

Date: Monday, December 14, 2009

Time: 9:00 a.m.

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



BOARD AGENDA

Orange County Transportation Authority Board Meeting
Orange County Transportation Authority Headquarters
First Floor - Room 154
600 South Main Street, Orange, California
Monday, December 14, 2009, at 9:00 a.m.

ACTIONS

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

Agenda Descriptions

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

Public Comments on Agenda Items

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

Public Availability of Agenda Materials

All documents relative to the items referenced in this agenda are available for public inspection at 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 Green

Pledge of Allegiance

Director Dixon



BOARD AGENDA

ACTIONS

Special Matters

1. **Presentation of Resolution of Appreciation to Director Cathy Green**

Present Orange County Transportation Authority Resolution of Appreciation No. 2009-70 to Director Cathy Green for her service on the Board of Directors.

2. **Presentation of Resolutions of Appreciation for Employees of the Month for December 2009**

Present Orange County Transportation Authority Resolutions of Appreciation Nos. 2009-65, 2009-66, 2009-67 to Manuel Lara, Coach Operator; Paul Bagga, Maintenance; and Andrew Oftelie, Administration, as Employees of the Month for December 2009.

3. **Presentation of Resolution of Appreciation to Orange County Sheriff's Department Employee of the Quarter**

Present Orange County Transportation Authority Resolution of Appreciation No. 2009-69 to Orange County Sheriff's Sergeant Stuart Greenberg.

4. **Public Hearing for Orange County Transportation Authority Section 5307 Urbanized Area Formula Program of Projects for Federal Fiscal Year 2009-10**

Adriann Cardoso/Kia Mortazavi

Overview

The Orange County Transportation Authority has prepared a program of projects to secure \$59.78 million in federal fiscal year 2009-10 Section 5307 Urbanized Area Formula Program funds. Federal law requires a public participation process for the program of projects to receive and respond to public input. Amendments to previously approved federal grants are also submitted for approval based on recent Board of Directors' action on bus service reductions.



BOARD AGENDA

ACTIONS

4. (Continued)

Recommendations

- A. Consider public hearing comments on the program of projects.
- B. Approve the fiscal year 2009-10 Federal Transit Administration program of projects for capital and operating funding based on the estimated federal apportionment. The amount will be adjusted to reflect actual apportionment when finalized by the United States Department of Transportation.
- C. Approve the use of \$20.2 million in prior year Federal Transit Administration, Section 5307 funds for the Orange County Transportation Authority share of the Metrolink Service Expansion Program Rolling Stock Acquisition Project.
- D. Approve the use of \$16.5 million in federal Congestion Mitigation and Air Quality funds originally programmed to bus rapid transit (\$8.15 million), Metrolink Service Expansion Program operations (\$8.15 million), and Metrolink station improvements (\$0.20 million) to the rideshare program (\$2.24 million) and the Metrolink Service Expansion Program Rolling Stock Acquisition Project (\$14.26 million).
- E. Authorize the Chief Executive Officer to submit and execute the federal fiscal year 2009-10 Section 5307 and other federal transit funding grant applications to the Federal Transit Administration.
- F. Authorize staff to process all necessary amendments to the Regional Federal Transportation Improvement Program and execute all necessary agreements to facilitate the above actions.



BOARD AGENDA

ACTIONS

5. **Public Hearing for the 2009 Orange County Congestion Management Program**

Gregory Nord/Kia Mortazavi

Overview

The Orange County Transportation Authority is responsible for monitoring and reporting on the Orange County Congestion Management Program every two years in accordance with state law. The Orange County Congestion Management Program report has been updated for 2009 and all requirements have been fulfilled. A public hearing is required prior to Board of Directors' adoption.

Recommendations

- A. Consider public hearing comments received on the 2009 Orange County Congestion Management Program.
- B. Adopt the 2009 Orange County Congestion Management Program.
- C. Direct staff to forward the 2009 Orange County Congestion Management Program to the Southern California Association of Governments for a finding of regional consistency.

Consent Calendar (Items 6 through 20)

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

6. **Approval of Minutes**

Of the Orange County Transportation Authority and affiliated agencies' regular meeting of November 23, 2009.



BOARD AGENDA

ACTIONS

7. **Proposed Board of Directors' Meeting Calendar for the Year 2010**

Wendy Knowles

Overview

Presented is the proposed official Board of Directors' meeting calendar for 2010, depicting the dates of the Board meetings and holidays for the year.

Recommendation

Adopt the Orange County Transportation Authority and affiliated agencies Board of Directors' meeting calendar for the year 2010.

8. **Conflict of Interest Code and Annual Statement of Economic Interests Filing for 2009**

Wendy Knowles

Overview

Pursuant to the Orange County Transportation Authority's Conflict of Interest Code, Members of the Board of Directors and certain designated employees are required to file Statements of Economic Interests.

Recommendations

- A. Approve the amended designated positions and disclosure categories for the Orange County Transportation Authority Conflict of Interest Code and direct staff to forward them to the reviewing body, the Orange County Board of Supervisors.
- B. Direct the Clerk of the Board to distribute and monitor Statements of Economic Interests for 2009 for Members of the Board of Directors, the Chief Executive Officer, and certain designated employees, and to file those statements with the Clerk of the Orange County Board of Supervisors by April 1, 2010.



BOARD AGENDA

ACTIONS

9. Performance Evaluation of Sacramento Legislative Advocate, Sloat Higgins Jensen & Associates
Wendy Villa/Kristine Murray

Overview

The firm, Sloat Higgins Jensen & Associates provides state legislative advocacy services for the Orange County Transportation Authority in Sacramento. A staff evaluation of the services provided during the past 12 months is presented to the Board of Directors for consideration and further comment.

Recommendation

Receive and file the staff evaluation as an information item and provide any additional comments.

10. Fiscal Year 2008-09 Comprehensive Annual Financial Report, 91 Express Lanes Fund Financial Statements, and 91 Express Lanes Fund Franchise Agreement Report
Tom Wulf/Kenneth Phipps

Overview

The Orange County Transportation Authority is required to obtain an independent auditor's opinion on various financial statements and schedules. Mayer Hoffman McCann P.C., an independent accounting firm, has completed its annual audit of the Orange County Transportation Authority's Comprehensive Annual Financial Report, 91 Express Lanes Fund financial statements, and the special-purpose 91 Express Lanes Fund Franchise Agreement schedules for fiscal year 2008-09.

Recommendation

Receive and file the fiscal year 2008-09 Comprehensive Annual Financial Report, 91 Express Lanes Fund financial statements, and 91 Express Lanes Fund Franchise Agreement Report.



BOARD AGENDA

ACTIONS

11. **Orange County Employees' Retirement System Early Payment for Fiscal Year 2010-11**

Rodney Johnson/Kenneth Phipps

Overview

The Orange County Employees' Retirement System has offered an early payment discount to member agencies of 7.75 percent if they elect to prepay their contributions for fiscal year 2011. Advance payments must be received before January 16, 2010. The Orange County Transportation Authority has estimated the savings over the next year and a half under this payment option to total approximately \$1.28 million.

Recommendation

Authorize the early payment of approximately \$15.5 million by January 16, 2010, to the Orange County Employees Retirement System for member contributions for fiscal year 2011.

12. **Fiscal Year 2009-10 First Quarter Budget Status Report**

Victor Velasquez/Kenneth Phipps

Overview

The Orange County Transportation Authority's staff has implemented the fiscal year 2009-10 budget. This report summarizes the material variances between the budget plan and actual revenues and expenses.

Recommendation

Receive and file as an information item.



BOARD AGENDA

ACTIONS

13. **First Quarter Fiscal Year 2009-10 Grant Status Report**
Anthony Baruch/Kenneth Phipps

Overview

The Quarterly Grant Status Report summarizes grant activities for information purposes for the Orange County Transportation Authority Board of Directors. This report focuses on significant activity for the period of July through September 2009. The Quarterly Grant Status Report summarizes future and pending grant applications, awarded/executed and current grant agreements, as well as closed-out grant agreements.

Recommendation

Receive and file as an information item.

14. **Change of Signage on the San Diego Freeway (Interstate 405)**
Harry W. Thomas/Kia Mortazavi

Overview

In February 2009, the Board of Directors requested the California Department of Transportation change the destination signage for the southbound San Diego Freeway (Interstate 405) to indicate "Irvine/San Diego." To implement this request, a resolution is presented for Board of Directors' approval. Adoption of this resolution will support the request of the City of Irvine to start the signage change process with the California Department of Transportation, the Federal Highway Administration, and the American Association of State Highway and Transportation Officials.

Recommendation

Adopt Resolution 2009-54 supporting the request of the City of Irvine and authorize the Chief Executive Officer to transmit a request to the California Department of Transportation to initiate the process to designate the City of Irvine as a destination for the southbound San Diego Freeway (Interstate 405) and modify the overhead signage to indicate Irvine/San Diego.



BOARD AGENDA

ACTIONS

15. **2010 Long-Range Transportation Plan Status**

Gregory Nord/Kia Mortazavi

Overview

The Orange County Transportation Authority updates the Long-Range Transportation Plan every four years. The last Long-Range Transportation Plan update was in 2006 and staff has initiated the process for a 2010 update. An overview of the process and schedule is provided for review.

Recommendation

Receive and file as an information item.

16. **2010 Regional Transportation Improvement Program and Financial Plan**

Ben Ku/Kia Mortazavi

Overview

The Orange County Transportation Authority is responsible for the biennial preparation of the Regional Transportation Improvement Program for Orange County. This document is required under state and federal laws and includes the financial information for regionally significant transportation improvement projects in Orange County valued at \$4.3 billion. A summary of the Regional Transportation Improvement Program, the required financial plan, and resolution are submitted for Board of Directors' approval.

Recommendations

- A. Approve the Orange County Regional Transportation Improvement Program financial plan for fiscal years 2010-11 through 2015-16.
- B. Direct staff to submit the Orange County Regional Transportation Improvement Program for fiscal years 2010-11 through 2015-16 to the Southern California Association of Governments.
- C. Authorize staff to process all necessary amendments to the Regional Transportation Improvement Program and execute all necessary agreements to facilitate programming of projects.
- D. Adopt Resolution 2009-68 of the Board of Directors of the Orange County Transportation Authority, fiscal years 2010-11 through 2015-16, Regional Transportation Improvement Program.



BOARD AGENDA

ACTIONS

17. **Special Needs in Transit Advisory Committee Appointments and Report of Activities for 2009**

Gaile Raimer/Ellen S. Burton

Overview

On December 31, 2009, the terms of eight Special Needs in Transit Advisory Committee members will expire. Additionally, three members have resigned before the expiration of their terms because of scheduling conflicts and employment changes. This creates a total of eleven openings on the committee. This report recommends candidates for appointment and highlights the Special Needs in Transit Committee's activities for the year 2009.

Recommendations

- A. Approve the appointment of members to serve on the Special Needs in Transit Advisory Committee.
- B. Receive and file the Special Needs in Transit Advisory Committee's Report of Activities for 2009.

Orange County Service Authority For Freeway Emergencies

18. **Agreements for Freeway Service Patrol Services**

P. Sue Zuhlke/James S. Kenan

Overview

On August 24, 2009, staff was directed to terminate for convenience Agreement Nos. C-8-1336, C-9-0349, and C-9-0350 and to reissue a request for proposals for the Freeway Service Patrol services covered under these agreements. Offers were received in accordance with the Orange County Transportation Authority's procurement procedures for professional and technical services.



BOARD AGENDA

ACTIONS

18. (Continued)

Recommendations

- A. Authorize the Chief Executive Officer to execute Agreement No. C-9-0719 between the Orange County Transportation Authority and Greater Southern California Towing, Inc., in an amount not to exceed \$1,414,500, to provide Freeway Service Patrol services from January 1, 2010 through November 30, 2013.
- B. Authorize the Chief Executive Officer to execute Agreement No. C-9-0840 between the Orange County Transportation Authority and Top Towing, in an amount not to exceed \$1,157,184, to provide Freeway Service Patrol services from January 1, 2010 through November 30, 2013.
- C. Authorize the Chief Executive Officer to execute Agreement No. C-9-0841 between the Orange County Transportation Authority and A & B Towing, in an amount not to exceed \$2,394,005, to provide Freeway Service Patrol services from January 1, 2010 through November 30, 2013.
- D. Authorize the Chief Executive Officer to execute Agreement No. C-9-0842 between the Orange County Transportation Authority and California Coach Orange, Inc., in an amount not to exceed \$2,936,520, to provide Freeway Service Patrol services from January 1, 2010 through November 30, 2013.



BOARD AGENDA

ACTIONS

Orange County Local Transportation Authority Consent Calendar Matters

19. Cooperative Agreements for the Santa Ana Freeway (Interstate 5) Gateway Project for Landscape Construction and Maintenance of the Orange County Monument Sign
Charles Guess/Kia Mortazavi

Overview

The Orange County Transportation Authority proposes to enter into a cooperative agreement with the California Department of Transportation for constructing the Santa Ana Freeway (Interstate 5) Gateway Project landscaping and amend an agreement with the City of Buena Park to add the maintenance of the new Orange County monument sign.

Committee Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-0778 between the Orange County Transportation Authority and the California Department of Transportation to establish the roles, responsibilities, and processes for the implementation of landscaping construction on the Santa Ana Freeway (Interstate 5) Gateway Project, in an amount not exceed \$1,279,000.
- B. Authorize the Chief Executive Officer to negotiate Amendment No. 4 to Agreement No. C-5-2358 between the Orange County Transportation Authority and the City of Buena Park for maintenance of the Orange County monument sign, in an amount not to exceed \$105,000 and return back to the Highways Committee.



BOARD AGENDA

ACTIONS

Orange County Transit District Consent Calendar Matters

20. Customer Information Center Update

Marlon Perry/Ellen S. Burton

Overview

The Orange County Transportation Authority Customer Information Center assists customers with trip planning providing travel itineraries and general information to bus riders seven days a week, 365 days a year. This report provides an update on the Customer Information Center including the increases in call volume and an update on the pilot program to reduce operating costs.

Recommendation

Direct staff to return to the Board of Directors in six months with an update on the Customer Information Center costs and call volume and the progress of the pilot program.

Regular Calendar

Orange County Transportation Authority Regular Calendar Matters

21. Renewed Measure M Early Action Plan Review

Andrew Oftelie/Kenneth Phipps

Overview

The Renewed Measure M Early Action Plan was originally approved by the Board of Directors on July 16, 2007. The Orange County Transportation Authority is at the half-way point in its implementation of this five-year plan. In the course of implementing the Early Action Plan, changed conditions related to revenues and project schedules necessitate a fresh look at various policy considerations. While some projects have already been adjusted, other projects should be reviewed and adjusted appropriately. A status of each of the Early Action Plan objectives is presented.



BOARD AGENDA

ACTIONS

21. (Continued)

Committee Recommendations

- A. Direct staff to initiate the process to amend the Measure M Expenditure Plan to remove \$22 million intended for Renewed Measure M improvements on the Orange Freeway (State Route 57) project.
- B. Amend the Renewed Measure M Plan of Finance to allocate an additional \$22 million of Tax-Exempt Commercial Paper for the Orange Freeway (State Route 57) project.
- C. Direct staff to include clarifying language in the Renewed Measure M Eligibility Guidelines to address recent audit findings in lieu of amending the Local Transportation Authority Ordinance No. 3.
- D. Direct staff to return with an action plan on Measure M streets and roads project delivery before allocating Renewed Measure M funds to local jurisdictions.
- E. Revise the Metrolink Service Expansion Program to reduce the number of weekday trains from 76 per weekday to 56 per weekday as part of the Renewed Measure M Early Action Plan, with full build-out of 76 trains per weekday to be implemented commensurate with future ridership demand and available funding.
- F. Direct staff to revisit the conceptual engineering schedules and evaluate financial capacity to advance freeway projects.



BOARD AGENDA

ACTIONS

22. **Approval to Release Request for Proposals for Program Management Consultant for Construction of the Railroad Grade Separation Projects**
Tom Bogard/Kia Mortazavi

Overview

The Orange County Transportation Authority staff has developed a draft Request for Proposals to initiate a competitive procurement process to retain a program management consultant to provide construction management oversight and coordination of all railroad grade separation projects.

Recommendations

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 9-XXXX for selection of consultant services.
- B. Approve the release of Request for Proposals 9-XXXX for program management consultant for construction for railroad grade separation projects

23. **Orange County Subregional Sustainable Communities Strategy**
Kristine Murray

Overview

On Thursday, November 19, 2009, the Orange County Council of Governments approved the original cooperative agreement with the Orange County Transportation Authority for SB 375 (chapter 728, statutes of 2008) planning requirements. As part of the motion to approve, the Orange County Council of Governments' Board of Directors also requested to work with the Orange County Transportation Authority to establish a joint working committee for sustainable communities strategy development and planning.

The Orange County Council of Governments Board also took action to notify the Southern California Associated Governments that the Board intended to work with the Orange County Transportation Authority and Southern California Associated Governments to conduct a subregional sustainable communities strategy for Orange County. This action was dependent upon negotiating a memorandum of understanding with the Southern California Associated Governments on the terms, roles, and responsibilities for conducting a subregional sustainable community strategy in Orange County.



BOARD AGENDA

ACTIONS

23. (Continued)

Recommendations

- A. Staff recommends that the Orange County Transportation Authority approve an action to notify the Southern California Associated Governments of its intent to work with the Orange County Council of Governments per the terms of the SB 375 planning requirements agreement on the development of a subregional sustainable communities strategy for Orange County, dependent upon negotiating a memorandum of understanding with Southern California Associated Governments on the terms, roles, and responsibilities for subregional delegation.
- B. Staff also recommends that the Orange County Transportation Authority and Orange County Council of Governments establish a joint working committee for SB 375 planning purposes, membership to be designated by the chairs of both boards, to meet as needed during the sustainable communities strategy planning and approval process.

Discussion Items

- 24. Highway Projects Status Report
Tom Bogard/Kia Mortazavi
- 25. Digital Agenda Pilot Program
Stella Lin/Ellen S. Burton
- 26. Chief Executive Officer's Report
- 27. Directors' Reports
- 28. 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.



BOARD AGENDA

ACTIONS

29. Closed Session

Pursuant to Government Code Section 54957.6 to discuss negotiations with Teamsters Local 952 regarding the coach operators. The lead negotiator for the Orange County Transportation Authority is Paddy Gough, and the Teamsters Local 952 negotiator is Patrick Kelly.

30. Adjournment

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, January 11, 2010**, at Orange County Transportation Authority Headquarters.



ORANGE COUNTY
TRANSPORTATION AUTHORITY

RESOLUTION

CATHY GREEN

WHEREAS, *Cathy Green has served as a member of the Orange County Transportation Authority Board of Directors for four years, providing leadership and expertise to meet the growing transportation needs of Orange County; and*

WHEREAS, *Cathy Green has served as Vice Chair of the Highways Committee and as a member of the Finance and Administration Committee, Environmental Oversight Committee, the Transit Committee, and the I-405 Policy Working Group; and*

WHEREAS, *during her successful tenure as a Director on the Orange County Transportation Authority Board, Cathy Green provided guidance during the development and passage of the Renewed Measure M program, the construction of the SR-22 freeway, and the ongoing success of the County's bus and Metrolink commuter rail service; and,*

WHEREAS, *Cathy Green's leadership at the Orange County Transportation Authority was instrumental in communicating to Second Supervisorial District and Orange County stakeholders the policies and procedures of the Renewed Measure M Freeway Environmental Mitigation Program; and,*

WHEREAS, *Cathy Green continues her devotion to the City of Huntington Beach, serving since 2002 as a member of the City Council and as mayor; and in recognition of her efforts as a founding member of the Amigos de Bolsa Chica; and for her leadership on various local and regional boards; and,*

NOW, THEREFORE, BE IT RESOLVED *that the Orange County Transportation Authority Board of Directors is privileged to recognize Cathy Green's outstanding public service; and*

BE IT FURTHER RESOLVED *that Cathy Green is commended for her insight, leadership, and support in providing safer, faster, and more efficient transportation solutions for the residents of Orange County.*

Dated: December 14, 2009

Peter Buffa, Chairman
Orange County Transportation Authority

Will Kempton, Chief Executive Officer
Orange County Transportation Authority





ORANGE COUNTY
TRANSPORTATION AUTHORITY

RESOLUTION

MANUEL LARA

WHEREAS, *the Orange County Transportation Authority recognizes and commends Manuel Lara; and*

WHEREAS, *let it be known that Manuel Lara has demonstrated excellent customer service skills, and has been with the Authority since July 1995. He has distinguished himself by maintaining an outstanding record for attendance and customer relations; and*

WHEREAS, *Manuel's dedication to his duties and desire to excel are duly noted, and he is recognized as an outstanding Authority employee who has consistently demonstrated a level of professionalism that is the embodiment of the Authority's core values; and*

WHEREAS, *be it known that Manuel Lara has been a principal player at the OCTA and has performed his responsibilities as a Coach Operator in a professional, courteous and reliable manner.*

NOW, THEREFORE, BE IT RESOLVED *that the Authority does hereby declare Manuel Lara as the Orange County Transportation Authority Coach Operator of the Month for December 2009; and*

BE IT FURTHER RESOLVED *that the Orange County Transportation Authority Board of Directors recognizes Manuel Lara's valued service to the Authority.*

Dated: December 14, 2009

Peter Buffa, Chairman
Orange County Transportation Authority

Will Kempton, Chief Executive Officer
Orange County Transportation Authority

OCTA Resolution No. 2009-65





ORANGE COUNTY
TRANSPORTATION AUTHORITY

RESOLUTION

PAUL BAGGA

WHEREAS, the Orange County Transportation Authority recognizes and commends Paul Bagga; and

WHEREAS, be it known that Paul Bagga is a valued member of the Maintenance Department;

WHEREAS, Paul's dedication to his duties and desire to excel are duly noted, and he is recognized as an outstanding Authority employee. Paul is always innovative in his approach to new challenges. He is task oriented, completes all assignments in a timely fashion and possesses a very upbeat and enthusiastic attitude;

WHEREAS, Paul is an Advanced Technology Technician who inspects and repairs the CNG-powered cutaway buses, ensuring the buses are in safe operating condition. Paul's dedication and pride in his work has helped to speed the process of completing repairs necessary to return the vehicles back to the customer. Paul has worked many long hours to help bring the vehicles' electrical system, fire suppression and fuel system up to Authority standards..

NOW, THEREFORE, BE IT RESOLVED that the Authority does hereby declare Paul Bagga as the Orange County Transportation Authority Maintenance Employee of the Month for December, 2009; and

BE IT FURTHER RESOLVED that the Orange County Transportation Authority Board of Directors recognizes Paul Bagga's valued service to the Authority.

Dated: December 14, 2009

Peter Buffa, Chairman
Orange County Transportation Authority

Will Kempton, Chief Executive Officer
Orange County Transportation Authority

OCTA Resolution No. 2009-66





ORANGE COUNTY
TRANSPORTATION AUTHORITY

RESOLUTION

Andrew Oftelie

WHEREAS, the Orange County Transportation Authority recognizes and commends Andrew Oftelie for his outstanding contributions to Authority business; and

WHEREAS, Andrew Oftelie has provided exemplary leadership in developing a financial plan to guide the Orange County Transportation Authority through the countywide bus service reduction; and

WHEREAS, Andrew Oftelie has been an integral member of the team in charge of the development of the Renewed Measure M Early Action Plan, providing guidelines for the programs and capital projects, as well as interfacing with the various cities and elected officials; and

WHEREAS, Andrew Oftelie has been a key member of the management team in charge of collective bargaining contract negotiations, ensuring fairness and financial integrity for the Authority and its' employees; and

WHEREAS, Andrew Oftelie has made tireless efforts to provide the Authority with a balanced budget despite challenging financial times with reduced revenues; and

WHEREAS, Andrew Oftelie has an excellent working relationship with all levels of the organization and has provided profound leadership within the Financial Planning and Analysis Department.

NOW, THEREFORE, BE IT RESOLVED that the Authority does hereby declare Andrew Oftelie as the Orange County Transportation Authority Administration Employee of the Month for December 2009; and

BE IT FURTHER RESOLVED that the Orange County Transportation Authority Board of Directors recognizes Andrew Oftelie's outstanding service.

Dated: December 14, 2009

Peter Buffa, Chairman
Orange County Transportation Authority

Will Kempton, Chief Executive Officer
Orange County Transportation Authority





ORANGE COUNTY
TRANSPORTATION AUTHORITY

RESOLUTION

SERGEANT STUART GREENBERG

WHEREAS, the Orange County Transportation Authority recognizes and commends Sergeant Stuart Greenberg; and

WHEREAS, Sergeant Greenberg has been assigned to Transit Police Services since July 2008, supervising deputies assigned to Fixed Route Operations and the Right-of-Way. Most of his time is spent overseeing the Right-of-Way Team and the numerous annual directed enforcement operations such as Zero Tolerance, graffiti abatement, fare evasion and Operation Lifesaver; and

WHEREAS, Sergeant Greenberg is commended for his outstanding leadership and commitment to the security and safety needs of the employees and customers of the Orange County Transportation Authority.

WHEREAS, On August 12, 2009, Sergeant Greenberg was conducting a patrol check at the San Clemente Metrolink Station. He saw an Amtrak train start to leave the station when he noticed two children, ages 8 and 4, running along the platform next to the moving train. He heard both children screaming "Daddy" and sounding very upset. One of the boys jumped and grabbed onto the door handle attached to the train. He hung on for several seconds and then let go. The children were within inches of the moving train and continuing to run along side of it when Sergeant Greenberg exited his patrol car, ran to the children and carried them away from the moving train;

NOW, THEREFORE, BE IT RESOLVED that the Authority does hereby declare Sergeant Stuart Greenberg as the Orange County Transportation Authority Transit Police Services Employees of the Quarter for December 2009; and

BE IT FURTHER RESOLVED that the Orange County Transportation Authority Board of Directors recognizes Sergeant Stuart Greenbergs' valued service to the Authority.

Dated: December 14, 2009

Peter Buffa, Chairman
Orange County Transportation Authority

Will Kempton, CEO
Orange County Transportation Authority





December 14, 2009

To: Members of the Board of Directors
From: Will Kempton, Chief Executive Officer
Subject: Public Hearing for Orange County Transportation Authority Section 5307 Urbanized Area Formula Program of Projects for Federal Fiscal Year 2009-10

Overview

The Orange County Transportation Authority has prepared a program of projects to secure \$59.78 million in federal fiscal year 2009-10 Section 5307 Urbanized Area Formula Program funds. Federal law requires a public participation process for the program of projects to receive and respond to public input. Amendments to previously approved federal grants are also submitted for approval based on recent Board of Directors' action on bus service reductions.

Recommendations

- A. Consider public hearing comments on the program of projects.
- B. Approve the fiscal year 2009-10 Federal Transit Administration program of projects for capital and operating funding based on the estimated federal apportionment. The amount will be adjusted to reflect actual apportionment when finalized by the United States Department of Transportation.
- C. Approve the use of \$20.2 million in prior year Federal Transit Administration, Section 5307 funds for the Orange County Transportation Authority share of the Metrolink Service Expansion Program Rolling Stock Acquisition Project.
- D. Approve the use of \$16.5 million in federal Congestion Mitigation and Air Quality funds originally programmed to bus rapid transit (\$8.15 million), Metrolink Service Expansion Program operations (\$8.15 million), and Metrolink station improvements (\$0.20 million) to the rideshare program (\$2.24 million) and the Metrolink Service Expansion Program Rolling Stock Acquisition Project (\$14.26 million).

- E. Authorize the Chief Executive Officer to submit and execute the federal fiscal year 2009-10 Section 5307 and other federal transit funding grant applications to the Federal Transit Administration.
- F. Authorize staff to process all necessary amendments to the Regional Federal Transportation Improvement Program and execute all necessary agreements to facilitate the above actions.

Background

Federal Transit Administration (FTA), Section 5307 Program of Projects (POP)

The FTA, Section 5307 Urbanized Area (UZA) formula program makes federal funds available for transit capital assistance to UZAs. For areas with populations of 200,000 or more, the formula is based on a combination of bus revenue vehicle miles, bus passenger miles, fixed guideway revenue vehicle miles, and fixed guideway route miles, as well as population and population density. The Orange County Transportation Authority (OCTA) is the designated recipient for the UZAs in Orange County. OCTA typically uses FTA, Section 5307 funds for capital cost of contracting, preventive maintenance, replacement and expansion vehicles for fixed-route and paratransit service, revenue vehicle modifications, facility modifications, and bus-related equipment. Projects are selected for the POP based on OCTA's Comprehensive Business Plan and the Long-Range Transportation Plan, which identify the transit system's operating and capital funding needs.

The Board of Directors (Board) approved the federal fiscal year (FFY) 2008-09 POP at its November 24, 2008, meeting and amended the program at its June 2, 2009, meeting. Actual apportionments are released later in the year and the POP is adjusted accordingly. Based on recent Board action related to the March 2010 bus service reduction, staff is also recommending changes to the prior year Section 5307 POP in support of the Board recommendations.

FTA regulations require a public participation process and Board approval in the development of the Section 5307 POP in order to receive fiscal year (FY) 2009-10 funds.

Congestion Mitigation and Air Quality (CMAQ)

The CMAQ Program, jointly administered by the Federal Highway Administration (FHWA) and the FTA, was reauthorized in 2005 under the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). The SAFETEA-LU CMAQ program provides funds to

invest in projects that reduce air pollutants regulated from transportation-related sources over a period of five years (2005-2009). OCTA receives approximately \$40 million in CMAQ funds annually. Eligible uses of CMAQ funds include highway and transit capital projects with air quality benefits and limited operating assistance to introduce new transit service or expand existing service.

On June 8, 2009, the Board approved using \$16.5 million in CMAQ funds for Metrolink Service Expansion Program (MSEP) operations (\$8.15 million), bus rapid transit (BRT [\$8.15 million]), and Metrolink station improvements (\$0.20 million). These funds were transferred from the FHWA to the FTA and are available for inclusion in an FTA grant application.

Discussion

FTA, Section 5307 POP

OCTA is expected to receive approximately \$59.78 million in federal Section 5307 funds for FFY 2009-10, for the period beginning with October 1, 2009 through September 30, 2010. The local match required for FTA capital projects is 20 percent. OCTA will provide \$51.14 million in non-federal funds for these projects, which is well beyond the required match but necessary to complete full project funding.

Key proposed projects and activities (Attachment A [federal plus local contributions]) include:

- \$57.82 million for non-fixed-route operating assistance and preventive maintenance (\$32.81 million in Section 5307 funds);
- \$32.55 million for capital costs of contracting (\$10.42 million in Section 5307 funds);
- \$9.75 million for commuter rail station improvements (\$7.8 million in Section 5307 funds);
- \$3.86 million for the replacement and expansion paratransit vans (\$3.2 million in Section 5307 funds);
- \$3.82 million for transit service support vehicles (\$3.06 million Section 5307 funds);
- \$2.38 million for rail rolling stock acquisition (\$1.9 million Section 5307 funds); and
- \$0.75 million for bike and pedestrian enhancements (\$0.59 million Section 5307 funds).

