



---

**BOARD AGENDA**

# REVISED

Orange County Transportation Authority Board Meeting  
Orange County Transportation Authority Headquarters  
Board Room - Conference Room 07-08  
550 South Main Street  
Orange, California  
**Monday, February 12, 2018 at 9:00 a.m.**

Any person with a disability who requires a modification or accommodation in order to participate in this meeting should contact the OCTA Clerk of the Board, telephone (714) 560-5676, no less than two (2) business days prior to this meeting to enable OCTA to make reasonable arrangements to assure accessibility to this meeting.

## **Agenda Descriptions**

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

## **Public Comments on Agenda Items**

Members of the public may address the Board of Directors regarding any item. Please complete a speaker's card and submit it to the Clerk of the Board or notify the Clerk of the Board the item number on which you wish to speak. Speakers will be recognized by the Chairman at the time the agenda item is to be considered. A speaker's comments shall be limited to three (3) minutes.

## **Public Availability of Agenda Materials**

All documents relative to the items referenced in this agenda are available for public inspection at [www.octa.net](http://www.octa.net) or through the Clerk of the Board's office at the OCTA Headquarters, 600 South Main Street, Orange, California.

## **Call to Order**

## **Invocation**

Director Do

## **Pledge of Allegiance**

Director R. Murphy



## **BOARD AGENDA**

---

### **Special Calendar**

#### **Orange County Transportation Authority Special Calendar Matters**

- 1. Presentation of Resolutions of Appreciation for Employees of the Year for 2017**

Present Orange County Transportation Authority Resolutions of Appreciation Nos. 2018-019, 2018-020, 2018-021 to Manuel Vargas, Coach Operator; Patrick Courchaine, Maintenance; and Lesley Hill, Administration, as Employees of the Year for 2017.

#### **Consent Calendar (Items 2 through 23)**

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

#### **Orange County Transportation Authority Consent Calendar Matters**

- 2. Approval of Minutes**

Approval of the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of January 22, 2018.

- 3. Investigation and Limited Scope Review of the Senior Mobility Program Operated by the Korean American Senior Association**  
Serena Ng/Janet Sutter

##### **Overview**

The Internal Audit Department has completed an investigation of a report received from Orange County Transportation Authority's Transit Division related to the Korean American Senior Association of Orange County's Senior Mobility Program. Specifically, the Transit Division raised concerns about compliance with program requirements for wheelchair accessibility and with the service plan. The Internal Audit Department confirmed that the Korean American Senior Association of Orange County had not made trips available to those requiring wheelchair accessibility and that some trips provided were not outlined in the current service plan agreement. The Internal Audit Department also identified unsupported costs charged to the program and non-compliance with the program's minimum age requirement.



---

**BOARD AGENDA****3. (Continued)****Recommendation**

Direct staff to implement recommendations to enhance oversight of the Senior Mobility Program operated by the Korean American Senior Association of Orange County and return to the Finance and Administration Committee with a status on compliance by June 1, 2018.

**4. Fiscal Year 2016-17 Auditor's Communication to Those Charged with Governance**

Janet Sutter

**Overview**

The Orange County Transportation Authority is required to obtain an independent auditor's opinion on its Comprehensive Annual Financial Report and various fund financial statements. Vavrinek, Trine, Day & Company, LLP, an independent accounting firm, conducted the annual audit of the Orange County Transportation Authority's financial statements for fiscal year 2016-17, and, as required by United States Generally Accepted Auditing Standards and Office of Management and Budget Circular A-133, has herewith issued its Auditor's Communication to Those Charged with Governance.

**Recommendation**

Receive and file as an information item.

**5. Fiscal Year 2016-17 Annual Financial and Agreed-Upon Procedures Reports**

Janet Sutter

**Overview**

The Orange County Transportation Authority is required to obtain an independent auditor's opinion on various financial statements. Vavrinek, Trine, Day & Company, LLP, an independent accounting firm, has completed its annual audits of the Orange County Transportation Authority and related entities for the fiscal year 2016-17. Additionally, reports have been issued on the results of agreed-upon procedures applied to determine compliance with certain state, federal, and local requirements. All reports are included herewith.



---

**BOARD AGENDA**

---

**5. (Continued)****Recommendations**

- A. Receive and file the fiscal year 2016-17 annual financial statement audits and agreed-upon procedures reports as information items.
- B. Direct staff to implement two auditor recommendations related to procurement and subrecipient monitoring.

**6. Fiscal Year 2016-17 Management Letter**

Janet Sutter

**Overview**

In connection with the annual audit of the Orange County Transportation Authority's financial statements for fiscal year 2016-17, Vavrinek, Trine, Day & Company, LLP, has issued a management letter with five recommendations for improvement to internal controls.

**Recommendations**

- A. Receive and file the Orange County Transportation Authority Management Letter June 30, 2017, as an information item.
- B. Direct staff to implement auditor recommendations related to the information technology environment and procurement.

**7. Fiscal Year 2017-18 Internal Audit Plan, Second Quarter Update**

Janet Sutter

**Overview**

The Orange County Transportation Authority Board of Directors adopted the Orange County Transportation Authority Internal Audit Department Fiscal Year 2017-18 Internal Audit Plan on August 14, 2017. This update is for the second quarter of the fiscal year.

**Recommendation**

Receive and file the second quarter update to the Orange County Transportation Authority Internal Audit Department Fiscal Year 2017-18 Internal Audit Plan as an information item.



---

**BOARD AGENDA**

**8. Purchasing Cards, Internal Audit Report No. 18-503**  
Gerald Dunning/Janet Sutter

**Overview**

The Internal Audit Department has completed an audit of purchasing cards. Based on the audit, controls to ensure transactions are valid, authorized, and in compliance with policies and procedures are generally adequate; however, three recommendations were made to improve compliance with the policies and procedures.

**Recommendation**

Direct staff to implement the three recommendations provided in Purchasing Cards, Internal Audit Report No. 18-503.

**9. Second Quarter Fiscal Year 2017-18 Procurement Status Report**  
Virginia Abadessa/Andrew Oftelie

**Overview**

The second quarter procurement status report summarizes the procurement activities for information purposes to the Orange County Transportation Authority Board of Directors. This report focuses on procurement activity from October 1 through December 31, 2017, that was approved by the Board of Directors during this period. The second quarter procurement status report also projects future procurement activity for the third quarter as identified in the fiscal year 2017-18 budget.

**Recommendation**

Receive and file as an information item.



---

**BOARD AGENDA**

**10. 91 Express Lanes Property Insurance Renewal**  
Al Gorski/Maggie McJilton

**Overview**

The Orange County Transportation Authority currently has a primary property and flood insurance policy for the 91 Express Lanes with Zurich American Insurance Company, and six earthquake insurance policies with Empire Indemnity Insurance Company, General Security Indemnity Company of Arizona, Everest Indemnity Insurance Company, QBE Specialty Insurance Company, Endurance American Insurance Company, and Princeton Excess and Surplus Lines Insurance Company which will expire on March 1, 2018.

**Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Purchase Order No. A38806, in the amount of \$500,000, to Marsh USA, Inc., to purchase the 91 Express Lanes' property, flood, and earthquake insurance on behalf of the Orange County Transportation Authority for the policy period of March 1, 2018 to March 1, 2019.

**11. 2019 Federal Transportation Improvement Program and Financial Plan**  
Ben Ku/Kia Mortazavi

**Overview**

The Orange County Transportation Authority is responsible for the biennial preparation of the Federal Transportation Improvement Program for Orange County. This document is required under state and federal laws and includes the financial information for all regionally significant transportation improvement projects in Orange County, with a total value of approximately \$2.959 billion. A summary of the Federal Transportation Improvement Program and a supporting resolution are submitted for Board of Directors' approval.



---

**BOARD AGENDA****11. (Continued)****Recommendations**

- A. Authorize programming actions for, and the submittal of, the Federal Transportation Improvement Program project list and financial plan for fiscal year 2018-19 through fiscal year 2023-24.
- B. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program to facilitate programming of projects.
- C. Adopt Resolution No. 2018-005 of the Board of Directors of the Orange County Transportation Authority.

**12. Orange County Transportation Authority State and Federal Grant Programs - Update and Recommendations**

Louis Zhao/Kia Mortazavi

**Overview**

The Orange County Transportation Authority provides grants to local agencies through various state and federal funding programs. Status reports on these programs, as well as project changes are presented for review and approval.

**Recommendations**

- A. Approve cancellation of four projects from the County of Orange, City of Dana Point, and City of San Clemente, for a total of \$5.824 million in savings.
- B. Approve funding three 2016 Bicycle Corridor Improvement Program standby list projects in the cities of Irvine, Newport Beach, and the County of Orange for a total of \$5.025 million in Congestion Mitigation and Air Quality Improvement Program funds, contingent on the California Department of Transportation's approval of project eligibility and the Orange County Transportation Authority Master Plan of Arterial Highways' amendment approval.
- C. Authorize staff to make all necessary amendments to the Federal Transportation Improvement Program and execute any required agreements or amendments to facilitate the recommendations above.



---

**BOARD AGENDA****13. Update on the Implementation of Orange County Transportation Authority Corridor Studies**

Carolyn Mamaradlo/Kia Mortazavi

**Overview**

Between 2006 and 2010, five corridor studies were completed by the Orange County Transportation Authority. These studies focused on major travel corridors within Orange County and between neighboring counties. They also identified, evaluated, and recommended improvement options to address mobility challenges. Substantial progress has been made with respect to implementation of the studies' recommended improvements, and a status report is provided for the Board of Directors' information.

**Recommendation**

Receive and file as information item.

**14. Amendment to the Master Plan of Arterial Highways**

Carolyn Mamaradlo/Kia Mortazavi

**Overview**

The Orange County Transportation Authority administers the Master Plan of Arterial Highways, including the review and approval of amendments requested by local agencies. The City of Westminster has requested an amendment to the Master Plan of Arterial Highways that is recommended for approval. A status update on the active Master Plan of Arterial Highways amendments is also provided.

**Recommendations**

- A. Approve an amendment to the Master Plan of Arterial Highways to reclassify the following facilities from secondary (four-lane, undivided) arterials to divided collector (two-lane, divided) arterials:
- Garden Grove Boulevard between Interstate 405 northbound off-ramp/State Route 22 eastbound off-ramp/State Route 22 eastbound on-ramp and Edwards Street;
  - Edwards Street between Garden Grove Boulevard and Trask Avenue;
  - Trask Avenue between Edwards Street and Hoover Street;
  - Hoover Street between Garden Grove Boulevard and Bolsa Avenue.





---

**BOARD AGENDA****14. (Continued)**

The proposed amendment will become final, contingent upon the Orange County Transportation Authority receiving documentation that the City of Westminster has amended their general plan, and has complied with the requirements of the California Environmental Quality Act.

If the originally proposed Master Plan of Arterial Highways amendment is modified as a result of the California Environmental Quality Act and/or general plan amendment process, the modified Master Plan of Arterial Highways amendment shall be returned to the Orange County Transportation Authority's Board of Directors for consideration.

- B. Direct the Executive Director of Planning, or his designee, to file a Notice of Exemption from the California Environmental Quality Act in support of the amendment to the Master Plan of Arterial Highways.
- C. Receive and file a status report on active Master Plan of Arterial Highways amendments.

**15. Regional Planning Update**

Greg Nord/Kia Mortazavi

**Overview**

The Orange County Transportation Authority coordinates regularly with planning and other agencies in Southern California. An update on state and regional activities regarding rule-making, greenhouse gas emission reduction target setting and strategies, and planning coordination efforts is provided for information purposes.

**Recommendation**

Receive and file as an information item.



---

**BOARD AGENDA**

## **Orange County Transit District Consent Calendar Matters**

### **16. Approval to Release Request for Proposals for Same-Day Taxi Service** Sandy Boyle/Beth McCormick

#### **Overview**

The Orange County Transportation Authority requires a contract with a private taxi operator to provide the Same-Day Taxi service. Staff is requesting Board of Directors' approval to release a request for proposals for taxi service providers.

#### **Recommendations**

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 8-1440 for selection of taxi service providers.
- B. Approve the release of Request for Proposals 8-1440 to select taxi service providers to provide Same-Day Taxi services for a two-year initial term with two, one-year option terms.

### **17. Contract Change Order to Add Equipment to the Hydrogen Fuel Station** George Olivo/James G. Beil

#### **Overview**

On November 13, 2017, the Orange County Transportation Authority Board of Directors authorized Agreement No. C-7-1577 with Trillium USA Company LLC, for the construction, operation, and maintenance of a hydrogen fuel station and liquid hydrogen deliveries. A contract change order is requested to install additional equipment to the hydrogen station to increase fueling capacity.

#### **Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 1 to Agreement No. C-7-1577 with Trillium USA Company LLC, in the amount of \$442,305, for the installation of additional equipment to increase fueling capacity of the hydrogen fuel station. This will increase the maximum obligation of the agreement to a total contract value of \$6,914,432.



---

## **BOARD AGENDA**

### **18. Award of Agreement for Compressed Natural Gas Fueling Facility Operation and Maintenance**

Cliff Thorne/Beth McCormick

#### **Overview**

On September 25, 2017, the Board of Directors approved the release of a request for proposals for operation and maintenance services of the compressed natural gas facility located at the Irvine Sand Canyon base. Offers were received in accordance with the Orange County Transportation Authority procurement procedures for professional and technical services. Board of Directors' approval is requested to execute an agreement for these services.

#### **Recommendations**

- A. Approve the selection of Clean Energy as the firm to provide compressed natural gas fueling facility operation and maintenance.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-7-1930 between the Orange County Transportation Authority and Clean Energy, in the amount of \$677,160, to provide compressed natural gas fueling facility operation and maintenance, for a three-year initial term beginning March 1, 2018, with two, one-year option terms.

### **Orange County Local Transportation Authority Consent Calendar Matters**

### **19. Capital Programs Division - Second Quarter Fiscal Year 2017-18 Capital Action Plan Performance Metrics**

James G. Beil

#### **Overview**

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



## **BOARD AGENDA**

---

### **19. (Continued)**

#### **Recommendation**

Receive and file as an information item.

