



COMMITTEE TRANSMITTAL

August 10, 2015

To: Members of the Board of Directors

From: Laurena Weinert, Clerk of the Board

Subject: Measure M2 Comprehensive Transportation Funding Programs
- 2016 Annual Calls for Projects

Regional Planning and Highways Committee Meeting of August 3, 2015

Present: Directors Donchak, Lalloway, Miller, Nelson, Spitzer, and Ury
Absent: Director Bartlett

Committee Vote

This item was passed by the Members present.

Committee Recommendations

- A. Approve the proposed revisions to the Comprehensive Transportation Funding Programs guidelines.
- B. Authorize staff to issue the 2016 annual call for projects for the Regional Capacity Program for approximately \$38 million.
- C. Authorize staff to issue the 2016 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 - 2016 Annual Calls for Projects**

Staff Report



August 3, 2015

To: Regional Planning and Highways Committee

From: Darrell Johnson, Chief Executive Officer 

Subject: Measure M2 Comprehensive Transportation Funding Programs -
2016 Annual Calls for Projects

Overview

The Comprehensive Transportation Funding Programs Guidelines provide the mechanism for the administration of the annual competitive calls for projects for the countywide Regional Capacity Program (Project O) and the Regional Traffic Signal Synchronization Program (Project P). Funding estimates, and the schedule for the 2016 Regional Capacity Program and Regional Traffic Signal Synchronization Program call for projects are presented for review and approval.

Recommendations

- A. Approve the proposed revisions to the Comprehensive Transportation Funding Programs guidelines.
- B. Authorize staff to issue the 2016 annual call for projects for the Regional Capacity Program for approximately \$38 million.
- C. Authorize staff to issue the 2016 annual call for projects for the Regional Traffic Signal Synchronization Program for approximately \$12 million.

Background

Measure M2 (M2) includes a number of competitive grant programs that provide funding for regional streets and roads projects. The Regional Capacity Program (RCP) provides funding for improvements to the Orange County Master Plan of Arterial Highways. The program provides for intersection improvements and other projects to help improve street operations and reduce congestion. The Regional Traffic Signal Synchronization Program (RTSSP) provides funding for multi-agency, corridor-based signal synchronization throughout Orange County.

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

On March 22, 2010, the Orange County Transportation Authority (OCTA) Board of Directors (Board) approved guidelines for the Comprehensive Transportation Funding Programs (CTFP), which serve as the mechanism for administration of the RCP and RTSSP. The CTFP Guidelines provide the procedures necessary for Orange County agencies to apply for funding and seek reimbursement for projects that have been allocated funds. Five annual calls for projects (call) have been issued to date for both the RCP and RTSSP and, collectively, OCTA has provided over \$246 million countywide for capacity and synchronization improvement projects. In preparation for the 2016 annual call, updates to the guidelines have been prepared.

Discussion

The call schedule and funding amounts are updated to reflect the amounts available for programming (\$38 million for the RCP, \$12 million for the RTSSP).

In addition, staff has worked with the Technical Advisory Committee (TAC) to determine areas of the program guidelines that needed to be adjusted. An effort was made to review the guidelines entirely to ensure consistency throughout the document. Primarily, the adjustments are administrative in nature, including one policy change and point assignment changes in the scoring criteria.

A summary of the administrative adjustments is provided in Attachment A, and a copy of the CTFP Guidelines manual with the proposed revisions is included in Attachment B. Policy change and adjustments to the scoring criteria are discussed in detail below.

Policy Change

Under the current guidelines, right-of-way (ROW) costs and improvements outside of the roadway ROW are ineligible for participation in the RCP. Recently, local agencies in the coastal zone have expressed issues with the replacement of on-street parking as a condition of a coastal development permit. A precept (number 41) was developed in cooperation with the TAC to address this situation. Current guidelines require parking replacement to be identified in the environmental document as environmental mitigation to be eligible for M2 funds. The environmental mitigation costs are capped at a maximum of 25 percent of the total eligible costs of the project. The policy adjustment recommended by the TAC removes the 25 percent cap, specifically for ROW costs for replacement parking within the coastal development permit area.

Scoring Adjustments

As part of the proposed guidelines update, minor adjustments to both the RCP and RTSSP scoring criteria are being recommended.

For the RCP, the project readiness category has been increased from five points to ten points. This gives additional weight to projects that are shovel ready. Additionally, the “operational efficiencies” category has become “operational attributes (within the roadway)”. This category now includes components for safety, sustainability, and water conservation.

For the RTSSP, the project readiness category has also been adjusted and increased from five points to ten points. Projects that have completed preliminary engineering or are requesting funding to retime the existing synchronized corridors are given additional consideration. Additionally, the “transportation significance” category has been adjusted to include recognition of projects that serve to close the gap on a synchronization corridor, linking two synchronized sections.

In addition to the policy and scoring criteria changes, formatting and clerical adjustments have been made throughout the guidelines. The proposed modifications were approved by the TAC on June 24, 2015, with unanimous support.

Next Steps

Following Board approval on August 10, 2015, staff anticipates sending out letters notifying local agencies of the call. Project applications would be due to OCTA by October 23, 2015. Based on the selection criteria, projects will be prioritized for the TAC and Board consideration in the spring of 2016.

Awards would be effective with Board approval and become available starting on July 1, 2016. Some projects may be programmed in subsequent fiscal years (FY) (FY 2017-18 and FY 2018-19), based on schedules provided by local agencies.

Summary

M2 provides funds for intersection and arterial improvements (through Project O) and signal synchronization (through Project P) in an effort to enhance street operations and reduce congestion. The CTFP serves as the mechanism OCTA uses to administer the competitive RCP and RTSSP funds. Staff is seeking approval of proposed modifications to the guidelines and authorization to release the 2016 annual call.

Attachments

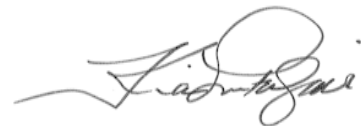
- A. Comprehensive Transportation Funding Programs – August 2015 Guidelines – Proposed Adjustment Summary
- B. Comprehensive Transportation Funding Programs – August 2015 Guidelines

Prepared by:



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

Approved by:



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



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Measure M2 Comprehensive Transportation Funding
Programs - 2016 Annual Calls for Projects**

Attachment A

Comprehensive Transportation Funding Programs August 2015 Guidelines – Proposed Adjustment Summary

Administrative Adjustments

- Ensured consistent use of terms and phraseology throughout.
- Additional definitions were added to ensure terms frequently used throughout the guidelines are clearly understood.
- Additional clarification on when the timely use of funds countdown begins for the right-of-way (ROW) phase.
- For all applications being submitted for ROW phase funding, a complete acquisition/disposal plan must be provided.
- Any requests for the modeling of proposed new facilities as part of the Regional Capacity Program (RCP) must be submitted no less than six weeks prior to the application submittal deadline.
- All applications for funding submitted under the RCP using escalated average daily trips (ADT) must include traffic/turning movement counts taken within the last 12 months. If a project application is not using an escalated ADT, traffic/turning movement counts taken within the previous 36 months are acceptable.
- For both the RCP and Regional Transportation Signal Synchronization Program (RTSSP) additional active transportation elements have been added as potentially eligible items.
- For the RTSSP additional clarification has been added to better define the deadline for the submittal of adopted resolutions of support for both the lead and partner agencies.
- For the RTSSP additional guidance has been provided on ways to avoid a timely use of funds extension request when issuing a combined contract for both the primary implementation and operations and maintenance phases.



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Measure M2 Comprehensive Transportation Funding
Programs - 2016 Annual Calls for Projects**

Attachment B



A HALF-CENT GOES A LONG WAY

COMPREHENSIVE TRANSPORTATION FUNDING PROGRAMS AUGUST 2015 GUIDELINES

ORANGE COUNTY TRANSPORTATION AUTHORITY

TABLE OF CONTENTS

I.	OVERVIEW	i
II.	FUNDING SOURCES	iii
III.	DEFINITIONS.....	v
IV.	PRECEPTS	viii
V.	2014 CALL FOR PROJECTS – REGIONAL CAPACITY PROGRAM	xiii
	APPLICATIONS.....	xiii
	APPLICATION REVIEW PROCESS	xiv
	M2 PROJECT O FUNDING.....	xiv
	STATE-LOCAL PARTNERSHIP PROGRAM REQUIREMENTS (PRIOR CALLS)	xiv
	STATE-LOCAL PARTNERSHIP PROGRAM REPORTING ASSISTANCE.....	xvii
	CHAPTER 1 - ELIGIBILITY PROCESS OVERVIEW	1-1
	OVERVIEW	1-1
	ADDITIONAL INFORMATION REGARDING MASTER PLAN OF ARTERIAL HIGHWAYS (MPAH)	1-1
	MPAH CONSISTENCY REVIEW AND AMENDMENT PROCESS.....	1-2
	CHAPTER 2 - PROJECT PROGRAMMING	2-1
	PROGRAM CONSOLIDATION	2-1
	SEQUENTIAL PROGRAMMING PROCESS	2-1
	FUNDING PROJECTIONS – CALL FOR PROJECTS.....	2-2
	PROJECT COST ESCALATION	2-2
	PROGRAMMING ADJUSTMENTS	2-3
	PROJECT READINESS	2-3
	PROGRAMMING POLICIES	2-4
	SCHEDULE CHANGE REQUESTS.....	2-4
	TIMELY USE OF FUNDS.....	2-5
	PROJECT ADVANCEMENTS	2-5
	SEMI-ANNUAL REVIEW	2-6
	ENVIRONMENTAL CLEANUP PROGRAM OPERATIONS AND MAINTENANCE REPORTING	2-7
	CHAPTER 3 – SAFE TRANSIT STOPS (PROJECT W)	3-1
	PURPOSE	3-1
	ELIGIBLE APPLICANTS	3-1
	APPLICATION	3-1
	EVALUATION CRITERIA.....	3-2
	AVAILABLE FUNDING.....	3-2
	ELIGIBLE COSTS	3-2
	CHAPTER 4 – TRANSIT EXTENSIONS TO METROLINK (PROJECT S)	4-1
	SECTION 4.1 – FIXED GUIDEWAYS	4-2
	SECTION 4.2 – BUS AND STATION VANS	4-8

TABLE OF CONTENTS (CONTINUED)

CHAPTER 5 – METROLINK GATEWAYS (PROJECT T)	5-1
CHAPTER 6 – COMMUNITY BASED TRANSIT/CIRCULATORS (PROJECT V)	6-1
CHAPTER 7 – REGIONAL CAPACITY PROGRAM (PROJECT O)	7-1
SECTION 7.1 – ARTERIAL CAPACITY ENHANCEMENTS (ACE)	7-4
SECTION 7.2 – INTERSECTION CAPACITY ENHANCEMENTS (ICE)	7-22
SECTION 7.3 – FREEWAY ARTERIAL/STREETS TRANSITIONS (FAST)	7-33
SECTION 7.4 – REGIONAL GRADE SEPARATION PROGRAM (RGSP)	7-46
CHAPTER 8 – REGIONAL TRAFFIC SYNCHRONIZATION PROGRAM (PROJECT P)	8-1
SECTION 8.1 – FUNDING GUIDELINES	8-2
SECTION 8.2 – 2013 CALL FOR PROJECTS	8-15
CHAPTER 9 – APPLICATION MATERIALS	9-1
PROJECT SUBMITTAL	9-1
APPLICATION REVIEW AND PROGRAM ADOPTION	9-1
PROJECT GUIDELINES	9-2
APPLICATION INSTRUCTIONS	9-3
CHECKLIST GUIDE	9-3
ATTACHMENTS	9-3
ADDITIONAL INFORMATION	9-5
CHAPTER 10 – REIMBURSEMENT PROCESS AND REPORTING REQUIREMENTS	10-1
PROCEDURES FOR RECEIVING FUNDS	10-1
AVAILABILITY OF FUNDS	10-2
CANCELLATION OF PROJECT	10-2
SECTION 10.1 – RCP INITIAL PAYMENT	10-4
SECTION 10.2 – RCP FINAL REPORT AND PAYMENT PROCESS	10-20
SECTION 10.3 – RTSSP REIMBURSEMENTS AND REPORTING REQUIREMENTS	10-39
SECTION 10.4 – ECP REIMBURSEMENTS AND REPORTING REQUIREMENTS	10-59
CHAPTER 11 – AUDITS	11-1
CHAPTER 12 – ENVIRONMENTAL CLEANUP PROGRAM	12-1
SECTION 12.1 – TIER 1 GRANT PROGRAM	12-4
SECTION 12.2 – TIER 2 GRANT PROGRAM	12-13
EXHIBITS	
EXHIBIT IV-1 COASTAL ZONE BOUNDARY	XV
EXHIBIT 7-1 STANDARD MPAH CROSS SECTIONS	7-7
EXHIBIT 8-1 RTSSP APPLICATION CHECKLIST	8-19
EXHIBIT 8-2 RTSSP SAMPLE RESOLUTION	8-20

