interval. Calculations will be based upon "current"

arterial link and turning movement counts projected to opening year. **Projects must meet a minimum existing or projected LOS of "D" (.81 v/c) to qualify for priority consideration for funding.** Projects that do not meet the minimum LOS "D" can be submitted, but are not guaranteed consideration as part of the competitive process.

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

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 (including current arterial link and turning movement counts)
  - 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 pr ovide 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 initial payment submittal, final report and consistency with master funding agreement or cooperative agreement if federal funds

are awarded. The reimbursement process is more fully described in Chapter 10 of this manual.

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				***30%***
	Transportation Significance	5	5%	
	MPAH Assessment Category	10	10%	
	Operational Efficiency	15	15%	
Benefit				***25%***
	LOS Improvement	25	25%	
TOTAL		**100**	**100%**	

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Table 7-4

Point Breakdown for Intersection Capacity Enhancement Projects
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
Environmental Approvals	1
Preliminary Design (35%)	1
Right Of Way (All offers issued)	1
Right Of Way (All easement and titles)	3
Final Design (PS&E)	2

Points are additive, Design and 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
25+	%	5
20 - 24	%	4
15 - 19	%	3
10 - 14	%	2
5-9	%	1
0-4	%	0

Coordination with Contiguous Project

Range	Points
yes	5
no	0

Coordination based upon similar project schedule

Facility Importance **Points: 30**

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	4
Bus turnouts	4
Lowers density	3
Channels traffic	3
Free right	4
Protected/Permissive left turn	2
Ped. facilities (new)	4
Grade separations	10

*contains a combination of the above up to 15 pts

Benefit: **Points: 25**

LOS Improvement Max Points: 25

Calculation: LOS Imp x LOS Starting Pt.

Existing LOS (Peak Hour)

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

LOS Reduction W/Project (exist. volume)

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

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Section 7.3 – 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~~25% 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~~25% of the total eligible improvement cost) of an eligible improvement. Program participation shall not exceed ~~25~~10% of the cost of storm drain longitudinal/parallel and main lines. Storm drain inlets, connectors, laterals and cross culverts shall have full participation in FAST improvement category funding.

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 current OCTA Traffic Flow Map data for the proposed segment for comparison purposes. The agency must submit the project projected ADT, current ADT, the delta, as well as a 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. Regarding "current" OCTA Traffic Flow Map data, it is defined as counts provided within the preceding 36 months. Project applications without "current" counts will be deemed incomplete and non-responsive. Average ramp intersection volume for each interchange ramp will be used for the current counts. New facilities will rely on projected ramp volume based upon Caltrans approved projection.

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

Current Project Readiness: This category is additive. Points are earned for each satisfied readiness stage at the time applications are submitted. Right of Way (all easements and titles) applies where no ROW 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~~ programmed freeway improvements receive points in this category.

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

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

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

- Eliminate left turn conflicts: Ramp intersection reconfiguration which does not permit left turns onto ramps.
- Coordinated signal: Ramp intersections within a coordinated corridor where coordination did not previously exist.
- Add turn lanes: Increase in number of turn lanes on arterial.
- Add traffic control: Signalization of ramp intersection.
- Enhanced ramp storage: Extension or widening of existing ramp to improve~~ment~~ 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 ex isting or pr ojected LOS of " D" (.81 v/c) to qualify for priority consideration for funding.** Projects that do not meet the minimum LOS "D" can be submitted, but are not guaranteed consideration as part of the competitive process.

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

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 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	100%

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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 and shall issue a report on the status and performance of its traffic signal synchronization activities~~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~~ The 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 as described in Chapter 10
- ~~2013~~ 2014 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 corridors eligible for funding as part of the 2013 2014 call for projects~~Projects previously awarded RTSSP funding must be complete with a final report submitted and approved by OCTA[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.