### **20. Amendment to Cooperative Agreement with the California Department of Transportation for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5**

Ross Lew/James G. Beil

#### **Overview**

On June 12, 2017, the Orange County Transportation Authority Board of Directors approved a cooperative agreement with the California Department of Transportation to establish roles, responsibilities, and funding obligations for the preparation of plans, specifications, and estimates, and to advertise and award the construction contract for the State Route 55 Improvement Project between Interstate 405 and Interstate 5. Board of Directors' approval is requested to amend this cooperative agreement for additional funding.

#### **Recommendations**

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Cooperative Agreement No. C-7-1753 between the Orange County Transportation Authority and the California Department of Transportation to update Funding Summary No. 1 and transfer \$500,000 in federal Surface Transportation Block Grant Program funds from the California Department of Transportation to the Orange County Transportation Authority.
- B. Authorize the use of an additional \$3.2 million in federal Surface Transportation Block Grant Program funds, bringing the total funding committed for the plans, specifications, and estimates to \$20.7 million.
- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute or amend all necessary agreements to facilitate the above recommendation.



---

## **BOARD AGENDA**

- 21. Cooperative Agreement with the California Department of Transportation for the Interstate 5 Widening Project Between Oso Parkway and Alicia Parkway**  
Niall Barrett/James G. Beil

### **Overview**

The Orange County Transportation Authority proposes to enter into a cooperative agreement with the California Department of Transportation for construction capital and construction management support services for the Interstate 5 widening project between Oso Parkway and Alicia Parkway.

### **Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-8-1426 between the Orange County Transportation Authority and California Department of Transportation, in the amount of \$147,584,000, comprised of a construction capital share of \$124,020,000, and a construction management services share of \$23,564,000, for the Interstate 5 widening project between Oso Parkway and Alicia Parkway.

- 22. 2018 Project V Community-Based Transit/Circulators Program Guidelines and Call for Projects**

Jodie McCann/Kia Mortazavi

### **Overview**

Measure M2 establishes a competitive program through Project V to fund local transit services such as shuttles, trolleys, and circulators that complement regional transit services. Based on interest from local agencies, a competitive Call for Projects is recommended, and updated guidelines are presented for review and approval.

### **Recommendations**

- A. Approve the 2018 Project V Community-Based Transit/Circulators Program Guidelines.
- B. Authorize staff to issue the 2018 Project V Community-Based Transit/Circulators Call for Projects in the amount of \$12 million.
- C. Authorize changes to the guidelines to allow consideration of 2018 Project V applications for off-peak Orange County Transportation Authority-led services, on a case-by-case basis.



---

**BOARD AGENDA****Orange County Service Authority For Freeway Emergencies  
Consent Calendar Matters**

- 23. Approval to Release Request for Proposals for Freeway Service Patrol Services**  
Patrick Sampson/Beth McCormick

**Overview**

Staff is requesting Board of Directors' approval to release a request for proposals for Freeway Service Patrol services for four service areas, consisting of 14 peak-hour beats, four midday beats, one weekend beat, and one construction support beat.

**Recommendations**

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 7-2155 for Freeway Service Patrol services.
- B. Approve the release of Request for Proposals 7-2155 for Freeway Service Patrol services for four service areas.

**Regular Calendar****Orange County Transportation Authority Regular Calendar Matters**

- 24. Transit Master Plan - Draft Final Plan and Action Plan**  
Gary Hewitt/Kia Mortazavi

**Overview**

The Transit Master Plan, also known as the OC Transit Vision, is a 20-year integrated bus, rail, and paratransit plan for enhancing and expanding public transit service in Orange County. This plan identifies future potential transit corridor studies and recommended changes to existing transit service. The draft final plan and action plan have been developed for Board of Directors consideration.



---

**BOARD AGENDA****24. (Continued)****Recommendations**

- A. Direct staff to consider OC Transit Vision Action Plan in the upcoming Long-Range Transportation Plan process, and return to the Board of Directors with an update as part of the draft 2018 Long-Range Transportation Plan.
- B. Direct staff to study transit improvements on the State College Boulevard and Main Street corridors as part of the OC Transit Vision Short-Term Action Plan.

**25. 2018 Long-Range Transportation Plan Update**

Greg Nord/Kia Mortazavi

**Overview**

The Long-Range Transportation Plan develops Orange County's program of projects for the multi-county Regional Transportation Plan, prepared by the Southern California Association of Governments. The plan also serves as a policy framework for future transportation investments in Orange County. Scenarios are being developed and evaluated to measure how transportation investments and policies may influence future travel conditions. A summary of initial model results for the proposed financially constrained project list is presented for discussion below.

**Recommendation**

Receive and file as an information item.



## **BOARD AGENDA**

---

### **Discussion Items**

**26. Update on the Interstate 5 Widening Project from State Route 73 to El Toro Road**

Niall Barrett/James G. Beil

Staff will provide a project update.

**27. Public Comments**

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

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

**29. Directors' Reports**

**30. Closed Session**

A Closed Session will be held as follows:

Pursuant to Government Code Section 65956.9(d)(1) – Existing Litigation – Conference with Legal Counsel – Orange County Transportation Authority v. Haydon Brothers, OCSC Case No. 30-2012-00605657.

**31. Adjournment**

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, February 26, 2018**, at the Orange County Transportation Authority Headquarters, 550 South Main Street, Board Room - Conference Room 07-08, Orange, California.





## COMMITTEE TRANSMITTAL

**February 12, 2018**

**To:** Members of the Board of Directors  
**From:** Laurena Weinert, Clerk of the Board  
**Subject:** 2018 Project V Community-Based Transit/Circulators Program Guidelines and Call for Projects

### Transit Committee Meeting of February 8, 2018

**Present:** Directors Davies, Do, Jones, Pulido, Tait, and Winterbottom  
**Absent:** Director Murray

### **Committee Vote**

This item was passed by the Members present.

Directors Do and Pulido were not present to vote on this item.

### **Committee Recommendations (reflects change from staff's recommendations)** ***Recommendation C was added***

- A. Approve the 2018 Project V Community-Based Transit/Circulators Program Guidelines.
- B. Authorize staff to issue the 2018 Project V Community-Based Transit/Circulators Call for Projects in the amount of \$12 million.
- C. Authorize changes to the guidelines to allow consideration of 2018 Project V applications for off-peak Orange County Transportation Authority-led services, on a case-by-case basis.



**February 8, 2018**

**To:** Transit Committee

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

**Subject:** 2018 Project V Community-Based Transit/Circulators Program Guidelines and Call for Projects

### **Overview**

Measure M2 establishes a competitive program through Project V to fund local transit services such as shuttles, trolleys, and circulators that complement regional transit services. Based on interest from local agencies, a competitive Call for Projects is recommended, and updated guidelines are presented for review and approval.

### **Recommendations**

- A. Approve the 2018 Project V Community-Based Transit/Circulators Program Guidelines.
- B. Authorize staff to issue the 2018 Project V Community-Based Transit/Circulators Call for Projects in the amount of \$12 million.