The use of Section 5307 funds have been maximized for bus operations and capital cost of contracting consistent with Board direction to seek alternate funding to offset loss of State Transit Assistance funds. Section 5307 funding is also proposed for rail station improvements required to support the commuter rail capital program. The expansion and replacement of paratransit service and OCTA support vehicles is necessary to keep the fleet in good working order and minimize costs associated with maintaining older fleet vehicles. Section 5307 funds directed to the rail rolling stock acquisition offsets Commuter and Urban Rail Endowment (CURE) funds which can be used for bus transit operations (Attachment B). While the rail program relies on CURE funds for operation, at this stage of rail program development, capital funding is what is needed. Lastly, Section 5307 guidelines require a minimum 1 percent set aside for transit enhancements including bike and pedestrian projects. These funds will be included in a future call for projects that is tentatively scheduled for Board approval in March of 2010.

The schedule for adopting the POP allows OCTA to complete the required processes so that the agency is able to seek federal reimbursement for all items included in the POP in a timely manner. The proposed POP will become final if there are no public comments or Board changes received on the draft. If comments are received and changes need to be made, OCTA will publish the new POP through a second public hearing process.

Amendment to Prior FTA, Section 5307 POP

The Board recently approved a strategy to shift Transportation Development Act (TDA) funds to bus operations from the rail operating account (CURE). To help backfill CURE, staff is requesting to use \$20.2 million in prior year available Section 5307 funds for the rolling stock acquisition component of the MSEP. By using the Section 5307 funds for the MSEP rolling stock acquisition, Measure M funds previously committed to the rolling stock can be used to replace the TDA funds in the CURE for rail operations (Attachment B).

CMAQ Transfer

The Board has previously approved the use of \$16.5 million in CMAQ funding for BRT, MSEP operations, and Metrolink station improvements.

BRT operations have since been postponed. In addition, Metrolink has expressed concerns regarding using federal funds where the operations will need to be federalized. Meanwhile, the federal government implemented a

rescission on September 29, 2009, which will constrain OCTA's available CMAQ until FFY 2011-12.

It is recommended to transfer the bulk of the \$16.5 million in available CMAQ funds to the MSEP Rolling Stock Acquisition Project (\$14.26 million) and program the balance for rideshare services (\$2.24 million). Using the CMAQ funds for the rolling stock acquisition instead of CURE funding allows the CURE funds to be available for bus operations. Due to the recent rescission of OCTA's CMAQ apportionment, OCTA is unable to access FFY 2009-10 CMAQ funding for the rideshare program. Using a portion of the prior year CMAQ funds will allow OCTA to continue the rideshare program in spite of the rescission. OCTA programs approximately \$0.75 million to the rideshare program annually. The \$2.24 million, which staff proposes to move to the rideshare program, will meet the CMAQ funding originally committed for FY 2009-10 through FY 2011-12.

Fiscal Impact

Staff proposes to use local transit funds as the match for the Section 5307 program grant. These funds were previously approved in the FY 2009-10 budget as the required match to the Section 5307 funds.

Summary

Board approval is necessary to meet FTA requirements for the Section 5307 UZA formula POP for FFY 2009-10, totaling \$110.92 million, including the local match. Staff proposes to transfer \$16.50 million in CMAQ funds and \$20.2 million in prior year FTA, Section 5307 funds to be used for a MSEP Rolling Stock Acquisition Project and the rideshare program. These efforts support recent Board action on minimizing the impacts of bus service reductions.

Attachments

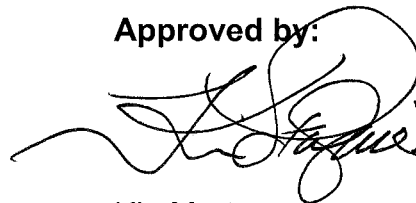
- A. Proposed Program of Projects for Section 5307 Grant Revenue (Federal Fiscal Year 2010)
- B. Funding Adjustments Flow Chart – Summary of Transfers to Bus Operations

Prepared by:



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Proposed Program of Projects for Section 5307 Grant Revenue (Federal Fiscal Year 2010)

Line Item Description	FTA Number	FTIP Number	Federal Share	Local Match	Total	Federal Percentage
Other Bus Capital Assistance			\$ 32,806,909	\$ 25,012,370	\$ 57,819,279	56.74%
Non-Fixed-Route Paratransit Operations Assistance @ 10% (maximum) ¹	11.7C.00	ORA174	4,936,720	18,044,823	22,981,543	21.48%
Non-Fixed-Route Paratransit Operations Assistance (Mission Viejo)	11.7C.00	ORA021202	1,041,485	260,371	1,301,856	80.00%
Preventive Maintenance - Salaries & Benefits	11.7A.00	ORA020106	19,148,452	4,787,113	23,935,565	80.00%
Preventive Maintenance - Salaries & Benefits (Mission Viejo)	11.7A.00	ORA021203	7,680,252	1,920,063	9,600,315	80.00%
Transit Enhancements			\$ 597,821	\$ 149,455	\$ 747,276	80.00%
Bicycle Pedestrian & Facilities Program - Construction @ 1% (minimum)	11.93.05	ORA110634	493,672	123,418	617,090	80.00%
Bicycle Pedestrian & Facilities Program - Construction (Mission Viejo)	11.93.05	ORA110632	104,149	26,037	130,186	80.00%
Transit Security Program - Construction @ 1% (minimum)	11.42.09	ORA080907	-	-	-	0.00%
Capital Cost of Contracting - Veolia/Mission Viejo ACCESS and Contracted Fixed-Route Contracts	11.71.12	ORA080803	\$ 10,417,028	\$ 22,136,185	\$ 32,553,213	32.00%
			10,417,028	22,136,185	32,553,213	
Expansion Paratransit Vans (21) Paratransit Vans	11.13.04	ORA041502	\$ 1,611,034	\$ 329,971	\$ 1,941,005	83.00%
			1,611,034	329,971	1,941,005	
Expansion Paratransit Vans (11) Paratransit Vans (Mission Viejo)	11.13.04	ORA020119	\$ 878,967	\$ 180,029	\$ 1,058,996	83.00%
			878,967	180,029	1,058,996	
Replacement Paratransit Vans (8) Paratransit/Contracted Fixed-Route Vans (Mission Viejo)	11.12.04	ORA990921	\$ 710,000	\$ 145,422	\$ 855,422	83.00%
			710,000	145,422	855,422	
Service and Support Vehicles Service and Support Vehicles	11.42.20	ORA080919	\$ 3,060,293	\$ 765,073	\$ 3,825,366	80.00%
			3,060,293	765,073	3,825,366	80.00%
Commuter Rail Rolling Stock (MSEP) Commuter Rail Rolling Stock - Cab Cars (1)	12.13.23	ORA090302	\$ 1,900,000	\$ 475,000	\$ 2,375,000	80.00%
			1,900,000	475,000	2,375,000	80.00%
Commuter Rail Station Improvements Commuter Rail Station Improvements	12.33.03	ORA120537	\$ 7,800,000	\$ 1,950,000	\$ 9,750,000	80.00%
			7,800,000	1,950,000	9,750,000	80.00%
Total Eligible Project Cost			\$ 59,782,052	\$ 51,143,505	\$ 110,925,557	
Total Eligible Cost			\$ 59,782,052	\$ 51,143,505	\$ 110,925,557	
Adjustment Amount			-	-	-	
Gross Project Cost			\$ 59,782,052	\$ 51,143,505	\$ 110,925,557	

Fiscal Year 2010 - Section 5307 Federal Apportionments (forecast)	Orange (UZA 2)	\$ 49,367,199
	Mission Viejo (UZA 68)	10,414,853
	Total OCTA	\$ 59,782,052

¹ Maximum 10% of the Fiscal Year UZA 2 Apportionment

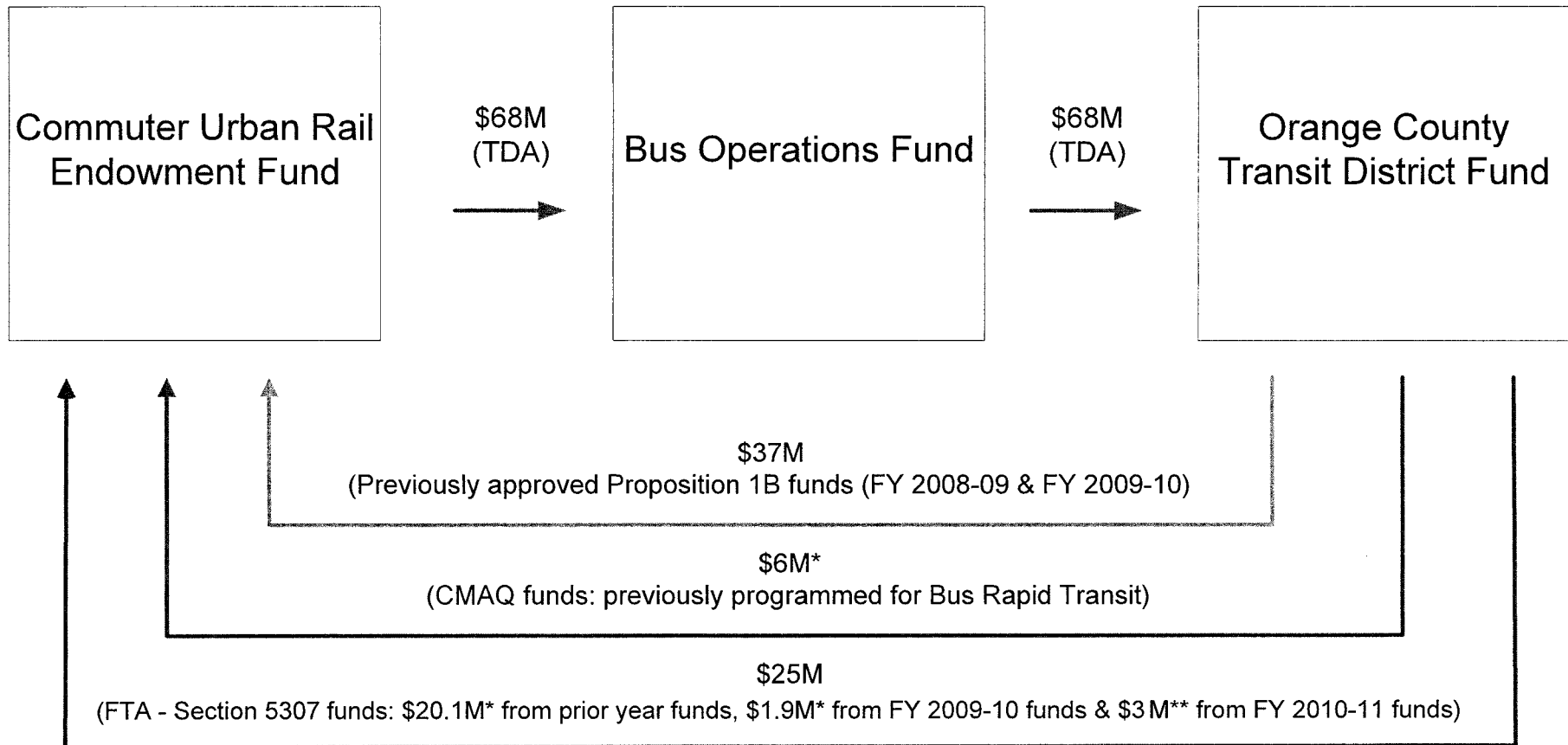
FTA - Federal Transit Administration

FTIP - Federal Transportation Improvement Program

UZA - Urbanized Area

Funding Adjustments Flow Chart

Summary of Transfers to Bus Operations



- * To be approved by Board of Directors on December 14, 2009
- ** Will be reflected in a future Program of Projects



M - Million
 TDA - Transportation Development Act
 FY - Fiscal Year
 CMAQ - Congestion Mitigation and Air Quality
 FTA - Federal Transit Administration



December 14, 2009

To: Members of the Board of Directors
From: Will Kempton, Chief Executive Officer
Subject: Public Hearing for the 2009 Orange County Congestion Management Program

Overview

The Orange County Transportation Authority is responsible for monitoring and reporting on the Orange County Congestion Management Program every two years in accordance with state law. The Orange County Congestion Management Program report has been updated for 2009 and all requirements have been fulfilled. A public hearing is required prior to Board of Directors' adoption.

Recommendations

- A. Consider public hearing comments received on the 2009 Orange County Congestion Management Program.
- B. Adopt the 2009 Orange County Congestion Management Program.
- C. Direct staff to forward the 2009 Orange County Congestion Management Program to the Southern California Association of Governments for a finding of regional consistency.

Background

In June 1990, the passage of Proposition 111 prompted legislation requiring urbanized areas to designate a congestion management agency (CMA) and adopt a Congestion Management Program (CMP) in order to continue receiving gas tax funds. As Orange County's designated CMA, the Orange County Transportation Authority (OCTA) is responsible for developing, monitoring, and biennially updating Orange County's CMP report. The purpose for the CMP is to provide a mechanism for coordinating land-use and transportation decisions and to manage traffic congestion by monitoring the transportation system.

The Orange County CMP report is a composite of data submittals such as traffic counts and capital improvement program projects. It was developed through cooperative efforts between OCTA, local jurisdictions, and public agencies over the past year in accordance with state legislation.

The draft 2009 Orange County CMP report was presented to the OCTA Board of Directors (Board) on October 26, 2009, and distributed to local jurisdictions and public agencies for review. Comments were received and incorporated into the final document as appropriate. The comments consisted of minor map and text edits, as well as clarification regarding the roles and responsibilities of the California Department of Transportation, District 12 (Caltrans). In accordance with state law, the final 2009 Orange County CMP report (Attachment A) is now being presented at a noticed public hearing prior to adoption. Public hearing notices were posted in the Orange County Register and Excelsior publications on November 13, 2009.

Discussion

Staff has developed the 2009 Orange County CMP report in compliance with state law. Caltrans submitted updated level of service (LOS) data for all Orange County freeways. In addition, OCTA assisted Orange County cities by funding and administering the collection of traffic count data at the 95 intersections within the Orange County CMP highway system. The count data was used to calculate intersection capacity utilization (ICU) ratings which represent the percent of capacity used at each intersection when demand is highest (morning and evening peak hours). Based on the ICU ratings, LOS grades are assigned to each intersection. Local jurisdictions reviewed and approved all of the intersection performance data.

LOS Grade	ICU Rating
A	< .61
B	.61 - .70
C	.71 - .80
D	.81 - .90
E	.91 - 1.00
F	> 1.00

The general performance standard that must be maintained is a LOS grade of E or better. In most cases, if an intersection receives an F it is considered deficient - operating over capacity. As such, a deficiency plan must be developed by the agency controlling the signals at the intersection. A deficiency plan identifies the cause of congestion, the improvements needed to solve the problem, and the cost and timing of the proposed improvements.

The 2009 CMP report identifies two intersections that have exceeded the LOS standard, as noted in the table below. Caltrans controls both of these intersections, which statutorily exempts the respective local jurisdictions from preparing a deficiency plan. As such, no deficiency plans are required from any Orange County local agencies in response to the 2009 Orange County CMP report.

Improvements at the San Diego Freeway (Interstate 5)/Ortega Highway (State Route 74) interchange are in final design and scheduled to be implemented by 2014. This project will eliminate a chokepoint, reduce congestion, and accommodate forecast traffic demand.

Jurisdiction	Responsible Agency	Intersection/Interchange	ICU	
			2009 AM	2009 PM
Laguna Beach	Caltrans	Laguna Canyon Road/ San Joaquin Transportation Corridor (State Route 73) northbound ramps	1.08	
San Juan Capistrano	Caltrans	Interstate 5 southbound ramps/State Route 74		1.06

Compared to the baseline year data, which represents the first year CMP data was collected for any given intersection (1992 in most cases), Orange County's overall congestion conditions have improved. The average morning ICU rating showed a 10.59 percent improvement and the average evening ICU rating showed a 9.35 percent improvement¹.

The improvements noted above demonstrate the importance of the investments made in our transportation system through various Measure M programs, developer fees, and toll roads. These improvements can also be contributed to CMP elements such as the capital improvement programs developed by local jurisdictions that aide in planning maintenance and improvements for roadways. Local jurisdictions provided capital improvement program submittals to OCTA, along with other statutorily required data. Based on these submittals and the performance measure data, OCTA finds that all Orange County jurisdictions are in compliance with the CMP requirements.

¹ The Imperial Highway (State Route 90) intersection at Orangethorpe Avenue, the Riverside Freeway (State Route 91) northbound ramps, and State Route 91 southbound ramps were not included in the analysis due to the ongoing construction of a rail grade separation project. The ICU data for these remaining intersections will be collected once the construction is complete and included in future CMP reports.

Next Steps

After the noticed public hearing and upon Board approval, the 2009 Orange County CMP report will be forwarded to the Southern California Association of Governments (SCAG) to determine consistency with the Regional Transportation Plan. Once SCAG issues a finding of consistency, local jurisdictions will remain eligible to receive Proposition 111 (1990) gas tax funds.

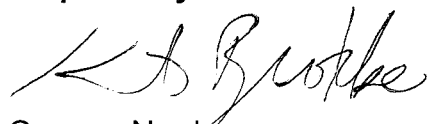
Summary

The 2009 Orange County CMP has been prepared in accordance with the statutory requirements set in place with the passage of Proposition 111 and has been developed through cooperative efforts involving local jurisdictions and public agencies. Monitoring efforts have determined that all requirements have been fulfilled and Board approval of the 2009 Orange County CMP is requested.

Attachment

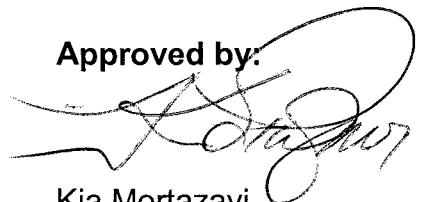
- A. Final Draft 2009 Orange County Congestion Management Program

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Final Draft 2009 Orange County Congestion Management Program



November 25, 2009

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Chapter 1: Introduction

Purpose & Need

In June 1990, the passage of the Proposition 111 gas tax increase required California's urbanized areas – areas with populations of 50,000 or more – to adopt a Congestion Management Program (CMP). The following year, Orange County's local governments designated the Orange County Transportation Authority (OCTA) as the Congestion Management Agency (CMA) for the County. As a result, OCTA is responsible for the development, monitoring, and biennial updating of Orange County's CMP.

The passage of Assembly Bill 2419, in July 1996, provided local agencies the option to elect out of the CMP process without the risk of losing state transportation funding. However, local jurisdictions in Orange County expressed a desire to continue the existing CMP process, because the requirements are similar to those of the Orange County Measure M Growth Management Program, and because it contributes to fulfilling federal requirements for the Congestion Management System (CMS), prepared by the Southern California Association of Governments (SCAG). The OCTA Board of Directors affirmed the decision to continue with the existing CMP process on January 13, 1997.

CMP Goals

The goals of Orange County's CMP are to support regional mobility and air quality objectives by reducing traffic congestion; provide a mechanism for coordinating land use and development decisions that support the regional economy; and determine gas tax fund eligibility.

To meet these goals, the CMP contains a number of policies designed to monitor and address system performance issues. OCTA developed the policies that makeup Orange County's CMP with local jurisdictions, the California Department of Transportation, and the South Coast Air Quality Management District.

State Legislation

Required Elements

California Government Code Section 65089(b) requires the CMP to include specific elements, which determine the nature of OCTA's CMP policies, and ensure that SCAG's CMS meets federal requirements. The government code statute for each required element is summarized below. The full text of the Government Code can be viewed at www.leginfo.ca.gov/calaw.html, sections 65088-65089.10.

Traffic Level of Service Standards – §65089(b)(1)(A) & (B)

Establish traffic level of service (LOS) standards for a system of highways and roadways. The highways and roadway system is designated by OCTA and shall include, at minimum, all state highways and principal arterials. None of the designated facilities may be removed, and new state highways and principal arterials must be added, except if it is within an infill opportunity zone. The LOS must be measured using a method that is consistent with the Highway Capacity Manual.

The LOS standards must not be below level of service “E”, unless the levels of service from the baseline CMP dataset were lower. If the LOS does not meet the minimum standard, and is outside an infill opportunity zone, a deficiency plan must be adopted.

Chapter two specifically addresses this element.

Performance Measures – §65089(b)(2)

Establish measures to evaluate the current and future performance of the transportation system. At minimum, the measures must be established for the highway and roadway system, frequency and routing of public transit, and for the coordination of transit service with separate operators. These measures will be used to support improvements to mobility, air quality, land use, and economic objectives, by being incorporated into the Capital Improvement Program, the Land Use Analysis Program, and any required deficiency plans.

Chapters two and three specifically address this element.

Travel Demand – §65089(b)(3)

Promote alternative transportation methods, improve the balance between jobs and housing, and other strategies. These methods and strategies may include, but are not limited to, carpools, vanpools, transit, bicycles, park-and-ride lots, flexible work hours, telecommuting, parking management programs, and parking cash-out programs.

Chapter six specifically addresses this element.

Land Use Analysis Program – §65089(b)(4)

Analyze the impacts of land use decisions on the transportation system, using the previously described performance measures. The analysis must also include cost estimates associated with mitigating those impacts. To avoid duplication, this program may require implementation through the requirements and analysis of the California Environmental Quality Act.

Chapter four specifically addresses this element.

Capital Improvement Program – §65089(b)(5)

Use the performance measures, described above, to determine effective projects that mitigate impacts identified in the land use analysis program, through an adopted seven-year capital improvement program. This seven-year program will conform to transportation-related air quality mitigation measures, and include any projects that will increase the capacity of the transportation system. Furthermore, consideration will be given to maintaining or improving bicycle access and safety within the project areas. Projects necessary for preserving investments in existing facilities may also be included.

Chapter five specifically addresses this element.

CMA Requirements

As Orange County's CMA, OCTA is responsible for the administration of the CMP, as well as providing data and models that are consistent with the Southern California Association of Governments (SCAG) region, and developing the deficiency plan processes. These requirements are described in the legislation, and are summarized below.

Modeling and Data Consistency – §65089(c)

In consultation with the SCAG and local governments, OCTA shall develop a uniform data base on traffic impacts for use in a countywide transportation computer model. Moreover, OCTA shall approve transportation models of areas within the county that will be used by local jurisdictions to determine the quantitative impacts of development on the circulation system, which are based on the countywide model and standardized modeling assumptions and conventions. All models and databases shall be consistent with SCAG.

Appendix D, Attachment 1, addresses this requirement.

Deficiency Plan Procedures – §65089.4

OCTA is responsible for preparing and adopting procedures for local deficiency plan development and implementation responsibilities. OCTA must also incorporate into its deficiency plan procedures, a methodology for determining if deficiency impacts are caused by more than one local jurisdiction within Orange County; in which case a multi-jurisdictional deficiency plan, adopted by all participating local jurisdictions, may be required. As a precaution, OCTA must establish a conflict resolution process for addressing conflicts or disputes between local jurisdictions in meeting the multi-jurisdictional deficiency plan responsibilities.

Chapter two discusses this requirement in more detail.

Chapter 2: Highway Level of Service

Level of Service Standards

In 1991, the Orange County Transportation Authority (OCTA) implemented an Intersection Capacity Utilization (ICU) monitoring method, developed with technical staff members from local and State agencies, for measuring the Level of Service (LOS) at CMP Highway System (CMPHS) intersections. The CMP LOS grade chart is illustrated in Figure 1.

Figure 1: LOS Grade Chart

LOS Grade	ICU Rating
A	< .61
B	.61 - .70
C	.71 - .80
D	.81 - .90
E	.91 - 1.00
F	> 1.00

The first LOS measurement recorded for the CMP, which was in 1992 for most CMP intersections, sets the baseline for comparing future measurements. During subsequent LOS monitoring, CMP statute requires that CMPHS intersections maintain a LOS grade of ‘E’ or better, unless the baseline is lower than ‘E’; in which case, the ICU rating cannot increase by more than 0.1. The *Highway & Roadway System Performance Measures* section discusses the ICU method in more detail.

OCTA has an established CMPHS, consisting of Orange County’s state highways and arterials from OCTA’s Smart Street network (Figure 2). For any CMPHS intersection performing below the LOS standards, discussed above, the responsible agency must identify improvements necessary to meet the LOS standards. This is accomplished either through existing plans, or through the development of a deficiency plan. This is described in more detail in the *Deficiency Plans* section below.

The 2009 freeway monitoring results, provided by the California Department of Transportation (Caltrans) District 12, are located in Appendix A. Caltrans is responsible for monitoring freeway performance and addressing any deficiencies on State operated facilities. Caltrans’ responsibilities include, but are not limited to:

- A. Evaluating current conditions and identify deficiencies.
- B. Develop plans and strategies to address deficiencies.
- C. Evaluating development projects of local and regional significance for impacts to the State transportation system and work with lead agencies to develop potential mitigation measures.

For the State transportation system, Caltrans does not use CMP thresholds and analysis methodologies to determine if significant impacts occur under CEQA. Local agencies are encouraged to coordinate with the Caltrans Local Development/Intergovernmental Review Branch early in the development process to determine what methodologies and thresholds

of significance should be used to identify impacts to the State transportation system.

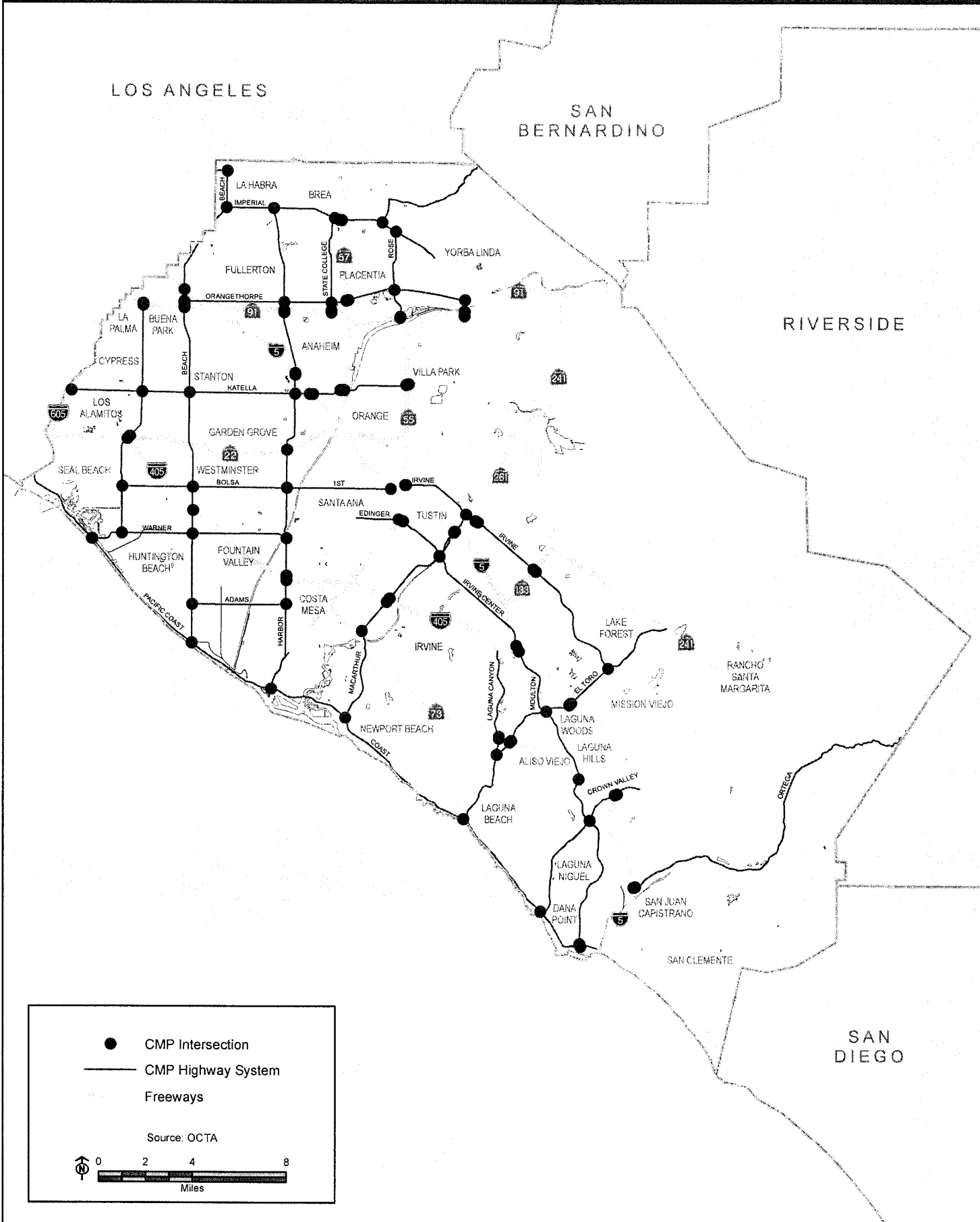
Highway & Roadway System Performance Measures

This section discusses the process for determining ICU ratings, as well as how ICU ratings determine the LOS at CMPHS intersections. This method is generally consistent with the Highway Capacity Manual.

Overview of Intersection Capacity Utilization (ICU) Methodology

Traffic counts are manually collected at CMPHS intersections to initiate the ICU calculation process. The counts monitor the traffic flow, including the approach (northbound, eastbound, southbound, or westbound) and movement (left turn, through, or right turn) for each vehicle.

Figure 2:
2009 Congestion Management Program Highway System



Each intersection has counts conducted in 15-minute increments, during peak periods in the AM (6:00-9:00) and PM (3:00-7:00) on three separate mid-week days (Tuesday, Wednesday, or Thursday). Irregular conditions (inclement weather, holidays, construction, etc.) will postpone counts.

The highest count total during any four consecutive 15-minute count intervals within a peak period represents the peak-hour count set. For each intersection, a peak-hour count set is determined for each day's AM and PM peak period, resulting in a group of three AM peak-hour count sets and a group of three PM peak-hour count sets.

The group of AM peak-hour count sets is averaged, as is the group of PM peak-hour count sets. The results are the volumes used to determine AM and PM volume-to-capacity (V/C) ratios for each movement through the intersection. A number of assumptions determine the capacities for each movement.

An example of an assumption used to determine capacity is the saturation flow-rate, which represents the theoretical maximum number of vehicles that can use a lane to move through an intersection. In 1991, OCTA and the technical staff members from local and state agencies agreed upon a saturation flow-rate of 1,700 vehicles per lane per hour. However, other factors can adjust this assumption.