Eligible Activities

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

- Signal Coordination
  - Developing and implementing new signal synchronization timing and parameters based on current travel patterns

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

- 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
  - Upgrade detection along the signal synchronization corridors to ensure necessary conditions for signal synchronization: inductive loops, video detection, other types of detection systems

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

- Communications and detection support ~~(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
  - Traffic signal controller replacement of antiquated units
  - Controller cabinet replacements that can be shown to enhance signal synchronization
  - Closed circuit television (CCTV)
  - Uninterruptible power supply (UPS) for field equipment

- Minor signal operational improvements (new)
  - Emergency vehicle preempt (signal equipment only)

  - Transit signal priority (signal equipment only)
  - Channelization improvements required for traffic signal phasing but not requiring street construction
  - 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 TMCs or TOCs (any project funded under this category must be planned or built to be center-to-center communication "ready" with nearby agencies and/or OCTA)
  - Upgrades to existing TMCs or TOCs (any project funded under this category must be planned or built to be center-to-center communication "ready" with nearby agencies and/or OCTA)
  - Motorist information systems (up to 10 percent of total project costs)
  - Video display equipment, including wall monitors, screens, mounting cabinets, and optical engines (up to 10 percent of total project costs)

- Real-time traffic actuated operations and demonstration projects
  - Adaptive traffic signal systems

- Caltrans encroachment permits
  - Includes eligible Caltrans labor, capital, ~~environmental~~ and permitting expenses

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

Ineligible Expenditures

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

Funding Estimates

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 $60,000 per signal or $200,000 per project corridor mile included as part of each project (whichever is higher) has been established for the call for projects.

Selection Criteria

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

Vehicle Miles Traveled (VMT): Centerline length of segment(s) on the corridor proposed for ~~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)

Cost Benefit: Total project cost ~~Existing VMT~~ divided by Existing VMT ~~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

RTSSP Selection Criteria for Eligible Projects
Maximum Points = 100

Vehicle Miles Travelled (VMT) **Points: 20**

VMT Range	Points
250+ thousand	20
200 - 249 thousand	15
150 - 199 thousand	10
100 - 149 thousand	6
50 - 99 thousand	3
0 - 49 thousand	1

Calculation: ADT x segment length
(Applies only to coordinated segments of project)

Economic Effectiveness **Points: 15**

Cost Benefit (Total $/VMT) Range*	Points
< 3	15
3 - 5	13
6 - 8	11
9 - 11	9
12 - 14	7
15 - 17	5
18 - 20	3
21 - 23	2
24 - 26	1
27+	0

Project Characteristics **Points: 10**

Project Feature	Points
TMC/TOC and motorist information	2
New or upgraded communications systems	2
New or upgraded detection	2
Intersection/field system modernization	2
Minor signal operational improvements	2
New Protected/Permissive signals	3
Adaptive traffic and demonstration projects	3

Points are additive to maximum of 10 points

Transportation Significance **Points: 10**

Corridor Type	Points
Priority Corridor	10
Signal Synchronization Corridor	5
Local TSSP Route / MPAH	0

Maintenance of Effort **Points: 5**

MOE after Grant Period	Points
3 years	5
2 years	3
1 year	1
None	0

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

Project Scale **Points: 10**

Number of Signals Coordinated by Project Range	Points
50+	5
40 - 49	4
30 - 39	3
20 - 29	2
10 - 19	1
< 10	0

AND

Percent of Corridor Signals Being Retimed Range	Points
90% or above	5
80 - 89%	4
70 - 79%	3
60 - 69%	2
50 - 59%	1
< 50%	0

Calculation: Number of signals in project divided by total signals in full corridor length

Number of Jurisdictions **Points: 20**

Total Number of Involved Jurisdictions Range	Points
5 or more	20
4	16
3	12
2	8
1	0

OR

% of Priority Corridor Jurisdictions Involved Range	Points
100%	20
75 - 99%	12
50 - 75%	6
< 50%	0

Current Project Readiness **Points: 5**

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

Funding Match **Points: 5**

Overall Match %	Points
50+%	5
40 - 49%	4
35 - 39%	3
30 - 34%	2
25 - 29%	1
<25%	0

Application Process

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

- Funding needs by phase and fiscal year
- Percent match 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.

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~~Cost Benefit
- Project Characteristics
- Transportation Significance
- Maintenance of Effort
- Project Scale
- Number of Jurisdictions
- Current Project Readiness
- Funding ~~Over~~ Match

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 that cross jurisdictional boundaries. To be eligible for funding through this Program, a project must meet the following requirements:

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

2. Be multi-jurisdictional, have documented support from all participating jurisdictions (cities, County, or Caltrans) and a minimum of 20 signals

   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 (cities, County, or Caltrans), and have a minimum intersection density of four intersections per mile with a minimum of eight signals

or

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

Matching Funds

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

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

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

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

Real-time traffic actuated operations and demonstration projects	Cash match only

* Project ~~over~~ match beyond 20% is limited to ~~dollar~~ cash match only
** In-kind services are subject to audit.