### **Background**

Project V is a competitive program under Measure M2 (M2) that provides funding to develop and implement local transit services. Based on current forecasts, the total estimated revenue for Project V under M2 for the 30-year period (2011-2041) is \$251 million. Services eligible for this program include local shuttles, trolleys, and circulators that complement regional bus and rail services, and meet needs in areas not adequately served by regional transit. Year-round services and seasonal/special event shuttles have been eligible to compete for funding. Further, Orange County Transportation Authority (OCTA) has helped local agencies provide fixed-route services by providing transit operations and maintenance directly through OCTA's Transit Division. These services are frequently referred to as "OCTA-led" services.

The initial guidelines for Project V were approved by the OCTA Board of Directors (Board) in November 2012. The last Project V Call for Projects (call) occurred in 2016. Since inception, the Board has approved 23 projects with capital and/or operations and maintenance elements for a total of \$36.5 million in Project V funds. Through September 30, 2017, OCTA has received reimbursement requests from local agencies and has expended \$3.6 million for Project V services.

Seasonal service and special events serve the local community and tourists in higher density areas during peak seasons to alleviate local congestion and connect parking locations to activity centers, which contributes to their higher productivity. Local circulators provide fixed-route services to the local community and regional commuters by connecting key activity centers within the local service area. The special event services have proven to be especially successful, whereas the year-round fixed-route services have not performed at the same level, and several agencies have experienced difficulties in meeting the minimum performance standard (Attachment A).

To further serve the mobility needs of the communities in Orange County, staff requested letters of interest from local agencies to determine the timing for a future round of Project V funding. As reported to the Board in January 2018, local agencies primarily expressed an interest in seasonal, special event, and year-round services (Attachment B).

### ***Discussion***

Considering the level of interest in providing new community-based services and the lessons learned from existing projects and successes, staff is proposing a 2018 Project V call targeting special events and seasonal services. However, year-round services provided through non-OCTA service providers will be eligible for consideration. While OCTA-led services will not be eligible for this call cycle, OCTA will continue to provide support to local agencies wishing to use their own resources to develop these types of services under Project V. If an expansion of an existing Project V year-round service is being proposed, the existing service must have met the minimum performance requirement in the last quarter (Q2: October 1, 2017 - December 31, 2017) to qualify for consideration. Due to low interest, the proposed guidelines do not include planning studies in this call. This will allow OCTA to focus Project V resources on service operations and capital in this call. It is proposed to make available \$12 million in Project V funds for a 2018 call. Grants would be available for a period of three to five years, and this will enable projects in this call to better align with current projects and timescales for a future Project V call.

The Project V Guidelines have been updated to include criteria relevant to the proposed 2018 call (Attachment C). The updates mainly relate to the period of funding (three to five years), eligible categories, and scoring criteria related to the proposed call. Projects that apply for the 2018 call would be evaluated and scored against criteria identified in the guidelines (Attachment D). The 2016 Project V call allowed approximately 3 months for applications (November 23, 2015 – February 29, 2016) and 3 months for OCTA project-level reviews. The 2018 call includes approximately 6 weeks for agencies to develop and submit applications, with applications due by March 23, 2018. OCTA will then review and score the applications through early May 2018. The expedited timescale is due to the high level of interest in a call from local agencies and allows the opportunity to award funding from fiscal year (FY) 2018-19, if an agency can demonstrate project readiness.

#### Next Steps

Upon approval of the guidelines, OCTA will notify local agencies of the call and applications will be due by March 23, 2018. Staff will then assess the applications and return to the Board with funding recommendations in June 2018. Funding will be available starting in FY 2018-19, if an agency can demonstrate adequate project readiness, and in FY 2019-20.

#### ***Summary***

Project V Community-Based Transit/Circulators 2018 Program Guidelines for administration of a 2018 call are presented for review and approval. Staff is also seeking approval to issue a 2018 call.

***Attachments***

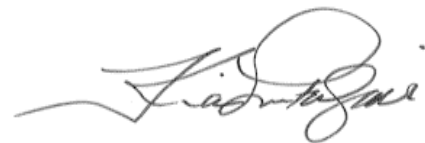
- A. Project V Services – Ridership Report
- B. Project V Letters of Interest Overview
- C. Comprehensive Transportation Funding Programs, Chapter 6 –  
Community-Based Transit/Circulators (Project V)
- D. Project V, 2018 Call for Projects Application & Scoring Criteria

**Prepared by:**



Jodie McCann  
Senior Transportation Funding  
Analyst  
(714) 560-5320

**Approved by:**



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

**Project V Services - Ridership Report**

Agency	Service Description	Project V Funding	Service Type	Service Start Month/Year	Actual Rider Fare	<sup>1</sup> Boardings Per Revenue Vehicle Hour (B/RVH)
Costa Mesa	Local Circulator From Costa Mesa To Anaheim	\$ 2,790,638	Local Circulator	July 2017	\$0	1
Dana Point	Summer Trolley and Seasonal Shuttle	\$ 2,456,511	Seasonal Service	June 2015	\$0	16
Dana Point	Pacific Coast Highway and Special Event Trolley	\$ 905,968	Seasonal Service	June 2017	\$0	17
Huntington Beach	Holiday and Event Shuttle	\$ 93,287	Special Event	July 2015	\$0	12
Huntington Beach	Seasonal Local Transit Service	\$ 917,700	Seasonal Service	July 2017	\$0	2
La Habra <sup>2</sup>	Local Community Circulator	\$ 1,719,839	Local Circulator	August 2014	\$1	6
La Habra	Special Event Service	\$ 96,810	Special Event	Novemeber 2016	\$0	7
Laguna Beach	Summer Weekend Trolley and Seasonal Service	\$ 3,559,860	Special Event	March 2015	\$0	34
Laguna Beach	Year Round and Seasonal Service	\$ 1,967,400	Year Round and Seasonal Service	July 2017	\$0	8
Lake Forest	Commuter Vanpool Service Irvine Station and Ossur	\$ 148,855	Commuter Service	July 2015	\$0	10
Lake Forest	Commuter Shuttle Service Irvine Station and Panasonic	\$ 1,226,862	Commuter Service	June 2017	\$0	21
Mission Viejo <sup>3</sup>	Local Community Circulator	\$ 3,332,879	Local Circulator	October 2016	\$0	4
Newport Beach	Balboa Peninsula Seasonal Trolley	\$ 685,454	Seasonal Service	June 2017	\$0	20
County of Orange	Local Circulator and Special Event Service	\$ 2,041,547	Local Circulator and Special Event	June 2017	\$0	7
San Clemente	Summer Weekend Trolley and Seasonal Service	\$ 1,181,393	Seasonal and Special Event	May 2017	\$0	46
San Clemente <sup>4</sup>	On-Demand Rideshare	\$ 914,400	Rideshare Service	October 2016	\$2+	--
San Juan Capistrano	Summer Trolley Service	\$ 95,486	Seasonal and Special Event	June 2017	\$0	18

2017 Ridership reported for the period ending September 30, 2017.

1. Rounded to the nearest whole number.

2. This service has been cancelled by the City of La Habra effective October 2017, due to low productivity.

3. The City of Mission Viejo has experienced an upward trend in B/RVH in recent months and achieved nine B/RVH in September.