TABLE OF CONTENTS (CONTINUED)

EXHIBITS *(CONTINUED)*

EXHIBIT 9-1 ARTERIAL CAPACITY ENHANCEMENT APPLICATION CHECKLIST GUIDE	9-7
EXHIBIT 9-2 INTERSECTION CAPACITY ENHANCEMENT APPLICATION CHECKLIST GUIDE	9-8
EXHIBIT 9-3 FREEWAY ARTERIAL/STREETS TRANSITION APPLICATION CHECKLIST GUIDE	9-9
EXHIBIT 9-4 SAMPLE RESOLUTION FOR CANDIDATE ORANGE COUNTY CTFP PROJECTS	9-11
EXHIBIT 12-1 ECP TIER 1 SCORING CRITERIA.....	12-11
EXHIBIT 12-2 ECP TIER 1 SAMPLE RESOLUTION	12-10
EXHIBIT 12-3 ECP TIER 2 GRANT APPLICATION FORM	12-21

TABLES

TABLE 4-1 POINT BREAKDOWN FOR PROJECT S (FIXED GUIDEWAY).....	4-15
TABLE 4-1 POINT BREAKDOWN FOR PROJECT S (BUS AND STATION VAN)	4-16
TABLE 5-1 POINT BREAKDOWN FOR PROJECT T	5-7
TABLE 6-1 POINT BREAKDOWN FOR PROJECT V	6-8
TABLE 7-1 STREET WIDENING SELECTION CRITERIA	7-18
TABLE 7-2 STREET WIDENING POINT BREAKDOWN	7-20
TABLE 7-3 INTERSECTION WIDENING SELECTION CRITERIA	7-29
TABLE 7-4 INTERSECTION WIDENING POINT BREAKDOWN	7-31
TABLE 7-5 INTERCHANGE IMPROVEMENT SELECTION CRITERIA	7-42
TABLE 7-6 INTERCHANGE IMPROVEMENT POINT BREAKDOWN	7-44
TABLE 8-1 RTSSP POINT BREAKDOWN	8-7



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I. Overview

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

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

Background

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

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

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

Guidelines Overview

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

Comprehensive Transportation Funding Programs



and set of selection criteria detailed in separate chapters contained within these guidelines.

Guidelines are updated on a periodic basis in coordination with local agencies working through the Technical Steering Committee (TSC) and Technical Advisory Committee (TAC). Modifications to the guidelines are discussed in details with the local agency representatives during the TSC and TAC meetings held to review and approve the updated guidelines.

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



II. Funding Sources

Renewed Measure M

M2 is a 30-year, 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 the Regional Capacity Program (Project O), the Regional Traffic Signal Synchronization (Project P), the various transit programs (Projects S, T, V and W), and the Environmental Cleanup Program (Project X). Each program has a specific focus and evaluation criteria as outlined in the guidelines.

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

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

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

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

Comprehensive Transportation Funding Programs



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 agencies through a competitive selection process.

Call for Projects

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



III. Definitions

1. The term “agency,” “agencies,” “local agency” or any form thereof shall be described in Precept 2.
2. “Competitive funds” refers to funding grants received through the Comprehensive Transportation Funding Programs (CTFP).
3. The term “complete project” is inclusive of acquiring environmental documents, preliminary engineering, right-of-way acquisition, construction, and construction engineering.
4. The term “cost overrun” in reference to projects awarded through the CTFP shall refer to any and all costs beyond the original estimate that are necessary to complete the approved project scope.
5. The term “encumbrance” or any variation thereof shall mean the execution of a contract or other action (e.g. city council award of a primary contract or issuance of a purchase order and notice to proceed) to be funded by Net Revenues.
6. The term “escalation” or “escalate” is the inflationary adjustment, as determined by the Engineering News Record (ENR) Construction Cost Index (CCI) 20-city average, added to the application funding request (current year basis) for right-of-way and construction phases (see Precept 13).
7. The term “environmental mitigation” is referred to as environmental clean-up/preservation measures made ~~as part of the roadway construction project that are required~~ as part of that projects environmental clearance.
8. The term “excess right-of-way” is right-of-way acquired for projects and deemed excess to the proposed transportation use. Excess right-of-way designation shall be acknowledged by applicant during the grant application process.
9. The term “Fast Track” shall refer to projects that apply for both planning and implementation phase funding in a single competitive application/call for projects.
10. The term “Fully Burdened Labor Rates” include WFLR plus overhead (see Chapter 10)

Comprehensive Transportation Funding Programs



11. The term “funding grant,” “grant,” “project funding,” “competitive funds,” “project programming” shall refer to the total amount of funds approved by the Board through the CTFP competitive process.
12. The term “Gap Closure” shall refer to the construction of a roadway to its full MPAH build-out for the purpose of connecting two existing ends of that roadway by filling in a missing segment or for completing the terminus of an MPAH roadway. This applies to increased roadway capacity only as it relates to vehicular traffic.
13. The term “implementing agency” is the agency responsible for managing the scope, cost and schedule of the proposed project as defined in the grant application.
14. The term “lead agency” shall refer to the agency responsible for the submission of the grant application.
15. The term “Master Funding Agreements” or any form thereof shall refer to cooperative funding agreements described in Precept 4.
16. The term “match rate”, “local match”, “local matching funds”, or any variation thereof, refers to the match funding that an agency is pledging through the competitive process and disposed of through procedures in Chapter 10.
17. A “micro-purchase” is any purchase that does not exceed \$2,500. For the purposes of proof of payment, only an invoice is required.
18. The term “obligate” or any variation thereof shall refer to the process of encumbering funds.
19. “OCFundtracker” refers to the online grant application and payment system used by OCTA to administer the competitive programs awarded through the CTFP. Refer to <https://ocfundtracker.octa.net/>
20. The term “project phase” or any form thereof shall refer to the three distinct project phases (Engineering, right-of-way, and construction) OCTA funds through the CTFP. Additionally, the “engineering phase” shall include the preparation of environmental documents, preliminary engineering, and right-of-way engineering. The “right-of-way phase” shall include right-of-way acquisition, and the “construction phase” shall include construction and construction engineering.
21. 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 M2 Ordinance, Attachment B, Section III.A.9.

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

23. The term “savings” or “project savings” in reference to projects awarded through the CTFP are any grant funds remaining on a particular project phase after all eligible items within the approved project scope have been reimbursed.

- 23.24. “Sustainability”, as it applies to capacity enhancing infrastructure projects, refers to project elements that support environmental benefits as recognized through the Envision Process (www.sustainableinfrastructure.org).

- 24.25. The term “Work Force Labor Rates (WFLR)” include direct salaries plus direct fringe benefits.



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IV. Precepts

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

Comprehensive Transportation Funding Programs



the local agencies involved with the project (e.g., Caltrans, County, state/federal resource agencies).

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

Comprehensive Transportation Funding Programs



17. A grant for a specific project shall be cancelled if the funds are not encumbered within the fiscal year the funds are programmed, unless a ~~time extension~~delay has been granted by the OCTA Board.
18. Implementing agencies may request a delay not exceeding a total of 24 months per project grant. Agencies shall justify this request, receive City Council/Board of Supervisor concurrence, and seek approval of OCTA staff the Technical Advisory Committee (TAC), and the Board as part of the semi-annual review process. Extension requests must be received no less than ninety days prior to the encumbrance deadline and are not permitted for projects that seek "fast track" grants.
19. An administrative time extension may be granted for expiring M2 funds for a project that is clearly engaged in the procurement process (advertised but not yet awarded).
20. Funds that have been encumbered shall be used in a timely fashion. For project phases, excluding right-of-way, funds will expire after 36 months from encumbrance. For the right-of-way phase, funds will expire after 36 months from the date of the first offer letter and/or, if contract services are required, 36 months from the contract NTP. Extensions up to 24 months may be granted through the SAR. Extension requests must be received no less than 90 days prior to the encumbrance deadline. Additional extensions may be considered on a case by case basis for the Regional Capacity Program and the Regional Traffic Signal Synchronization Program.
- 20-21. Preliminary Engineering allocations can be programmed in two different fiscal years depending on the project schedule and when certain engineering costs will need to incur during the project development and implementation phases. Local agencies can issue a separate NTP on a single contract to ensure compliance with the timely use of funds requirement. Local agencies may also issue separate contracts for the funds programmed in different fiscal years. Local agencies are required to obligate the funds within the same fiscal year of the programming or request a delay at least 90 days prior to the obligation deadline.
- 21-22. For all construction projects awarded CTFP funds in excess of \$500,000 and/or exceeding a 90 day construction period schedule, the local agency shall install and remove signage in accordance with OCTA specifications during the construction period. The implementing agency may request OCTA furnished signage or it may choose to provide agency furnished signage so long as said signage conforms to OCTA specifications as follows: Signage shall include an M2 logo that is a minimum of 12" tall, an OCTA logo that is a minimum of 3" tall (image files provided by OCTA



upon request), verbiage stating “Street Improvements Funded by Measure M” in Myriad Pro, bold condensed font at 256 pt. and “Your dollars at Work” in Myriad Pro, bold condensed font at 180 pt. Agencies will be required to certify that these signage requirements have been met as part of the initial payment process (see chapter 10).

~~22.23.~~ OCTA shall reprogram funds derived from savings or project cancellation based upon final project status. An implementing agency may request to transfer 100 percent of savings of M2 funds between the phases within a project with approval from the TAC and Board. Funds can only be transferred to a phase that has already been awarded competitive funds. Such requests must be made prior to the acceptance of a final report, and submitted as part of a semi-annual review. SLPP funds are not eligible for the transfer of savings. Agencies may only use savings as an aid for unanticipated cost overruns within the approved scope of work.

~~23. Where a project experiences savings, the local match percentage must be maintained.~~

24. Where the actual conditions of a roadway differs from the MPAH classification (e.g. number of through lanes), OCTA shall use the actual conditions for the purposes of competitive scoring. An agency may appeal to the TAC to request that the MPAH classification be adjusted/reconsidered.
25. 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.
26. 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.
27. An approved CTFP project may be determined ineligible for funding at any time if it is found that M2 funding has replaced all or a portion of funds or commitments that were to be provided by other sources such as: development conditions of approval, development deposits, fee programs, redevelopment programs or other dedicated local funding sources (i.e., assessment districts, community facilities districts, bonds, certificates of participation, etc.). Appeals may be made in accordance with Precept 39.



28. OCTA may fund environmental mitigation, up to 25 percent of the total eligible project cost by phase, as required for the proposed project ~~and as~~ contained in the environmental document. Participating environmental mitigation expenditures are eligible for funding under certain programs, but not all.
29. Construction Engineering, Construction Management and/or Project Management shall not exceed 15 percent of the total eligible project cost. The cap is applied to the sum of eligible expenses, contract change orders (within the scope of work), equipment and materials (e.g. eligible traffic signal equipment).
30. Contract change orders are only eligible for reimbursement of work due to unforeseen changed conditions within the original scope of work and not exceeding 10 percent contingency provided in the application cost estimate.
31. 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.
32. Projects that receive competitive CTFP funds shall not use other M2 competitive funds as a local match source. Lead agencies may request project consolidation. The TAC and Board must approve consolidation requests. OCTA shall use the average match rate of the consolidated project’s individual segments.
33. 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 the semi-annual review through OCFundtracker. OCTA shall: 1) verify project schedule, 2) confirm project’s continued viability, 3) discuss project changes to ensure successful and timely implementation, and 4) request sufficient information from agencies to administer the CTFP. 5) any potential issues with external fund sources committed as match against the competitive funds.
34. For any project experiencing cost increases exceeding 10 percent of the originally contracted amount, a revised cost estimate must be submitted to OCTA as part of the semi-annual review process. This is applicable even if the increase is within the overall grant amount.
35. Agencies shall submit payment requests to OCTA in a timely fashion. Agencies may request an initial payment for M2 (generally up to 75 percent of programmed amount or eligible expenditures, see Chapter 10) once the funds have been



encumbered. The final 25 percent of the available programmed balance will be released upon the submission of an approved final report.