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

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

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

Projects submitted as OCTA lead require a 20% cash match for Primary Implementation activities. Operations and Maintenance activities will be permitted soft match only for local agency oversight functions. Contract activities will require cash match.

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

Other Application Materials

Supporting documentation is required to fully consider each project application. A Supplemental Application Template ~~is included in Exhibit 8-1 that~~ is required to be completed for each project application. The template is distributed with other application materials at the issuance of the Call for Projects. In addition to the funding plan described above, local agencies will be required to submit the following materials:

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~~Chapter 10 of this manual. The lead agency is responsible for reimbursing other agencies as part of the effort. Additionally, the lead agency is also responsible for ensuring that all agencies participating in the project provide the match proposed in the project application.

OCTA Lead: OCTA ~~will~~may, 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~~6, ~~2012~~2013. 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 any projects that are designated as OCTA lead are awarded funding, OCTA will then be responsible for implementation of the project including optimized signal timing development, capital improvements, planning, and related design. OCTA will implement the project based on the cost estimates developed in the application. Project elements may be modified based on final costs with the agreement of all participating agencies. OCTA will be responsible for ensuring that all agencies participating in the project provide the match as identified in the project application (minimum 20%). ~~A cash match will be strongly encouraged for OCTA implemented projects.~~

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

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

- Construction management - Each local agency traffic engineer or equivalent provides construction management support including inspection (hour vary depending on improvements.

- Ongoing Maintenance and Monitoring (24 months) - Each local agency traffic engineer or equivalent participates in continued project level 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).

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~~Chapter 10. Specifically, Project P eligible activities will require certification of completion to be presented at the time of the semi-annual review. A template of the certification document will be provided at a later date.

Project Cancellation

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 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 – ~~2013~~ 2014 Call for Projects

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

1. For this ~~initial~~ RTSSP Call for Projects, projects totaling up to $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~~ a time extension request~~s~~ 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~~ typically 2 Years). A project final report is required at the conclusion of this phase.

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

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

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

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

Applications

In order for OCTA to consider a project for funding, applications will be prepared by the local agency responsible for the project application. OCTA shall require agencies to submit applications for the ~~2013~~ call for projects by **5:00 p.m. on Friday, October ~~26, 2012~~25, 2013**. 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~~Roger Lopez

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. 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, signal improvements, contingencies, and construction management, must be identified specifically. 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 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 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 will be used as a guide for staffing commitment, 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 design/review – Each local agency traffic engineer or equivalent reviews consultant developed engineer design within the local agency, approximately 2-4 hours per affected local agency intersection.
  - System integration – Each local agency traffic engineer or equivalent provides support for this function (hours vary depending on improvements).
  - Construction management – Each local agency traffic engineer or equivalent provides construction management support including inspection (hour vary depending on improvements.
- Ongoing Maintenance and Monitoring (24 months) – Each local agency traffic engineer or equivalent participates in continued project level

~~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~~1). The checklist identifies the basic documentation required for the program. In addition to items required at the time of project submittal, additional items that are not specified may be requested later. The checklist should be provided as a cover sheet for **each** application submitted. For any items that are required for the candidate project or program that are missing or incomplete, an explanation should be included in a cover letter with the application.

Sample Resolution Form

A resolution or minute action must be approved by the local jurisdiction's 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 8-12

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-~~23~~

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

RCP and RTSSSP calls 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.

Chapter 9 – Application Materials

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 - –~~ OC Fundtracker ~~CTFP~~ Application

Agencies must submit a ~~"Priority List of Projects" with~~copy of the OCFundtracker application and scoring information with all ~~the~~ application submittals. This document is created within the ~~CTFP~~ OC Fundtracker web-based a~~A~~pplication. ~~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 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 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.

4. Current 24-hour traffic counts (taken for a typical mid-week period within the preceding 12-month period) for the proposed segment. In lieu of current traffic counts, current OCTA Traffic Flow Map data for the proposed segment will be used, provided it has been updated based on local agency provided counts within the preceding 36 months. Projects submitted without "current counts" will be considered incomplete and non-responsive.