4. The average ridership for this service cannot be confirmed at this time. Awaiting confirmation from the service provider, LYFT, INC.

**Project V Letters of Interest Overview**

Local Agency	Project Title	Type	2016 Call for Projects Project V Planning Study
Buena Park	Shuttle Service	Year-Round	No
Dana Point	Dana Point Trolley	Seasonal Expansion	No
Irvine	To Be Determined	To Be Determined	No
Laguna Beach	Summer Weekend Service	Seasonal	No
Laguna Niguel	Trolley Service	Year-Round	Yes
Mission Viejo	Local Circulator	Year-Round Expansion	Yes
Orange	Feasibility Study	Special Events	No
Placentia	On-Demand and Special Events	Pilot and Special Events	Yes
San Clemente	Trolley Service	Seasonal/Year-Round Expansion	No
San Juan Capistrano	Summer Trolley	Seasonal	No
Santa Ana	Downtown Trolley	Seasonal/Special Events	No
Tustin	Local Circulator	Year-Round	Yes
Yorba Linda	Senior Mobility Program	Senior Mobility Program Expansion from four to five days per week	No

## Comprehensive Transportation Funding Programs

---



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

#### Overview

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

**Regional Transit:** Regional Transit services are provided by OCTA, specifically through routes 1 through 99 (and excluding those route sections that perform less than 10 boardings per revenue vehicle hour). Additional information on OCTA routes and schedules can be accessed from OCTA website at [www.octa.net](http://www.octa.net).

#### Objectives

- To provide community transit service that is safe, clean and convenient.
- To encourage new, well-coordinated, flexible transportation systems customized to each community's needs.
- To develop local bus transit services such as community-based circulators, shuttles, and bus trolleys that complement regional bus and rail service.
- To meet transportation needs in areas not served by regional transit.

---

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





## 2018 Call for Projects

The 2018 Call for Projects (call) for Project V will provide approximately \$12 million for community-based transit/circulators across Orange County. Specifics on the funding policies that apply to this call are identified below.

### Applications

In order for OCTA to consider a project for funding, applications will be prepared by the local agency utilizing the Application Form, available electronically from OCTA. Agencies are required to submit electronic and hardcopy applications for the 2018 call for projects by **5:00 p.m. on Friday, March 23, 2018. Late submittals will not be accepted.**

**Three (3) unbound hardcopies** of the application and any supporting documentation must be submitted to OCTA by the application deadline, along with an electronic copy (CD, USB, or Dropbox).

Hardcopy applications should be mailed to:

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

Hardcopy applications may be hand delivered to:

600 S. Main Street  
Orange, CA 92868

### Resolutions

A resolution or minute action must be approved by the local agency's governing body. The mechanism selected shall serve as a formal request for Project V funds and states the matching funds will be provided by the agency, if necessary. All project requests must be included in this section.

At minimum, a draft resolution must be submitted with the application by the March 23<sup>rd</sup> deadline. A final adopted resolution must be submitted to OCTA by **Friday, April 13, 2018**. A sample resolution is included in Exhibit 6-2.



## Pre-Award Activities

Pre-Award Activities are allowable under Precept 6. A grantee may, at its own risk and without an executed OCTA Cooperative Agreement, obligate funds. Expenditures that are made prior to an executed OCTA Cooperative Agreement, but after July 1, of the programmed Fiscal Year (FY) must be identified in the grant application and must be submitted to OCTA for administrative approval prior to the implementation of the project.

## **Project Participation Categories**

Transit needs may differ from one location to the next, and projects pursued under this program have significant latitude on how the challenge of delivering community-based transit will be delivered. The program categories listed below identify key project elements that can be pursued through the Project V funding source. The program categories eligible for funding through Project V are:

Planning for new service - Up to \$50,000 per agency (Not applicable to 2018 Call)

- Need for Community-Based Transit/Circulator Services
- Origin and Destination Studies
- Surveys and Marketing Research
- Development of Proposed Service Plans
- Transit Coordination Studies

## Capital

- Bus and vehicle leases/purchases for the purposes of providing seasonal/special event shuttles and trolleys. If the purchase of vehicles is more cost efficient than a lease, justification and supporting documentation must be provided. Vehicle purchases will be evaluated on a case-by-case basis.
- Equipment for the deployment, implementation and use of Project V-funded services, including but not limited to:
  - Bike racks
  - Software
  - Communications equipment
  - Fare collection equipment
  - Passenger amenities
  - Americans with Disabilities Act (ADA) equipment for vehicles
- Maintenance facilities and fueling stations required for the new transit service



- Bus stop improvements (including signage, furniture and shelters) for Project V funded service stops only).

## Operations and Maintenance

All costs below are subject to OCTA subsidy limitations outlined on page 6-6:

- Seasonal, fixed route, deviated fixed route, demand responsive community transit and shuttle services including administration, operations and maintenance of services.
- Transportation services provided by non-OCTA providers.
- ~~Services to be operated by OCTA. Local agencies may propose an alternative service provider which will be considered at the discretion of OCTA.~~
- Expansion of fixed-route services will only be considered if the existing service has met the minimum performance standards in the last quarter (see page 6-6). Existing OCTA led services are eligible for expansion if an alternate service provider is identified.
- Temporary off-site parking for special events subject to agreement with the property owner and approval by OCTA.
- Parking leases needed in response to expanded transit services.
- Special event shuttle services for events that will create significant congestion.
- Other flexible and innovative transit services contingent on the service plan and anticipated service performance.
- Marketing efforts including expenditures related to seasonal or special event service schedules, marketing materials such as flyers and brochures and community outreach efforts. Project V contribution for marketing will be capped at \$25,000 for the startup cost and up to \$10,000 annually thereafter for the remaining grant period.

Agencies may be awarded, from all eligible project categories, no more than \$550,000 annually for a period of three to five years per project. Funding will begin in FY 2018-19, if an agency can demonstrate project readiness, or in FY 2019-20.

## **Ineligible Categories**

Project V funds may not be used for the following:

- Right of way acquisition
- To supplant existing transit services (subject to the Regional Transit definition in Section 1)



- Fare subsidies (Free shuttles are not considered subsidized fare for this program)
- Indirect costs
- Planning studies
- OCTA-led services

## Project Requirements

All projects funded through Project V must comply with the Comprehensive Transportation Funding Programs Guidelines, unless specifically noted in the agreement with the local agency and must comply with applicable state and federal laws, including American with Disabilities Act (ADA) requirements for transit services.

### Planning for New Service (Not applicable to 2018 Call)

Cities must provide a scope of work for the proposed planning document requesting Project V funds. The scope must include project need and goals and objectives for the proposed or considered service. OCTA transit planning staff must be included in the development of any planning documents funded through the Project V planning category. Planning documents must include specific recommendations for community-based transit/circulator services that can be implemented within the operating subsidy provided through Project V and must consider coordination with existing services. Plans may also consider ways to eliminate duplication of service or to improve service by combining resources. Progress on planning projects must be reported to OCTA through the semi-annual review process. Agencies will be required to submit all data and planning documents to OCTA in order to receive final payment.