36. The amount withheld pending the submittal of an approved final report shall be capped at \$500,000 per project phase, but shall in no case be less than 10 percent of the grant or the contract amount, whichever is less. Should the 75 percent/25 percent payment distribution ratio result in a final payment retention that exceeds \$500,000, the payment percentages will be adjusted to meet the \$500,000 cap until the 10 percent threshold is reached. At no time will the final payment retention be less than 10 percent.
37. 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 M2 Ordinance, Attachment B, Section III.A.9.
38. An agency shall provide final accounting in an approved final report format (see Chapter 10) within 180 days of project phase completion. The process for untimely final reports is described in Chapter 10. Failure to provide a final accounting shall result in repayment of applicable M2 funds received for the project phase in a manner consistent with the Master Funding Agreement. Projects funded with M2 funding require a project final report within 180 days of project phase completion as part of eligibility compliance. Failure to meet eligibility requirements, including submittal of final reports within 180 days of project phase completion may result in suspension of all net revenues including fair share funds.
39. The payment distribution ratio referenced in Precept 35 may be modified to a reimbursement process, at the discretion of the Board, in the event that financing or bonding is required to meet OCTA's cash flow needs.
40. Agencies may appeal to the TAC on issues that the agency and OCTA staff cannot resolve. An agency may file an appeal by submitting a brief written statement of the facts and circumstances to OCTA staff. The appellant local agency must submit a written statement which proposes an action for TAC consideration. The TSC shall recommend specific action for an appeal to the TAC. The Board shall have final approval on appeals.

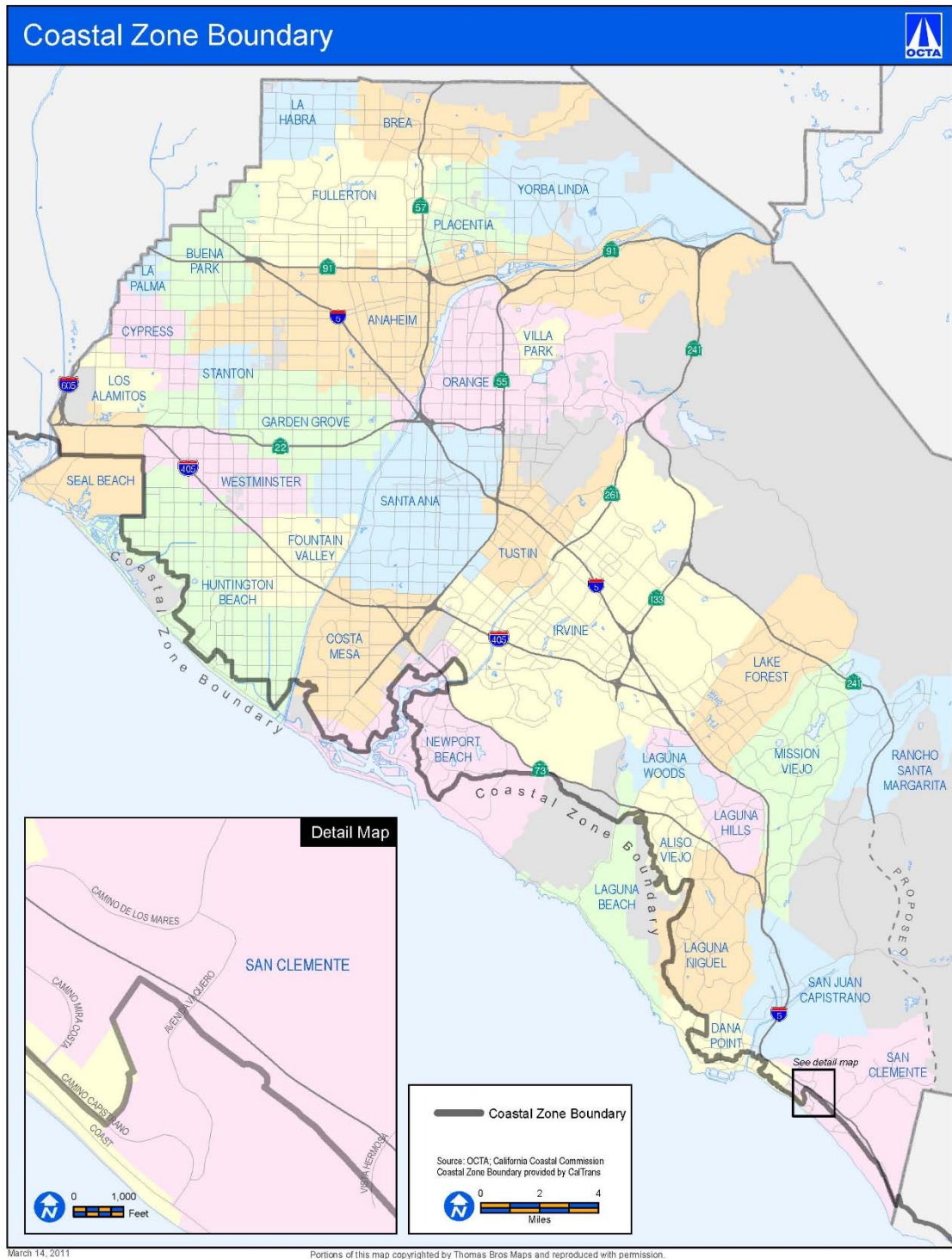
~~40-41.~~ Projects within the Coastal Zone Boundary, as a requirement of a Coast Development Permit, may be required to replace existing on-street parking removed as a result of a roadway widening project. Right-of-way costs to replace the existing on-street parking can be considered an eligible expense for coastal zone cities only

Comprehensive Transportation Funding Programs



(see exhibit IV-1). OCTA staff will work with the local agency staff during the project application process to determine eligibility of these costs and to identify any excess right-of-way that will require a disposal plan. OCTA and the local agency will also establish any savings that will revert back to the Measure M Program after project completion. The cost of right-of-way required to replace parking should be fair and reasonable in comparison to the total cost of the project.

Exhibit IV-1





V. 2016 Call for Projects – Regional Capacity Program

The ~~2015-2016~~ Call for Projects (call) for Project O – the Regional Capacity Program (RCP) – under M2 will provide approximately ~~\$35–38~~ **million** for streets and roads improvements across Orange County.

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

For this call, OCTA shall program projects for a three year period (FY ~~15/16–17/18~~ **16/17–18/19**), based upon the current estimate of available funds. For specifics on the funding policies that apply to this call, refer to the Program Precepts as found in Section IV of these guidelines.

Applications

In order for OCTA to consider a project for funding, applications will be prepared by the lead agency. OCTA shall require agencies to submit both online and hardcopy applications for the ~~2015-2016~~ call for projects by **5:00 p.m. on Friday, October ~~24~~23, ~~2014~~2015**. **Late submittals will not be accepted.**

The agency must submit the application and any supporting documentation via OCFundtracker (see Chapter 9). 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

Comprehensive Transportation Funding Programs



Application Review Process

Once applications are reviewed and ranked according to the 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 as to which projects have been funded and from what sources after the Board takes action. A tentative call schedule is detailed below:

Board authorization to issue call: August ~~2014~~2015

Applications ~~due to OCTA~~ submittal deadline: October ~~24, 2014~~23, 2015

TSC/TAC Review: February/March ~~2015~~2016

Committee/Board approval: May ~~2015~~2016

M2 Project O Funding

M2 Project O funding will be used for this call.

Chapter 1 – Eligibility



Overview

To apply for the CTFP, local agencies must fulfill an annual eligibility process. OCTA established this process to ensure that improvements are consistent with regional plans. 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 Pavement Management Plan
- 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 Guidelines outline the eligibility requirements in detail. OCTA updates the Eligibility Preparation Manual annually and encourages agencies to use it as a reference when preparing items to meet eligibility requirements (see <http://www.octa.net/pdf/m2Eligibility.pdf>). Agencies will submit a CIP through an electronic database application (see <http://websmartcip.octa.net/>). OCTA develops a manual and workshops to prepare local agency staff for the annual eligibility process.

MPAH Consistency Review and Amendment Process

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

Chapter 1 – Eligibility



consistency review and amendment process. Agencies can find contact information for OCTA staff assigned to MPAH administration in the manual.

Additional Information Regarding MPAH

The agency's General Plan Circulation Element must be consistent with the 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 Measure M2 Eligibility Guidelines.



Chapter 2 – Project Programming

Program Consolidation

The M2 RCP improvement categories (ACE, ICE, and FAST) will combine projects into one application review 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 (Projects S, T, V, W, and X) have similar eligibility requirements, but OCTA will evaluate and approve these projects through a separate process.

Sequential Programming Process – RCP

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

In response to concerns raised by the Board and the Taxpayers Oversight Committee responsible for M2 oversight, OCTA will use annual calls that serve a smaller programming window (3 years), as well as a 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 agency must demonstrate that the policy



Chapter 2 – Project Programming

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 grants (cancellations and savings), and a set aside for future funding cycles.

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

Funding Projections – Call for Projects

Revenue estimates for M2 are updated annually. Programming decisions are based upon conservative economic assumptions provided by Southern California academic institutions. In the future, OCTA will add project cancellations and realized savings from completed projects to anticipated revenues for redistribution in the first year of each funding cycle.

Project Cost Escalation

OCTA will escalate approved right-of-way and construction projects in years two and three. The ~~minimum-match rate~~ commitments-percentage identified by implementing agencies in the project grant application shall remain constant throughout the project. This includes projects where the programming has been escalated for future years. OCTA will base escalation rates for future years on Engineering News Record (ENR) Construction Cost Index 20 City Average (CCI) escalation rates.

Programming Adjustments

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

Projects programmed in Year Two or Year Three of each funding cycle include a CCI-based adjustment factor for the right-of-way and construction phases only. Lead agencies shall not receive grant increases. Cost overruns are the responsibility of local agencies and may count against agencies' match rate commitment for eligible activities. Local 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.



Chapter 2 – Project Programming

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 grant. For example, if an agency's cost estimate lists construction costs for a project and OCTA programs the project for year 3 of the funding cycle, then OCTA will escalate the costs by the CCI-based adjustment factor, compounded annually, beginning in year 1 of the funding cycle.

Project Readiness

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 grants for Step Two (right-of-way or construction phases), a project must either have:

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

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

Programming Policies

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

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

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

An agency's grant will be cancelled if the agency does not encumber the funds within the programmed fiscal year. An agency may request a delay in accordance with the time extension policy described in the precepts.



Chapter 2 – Project Programming

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

As stated above, an agency's grant is based on the project's cost as requested and programmed with established escalation rates. If project costs escalate beyond original estimates and the agency is unable to cover additional costs, a request to reduce the project scope or limits will be considered where feasible. All requests for changes in scope and limits must be submitted to OCTA in advance of the change. This request will be evaluated on a case-by-case basis and must be approved by the TAC and the Board prior to initiation of the change by the lead agency. The lead 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

Grants approved as part of the CTFP process are subject to timely delivery requirements. Implementation schedules are determined by the lead agency (applicant). Contract work must be awarded prior to the end of the programmed fiscal year to encumber the funds. If work cannot be initiated within this time frame, a request to defer funding may be submitted to OCTA for consideration. Project status is reviewed every six months during the semi-annual review process. Expired project funding is subject to withdrawal from project and reprogramming in a subsequent call for projects.

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

Timely use of funds

For project phases, excluding right-of-way, funds will expire after 36 months from encumbrance. For the right-of-way phase, funds will expire after 36 months from the date of the first offer letter. Extensions up to 24 months may be granted through the



Chapter 2 – Project Programming

SAR. Extension requests must be received no less than 90 days prior to the encumbrance deadline. Additional extensions may be considered on a case by case basis for the Regional Capacity Program and the Regional Traffic Signal Synchronization Program.

Project Advancements

Agencies wishing to advance a project by one fiscal year or more may request project advancement. Advancement requests will be considered only if program funds are available. The grant will be de-escalated according to the original escalation rate.

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

Should OCTA be unable to accommodate an advancement request due to cash flow constraints, the agency may still move forward with the project using local funding. (See Precept 6) The lead agency must have a fully executed letter agreement prior to beginning work. The lead agency may subsequently seek reimbursement of CTFP funds in the fiscal year in which funds are programmed. Reimbursement shall follow the standard CTFP process (see Chapter 10). Prior approval is not necessary if the project is being advanced through local funds.



Chapter 2 – Project Programming

Semi-Annual Review

OCTA staff will conduct a comprehensive review of CTFP projects on a semi-annual basis to determine the status of projects. 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 March and September of each year.