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 average PCI for Overall System.

~~*1. PCI for Arterial System*~~

~~*2. 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 average PCI for Overall System.

~~*1. PCI for Arterial System*~~

~~*2. 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 average PCI for Overall System.

~~*1. PCI for Arterial System*~~

~~*2. 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 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. OCTA will disburse the final payment, 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. Agencies must upload appropriate backup documentation to the database. OCTA may request hardcopy payment requests.

[4] Funds from state and federal sources funds will undertake a separate process. Local agencies must contact Caltrans local assistance for reimbursement.

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 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. 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 award amount or programmed amount, whichever is less. 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**.

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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

	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 10-1A - 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**

Right-of-Way Phase Initial Report

OCTA

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 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

- 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

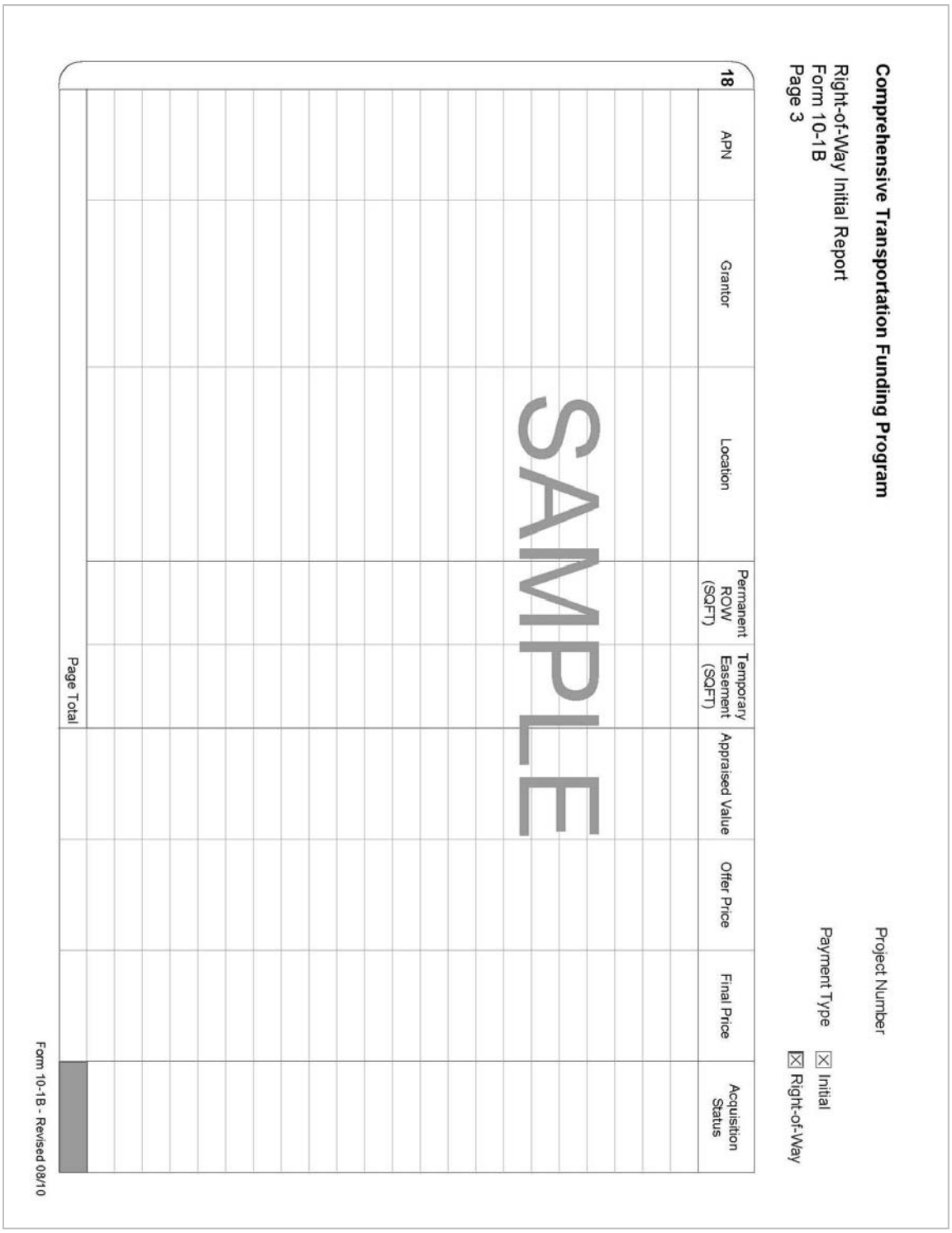
Project Number

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**

OCTA

Project Certification Letter

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

Form 10-3

Comprehensive Transportation Funding Program

OCTA

Revised Cost Estimate

Date

1																				