### Capital

Project V funding is available to offset the costs of purchasing or leasing vehicles, equipment and other amenities as described in Chapter 3, under eligible costs. Progress on capital projects must be reported to OCTA through the semi-annual review process. Agencies must inspect vehicle purchases to ensure they meet specifications prior to final acceptance and withhold retention until warranty issues and/or final acceptance is met. If vehicles are sold before the end of their useful life or if service is discontinued, agencies shall repay OCTA the same percentage of the sale price or estimated value based on straight line depreciation of asset consistent with the Project V percentage of the initial purchase.



## Operations and Maintenance

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

- Service performance will be evaluated on a quarterly basis. The minimum performance standards are calculated by dividing boardings by the revenue vehicle hours (B/RVH) as detailed below:

Year 1	Year 2	Year 3+
Meet or exceed 6 B/RVH by end of Year 1 <sup>2</sup>	Maintain 6 B/RVH each reporting period <sup>3</sup> and; Meet or exceed 10 B/RVH by end of Year 2	Maintain 10 B/RVH each reporting period

- After Year 1, services that perform below the minimum performance standard for two or more reporting periods will be evaluated for cancellation.
- As part of the Project V service, local agencies must develop strategies to measure ridership satisfaction and on-time performance and must achieve an 85% on-time performance on an ongoing basis and rider satisfaction must be 90% satisfied based on customer surveys.
- Awarded agencies must submit operations and maintenance costs and ridership and fare performance data to OCTA on a quarterly basis. The OCTA Transit Committee will be provided with summarized information from these reports on a semi-annual basis.
- The OCTA subsidy allows awarded agencies to be reimbursed on a pro-rata basis, but not to exceed \$9 per boarding or 90 percent of net operating and maintenance costs (after deducting fares and non-OCTA subsidies), *whichever is less*. The \$9 per boarding may increase annually by an OCTA-approved inflationary factor.
- Consistent with Federal law, Americans with Disabilities Act (ADA) complementary paratransit service is required for certain types of transit operations. For Project V funded services, paratransit services will be covered with Project V funds through the OCTA Board policy. Agencies receiving Project V funds may-will be required to adopt a paratransit plan prior to starting operations.

---

<sup>2</sup> One year from the first day of operating the Project V funded service

<sup>3</sup> Fiscal year quarterly basis



## Agency Match Requirements

Local funds are required to provide a minimum 10% non-OCTA match for all Project V components. The match may be comprised of any combination of private contributions, advertising revenues, and local discretionary funds ~~and farebox revenue. Farebox revenue cannot be used for capital match.~~ The match may not be made up of in-kind services. Capital match funding commitments in excess of ten percent are eligible for additional points. The OCTA contribution for Operations and Maintenance will not exceed \$9 per boarding, therefore actual match provided by the local agency may be greater than 10% depending on the ridership. Agency match commitments will be incorporated into the funding agreement.

## Eligibility Requirements

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

- Applicant must be eligible to receive M2 funding (established on an annual basis) to participate in this program.
- Support recommendations from OC Transit Vision, OCTA Short Range Transit Plan, local transit planning efforts and goals of the Sustainable Communities Strategy.
- Supplement rather than supplant existing transit services and emphasize service to areas not served by transit.
- Demonstrate local share of operations and maintenance funding for specific time horizon.
- Demonstration of cost reasonableness for new bus stop improvements.
- Agency must have a financial plan outlining a funding strategy for ongoing operations and maintenance (maximum of five years).
- Local agency will be required to enter into a cooperative funding agreement with OCTA.
- All projects must include meeting ADA requirements, and these costs must be included in the project application.
- Complete applications must be approved by the city council and partner jurisdictions prior to submittal to OCTA to demonstrate adequate community and elected official support for initial consideration



- Local agencies will be required to submit appropriate National Transit Database data to OCTA or local agency's operator must submit directly to the National Transit Database.

## **Application Process**

Project V allocations are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to fully evaluate the project proposal. An application for any proposed service must include a detailed funding/operations plan.

The project application for capital and operations and maintenance shall include, at a minimum, the following information:

- Project need, goals and objectives
- Project development and implementation schedule
- Funding plan (funding needs, match funding availability, operations funding assurances, and public-private partnership arrangements)
- Ongoing service and operations plan
- Operations and maintenance facility management
- Any additional information deemed relevant by the applicant
- Ridership Projection
- Coordination with existing services such as OCTA transit services, existing Project V services, Metrolink, I-Shuttle, Anaheim Transportation Network and/or Senior Mobility Program

The project application for planning for new projects shall include a scope of work for the proposed planning document requesting Project V funds. The scope must include project need and goals and objectives for the proposed or considered service.

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

Applications will be reviewed by OCTA for consistency, accuracy, and concurrence. For applications completed in accordance with the program requirements, the projects will be scored, ranked and submitted to the Executive Committee, and the Board for consideration and funding approval. The process is expected to be concluded by June 30, 2018.

The final approved application (including funding plan) will serve as the basis for any funding agreement required under the program. The approved projects will be subject to the Comprehensive Transportation Funding Programs (CTFP) Guidelines for project delivery requirements.





## Application Guidelines

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

### Financial Details

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

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

## Scoring Criteria

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

The formal application must include feasibility and efficacy components to demonstrate transportation benefit to ensure the selected project(s) meet the spirit and intent of M2.

Merit will be demonstrated through technical attributes and industry standard methodologies. The following data will be included and fully discussed in the application:

- Matching funds
- Level of commitment from non-applicant partners





- Operating cost per boarding for initial season or first special event
- Project readiness including initial operating period for seasonal services or special event readiness
- Projected daily boardings with projection methodology fully presented
- Community connections; connections to fixed route bus and rail
- Projected annual visitors served by seasonal route
- Community outreach
- Agency experience

## Other Application Materials

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

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

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

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

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

## **Reimbursements**

The planning, capital, and operations and maintenance (O&M) phases are administered on a reimbursement basis. Planning, capital, and O&M reimbursements will be disbursed upon review and approval of a complete expense report, performance report, and consistent with the cooperative funding agreement. OCTA operating subsidy will be no more than Nine Dollars (\$9.00) per boarding or Ninety Percent (90%) of net operations



and maintenance costs, whichever is lower. Local agency matching commitment to OCTA for ongoing operating assistance will be in accordance with terms identified in the cooperative funding agreement.

Funds must be utilized in the programmed FY. If there are FY project savings, a transfer of funds may be requested to a subsequent FY within the project. Agencies may only use savings as an aid for unanticipated cost overruns within the approved scope of work. A transfer request must be submitted in conjunction with the final reimbursement request, and formally submitted during the Semi-Annual Review. Transfers of savings will not be done retroactively, and overall project savings are returned to the program for use in subsequent calls for projects.

## Calculation of Payment

OCTA operating subsidy will be no more than Nine Dollars (\$9.00) per boarding **OR** Ninety Percent (90%) of net operations and maintenance costs, whichever is lower.