Projects are reviewed to:

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

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

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

- Require local agencies to submit status reports, project worksheets, and supporting documentation to OCTA for all project adjustments.
- Require local agencies to abide by **Time Extension Policy**:



Chapter 2 – Project Programming

- Agencies may request a delay of up to 24 months per grant. Local agencies will be required to justify this request and seek approval of OCTA staff, the TAC, and the Board as part of the semi-annual review process.
- Approved schedule changes will require an update of the local jurisdiction's seven-year CIP and the OCTA cooperative funding agreement.
- Evidence of Council approval (resolution, minute order, or notification) must be provided prior to 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 semi-annual review reporting process, OCTA will verify local agency operations and maintenance expenditures to ensure minimum match rate commitments are being met. Local agencies must complete Form 10-17 (available for download from OCFundtracker) for each ECP grant as part of their semi-annual review updates.



Chapter 7 – Regional Capacity Program (Project O)

Introduction

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

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

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

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

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

Also included under the RCP is the 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 MPAH network were identified by the CTC to receive TCIF. TCIF allocations required an additional local funding commitment. To meet this need, the Board approved the commitment of \$160 million in RCP funds to be allocated from M2. The RGSP captures these prior funding commitments. Future calls for projects for grade separations are not anticipated.



Chapter 7 – Regional Capacity Program (Project O)

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.



Chapter 7 – Regional Capacity Program (Project O)

Section 7.1 – Arterial Capacity Enhancements (ACE)

Overview

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

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

Objectives

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

Project Participation Categories

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

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

Eligible Activities

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



Chapter 7 – Regional Capacity Program (Project O)

Potentially Eligible Items

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs. Application review and approval does not guarantee the eligibility of all items.

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

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

Longitudinal storm drains are eligible for program participation when the storm drain is an incidental part (cost is less than 25 percent of the total eligible construction cost) of an



Chapter 7 – Regional Capacity Program (Project O)

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

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

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

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

Utility Relocations

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

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

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

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



Chapter 7 – Regional Capacity Program (Project O)

Adjustment of existing utilities to grade (e.g. water valves, manhole frames and covers), due to new roadway cross sections are generally eligible in the construction phase. New or relocated fire hydrants are ineligible.

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

Ineligible Expenditures

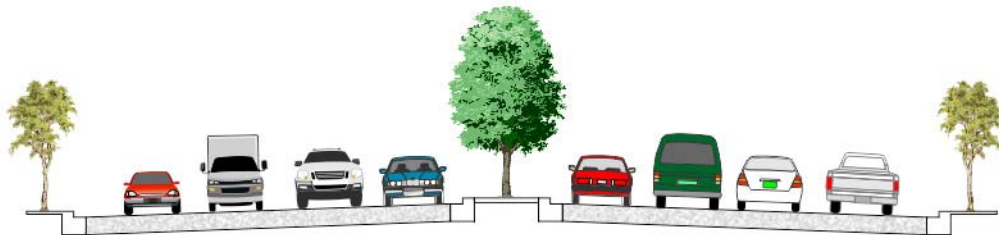
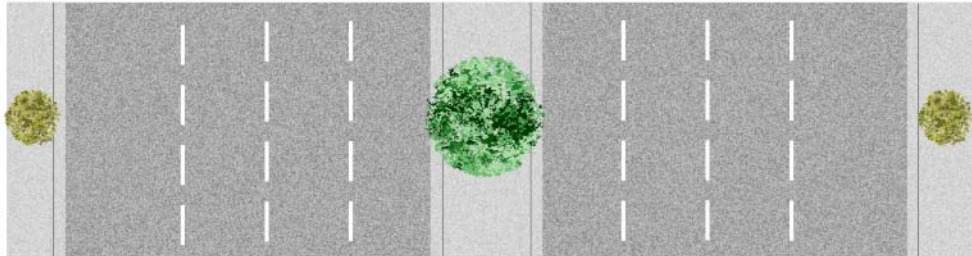
Items that are not eligible under the ACE Program are:

- Grading outside of the roadway right-of-way not related to a temporary construction easement or right-of-way agreement.
- Rehabilitation (unless performed as component of capacity enhancement project)
- Reconstruction (unless performed as component of capacity enhancement project)
- Grade Separation Projects
- Enhanced landscaping and aesthetics (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape)
- Right-of-way 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) 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, State statutes as outlined in Article XIX and the California State Controllers Guidelines Relating to Gas Tax Expenditures.
- Utility Betterments

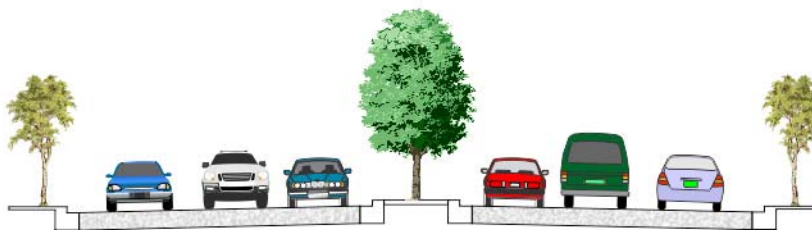
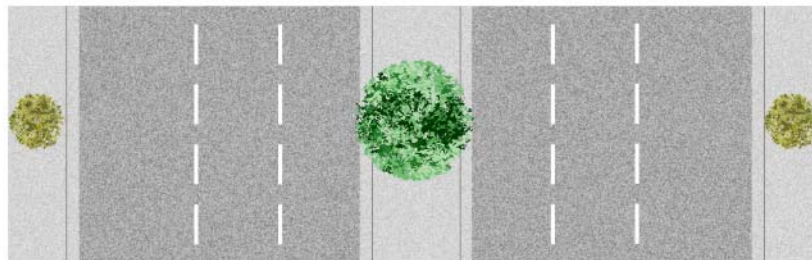
Chapter 7 – Regional Capacity Program (Project O)



Exhibit 7-1
Standard MPAH Cross Sections

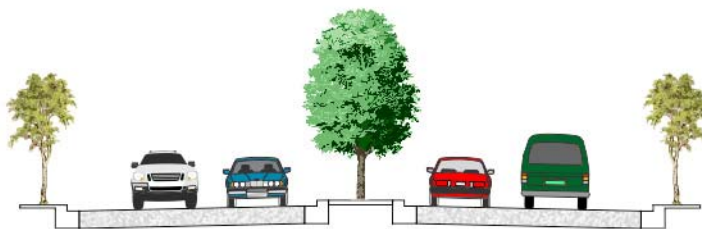
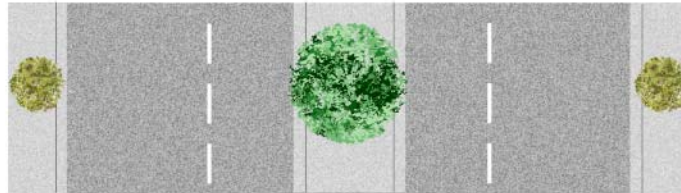


PRINCIPAL
144 FT
(8 LANES, DIVIDED)

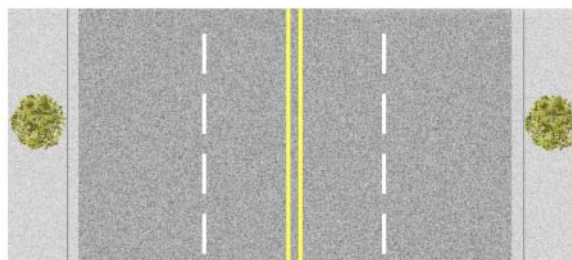


MAJOR
120FT
(6 LANES, DIVIDED)

Exhibit 7-1 *continued* Standard MPAH Cross Sections

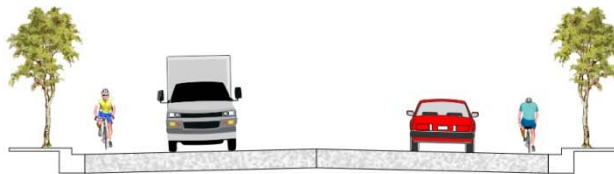
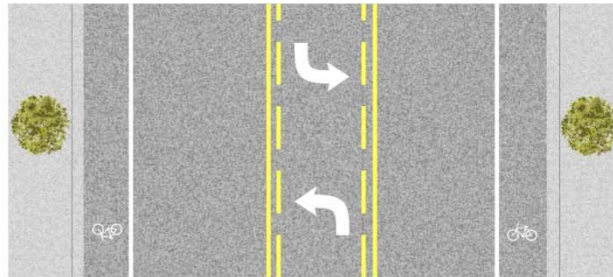


PRIMARY
100 FT
(4 LANES, DIVIDED)

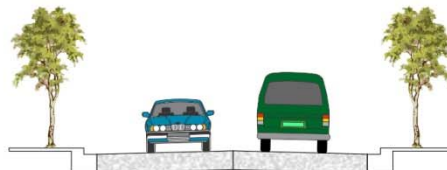
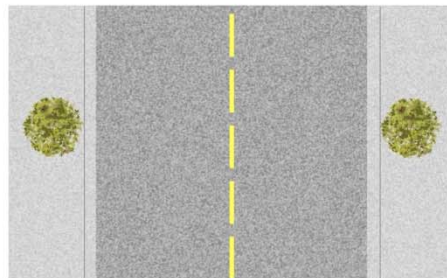


SECONDARY
80 FT
(4 LANES, UNDIVIDED)

Exhibit 7-1 *continued*
Standard MPAH Cross Sections



DIVIDED COLLECTOR
80 FT
(2 LANES, DIVIDED)



COLLECTOR
56 FT
(2 LANES, UNDIVIDED)



Chapter 7 – Regional Capacity Program (Project O)

Master Plan of Arterial Highway Capacities

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

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

Note: Values are maximum Average Daily Traffic

Selection Criteria

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

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts ~~or current OCTA Traffic Flow Map data~~ for the proposed segment for comparison purposes. The agency must submit the project projected ADT, current ADT, the delta, and justification of the increase. Regarding "current" counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. ~~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. Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the preceding



Chapter 7 – Regional Capacity Program (Project O)

36 months. ~~-Note:~~ New facilities ~~will~~must be modeled through OCTAM and requests should be submitted to OCTA ~~with sufficient time to generate reports~~ a minimum of six (6) weeks prior to ~~submittal of~~ application submittal deadline. If modeling requests are not submitted six (6) weeks prior to the application submittal deadline, the application will not be considered.

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

VMT: Centerline length of segment proposed for improvement multiplied by the existing ADT for the proposed segment length. Measurement must be taken proximate to capacity increase.

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

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

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

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

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



Chapter 7 – Regional Capacity Program (Project O)

MPAH Needs Assessment Category: Segment designation as shown in the RCP Needs Assessment study.

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

- Pedestrian Facilities: Placement of a new sidewalk where **none currently exists** along an entire segment of proposed project.
- Meets MPAH configuration: Improvement of roadway to full MPAH standard for the segment classification.
- Active Transit Route(s): Segments served by fixed route public transit service.
- Bus Turnouts: Construction of bus turnouts.
- Bike Lanes: Installation of new bike lanes (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.
- Sustainability Elements: Includes the use of recycled materials during the roadway construction process (recycled aggregate or rubberized asphalt) or the installation of solar lighting within the roadway cross section. Other elements of sustainability may be considered on a case by case basis.
- Water Conservation: Includes elements that reduce water consumption. Such as the replacement of existing landscaping with hardscape and/or "California Native" drought tolerant type landscaping; the replacement of existing sprinklers with drip irrigation systems; the installation of new "grey" or recycled water systems where such does not currently exist.
- Safety Improvements: Project features that increase the safety of pedestrians. These elements can include the new installation of: median barriers, curb extensions, residential traffic diverters, pedestrian crossing islands, pedestrian activated signals, crosswalk enhancements, safety signage, and the addition, modification, or improvement of existing pedestrian signals. Other elements of safety may be considered on a case by case basis.
- 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:



Chapter 7 – Regional Capacity Program (Project O)

- 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.

LOS Improvement: This category is a product of the existing or projected LOS based upon volume/capacity– or v/c -- and LOS improvement “with project”. **Projects must meet a minimum existing or projected LOS of “D” (.81 v/c) “without project” condition to qualify for priority consideration for funding.** Existing LOS is determined using current 24-hour traffic counts (averaging AM/PM peaks) for the proposed segment. However, for projects where traffic volumes follow unconventional patterns (e.g. unidirectional congestion, large disparity between AM and PM peaks, etc.) alternate methodologies for determining LOS can be proposed. These will be considered by the TAC and granted a technical variance on a case by case basis. 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 grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to evaluate the project proposal as outlined below. Detailed instructions and checklists are provided in Chapter 9.