Project Number		Lead Agency						Phase ☐ Engineering ☐ Right-of-way ☐ Construction												
Project Title																				
2																				
	Description	Unit Price	Unit Measure	CTFP Funds		Matching Funds		Other/Non-eligible		Total										
				Quantity	Cost	Quantity	Cost	Quantity	Cost	Quantity	Cost									
	Sub-total																			
	Construction Engineering																			
	Contingency																			
	Design																			
	Total Project Cost																			
3																				
	No. Description	Unit Price	Unit Measure	CTFP Funds		Matching Funds		Other/Non-eligible		Total										
				Quantity	Cost	Quantity	Cost	Quantity	Cost	Quantity	Cost									
	Page Sub-total																			

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		Matching Funds		Other/Non-eligible		Total	
				Quantity	Cost	Quantity	Cost	Quantity	Cost	Quantity	Cost
	Page Sub-total										

Form 10-3 - Revised 08/10

Form 10-4

Comprehensive Transportation Funding Program

Form 10-4

Plans, Specifications, and Estimate Certification

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. Where an agency has actual overhead costs that exceed 30%, these will be accepted when a fully audited cost allocation plan is provided.

An agency must provide supporting documentation for equipment used by local agency staff. An agency may use local agency or Caltrans surcharge and equipment rental rates.

Technical and/or Field Review

Once an agency submits a final report for a project, OCTA shall review the report for compliance with the CTFP guidelines 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 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

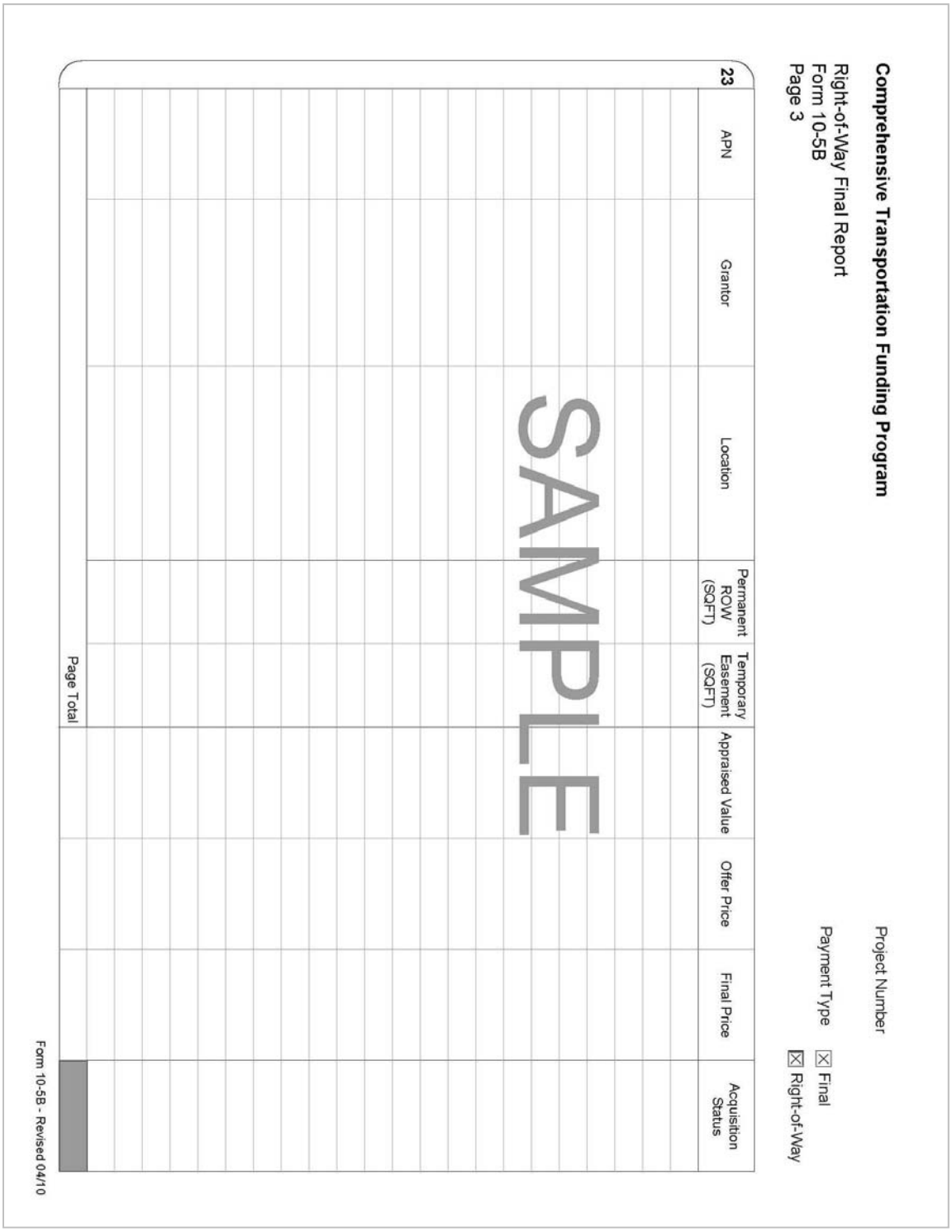
	a Phase Allocation				
	CTFP Funds	Matching Funds	Local Fairshare	Other Funds	Total Amount
Match Rate b					
Contract Costs				c	
Extra Work/ Change Orders				d	
Agency Expenses				e	
TOTAL g			f		