### Example:

Sample payment calculation	
Assumptions: 10% match 1,500 boardings	
Net Operating Cost	\$ 20,000
Agency Match (10%)	\$ 2,000
Agency Reimbursement (90% Reimbursement)	\$ 18,000
<i>or</i>	
Net Operating Costs	\$ 20,000
\$9 x Boardings (\$9 x 1,500)	\$ 13,500
Agency Match	\$ 6,500
Agency Reimbursement (\$9 per boarding)	<b>\$ 13,500</b>



Net operations costs = operation & maintenance costs (after deducting fares/fees)

Local agency minimum matching requirement to OCTA for ongoing operating assistance will be in accordance with terms identified in the cooperative funding agreement.



## **Project Cancellation**

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

For vehicles owned by local agencies that were funded through Project V, if the service is discontinued, agencies shall repay OCTA for vehicles at the same percentage of the sale price, or estimated value based on straight line depreciation of asset consistent with the Project V percentage of the initial purchase.

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

## **Audits**

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



## Exhibit 6-1

### Point Breakdown & Application Checklist for Community-Based Transit/Circulators (Project V)

APPLICATION CHECKLIST	
Application materials should be submitted in the order they are listed below. Refer to the CTFP Guidelines for more detailed application requirements. Points shown are the maximum points given per category.	
Completed Application	<input type="checkbox"/>
Board/Council Resolution (Draft Permitted Initially)	<input type="checkbox"/>
<b>Scoring Criteria – 100 Points Total</b>	
<b>Financial Commitment (15 Points)</b>	<input type="checkbox"/>
Capital Match Rate	<input type="checkbox"/>
<b>Cost Effectiveness (15 Points)</b>	<input type="checkbox"/>
Estimated Operating Cost per Revenue Vehicle Hour	<input type="checkbox"/>
Lease/Cost Estimates & Project Backup Documentation	<input type="checkbox"/>
<b>Project Readiness (15 Points)</b>	<input type="checkbox"/>
Project Implementation Schedule	<input type="checkbox"/>
Planning and Environmental Documentation	<input type="checkbox"/>
<b>Operations Plan (20 Points)</b>	<input type="checkbox"/>
Route Map w/ Existing Transit Service	<input type="checkbox"/>
Draft Time Table & Headways	<input type="checkbox"/>
Stop Locations Identified	<input type="checkbox"/>
Average Service Speed by Time Period	<input type="checkbox"/>
Fleet Size & Summary of Vehicle Types	<input type="checkbox"/>
Maintenance Facilities Available & Service Plan Developed	<input type="checkbox"/>
<b>Ridership Projection (5 Points)</b>	<input type="checkbox"/>
Agree to Collect & Submit O&M Data Quarterly	<input type="checkbox"/>
Projected Average Daily Boardings (Opening Year)	<input type="checkbox"/>
<b>Funding Plan (10 Points)</b>	<input type="checkbox"/>
Specific Funding Needs (Per year and per phase)	<input type="checkbox"/>
Funding Assurances	<input type="checkbox"/>
Partnership Arrangements	<input type="checkbox"/>
Service Coordination Plan	<input type="checkbox"/>
<b>Agency Experience (10 Points)</b>	<input type="checkbox"/>
<b>Community Benefit (10 Points)</b>	<input type="checkbox"/>
Community/Activity Centers/Tourist Attractions Served by Project	<input type="checkbox"/>
Documented Community Support (Surveys, outreach, etc.)	<input type="checkbox"/>
Fixed-Route Bus/Rail Connections	<input type="checkbox"/>



## Exhibit 6-2

### Sample Resolution for Community-Based Transit/Circulators (Project V)

RESOLUTION NO. XXXX

A RESOLUTION OF THE (GOVERNING BODY) OF THE (ADMINISTERING AGENCY) APPROVING THE SUBMITTAL OF THE (PROJECT NAME) APPLICATION TO THE ORANGE COUNTY TRANSPORTATION AUTHORITY FOR FUNDING UNDER THE PROJECT V COMMUNITY-BASED TRANSIT/CIRCULATORS PROGRAM

WHEREAS, the Community-Based Transit/Circulators program (Project V) establishes a competitive process to enable local jurisdictions to develop community-based local transit services that complement regional transit services, and meets needs in areas not adequately serviced by regional transit.

WHEREAS, OCTA intends to allocate Project V funds within the incorporated cities and the County; and

WHEREAS, OCTA has established the procedures and criteria for reviewing applications as identified in the Project V Guidelines; and

WHEREAS, by formal action the (GOVERNING BODY) authorizes the nomination of (PROJECT NAME), including all understanding and assurances contained therein.

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

WHEREAS, the (ADMINISTERING AGENCY) must include all projects funded by Net Revenues in the seven-year Capital Improvement Program as part of the Renewed Measure M Ordinance eligibility requirement; and

WHEREAS, the (ADMINISTERING AGENCY) authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the OCTA Board of Directors; and

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

WHEREAS, the (ADMINISTERING AGENCY) will comply where applicable with provisions of the Americans with Disabilities Act, and any other federal, state, and/or local laws, rules and/or regulations; and

WHEREAS, the (ADMINISTERING AGENCY) will consult with OCTA regarding the need for a paratransit plan prior to starting operations; and

WHEREAS, the (ADMINISTERING AGENCY) will provide matching funds for the project as required by the Project V Guidelines and shall fund its share of the project costs and any additional costs over the identified programmed amount; and

WHEREAS, the (ADMINISTERING AGENCY) will not use Measure M funds to supplant Developer Fees or other commitments; and

WHEREAS, the (ADMINISTERING AGENCY) will give OCTA's representatives access to and the right to examine all records, books, papers or documents related to the Project; and

NOW, THEREFORE, BE IT RESOLVED THAT:

The (GOVERNING BODY) hereby requests that the OCTA allocate Project V funds in the amounts specified in the (ADMINISTERING AGENCY's) application to said (ADMINISTERING AGENCY). Said funds shall be matched by funds from the (ADMINISTERING AGENCY) as required and shall be used as supplemental funding to aid the (ADMINISTERING AGENCY) in the implementation of the proposed transit service.

PASSED, APPROVED AND ADOPTED THIS [Insert Day] day of [Insert Month], [Insert Year].



## IV. Precepts

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.