Such factors include right turn lanes, which can increase the saturation flow-rate by 15% in specific circumstances. Right turn overlaps (signalized right turn lanes that are green during the cross traffic's left turn movements) and free right turns (the lane allows vehicles to turn right without stopping, even when the through signal is red) are some of the circumstances that will increase the saturation flow-rate. If right turns on red are permitted, a *de facto* right turn lane (approaches that do not have designated right turn lanes, but on-street parking is prohibited during peak hours, and the width from the curb through the rightmost through lane is at least 19 feet) may also increase the saturation flow rate.

The capacity can also be reduced under certain conditions. For example, if a lane is shared for through and turn movements, the saturation flow-rate of 1700 could be reduced. This occurs only when the turn movement volumes reach a certain threshold that is calculated for each intersection with shared lanes. The reduction represents the slower turning movements interfering with through movements.

Finally, if field observations indicate the presence of more than 100 pedestrians per hour at an intersection, then pedestrian counts are conducted simultaneously with vehicle counts. Saturation flow-rate calculations then

factor impacts of pedestrian activity for effected lanes, using standard reductions, in accordance with Chapter 16 of the Highway Capacity Manual.

Once the V/C ratios are determined for each movement, critical V/C ratios are calculated. Conflicting movements determine which V/C ratios are included in the calculation of the critical V/C ratios. Conflicting movements represent a situation where a movement from one approach prevents a movement from the opposite approach. For example, if through movements are being made from the southbound approach, left turn movements cannot simultaneously be made from the northbound approach. For each set of opposing approaches (north/south and east/west), the two conflicting movements with the greatest summed V/C ratios are identified. These summed V/C ratios then become known as the critical V/C ratios.

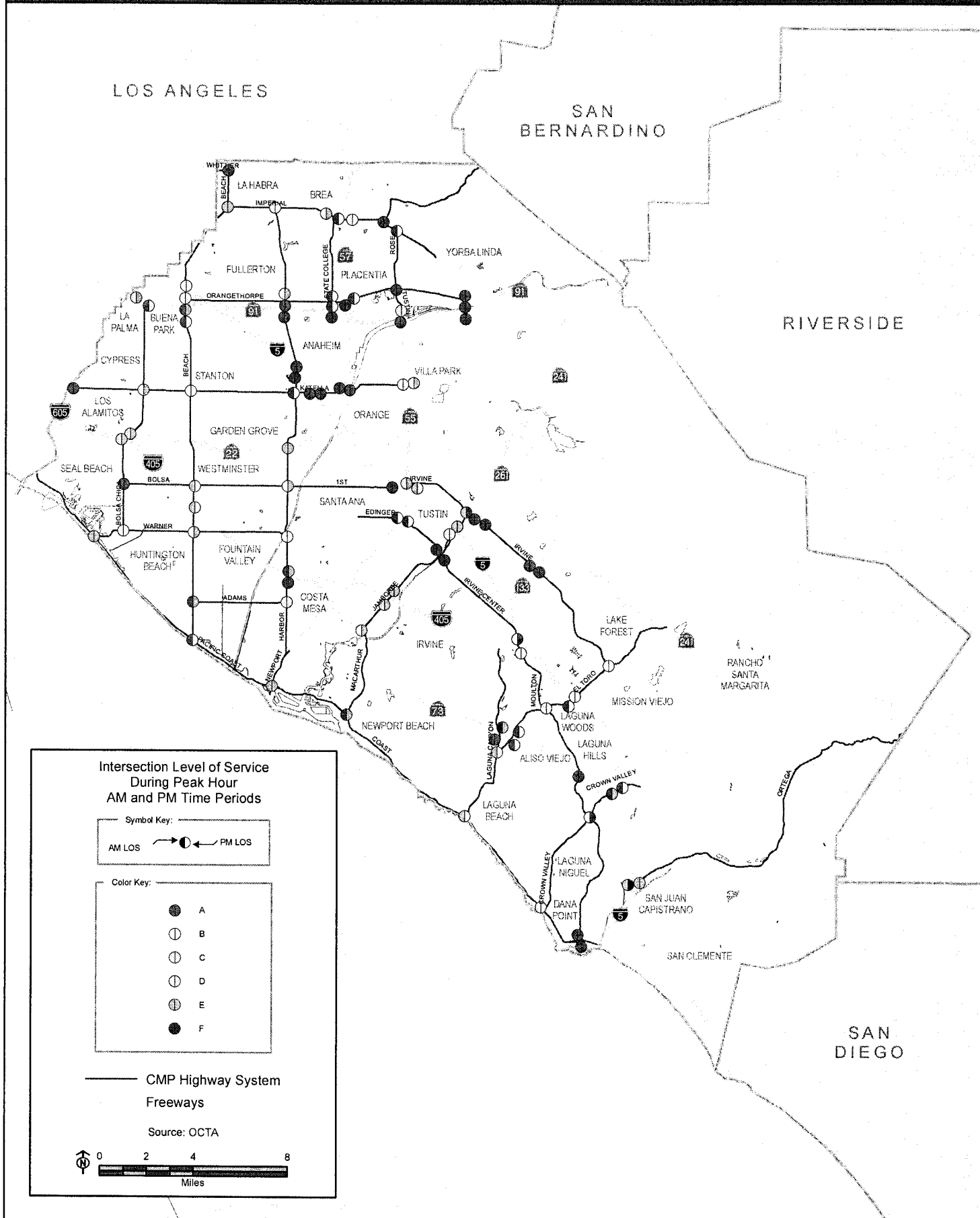
OCTA and technical staff members from local and State agencies also agreed upon a lost time factor of 0.05, in 1991. The lost time factor represents the assumed amount of time it takes a vehicle to travel through an intersection. For each intersection, the critical V/C ratios are summed (north/south + east/west), and the lost time factor is added to the sum, producing the ICU rating for the intersection.

Based on a set of ICU rating ranges, which were agreed upon by OCTA and technical staff members from local and State agencies, grades are assigned to each intersection. The grades indicate the LOS for intersections, and are used to determine if the intersections meet the performance standards described at the beginning of the chapter.

The 2009 LOS ratings for the CMP intersections have been mapped in Figure 3. The map in Figure 4 displays the LOS changes since the 2007 CMP report. Finally, a spreadsheet of the baseline and 2009 LOS ratings for the CMP intersections, and corresponding ICU measurements, is located in Figure 5.

Note that in Figure 5, Orange County's average ICU rating has improved over the baseline. The average AM ICU improved from 0.68 to 0.61 (a 10.29 percent improvement), and the PM ICU improved from 0.73 to 0.66 (a 9.59 percent improvement). The ICU improvements indicate that Orange County agencies are effectively operating, maintaining, and improving the CMP Highway System.

**Figure 3:
2009 CMP Intersection Level of Service**



**Figure 4:
2007 vs. 2009 CMP Intersection Level of Service**

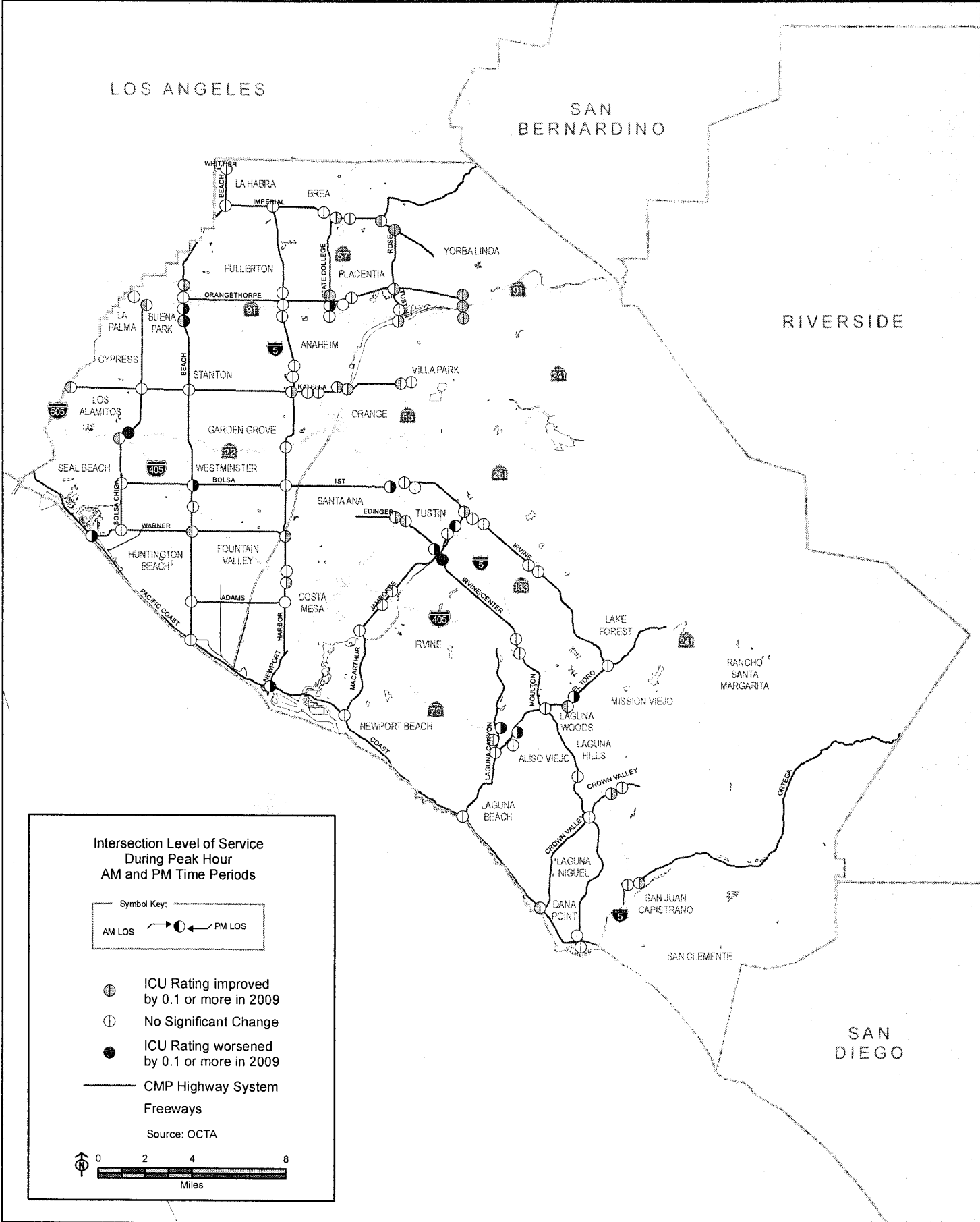


Figure 5: Page 1 of 3

**Orange County Congestion Management Program
LEVEL OF SERVICE 2009**

Intersection/Interchange	Jurisdiction	Baseline AM		2009 AM		Baseline PM		2009 PM		Percent Change*	
		LOS	ICU	LOS	ICU	LOS	ICU	LOS	ICU	AM ICU	PM ICU
Anaheim Blvd-I-5 NB Ramp/Katella Avenue	Anaheim	A	0.49	A	0.43	D	0.82	A	0.50	-12.24%	-39.02%
Harbor Blvd./Katella Avenue	Anaheim	A	0.53	A	0.50	B	0.67	B	0.61	-5.66%	-8.96%
I-5 NB Ramp/Harbor Boulevard	Anaheim	A	0.52	A	0.47	A	0.54	A	0.56	-9.62%	3.70%
I-5 SB Ramp/Katella Avenue	Anaheim	A	0.48	A	0.54	A	0.41	A	0.48	12.50%	17.07%
I-5 SB Ramp/Harbor Boulevard	Anaheim	A	0.29	A	0.23	A	0.31	A	0.29	-20.69%	-6.45%
Imperial Highway/Orangethorpe Avenue	Anaheim	B	0.67	A	0.00	D	0.89	A	0.00	-100.00%	-100.00%
SR-57 NB Ramps/Katella Avenue	Anaheim	A	0.51	A	0.37	A	0.41	A	0.36	-27.45%	-12.20%
SR-57 SB Ramps/Katella Avenue	Anaheim	A	0.52	A	0.42	A	0.51	A	0.36	-19.23%	-29.41%
SR-91 EB Ramp/Harbor Boulevard	Anaheim	A	0.46	A	0.47	A	0.52	A	0.57	2.17%	9.62%
SR-91 EB Ramp/Imperial Highway	Anaheim	C	0.73	A	0.00	C	0.79	A	0.00	-100.00%	-100.00%
SR-91 EB Ramps/State College Boulevard	Anaheim	B	0.69	A	0.47	D	0.82	A	0.58	-31.88%	-29.27%
SR-91 EB Ramps/Tustin Avenue	Anaheim	B	0.66	A	0.55	D	0.84	A	0.47	-16.67%	-44.05%
SR-91 WB Ramp/Harbor Boulevard	Anaheim	B	0.61	A	0.53	C	0.77	A	0.58	-13.11%	-24.68%
SR-91 WB Ramp/Imperial Highway	Anaheim	C	0.71	A	0.00	B	0.63	A	0.00	-100.00%	-100.00%
SR-91 WB Ramp/State College Boulevard	Anaheim	A	0.55	A	0.44	B	0.63	B	0.63	-20.00%	0.00%
SR-91 WB Ramps/Tustin Avenue	Anaheim	B	0.64	D	0.84	A	0.60	D	0.85	31.25%	41.67%
SR-57 NB Ramps/Imperial Highway	Brea	C	0.78	B	0.61	E	0.91	B	0.62	-21.79%	-31.87%
SR-57 SB Ramps/Imperial Highway	Brea	B	0.68	A	0.56	B	0.70	B	0.63	-17.65%	-10.00%
State College Boulevard/Imperial Highway	Brea	C	0.73	B	0.62	E	0.93	C	0.77	-15.07%	-17.20%
Valencia Avenue/Imperial Highway	Brea	A	0.56	A	0.56	A	0.59	A	0.50	0.00%	-15.25%
Beach Boulevard/Orangethorpe Avenue	Buena Park	C	0.76	B	0.63	D	0.87	B	0.66	-17.11%	-24.14%
I-5 SB Ramps/Beach Boulevard	Buena Park	C	0.72	B	0.62	C	0.78	B	0.64	-13.89%	-17.95%
SR-91 EB Ramp/Beach Boulevard	Buena Park	C	0.74	A	0.52	D	0.84	B	0.70	-29.73%	-16.67%
SR-91 EB Ramp/Valley View Street	Buena Park	A	0.58	A	0.46	D	0.86	B	0.61	-20.69%	-29.07%
SR-91 WB Ramp/Beach Boulevard	Buena Park	A	0.58	A	0.59	A	0.59	C	0.79	1.72%	33.90%
SR-91 WB Ramp/Valley View Street	Buena Park	C	0.80	B	0.65	E	0.94	C	0.73	-18.75%	-22.34%
Harbor Boulevard/Adams Avenue	Costa Mesa	E	0.99	B	0.66	F	1.09	D	0.81	-33.33%	-25.69%
I-405 NB Ramps/Harbor Boulevard	Costa Mesa	E	0.95	A	0.55	F	1.07	C	0.72	-42.11%	-32.71%
I-405 SB Ramps/Harbor Boulevard	Costa Mesa	A	0.53	A	0.46	B	0.63	A	0.56	-13.21%	-11.11%
Valley View Street/Katella Avenue	Cypress	B	0.63	B	0.63	D	0.87	C	0.76	0.00%	-12.64%
Crown Valley Parkway/Bay Drive/PCH	Dana Point	F	1.41	B	0.62	F	1.62	B	0.61	-56.03%	-62.35%
Street of the Golden Lantern/Del Prado Avenue	Dana Point	A	0.32	A	0.36	A	0.53	A	0.47	12.50%	-11.32%
Street of the Golden Lantern/PCH	Dana Point	A	0.42	A	0.45	A	0.55	A	0.55	7.14%	0.00%
Harbor Boulevard/Orangethorpe Avenue	Fullerton	A	0.60	B	0.67	E	0.94	C	0.79	11.67%	-15.96%
State College Boulevard/Orangethorpe Avenue	Fullerton	C	0.80	A	0.55	D	0.86	B	0.64	-31.25%	-25.58%

**Orange County Congestion Management Program
LEVEL OF SERVICE 2009**

Intersection/Interchange	Jurisdiction	Baseline AM		2009 AM		Baseline PM		2009 PM		Percent Change*	
		LOS	ICU	LOS	ICU	LOS	ICU	LOS	ICU	AM ICU	PM ICU
SR-22 WB Ramp/Valley View Street	Garden Grove	C	0.76	D	0.82	D	0.87	E	0.92	7.89%	5.75%
SR-22 WB Ramps/Harbor Boulevard	Garden Grove	F	1.10	C	0.74	F	1.16	C	0.75	-32.73%	-35.34%
Beach Boulevard/405 SB Ramp/Edinger Avenue	Huntington Beach	B	0.63	C	0.79	E	1.03	D	0.85	25.40%	-17.48%
Beach Boulevard/Adams Avenue	Huntington Beach	A	0.55	A	0.54	C	0.67	C	0.72	-1.82%	7.46%
Beach Boulevard/Pacific Coast Highway	Huntington Beach	A	0.45	A	0.55	A	0.47	B	0.64	22.22%	36.17%
Beach Boulevard/Warner Avenue	Huntington Beach	C	0.78	B	0.69	E	0.93	C	0.79	-11.54%	-15.05%
Bolsa Chica Street/Bolsa Avenue	Huntington Beach	B	0.66	A	0.59	A	0.53	A	0.56	-10.61%	5.66%
Bolsa Chica Street/Warner Avenue	Huntington Beach	A	0.57	B	0.65	D	0.81	B	0.68	14.04%	-16.05%
Pacific Coast Highway/Warner Avenue	Huntington Beach	D	0.81	C	0.77	B	0.72	E	0.91	-4.94%	26.39%
I-405 NB Ramps/Enterprise/Irvine Center Drive	Irvine	E	0.95	B	0.69	A	0.39	A	0.60	-27.37%	53.85%
I-405 NB Ramps/Jamboree Road	Irvine	F	1.03	C	0.77	C	0.78	C	0.78	-25.24%	0.00%
I-405 SB Ramps/Irvine Center Drive	Irvine	E	1.00	B	0.66	A	0.57	B	0.61	-34.00%	7.02%
I-405 SB Ramps/Jamboree Road	Irvine	E	0.92	D	0.88	B	0.66	C	0.79	-4.35%	19.70%
I-5 NB Ramps/Jamboree Road	Irvine	A	0.54	C	0.79	C	0.75	C	0.77	46.30%	26.67%
I-5 SB Ramps/Jamboree Road	Irvine	A	0.40	D	0.88	A	0.35	D	0.83	120.00%	137.14%
MacArthur Boulevard/Jamboree Road	Irvine	B	0.61	B	0.69	B	0.69	C	0.79	13.11%	14.49%
SR-261 NB Ramps/Irvine Boulevard	Irvine	A	0.38	A	0.45	A	0.53	A	0.55	18.42%	3.77%
SR-261 SB Ramps/Irvine Boulevard	Irvine	A	0.42	A	0.43	A	0.40	A	0.43	2.38%	7.50%
SR-133 NB Ramps/Irvine Boulevard	Irvine	A	0.37	A	0.43	A	0.33	A	0.44	16.22%	33.33%
SR-133 SB Ramps/Irvine Boulevard	Irvine	A	0.37	A	0.38	A	0.29	A	0.38	2.70%	31.03%
El Toro Road/SR-73 NB Ramps	Laguna Beach	E	0.91	A	0.57	A	0.59	B	0.66	-37.36%	11.86%
El Toro Road/SR-73 SB Ramps	Laguna Beach	A	0.41	A	0.46	B	0.67	B	0.66	12.20%	-1.49%
Laguna Canyon Rd/SR-73 NB Ramps	Laguna Beach	C	0.73	F	1.08	C	0.72	E	0.98	47.95%	36.11%
Laguna Canyon Rd/SR-73 SB Ramps	Laguna Beach	A	0.32	A	0.33	A	0.33	A	0.40	3.13%	21.21%
Laguna Canyon Road/El Toro Road	Laguna Beach	F	1.54	E	0.95	F	1.16	D	0.84	-38.31%	-27.59%
Laguna Canyon Road/Pacific Coast Highway	Laguna Beach	D	0.84	E	0.92	C	0.74	B	0.70	9.52%	-5.41%
I-5 SB Ramp/Avenue de la Carlotta/El Toro Road	Laguna Hills	F	1.18	A	0.46	F	1.13	B	0.63	-61.02%	-44.25%
Moulton Parkway/Crown Valley Parkway	Laguna Niguel	A	0.56	B	0.62	B	0.65	A	0.59	10.71%	-9.23%
Moulton Parkway/SR-73 SB Ramps	Laguna Niguel	A	0.45	A	0.38	A	0.38	A	0.44	-15.56%	15.79%
Moulton Parkway/El Toro Road	Laguna Woods	E	0.94	D	0.82	F	1.26	D	0.86	-12.77%	-31.75%
Beach Boulevard/Imperial Highway	La Habra	D	0.85	C	0.71	D	0.87	C	0.71	-16.47%	-18.39%
Beach Boulevard/Whittier Boulevard	La Habra	A	0.33	A	0.41	A	0.29	A	0.45	24.24%	55.17%
Harbor Boulevard/Imperial Highway	La Habra	D	0.81	B	0.65	D	0.86	B	0.69	-19.75%	-19.77%
I-5 NB/Bridger/El Toro Road	Lake Forest	A	0.56	B	0.61	D	0.81	D	0.83	8.93%	2.47%
Trabuco Road/El Toro Road	Lake Forest	F	1.03	B	0.66	C	0.80	B	0.67	-35.92%	-16.25%

**Orange County Congestion Management Program
LEVEL OF SERVICE 2009**

Intersection/Interchange	Jurisdiction	Baseline AM		2009 AM		Baseline PM		2009 PM		Percent Change*	
		LOS	ICU	LOS	ICU	LOS	ICU	LOS	ICU	AM ICU	PM ICU
I-605 NB Ramps/Katella Avenue	Los Alamitos	B	0.69	A	0.44	B	0.65	A	0.59	-36.23%	-9.23%
I-5 NB Ramps/Crown Valley Parkway	Mission Viejo	B	0.68	A	0.56	B	0.69	B	0.66	-17.65%	-4.35%
I-5 SB Ramps/Crown Valley Parkway	Mission Viejo	D	0.86	A	0.59	F	1.01	C	0.74	-31.40%	-26.73%
MacArthur Boulevard/Pacific Coast Highway	Newport Beach	A	0.51	A	0.60	B	0.70	C	0.73	17.65%	4.29%
Newport Boulevard/Pacific Coast Highway	Newport Beach	A	0.56	C	0.77	A	0.49	C	0.73	37.50%	48.98%
SR-55 NB Ramps/Sacramento/Katella Avenue	Orange	C	0.75	B	0.61	D	0.85	C	0.75	-18.67%	-11.76%
SR-55 SB Ramps/Katella Avenue	Orange	C	0.73	D	0.86	E	0.95	D	0.82	17.81%	-13.68%
Rose Drive/Imperial Highway	Placentia	E	0.95	A	0.58	E	0.99	B	0.70	-38.95%	-29.29%
Rose Drive/Tustin Avenue/Orangethorpe Avenue	Placentia	C	0.76	A	0.54	F	1.03	A	0.51	-28.95%	-50.49%
SR-57 NB Ramps/Orangethorpe Avenue	Placentia	B	0.67	A	0.58	C	0.80	B	0.70	-13.43%	-12.50%
SR-57 SB Ramps/Iowa Place/Orangethorpe Avenue	Placentia	C	0.74	A	0.53	B	0.69	A	0.52	-28.38%	-24.64%
I-5 NB Ramps/Ortega Highway	San Juan Capistrano	A	0.52	E	0.98	A	0.58	E	0.91	88.46%	56.90%
I-5 SB Ramps/Ortega Highway	San Juan Capistrano	B	0.61	E	0.93	C	0.77	F	1.06	52.46%	37.66%
Harbor Boulevard/1st Street	Santa Ana	A	0.48	B	0.68	D	0.81	C	0.76	41.67%	-6.17%
Harbor Boulevard/Warner Avenue	Santa Ana	E	0.93	B	0.68	E	0.98	B	0.66	-26.88%	-32.65%
I-5 SB Ramps/1st Street	Santa Ana	A	0.29	A	0.44	A	0.46	A	0.56	51.72%	21.74%
SR-55 SB Ramp/Auto Mall/Edinger Avenue	Santa Ana	D	0.90	A	0.56	F	1.06	B	0.63	-37.78%	-40.57%
SR-55 SB Ramps/Irvine Boulevard (Fourth Street)	Santa Ana	B	0.68	D	0.82	D	0.83	C	0.72	20.59%	-13.25%
Beach Boulevard/Katella Avenue	Stanton	D	0.89	B	0.70	F	1.02	B	0.70	-21.35%	-31.37%
Jamboree Road/Edinger Avenue-NB Ramp	Tustin	A	0.28	A	0.39	A	0.32	A	0.51	39.29%	59.38%
Jamboree Road/Edinger Avenue-SB Ramp	Tustin	D	0.81	A	0.39	A	0.41	A	0.51	-100.00%	-100.00%
Jamboree Road/Irvine Boulevard	Tustin	B	0.65	C	0.72	A	0.59	A	0.60	10.77%	1.69%
SR-55 NB Ramps/Edinger Avenue	Tustin	C	0.72	A	0.49	B	0.65	B	0.69	-31.94%	6.15%
SR-55 NB Ramps/Irvine Boulevard	Tustin	A	0.59	C	0.74	A	0.45	D	0.81	25.42%	80.00%
Beach Boulevard/Bolsa Avenue	Westminster	F	1.09	C	0.80	F	1.11	D	0.86	-26.61%	-22.52%
Bolsa Chica Road/Garden Grove Boulevard	Westminster	E	0.91	D	0.81	E	0.97	E	0.92	-10.99%	-5.15%
COUNTY AVERAGE			0.68		0.61		0.73		0.66	-10.59%	-9.35%

Deficiency Plans

If an intersection does not meet the LOS standards, then a deficiency plan is in order, as described under Government Code Section 65089.4. The deficiency plan identifies the cause of congestion, the improvements needed to solve the problem, and the cost and timing of the proposed improvements.

A deficiency plan process has been developed by the CMP Technical Advisory Committee to provide local jurisdictions with a framework for maintaining compliance with the CMP when a portion of the CMPHS fails to meet its established LOS standard (Appendix C-1). The Deficiency Plan Decision Tree (Appendix C-2) illustrates the individual steps that must be taken in order for a local jurisdiction to meet CMP deficiency plan requirements.

Deficiency plans are not required if a deficient intersection is brought into compliance within 18 months of its initial detection, using improvements that have been previously planned and programmed in the CMP Capital Improvement Program. In addition, CMP legislation specifies that the following shall be excluded from deficiency determinations:

- Interregional travel (trip origins outside the Orange County CMPHS)
- Construction, rehabilitation, or maintenance of facilities that impact the system
- Freeway ramp metering
- Traffic signal coordination by the state, or multi-jurisdictional agencies
- Traffic generated by the provision of low-income and very low-income housing
- Traffic generated by high-density residential development located within one-quarter mile of a fixed rail passenger station; and
- Traffic generated by any mixed-use development located within one-quarter mile of a fixed rail passenger station, but only if more than half of the land area, or floor area, of the mixed-use development is used for high-density residential housing.

Figure 6 identifies the two Orange County CMP intersections that exceeded their CMP level of service standard in 2009; however, they are both State controlled and, therefore, are statutorily exempt from the deficiency plan process.

Figure 6: Status of 2009 CMP Intersections Not Meeting Standards

Jurisdiction	Intersection/ Interchange	ICU						Status
		Baseline AM	2007 AM	2009 AM	Baseline PM	2007 PM	2009 PM	
Laguna Beach	Laguna Canyon Rd/ SR-73 NB Ramps	0.73	1.02	1.08				Statutorily exempt. Signal controlled by State
San Juan Capistrano	I-5 SB Ramps/ Ortega Highway				0.77	1.16	1.06	Statutorily exempt. Signal controlled by State

Improvements at the San Diego Freeway (Interstate 5)/Ortega Highway (State Route 74) interchange are in final design and scheduled to be implemented by 2014. This project will eliminate a chokepoint, reduce congestion, and accommodate forecast traffic demand. As for the intersection at Laguna Canyon Road and State Route 73, Caltrans is aware of the issue, but at this time no project has been prepared to address it.

Chapter 3: Transit Service

As Orange County's transit provider, the Orange County Transportation Authority (OCTA) continually monitors the frequency and routing of its transit services. Bus and rail transit are essential components of Orange County's transportation system, and are important tools for achieving a balanced multi-modal transportation system capable of maintaining level of service standards.

Unfortunately, since the adoption of the 2007 Congestion Management Program (CMP) report, OCTA has reduced revenue vehicle hours (hours of service provided by all fixed route buses in operation) by seven percent, due to a downturn in the economy and the complete loss of State Transit Assistance funds that has resulted in transit budget cuts. Additionally, fixed route bus ridership has decreased by ten percent.

The CMP performance measures provide an index of both the effectiveness and efficiency of Orange County's fixed-route bus and commuter rail services. ACCESS, OCTA's paratransit service, is not included in the CMP analysis because it is not considered a congestion management service.

Indices used in OCTA's long-range planning process are the basis for the performance measures included in the CMP. The performance measures allow for identification of areas in need of improved transit service. Furthermore, once adequate transit operating funds are available, the transit performance measures will work to ensure that bus and rail services meet demand and are coordinated between counties.

Fixed-Route Bus Service

OCTA's fixed route bus service includes local routes, express routes, community routes, rail feeder routes and shuttles.

- Local routes provide a basic level of transit access; they operate primarily in the arterial corridors and are intended to provide intra-county service to meet the minimum service standard.
- Express routes provide limited-stop, freeway-based service to major employment areas in Orange and Los Angeles counties.
- Community routes feed the local fixed route network, and provide greater access and relatively high levels of service during peak periods, and off-peak periods when warranted by demand.
- Rail feeder routes provide access to and from employment centers for commuters using Metrolink commuter rail service.

- Shuttles serve local areas, connecting to specialty destinations.

Currently (May 2009), OCTA's fixed route bus service has a total of 80 routes which is comprised of 42 local routes, 14 community routes, 5 intra-county and 5 inter-county express routes, 13 rail feeder routes (StationLink), and 1 shuttle route.

Service Standards and Measures

Service Standards

OCTA bus service standards direct the development, implementation, monitoring, and modification of OCTA bus services. These standards are intended to govern the planning and design of the service; and, as such, they depict a desirable state against which existing service is assessed. The standards currently in place were adopted by the OCTA Board of Directors in 1994 and are summarized in Figure 7.

The current (May 2009) adherence to these standards is detailed below:

- Eighty-eight percent of OCTA bus routes (excluding Express, Shuttle, and Rail Feeder service) fall within the minimum span of service standards. Not all routes meet the performance standards because the highest demand routes use a large portion of the limited resources, resulting in some shortcomings for other routes.
- Sixty-five percent of OCTA bus routes (excluding Express, Shuttle and Rail Feeder service) meet the minimum headway (frequency) standard. Again, this is primarily due to the need to allocate limited resources to service with the greatest demand.