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



Chapter 7 – Regional Capacity Program (Project O)

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

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

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

New facilities must be modeled through OCTAM. A local agency planning on submitting a request for funding for a new facility must submit a modeling request a minimum of six (6) weeks prior to the application submittal deadline. If modeling requests are not submitted six (6) weeks prior to the application submittal deadline, the application associated with the related project will not be considered.

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

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



Chapter 7 – Regional Capacity Program (Project O)

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

Matching Funds

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

Other Application Materials

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

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

Project Documentation: If proposed project has completed initial planning activities (such as Project Study Report (PSR) or equivalent, Environmental Impact Report (EIR), or design), evidence of approval should be included with the application. –Satisfactory evidence includes project approval signature page, engineer-stamped site plan, or other



Chapter 7 – Regional Capacity Program (Project O)

summary information to demonstrate completion or planning phases. An electronic copy of the PSR and/or environmental document must be supplied as applicable. The applicant will be asked for additional detailed information ~~only~~ if necessary to adequately evaluate the project application.

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

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

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

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

Cancelled projects will be eligible ~~for re-application~~to reapply upon resolution of issues that led to original project termination. Agencies can resubmit an application for funding

Chapter 7 – Regional Capacity Program (Project O)



consideration once either the cancellation of the existing funding grant has been approved by the OCTA Board or is in the process of approval through the semi-annual review. In the event the OCTA Board does not approve the cancellation, the lead agency will be required to withdraw the application.

Audits

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

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 the Master Funding Agreement.



TABLE 7-1

Regional Capacity Program Street Widening

	Category	Points Possible	Percentage	
Facility Usage				25% 30%
	Existing ADT	10	10%	
	Existing VMT	10	10%	
	Current Project Readiness	5 10	5% 10%	
Economic Effectiveness				20% 15%
	Cost Benefit	15 10	15% 10%	
	Funding Over-Match	5	5%	
Facility Importance				20%
	Transportation Significance	5	5%	
	MPAH Assessment Category	10 5	10% 5%	
	Operational Efficiency	5 10	5% 10%	
Benefit				35%
	Improvement Characteristics	10	10%	
	Level of Improvement and Service	25	25%	
TOTAL		100	100%	



Chapter 7 – Regional Capacity Program (Project O)

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

Facility Usage Points: 25 30			Facility Importance Points: 20		
Existing ADT			Transportation Significance		
Range		Points	Range		Points
45+	thousand	10	Principal or CMP Route		5
40-44	thousand	8	Major		4
35 - 39	thousand	6	Primary		3
30 - 34	thousand	5	Secondary		2
25 - 29	thousand	4	Collector		1
20 - 24	thousand	3			
15 - 19	thousand	2			
10-14	thousand	1			
<10	thousand	0			
VMT			MPAH Assessment Category		
Range		Points	Range		Points
31+	thousand	10	Category 1	10	5
26-30	thousand	8	Category 2	8	4
22-25	thousand	6	Category 3	6	3
18-21	thousand	5	Category 4	4	2
14-17	thousand	4	Category 5	2	1
11-13	thousand	3			
8-10	thousand	2			
4-7	thousand	1			
<4,000	thousand	0			
Current Project Readiness			Operational Attributes (w within the roadway)		
		Max Points: 5 10			Maximum 5 10 points
		Points			Points
Environmental Approvals		4 2	Pedestrian Facilities (New)		3
Preliminary Design (35%)		4 2	Meets MPAH Configs.		3
Right Of Way (All offers issued)		4 2	Bike Lanes (New)		3
Final Design (PS&E)		4 4	Active Transit Route(s)		2
Right Of Way (All easement and titles)		3 5	Bus Turnouts		2
			Median (Raised)		2
			Remove On-Street Parking		2
			Water Conservation Elements	-	2
			Safety Improvements	-	2
			Sustainability	-	2
Points are additive, Design and ROW limited to highest qualifying designation					
Economic Effectiveness Points: 20 15			Benefit: Points: 35		
Cost Benefit (Total \$/ADT)			Improvement Characteristics		
Range*		Points			Points
<25		15	Gap Closure		10
25-49		13	New Facility/Extension		8
50 - 99 <25 - 99		11 10	Bridge Crossing		8
100 - 149		9	Adds Capacity		6
150 - 199		7	Improves Traffic Flow		2
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			LOS Improvement		
Range*		Points			Max Points: 25
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			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

Note: recommended changes shown in bold/red.



Chapter 7 – Regional Capacity Program (Project O)

Section 7.2 – Intersection Capacity Enhancements (ICE)

Overview

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

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

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

Objectives

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

Project Participation Categories

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

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



Chapter 7 – Regional Capacity Program (Project O)

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

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs. Application review and approval does not guarantee the eligibility of all items.

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

Ineligible Items

- Grading outside of the roadway right-of-way not related to a temporary construction easement or right-of-way agreement.



Chapter 7 – Regional Capacity Program (Project O)

- 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 and the acquisition/disposal plan submitted in accordance with these guidelines.
- Enhanced landscaping and aesthetic improvements (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape).

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

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

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

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

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



Chapter 7 – Regional Capacity Program (Project O)

Utility Relocations

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

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

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

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

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

Selection Criteria

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

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



Chapter 7 – Regional Capacity Program (Project O)

“current” counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. ~~– Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the preceding 36 months. 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 where no right-of-way is needed for the project or where all right-of-way has been acquired/dedicated.
- Right-of-Way (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication have been received by the jurisdiction. Documentation of right-of-way possession will be required with application submittal.
- Final Design (PS&E) – applies where the jurisdiction’s City Engineer or other authorized person has approved the final design.
- Preliminary design (35 percent level) – will require certification from the City Engineer and is subject to verification.
- Environmental Approvals – applies where all environmental clearances have been obtained on the project.

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

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



Chapter 7 – Regional Capacity Program (Project O)

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

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

MPAH Needs Assessment Category: Segment designation as shown in the RCP Needs Assessment study.

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

- Bike Lanes: Extension of bike lanes (Class I or II) through intersection
- Bus Turnouts: Construction of a bus turnout as a new feature.
- Lowers density: Addition of through travel lanes.
- Channels traffic: Addition and/or extension of turn pockets (other than free right turn).
- Free right turn: installation of new free right or conversion of an existing right turn to free right
- 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.
- Sustainability Elements: Includes the use of recycled materials during the roadway construction process (recycled aggregate or rubberized asphalt) or the installation of solar lighting within the roadway cross section. Other elements of sustainability may be considered on a case by case basis.
- Water Conservation: Includes elements that reduce water consumption. Such as the replacement of existing landscaping with hardscape and/or "California Native" drought tolerant type landscaping; the replacement of existing sprinklers with drip irrigation systems; the installation of new "grey" or recycled water systems where such does not currently exist.
- Safety Improvements: Project features that increase the safety of pedestrians. These elements can include the new installation of: median barriers, curb extensions, residential traffic diverters, pedestrian crossing islands, pedestrian activated signals, crosswalk enhancements, safety signage, and the addition, modification, or improvement of existing pedestrian signals. Other elements of safety may be considered on a case by case basis.

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



Chapter 7 – Regional Capacity Program (Project O)

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.** -Existing LOS is determined using current 24-hour traffic counts/turning movements (averaging AM/PM peaks) for the proposed segment. However, for projects where traffic volumes follow unconventional patterns (e.g. unidirectional congestion, large disparity between AM and PM peaks, etc.) alternate methodologies for determining LOS can be proposed. These will be considered by the TAC and granted a technical variance on a case by case basis. 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 grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to evaluate the project proposal as outlined below. Detailed instructions and checklists are provided in Chapter 9.

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



Chapter 7 – Regional Capacity Program (Project O)

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

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

Minimum Eligibility Requirements

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

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

Matching Funds

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

Other Application Materials

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

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



Chapter 7 – Regional Capacity Program (Project O)

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

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

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

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

Project Cancellation

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

Chapter 7 – Regional Capacity Program (Project O)



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

Audits

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

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 the Master Funding Agreement.



TABLE 7-3

Regional Capacity Program Intersection Improvement

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



Chapter 7 – Regional Capacity Program (Project O)

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

Facility Usage		Points: 20 25
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: 5-10	
Range*	Points	
Environmental Approvals	4 2	
Preliminary Design (35%)	4 2	
Right Of Way (All offers issued)	4 2	
Final Design (PS&E)	4 4	
Right Of Way (All easement and titles)	3 5	
Points are additive, Design and ROW limited to highest qualifying designation		
Economic Effectiveness		Points: 25 20
Cost Benefit (Total \$/ADT)		
Range*	Points	
<40	45	
41- 20 <10 - 20	42 10	
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 with ACE project with similar implementation 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 5	
Category 2	8 4	
Category 3	6 3	
Category 4	4 2	
Category 5	2 1	
Operational Attributes (within the roadway)	Max Points: 15-20	
Grade separations	10	
Bus turnouts	4	
Bike lanes	4	
Ped. facilities (new)	4	
Free right	4	
Low ers density	3	
Channels traffic	3	
Protected/Permissive left turn	2	
Water Conservation Elements	- 2	
Safety Improvements	- 2	
Sustainability	- 2	
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	
.10 - .15	3	
.05 - .09	2	
.01 - .05	1	

Note: recommended changes shown in bold/red.

Chapter 7 – Regional Capacity Program (Project O)



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 the program)



Chapter 7 – Regional Capacity Program (Project O)

Potentially Eligible Items

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs. Application review and approval does not guarantee the eligibility of all items.

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

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

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



Chapter 7 – Regional Capacity Program (Project O)

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

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

Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any temporary construction easements). OCTA assumes rough roadway grading is complete prior to project start and is considered an ineligible item.

Utility Relocations

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

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

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

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

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



Ineligible Projects

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

Selection Criteria

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

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts and ramp volumes projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts ~~or current OCTA Traffic Flow Map data~~ for the proposed segment for comparison purposes. The agency must submit the project projected ADT, current ADT, the delta, and justification of the increase. Regarding “current” counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the preceding 36 months. ~~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 right-of-way is needed for the project or where all right-of-way has been acquired/dedicated).
- Right-of-Way (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication have been received by the jurisdiction.



Chapter 7 – Regional Capacity Program (Project O)

- Final Design (PS&E) – applies where the jurisdiction's City engineer or other authorized person has approved the final design.
- Preliminary design (35 percent level) – will require certification from the City engineer and is subject to verification.
- Project Approvals/Environmental Documentation (PA/ED) – applies where a Project Report-level analysis has been completed and environmental approvals have been attained.

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

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

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

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

MPAH Needs Assessment Category: Segment designation as shown in the RCP Needs Assessment study.

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

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



Chapter 7 – Regional Capacity Program (Project O)

- Sustainability Elements: Includes the use of recycled materials during the roadway construction process (recycled aggregate or rubberized asphalt) or the installation of solar lighting within the roadway cross section. Other elements of sustainability may be considered on a case by case basis.
- Water Conservation: Includes elements that reduce water consumption. This includes the replacement of existing landscaping with hardscape and/or "California Native" drought tolerant type landscaping; the replacement of existing sprinklers with drip irrigation systems; the installation of new "grey" or recycled water systems where such does not currently exist.
- Safety Improvements: Project features that increase the safety of pedestrians. These elements can include the new installation of: intersection median barriers, curb extensions, pedestrian crossing islands, crosswalk enhancements, safety signage, and the addition, modification, or improvement of existing pedestrian signals. Other elements of safety may be considered on a case by case basis.

LOS Improvement: This category is a product of the existing or projected LOS based upon volume/capacity– or v/c -- and LOS improvement "with project". **Projects must meet a minimum existing or projected LOS of "D" (.81 v/c) to qualify for priority consideration for funding.** Existing LOS is determined using current 24-hour traffic counts/turning movements (averaging AM/PM peaks) for the proposed segment. However, for projects where traffic volumes follow unconventional patterns (e.g. unidirectional congestion, large disparity between AM and PM peaks, etc.) alternate methodologies for determining LOS can be proposed. These will be considered by the TAC and granted a technical variance on a case by case basis. 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.



Chapter 7 – Regional Capacity Program (Project O)

Application Process

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

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

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

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 TAC and Board 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.