1. 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.
2. 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.
3. 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.
4. A separate cooperative funding agreement will be issued for any OCTA-led Regional Traffic Signal Synchronization Program projects.
5. An agency must have a fully executed letter agreement prior to the obligation of funds. Local agencies may be granted pre-award authority for M2 funded projects. Local agencies, at their own risk, may use this pre-award authority to obligate funds for an M2 funded project prior to the programmed year. Reimbursement Expenditures prior to the will be available in the Board approved programmed year will not be eligible for reimbursement (see Chapter 10).
6. For transit programs not covered by the letter agreement process (e.g. Projects S, V and W), pre-award authority is granted upon Board approval of the funding grant. See precept 5 above for pre-award authority provisions.
7. Local agencies shall scope projects, prepare estimates, and conduct design in cooperation with and in accordance with the standards and procedures required by the local agencies involved with the project (e.g., Caltrans, County, state/federal resource agencies).
8. 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

**PROJECT V**

## 2018 Call for Projects Application &amp; Scoring Criteria

<b>APPLICATION CHECKLIST</b>	
Application materials should be submitted in the order they are listed below. Refer to the CTFP Guidelines for more detailed application requirements. Points shown are the maximum points given per category.	
<b>Completed Application</b>	<input type="checkbox"/>
<b>Board/Council Resolution (Draft Permitted Initially)</b>	<input type="checkbox"/>
<b>Scoring Criteria – 100 Points Total</b>	
<b>Financial Commitment (15 Points)</b>	<input type="checkbox"/>
Capital Match Rate	<input type="checkbox"/>
<b>Cost Effectiveness (15 Points)</b>	<input type="checkbox"/>
Estimated Operating Cost per Revenue Vehicle Hour	<input type="checkbox"/>
Lease/Cost Estimates & Project Backup Documentation	<input type="checkbox"/>
<b>Project Readiness (15 Points)</b>	<input type="checkbox"/>
Project Implementation Schedule	<input type="checkbox"/>
Planning and Environmental Documentation	<input type="checkbox"/>
<b>Operations Plan (20 Points)</b>	<input type="checkbox"/>
Route Map w/ Existing Transit Service	<input type="checkbox"/>
Draft Time Table & Headways	<input type="checkbox"/>
Stop Locations Identified	<input type="checkbox"/>
Average Service Speed by Time Period	<input type="checkbox"/>
Fleet Size & Summary of Vehicle Types	<input type="checkbox"/>
Maintenance Facilities Available & Service Plan Developed	<input type="checkbox"/>
<b>Ridership Projection (5 Points)</b>	<input type="checkbox"/>
Agree to Collect & Submit O&M Data Quarterly	<input type="checkbox"/>
Projected Average Daily Boardings (Opening Year)	<input type="checkbox"/>
<b>Funding Plan (10 Points)</b>	<input type="checkbox"/>
Specific Funding Needs (Per year and per phase)	<input type="checkbox"/>
Funding Assurances	<input type="checkbox"/>
Partnership Arrangements	<input type="checkbox"/>
Service Coordination Plan	<input type="checkbox"/>
<b>Agency Experience (10 Points)</b>	<input type="checkbox"/>
<b>Community Benefit (10 Points)</b>	<input type="checkbox"/>
Community/Activity Centers/Tourist Attractions Served by Project	<input type="checkbox"/>
Documented Community Support (Surveys, outreach, etc.)	<input type="checkbox"/>
Fixed-Route Bus/Rail Connections	<input type="checkbox"/>



### APPLICATION INSTRUCTIONS

Local Agencies applying for Project V funds are required to complete and submit this application. Application materials must be included in the order in which they are listed on the Application Checklist. Any projects not in compliance with the CTFP Guidelines will not be eligible for funding.

#### Applicant Information

Agency:	Click here to enter text.
Project Manager:	Click here to enter text.
Title / Department:	Click here to enter text.
Phone:	Click here to enter text.
Email:	Click here to enter text.
Project Title:	Click here to enter text.

#### Project Description

Click here to enter text.

#### Proposed Funding Summary

Total Project Cost:	Click here to enter text.	Capital Match Rate:	Click here to enter text.
Capital Funding:	Click here to enter text.	Level of Commitment:	Choose an item.
Operating Reserve:	Click here to enter text.	Non-Applicants:	Click here to enter text.

#### Proposed Funding Breakdown

Include anticipated expenditures (i.e. Bus stops, staff time, marketing, etc.)

Capital		Operations	
<i>Expenditure</i>	<i>Anticipated Cost</i>	<i>Expenditure</i>	<i>Anticipated Cost</i>
Click to add	\$ Click to add	Click to add	\$ Click to add
Click to add	\$ Click to add	Click to add	\$ Click to add
Click to add	\$ Click to add	Click to add	\$ Click to add
Click to add	\$ Click to add	Click to add	\$ Click to add





Describe Source of Agency Funds:

[Click here to enter text.](#)

**Cost Effectiveness**

Operating Cost per Boarding Opening Year:

[Click here to enter text.](#)

Annualized Operating & Capital Cost per Passenger:

[Click here to enter text.](#)

**Project Readiness**

Opening Year:

[Select Fiscal Year](#)

Phase Ready:

[Click here to enter text.](#)

**Special Event Transit (If Applicable) (Add additional pages if needed)**

Event Name	Date	Time	Location
<a href="#">Click here to enter text.</a>	<a href="#">Select date.</a>	<a href="#">Click here to enter text.</a>	<a href="#">Click here to enter text.</a>
<a href="#">Click here to enter text.</a>	<a href="#">Select date.</a>	<a href="#">Click here to enter text.</a>	<a href="#">Click here to enter text.</a>
<a href="#">Click here to enter text.</a>	<a href="#">Select date.</a>	<a href="#">Click here to enter text.</a>	<a href="#">Click here to enter text.</a>
<a href="#">Click here to enter text.</a>	<a href="#">Select date.</a>	<a href="#">Click here to enter text.</a>	<a href="#">Click here to enter text.</a>

**Minimum Eligibility**

		YES	NO
<b>A</b>	Applicant is eligible to receive M2 funding:	<input type="checkbox"/>	<input type="checkbox"/>
<b>B</b>	Supplement rather than supplant existing transit services:	<input type="checkbox"/>	<input type="checkbox"/>
<b>C</b>	Projects meet ADA requirements:	<input type="checkbox"/>	<input type="checkbox"/>
<b>D</b>	Financial plan for ongoing operations & maintenance:	<input type="checkbox"/>	<input type="checkbox"/>
<b>E</b>	Project approved by Board/Council and partner jurisdictions:	<input type="checkbox"/>	<input type="checkbox"/>
<b>F</b>	Local funding meets minimum 10% match requirement:	<input type="checkbox"/>	<input type="checkbox"/>



<b>Transit Usage (Provide rationale with application materials)</b>			
Projected Average Daily Boardings 1st Year: <u>Total Annual Boardings</u> Annual Operating Days	Click here to enter text.		
<b>Fixed-Route Bus/Rail Connections</b>			
Number of fixed-route connections (w/in 1/4 mile):	Click here to enter text.		
<b>Community Connections (Add additional pages if needed)</b>			
Community/Activity Centers/Tourist Attractions Served:	Click here to enter text.		
	Click here to enter text.		
	Click here to enter text.		
	Click here to enter text.		
	Click here to enter text.		
<b>Agency Experience (Add additional pages if needed)</b>			
Previously Operated Service (List All Applicable)	Service	Description (Include service length)	
	Service	Description (Include service length)	
	Service	Description (Include service length)	
Has a feasibility study been completed for the proposed service? If so, please attach the study to the application packet.		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Applicant is requesting Pre-Award Authority (See page 6-3 of the Guidelines for pre-award authority provisions):		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>Additional Comments</b>			
Click here to enter text.			

*I hereby certify that the information provided herein this form is accurate and consistent with accompanying documentation. I further certify that the above information has been approved by Council resolution and that awarded funds will not be used outside of their intended purpose.*

Click here to enter text.

Name (Print)

Signature

Date