Service standards are important instruments to ensure transit service meets the needs of the users while allowing for the balance of those needs against the cost effectiveness of the system. The real service levels often reflect conditions and changes that have occurred in the operating, policy, and financial environments. At this time, existing performance standards are under review with a goal to update them within calendar year 2009.

Figure 7: Service Standards for the OCTA Bus System

BUS SYSTEM Improvement Project		Service Standards for OCTA Bus System					FY95
STANDARDS	BASIC NETWORK		SUPPORT SYSTEM				
	BASE ROUTES	CONNECTOR ROUTES	LOCAL/LOCAL ROUTES	COMMUNITY SERVICE	EXPRESS SERVICE	RAIL FEEDER SERVICE	
SERVICE STANDARDS							
WALKING DISTANCE CRITERIA: % OF POPULATION WITHIN 1/4 MILE OF BUS ROUTE							
• INCREMENT	50%	10%	30%		n/a	n/a	
• ACCUMULATIVE	50%	60%	90%		n/a	n/a	
MINIMUM SPAN OF SERVICE							
• WEEKDAY AND SATURDAY	5:30am-8:30pm	5:30am-8:30pm	(1)	(1)	(1)	(1)	
• SUNDAY	7:00am-7:00pm	7:00am-7:00pm	(1)	(1)	(1)	(1)	
MINIMUM HEADWAYS							
• PEAK WEEKDAY PERIOD (6-9a, 3-6p)	30 min.	30 min.	30 min.	30 min.	(2)	(2)	
• SATURDAY	30 min.	60 min.	60 min.	60 min.	n/a	n/a	
• SUNDAY	30 min.	60 min.	(1)	(1)	n/a	n/a	
MAXIMUM TRANSFER WAIT TIME							
• PEAK WEEKDAY PERIOD	15 min.	15 min.	15 min.	15 min.	n/a	n/a	
• OTHER PERIODS (3)	15 min.	30 min.	30 min.	30 min.	n/a	n/a	
LOADING STANDARDS (MAX)							
• PEAK 60 MINUTES	125%	125%	125%	125%	100%	125%	
• PEAK AND OFF PEAK PERIODS	100%	100%	100%	100%	100%	100%	
PERFORMANCE STANDARDS (4)							
BOARDINGS / RVH							
• ROUTE	30	20	20	10	20	10	
• SYSTEM	40	25	25	25	n/a	n/a	

(1) Based on demand.

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

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

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

Performance Measures

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

Performance Measure 1: Productivity

As a widely accepted industry measure, productivity measures the average number of riders using a bus route for each hour of service that is provided. At OCTA, productivity standards range from 10 to 30 riders per RVH, depending on the type of service. Specialized services such as rail feeders, community routes and shuttles are not expected to handle as many riders as high demand services operating on major arterials. For the month of February 2009, 84 percent of the Local routes, 72 percent of the Community routes, and 85 percent of the Rail feeder routes met the productivity standards. None of the Express routes met the productivity standards.

Performance Measure 2: Vehicle Load Factor

Vehicle load factor is the ratio of the average number of passengers on-board buses to the average number of seats scheduled for a given time period. Generally, a route with a high load factor is very productive, has a high fare box recovery, and a high boardings per service hour ranking. Load factor is often used to justify service levels and vehicle size on a route as it gives perspective on seat utilization, crowding, and compulsory bypass. Establishing a reasonable balance between the high cost of operating service and the comfort of passengers using the service is an important factor in transit service planning.

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

The most recent load factor analysis (2006) revealed that less than 1 percent of OCTA's fixed route trips exceed the maximum load of 125 percent.

Performance Measure 3: On-time Performance (OTP)

The OTP goal is set at 85 percent of all bus trips system-wide, at the line level, and at the base level. Failure to achieve the goal will trigger activities to move the target service into compliance.

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

OTP is reported to executive leadership and bus operations management on a monthly basis in the On-Time Performance Report. Currently (February 2009), system-wide 87.4 percent of OCTA's fixed route bus trips are on-time.

Other Bus Service Measures

General Service Expansion Measures

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

General Service Contraction Measures

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

Coordination of Transit Service with Other Carriers

OCTA coordinates the delivery of transit services with several other transit agencies. They include Laguna Beach Transit, the City of Irvine, Riverside Transit Agency, Norwalk Transit System, Los Angeles County Metropolitan Transportation Authority, Long Beach Transit, North County Transit District, Omnitrans, various specialized charter bus services, and commuter rail services. Except for the City of Irvine and charter services, OCTA has interagency agreements with these agencies, which allow riders to transfer from one agency's services to another. However, Irvine does accept OCTA's pre-paid fare media on The *i*-shuttle. In addition, OCTA coordinates schedules and bus stops with neighboring agencies and commuter rail service.

Commuter Rail Service

Metrolink is Southern California's commuter rail system that links residential communities to employment and activity centers. Metrolink is operated by the Southern California Regional Rail Authority (SCRRA), a joint powers authority of five member agencies representing the counties of Los Angeles, Orange, Riverside, San Bernardino and Ventura.

Currently, Metrolink provides service on seven routes, covering 512 miles through six counties in Southern California. On an average weekday, there are 149 trains operating, serving roughly 45,000 riders (one-way trips) at 55 stations. Orange County plays an important, and growing, role within this system.

As one of the five SCRRA member agencies, OCTA administers and funds Orange County's portion of the Metrolink commuter rail system. Orange County's share of Metrolink service covers 68 route miles and sees approximately 15,000 average weekday boardings, comprising more than 30 percent of Metrolink's total system-wide boardings. There are eleven stations in Orange County that serve a total of 44 round trips each weekday on three lines:

- Orange County (OC) Line: with daily service from Los Angeles Union Station to Oceanside;
- Inland Empire-Orange County (IEOC) Line: with daily service from San Bernardino, Riverside, via Orange to Oceanside; and,
- 91 Line: serving Riverside, Fullerton and Los Angeles Union Station.

On June 3, 2006, Metrolink Weekends service was introduced on the OC Line, and Sunday service began July 2, 2006. Metrolink Weekends Saturday and Sunday service on the IEOC Line started July 15, 2006.

OCTA also has 13 dedicated bus routes that connect with Orange County Metrolink stations in Anaheim Canyon, Anaheim, Orange, Santa Ana, Tustin, Irvine and Laguna Niguel/Mission Viejo. These StationLink routes offer Metrolink ticket holders free connections between stations and major employment and activity centers, with schedules designed to meet Metrolink weekday train arrivals and departures.

Performance Measures

SCRRA publishes a Strategic Assessment document that examines a number of performance measures and identifies preferred strategies for future improvements. The performance measures examined within the Strategic Assessment include the following:

- Available capacity (i.e. – the number of trains operating)
- Annual train miles
- Expenses and revenues per train mile
- Increase in service frequency per \$1000 invested
- Average weekday ridership
- Passenger miles carried
- Passenger miles traveled per \$1000 invested
- Expenses and revenues per passenger mile
- Farebox recovery

Future Transit Improvements

The OCTA Board of Directors adopted the 2006 Long-Range Transportation Plan (LRTP), which presents a balanced, multi-modal approach to improve Orange County's transportation. OCTA is continuing to work towards implementing all of the components presented in the LRTP, although timelines will likely need adjustments due to the current economic conditions.

The components of the Balanced Plan, as presented in the 2006 LRTP, include transit improvements, such as: (1) implementing bus rapid transit service on three high-demand corridors, (2) expanding the level of Metrolink commuter rail service to Los Angeles, (3) improving local connections to and from Metrolink stations, (4) expanding community shuttles, and (5) connecting Metrolink service to new regional transportation systems and centers.

Fixed-Route Bus Service Improvements

- Improve bus frequency, thereby reducing headways on major routes within the core service area, including those zones with the highest transit demand;
- Expand local bus service into areas outside the urbanized core;
- Accommodate Orange County's growing and aging population;

- Implement three new Bus Rapid Transit routes;
- Expand Express Bus service routes;
- Increase rail feeder service to complement anticipated increases in Metrolink rail service; and
- OCTA will work with local jurisdictions to implement additional transit services through the Renewed Measure M Go Local (Project S) and Community Circulators (Project V) programs.

While the improvements listed above remain long-term goals for OCTA, the loss of transit operation funds, and reduced sales tax revenues, have required OCTA to implement a transit service reduction plan. OCTA is experiencing a very significant loss of transit operations funding; therefore, the service reduction program must adjust OCTA transit services accordingly. As of September 2009, 233,000 hours of bus service has been cut, with another cut of 150,000 hours planned for March 2010. In addition, if state transit funds are not restored, or if new funds do not become available by March 2012, another cut of 150,000 hours may be required.

Bus Rapid Transit Service

Bus Rapid Transit (BRT) typically includes bus services that are, at a minimum, faster than traditional 'local bus' service and, at a maximum, include separate facilities for bus operations. BRT represents a way to improve mobility at relatively low cost through incremental investment in a combination of bus infrastructure, equipment, operational improvements, and technology. OCTA's BRT system will eventually include transit signal priority, customized bus shelters that display real-time bus arrival information, and a branded system image that is uniquely identifiable to the public.

Three BRT routes, known as Harbor (Route 543), Westminster/17th (Route 560) and 28-mile (Route 557), will be the first routes to begin service. Additionally, five more BRT corridors have been identified, along Beach Boulevard, Katella Avenue, La Palma Avenue, Imperial Highway and Edinger Avenue. Implementation of these routes will be subject to further study and availability of funding. Also included in the BRT program is Irvine's *i*-Shuttle, which will provide feeder service to the 28-mile BRT in the Irvine Business Complex, and currently provides feeder service to the Tustin Metrolink station.

The first BRT route anticipated to begin service is Route 543 – Harbor. This 19-mile route will link Fullerton, Anaheim, Garden Grove, Santa Ana, Fountain Valley, Costa Mesa, and Newport Beach; and, it will

provide regional connections to Amtrak and Metrolink rail services and other OCTA bus services at the Fullerton Transportation Center. This BRT service is expected to operate weekdays from 5 a.m. to 8 p.m., every 15 minutes between Fullerton and Costa Mesa, and every 30 minutes between Costa Mesa and Newport Beach.

Express Bus Service

In addition to increased Local Fixed Route service and implementing a new BRT service, OCTA is planning to expand its express bus service. Traffic congestion is anticipated to increase as new residential construction in neighboring counties, especially in Riverside County, continues to provide affordable housing for individuals employed in Orange County. To address the problem, OCTA is preparing to add more new express routes to the ten existing OCTA express routes. The planned new express service includes three intracounty routes and five intercounty routes. Corridors to be served by these routes include:

- San Clemente to Laguna Hills (Route 214)
- San Clemente to South Coast Metro (Route 215)
- Rancho Santa Margarita to Irvine (Route 217)
- Riverside/Corona to Irvine (Route 793)
- Long Beach to South Coast Metro (Route 723)
- Long Beach to Orange (Route 722)
- Riverside to California State University at Fullerton (Route 791)
- Riverside to Anaheim Resort (Route 792)

The new services will be implemented as resources are available.

Commuter Rail Service Improvements

Metrolink commuter rail service in Orange County will be enhanced through OCTA's Metrolink Service Expansion Program (MSEP). SCRRA and OCTA staff have developed an implementation plan to provide high-frequency Metrolink service on the OC Line between the Laguna Niguel/Mission Viejo station and Fullerton station. The increased Orange County Metrolink service will provide additional passenger capacity as well as new off-peak trips, making Metrolink a more convenient travel alternative.

The MSEP also includes significant track and switch improvements, railroad signal and communication upgrades, station and platform improvements, including added parking capacity, and safety enhancements, as well as the addition of a new Metrolink station in the city of Placentia. These improvements will be needed to accommodate the expected growth in ridership that will come with the service expansion. Funding for the MSEP is being provided through Measure M, Orange County's ½-cent sales tax for transportation improvements.

Chapter 4: Land Use Impact Analysis

The Congestion Management Program (CMP) Traffic Impact Analysis (TIA) measures impacts of development project submittals on the CMP Highway System (CMPHS). Each jurisdiction in Orange County selected either the process outlined in the CMP TIA guidelines (Appendix B-1), or their existing traffic-environmental analysis process, as long as consistency is maintained with the CMP TIA guidelines.

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

OCTA allowed exemptions from this requirement for selected categories of development projects, consistent with state legislation (Appendix B-2 for a listing of exempt projects). For each of the traffic impact analyses conducted, focus was on:

- Identifying locations where, and the extent to which, trips generated by the proposed project cause CMPHS intersections to exceed their Level of Service (LOS) standards;
- Assessing feasible mitigation strategies capable of reducing the identified impact, thereby maintaining the LOS standard; and,
- Utilizing existing environmental processes and inter-jurisdictional forums to conduct cooperative, inter-jurisdictional discussion when proposed CMP mitigation strategies include modifications to roadway networks beyond the jurisdiction's boundaries; and/or, when a proposed development is identified that will increase traffic at CMPHS locations outside the jurisdiction's boundaries.

The biennial reporting process enables jurisdictions to report any locations where projected measurements would exceed CMPHS LOS standards; as well as the projected impacts from development projects undergoing CMP traffic impact analyses. All jurisdictions in Orange County comply with the CMP land use coordination requirement.

Chapter 5: Capital Improvement Program

The Capital Improvement Program (CIP) is a seven-year program of projects and programs that is adopted by each Orange County jurisdiction and integrated into a countywide CIP by the Orange County Transportation Authority. It includes projects that will help to maintain, or improve, traffic conditions on the Congestion Management Program Highway System (CMPHS) and adjacent facilities. In addition to traditional capital projects, which preserve investments in existing facilities, the CIP can include projects that increase the capacity of the multi-modal system and provide air quality benefits, such as transit projects. Consistency with statewide standards is emphasized in order for projects in the CIP to adequately compete for state funding.

The CIP projects, prepared by local jurisdictions for inclusion in the Orange County Congestion Management Program (CMP), mitigate transportation impacts identified in the Land Use Impact Analysis component of the CMP, and preserve and maintain CMPHS infrastructure. Many types of CIP projects have been submitted by local jurisdictions in the past, including freeway ramp widenings, transportation systems management projects such as bus turnouts, intersection improvements, roadway widenings, signal coordination projects, and roadway resurfacing projects.

Each Orange County jurisdictions' CIP is included in Appendix E, which is published separately. In addition, projects in the CIP that are state or federally funded, as well as locally funded projects of regional significance, are included in the Orange County portion of the Regional Transportation Improvement Program (RTIP), and are consistent with the Regional Transportation Plan (RTP).

Chapter 6: Transportation Demand Management

Transportation Demand Management (TDM) strategies are geared toward increasing vehicle occupancy, promoting the use of alternative modes, reducing the number of automobile trips, and decreasing overall trip lengths. The adoption of a TDM ordinance was required of every local jurisdiction for Orange County's 1991 Congestion Management Program (CMP). These ordinances are no longer a statutory requirement, however Orange County Transportation Authority (OCTA) continues to support that local jurisdictions maintain these ordinances as a means of reducing greenhouse gas emissions.

TDM Ordinances

The model TDM ordinance, prepared by OCTA, aims to promote carpools, vanpools, alternate work hours, park and ride facilities, telecommuting, and other traffic reduction strategies. OCTA updated the model ordinance in 2001 to reflect the adoption of Rule 2202 by the South Coast Air Quality Management District (SCAQMD), which requires employers with 250 or more employees at a worksite to develop an emission reduction program projected to meet an emission reduction target set by the SCAQMD.

Principal provisions of the TDM model ordinance are as follows:

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

Transportation Demand Management

Several jurisdictions have adopted ordinances that go beyond those contained in the model TDM ordinance. Such strategies include:

- encouraging employers to establish and help subsidize telecommuting, provide monetary incentives for ridesharing, and implement alternative work hour programs;
- proposing that new development projects establish and/or participate in Transportation Management Associations (TMAs);
- implementing bus loading facilities at worksites;
- implementing pedestrian facilities such as sidewalks, paved pathways, and pedestrian grade separations over arterial streets to connect a worksite to shopping, eating, recreation, parking, or transit facilities; and,
- participating in the development of remote parking facilities and the high-occupancy vehicles (i.e., shuttles, etc.) to serve them.

Additional TDM Programs

TDM efforts in Orange County are not just limited to the implementation of the TDM ordinance provisions. Other TDM efforts, as described below, are also active throughout the County.

Freeway Construction Mitigation

OCTA and Caltrans developed a comprehensive public outreach program for commuters impacted by construction projects and improvements on Orange County freeways. The outreach program alleviates traffic congestion during freeway construction by providing up-to-date ramp, lane, and bridge closure information; as well as suggestions for alternate routes and travel modes.

Outreach efforts include public workshops, open houses, fast fax construction alerts, flyers and newsletters, as well as other materials and presentation events. Also, OCTA's website (www.octa.net), and the Orange County Freeway Construction Helpline (1-800 724-0353), make detour and closure information available.

Transit/Shuttle Services

Local fixed-route bus service comprises the largest portion of OCTA's transit services. In addition, OCTA provides fixed-route bus service to commuter rail (Metrolink) stations. Express bus service provides patrons with longer routes that utilize freeways to connect residential areas to Orange County's main employment centers. Furthermore, ACCESS

Transportation Demand Management

provides elderly and disabled residents with a convenient paratransit service for daily commutes.

Jobs/Housing Balance

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

Transportation Management Associations

Transportation Management Associations (TMAs) are comprised of groups of employers who work together to solve mutual transportation problems by implementing programs to increase average vehicle ridership. Presently, Orange County has TMAs located in the following areas:

- Newport Beach (Newport Center TMA)
- Irvine (Irvine Spectrum TMA)
- Anaheim (Anaheim Transportation Network)

Park-and-Ride Lots

Currently there are 33 park-and-ride lots in Orange County providing over 6,000 parking spaces. Of the 33 lots, 11 are located at Metrolink stations, accounting for about 3,700 of the parking spaces. Also, four of the lots are located at OCTA transit centers, which account for another 1,180 parking spaces.

Park-and-ride lots serve as transfer points for commuters to change from one mode of travel (usually single-occupancy automobile) to another, higher capacity mode (bus, train, carpool, or vanpool). Providing a convenient system of park-and-ride transfer points throughout Orange County encourages the use of higher capacity transit systems, which improves the efficiency of the transportation system. Park-and-ride lots are also a natural companion to Orange County's network of High Occupancy Vehicle (HOV) lanes and transitways on the freeways.

Parking Cash-Out Programs

Parking cash-out programs should also be considered by employers in an effort to reduce automobile trips. These are employer-funded programs that provide cash incentives to employees who do not drive to work. The incentive should be in an amount equivalent to the parking subsidy the

employer would otherwise need to pay to provide the employee with parking.

Bicycle and Pedestrian Facilities

Between 1990 and 2009, OCTA allocated more than \$53 million for bicycle and bus stop improvement projects. Historically, OCTA solicited and allocated funding to bicycle and pedestrian facility projects from Orange County local jurisdictions. Unfortunately, due to the recent loss of transit operation resources, the funds traditionally used by OCTA to support bicycle and pedestrian projects has been diverted to transit operations. However, OCTA is continually looking for funding sources that can once again support bicycle and pedestrian projects.

Currently, the 2008 Regional Transportation Improvement Program has approximately \$24 million programmed for trail investment projects in Orange County. In an effort to encourage this type of investment, OCTA developed a Commuter Bikeways Strategic Plan (CBSP), with Orange County agencies and groups, to provide local jurisdictions with easier access to the state funded Bicycle Transportation Account program. The primary focus of the plan is to provide an attractive alternative to driving, with bicycle facilities that link residential areas with activity centers and intermodal transportation centers.

OCTA recently updated the plan in 2009 to ensure consistency with the requirements of California Streets and Highways Code 891.2. Local jurisdictions may choose to adopt the 2009 CBSP as their own bicycle transportation plan, which will allow them to apply for the State Bicycle Transportation Account funds.

In addition, OCTA has shown support for bicycling by launching a successful demonstration project in 1995 to install bicycle racks on buses along four routes that served work sites, schools, shopping malls, and the beach. The success of the demonstration program led to a decision to equip all large buses in the OCTA fleet with bicycle racks. OCTA completed this program in June 1998. Also, Metrolink trains provide bicycle racks; and bicycle lockers are available at Metrolink stations in Fullerton, Tustin, Santa Ana, and Orange, as well as at OCTA owned park-and-ride lots.

Chapter 7: CMP Conformance

As Orange County's Congestion Management Agency, the Orange County Transportation Authority (OCTA) is legislatively required to monitor the implementation of all elements of the Congestion Management Program (CMP), and biennially determine conformance. In so doing, OCTA consults with local jurisdictions in meeting these requirements.

OCTA determines if the local jurisdictions are in conformance with the CMP by monitoring the following:

- consistency with level of service standards;
- adoption of Capital Improvement Programs;
- adoption and implementation of a program to analyze the impacts of land use decisions, including an estimate of the costs associated with mitigating those impacts; and
- adoption and implementation of deficiency plans when highway and roadway level of service standards are not maintained.

OCTA gathers local traffic data to determine the levels of service (LOS) at intersections throughout the CMP Highway System (CMPHS), as discussed in Chapter 2. In addition, the local jurisdictions complete a set of checklists, developed by OCTA, that guide the local jurisdictions through the CMP conformity process (Appendix D). The checklists address the legislative requirements of the CMP, including land use coordination, the Capital Improvement Program, and transportation demand management strategies.

Based on the LOS data and CMP checklists completed by the local jurisdictions, as summarized in Figure 8, the following was determined:

Level of Service

The LOS data, collected by OCTA, was provided to local jurisdictions for verification. A few discrepancies in LOS reporting occurred as a result of slight variations in the data collection methodology used by the cities and OCTA, or due to erroneously reported intersection geometry. Any discrepancies in the LOS reporting were resolved through an interactive, cooperative process, between the cities and OCTA. The data shows that all local jurisdictions are in compliance with the established LOS standards.

Transportation Demand Management (TDM)

OCTA has developed a travel demand element that promotes alternative transportation methods. In developing this element, the cash-out parking strategy was discussed as an option for employers.

Capital Improvement Program

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

Land Use Coordination

All local jurisdictions have adopted CMP Traffic Impact Analysis (TIA) processes for analyzing the impacts of land use decisions on the CMP Highway System. All local jurisdictions applied their TIA processes to development projects that met the CMP minimum threshold of 2,400 or more daily trips (1,600 or more trips per day for development projects that will directly access the CMPHS).

Deficiency plans

Based on the data exhibited in Figure 5, all non-exempt intersections on the CMP highway system were found in compliance with LOS requirements. Therefore, no deficiency plans were required for the 2009 CMP.

OCTA Transit Performance Measures

OCTA has an established set of performance measures and standards used to monitor transit services. Moreover, in 2007, OCTA agreed to cooperative procedures for carrying out regional transit planning and programming by signing a memorandum of understanding with the Southern California Association of Governments.

Regional Consistency

To ensure consistency between CMPs within the Southern California Association of Governments (SCAG) region, OCTA submits each biennial update of the Orange County CMP to SCAG. As the regional agency, SCAG evaluates consistency with the Regional Transportation Plan and with the CMPs of adjoining counties, and incorporates the program into the Regional Transportation Improvement Program (RTIP), once consistency is determined.

Figure 8: Summary of Compliance

Jurisdiction	Capital Improvement Program	Deficiency Plan	Land Use	Level of Service	2009 Compliance
Aliso Viejo *	Yes	N/A	Yes	N/A	Yes
Anaheim	Yes	N/A	Yes	Yes	Yes
Brea	Yes	N/A	Yes	Yes	Yes
Buena Park	Yes	N/A	Yes	Yes	Yes
Costa Mesa	Yes	N/A	Yes	Yes	Yes
Cypress	Yes	N/A	Yes	Yes	Yes
Dana Point	Yes	N/A	Yes	Yes	Yes
Fountain Valley *	Yes	N/A	Yes	N/A	Yes
Fullerton	Yes	N/A	Yes	Yes	Yes
Garden Grove	Yes	N/A	Yes	Yes	Yes
Huntington Beach	Yes	N/A	Yes	Yes	Yes
Irvine	Yes	N/A	Yes	Yes	Yes
La Habra	Yes	N/A	Yes	Yes	Yes
La Palma*	Yes	N/A	Yes	N/A	Yes
Laguna Beach	Yes	N/A	Yes	Yes	Yes
Laguna Hills	Yes	N/A	Yes	Yes	Yes
Laguna Niguel	Yes	N/A	Yes	Yes	Yes
Laguna Woods	Yes	N/A	Yes	Yes	Yes
Lake Forest	Yes	N/A	Yes	Yes	Yes
Los Alamitos	Yes	N/A	Yes	Yes	Yes
Mission Viejo	Yes	N/A	Yes	Yes	Yes
Newport Beach	Yes	N/A	Yes	Yes	Yes
Orange	Yes	N/A	Yes	Yes	Yes
Placentia	Yes	N/A	Yes	Yes	Yes
Rancho Santa Margarita *	Yes	N/A	Yes	N/A	Yes
San Clemente *	Yes	N/A	Yes	N/A	Yes
San Juan Capistrano	Yes	N/A	Yes	Yes	Yes
Santa Ana	Yes	N/A	Yes	Yes	Yes
Seal Beach *	Yes	N/A	Yes	N/A	Yes
Stanton	Yes	N/A	Yes	Yes	Yes
Tustin	Yes	N/A	Yes	Yes	Yes
Villa Park *	Yes	N/A	Yes	N/A	Yes
Westminster	Yes	N/A	Yes	Yes	Yes
Yorba Linda *	Yes	N/A	Yes	N/A	Yes
County *	Yes	N/A	Yes	Yes	Yes

*No CMP intersections within jurisdiction

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Appendix A: Freeway Levels of Service

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Postmile	SEGMENT	# OF LANES	PEAK PERIOD						2007 AADT	LOS	
			SPEED (MPH)		VOLUME - (VPH)		DENSITY			AM	PM
			AM	PM	AM	PM	AM	PM			
									337,000		
30.8	1ST STREET	5	60.8	17.9	10068	6847	33	77		D	F
									350,000		
31.23	4TH STREET	5	62.9	22.3	8833	7065	28	63		D	F
									350,000		
32.3	17TH STREET	5	59	28.1	8193	7820	28	56		D	F
									350,000		
33.2	MAIN STREET	5	61.3	43.7	8756	9551	29	44		D	E
									346,000		
35	CHAPMAN	5	65.7	19.5	5237	6766	16	69		B	F
									250,000		
35.1	STATE COLLEGE	5	62	24.6	5205	6665	17	54		B	F
									238,000		
35.6	GENE AUTRY	4	63.6	25	4817	6279	19	63		C	F
									238,000		
36.48	KATELLA	4	61.2	25.8	4680	6546	19	63		C	F
									258,000		
37.38	HARBOR	4	61.7	34.5	4571	7282	19	53		C	F
									255,000		
37.7	BALL	4	62.4	38.5	5157	8059	21	52		C	F
									261,000		
38.9	LINCOLN	5	65.6	65.3	4898	8417	15	26		B	C
									248,000		
39.3	EUCLID	4	61.1	61.1	4561	7846	19	32		C	D
									242,000		
40.5	BROOKHURST	4	61.4	54.5	4452	7079	18	32		C	D
									224,000		
40.98	LA PALMA	5	66.1	40.6	4963	7259	15	36		B	E
									224,000		
41.8	MAGNOLIA	4	62.6	59.6	3066	4413	12	19		B	C
									170,000		
42.5	ORANGETHROPE	4	53.9	52.1	3030	4179	14	20		B	C
									170,000		

Postmile	SEGMENT	# OF LANES	PEAK PERIOD						2007 AADT	LOS	
			SPEED (MPH)		VOLUME - (VPH)		DENSITY			AM	PM
			AM	PM	AM	PM	AM	PM			
									337,000		
30.9	1ST STREET	5	14.9	43	6275	9602	84	45		F	E
									350,000		
31.23	4TH STREET	5	41.6	54.3	5517	8113	27	30		D	D
									350,000		
32.3	17TH STREET	5	17	33.1	6144	9034	72	55		F	F
									350,000		
33.2	MAIN STREET	6	17.8	26.5	5762	8828	54	56		F	F
									346,000		
34.6	CHAPMAN	6	18.6	50.7	5872	6224	53	20		F	C
									250,000		
35.2	STATE COLLEGE	5	19.8	56.6	5600	5954	57	21		F	C
									238,000		
35.6	GENE AUTRY	4	13.1	64.6	3739	5970	71	23		F	C
									238,000		
36.31	KATELLA	4	13.2	63.1	4030	5901	76	23		F	C
									258,000		
37.48	HARBOR	4	21.3	64.9	5302	5732	62	22		F	C
									255,000		
39	LINCOLN	4	17.3	64.6	5153	6046	74	23		F	C
									248,000		
39.3	EUCLID	4	17.2	64.9	4969	6274	72	24		F	C
									242,000		
40.5	BROOKHURST	4	13.7	64.9	4206	5857	77	23		F	C
									224,000		
40.98	LA PALMA	6	19.1	66.5	5399	6083	47	15		F	B
									224,000		
41.8	MAGNOLIA	6	8.5	63.1	4606	5652	90	15		F	B
									170,000		
42.5	ORANGETHROPE	4	8.5	64	2821	3354	83	13		F	B
									170,000		

SR 55 NB

Postmile	SEGMENT	# OF LANES	PEAK PERIOD						2007 AADT	LOS	
			SPEED (MPH)		VOLUME - (VPH)		DENSITY			AM	PM
			AM	PM	AM	PM	AM	PM			
0	TUSTIN, FINLEY AVENUE	3									
									48,000		
0.267	JCT. RTE. 1	3									
									55,000		
1.513	COSTA MESA, EAST 17TH STREET	3									
									87,000		
1.82	COSTA MESA, HARBOR	3									
									71,000		
2.021	COSTA MESA, 19TH STREET	3									
									94,000		
R2.772	COSTA MESA, VICTORIA/22ND STRETS	4	65.1	63.3	2803	2900	11	11		A	B
									128,000		
R4.022	COSTA MESA, MESA DRIVE	4	59.4	62.5	5665	4083	24	16		C	B
									150,000		
R4.77	JCT. RTE. 73, CORONA DEL MAR FREEWAY	3	38	57.1	3821	1894	34	11		D	B
									222,000		
R5.99	JCT. RTE. 405, SAN DIEGO FREEWAY	3	24.7	3.7	4248	1500	57	135		F	F
									222,000		
R6.99	SANTA ANA, MAC ARTHUR BOULEVARD	4	38.2	7.6	7475	3261	49	107		F	F
									233,000		
R7.85	SANTA ANA, DYER ROAD	4	52.7	13.4	7069	4295	34	80		D	F
									251,000		
R9.437	SANTA ANA, EDINGER AVENUE	4	54.8	28.3	7284	6038	33	53		D	F
									265,000		
R9.96	TUSTIN, MC FADDEN STREET INTERCHANGE	5	43	24.7	7658	7481	36	61		E	F
									252,000		
10.45	TUSTIN, JCT. RTE. 5, SANTA ANA FREEWAY	3	56.8	24.1	3052	4961	18	69		B	F
									232,000		
10.979	SANTA ANA, FOURTH STREET INTERCHANGE	4	61.8	24.8	4679	7161	19	72		C	F