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

23 APN	Grantor	Location	Permanent ROW (SQFT)	Temporary Easement (SQFT)	Appraised Value	Offer Price	Final Price	Acquisition Status
Page Total								

SAMPLE

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

Comprehensive Transportation Funding Program

Form 10-6

OCTA

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

Item No.	Item of Work	A Quantity		B Unit Price		C Total Amt.		D Ineligible Amt.
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
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			x		=		-	
			x		=		-	
			x		=		-	
			x		=		-	
			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		=		-	
			x		=		-	
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			x		=		-	
			x		=		-	
			x		=		-	
			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

Payment Type: ☒ Final ☐ Engineering ☐ Right-of-Way ☐ Construction

Project Number

Final Report Division of Costs Schedule
Form 10-6

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		+		=		-
		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

				A	B
24	Materials				
	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**

OCTA

Certification of Phase Completion

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 this chapter outline the process and requirements regarding reimbursements and reporting for all competitive programs that are part of Measure M2. A lead agency shall also use the following additional reporting and documentation requirements specific to any competitive project funded through Project P as part of the reimbursement process.

Procedures for Receiving Funds

Regional Traffic Signal Synchronization Program funds projects with a three (3) year grant. Projects are divided into two components for the purposes of reimbursements and reporting: Primary Implementation and Ongoing Maintenance and Operations. The Primary Implementation of the project must be completed within one (1) year of the initial payment. Ongoing Maintenance and Operations will begin after the Primary Implementation of the project is completed and be required for the remainder of the project and last for a minimum of two (2) years.

Primary Implementation includes the following:

- Project administration (required)
- Developing and implementing optimized signal synchronization timing (required)
- Producing a Before and After Study for the proposed project (required)
- Engineering design of signal improvements for the project (optional)
- System integration (optional)
- Proposed signal improvements, construction support, and contingency (optional):
  - New or upgraded detection
  - New or upgraded communication systems
  - Intersection/field system modernization and replacement
  - Minor signal operation improvements
  - Traffic management centers
  - Real-time traffic actuated operations and demonstration projects
- Contingencies (optional)
- Construction management (optional)

Ongoing Maintenance and Operation will begin after the Primary Implementation of the project is completed. Includes the following:

- Monitoring and improving optimized signal timing (required)
- Communications and detection support (optional)

- 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.