Matching Funds

Local agencies are required to provide local match funding for each phase of the project. As prescribed by the M2 Ordinance, a 50 percent minimum local match is required. A lower local match may be permitted if certain eligibility criteria are met. The amount pledged during the application process is considered the committed match rate and will



Chapter 7 – Regional Capacity Program (Project O)

be required, at a minimum, from the local agency throughout the life of the project. Actual project contributions by the local agency are dependent on final project costs and may not be equal to the committed match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures do not contribute to the local match rate.

Reimbursements

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

Caltrans Coordination

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

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

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

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



Chapter 7 – Regional Capacity Program (Project O)

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

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

Audits

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

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 Master Funding Agreement.

Other Application Materials

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

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

Project Documentation: If proposed project has completed initial planning activities (such as PSR or equivalent, EIR, or design), evidence of approval should be included with the application. Satisfactory evidence includes project approval signature page, engineer-



Chapter 7 – Regional Capacity Program (Project O)

stamped site plan, or other summary information to demonstrate completion of planning phases. An electronic copy of the PSR and/or environmental document must be supplied as applicable. The applicant will be asked for additional detailed information only if necessary to adequately evaluate the project application.

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

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



TABLE 7-5

Freeway/Arterial Street Transitions Interchange Improvements

	Category	Points Possible	Percentage
<i>Facility Usage</i>			
	Existing ADT	10	10%
	Current Project Readiness	10	10%
<i>Economic Effectiveness</i>			
	Cost Benefit	10	10%
	Matching Funds	10	10%
	Coordination with Freeway Project	5	5%
<i>Facility Importance</i>			
	Transportation Significance	5	5%
	MPAH Assessment Category	40 5	40% 5%
	Operational Efficiencies	40 15	40% 15%
<i>Benefit</i>			
	Existing LOS	10	10%
	LOS Reduction W/Project	10	10%
	Improvement Characteristics	10	10%
TOTAL		100	100%



Chapter 7 – Regional Capacity Program (Project O)

Table 7-4

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

Facility Usage		Points: 20	
ADT (Arterial plus daily exist volume)		Points	
range			
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	
<10 - 19 thousand		0	
Current Project Readiness		Max. 10	
range		Points	
Right Of Way (All easement and titles)		6	
Right Of Way (All offers issued)		4	
Final Design (PS&E)		3	4
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)		Points	
range			
<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		Points	
range			
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		Points	
Range			
yes		5	
no		0	
Note: recommended changes shown in bold/red.			
Facility Importance		Points: 25	
Transportation Significance		Points	
range			
Principal or CMP Route		5	
Major		4	
Primary		3	
Secondary		2	
Collector		1	
MPAH Assessment Category		Points	
range			
Category 1		40	5
Category 2		8	4
Category 3		6	3
Category 4		4	2
Category 5		2	1
Operational Attributes (within the roadway)		Max. 40	15
		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	
Water Conservation Elements		-	2
Safety Improvements		-	2
Sustainability		-	2
Benefit		Points: 30	
LOS Improvement		Max: 20	
Calculation: Ave LOS Imp + Ave LOS Starting Pt.			
LOS Reduction W/Project (exist. volume)		Points	
range			
.20+		10	
.16-.19		8	
.1-.15		6	
.05-.09		4	
<.05		2	
Existing LOS		Points	
range			
1.06+		10	
1.01 - 1.05		8	
.96 - 1.00		6	
.91 - .95		4	
.86-.90		2	
.81 - .85		1	
Improvement Characteristics		Points	
New facility (full interchange)		10	
New facility (partial interchange)		8	
Interchange reconstruction		6	
Ramp reconfiguration		4	
Ramp metering		2	



Chapter 7 – Regional Capacity Program

Section 7.4 – Regional Grade Separation Program (RGSP)

Background

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

Future calls for projects for grade separations are not anticipated.



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Chapter 8 – Regional Traffic Signal Synchronization Program



Overview

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

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

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

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 agencies are required to adopt and maintain a Local Traffic Signal Synchronization Plan (Local Plan) that is consistent with the Master Plan and shall issue a report on the status and performance of its traffic signal synchronization activities. Details on both the Master Plan and requirements for Local Plan development are available in the "Guidelines for the Preparation of Local Signal Synchronization Plans" dated April 2014. A hard copy of these guidelines can be requested from OCTA.

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

- Funding guidelines for the competitive call for projects
- ~~2015-2016~~ Call for Projects

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

Chapter 8 – Regional Traffic Signal Synchronization 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). Projects previously awarded RTSSP funding must be complete with a final report submitted and approved by OCTA. Projects can be the full length of the corridor or a segment that complies with the project requirements identified later in the chapter. 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.

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

Eligible Activities

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

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

Chapter 8 – Regional Traffic Signal Synchronization Program



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

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

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

Chapter 8 – Regional Traffic Signal Synchronization Program



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

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

Chapter 8 – Regional Traffic Signal Synchronization Program



- Battery backup systems for TMC
- Right-of-way

Funding Estimates

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

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

Selection Criteria

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

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

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

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

Cost Benefit: Total project cost divided by Existing VMT . (maximum: ~~15~~10 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)

Chapter 8 – Regional Traffic Signal Synchronization Program



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 serving as a signal corridor "gap closure" or MPAH as part of the project. (maximum: 10 points)

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

Current Project Readiness: Points are earned based on the start date current status of the project development. (maximum: 5-10 points)

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

Chapter 8 – Regional Traffic Signal Synchronization Program



Table 8-1
Point Breakdown for Regional Traffic Signal Synchronization Projects
Maximum Points = 100

Vehicle Miles Travelled (VMT) Points: 20 <table> <tr> <th>VMT Range</th><th>Points</th></tr> <tr> <td>250+ thousand</td><td>20</td></tr> <tr> <td>200 - 249 thousand</td><td>15</td></tr> <tr> <td>150 - 199 thousand</td><td>10</td></tr> <tr> <td>100 - 149 thousand</td><td>6</td></tr> <tr> <td>50 - 99 thousand</td><td>3</td></tr> <tr> <td>0 - 49 thousand</td><td>1</td></tr> </table> <p>Calculation: ADT x segment length (Applies only to coordinated segments of project)</p>	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	Project Scale Points: 10 <table> <tr> <th>Number of Signals Coordinated by Project Range</th><th>Points</th></tr> <tr> <td>50+</td><td>5</td></tr> <tr> <td>40 - 49</td><td>4</td></tr> <tr> <td>30 - 39</td><td>3</td></tr> <tr> <td>20 - 29</td><td>2</td></tr> <tr> <td>10 - 19</td><td>1</td></tr> <tr> <td>< 10</td><td>0</td></tr> </table> <p>AND</p> <table> <tr> <th>Percent of Corridor Signals Being Retimed Range</th><th>Points</th></tr> <tr> <td>90% or above</td><td>5</td></tr> <tr> <td>80 - 89%</td><td>4</td></tr> <tr> <td>70 - 79%</td><td>3</td></tr> <tr> <td>60 - 69%</td><td>2</td></tr> <tr> <td>50 - 59%</td><td>1</td></tr> <tr> <td>< 50%</td><td>0</td></tr> </table> <p>Calculation: Number of signals in project divided by total signals in full corridor length</p>	Number of Signals Coordinated by Project Range	Points	50+	5	40 - 49	4	30 - 39	3	20 - 29	2	10 - 19	1	< 10	0	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		
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None	0																																												

Note: recommended changes shown in bold/red.

Chapter 8 – Regional Traffic Signal Synchronization Program



Application Process

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

- Funding needs by phase and fiscal year
- Percent match rate including funds type, source, and description (minimum 20 percent)
- Lead agency Option 1 (default – local agency) or Option 2 (OCTA)
- Lead and supporting agencies names
- Supporting technical information
- Project development and implementation schedule
- Environmental clearances and other permits
- Any additional information deemed relevant by the applicant
- Complete photographic field review (including cabinet interiors and communication facilities) for all projects that either exceed one million dollars in capital improvements or request OCTA serve as lead agency regardless of capital improvement budget.

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

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

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.

Chapter 8 – Regional Traffic Signal Synchronization Program



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:

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

Minimum Eligibility Requirements

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

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

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

or

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

or

Chapter 8 – Regional Traffic Signal Synchronization Program



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

or

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

Matching Funds

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

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

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

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

Chapter 8 – Regional Traffic Signal Synchronization Program



Real-time traffic actuated operations and demonstration projects	Cash match
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* Project match beyond 20 percent is limited to cash match only.

** In-kind services are subject to audit.

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

- Staffing commitment
 - Staff 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 led require a 20 percent cash match for Primary Implementation activities with a nominal in-kind allowance for local agency oversight. Operations and Maintenance activities will be permitted in-kind match only for local agency oversight functions. Contract activities will require cash match.

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

Other Application Materials

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

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

Participating Agencies: All participating agencies must be identified and adopted City Council resolutions or Minute Order actions authorizing the participating agency's support

Chapter 8 – Regional Traffic Signal Synchronization Program



of the project under the lead agency must be included. **If a draft copy of these resolutions of support are provided, the local agency must also provide the date the resolution will be finalized by the participating agency's governing body.** A final copy of the City Council approved resolution must be provided at least four (4) weeks **PRIOR** to the consideration of programming recommendations by OCTA's Board of Directors.

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

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

OCTA Lead: OCTA may, at the request of the involved local agencies, act as the lead agency for RTSSP projects. If the involved local agencies would like OCTA to implement a project on the signal synchronization network, the local agency shall work cooperatively with OCTA to develop the scope of work and cost elements of the project. The lead local agency shall contact OCTA with a written request by September 11, 2015. Projects nominated for OCTA lead must be discussed at the Traffic Forum. **Applications must include a complete photographic field review (as outlined above) when submitted.** The

Chapter 8 – Regional Traffic Signal Synchronization Program



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 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 local match as identified in the project application (minimum 20 percent).

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

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

Chapter 8 – Regional Traffic Signal Synchronization Program



Ongoing Maintenance and Monitoring. In addition, each local agency traffic engineer or equivalent reviews consultant developed draft and final project report.

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

Project Cancellation

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

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

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

Project Extensions

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

Audits

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

Chapter 8 – Regional Traffic Signal Synchronization Program



conducted by OCTA Internal Audit Department or other authorized agent either through the normal annual process or on a schedule to be determined by the Board.

Data Compatibility

All count data 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. The data shall then 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 – ~~2015-2016~~ Call for Projects

The following information provides an overview of the ~~2015-2016~~ RTSSP Call for Projects.

1. For this RTSSP Call for Projects, projects totaling up to \$~~12~~ million in M2 funds will be available to local agencies.
2. Projects must result in new, optimized, and field-implemented coordination timing.
3. Project must be a single contiguous corridor. Multiple corridors, related systems of corridors, and corridors that form a “grid” must be submitted as separate corridor projects.
4. Projects selected will be programmed after July 1 of the programmed year (July 1 – June 30).

Chapter 8 – Regional Traffic Signal Synchronization Program



5. Project delays resulting in a time extension request will fall within the process outlined in the CTFP Guidelines.
6. Projects are funded for a grant period of three (3) years and are divided into two phases:
 - a. Primary Implementation – includes the required implementation of optimized signal timing as well as any signal improvements proposed as part of a project. As an exception to Precept 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 optimized signal timing is implemented and be required for the remainder of the project (typically 2 Years). A project final report is required at the conclusion of this phase.
7. Projects shall include a Before and After Study. This study shall collect morning and evening peak period using travel times, average speeds, green lights to red lights, stops per mile, and the derived corridor system performance index (CSPI) metric. This information shall be collected both before any signal timing changes 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 call cannot re-apply for 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 identifies the selection criteria for projects, eligible activities, minimum project requirements, data compatibility required as part of any funded project, and other key information.

Applications

Chapter 8 – Regional Traffic Signal Synchronization Program



In order for OCTA to consider a project for funding, applications will be prepared by the local agency responsible for the project application. OCTA shall require agencies to submit applications for the call for projects by **5:00 p.m. on Friday, October 23, 2015**. 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 (3) unbound printed copies** of each complete application shall also be mailed or delivered to:

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

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

Chapter 8 – Regional Traffic Signal Synchronization Program



Checklist Guide

The "Project P Regional Traffic Signal Synchronization Program Application Checklist" has been provided for the RTSSP (Exhibit 8-1). The checklist identifies the basic documentation required for the program. In addition to items required at the time of project submittal, additional items that are not specified may be requested later. The checklist should be provided as a 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 agency's governing body. A sample resolution is included as Exhibit 8-2. The mechanism selected shall serve as a formal request for RTSSP funds and states that matching funds will be provided by the agency, if necessary. All project requests (i.e., multiple corridors proposed for RTSSP funds) must be included in this action.