SR 55 NB

Postmile	SEGMENT	# OF LANES	PEAK PERIOD						2007 AADT	LOS	
			SPEED (MPH)		VOLUME - (VPH)		DENSITY			AM	PM
			AM	PM	AM	PM	AM	PM			
									232,000		
11.785	STREET INTERCHANGE	4	62	37.2	5588	8058	23	54		C	F
									225,000		
12.967	JCT. RTE. 22 WEST, GARDEN GROVE FREEWAY	3	59.6	58	2986	4392	17	25		B	C
									243,000		
13.7	CHAPMAN AVENUE	4	61.9	46	4511	7482	18	41		C	E
									233,000		
15.242	ORANGE, KATELLA AVENUE INTERCHANGE	4	68.3	57.3	5172	6717	19	29		C	D
									214,000		
16.981	ORANGE, LINCOLN AVENUE INTERCHANGE	4	62.7	31.5	4861	6322	19	50		C	F
									211,000		
17.876	JCT RTE 91	4	53.5	20.6	4338	6066	20	74		C	F

SR 55 SB

Postmile	SEGMENT	# OF LANES	PEAK PERIOD						2007 AADT	LOS	
			SPEED (MPH)		VOLUME - (VPH)		DENSITY			AM	PM
			AM	PM	AM	PM	AM	PM			
0	TUSTIN, FINLEY AVENUE	3									
								48,000			
0.267	JCT. RTE. 1	3									
								55,000			
1.513	COSTA MESA, EAST 17TH STREET	3									
								87,000			
1.82	COSTA MESA, HARBOR BOULEVARD	3									
								71,000			
2.021	COSTA MESA, 19TH STREET	3									
								94,000			
R2.772	COSTA MESA, VICTORIA/22ND STRETS	3	60.9	20.2	2691	2084	15	34		B	D
								128,000			
R4.022	COSTA MESA, MESA DRIVE	4	63.6	64.1	3338	4449	13	17		B	B
								150,000			
R 4.77	JCT. RTE. 73, CORONA DEL MAR FREEWAY	3	63.6	64.3	2736	2610	14	14		B	B
								222,000			
R5.99	JCT. RTE. 405, SAN DIEGO FREEWAY	3	63.9	58.5	2916	3801	15	22		B	C
								222,000			
R6.99	SANTA ANA, MAC ARTHUR BOULEVARD	4	47.6	56.3	6314	7317	33	32		D	D
								233,000			
R7.85	SANTA ANA, DYER ROAD	4	32.8	32.6	7630	7236	58	55		F	F
								251,000			
R9.437	SANTA ANA, EDINGER AVENUE	4	53.3	56.7	6870	6722	32	30		D	D
								265,000			
R9.96	TUSTIN, MC FADDEN STREET INTERCHANGE	4	32.1	41.8	7332	7240	57	43		F	E
								252,000			
10.45	TUSTIN, JCT. RTE. 5, SANTA ANA FREEWAY	3	10.9	50.2	2878	4454	88	30		F	D
								232,000			
10.979	SANTA ANA, FOURTH STREET INTERCHANGE	3	8	64.9	2315	3966	96	20		F	C

SR 55 SB

Postmile	SEGMENT	# OF LANES	PEAK PERIOD						2007 AADT	LOS	
			SPEED (MPH)		VOLUME - (VPH)		DENSITY			AM	PM
			AM	PM	AM	PM	AM	PM			
									232,000		
11.785	INTERCHANGE	4	9.2	39.8	3359	6709	91	42		F	E
									225,000		
12.967	JCT. RTE. 22 WEST, GARDEN GROVE FREEWAY	4	18.6	50.5	3424	5602	46	28		F	D
									243,000		
13.7	CHAPMAN AVENUE	4	11	53.8	3768	6686	86	31		F	D
									233,000		
15.242	ORANGE, KATELLA AVENUE INTERCHANGE	4	42.6	64	4652	5700	27	22		D	C
									214,000		
16.981	ORANGE, LINCOLN AVENUE INTERCHANGE	4	24.1	63	5940	7095	62	28		F	D
									211,000		
R17.876	JCT RTE 91	4	43.5	60.9	5332	6710	31	28		D	D

SR 57 NB

Postmile	SEGMENT	# OF LANES	PEAK PERIOD						2007 AADT	LOS	
			SPEED (MPH)		VOLUME - (VPH)		DENSITY			AM	PM
			AM	PM	AM	PM	AM	PM			
									230,000		
11.1	AT CHAPMAN OFF	5	59.7	58.6	5431	5446	18	19		C	C
									230,000		
11.22	CHAPMAN	5	64.1	51.3	5733	5640	18	22		B	C
									236,000		
11.68	ORANGEWOOD	5	66	12.2	5607	4696	17	77		B	F
									232,000		
12.2	STADIUM	5	60.5	13.5	7139	4867	24	72		C	F
									232,000		
12.5	KATELLA	4	63	9.3	5067	3633	20	98		C	F
									230,000		
12.9	DOUGLAS	4	47.6	16.1	4611	4689	24	73		C	F
									230,000		
13.38	BALL	4	61.5	9	5255	3648	21	101		C	F
									237,000		
13.9	WAGNER	4	62.4	12.7	5744	4306	23	85		C	F
									237,000		
14.73	LINCOLN	4	61.2	16.3	6111	3949	25	61		C	F
									243,000		
15.4	LA PALMA	3	58.8	11.9	5286	3257	30	91		D	F
									243,000		
15.7	N OF 91	3	58.9	14.3	5122	3574	29	83		D	F
									293,000		
16.5	ORANGETHROPE	5	48.7	18.4	8354	6133	34	67		D	F
									291,000		
17.18	CHAPMAN	4	55.5	26.8	6632	6086	30	57		D	F
									265,000		
17.5	NUTWOOD	4	57.8	24.8	4955	5621	21	57		C	F
									270,000		
18.3	YORBA LINDA	4	56.3	24	5362	5440	24	57		C	F
									251,000		
19.1	ROLLING HILLS	4	55.8	31	7751	6689	35	54		D	F
									251,000		
19.8	IMPERIAL	4	59.1	19.3	4407	5528	19	72		C	F
									231,000		
21.16	LAMBERT	4	57.8	26.7	4252	4922	18	46		C	F
									229,000		
22	TONNER	4	58	53	4663	6048	20	29		C	D
									213,000		

SR 57 SB

Postmile	SEGMENT	# OF LANES	PEAK PERIOD						2007 AADT	LOS	
			SPEED (MPH)		VOLUME - (VPH)		DENSITY			AM	PM
			AM	PM	AM	PM	AM	PM			
									230,000		
11.08	CHAPMAN	4	38.1	47	3939	4287	26	23		C	C
									236,000		
11.55	ORANGEWOOD	4	20	42.9	5162	5747	65	33		F	D
									232,000		
12.2	STADIUM	5	19.5	57.6	5679	8657	58	30		F	D
									232,000		
12.4	KATELLA	4	17.4	58.9	5260	7495	76	32		F	D
									230,000		
12.9	DOUGLAS	4	21.9	48.7	5673	7744	65	40		F	E
									230,000		
13.27	BALL	4	25.1	59.8	4566	7249	45	30		F	D
									237,000		
13.9	WAGNER	5	20.4	56.4	5804	8571	57	30		F	D
									237,000		
14.65	LINCOLN	5	14.6	63	5839	7254	80	23		F	C
									243,000		
15.4	LA PALMA	4	13.4	61.6	4460	5291	83	21		F	C
									243,000		
15.7	N OF 91	4	24.7	55.7	4354	4499	44	20		E	C
									293,000		
16.46	ORANGETHROPE	5	35.3	60.3	6196	7429	35	25		E	C
									291,000		
17.18	CHAPMAN	4	22.1	31.5	5856	7288	66	58		F	F
									265,000		
17.5	NUTWOOD	4	20.1	26.5	5318	6476	66	61		F	F
									270,000		
18.18	YORBA LINDA	5	30.7	35.8	5473	6575	36	37		E	E
									251,000		
19.1	ROLLING HILLS	4	18.7	37.2	4983	6990	67	47		F	F
									251,000		
19.73	IMPERIAL	4	12.8	18.2	4218	5138	82	71		F	F
									231,000		
20.7	LAMBERT	4	68.3	69.2	4999	5293	18	19		C	C
									229,000		
21.776	TONNER	4	16.2	61.5	4591	6075	71	25		F	C
									213,000		

SR 73 NB

Postmile	SEGMENT	# OF LANES	PEAK PERIOD						2007 AADT	LOS	
			SPEED (MPH)		VOLUME - (VPH)		DENSITY			AM	PM
			AM	PM	AM	PM	AM	PM			
									72,000		
24.78	JAMBOREE	3	57	56.2	1181	1199	7	7		A	A
									180,000		
26.58	JCT. RTE. 55	2	68.4	62.3	2249	3235	16	26		B	C
									123,000		
27.28	BEAR STREET	3	64.8	53.4	4062	3758	21	23		C	C
									109,000		
27.81	JCT. RTE. 405, SAN DIEGO FREEWAY	3	63.2	58.6	3606	3914	19	22		C	C

SR 73 SB

Postmile	SEGMENT	# OF LANES	PEAK PERIOD						2007 AADT	LOS	
			SPEED (MPH)		VOLUME - (VPH)		DENSITY			AM	PM
			AM	PM	AM	PM	AM	PM			
									72,000		
24.78	JAMBOREE	3	57	56.2	1181	1199	7	7		A	A
									180,000		
26.58	JCT. RTE. 55	3	59.9	58.2	4188	4162	23	24		C	C
									123,000		
27.28	BEAR STREET	3	63.7	63.6	4316	4592	23	24		C	C
									109,000		
27.81	JCT. RTE. 405, SAN DIEGO FREEWAY	2	64.3	64.2	2898	2925	23	23		C	C

SR 91 EB

Postmile	SEGMENT	# OF LANES	PEAK PERIOD						2007 AADT	LOS	
			SPEED (MPH)		VOLUME - (VPH)		DENSITY			AM	PM
			AM	PM	AM	PM	AM	PM			
0	LOS ANGELES-ORANGE										
								242,000			
R0.489	LA PALMA, ORANGETHORPE	4	30.7	20.2	4310	5273	35	65		E	F
								259,000			
R0.848	BUENA PARK, VALLEY VIEW STR	4	21.4	22	5447	5873	64	67		F	F
								259,000			
R1.842	BUENA PARK, KNOTT AVENUE	4	20.6	36.1	4927	6485	60	45		F	E
								259,000			
R2.615	BUENA PARK, JCT. RTE. 39/BEAC	4	64.6	65	5984	6593	23	25		C	C
								262,000			
R3.638	FULLERTON, JCT. RTE. 5, SANTA	3	56.4	61	5615	6038	33	33		D	D
								258,000			
1.232	ANAHEIM, BROOKHURST AVENUE	4	56.4	60.9	5614	6039	25	25		C	C
								272,000			
2.234	EUCLID AVENUE INTERCHANGE	4	56.4	60.9	5614	6039	25	25		C	C
								285,000			
3.258	FULLERTON, HARBOR BOULEVA	4	56.7	52.6	6205	6575	27	31		D	D
								279,000			
3.512	ANAHEIM, LEMON STREET/ HAR	4	57	44.2	6795	7111	30	40		D	E
								279,000			
4.256	ANAHEIM, EAST STREET	4	50.8	48	6331	6693	31	35		D	D
								273,000			
5.258	ANAHEIM, STATE COLLEGE BOU	4	40.5	48.6	6241	6573	39	34		E	D
								269,000			
6.119	ANAHEIM, JCT. RTE. 57, ORANGE	3	54.4	56.4	3530	3947	22	23		C	C
								230,000			
7.353	KRAEMER BOULEVARD/ GLASSE	3	50.6	30.7	4796	4075	32	44		D	E
								220,000			
8.399	TUSTIN AVENUE INTERCHANGE	4	59.8	18.8	5277	5041	22	67		C	F
								234,000			

SR 91WB

Postmile	SEGMENT	# OF LANES	PEAK PERIOD						2007 AADT	LOS	
			SPEED (MPH)		VOLUME - (VPH)		DENSITY			AM	PM
			AM	PM	AM	PM	AM	PM			
	LOS ANGELES-ORANGE COUNTY LINE										
								242,000			
R0.49	LA PALMA, ORANGETHORPE AVENUE	4	12.9	21.4	4134	6128	80	72		F	F
								259,000			
R1	BUENA PARK, VALLEY VIEW STR	4	32.9	40.3	3830	5324	29	33		D	D
								259,000			
R1.99	BUENA PARK, KNOTT AVENUE	4	32.4	29.9	5222	6359	40	53		E	F
								259,000			
R2.6	BUENA PARK, JCT. RTE. 39/BEAC	5	47.4	46.3	5455	6572	23	28		C	D
								262,000			
R3.4	FULLERTON, JCT. RTE. 5, SANTA	3	56.4	61	5615	6038	33	33		D	D
								258,000			
1.12	ANAHEIM, BROOKHURST AVENUE	3	56.4	61	5615	6038	33	33		D	D
								272,000			
2.11	EUCLID AVENUE INTERCHANGE	3	56.4	61	5615	6038	33	33		D	D
								285,000			
3.13	FULLERTON, HARBOR BOULEVA	4	56.4	60.9	5614	6039	25	25		C	C
								279,000			
3.91	ANAHEIM, LEMON STREET/ HAR	4	56.4	60.9	5614	6039	25	25		C	C
								279,000			
4.18	ANAHEIM, EAST STREET	3	51.1	47.6	4260	3597	28	25		D	C
								273,000			
5.14	ANAHEIM, STATE COLLEGE BOU	3	37.2	23.6	4368	3627	39	51		E	F
								269,000			
6.15	ANAHEIM, JCT. RTE. 57, ORANGE	3	14.3	13	3334	3266	78	84		F	F
								230,000			
7.4	KRAEMER BOULEVARD/ GLASSE	5	35.1	34.3	6004	5696	34	33		D	D
								220,000			
8.36	TUSTIN AVENUE INTERCHANGE	4	35.9	61.1	4089	6704	28	27		D	D
								234,000			

I 405 NB

Postmile	SEGMENT	# OF LANES	PEAK PERIOD						2007 AADT	LOS	
			SPEED (MPH)		VOLUME - (VPH)		DENSITY			AM	PM
			AM	PM	AM	PM	AM	PM			
									262,000		
9.46	BRISTOL	4	57.3	10.7	5571	4083	24	95		C	F
									262,000		
9.9	BEAR	5	61.6	15.1	6279	5681	20	75		C	F
									262,000		
10.9	FAIRVIEW	6	65.4	11.2	7285	6184	19	92		C	F
									349,000		
11.4	HARBOR	4	64.4	40.3	4626	3632	18	23		B	C
									361,000		
12.85	EUCLID	5	28	24.6	5627	6960	40	57		E	F
									329,000		
13.74	BROOKHURST	4	16.1	22.9	4671	4931	73	54		F	F
									310,000		
14.82	WARNER	4	18.8	37.2	4620	5963	61	40		F	E
									303,000		
15.17	MAGNOLIA	4	24.2	44.6	4362	7007	45	39		F	E
									278,000		
16.52	BEACH	4	14	39	4166	5206	74	33		F	D
									282,000		
17.45	MCFADDEN	4	27.9	43.2	3580	4896	32	28		D	D
									282,000		
17.92	GOLDENWEST	4	24.2	44.6	4270	5546	44	31		E	D
									282,000		
19.24	WESTMINISTER	4	21.9	44	4808	6917	55	39		F	E
									267,000		
20.33	BRYANT	4	29.9	52.1	5271	5953	44	29		E	D
									267,000		
20.75	S of 22	4	25.8	41.3	5666	7125	55	43		F	E
									397,000		
22.55	SEAL BEACH	6	46.5	57.7	7293	10114	26	29		D	D
									397,000		
23.62	SALMON	5	30.9	50.9	7006	10042	45	39		F	E
									397,000		

I 405 SB

Postmile	SEGMENT	# OF LANES	PEAK PERIOD						2007 AADT	LOS	
			SPEED (MPH)		VOLUME - (VPH)		DENSITY			AM	PM
			AM	PM	AM	PM	AM	PM			
									262,000		
9.54	BRISTOL	5	56.5	35.6	8743	5428	31	30		D	D
									262,000		
9.9	BEAR	4	51.9	49.7	7649	4935	37	25		E	C
									262,000		
10.28	FAIRVIEW	5	43.4	66.3	8907	5969	41	18		E	C
									349,000		
11.2	HARBOR	6	46.2	65.9	11112	8492	40	21		E	C
									361,000		
12.5	EUCLID	5	51.6	66.6	10501	7993	41	24		E	C
									329,000		
13.81	BROOKHURST	4	48.6	59.4	5170	7115	27	30		D	D
									310,000		
14.72	WARNER	4	9.9	54.1	3631	7111	92	33		F	D
									303,000		
15.16	MAGNOLIA	4	15.4	30.8	3507	5140	57	42		F	E
									278,000		
16.26	EDINGER	5	38.6	57.6	3517	6121	18	21		C	C
									278,000		
16.6	BEACH	4	18.7	21.8	3148	4124	42	47		E	F
									282,000		
17.45	MCFADDEN	5	14.4	32.2	5744	4817	80	30		F	D
									282,000		
17.98	GOLDENWEST	4	12.4	16.7	4144	4456	84	67		F	F
									282,000		
19.05	WESTMINISTER	4	20.9	33.2	5257	6222	63	47		F	F
									267,000		
20.33	BRYANT	4	22	38.6	5327	7355	61	48		F	F
									267,000		
20.75	N OF 22	6	53.7	58.6	10600	12438	33	35		D	E
									397,000		
22.54	SEAL BEACH	6	56.2	55.4	7746	9299	23	28		C	D
									397,000		
23.62	SALMON	4	35.4	27.7	5542	6530	39	59		E	F
									397,000		

I 605 NB

Postmile	SEGMENT	# OF LANES	PEAK PERIOD						2007 AADT	LOS	
			SPEED (MPH)		VOLUME - (VPH)		DENSITY			AM	PM
			AM	PM	AM	PM	AM	PM			
									187,000		
R 1.26	KATELLA 1	4	36.4	13.7	4364	4515	30	82		D	F
									190,000		
R 1.55	KATELLA 2	4	59.4	14.5	1112	4914	5	85		A	F
									190,000		

I 605 SB

Postmile	SEGMENT	# OF LANES	PEAK PERIOD						2007 AADT	LOS	
			SPEED (MPH)		VOLUME - (VPH)		DENSITY			AM	PM
			AM	PM	AM	PM	AM	PM			
R 1.26	KATELLA 1	4	36.7	13.6	4353	4507	30	83	187,000	D	F
R 1.55	KATELLA 2	4	43.5	24.9	4444	4525	26	45	190,000	C	F
									190,000		

Appendix B-1: Meeting CMP Traffic Impact Analysis Requirements

AN OPTIONAL GUIDANCE FOR LOCAL JURISDICTIONS

Prepared for:

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

Prepared by:

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

June 11, 1991

CMP-TIA REQUIREMENTS

Requirements of CMP legislation

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

Year One Goal

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

Actions Required of Local Jurisdictions

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

SECTION 1 – INTRODUCTION**Purpose**

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

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

The objectives of this report are to:

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

Background

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

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

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

Consolidation of Remaining Issues

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

TIA Survey History

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

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

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

Relationships with Other Components

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

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

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

SECTION 2- REQUIREMENTS OF CMP LEGISLATION

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

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

SECTION 3 - ACTIONS REQUIRED OF LOCAL AGENCIES

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

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

SECTION 4 - CMP TRAFFIC IMPACT ANALYSIS METHODOLOGY

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

PROJECTS REQUIRING TIA ANALYSIS

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

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

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

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

The OCTC TIA guidelines recommended defining three percent of the level of service standard as significant impact. This seems reasonable for application for CMP purposes. Thus, project impacts of three percent or less can be mitigated by impact fees or other revenues. Projects with a potential to create an impact of more than three percent of Level of Service E capacity will require TIA's. On this basis, it is recommended that all development projects which generate more than 2,400 daily trips be subject to a TIA for CMP evaluation. For projects which will directly access or be in close proximity to a CMP Highway System link a reduced threshold of 1,600 trips/day would be appropriate. Appendix B provides background information of the derivation of these threshold values.

TIA PROCESS

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

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

Evaluation of Existing Conditions

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

Trip Generation

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

Internal Capture and Passer-by Traffic

Techniques for identifying the internal relationship of travel within mixed-use developments and the degree to which development captures passer-by trips as opposed to creating new trips are being applied by approximately 2/3 of the local jurisdictions within Orange County. The use of

guidelines in the ITE Trip Generation Manual and appropriate professional judgment are the predominant techniques employed. To supplement the guidance available through ITE documentation, local jurisdictions are encouraged to undertake additional studies to document rates applicable within their jurisdiction. The determination of applicable rates should be undertaken by experienced transportation engineering professionals with thorough documentation of the methodology, data, and assumptions used. It is recommended that those jurisdictions which do not currently allow these adjustments establish revised TIA procedures incorporating this element. As with trip generation data, a central library would be desirable for reporting of data and analyses performed locally related to determination of appropriate factors.

Trip Distribution and Assignment

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

Radius of Development Influence

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

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

Background Traffic

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

The cost to mitigate impacts of a land use decision is unrelated to background traffic. Rather, it is related to the cost of replacing the capacity which is consumed by the proposed development. However, it is necessary to understand background traffic in order to evaluate level-of-service. Background traffic is composed of existing traffic demands and growth from new development which will occur over a specific period of time. Both the existing and the growth elements of background traffic contain sub-elements. These include traffic which is generated within Orange County, that which begins and/or ends within the County, and interregional traffic which has neither end in Orange County. CMP legislation stipulates that interregional traffic will not be considered in CMP evaluations with respect to LOS compliance or determining costs of mitigation.

Given that the CMP process is new, there is no existing practice of separating interregional traffic from locally generated traffic. Until a procedure for identifying interregional traffic is developed, local jurisdictions may assume that all interregional traffic occurs on the freeway system. Initially TIA's required for CMP purposes need only analyze the impacts to arterial portions of the CMP Highway System.

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

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

Capacity Analysis Methodology

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

Impact Costs/Mitigation

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

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

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

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

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

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

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

Through this process, progress can be achieved in implementing system improvements without having to wait for 100% of the funds being collected for each individual improvement. In theory, all required improvements will be accomplished over time as new developments are approved which will generate traffic to utilize available and planned system capacity. The costs should be based on recent Unit cost experience in Orange County and may include planning, permitting, preliminary engineering, design, right-of-way, construction, landscaping, construction inspection, and, if applicable, financing costs.

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

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

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

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

DOCUMENTATION OF RULES AND PROCEDURES

To assure a clear understanding of the TIA procedures which are necessary to support a viable CMP program, it is recommended that a set of rules and procedures be established by each local jurisdiction. Ideally, these rules and procedures would cover the requirements for the full TIA analysis and would include minimum requirements for the CMP process. Local jurisdictions which prefer not to adopt separate CMP TIA standards could implement standards for CMP requirements within a TIA and maintain their existing approach for all other aspects of their existing TIA process. The following is a summary of the elements which should be included in CMP procedures documentation and the methodologies applicable to each element:

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

SECTION 5 – APPENDICES

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

Appendix B – Deviation of Thresholds for Projects Requiring TIA Analysis

APPENDIX B**DERIVATION OF THRESHOLDS FOR PROJECTS
REQUIRING TRAFFIC IMPACT ANALYSIS**

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

$$40,000 \text{ veh./day} \times 3\% = 1,200 \text{ veh./day}$$

Assuming 50/50 distribution of project traffic on a CMP link

$$1,200 \times 2 = 2,400 \text{ veh./day total generation}$$

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

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

The following illustration shows that the 2,400 trip/day threshold would be expected to produce a 3% impact on the CMP System only when the project has relatively direct access to a CMP link. As a project location moves further off the CMP System the expected impacts is reduced. With a more directional distribution of project traffic a development with direct CMP System access could produce a 3% impact with somewhat lower daily trip generation.

The table included on the following page illustrates the daily trip generation thresholds which would produce various levels of impact on the CMP System for project locations with and without direct access to the system. Based on a 3% impact the trip generation thresholds for requiring a TIA are 1,600 veh./day with direct CMP System access and 2,400 veh./day if a project does not have direct CMP System access.

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

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

MAXIMUM IMPACT < 1%

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

MAXIMUM = 1.8%

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

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

Alternative Criteria

Assume 75/25 distribution

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

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

Daily Trip Generation

Significant Impact	Direct Access	No Direct Access
1%	500	800
2%	1,100	1,600
3%	1,600	2,400

Appendix B-2: Traffic Impact Analysis Exempt Projects

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

Project Not Requiring a CMP TIA Analysis:

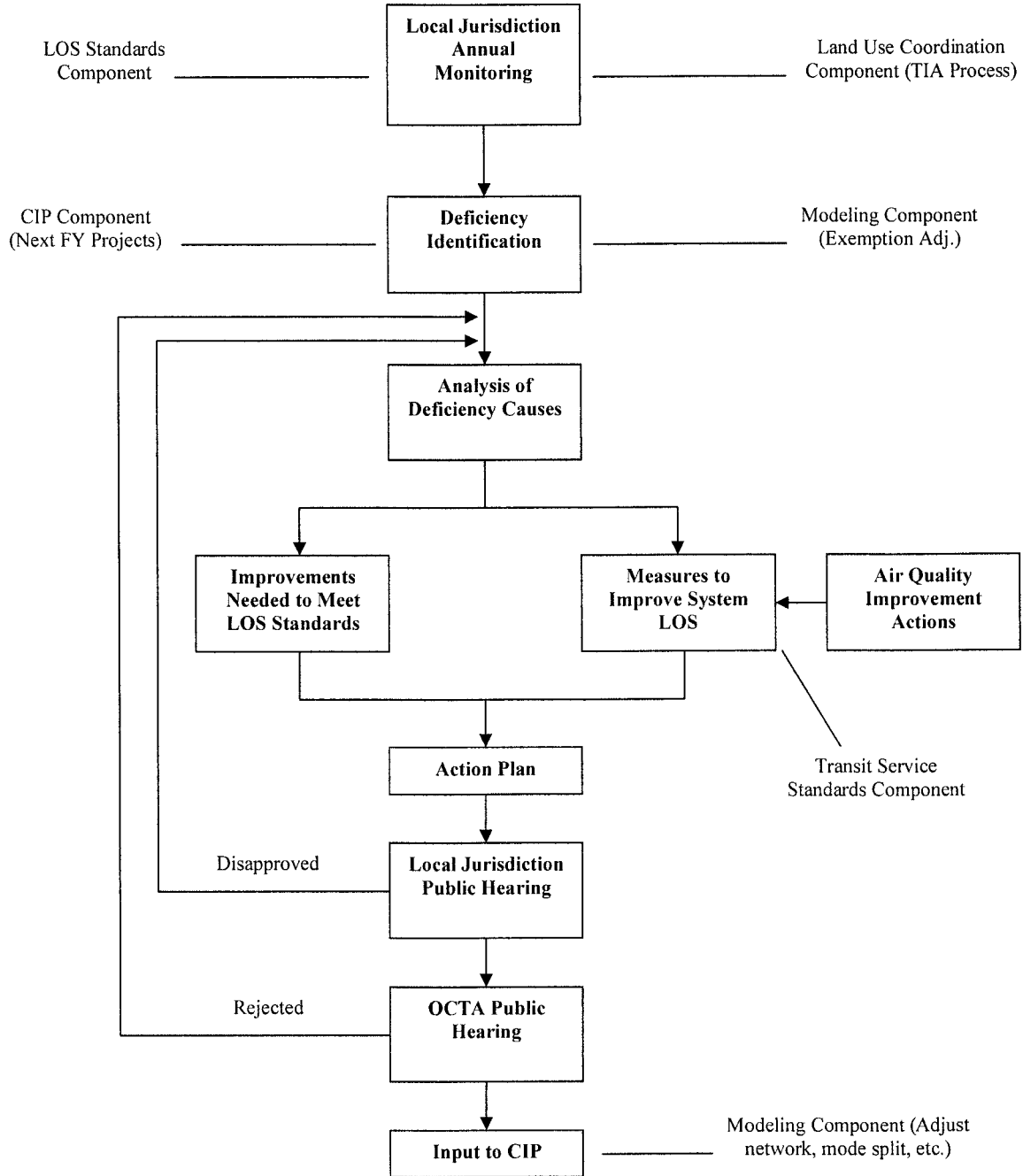
1. Applicants for subsequent development permits (i.e., conditional use permits, subdivision maps, site plans, etc.) for entitlement specified in and granted in a development agreement entered into prior to July 10, 1989.¹
2. Any development application generating vehicular trips below the Average Daily Trip (ADT) threshold for CMP Traffic Impact Analysis, specifically, any project generating less than 2,400 ADT total, or any project generating less than 1,600 ADT directly onto the CMPHS.^{1,2}
3. Final tract and parcel maps.^{1,2,3}
4. Issuance of building permits.^{1,2,3}
5. Issuance of certificates of use and occupancy.^{1,2,3}
6. Minor modifications to approved developments where the location and intensity of project uses have been approved through previous and separate local government actions prior to January 1, 1992.^{1,2,3}

¹ Vehicular trips generated by CMP TIA-exempt development applications shall not be factored out in any traffic analyses or levels of service calculations for the CMPHS.