Form 10-8 has been provided so a lead agency can determine the reporting and documentation required for an initial payment request. Staff may request additional documentation that is not listed on Form 10-8 prior to approving the request. The electronic versions of the forms are available through the OCFundtracker.

Below is additional information updating Section 10.1 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. For final payments of the Primary Implementation, the lead agency shall invoice the remaining balance of the

project's Primary Implementation phase contract amount or programmed amount, whichever is less. (Form 10-8)

- Project Certification Letter. (Form 10-9)
- Revised Cost Estimate. (Form 10-10)
- Plans, Specifications, and Estimate (PS&E) Certification (Form 10-11)
- Certification of Phase (Form 10-12)
- Final Report Submission (Form 10-13)
- Division of Cost Schedule (Form 10-14)
- Work Schedule - OCTA requires a complete project schedule, including expected start and 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 receives the project Before and After Study. 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 Final Report for reimbursement purposes as outlined in this chapter.

Payment Requests for Ongoing Maintenance and Operations

The payments for the Ongoing Maintenance and Operations portion of the project award will cover the remainder of the three (3) year grant period after Primary Implementation is completed and will be paid as a reimbursement upon proof of work/payment and receipt of invoice. The invoice should include details on the ongoing maintenance and operation work done including on the required (1) work monitoring and improving optimized signal timing; and optional (2) communications and detection support.

Project Final Report

The project final report shall be completed in accordance with all CTFP Guidelines upon the end of the three year grant period. In addition, the final report shall summarize the full project through the three-year grant period, include the Before and After Study from the Primary Implementation phase, and report on additional updates/information that result from the Ongoing Maintenance and Operation phase.

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) Date
(Insert Title)
(Insert Agency)

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

OCTA

Date:

1	Project Number:	Lead Agency:		
	Project Title:			
	Report Type: ☑ Project Implementation* ☐ Project Completion** Submission Type: ☑ Initial ☐ Resubmission **includes Before/After Study* ***includes final OMM report*			
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. _____ _____ 0 Date 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/Maintenanc

2 Contract Costs:

Item No.	Item of Work	A Quantity		B Unit Price		C Total Amount	D Ineligible Amount
			x		=	$ -	-
			x		=	$ -	-
			x		=	$ -	-
			x		=	$ -	-
			x		=	$ -	-
			x		=	$ -	-
			x		=	$ -	-
			x		=	$ -	-
			x		=	$ -	-
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			x		=	$ -	-
			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		=	$ -	-	
			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	+	=	$	-	-	
		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.*

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.

Form 10-17

Comprehensive Transportation Funding Program **Form 10-17**

Environmental Cleanup Program (Tier 1 only) 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 actual costs, maximum of 30% of hourly rate.

Form 10-17 - Revised 2/06/13

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Independent Audit Process Overview

Independent audits of CTFP projects may be initiated by OCTA's Internal Audit Department (or agent thereof). The project information on file at OCTA will serve as the primary source of information for each audit. However, additional information may be requested of local jurisdictions.

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 final payment.

NO CHANGE TO THIS CHAPTER

Record Requirements to Demonstrate Compliance

A description of the required records is given below.

Contracts

For all contract expenses the following records must be maintained:

1. The original executed contract
2. Evidence the procurement of contracted public works and architectural and engineering services followed applicable state laws and local agency procurement requirements
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

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-generated pollution. Specifically, the Orange County Local Transportation Authority's Ordinance No. 3 (M2 Ordinance) dated July 24, 2006; provides 2 percent of gross M2 revenue dedicated to protecting Orange County beaches and waterways from the conveyance of urban runoff associated with transportation generated pollution. The M2 Environmental Cleanup Program (ECP) ensures that funds will be used on a countywide, competitive basis to meet federal Clean Water Act standards for controlling transportation-generated pollution by funding nationally recognized Best Management Practices (BMPs).

As required by the M2 Ordinance, an Environmental Cleanup Allocation Committee (ECAC), representing a broad cross-section of the water quality community, was formed in October 2007 to provide guidance on program design and funding. The goal of the ECP is to fund projects on a countywide, competitive basis. This will assist the County of Orange and Orange County cities in reducing transportation-related water quality pollution by meeting Clean Water Act standards for local waterways and beaches.

NO CHANGE TO THIS CHAPTER

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.*