Chapter 8 – Regional Traffic Signal Synchronization Program



Exhibit 8-1

Project P Regional Traffic Signal Synchronization Program Application Checklist

Project P Application Checklist	Included
RTSSP Online Application – submitted through OCFundTracker	
<ol style="list-style-type: none"> 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 <ol style="list-style-type: none"> 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 <p>The plans shall include details about both phases of the project: <u>Primary Implementation</u> and the <u>Ongoing Maintenance and Operation</u>. The plan should be organized using the following setup.</p> <p><u>Primary Implementation</u> shall include details about the following:</p> <ol style="list-style-type: none"> 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): <ol style="list-style-type: none"> 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 <p><u>Ongoing Maintenance and Operation</u> will begin after the <u>Primary Implementation</u> of the project is completed. It shall include details about the following:</p> <ol style="list-style-type: none"> 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	

Chapter 8 – Regional Traffic Signal Synchronization Program



EXHIBIT 8-2

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

NOW, THEREFORE, BE IT RESOLVED THAT:

The City Council of the City of _____ hereby requests the Orange County Transportation Authority allocate funds in the amounts specified in the City's application to said City from the 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):



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Project Submittal

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

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

Hardcopy applications can be hand delivered to:

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

Application Review and Program Adoption

1. OCTA staff will conduct a preliminary review of all applications for completeness and accuracy, request supplemental information (i.e., plans, aerial/strip maps, CEQA forms) for projects that appear to rank well during initial staff evaluations, and prepare a recommended program for the TSC. In addition, OCTA may hire a consultant(s) to verify information within individual applications such as, but not limited to, project scope, cost estimates, ADT and LOS. These applications will be selected through a random process.
2. The TSC will receive and evaluate the project applications and funding grants.
3. Based on recommendations from the TSC, a program will be presented to the TAC for review and endorsement.
4. Recommendations from the TAC will be presented to the Board, who will approve projects for funding under the CTFP.



Chapter 9 – Application Materials

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

Project Guidelines

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

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



Chapter 9 – Application Materials

Application Instructions

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

Checklist Guide

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

Attachments

OC Fundtracker Application

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

"Project Cost Estimate" Form

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



Chapter 9 – Application Materials

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

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

"Sample Resolution" Form

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

Pavement Management Supporting Documentation

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

Right-of-way Acquisition/Disposal Plan

For all projects requesting right-of-way phase funding, a detailed plan for acquisition/disposal of excess right-of-way, along with any reasonable labor costs expected, must be included. The right-of-way acquisition/disposal plan and labor cost estimate must be submitted using the "right-of-way acquisition/disposal plan" form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.



Chapter 9 – Application Materials

Project Summary Information

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

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.



Chapter 9 – Application Materials

- 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.



Chapter 9 – Application Materials

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

Planning – Environmental & Engineering

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

Right-of-Way

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

Construction

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

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

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



Chapter 9 – Application Materials

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

Planning – Environmental & Engineering

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

Right-of-Way

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

Construction

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

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

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



Chapter 9 – Application Materials

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

Planning – Environmental & Engineering

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

Right-of-Way

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

Construction

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

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

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



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

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

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

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

(b) WHEREAS, the City of _____ has been declared by the Orange County Transportation Authority to meet the eligibility requirements to receive M2 "Fair Share" funds; and

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

(d) WHEREAS, the City of _____ will provide a minimum in __% in matching funds for the _____ 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 M2 funds to supplant Developer Fees or other commitments; and

(g) WHEREAS, the City/County must include all projects funded by Net Revenues in the seven-year Capital Improvement Program as part of the Measure M2 Ordinance eligibility requirement.

(h) WHEREAS, the City/County authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the Orange County Transportation Authority Board of Directors.

NOW, THEREFORE, BE IT RESOLVED THAT:

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

ADOPTED BY THE CITY COUNCIL on _____, 20____.

SIGNED AND APPROVED on _____, 20____.

City Clerk

Mayor



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Chapter 10 – Reimbursements and Reporting

Procedures for Receiving Funds

An implementing agency must encumber funds OCTA awards to a project phase within the fiscal year the grant is programmed (July 1-June 30). Prior to the encumbrance of funds, an agency must have a fully executed letter agreement with OCTA. An agency encumbers funds by awarding a contract, completing the appraisal for one parcel of right-of-way, or by providing expense reports to prove an agency's workforce costs (provided that the agency intends to complete the phase with agency staff). OCTA shall consider the primary contract or the contract with the largest dollar amount, associated with the phase's tasks, when an agency uses a contract to show encumbrance of CTFP funds. Once an agency encumbers 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 provide up to 75 percent of the contract award or programmed amount, whichever is less. OCTA will disburse the final payment, 25 percent of eligible funds, after it approves the final report.

For situation where a grant exceeds \$2 million, the final report retention shall be capped at \$500,000 per project phase, but shall in no case be less than 10 percent of the grant for that phase. Should the 75/25 payment distribution ratio result in a final payment retention that exceeds \$500,000, the payment percentages will be adjusted to meet the \$500,000 cap until the 10 percent threshold is reached (See Precept 32).

Agencies shall submit payment requests to OCTA in a timely fashion. The M2 Ordinance requires the submittal of a final report within 180 days of the project phase completion date (See M2 Ordinance/definitions/Precept 33). Failure to submit a final report within the 180 day time frame will result in an agency being found ineligible to receive net revenues. Per the M2 Ordinance, no provision for extension is allowed. The project completion date refers to the date all final invoices have been paid and any pending litigation has been adjudicated for either the engineering phase or for the right-of-way phase, and all liens/claims have been settled for the construction phase.

OCTA will provide a separate CTFP payment supplement that includes sample forms and instructions for payment submittals and can be downloaded from the OCFundtracker website at https://ocfundtracker.octa.net/report_payment_excel.asp. Payment submittals are described in this chapter and must be submitted through OCTA's online database, OCFundtracker: <http://ocfundtracker.octa.net>. Detailed instructions for OCFundtracker are available online at the previously mentioned website. Staff is also

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



Chapter 10 – Reimbursements and Reporting

available to assist agencies with this process. Agencies must upload appropriate backup documentation to the database. OCTA may request hardcopy payment requests.

Availability of Funds

The funds granted by OCTA for each phase will be available on July 1, the first day of the fiscal year in which the funds are programmed.

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. Right-of-way funding received for property acquisition prior to cancellation shall be repaid upon cancellation, regardless of whether property has been purchased or not. Construction funding received prior to cancellation shall be repaid upon cancellation.

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



Chapter 10 – Reimbursements and Reporting

Section 10.1 – Regional Capacity Program Initial Payment

Payment Requests

An agency shall use the report and checklist provided in the CTFP Payment Supplement (see https://ocfundtracker.octa.net/report_payment_excel.asp) in order to determine the reporting and documentation requirements for initial payment requests. Payment requirements are located in the Guidelines. Staff may request additional documentation that is not listed on the checklist prior to approving the request.

The interactive electronic versions of all payment forms can be downloaded via OCFundtracker at <http://ocfundtracker.octa.net>.

OCTA usually releases funds through two payments. The initial payment will constitute 75 percent of the eligible contract award or allocation amount, whichever is less. In addition to the bid abstract, OCTA will require local agencies to submit appropriate backup documentation for all project phases to support the initial payment request. OCTA will release the final payment of remaining balance, usually the final 25 percent of CTFP grant funds, when the project is complete and OCTA accepts the final report. The balance is determined based on final costs for CTFP eligible program expenditures. Prior to submitting the report, review the program specific section in these guidelines that addresses the final report process.

OCTA will reimburse costs associated with the Measure M informational signs (fabrication, installation, and removal) and do not count against a project's grant. Measure M informational "Funded By" sign removal costs should be requested in the Final Report.

Prior to submitting an initial payment request, a local agency may request a meeting with OCTA staff to determine eligible/ineligible items prior to requesting reimbursement.

Below is additional information regarding the documentation requirements of payment requests:

1. Invoice – For initial payments, an agency shall invoice for 75 percent of the contract amount or programmed amount, whichever is less. For final payments, an agency shall invoice for the remaining balance of the contract amount or programmed amount, whichever is less. Final payment request invoices shall normally be approximately 25 percent of the eligible funds. Interest earned by an agency for initial payments received shall be applied to and deducted from the final payment balance amount. For situations where a grant exceeds \$2 million, the final report



Chapter 10 – Reimbursements and Reporting

retention shall be capped at \$500,000 per project phase, but shall in no case be less than 10 percent of the grant for that phase. Should the 75/25 payment distribution ratio result in a final payment retention that exceeds \$500,000, the payment percentages will be adjusted to meet the \$500,000 cap until the 10 percent threshold is reached (See Precept 32). -Agencies seeking initial payment for the planning, environmental and preliminary engineering work performed by local agency forces, must submit payroll records with the initial payment request. The payroll records should identify the project name, date of expenditures, amount, and employee position. OCTA staff can provide a sample of acceptable form of payroll report upon local agency request.

2. Project Certification Letter – The public works director, or appropriate equivalent, shall submit a certification letter, with applicable statements, using the Project Certification Form (see https://ocfundtracker.octa.net/report_payment_excel.asp). This will include the certification that the project being reimbursed has meet the signage requirements laid out in Precept 18.
3. Minutes – The agency shall submit a minute order, agency resolution, or other council/board action showing award of the contract and the contract amount. The city clerk, clerk of the board, or appropriate equivalent shall certify minutes. Agencies that use on-call consultants shall submit a purchase order that includes the scope of work for the contractor.
4. Revised Cost Estimate – The agency shall use the format provided in the Revised Costs Estimate form (see https://ocfundtracker.octa.net/report_payment_excel.asp).
5. Work Schedule – OCTA prefers a complete project schedule, but an agency may provide as little as the expected start and completion dates for preliminary engineering, final engineering, right-of-way, and construction phases.
6. Right-of-Way Documents – Each parcel shall include an appraiser's invoice, written offer letter, plat map, and legal description. Agencies attempting to acquire five or more parcels for a project shall include a parcel location map.
7. Plans, Specifications, & Estimate (PS&E) Certification – Agencies shall submit a PS&E certification using the PS&E Certification form (see https://ocfundtracker.octa.net/report_payment_excel.asp). 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.



Chapter 10 – Reimbursements and Reporting

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 project** phases, for any -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.

Reimbursement

OCTA shall not reimburse for a project prior to the beginning of the fiscal year of the grant. If an agency receives an advancement and begins work prior to the start of the fiscal year of the grant, the agency may request an initial payment against the grant. If an agency receives an advancement and completes a project prior to the start of the fiscal year of the grant, OCTA shall disburse the grant in a single payment. OCTA must accept the final report prior to issuing a payment.

Calculation of Payment

Once an agency encumbers Measure M funds, the agency may request a maximum of 75 percent of the contract award amount or programmed amount, whichever is less. For situations where a grant exceeds \$2 million, the final report retention shall be capped at \$500,000 per project phase, but shall in no case be less than 10 percent of the grant for that phase. Should the 75/25 payment distribution ratio result in a final payment retention that exceeds \$500,000, the payment percentages will be adjusted to meet the \$500,000 cap until the 10 percent threshold is reached (See Precept 32). Examples of calculating the initial funding request for a standard 75/25 payment are described below.



Chapter 10 – Reimbursements and Reporting

Example A - **Contract** is awarded for **less than** the estimated construction cost.

Given:

\$160,000 = CTFP Allocation ~~Construction contract award (CTFP share)~~
\$40,000 = City Share
\$200,000 = Total Contract Award for Project X

Calculations:

75% of ~~contract amount~~ CTFP allocation = $\$160,000 \times 0.75 = \underline{\$120,000}$.

Example B - **Contract** is awarded for **more than** the estimated construction cost.

Given:

\$200,000 = Total CTFP funds programmed for Project Y
\$280,000 = Construction contract award (CTFP share)

Calculations:

Construction costs = \$280,000
Since this amount exceeds \$200,000 programmed, the initial payment is limited to
75% of the programmed amount.
75% of contract amount = $\$200,000 \times 0.75 = \underline{\$150,000}$.



Chapter 10 – Reimbursements and Reporting

Section 10.2 – Regional Capacity Program Final Report and Payment Process

The remaining CTFP funds are reimbursed to the lead agency following completion of the final reporting process. This final payment is calculated by considering the grant amount, the minimum local match rate, how much has been previously reimbursed as part of the initial payment, and the total eligible costs that can be applied to the grant (see program specific eligibility sections). M2 funds are applied proportionally to all eligible project expenses. Prior to submitting the Final Report, review the following section which includes items important to the final reporting process. The CTFP Payment Supplement provides additional instructions and sample forms to complete payment requests. Payment requirements are located in this chapter.