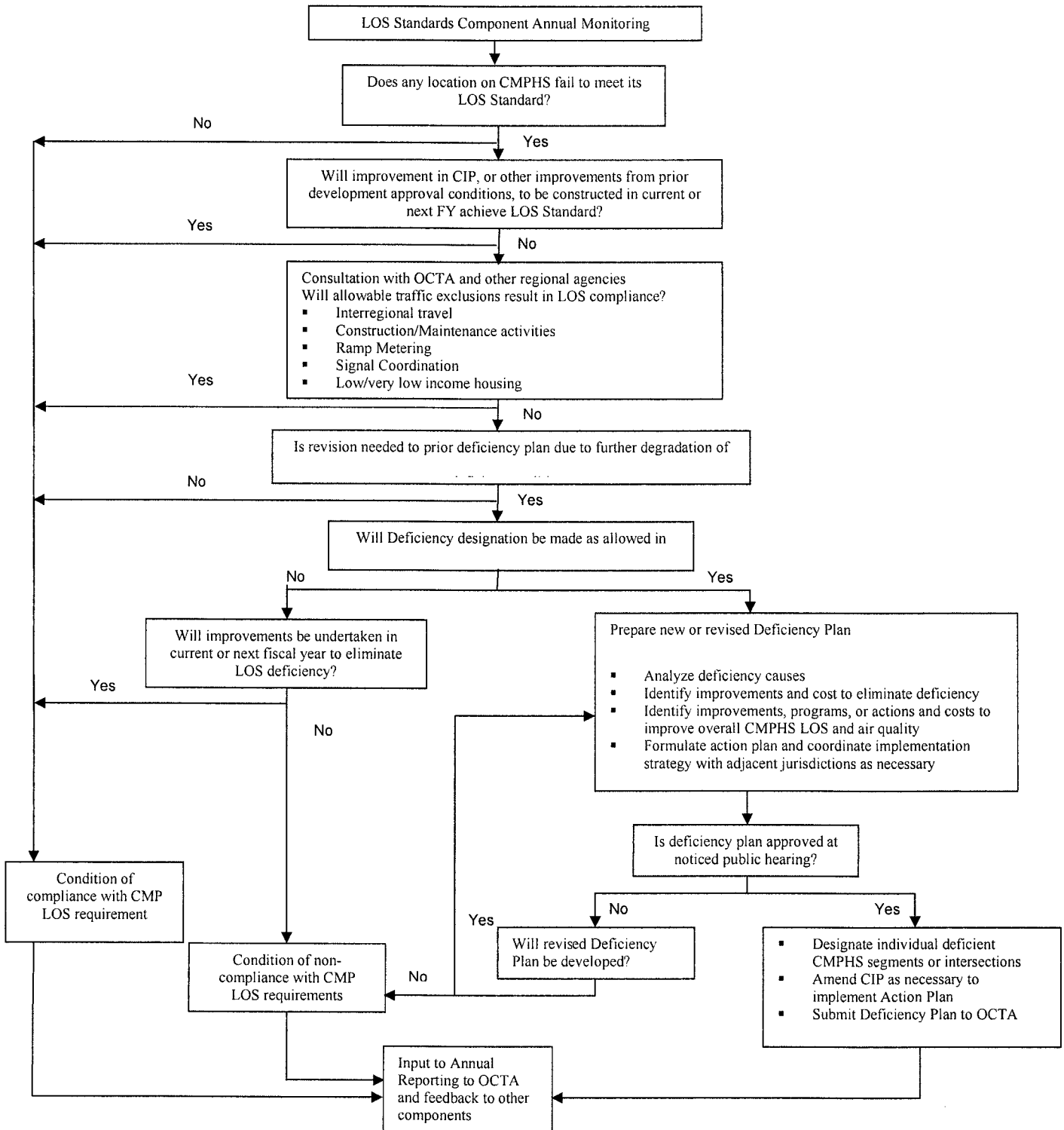
² Exemption from conduction a CMP TIA shall not be considered an exemption from such projects' participation in approved, transportation fee programs established by the local jurisdiction.

³ A CMP TIA is not required for these projects only in those instances where development approvals granting entitlement for the project sites were granted prior to the effective date of CMP TIA requirements (i.e., January 1992).

APPENDIX C-1: CMP Deficiency Plan Flow Chart



APPENDIX C-2: Deficiency Plan Decision Flow Chart



APPENDIX D: CMP Monitoring Checklists

CMP MONITORING CHECKLIST CAPITAL IMPROVEMENT PROGRAM

Responsibility: Cities, County, Caltrans, transit operators

2009 CMP CHECKLIST

		YES	NO
1.	Did you submit a seven-year Capital Improvement Program (CIP) to OCTA by June 30, 2009?	<input type="checkbox"/>	<input type="checkbox"/>
a.	Does it include projects that will maintain or improve the traffic LOS on the CMPHS or adjacent facilities which benefit the CMPHS?	<input type="checkbox"/>	<input type="checkbox"/>
b.	Are maintenance, rehabilitation, and reconstruction projects excluded for CMP purposes?	<input type="checkbox"/>	<input type="checkbox"/>
c.	Was the CIP Development Program, distributed with the Measure M eligibility package, used to prepare the CMP CIP?	<input type="checkbox"/>	<input type="checkbox"/>
e.	Have projects included as part of a deficiency plan been identified as such in the CIP?	<input type="checkbox"/>	<input type="checkbox"/>

**CMP MONITORING CHECKLIST
DEFICIENCY PLANS**

Responsibility: Cities, County

2009 CMP CHECKLIST

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

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

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

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

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

**CMP MONITORING CHECKLIST
LAND USE COORDINATION**

Responsibility: Cities, County

2009 CMP CHECKLIST

	YES	NO*
CMP Traffic Impact Analysis:		
1. Have you changed the CMP traffic impact analysis (TIA) process you selected for the 2007 CMP?	<input type="checkbox"/>	<input type="checkbox"/>
2. If you answered "Yes" to the above question, have you submitted documentation of the revised TIA approach and methodology used to OCTA?	<input type="checkbox"/>	<input type="checkbox"/>
3. Was your CMP TIA process applied to applicable development projects filed and approved by the local jurisdiction between July 1, 2007 and June 30, 2009?	<input type="checkbox"/>	<input type="checkbox"/>
a. How many approved development projects were required to conduct a CMP TIA?		
b. Did the TIA process identify whether any CMPHS links/intersections would exceed their established LOS standard as a result of project related traffic?	<input type="checkbox"/>	<input type="checkbox"/>
c. If so, which CMPHS links/intersections?		

d. Which, if any, of these impacted CMPHS links/intersections are located outside the boundaries of your jurisdiction?		

- | | YES | NO* |
|--|--------------------------|--------------------------|
| e. Did your agency participate in inter-jurisdictional discussions with other affected jurisdictions to develop a mitigation strategy for each impacted link/intersection? | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Did you use, or do you anticipate using, a local model for your traffic impact analysis on any projects initiated between July 1, 2007 and June 30, 2009? | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. If you answered "Yes" to the above question, did you follow the modeling consistency process outlined in Attachment 1? | <input type="checkbox"/> | <input type="checkbox"/> |

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

Attachment 1
(under separate cover)

**CMP MONITORING CHECKLIST
LEVEL OF SERVICE**

Responsibility: Cities, County

2009 CMP CHECKLIST

	YES	NO*
1. In your jurisdiction, are all of the intersections on the CMPHS operating at LOS E (or the baseline level, if worse than E) or better?	<input type="checkbox"/>	<input type="checkbox"/>
a. If not, have the impacts of traffic which are categorically exempt under the CMP legislation (interregional travel, traffic generated by the provision of low and very low income housing, construction rehabilitation or maintenance of facilities that impact the system, freeway ramp metering, or traffic signal coordination) been factored out of the LOS traffic counts?	<input type="checkbox"/>	<input type="checkbox"/>
2. After adjustments have been included, which intersections, if any, are operating below LOS E (or the baseline level, if worse than E)?	<input type="checkbox"/>	<input type="checkbox"/>
<hr/>		
<hr/>		
<hr/>		
3. Will the LOS at those intersections be improved by mitigation measures which will be implemented in the next 18 months or improvements programmed in the first year of any FY 2009/2010 funding program (i.e., local agency CIP, CMP CIP, Measure M CIP)?	<input type="checkbox"/>	<input type="checkbox"/>
a. If not, has a deficiency plan been developed for each intersection which will be operating below LOS E (or the baseline level, if worse than E)?	<input type="checkbox"/>	<input type="checkbox"/>

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

CMP MONITORING CHECKLIST TDM ORDINANCE

Responsibility: Cities, County

2009 CMP CHECKLIST

- | | YES | NO |
|--|--------------------------|--------------------------|
| 1. Have you made revisions to the TDM ordinance used to satisfy the TDM requirements of the last CMP reporting cycle (i.e. 2007)? | <input type="checkbox"/> | <input type="checkbox"/> |
| a. If so, please attach a copy of the revised ordinance and adopting resolution. | | |
| 2. Have you applied your TDM ordinance to development projects? | <input type="checkbox"/> | <input type="checkbox"/> |
| a. If not, please provide a brief explanation. | | |
| | | |
| | | |
| | | |
| | | |

APPENDIX E: Capital Improvement Programs
(Under Separate Cover)

**APPENDIX F: Orange County Subarea Modeling
Guidelines**

(Under Separate Cover)

Minutes of the Meeting of the
Orange County Transportation Authority
Orange County Service Authority for Freeway Emergencies
Orange County Local Transportation Authority
Orange County Transit District
Board of Directors
November 23, 2009

Call to Order

The November 23, 2009, regular meeting of the Orange County Transportation Authority and affiliated agencies was called to order by Chairman Buffa at 9:00 a.m. at the Orange County Transportation Authority Headquarters, Orange, California.

Roll Call

Directors Present: Peter Buffa, Chairman
Jerry Amante, Vice Chairman
Patricia Bates
Arthur C. Brown
Bill Campbell
Carolyn Cavecche
William J. Dalton
Richard Dixon
Paul Glaab
Cathy Green
John Moorlach
Janet Nguyen
Allan Mansoor
Miguel Pulido
Gregory T. Winterbottom
Cindy Quon, Governor's Ex-Officio Member

Also Present: Will Kempton, Chief Executive Officer
James S. Kenan, Deputy Chief Executive Officer
Wendy Knowles, Clerk of the Board
Laurena Weinert, Assistant Clerk of the Board
Kennard R. Smart, Jr., General Counsel
Members of the Press and the General Public

Directors Absent: Chris Norby
Curt Pringle

Invocation

Vice Chairman Amante gave the invocation.

Pledge of Allegiance

Director Brown led the Board and audience in the Pledge of Allegiance.

Public Comments on Agenda Items

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

Special Matters

1. Special Recognition for Thirty Years of Safe Driving

Chairman Buffa presented a check to Coach Operator Forest Long as reward for achieving thirty years of safe driving.

2. Presentation of Resolutions of Appreciation for Employees of the Month for November 2009

Chairman Buffa presented Orange County Transportation Authority Resolutions of Appreciation Nos. 2009-62, 2009-63, 2009-64 to Robert Floyd, Coach Operator; Carlos Hernandez, Maintenance; and Dan Phu, Administration, as Employees of the Month for November 2009.

3. Approval of March 2010 Service Change Program

Scott Holmes provided extensive information as background, updates, route change information, ACCESS impacts, and citizens' feedback on the potential March service changes, required by the troubled economy and drastic reductions in ridership and sales tax revenues.

A lengthy discussion ensued which included examining various scenarios, a question-and-answer period, and a public comment period.

Mr. Holmes went into detail on the various changes to some routes, elimination of others, and the alternatives offered for some of the changes proposed.

Director Moorlach inquired as to the possible impacts on staffing, and Mr. Holmes responded that lay-off's would likely result with the elimination of approximately 150,000 revenue vehicle hours.

3. (Continued)

Public comments were heard from:

Pam Keller
Leonard Lahtinen
Scarlette Almero
Margaret Farris
Arnie Pike
Jane Reifer
Ryan Ayers
Hank Fung
Joseph Lopez
Karen Cant

Claudia Zaragoza
Ryan Billings
Christie Rudder
Victor Pletes
DannRose Crystal
Phil Bacerra
Malley K. Mac Lemor
Tom Dobrzeniecki
Donna Metcalfe

Director Moorlach requested a comparison be done of the level of transit service provided (following cuts) as opposed to those in 2002 and 2003.

Director Dixon requested staff meet with cities to provide detail on what service changes will result as part of today's Board action.

Director Campbell requested staff respond to Transit Advocates' suggestions provided 11/23 to Board, and to provide feedback to Board.

Several Board Members offered comments of appreciation to the Chief Executive Officer and staff for the diligence in working to preserve what service could be spared and for the great effort to ameliorate the needs expressed by citizens.

A motion was made by Director Winterbottom, seconded by Director Green, and declared passed by those present, to:

- A. Review and approve a service reduction strategy which results in the approximate reduction of 150,000 annual revenue vehicle hours effective with the March 2010 service change program and an additional 150,000 annual revenue vehicle hour reduction effective if additional revenues to support transit operations are not identified in the state budget for fiscal year 2010-11 or through other sources.
- B. Receive and file the final March 2010 public outreach program summary.
- C. Direct staff to return to the Board of Directors with periodic updates regarding service performance and passenger impacts.
- D. Direct staff to develop a scope of work for consultant services to complete a systemwide study of the Authority's bus services and return with a funding request for that study in a mid-year budget amendment.

Director Nguyen voted in opposition to the motion.

Consent Calendar (Items 4 through 21)

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

Orange County Transportation Authority Consent Calendar Matters

4. Approval of Minutes - Special Meeting

A motion was made by Director Pulido, seconded by Vice Chairman Amante, and declared passed by those present, to approve the minutes of the Orange County Transportation Authority and affiliated agencies' Special meeting of November 9, 2009.

5. Approval of Minutes - Regular Meeting

A motion was made by Director Pulido, seconded by Vice Chairman Amante, and declared passed by those present, to approve the minutes of the Orange County Transportation Authority and affiliated agencies' regular meeting of November 9, 2009.

6. Sales Tax Revenue Accounting Review

A motion was made by Director Pulido, seconded by Vice Chairman Amante, and declared passed by those present, to:

- A. Direct staff to implement recommendations in the Sales Tax Revenue Accounting Review, Internal Audit Report No. 08-024.
- B. Direct staff to investigate a process of having vendors send remittances through a bank lockbox mechanism.

7. Fiscal Year 2009-10 Internal Audit Plan, First Quarter Update

A motion was made by Director Pulido, seconded by Vice Chairman Amante, and declared passed by those present, to receive and file the first quarter update to the Orange County Transportation Authority Internal Audit Department Fiscal Year 2009-10 Internal Audit Plan.

8. 91 Express Lanes' Property Insurance Renewal

A motion was made by Director Pulido, seconded by Vice Chairman Amante, and declared passed by those present, to authorize the Chief Executive Officer to issue Purchase Order A15270 with Marsh Risk and Insurance Services, Inc., in an amount not to exceed \$500,000, for the purchase of property, flood, and earthquake insurance for the period of March 1, 2010 to March 1, 2011.

9. Costa Mesa Freeway (State Route 55) Continuous High-Occupancy Vehicle Lane Access

This item was pulled by Director Campbell, who stated that he supports this transition, and inquired how the funds taken from the Orange County Unified Transportation Trust (OCUTT) would be replenished over time.

Kia Mortazavi, Executive Director of Development, responded that staff's intent is to use other funds for capital construction as well as the future planning and programming monies for the project development. He stated that the use of OCUTT funds at this time is recommended to initiate the process.

A motion was made by Director Campbell, seconded by Director Cavecche, and declared passed by those present, to:

- A. Direct the Chief Executive Officer to negotiate and enter into a cooperative agreement with the California Department of Transportation to design and construct the extended high-occupancy vehicle striping on the Costa Mesa Freeway (State Route 55).
- B. Approve the use of \$1.5 million in local Orange County Unified Transportation Trust funds to extend the high-occupancy vehicle striping on the Costa Mesa Freeway (State Route 55).
- C. Amend the Orange County Transportation Authority's Fiscal Year 2009-10 Budget by \$475,000 with funding through the Orange County Unified Transportation Trust account.
- D. Direct staff to prepare an action plan to modify all remaining high-occupancy striping to continuous access within Orange County and begin preliminary work on accessing the remaining corridors.

Orange County Local Transportation Authority Consent Calendar Matters

10. Modifications of Roles and Responsibilities with City of Anaheim for Environmental Clearance of the Anaheim Regional Transportation Intermodal Center

This item was pulled by Director Bates, who inquired as to the source of extra funds going to the environmental documentation, stating that while account numbers are listed, she would like clarification of where the funds are coming from. She also asked if the City has received the American Recovery and Reinvestment Act (ARRA) of 2009 funds which may qualify for the environmental work for this project.

10. (Continued)

Darrell Johnson, Executive Director of the Rail Division, responded that as to the first question, the account codes are Measure M transit funds which were budgeted this year for Anaheim Regional Transportation Intermodal Center (ARTIC) development, and this reflects a shift from the OCTA budget into the cooperative agreement with the City of Anaheim.

As to the second question, Mr. Johnson responded that in terms of the ARRA funds, the only application for ARRA funds for the ARTIC are included in the high-speed rail authority program application, and staff expects to hear announcements of awards of funding in the winter 2009-10 timeframe.

Director Bates commented that it may be questionable to add that additional money from OCTA into this project without some matching funds from the city.

A motion was made by Director Bates, seconded by Director Pulido, and declared passed by those present, to:

- A. Authorize the transfer of California Environmental Quality Act Lead Agency designation from the Orange County Transportation Authority to the City of Anaheim for environmental clearance of Phase 1 of the Anaheim Regional Transportation Intermodal Center.
- B. Authorize the Chief Executive Officer to execute Cooperative Agreement No. C-9-0821 between the Orange County Transportation Authority and the City of Anaheim to modify roles and responsibilities for environmental clearance of Phase 1 of the Anaheim Regional Transportation Intermodal Center and to permit the transfer of \$3,645,307 from the Orange County Transportation Authority to the City of Anaheim to lead completion of the environmental clearance.
- C. Authorize the Chief Executive Officer to execute Agreement No. C-9-0802 between the Orange County Transportation Authority and the City of Anaheim for assignment of all rights and responsibilities of Agreement No. C-9-0230 between the Orange County Transportation Authority and ICF International (formerly known as Jones and Stokes Associates, Inc.) for support in completing the environmental clearance.

Vice Chairman Amante and Director Campbell were not present for the vote on this item.

11. Cooperative Agreements with the Cities of Irvine and Laguna Woods for Go Local Step Two Bus/Shuttle Service Planning

A motion was made by Director Pulido, seconded by Vice Chairman Amante, and declared passed by those present, to:

- A. Authorize the Chief Executive Officer to execute Cooperative Agreement No. C-9-0830 between the Orange County Transportation Authority and the City of Irvine to define each party's roles and responsibilities for service planning of the bus shuttle proposals entitled, "Tustin Station 1," "Tustin Station 2," "Tustin Station 3," "Tustin Station 4," and "Irvine Station 1."
- B. Authorize the Chief Executive Officer to execute Cooperative Agreement No. C-9-0831 between the Orange County Transportation Authority and the City of Laguna Woods to define each party's roles and responsibilities for service planning of the bus shuttle proposal entitled, "Laguna Woods-Laguna Hills-Lake Forest to Irvine Station Route."

12. Agreement for Maintenance Services of the Orange County Transportation Authority's Operating Railroad Right-of-Way

A motion was made by Director Pulido, seconded by Vice Chairman Amante, and declared passed by those present, to authorize the Chief Executive Officer to execute Agreement No. C-9-0698 between the Orange County Transportation Authority and Joshua Grading and Excavating, Inc., in an amount not to exceed \$3,600,000, for a term of three years with two one-year options to provide maintenance services for the Orange County Transportation Authority's operating railroad right-of-way.

13. Cooperative Agreement with the California Department of Transportation for the San Diego Freeway (Interstate 405) West County Connectors Project

A motion was made by Director Pulido, seconded by Vice Chairman Amante, and declared passed by those present, to authorize the Chief Executive Officer to execute Cooperative Agreement No. C-9-0829 between the Orange County Transportation Authority and the California Department of Transportation for construction of the west segment of the West County Connectors Project, in an amount not to exceed \$24,622,500.

14. Draft Cooperative Agreement with the City of Long Beach for the San Diego Freeway (Interstate 405) West County Connectors Project

A motion was made by Director Pulido, seconded by Vice Chairman Amante, and declared passed by those present, to authorize the Chief Executive Officer to negotiate and execute draft Cooperative Agreement No. C-9-0815 between the Orange County Transportation Authority and the City of Long Beach, in an amount not to exceed \$1,510,000, to be provided by the Orange County Transportation Authority to the City of Long Beach for traffic mitigation measures in relation to the West County Connectors Project.

15. Renewed Measure M Environmental Mitigation Program Memorandum of Agreement and Planning Agreement

A motion was made by Director Pulido, seconded by Vice Chairman Amante, and declared passed by those present, to:

- A. Authorize the Chief Executive Officer to negotiate and execute Memorandum of Agreement No. C-9-0278 with the United States Fish and Wildlife Service, the California Department of Fish and Game, and the California Department of Transportation to authorize the conservation planning efforts.
- B. Authorize the Chief Executive Officer to negotiate and execute Planning Agreement No. C-9-0279 with the California Department of Transportation, the California Department of Fish and Game, and the United States Fish and Wildlife Service to authorize the conservation planning efforts.

16. Selection of Firms for On-Call Right-of-Way Service

A motion was made by Director Pulido, seconded by Vice Chairman Amante, and declared passed by those present, to:

Authorize the Chief Executive Officer to execute the following on-call agreements, in an aggregate amount not to exceed \$1,000,000:

- Agreement No. C-9-0822 between the Orange County Transportation Authority and California Property Specialists, Inc.
- Agreement No. C-9-0452 between the Orange County Transportation Authority and Epic Land Solutions, Inc.
- Agreement No. C-9-0747 between the Orange County Transportation Authority and HDR Engineering, Inc.
- Agreement No. C-9-0748 between the Orange County Transportation Authority and Overland, Pacific and Cutler, Inc.
- Agreement No. C-9-0749 between the Orange County Transportation Authority and Paragon Partners Ltd.

Directors Bates and Nguyen abstained from voting on this item.

17. Funding Agreements Between the Orange County Transportation Authority and the Cities of Fullerton and Santa Ana for Preliminary Planning and Environmental Work on Transportation Center Expansions

Jane Reifer, pulled this item for public comment and expressed concern for the relocation of the expanded transportation center as it will be in the vicinity of a park and will purportedly be closed during times of events at that park.

A motion was made by Director Nguyen, seconded by Director Pulido, and declared passed by those present, to:

- A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-0839, in the amount of \$875,000, with the City of Fullerton for funding of the preliminary planning and environmental work associated with the Fullerton Transportation Center expansion.
- B. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-0823, in the amount of \$3,000,000, with the City of Santa Ana for funding of the preliminary planning and environmental work associated with the expansion of the Santa Ana Regional Transportation Center and the Santa Ana Boulevard grade separation.
- C. Authorize staff to process all necessary amendments to the Regional Transportation Improvement Program, submit all necessary Federal Transit Administration grant applications, and execute all necessary agreements to facilitate the above actions.

Directors Campbell and Mansoor were not present for the vote on this item.

18. Selection of Firms for On-Call Utility Coordination and Support Services

A motion was made by Director Pulido, seconded by Vice Chairman Amante, and declared passed by those present, to authorize the Chief Executive Officer to execute the following on-call agreements, in an aggregate amount not to exceed \$900,000:

- Agreement No. C-9-0453 between the Orange County Transportation Authority and Stantec Consulting, Inc.
- Agreement No. C-9-0750 between the Orange County Transportation Authority and Spec Services
- Agreement No. C-9-0751 between the Orange County Transportation Authority and Utility Specialists California, Inc.

18. (Continued)

- Agreement No. C-9-0752 between the Orange County Transportation Authority and APA Engineering, Inc.
- Agreement No. C-9-0753 between the Orange County Transportation Authority and Berg & Associates, Inc.

19. Renewed Measure M Progress Report for July 2009 through September 2009

A motion was made by Director Pulido, seconded by Vice Chairman Amante, and declared passed by those present, to receive and file as an information item.

Orange County Transit District Consent Calendar Matters

20. Customer Relations First Quarter Report Fiscal Year 2009-10

A motion was made by Director Pulido, seconded by Vice Chairman Amante, and declared passed by those present, to receive and file as an information item.

21. Approval to Release an Invitation for Bids for Lease and Full Service of Bus Tires

A motion was made by Director Pulido, seconded by Vice Chairman Amante, and declared passed by those present, to approve the release of Invitation for Bids 9-0766 for lease and full service of bus tires.

Regular Calendar

Orange County Transportation Authority Regular Calendar Matters

22. Replacement of Bus Rapid Transit Transportation Control Measure

Kurt Brotcke, Director of Strategic Planning, presented this item to the Board and provided details on the planned expansions.

Director Moorlach referred to the approximate funds left in gross operating costs and asked what the plans are for those funds.

Mr. Brotcke responded that part of the action on this item results in moving some of the Congestion Mitigation and Air Quality dollars into the Metrolink program. Those funds were part of this program under discussion and were to be used for operating for the first three years; the funds would not completely cover the first three years of operation, however, which would have impacted the local operating funds to be brought into the service.

22. (Continued)

A motion was made by Vice Chairman Amante, seconded by Director Dalton, and declared passed by those present, to:

- A. Direct staff to work with the Southern California Association of Governments to remove bus rapid transit service on Harbor Boulevard, Westminster Boulevard/17th Street, and the 28-mile line from the Regional Transportation Improvement Program.
- B. Direct staff to include the three bus rapid transit lines in the upcoming 2010 Long-Range Transportation Plan, and return with phasing recommendations as part of that plan.
- C. Direct staff to work with the Southern California Association of Governments to add traffic signal synchronization on Harbor Boulevard, Westminster Boulevard, and Bristol Street/State College Boulevard Signal Synchronization as substitute Transportation Control Measure projects.
- D. Direct staff to return with an implementation plan for the traffic signal synchronization projects by February 2010.
- E. Authorize staff to amend the Regional Transportation Improvement Program.

Director Mansoor was not present to vote on this item.

Orange County Local Transportation Authority Regular Calendar Matters

23. Combined Transportation Funding Program Project Delivery and Close Out

Kurt Brotcke, Director of Strategic Planning, presented this item and provided details of the program deliver and close out phase. He further stated that staff will come back to the Board in January 2010 with results of the semi-annual review and the guidelines for the M2 call for projects.

A motion was made by Director Green, seconded by Director Nguyen, and declared passed by those present, to:

- A. Authorize staff to implement a change to the Combined Transportation Funding Program delay request policy to allow no further delay requests, effective with the March 2010 semi-annual review.

23. (Continued)

- B. Direct staff to include Measure M Combined Transportation Funding Program project cancellation cost savings in the Renewed Measure M call for projects and return with specific guidelines to implement these changes if approved.

Director Cavecche stated that she continues to be concerned for the cities' timing in meeting deadlines for projects and the potential loss of funding.

24. Approval to Release Request for Proposals for Construction Management Services for the Orange Freeway (State Route 57) Northbound Widening Project

Tom Bogard, Director of Highway Project Delivery, presented information on this project and the need to release a Request for Proposals for construction management services.

Vice Chairman Amante asked Chief Executive Officer (CEO), Will Kempton, for clarification of what role Caltrans will have on this project, and what role OCTA is privately contracting.

CEO, Mr. Kempton, responded that as part of the funding mechanism through which OCTA transferred savings on the ARRA project on the State Route 91, it became part of the result that this project became state-funded with Proposition 1B funds. He stated that initially, Caltrans was going to be doing the bulk of the construction management work, with 10 percent for OCTA and 90 percent for Caltrans. Discussions have taken place with Caltrans, and there is currently a split of 40 percent of the work to be done by OCTA (by private consultants) and 60 percent to be done by Caltrans; discussions are continuing.

Vice Chairman Amante stated he would like to see local firms benefit from jobs on this project.

A motion was made by Director Campbell, seconded by Director Green, and declared passed by those present, to:

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 9-0592 for selection of consultant services.
- B. Approve the release of Request for Proposals 9-0592 for construction management services for the Orange Freeway (State Route 57) Northbound Widening Project.

Discussion Items

25. Public Comments

At this time, Chairman Buffa stated that 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 would be taken on off-agenda items unless authorized by law.

Public comment was heard from Mark Price, resident of Irvine, who commented that he has developed a 5-county plan to address difficult issues in the county.

26. Chief Executive Officer's Report

CEO, Mr. Kempton, provided a report on the recent trip to Washington, D.C., and meetings in which he and Chairman Buffa participated relative to the upcoming reauthorization bill.

Mr. Kempton reported that the Orange County Council of Governments (OCCOG) approved the cooperative agreement with Senate Bill 375 planning requirements. As part of the motion, the OCCOG requested they be able to work with OCTA to establish a joint committee for the sustainable communities' strategy development. OCCOG also took action to notify the Southern California Association (SCAG) of Governments that the Board intended to work with OCTA and SCAG to conduct a sub-regional sustainable communities' strategy for Orange County, dependent upon negotiating a memo of understanding with SCAG for the terms, roles, and responsibilities for that delegation.

Mr. Kempton reported on upcoming meetings and events.

27. Directors' Reports

Director Brown stated that he would like to see far less paper being used for agenda materials and was looking forward to the digital agenda process being developed.

Director Brown reported the upcoming dates which the Metrolink Toy Train will be passing through various Orange County cities.

Director Moorlach referred to agenda item #14 and stated that as staff coordinates with representatives from the City of Long Beach, his office will be pleased to offer any assistance if necessary.

Vice Chairman Amante offered comments of appreciation for the OCTA Board, the staff, and the involved citizens who can come together and make a difference in public policy.

27. (Continued)

Chairman Buffa reported that on the recent trip to Washington, D.C., he was encouraged with meetings held and noted that most of the Congressional leaders seemed to understand the stimulus package was not a jobs program, but basically a spending bill, and felt they understand the best way to create jobs is through public works.

He further stated that there may be a possibility of taking the Troubled Asset Relief Program (TARP) money which may be returned to the federal government and using that as an immediate and prolonged reauthorization of the transportation bill.

28. Closed Session

A Closed Session was not conducted.

29. Adjournment

The meeting adjourned at 11:22 a.m. The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, December 14, 2009**, at the OCTA Headquarters.

ATTEST

Wendy Knowles
Clerk of the Board

Peter Buffa
OCTA Chairman



BOARD COMMITTEE TRANSMITTAL

December 14, 2009

To: Members of the Board of Directors
From: ^{WK} Wendy Knowles, Clerk of the Board
Subject: Proposed Board of Directors' Meeting Calendar for the Year 2010

Executive Committee meeting of December 7, 2009

Present: Chairman Buffa, Vice Chairman Amante, Directors Cavecche, Nguyen, Norby, and Pringle
Absent: Directors Campbell and Glaab

Committee Vote

This item was passed by all Committee Members present.

Chairman Buffa and Director Glaab were not present to vote on this item.

Committee Recommendation

Adopt the Orange County Transportation Authority and affiliated agencies Board of Directors' meeting calendar for the year 2010.



December 7, 2009

To: Executive Committee

From: Will Kempton, Chief Executive Officer

Subject: Proposed Board of Directors' Meeting Calendar for the Year 2010

Overview

Presented is the proposed official Board of Directors' meeting calendar for 2010, depicting the dates of the Board meetings and holidays for the year.

Recommendation

Adopt the Orange County Transportation Authority and affiliated agencies Board of Directors' meeting calendar for the year 2010.