Project Cost Changes

If the contract price is lower than the amount programmed and the agency requested additional items and/or change orders during construction/study, OCTA may approve the additional costs during the review of the final report. OCTA will review these reports to:

1. Determine that the agency submitted proper justification for the change order(s)
2. Determine if the items are eligible for reimbursement
3. Confirm that expenses are within the project's original scope of work
4. The lead agency should provide information supporting the need for the change orders in the final report. Changes in project limits for construction projects are not eligible for reimbursement.

Additional Documentation Requirements

The items listed below are to be submitted to complete the final reporting process. If the local jurisdiction has not submitted a final report for any previous phases of the project, the reporting requirements outlined in Section 10.1 must be followed, with exception to the initial report forms, in addition to the Final Report requirements listed below.

1. Final Report Form – The local agency shall prepare a final report form using the final report form (see https://ocfundtracker.octa.net/report_payment_excel.asp).



Chapter 10 – Reimbursements and Reporting

2. OCTA shall reimburse general lump sum pay items, appraisal cost, design, and construction engineering in the same ratio as the total right-of-way acquisition or construction costs.
3. Proof of Project Payment and Division of Costs –Documentation required as proof of payment includes approved contract invoices and may also include, but is not limited to, supportive material for agency work forces, equipment, and material. For the division of costs, original contract bid item lists can be supplied. If these are not available, the Proof of Project Payment and Division of Costs form can be used (see https://ocfundtracker.octa.net/report_payment_excel.asp). Supportive material shall equal the division of costs totals that are located in the final report form.
4. Summary of Right-of-Way Acquisition – Agencies shall submit a summary of right-of-way acquisition as described in the Summary of right-of-way acquisition form (see https://ocfundtracker.octa.net/report_payment_excel.asp).
5. Notice of Completion – An agency may submit a recorded Notice of Completion (NOC) or where a NOC is not typically used, the Notice of Completion form may be used to certify the phase completion date. (see https://ocfundtracker.octa.net/report_payment_excel.asp).
6. Before and After Project Photos – photographs showing the project before and after the improvements.

Electronic copies of all payment forms can be downloaded from OCFundtracker.

Timely Final Reports

OCTA will work with local agencies to ensure the timeliness of final reports by utilizing the following procedures:

1. Local agencies to notify OCTA of the project phase completion date within 30 days of completion.
2. Local agencies to file a final report within 180 days of project phase completion date.
3. OCTA to issue a notice to the public works directors or TAC representative(s) 90 days after the project completion date, as reported in OCFundtracker, to remind local agencies that the final report is due in 90 days. The reminder notice will



Chapter 10 – Reimbursements and Reporting

include an offer from OCTA for a consultant to assist in preparation of the final report. The agency shall reimburse OCTA for the consultant services if used.

4. OCTA to issue a final notice letter to the public works directors or TAC representative(s) with a copy to the agency's management and finance director if OCTA does not receive the final report within 120 days of the project completion date. The final notice letter will inform the local agencies that if OCTA does not receive a response to the final notice letter and the final report within 180 days, then the funds will be unencumbered and OCTA shall request that the agency return disbursed funds, plus interest.
5. OCTA to issue the final payment to local agencies within 60 days of receiving the complete final report and all supporting documentation.

Failure to Submit Final Report

Agencies who fail to submit a Final Report will be required to repay applicable M2 funds received for the project in a manner consistent with the Master Funding Agreement and/or 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 disposed of in accordance with the process established in Government Code, Article 8, Surplus Land, Section 54220-54232, et. Seq. and the right-of-way acquisition/disposal plan submitted as part of the application process, and to 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



Chapter 10 – Reimbursements and Reporting

OCTA shall consider excess right-of-way with a value of \$10,000.00 or less as an uneconomic remnant. OCTA shall determine if excess right-of-way is to be considered an uneconomic remnant.

The agency shall submit a fair market value appraisal report for the excess land of each parcel. Appraisers must conduct appraisals in accordance with the Uniform Standards of Professional Appraisal Practice (USPAP). If an agency suspects that the excess right-of-way has a value of \$10,000.00 or less, the agency may conduct a limited fair market value appraisal to confirm the value of the excess right-of-way. The agency shall submit the appraisals with the right-of-way final report.

OCTA shall retain from the final payment the value of excess right-of-way that is proportional to OCTA's percentage match rate to the project up to OCTA's match rate of right-of-way grant. However, if the local agency provided additional funds beyond what was original estimated, OCTA will be reimbursed based on its proportional share of the cost of right-of-way.

An agency may include incidental expenditures from the disposal of property in their final report for the right-of-way grant.

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 grant or construction grant until the agency and OCTA resolve questions regarding excess right-of-way.

Example:

OCTA's right-of-way grant:	\$500,000	
OCTA grant match rate		75%
Parcel Costs:		
Cost – Parcel 1:	\$300,000	
Cost – Parcel 2:	\$380,000	
Cost – Parcel 3:	\$120,000	
Cost – Parcel 4:	<u>\$100,000</u>	
Total right-of-way Costs:		\$900,000
Payment with no excess ROW:	\$500,000	
Excess right-of-way:		



Chapter 10 – Reimbursements and Reporting

Value of excess right-of-way for parcel 1:	\$200,000
Value of excess right-of-way for parcel 2:	\$105,000
Value of excess right-of-way for parcel 3:	\$ 0
Value of excess right-of-way for parcel 4:	<u>\$ 0</u>
Total Value of excess right-of-way:	\$305,000

OCTA contribution to right-of-way acquisition:

CTFP right-of-way contribution ÷ Agency total cost of right-of-way
 $\$500,000 \div \$900,000 = 56\%$

OCTA's shall reduce the final right-of-way payment by:

Parcel 1:	\$200,000 x 56% =	\$112,000
Parcel 2:	\$105,000 x 56% = +	<u>\$ 58,800</u>
Total:		\$170,800

Payment (incorporating excess right-of-way):	\$500,000
	<u>\$170,800</u>
	\$329,200

Agency Workforce and Equipment Rental

An agency must provide supporting documentation for work completed by agency staff. The agency shall multiply the fully burdened labor rate by the number of hours for each staff person assigned to the project. An agency may add actual overhead costs at an allowable rate up to 30 percent of payroll and fringe benefits. Where an agency due to size cannot calculate its specific overhead rate, an agency may refer to the Cost Accounting Policies and Procedures Manual (CAPP) of the California Uniform Public Construction Cost Accounting Commission, which allows for a fixed overhead rate billing dependent on city size. Where an agency has actual overhead costs that exceed 30 percent, these will be accepted when a fully audited cost allocation plan is provided and approved by the appropriate governmental entity listed in the CAPP or 2 Code of Federal Regulations Part 225.

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.



Chapter 10 – Reimbursements and Reporting

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. The implementing agency is expected to complete the entire scope of work as presented in the original application.

See Chapter 11 for independent audit requirements beyond the technical/field review.

Reporting of Local Fair Share

For the purposes of reporting non-project work (maintenance, repair, and other non-project related costs) funded by Measure M local fair share funds, the Measure M expenditure report cited M2 Ordinance, Section III(B)(8) shall satisfy reporting requirements. If local fair share funds are used for projects, the local agency shall also include a list of those funds and/or other Measure M funds in the Project Final Report cited in Section III(B)(9).



Chapter 10 – Reimbursements and Reporting

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)



Chapter 10 – Reimbursements and Reporting

- Communications and detection support (optional)
- Final report (required)

A lead agency must encumber funds OCTA allocates to a project within the fiscal year of the grant and after funding agreements with OCTA are executed. A lead agency encumbers funds by awarding a contract or providing expense reports to prove the lead or a participating agency's workforce costs, provided that the lead agency intends to complete the Primary Implementation with lead agency or participating agency staff. Once an agency encumbers Project P funds for Primary Implementation, it can begin the process for receiving payment of the funds. Note that only the lead agency will receive payment of funds from OCTA. Any funds that are due to other participating agencies are the responsibility of the lead agency and not OCTA.

The project lead agency must submit payment requests through OCTA's online database, OCFundtracker: <http://ocfundtracker.octa.net>. Additional details about the retention caps, timely payment requests, project closeout, and payment are available in Section 10.1 and 10.2 of the chapter.

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 provide up to 75 percent of funds for the Primary Implementation of the project. The following information specific to the Regional Traffic Signal Synchronization Project is provided regarding the documentation requirements for initial payment of Primary Implementation after an agency encumbers funds for the project.

The interactive electronic versions of all payment forms can be downloaded via OCFundtracker (see https://ocfundtracker.octa.net/report_payment_excel.asp).

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



Chapter 10 – Reimbursements and Reporting

Below is additional information updating Section 10.1 of this chapter regarding documentation requirements for RTSSP payment requests. The CTFP Payment Supplement provides instructions and sample forms for the items listed.

- Invoice - For initial payments, the lead agency shall invoice for 75 percent of the contract amount or programmed amount of the project's Primary Implementation, whichever is less. For final payments of the Primary Implementation, the lead agency shall invoice the remaining balance of the project's Primary Implementation phase contract amount or programmed amount, whichever is less
- Project Certification Letter
- Revised Cost Estimate
- Plans, Specifications, and Estimate (PS&E) Certification
- Certification of Phase
- Final Report Submission
- Division of Cost Schedule
- Work Schedule - OCTA requires a complete project schedule, including expected start and completion dates for tasks in the Primary Implementation and Ongoing Maintenance and Operation phases
- Right-of-Way Documents - No requirements as Right-of-Way is not a part of RTSSP

Detail on other aspects on Initial Payment Requests for Primary Implementation including project advancement and reimbursement is available in section 10.1 of this chapter.

Final Payment Requests for Primary Implementation

OCTA will release the remaining balance to the lead agency, approximately 25 percent of funds for the Primary Implementation, when the project's Primary Implementation phase is complete and OCTA receives the project Before and After Study. The balance is determined based on the final costs for the eligible RTSSP 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



Chapter 10 – Reimbursements and Reporting

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 RTSSP shall be included as a requirement at the end of the Primary Implementation phase and as part of the Final Report for reimbursement purposes.

Payment Requests for Ongoing Maintenance and Operations

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

Project Final Report

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



Chapter 10 – Reimbursements and Reporting

Example of Reimbursement

\$1,000,000 = Total RTSSP funds programmed for Example Street Signal Synchronization allocated in Fiscal Year 2011/2012. The grant period is for three years.

\$900,000 for Primary Implementation – This amount of the project award is subject to the 75 percent initial payment and 25 percent final payment split as defined in the CTFP Guidelines.

Initial Payment = $\$900,000 \times 0.75 = \$675,000$

Final Payment upon completion, submission, and acceptance by OCTA of project Before and After Study to OCTA

Approximate Final Payment = $\$900,000 \times 0.25 = \$225,000$

\$100,000 for Ongoing Maintenance and Operation – This amount of the project award will cover the remainder of the three year grant period after Primary Implementation is completed and will be paid upon proof of payment and receipt of invoice.



Chapter 10 – Reimbursements and Reporting

Section 10.4 – Environmental Cleanup Program Reimbursements and Reporting Requirements

Sections 10.1 and 10.2 of this chapter outline the process and requirements regarding reimbursements and reporting for the Regional Capacity Program. The CTFP Payment Supplement provides instructions and sample forms for ECP projects. The interactive electronic versions of all payment forms can be downloaded via OCFundtracker. These processes are applicable to the Tier 1 and Tier 2 Grant Programs with the following exceptions:

- For an initial payment, ECP Initial Report Form (see https://ocfundtracker.octa.net/report_payment_excel.asp) must be submitted.
- For a final payment, ECP Final Report Form (see https://ocfundtracker.octa.net/report_payment_excel.asp) must be submitted. Supporting documentation for O & M costs (if used as local match) and location maps must also be submitted.
- A final report must be filed within 180 days of the project phase completion with information as shown on the ECP Final Report Form (see https://ocfundtracker.octa.net/report_payment_excel.asp).
- Additionally, an exception to Precept 29: agencies may appeal to the ECAC and the OCTA Board on any issues that the agency and OCTA cannot resolve, as such are the approving bodies for this program.

For Tier 1 of the Environmental Cleanup Program, ongoing operations and maintenance of the project can be pledged as a local match. 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 the In-Kind O&M Report form (see https://ocfundtracker.octa.net/report_payment_excel.asp) for each ECP grant as part of their SAR updates.



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