Discussion

The 2010 meeting calendar for the Orange County Transportation Authority's (OCTA) Board of Directors and affiliated agencies has been prepared by the Clerk of the Board and is presented for approval and adoption.

In order to mitigate scheduling conflicts for Board Members, the proposed calendar takes into consideration the scheduled meetings of the:

Orange County Board of Supervisors, Orange County Council of Governments, the Southern California Regional Rail Authority, Southern California Association of Governments (SCAG) Regional Council Meetings, SCAG – Transportation and Communications Committee, SCAG – Regional Transportation Agencies Coalition, the Local Agency Formation Commission, the Los Angeles-San Diego-San Luis Obispo (LOSSAN) Rail Corridor Agency, the Air Quality Management District – Mobile Source Air Pollution Reduction Review Committee, the Transportation Corridor Agencies, and regularly-attended Board conferences and events.

Also considered were various organizations' scheduled events and conferences. A listing of those dates is provided as Attachment A.

The proposed calendar reflects the regular Monday Board meetings, which are generally scheduled for the second and fourth Mondays of each month, with proposed changes due to holidays and meeting conflicts. A standing exception to this meeting routine has been that a second meeting in December is not scheduled. The Chairman retains the right to call a special meeting at any time during the month when unforeseen emergencies may need to be addressed. The proposed calendar is attached for review (Attachment B).

Proposed deviation from the regular meeting schedule is:

First meeting in October 2010

Monday, October 11, 2010, conflicts with Columbus Day, a state, county, and city holiday.

CHANGE FROM: Monday, October 11 to Friday, October 8

Summary

Approval is requested for the OCTA Board of Directors' meeting calendar, which sets dates for the regular Board meetings for the upcoming year of 2010.

Attachments

- A. Related 2010 Event and Conference Schedule
- B. Orange County Transportation Authority 2010 Board Meetings and Holidays Calendar

Prepared by:



Wendy Knowles
Clerk of the Board
(714) 560-5676

RELATED 2010 EVENT AND CONFERENCE SCHEDULE

THE FOLLOWING DATES WERE CONSIDERED IN PREPARATION OF THE PROPOSED 2010 OCTA BOARD OF DIRECTORS' MEETING CALENDAR:

Orange County Board of Supervisors' Board Meeting Schedule

Orange County Leadership Symposium
(February 17 - 19, 2010)

National League of Cities Congressional City Conference
(March 13 - 17, 2010)

League of California Cities' Legislative Action Days
(April 21 - 22, 2010)

League of California Cities Mayors' and Council Members' Executive Forum
(On hiatus for 2010)

League of California Cities Mayors' and Council Members' Advanced Leadership Academy
(TBD per League of Cities)

League of California Cities' Annual Conference
(September 15 - 18, 2010)

League of California Cities' Legislative Briefings
(On hiatus for 2010)

APTA Legislative Conference
(March 14 - 16, 2010)

APTA Bus and Paratransit Conference
(May 2 - 5, 2010)

APTA Rail Transit Conference
(June 6 - 9, 2010)

APTA Annual Meeting
(October 3 - 6, 2010)



ORANGE COUNTY TRANSPORTATION AUTHORITY
2010 Board Meetings and Holidays

JANUARY						
SUN	MON	TUE	WED	THU	FRI	SAT
						2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31						

FEBRUARY						
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28						

MARCH						
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APRIL						
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MAY						
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30						

JUNE						
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JULY						
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AUGUST						
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SEPTEMBER						
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OCTOBER						
SUN	MON	TUE	WED	THU	FRI	SAT
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NOVEMBER						
SUN	MON	TUE	WED	THU	FRI	SAT
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DECEMBER						
SUN	MON	TUE	WED	THU	FRI	SAT
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26	27	28	29	30	31	

 OCTA, SAFE, LTA, and OCTD regular meeting
9 a.m., OCTA Headquarters, 600 South Main Street, Orange, CA

OCTA Holidays



BOARD COMMITTEE TRANSMITTAL

December 14, 2009

To: Members of the Board of Directors
From: Wendy Knowles, Clerk of the Board
Subject: Agreements for Freeway Service Patrol Services

Executive Committee meeting of December 7, 2009

Present: Chairman Buffa, Vice Chairman Amante, Directors Cavecche, Glaab, Nguyen, Norby, and Pringle
Absent: Directors Campbell and Glaab

Committee Vote

This item was passed by all Committee Members present.

Committee Recommendations

- A. Authorize the Chief Executive Officer to execute Agreement No. C-9-0719 between the Orange County Transportation Authority and Greater Southern California Towing, Inc., in an amount not to exceed \$1,414,500, to provide Freeway Service Patrol services from January 1, 2010 through November 30, 2013.
- B. Authorize the Chief Executive Officer to execute Agreement No. C-9-0840 between the Orange County Transportation Authority and Top Towing, in an amount not to exceed \$1,157,184, to provide Freeway Service Patrol services from January 1, 2010, through November 30, 2013.
- C. Authorize the Chief Executive Officer to execute Agreement No. C-9-0841 between the Orange County Transportation Authority and A & B Towing, in an amount not to exceed \$2,394,005, to provide Freeway Service Patrol services from January 1, 2010, through November 30, 2013.
- D. Authorize the Chief Executive Officer to execute Agreement No. C-9-0842 between the Orange County Transportation Authority and California Coach Orange, Inc., in an amount not to exceed \$2,936,520, to provide Freeway Service Patrol services from January 1, 2010, through November 30, 2013.

Director Glaab was not present to vote on this item.



December 14, 2009

To: Members of the Board of Directors

From:  Will Kempton, Chief Executive Officer

Subject: Conflict of Interest Code and Annual Statement of Economic Interests Filing for 2009

Overview

Pursuant to the Orange County Transportation Authority's Conflict of Interest Code, Members of the Board of Directors and certain designated employees are required to file Statements of Economic Interests.

Recommendations

- A. Approve the amended designated positions and disclosure categories for the Orange County Transportation Authority Conflict of Interest Code and direct staff to forward them to the reviewing body, the Orange County Board of Supervisors.
- B. Direct the Clerk of the Board to distribute and monitor Statements of Economic Interests for 2009 for Members of the Board of Directors, the Chief Executive Officer, and certain designated employees, and to file those statements with the Clerk of the Orange County Board of Supervisors by April 1, 2010.

Background

The Political Reform Act requires that every local agency review its designated positions and disclosure categories each year to determine they are accurate to date. General Counsel has reviewed the code and the list of designated employees who are required to file Statements of Economic Interests and applicable disclosure categories.

Discussion

Members of the Orange County Transportation Authority (OCTA) Board of Directors, the Chief Executive Officer, and certain designated employees are required to file an annual Statement of Economic Interests Form 700 with the Clerk of the Orange County Board of Supervisors. In addition, other designated OCTA employees are required to file Form 700 with the OCTA's Clerk of the Board.

The Human Resources and Organizational Development Division reviewed the positions within the agency to determine which employees are required to file a statement, and under which category. General Counsel reviewed the designated position list and applicable disclosure categories.

The Appendix to the OCTA's Conflict of Interest Code lists the disclosure categories and a list of designated positions that are required to file with the OCTA's Clerk of the Board.

The Clerk of the Board shall retain copies of all Statements of Economic Interests and forward the original statements of Board Members, the Chief Executive Officer, and certain designated employees, to the Filing Agency (Clerk of the Board, Orange County Board of Supervisors). The OCTA's Clerk of the Board shall retain original statements submitted by certain employees who are not required to be filed with the County Clerk.

Staff requests that all statements be submitted to the OCTA's Clerk of the Board by Monday, March 22, 2010, which will allow sufficient time for processing and meeting the California Fair Political Practices Commission's filing deadline of April 1, 2010.

Summary

The Board of Directors annually approves the list of designated positions and disclosure categories subject to the Authority's Conflict of Interest Code.

Attachments

- A. List of Designated Positions and Applicable Disclosure Category
- B. Disclosure Categories for Filers of Form 700

Prepared by:

Wendy Knowles

Wendy Knowles
Clerk of the Board
(714) 560-5676

ORANGE COUNTY TRANSPORTATION AUTHORITY
STANDARD DISCLOSURE CATEGORIES

(Revised August 13, 2009)

ATTACHMENT A

Designated Positions	Disclosure Category
Analysis Project Manager	OC-02
Assistant Base Manager, Bus Operations	OC-02
Assistant General Manager, Operations	OC-01
Base Manager, Bus Operations	OC-01
Base Manager, Vehicle Maintenance	OC-01
Bus Rapid Transit Project Manager	OC-01
Business Computing Solutions Specialist, Lead	OC-02
Business Computing Solutions Specialist, Senior	OC-02
Business Intelligence Analyst, Senior	OC-02
Business Systems Analyst, Principal, Financial Planning and Analysis	OC-02
Business Systems Analyst, Senior, Contracts and Procurement	OC-01
Business Systems Analyst, Senior, General Accounting	OC-02
Buyer	OC-02
Buyer, Associate	OC-02
Buyer, Senior	OC-01
CAMM Section Manager, Senior	OC-01
Chief Executive Officer	OC-01
Chief Information Officer	OC-01
Chief Risk Officer	OC-01
Civil Engineer, Principal	OC-01
Civil Engineer, Senior	OC-01
Claims Manager	OC-12
Claims Representative	OC-12
Claims Representative, Associate	OC-12
Claims Representative, Senior	OC-12
Code Administrator	OC-02
Code Administrator, Senior	OC-01
Construction Safety Officer	OC-02
Consultant	OC-30
Contracts Administrator	OC-01
Contracts Administrator, Associate	OC-02
Contracts Administrator, Principal	OC-01
Contracts Administrator, Senior	OC-01
Data Warehouse Architect	OC-02
Data Warehouse Architect, Associate	OC-02
Data Warehouse Architect, Senior	OC-02
Database Administrator, Senior	OC-02
Deputy Chief Executive Officer	OC-01
Deputy Treasurer	OC-02
Development Project Manager I, II, III	OC-02
Director, Board of Directors	OC-01
Director, Clerk of the Board	OC-01
Director, Contracts Administration and Materials Management	OC-01
Director, Finance and Administration	OC-01
Director, Highway Project Delivery	OC-01
Director, Motorist Services and Special Projects	OC-01
Director, Strategic Planning	OC-01
Employee Programs Administrator	OC-02

ORANGE COUNTY TRANSPORTATION AUTHORITY
STANDARD DISCLOSURE CATEGORIES

(Revised August 13, 2009)

ATTACHMENT A

Designated Positions	Disclosure Category
Executive Director, Development	OC-01
Executive Director, External Affairs	OC-01
Executive Director, Finance and Administration	OC-01
Executive Director, Government Relations	OC-01
Executive Director, Human Resources and Organizational Development	OC-01
Executive Director, Internal Audit	OC-01
Executive Director, Rail Programs	OC-01
Field Administrator	OC-01
Field Administrator, Senior	OC-01
Financial Analyst, Principal	OC-02
Financial Analyst, Senior, Contracts Administration and Materials Management	OC-02
Fleet Analyst	OC-02
Fleet Analyst, Senior	OC-02
General Counsel	OC-01
General Manager, Toll Roads	OC-01
General Manager, Transit	OC-01
GIS Analyst	OC-08
GIS Analyst, Associate	OC-08
GIS Analyst, Senior	OC-08
GIS Analyst, Principal	OC-08
Government Relations Representative, Principal	OC-01
Grants Funding Manager	OC-02
Grants Funding Specialist	OC-02
Grants Funding Specialist, Associate	OC-02
HR Section Manager, Senior	OC-11
Internal Audit Section Manager, Senior	OC-01
Internal Auditor, Associate	OC-01
Internal Auditor, Principal	OC-01
Internal Auditor, Senior	OC-01
Intranet/Multimedia Specialist	OC-08
Intranet/Multimedia Specialist, Senior	OC-08
Inventory Analyst	OC-02
Investment Officer	OC-02
Investment Officer, Senior	OC-02
IS Business Strategist	OC-08
IS Project Manager I, II, III	OC-08
IS Section Manager, Senior	OC-08
IS Security Analyst	OC-08
IS Security Analyst, Associate	OC-08
IS Security Analyst, Senior	OC-08
Lieutenant, Orange County Sheriff's Department	OC-01
Local Government Relations Representative, Principal	OC-02
Maintenance Analyst, Senior	OC-02
Maintenance Field Administrator, Senior	OC-02
Maintenance Supervisor	OC-02
Manager, Accounting and Financial Reporting	OC-01
Manager, Bus Operations	OC-01
Manager, Capital and Local Programs	OC-01

ORANGE COUNTY TRANSPORTATION AUTHORITY
STANDARD DISCLOSURE CATEGORIES

(Revised August 13, 2009)

Designated Positions	Disclosure Category
Manager, Contracts and Procurement	OC-01
Manager, Federal Relations	OC-01
Manager, Financial Planning and Analysis	OC-01
Manager, Health, Safety, and Environmental Compliance	OC-01
Manager, Human Resources	OC-11
Manager, Internal Audit	OC-01
Manager, Labor and Employee Relations	OC-01
Manager, Maintenance	OC-06
Manager, Marketing	OC-01
Manager, Metrolink Expansion	OC-01
Manager, Operations Analysis	OC-01
Manager, Planning and Analysis	OC-01
Manager, Public Communications	OC-13
Manager, Regional Initiatives	OC-01
Manager, Security and Emergency Preparedness	OC-01
Manager, Service Planning and Customer Advocacy	OC-01
Manager, State Relations	OC-01
Manager, Transit Program Management	OC-01
Media Relations Officer	OC-13
Media Relations Specialist, Senior	OC-13
Network Analyst	OC-08
Network Analyst, Associate	OC-08
Network Analyst, Senior	OC-08
Operations Analyst	OC-02
Operations Analyst, Associate	OC-02
Operations Analyst, Senior	OC-02
Printing and Reprographics Administrator	OC-05
Program Manager, Highway Project Delivery	OC-01
Program Manager, Local Initiatives	OC-01
Project Controls Analyst	OC-02
Project Controls Analyst, Principal	OC-02
Project Controls Analyst, Senior	OC-02
Project Manager	OC-01
Public Information Officer	OC-13
Rail Project Manager I, II, III	OC-01
Rail Right-of-Way Agent	OC-01
Right-of-Way Agent	OC-01
Right-of-Way Agent, Principal	OC-01
Right-of-Way Agent, Senior	OC-01
Safety, Health and Environmental Specialist	OC-02
Safety, Health and Environmental Specialist, Senior	OC-02
Schedule Analyst	OC-01
Schedule Analyst, Associate	OC-01
Schedule Analyst, Senior	OC-01
Section Manager, Access Services	OC-01
Section Manager, Accounting Operations	OC-02
Section Manager, Accounting/Reporting	OC-02
Section Manager, Accounts Payable	OC-02

ORANGE COUNTY TRANSPORTATION AUTHORITY
STANDARD DISCLOSURE CATEGORIES

(Revised August 13, 2009)

Designated Positions	Disclosure Category
Section Manager, Advertising and Promotions	OC-13
Section Manager, Benefits	OC-02
Section Manager, Budget Development	OC-02
Section Manager, Capital and Local Programs	OC-01
Section Manager, Capital Projects	OC-01
Section Manager, Comprehensive Business Plan/Grants	OC-02
Section Manager, Creative Services	OC-02
Section Manager, Electronics/Radio	OC-02
Section Manager, Facilities	OC-02
Section Manager, Facilities Maintenance	OC-01
Section Manager, General Accounting	OC-02
Section Manager, General Services	OC-02
Section Manager, Geographic Information Systems	OC-08
Section Manager, Inventory Control	OC-01
Section Manager, IS Business Support Services	OC-02
Section Manager, Long Range Strategies	OC-01
Section Manager, Maintenance	OC-02
Section Manager, Maintenance Procurement Team	OC-02
Section Manager, Maintenance Resource Management	OC-01
Section Manager, Maintenance Support Services	OC-02
Section Manager, Marketing Research and Program Development	OC-02
Section Manager, Media Relations	OC-01
Section Manager, Metrolink Operations	OC-01
Section Manager, Motorist Services	OC-01
Section Manager, Operations Planning and Scheduling	OC-01
Section Manager, Operations Support	OC-01
Section Manager, Payroll	OC-02
Section Manager, Planning and Analysis	OC-01
Section Manager, Procurement Team or Capital Projects	OC-01
Section Manager, Programming	OC-01
Section Manager, Project Controls	OC-02
Section Manager, Project Development/Environmental Resources	OC-01
Section Manager, Project Management/Business Intelligence	OC-02
Section Manager, Project Development, Planning and Analysis	OC-01
Section Manager, Regional Modeling and Traffic Operations	OC-01
Section Manager, Right-of-Way	OC-01
Section Manager, Scheduling	OC-01
Section Manager, Streets and Roads Program Delivery	OC-01
Section Manager, Technical Services	OC-02
Section Manager, Training and Development	OC-02
Section Supervisor, Accounts Payable	OC-02
Section Supervisor, Facility Maintenance	OC-02
Section Supervisor, Office Services	OC-02
Section Supervisor, Records and Asset Management	OC-02
Section Supervisor, Revenue	OC-01
Section Supervisor, Stores, Contracts Administration and Materials Management	OC-02
Service Analyst, Senior	OC-01
Special Assignment, Project Controls	OC-02

ORANGE COUNTY TRANSPORTATION AUTHORITY
STANDARD DISCLOSURE CATEGORIES

(Revised August 13, 2009)

Designated Positions	Disclosure Category
Special Assignment, Safety, Health and Environmental Specialist	OC-02
Stops and Zones Analyst	OC-01
Stops and Zones Analyst, Senior	OC-01
Stops and Zones Planner, Associate	OC-01
Stops and Zones Planner, Senior	OC-01
Systems Software Analyst	OC-08
Systems Software Analyst, Associate	OC-08
Systems Software Analyst, Senior	OC-08
Telecommunications Administrator	OC-02
Traffic Engineer	OC-02
Traffic Engineer, Associate	OC-02
Traffic Engineer, Senior	OC-02
Traffic Engineer, Principal	OC-02
Training and Development Administrator	OC-11
Training and Development Administrator, Principal	OC-11
Training and Development Administrator, Senior	OC-11
Transit Planner	OC-01
Transit Planner, Associate	OC-01
Transit Planner, Senior	OC-01
Transit Project Manager	OC-02
Transit Project Manager, Senior	OC-02
Transportation Analyst	OC-01
Transportation Analyst, Principal	OC-01
Transportation Analyst, Scheduling, Commuter Rail, or Planning	OC-01
Transportation Analyst, Senior	OC-01
Transportation Analyst, Senior, Community Transportation Services	OC-02
Transportation Funding Analyst	OC-01
Transportation Funding Analyst, Principal	OC-01
Transportation Funding Analyst, Senior	OC-01
Transportation Modeling Analyst	OC-01
Transportation Modeling Analyst, Principal	OC-01
Transportation Modeling Analyst, Senior	OC-01
Transportation Outreach Specialist	OC-13
Transportation Outreach Specialist, Principal	OC-13
Transportation Outreach Specialist, Senior	OC-13
Warranty Coordinator	OC-06
Warranty Coordinator, Senior	OC-06
Web Developer	OC-02
Web Developer, Content	OC-02
Web Developer, Senior	OC-02
Web Developer, Senior, Content	OC-02

ORANGE COUNTY TRANSPORTATION AUTHORITY**DISCLOSURE CATEGORIES FOR FILERS OF FORM 700**

Disclosure Category	Disclosure Description
OC-01	All interests in real property in Orange County, as well as investments, business positions and sources of income (including gifts, loans and travel payments).
OC-02	All investments, business positions and sources of income (including gifts, loans and travel payments).
OC-05	All investments in, business positions with and income (including gifts, loans and travel payments) from sources that provide services, supplies, materials, machinery, equipment (including training and consulting services) used by OCTA.
OC-06	All investments in, business positions with and income (including gifts, loans and travel payments) from sources that provide leased facilities and goods, supplies, equipment, vehicles, machinery or services (including training and consulting services) of the types used by OCTA.
OC-08	All investments in, business positions with and income (including gifts, loans and travel payments) from sources that develop or provide computer hardware or software, voice data communications, or data processing goods, supplies, equipment, or services (including training and consulting services) used by OCTA.
OC-11	All interests in real property in Orange County, as well as investments in, business positions with and income (including gifts, loans and travel payments) from sources that are engaged in the supply of equipment related to recruitment, employment search and marketing, classification, training, or negotiation with personnel; employee benefits, and health and welfare benefits.
OC-12	All interests in real property in Orange County, as well as investments in, business positions with and income (including gifts, loans and travel payments) from sources that invest funds or engage in the business of insurance including, but not limited to, insurance companies, carriers, holding companies, underwriters, brokers, solicitors, agents, adjusters, claims managers, and actuaries; from financial institutions including, but not limited to, banks, savings and loan associations, credit unions or sources that have filed a claim, or have a claim pending, against OCTA.
OC-13	All investments in, business positions with and income (including gifts, loans and travel payments) from sources that produce or provide promotional items for public outreach programs; present, facilitate, market or otherwise act as agent for media relations with regard to public relations; provide printing, copying, or mail services; or provide training for or development of customer service representatives.
OC-30	Consultants shall be included in the list of designated employees and shall disclose pursuant to the broadest category in the code subject to the following limitation: The OCTA Chief Executive Officer may determine that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements in this section. Such written determination shall include a description of the consultant's duties and, based upon that description, a statement of the extent of disclosure required. The OCTA Chief Executive Officer's determination is a public record and shall be retained for public inspection by the Filing Officer.



BOARD COMMITTEE TRANSMITTAL

December 14, 2009

To: Members of the Board of Directors
From: ^{WK} Wendy Knowles, Clerk of the Board
Subject: Performance Evaluation of Sacramento Legislative Advocate,
Sloat Higgins Jensen & Associates

Legislative and Communications Committee Meeting of December 3, 2009

Present: Directors Bates, Buffa, Dalton, and Glaab
Absent: Directors Brown, Cavecche, and Mansoor

Committee Vote

No action was taken on this receive and file item.

Staff Recommendation

Receive and file the staff evaluation as an information item and provide any additional comments.



December 3, 2009

To: Legislative and Communications Committee

From: Will Kempton, Chief Executive Officer

Subject: Performance Evaluation of Sacramento Legislative Advocate, Sloat Higgins Jensen & Associates

Overview

The firm, Sloat Higgins Jensen & Associates provides state legislative advocacy services for the Orange County Transportation Authority in Sacramento. A staff evaluation of the services provided during the past 12 months is presented to the Board of Directors for consideration and further comment.

Recommendation

Receive and file the staff evaluation as an information item and provide any additional comments.

Background

The Orange County Transportation Authority (OCTA) awarded an agreement for state legislative advocacy services to Sloat Higgins Jensen & Associates (SHJA) on November 2, 2002. The initial term of the agreement began on December 1, 2002, and extended to November 30, 2004. The agreement included two, two-year option terms coinciding with the California Legislature's 2005-2006 and 2007-2008 legislative sessions.

The OCTA Board of Directors (Board) took action to exercise the first two-year option term on September 13, 2004, and the second two-year option term was exercised by the Board on November 27, 2006.

With the contract set to expire on November 30, 2008, the Legislative and Communications Committee recommended to the Board that the contract be amended to provide for a two-year extension of the current contract through November 30, 2010. The amendment also included two additional two-year

option terms coinciding with the California Legislature's 2011-2012 and 2013-2014 legislative sessions. The Board took action to approve the amendment on July 14, 2008.

Discussion

Annually, OCTA staff evaluates the services provided by the Sacramento legislative advocate with respect to major issues addressed and general services provided. Staff's evaluation of the services provided by SHJA is included in Attachment A. The major issues and general services provided by SHJA have been evaluated based on effort and outcome using a rating of excellent, very good, good, fair, or poor.

Staff has rated SHJA's efforts overall as "excellent" based on responsiveness, advancing OCTA's positions and policies, and assisting in building cooperative relationships with legislators and members of various state departments, boards, and commissions. Staff has rated SHJA's outcomes overall as "very good" based on the outcomes of the issues discussed.

Priorities for SHJA for next year will include the enactment of sponsor legislation; advancement of OCTA's positions on legislation; actively participating in state budget discussions to ensure that transportation funds are not adversely impacted; and participating in the implementation of AB 32 (Chapter 488, Statutes of 2006) and SB 375 (Chapter 728, Statutes of 2008) regulations as released by the California Air Resources Board and further promulgated by the State Legislature.

To assist the Board in fully evaluating SHJA, the legislative advocate's current scope of work is included as Attachment B.

Summary

An evaluation of the services performed by Sloat Higgins Jensen & Associates is presented to the Board for information and further comment.

Attachments

- A. Staff Evaluation of Services Provided by Sloat Higgins Jensen & Associates for 2009
- B. Sacramento Legislative Advocacy and Consulting Services, Scope of Work, dated July 14, 2008

Prepared by:



Wendy Villa
State Relations Manager
(714) 560-5595

Approved by:



Kristine Murray
Executive Director,
Government Relations
(714) 560-5908

**Staff Evaluation of Services Provided by
Sloat Higgins Jensen & Associates for 2009**

The following narrative provides specific information with respect to major issues addressed by Sloat Higgins Jensen & Associates (SHJA) in 2009 and general services provided. Each issue has been evaluated based on effort and outcome using a rating of excellent, very good, good, fair, or poor.

Strategic Growth Plan and Infrastructure Bonds

Effort: Excellent; Outcome: Very Good

In November 2006, voters approved the largest bond package in state history, including Proposition 1A which protected existing transportation revenues and Proposition 1B which included \$19.9 billion in bonds for transportation infrastructure. Proposition 1B included funding for programs such as the Corridor Mobility Improvement Account (CMIA), the California Ports Infrastructure, Security, and Air Quality Improvement Account that included the Trade Corridor Improvement Fund (TCIF) as well as funds for air quality and port security, the State-Local Partnership Program (SLPP), an augmentation for the State Transportation Improvement Program, funding for transit in the Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA), additional transit security funding in the Transit System Safety, Security, and Disaster Response Account (TSSSDRA), Local Streets and Roads, and other funding categories.

SHJA and the Orange County Transportation Authority (OCTA) staff worked to secure the following appropriations in 2009 for the Proposition 1B programs.

- \$1.3 billion for CMIA
- \$350 million for PTMISEA
- \$490 million for TCIF
- \$200.5 million for SLPP
- \$101 million for TSSSDRA

OCTA is scheduled to receive an estimated \$18.6 million from the PTMISEA, \$3.52 million from the TSSSDRA, and \$17.15 million from SLPP. OCTA will also receive its corresponding share of CMIA and TCIF program funds as projects come forward for allocation during the period covered by the budget.

However, given the state's inability to sell bonds for new projects, the amount of the bond funds used during the budget year may vary. Many local agencies are altering schedules, shifting projects in and out of bond programs, changing project funding sources, and other actions that will not affect shares over the life of the program, but may affect how much is requested from the state in the budget year.

Sponsor Legislation – Facilitating service integration on the Los Angeles-San Diego-San Luis Obispo (LOSSAN) Corridor

Effort: Excellent; Outcome: Good

OCTA sponsored SB 454 (Lowenthal, D-Long Beach) to establish a framework, if needed, to enhance service options and availability to commuters in the LOSSAN corridor following the completion of a multi-agency study on service integration. SHJA was able to secure the Chair of the Senate Transportation and Housing Committee as the author of the bill in order to facilitate the regional consensus building the bill would have needed. They also met on numerous occasions with the author's staff to provide updates on the study as it progressed. However, the study was not completed in time for a substantive policy discussion in the 2009 session and the bill did not move forward. The study remains under discussion and is not likely to be an issue for the 2010 legislative session as well.

Major Legislation – SB 375 Clean Up

Effort: Excellent; Outcome: Poor

OCTA staff, in collaboration with its regional partners, sought SB 375 (Chapter 728, Statutes of 2008) clean-up legislation to clarify that transportation projects should be analyzed programmatically under the California Environmental Quality Act (CEQA) due to the regional nature of mitigating greenhouse gas (GHG) emissions under SB 375. Although multiple pieces of legislation were introduced seeking to accomplish this task, in the end the only piece of SB 375 clean-up legislation that was authorized to proceed by Senator Steinberg (D-Sacramento), the author of SB 375, was SB 575 (Chapter 354, Statutes of 2009). As signed, SB 575 only accomplishes various technical clean-up items and clarifies the timeline for implementation for the San Diego Association of Governments.

However, in the effort to secure changes to SB 375, SHJA worked diligently with the Governor's Office, Senator Steinberg and staff, SB 375 sponsor, California League of Conservation Voters President Tom Adams, Senator Correa (D-Santa Ana), and other stakeholders to advocate for OCTA's changes. SHJA also was a major participant in the business community's coalition in 2009, which sought OCTA's change and a number of other items. Unfortunately, none of the items in the Governor's 2008 SB 375 signing message or other major requests by other stakeholders were incorporated into SB 575.

Major Legislation – AB x3 20

Effort: Excellent; Outcome: Excellent

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act (ARRA) a \$787 billion spending plan designed to stimulate the nation's struggling economy. Overall, the highway infrastructure investment section of ARRA allocated approximately \$2.6 billion out of a total \$26.8 billion to California. The

legislature and Governor enacted ABX3 20 to set the framework for the distribution of funds between local agencies and the state.

Under these provisions, which closely mirrored the principles adopted by the OCTA Board of Directors (Board), OCTA received \$175 million in ARRA project and formula funds. In addition, language was also included to protect funding for Proposition 1B projects. This ensured that if Proposition 1B funds were displaced by ARRA funds, those funds would stay with the same local agency for reallocation.

SHJA and OCTA staff worked exhaustively to accomplish the directives of the Board, working with members of the budget and policy committees, leadership, and providing advocacy for floor and committee votes. SHJA also coordinated a delegation letter, led by Senator Mimi Walters' (R-Laguna Hills) Office, to the congressional delegation on the economic stimulus package.

Major Legislation – AB 672

Effort: Excellent; Outcome: Good

AB 672 (Chapter 463, Statutes of 2009) authorizes a regional or local lead agency, for a project or project component, funded or to be funded by Proposition 1B, to apply to the CTC for a letter of no prejudice (LONP) that would allow the lead agency to use alternate funds under its control to keep a project moving until bond funds become available. With limited state bond sales currently occurring and large demand existing for such funds, a LONP authorized under AB 672 gives OCTA another option to consider to continue a Proposition 1B project, until bond funds become available.

SHJA and OCTA staff sought to build on the benefits of the bill for Proposition 1B, and seek those same benefits for Proposition 116 funds. As Proposition 116 funds are subject to similar deadline and delivery issues, SHJA worked with the Department of Finance, the California Department of Transportation (Caltrans), the Assembly Speaker's Office, Senate President pro Tempore's Office, Senate Transportation & Housing Committee staff, California Transportation Committee (CTC) staff, Assembly Member Solorio (D-Santa Ana), and Senator Correa to try to incorporate Proposition 116 into the bill. SHJA and OCTA also engaged private sector partners to assist with advocacy. SHJA was also able to work with Assembly Member Solorio, in particular, to secure an opinion from legislative counsel relative to Proposition 116 programming issues.

Ultimately, AB 672 was successful and will provide OCTA with a valuable tool for Proposition 1B projects. However, Proposition 116 was not able to be incorporated and the possibility of LONP authority for that bond will be an advocacy issue in 2010.

Major Legislation – SB 372 and SB 679

Effort: Excellent; Outcome: Excellent

SB 372 (Kehoe, D-San Diego) would have prohibited the modification or adjustment of the boundaries or uses of a state park, unless recommended by the State Park and Recreation Commission and approved by the Legislature. SB 372 also included protections duplicative of existing state and federal law and would have created further delays to already extensive environmental and permitting review processes.

SB 679 (Wolk, D-Davis) would have prohibited any land within the state park system from being disposed of or used for purposes contrary to the intent of the state park system unless the California Parks and Recreation Commission certified that the request identified substitute land of equal value, provided monetary compensation for land that cannot be substituted, and ensured that all practical alternatives that avoid the use of state park land have been considered.

SB 372 and SB 679 would have created additional hurdles for the Foothill-South Transportation Corridor (State Route 241) extension to move forward as it goes through a portion of San Onofre State Beach. Beyond the extension of the State Route 241 (SR-241), SB 372 and SB 679 could have prevented or delayed plans to extend the Riverside Freeway (State Route 91) extension due to its proximity to the Chino Hills State Park and interfered with authority granted under SB 1316 (Chapter 714, Statutes of 2008) to extend the 91 Express Lanes into Riverside County. Lastly, these bills could have limited future transportation planning options along the coast of Orange County on the Pacific Coast Highway (State Route 1).

These bills were ultimately vetoed. In the veto messages for the bills, the Governor argued that these bills would slow infrastructure development at a time when the economic stimulus was much needed, and noted the need to balance the needs of the state parks with the need for additional economic activity.

SHJA worked with a strong coalition of opponents to testify at the Assembly Water, Parks, and Wildlife and Senate Natural Resources Committees, and successfully advocated for a veto with the Governor's Office.

Other Significant Legislation

Effort: Excellent; Outcome: Excellent

A number of other key bills of great interest to OCTA were also impacted by SHJA in the 2009 legislative session. Every bill supported by OCTA was signed and every bill opposed by OCTA was vetoed, except one that became a two-year bill.

AB 254 (Chapter 425, Statutes of 2009)

This bill would exempt authorized emergency vehicles from payment of a toll or charge on a vehicular crossing, toll highway, or high-occupancy toll lane when the vehicle is being utilized in an emergency. SHJA and OCTA staff worked with the author to ensure

that the 91 Express Lanes were not negatively impacted and that the policies in the bill were aligned with current OCTA practices.

AB 628 (Chapter 459, Statutes of 2009)

This bill amends existing law to provide toll operators in the state with the option of using the “pay-by-plate” method to collect tolls from toll road drivers. Current 91 Express Lanes policies, as stipulated by state law, require electronic toll collection as an authorized payment method and require drivers to place a transponder within the vehicle to record tolls. SHJA and OCTA staff worked with the author to ensure that the pay-by-plate method was available as a helpful tool for toll agencies, but not mandatory.

AB 729 (Chapter 466, Statutes of 2009)

This bill extends transit operators’ authority to use design-build for transit capital projects until January 2015. Prior to the enactment of this measure, transit operators were authorized to use design-build until January 2011. By authorizing this additional project delivery mechanism, transit agencies will have greater flexibility in delivering cost-effective capital projects over the next five years. SHJA worked with the California Transit Association (CTA) for the successful implementation of this bill.

AB 1072 (Chapter 271, Statutes of 2009)

This bill extends the current formula for allocating Proposition 1B PTMISEA funds for the remainder of the program. By extending the current PTMISEA formula, AB 1072 will grant further predictability in planning for later allocations under the PTMISEA program under the formula most advantageous to Orange County. SHJA worked with the CTA for the successful implementation of this bill.

AB 1403 (Chapter 530, Statutes of 2009)

This bill eliminates the \$1 million cap on the Southern California Association of Governments’ (SCAG) share of funding provided through the Transportation Development Act (TDA), beginning on July 1, 2011. Instead, SCAG’s share would be limited to three-fourths of 1 percent of funding provided under existing law. SCAG will be able to use this funding to more thoroughly plan for projects of regional significance, such as air quality conformity and SB 375 implementation and also provide matches for federal grant funding programs. SHJA worked with OCTA’s regional partners on this bill.

SB 406 (DeSaulnier, D-Concord)

This bill would have authorized specified local agencies, including subregional councils of governments and county transportation commissions jointly completing a sustainable communities strategy or alternative planning strategy under SB 375, to increase the fee air districts are currently authorized to impose on motor vehicles by \$1 or \$2. SHJA advocated OCTA’s opposition to requiring local agencies to provide a revenue source to fund a statewide mandate. The bill was ultimately vetoed.

SB 474 (Ducheny, D-San Diego)

SB 474 would require a lead agency, before awarding a contract or entering into an agreement involving design-build or public-private partnership (PPP) authority granted under the fiscal year (FY) 2009-2010 budget, to make specific findings. As sponsored by the Professional Engineers in California Government (PECG), SB 474 would delay projects that transportation agencies hope to implement using the authority granted in the budget. This bill would create additional project delays by requiring transportation agencies to make additional specified, yet vague, findings. SHJA is working with a broad coalition in opposition to the bill and has so far delayed SB 474 as a two-year bill.

SB 555 (Kehoe, D-San Diego)

This bill would have amended eminent domain law to create additional notice and procedural requirements an agency would need to fulfill before condemning land subject to a conservation easement held or established by a public entity. Early versions of the bill included additional requirements that would have extended beyond conservation easements established by or for public entities. This bill could have led to situations where any group wishing to oppose a project could establish a conservation easement to block or delay a project. SHJA and other stakeholders worked with the author to secure amendments that would remove the bill's impacts on the SR-241 extension. As a result, the opposition by the Transportation Corridor Agencies (TCA) and OCTA was withdrawn. However, the bill was still vetoed due to the Governor's concern that the provisions of this bill could still impede infrastructure projects.

SB 716 (Chapter 609, Statutes of 2009)

This bill amends existing law to allow TDA funds to be used for vanpools, including vanpools for agricultural workers. Originally, this bill impacted OCTA and could have cost \$2.1 million in TDA funds. SHJA worked with CTA to ensure that only the counties that wanted the bill were impacted. As signed, the bill only impacts a small handful of rural counties.

State Budget Issues Affecting Transportation

Effort: Very Good; Outcome: Good

In what turned out to be a very unusual budget year, there were modifications to the FY 2008-2009 budget combined with a FY 2009-2010 budget passed in February 2009 to provide a 16-month fiscal outlook for the state. This plan was further modified in July 2009 due to continued declines in revenues. Overall, the budget contained both extreme positives and extreme negatives for transportation funding.

One challenge that continued this session was the pursuit of a secure source of state funding for transit. The FY 2009-2010 state budget eliminated State Transit Assistance funding and suspended the program for the next five years. This effectively removed the state from funding transit operations, with all funding from spillover (a calculation of the difference between a portion of the state sales tax on all goods and the sales tax on gasoline) also diverted to provide General Fund relief.

The budget package also diverted nearly \$4 billion from local agencies to offset General Fund expenditures. The Proposition 1A (2004) suspension borrows approximately \$2 billion in property tax revenues from counties, municipalities, and special districts. OCTA anticipated to receive an estimated \$11.4 million in property tax revenue for the FY 2009-2010, resulting in a loss of \$912,000 for OCTA transit operations.

On the positive side, the budget fully funded Proposition 42 and provided allocations to a number of Proposition 1B programs. The budget also allocated \$139.1 million to the California High-Speed Rail Authority in Proposition 1A high-speed rail bond funds.

In addition, during the budget debates, the Senate passed a budget proposal to shift approximately \$1 billion in local Highway Users Tax Account (HUTA) funds to be used for transportation debt service. However, the Assembly voted down the HUTA subvention after an outcry from local agencies.

The proposed gas tax subvention of HUTA funds would have had significant negative impacts to OCTA. As part of the 1995 Orange County bankruptcy agreement, the County of Orange is to annually allocate \$23 million in gas tax dollars to OCTA until 2013. OCTA, in return, is to provide \$38 million in TDA funds to Orange County. OCTA would have lost an estimated \$46 million in gas tax revenues over the next two fiscal years if the HUTA subvention was approved.

OCTA was also successful in achieving various environmental and permit streamlining provisions under ABX2 8 (Chapter 8, Statutes of 2009). Specifically, ABX2 8 granted OCTA an exemption from CEQA for a project to widen State Route 91 (SR-91) by adding one mixed-flow lane in each direction from the Costa Mesa Freeway (State Route 55) to Weir Canyon Road. In addition, permit streamlining authority was granted for three OCTA projects: Orange Freeway (State Route 57) northbound widening, from Katella Avenue to Lincoln Avenue; SR-91 widening, adding one mixed-flow lane in each direction from State Route 55 (SR-55) to Weir Canyon Road; and the addition of an auxiliary westbound lane to SR-91, from the Santa Ana Freeway (Interstate 5) to State Route 57 (SR-57). Furthermore, advanced right-of-way authority was granted for two OCTA projects: the addition of an auxiliary westbound lane to SR-91, from Interstate 5 (I-5) to the SR-57; and the SR-57 northbound widening, from Katella Avenue to Lincoln Avenue.

In addition, the passage of SBX2 4 (Chapter 2, Statutes of 2009) provided unlimited PPP authority for transportation projects until 2017. The CTC recently adopted guidelines for the selection and implementation of these projects and OCTA staff is currently in the process of evaluating various projects for possible inclusion in this program. In addition, SBX2 4 provided design-build authority for 15 transportation projects that meet specified requirements. Both of these provisions will allow for greater project delivery options as OCTA moves forward with the scoping of major projects, including the San Diego Freeway (Interstate 405) Improvement Project.

Lastly, an issue related to project initiation documents (PID), which are created by or overseen by Caltrans before a project can be programmed for funding, arose during the summer budget discussions. PID typically include such things as the estimated scope, scheduling, and costs associated with a project. Currently, costs incurred by Caltrans for work related to the development or oversight of a PID are to be paid through Caltrans resources. A proposal had been pending to shift the cost burden to local agencies. SHJA and other statewide groups worked to secure a compromise solution of establishing a working group to work on overall policies related to PID, including cost sharing and cost saving ideas.

SHJA worked tirelessly with numerous stakeholders, advocacy groups, coalitions, Members, Leadership, and others to protect as much transportation funding as possible given the state's catastrophic budget shortfalls. At the same time, SHJA also advocated successfully for OCTA's priorities on alternative delivery methods. Unfortunately, given the state's overall fiscal condition and persistent deficits, transportation funding will continue to be at risk in the future.

General Services

Effort: Excellent; Outcome: Excellent

SHJA has regularly scheduled meetings with legislators, committee consultants, Administration staff, and staff of various state departments, boards, and commission to discuss issues of importance to OCTA. Administration staff has relied on SHJA to discuss and provide recommendations on a number of important transportation issues.

SHJA has been responsive to requests by OCTA staff, provided timely information, advice and reports, and provided testimony in legislative committees that accurately reflect Board positions on legislation and policy issues. They also consistently organize a successful and efficient annual visit for members of the Board during the session.

SHJA also worked on a number of other issues on behalf of OCTA that were not necessarily contained in legislation including efforts in support of the confirmation of CTC Commissioner Lucy Dunn, arranging joint meetings with OCTA Board Members and the Teamsters to advocate for transit funding, as well as monitoring and participating in the Commission on 21st Century Economy process.

SHJA also successfully advocated with the Administration and with Leadership to gain OCTA an important seat on the Regional Targets Advisory Committee (RTAC), which provided guidance to the California Air Resources Board (ARB) on the regional GHG emission reduction targets. This allowed OCTA and other agencies to showcase transit as a proven tool for reducing GHG emissions. The RTAC's final recommendations to the ARB also included strong language directed at the state, stating that transit funding must be restored to meet the requirements of SB 375 and that CEQA streamlining should be extended to other projects as a possible incentive for meeting the goals of SB 375.

In addition, as the Office of Planning and Research worked with the California Natural Resources Agency on amending the CEQA guidelines to address GHG emissions, SHJA helped OCTA advocate its desired modifications to the draft guidelines.

Overall Rating

Effort: Excellent; Outcome: Very Good

SHJA's efforts overall are rated as excellent based on responsiveness, time dedicated to advocating for and advancing OCTA's positions and policies, timeliness of information, assisting in building cooperative relationships with legislators and members of various state departments, boards, and commissions, and availability. SHJA's outcomes overall are rated as very good based on the outcomes of the issues discussed.

**Sacramento Legislative Advocacy and Consulting Services
Scope of Work, dated July 14, 2008**

Reporting Relationship

The Manager of State Relations and/or his/her designee will be the key contact and will coordinate the work of the CONSULTANT. The Orange County Transportation Authority (OCTA), at its sole discretion, may enter into more than one contract with additional firms with a Reporting Relationship of:



Role of the CONSULTANT

Under the coordination of the Manager of State Relations and/or his/her designee, the CONSULTANT shall be responsible for implementing the objectives described below.

Objectives

Objective 1: Maintain regular contact with the Governor's office; members of the Legislature and committee staff; and state departments, agencies, boards, commissions, committees, and staff to determine impending changes in laws, regulations, and funding priorities that relate to the OCTA.

- Meet with members of the Governor's office and Legislature to discuss policy issues affecting OCTA.
- Meet with members and staff of the California Transportation Commission on issues that could affect the programming of OCTA projects.
- Attend meetings of the Board of Equalization and report on issues that could affect funding.
- Participate in transportation related meetings with various state departments, including, but not limited to, the Department of Finance; Business, Transportation, and Housing; Department of Transportation; California Highway Patrol; Environmental Protection Agency; and Air Resources Board.

Objective 1 Deliverable:

- Electronic reports of issues that could affect OCTA projects or funding.

Objective 2: Notify OCTA of anticipated, newly introduced or amended state legislation and proposed regulations, which could impact OCTA.

- Provide bill number and brief summary of introduced or amended state legislation via e-mail.
- Provide information relative to legislative hearings.
- Provide information on bills' sponsors, supporters, and opponents.
- Advise OCTA of proposed transportation, environmental, employment, and safety related legislation and regulations which could impact OCTA and provide copies as requested.

Objective 2 Deliverables:

- Copies of legislation, committee analyses, and proposed regulations as requested.
- Electronic notification of introduced bills and amendments, with summaries.
- Notification of legislative hearings.

Objective 3: Advocate OCTA's legislative program and positions on legislation, proposed regulations, and funding and transportation programming priorities as adopted by the Board of Directors (Board).

- Participate in the preparation of OCTA's legislative program by informing staff of upcoming legislative proposals, budget forecasts, and potential policy issues.
- Assist in securing authors and drafting language for sponsor bills.
- Assist in drafting amendments to legislation and regulations.
- Build coalitions to support OCTA's positions on significant legislation.
- Testify on behalf of OCTA on Board adopted positions on legislation at committee and floor hearings, as appropriate.
- Provide copies of all written correspondence, testimony, and position papers given on behalf of OCTA.
- Schedule meetings with legislators, Governor's office, and state departments for OCTA Directors and staff to advocate legislative and funding priorities.
- Participate in transit and transportation lobbying coalitions.
- Analyze and prepare advice on the proposed state budget as it relates to transportation, including, but not limited to, identifying decreases/increases in existing programs, new funding sources, and strategies to enhance transportation funding for OCTA.

Objective 3 Deliverables:

- Copies of all written correspondence, testimony, and position papers given on behalf of OCTA.
- Schedule of meetings with legislators, Governor, and administration.
- Budget analyses.

Objective 4: Provide written and oral reports.

- While the Legislature is in session, highlight significant transportation and related issues in Sacramento of importance to OCTA as needed.
- Submit an annual written report of advocacy activities and accomplishments.
- As needed, but no more than six times per year, present an in-person report to the Board or the Legislative and Communications Committee during a regular meeting. At least one in-person meeting should occur to develop annual and/or mid-session legislative strategy.
- Once per month, participate via telephone in the Legislative and Communications Committee meeting or other designated committee of the Board.
- Maintain close contact with the Manager of State Relations on issue of importance.
- Provide electronic updates via e-mail to designated recipients on meetings of the Legislature, transportation issues of importance, press releases, and other issues of importance to OCTA.

Objective 4 Deliverables:

- Written reports highlighting significant transportation and related developments in Sacramento, as needed.
- Annual written report of advocacy activities and accomplishments.
- As needed, oral presentations to the Board or Legislative and Communications Committee.
- At least one in-person legislative strategy session with Members of the Board of Directors.
- Monthly conference calls with the Legislative and Communications Committee or other designated committee.
- Electronic updates on issues of importance.

Objective 5: Maintain Sacramento office.

- Maintain an office in Sacramento, convenient to the State Capitol.
- Provide briefings at office prior to meetings at the Capitol.
- Have available an office for use by Board members and staff while performing OCTA business in Sacramento.

Objective 5 Deliverable:

- Office in Sacramento.

Objective 6: Provide monthly invoices of services.

- Provide a written summary of meetings attended on behalf of OCTA.
- Provide a list of issues advocated during the month and status.

Objective 6 Deliverable:

- Monthly invoice that includes a written summary of meetings attended on behalf of OCTA and a list and status of the issues advocated for OCTA during the month.



BOARD COMMITTEE TRANSMITTAL

December 14, 2009

To: Members of the Board of Directors
WK
From: Wendy Knowles, Clerk of the Board
Subject: Fiscal Year 2008-09 Comprehensive Annual Financial Report, 91 Express Lanes Fund Financial Statements, and 91 Express Lanes Fund Franchise Agreement Report

Finance and Administration Committee Meeting of November 18, 2009

Present: Directors Amante, Brown, Campbell, and Green
Absent: Directors Bates, Buffa and Moorlach

Committee Vote

This item was passed by all Committee Members present.

Committee Recommendation

Receive and file the fiscal year 2008-09 Comprehensive Annual Financial Report, 91 Express Lanes Fund financial statements, and 91 Express Lanes Fund Franchise Agreement Report.



November 18, 2009

To: Finance and Administration Committee

From: Will Kempton, Chief Executive Officer

Subject: Fiscal Year 2008-09 Comprehensive Annual Financial Report, 91 Express Lanes Fund Financial Statements, and 91 Express Lanes Fund Franchise Agreement Report

Overview

The Orange County Transportation Authority is required to obtain an independent auditor's opinion on various financial statements and schedules. Mayer Hoffman McCann P.C., an independent accounting firm, has completed its annual audit of the Orange County Transportation Authority's Comprehensive Annual Financial Report, 91 Express Lanes Fund financial statements, and the special-purpose 91 Express Lanes Fund Franchise Agreement schedules for fiscal year 2008-09.

Recommendation

Receive and file the fiscal year 2008-09 Comprehensive Annual Financial Report, 91 Express Lanes Fund financial statements, and 91 Express Lanes Fund Franchise Agreement Report.

Background

Pursuant to Section 40078 of the Public Utilities Code, the Orange County Transportation Authority (OCTA) prepares an annual set of financial statements presenting results of operations during the preceding fiscal year (FY) and OCTA's financial position at year-end. These financial statements are included in OCTA's Comprehensive Annual Financial Report (CAFR).

OCTA staff also prepares financial statements for the 91 Express Lanes Fund and special-purpose franchise agreement schedules of the 91 Express Lanes Fund.

Discussion

Mayer Hoffman McCann P.C., an independent accounting firm, has completed its annual audit of OCTA's financial records and systems and has issued its opinion on OCTA's financial statements for the fiscal year ended June 30, 2009. The auditors have issued an unqualified opinion on the financial statements, indicating that the statements present fairly, in all material respects, the financial position of OCTA on June 30, 2009, and the results of its operations and cash flows of the proprietary funds for the fiscal year (Attachment A).

Fund financial statements for the 91 Express Lanes were also prepared and an unqualified opinion was issued (Attachment B.) The franchise agreement schedules of OCTA's 91 Express Lanes Fund were prepared as required to comply with Section 3.6(b) of the Amended and Restated Development Franchise Agreement for State Route 91 Median Improvements dated June 30, 1993, and amended December 20, 2002, between OCTA and the State of California Department of Transportation. An unqualified opinion was issued on the schedules (Attachment C.)

The CAFR will be submitted to the Government Finance Officers Association (GFOA) for consideration to be awarded a certificate for excellence in financial reporting for FY 2008-09. The GFOA awards certificates only to those governments whose annual financial reports are deemed in conformance with the highest standards of public financial reporting. OCTA has been awarded the GFOA certificate for each year of its existence, commencing with the fiscal year ended June 30, 1992. Such recognition has a favorable effect in the financial markets and has assisted OCTA in borrowing at favorable interest rates. The CAFR will continue to be a useful tool in business dealings with outside organizations during the coming year.

The 91 Express Lanes Fund financial statements will be forwarded to rating agencies and investors. The franchise agreement schedules are forwarded to the California Department of Transportation as required.

Summary

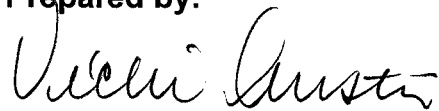
Staff has prepared the Orange County Transportation Authority's Comprehensive Annual Financial Report, 91 Express Lanes Fund financial statements, and 91 Express Lanes Fund Franchise Agreement Report for the fiscal year ended June 30, 2009. Mayer Hoffman McCann P.C., an independent accounting firm, has audited these financial statements and

schedules and has issued unqualified opinions as to the fairness of the financial statement and schedule presentations.

Attachments

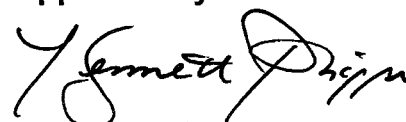
- A. Comprehensive Annual Financial Report for the Fiscal Year Ended June 30, 2009
- B. 91 Express Lanes Fund Financial Statements Year Ended June 30, 2009
- C. 91 Express Lanes Fund Franchise Agreement Report Year Ended June 30, 2009

Prepared by:



for
Tom Wulf
Manager,
Accounting and Financial Reporting
(714) 560-5659

Approved by:



Kenneth Phipps
Executive Director,
Finance and Administration
(714) 560-5637

THE FOLLOWING REPORTS ARE AVAILABLE

ON THE OCTA WEBSITE (www.octa.net)

ATTACHMENTS

- A. Comprehensive Annual Financial Report for the Fiscal Year Ended June 30, 2009
- B. 91 Express Lanes Fund Financial Statements Year Ended June 30, 2009
- C. 91 Express Lanes Fund Franchise Agreement Report Year Ended June 30, 2009



MEMO

December 9, 2009

To: Members of the Board of Directors
From: Wendy Knowles^{WK}, Clerk of the Board
Subject: **Board Committee Transmittal for Agenda Item**

The following item is being discussed at a Committee meeting which takes place subsequent to distribution of the Board agenda. Therefore, you will be provided a transmittal following that Committee meeting (and prior to the Board meeting) informing you of Committee action taken.

Thank you.



December 9, 2009

To: Finance and Administration Committee

From: Will Kempton, Chief Executive Officer

Subject: Orange County Employees Retirement System Early Payment for Fiscal Year 2010-11

Overview

The Orange County Employees Retirement System has offered an early payment discount to member agencies of 7.75 percent if they elect to prepay their contributions for fiscal year 2011. Advance payments must be received before January 16, 2010. The Orange County Transportation Authority has estimated the savings over the next year and a half under this payment option to total approximately \$1.28 million.

Recommendation

Authorize the early payment of approximately \$15.5 million by January 16, 2010, to the Orange County Employees Retirement System for member contributions for fiscal year 2010-11.

Background

The Orange County Employees Retirement System (OCERS) provides retirement benefits to Orange County Transportation Authority (Authority) employees. The majority of Authority employees and retirees are covered by the OCERS plan. OCERS is a defined benefit plan with benefits determined with a formula based on years of service, age at retirement, and highest average salary. OCERS is administered by a ten-member retirement board, with one alternate member. The OCERS board of retirement serves as fiduciary and administrative authority over investments and benefits. The plan has over \$7.4 billion in net assets. OCERS operates under the state statutory requirements of the County Employees Retirement Act of 1937, a section of the California Government Code.

Employer contributions to OCERS are calculated each pay period by the Authority and are paid electronically every two weeks. During fiscal year (FY) 2009-10, based on data from the working budget, the Authority will

contribute approximately \$15.5 million to OCERS, based upon wages of approximately \$103.1 million. The Authority's employer rate during this time period is 15.02 percent.

Discussion

In October 2009, the OCERS Retirement Board voted to offer an early payment discount on employer contribution payments made before January 16, 2010, for the succeeding fiscal year. OCERS offered to discount the contributions for FY 2010-11 by 7.75 percent. If the early payment option is exercised, OCERS will reconcile the projected payroll wages for the fiscal year and collect appropriate additions or provide credits against future payments from the Authority upon the close of FY 2010-11.

The Authority's Board of Directors approved a similar action in previous years where the early payment option was exercised. By using available cash now, the Authority will reduce the overall cost of future budgeted expenditures.

For FY 2010-11, OCERS increased the Authority's employer rate to 17.26 percent from the FY 2009-10 rate of 15.02 percent. The employer rate is being increased because the investment returns were below the 7.75 percent earnings assumption during the financial crisis of 2008. The Authority's estimated wages for FY 2010-11 are \$97.5 million. Applying the 17.26 percent employer's rate to the estimated wages for the year translates into an approximate contribution value of \$16.8 million for FY 2010-11.

Under the early payment option, the Authority has the choice of paying OCERS \$15.5 million (or 92.25 percent of \$16.8 million) by January 16, 2010, or the Authority could make the regular biweekly payments of approximately \$647,168, (for a total of \$16.8 million) during FY 2010-11. The yields on short-term treasury securities are at historic lows with six-month securities at 0.13 percent and securities with approximately nine months to maturity yielding 0.20 percent. Given these assumptions the Authority has calculated the savings to equal approximately \$1.28 million, under this early payment option.

Based upon this analysis, it is financially advantageous for the Authority to exercise this early payment option. If this option were to be exercised, these funds would be deposited into OCERS on behalf of the Authority and be credited to the Authority's account. The funds will be paid from the general fund 21.8 percent, Orange County Transit District fund 78 percent, and the Orange County Taxi Administration program 0.2 percent. The funding sources represent the current payroll allocation.


Summary

The Orange County Employees Retirement System has offered an early payment of contributions to member agencies for the upcoming fiscal year. Under this early payment option, a discount of 7.75 percent will be applied to the amounts due for employer contributions. The Orange County Transportation Authority has calculated the savings to equal approximately \$1.28 million. Staff recommends exercising this early payment option.

Attachment

None.

Prepared by:


Rodney Johnson
Deputy Treasurer
Treasury and Public Finance
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Approved by:


Kenneth Phipps
Executive Director
Finance and Administration
(714) 560-5637



MEMO

December 9, 2009

To: Members of the Board of Directors
From: ^{WK} Wendy Knowles, Clerk of the Board
Subject: **Board Committee Transmittal for Agenda Item**

The following item is being discussed at a Committee meeting which takes place subsequent to distribution of the Board agenda. Therefore, you will be provided a transmittal following that Committee meeting (and prior to the Board meeting) informing you of Committee action taken.

Thank you.



December 9, 2009

To: Finance and Administration Committee
From: Will Kempton, Chief Executive Officer
Subject: Fiscal Year 2009-10 First Quarter Budget Status Report

Overview

The Orange County Transportation Authority's staff has implemented the fiscal year 2009-10 budget. This report summarizes the material variances between the budget plan and actual revenues and expenses.

Recommendation

Receive and file as an information item.

Background

The Board of Directors (Board) approved the Orange County Transportation Authority (OCTA) Fiscal Year (FY) 2009-10 Budget on June 8, 2009. The approved budget itemized the anticipated revenues and expenses necessary to meet OCTA's transportation programs and service commitments. The OCTA budget is a compilation of individual budgets for each of OCTA's funds, including the General Fund; three enterprise funds; eight special revenue funds; two capital project funds; one debt service fund; four trust funds; and two internal service funds.

The approved revenue budget is \$1.21 billion comprised of \$708 million in current year revenues and \$506 million in use of reserves. The approved expenditure budget is \$1.21 billion with \$1.19 billion of current year expenditures and \$20 million of designations.

Discussion

Staff monitors and analyzes current year revenues and expenditures versus the amended budget. The attached report will provide a summary level of amendments, staffing levels, and provide explanations for any material budget-to-actual variances within each of the OCTA's programs and funds. The OCTA's programs include; Measure M Program, Renewed Measure M

Program, Transit Program, 91 Express Lanes Program, Commuter and Urban Rail Endowment Fund, General Fund, Motorist and Taxi Services Program, and Internal Services Funds.

The variance explanation section of the report is comprised of three sections. The first covers total OCTA information, amendments, staffing, revenues, operating, and capital expenditures. The second focuses on variance explanations by program or fund. Finally, the third is a high level closing summary of the variances within the report.

Variances within each of the three major categories (revenues, operating, and capital expenses) by program or fund, are explained when the dollar variance within each program is \$1 million or greater.

Attachment

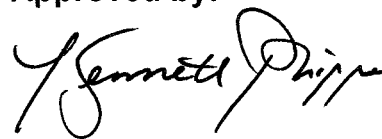
- A. Quarterly Budget Status Report First Quarter of Fiscal Year 2009-2010

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Quarterly Budget Status Report

Fiscal Year 2009-10

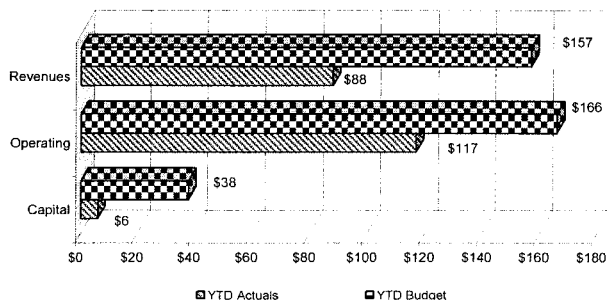
Overview

The Board of Directors (Board) approved the Orange County Transportation Authority (OCTA) Fiscal Year (FY) 2009-10 Budget on June 8, 2009. The approved budget itemized the anticipated revenues and expenses necessary to deliver OCTA's transportation programs and meet service commitments.

The downturn in the economy continues to impact OCTA through the first quarter of FY 2009-10. Actual revenues continue to underrun original expectations and all on-going projects with local funding continue to be scrutinized. An update on sales tax revenue is noted under the Measure M and Transit programs. In addition, 150,000 hours of directly operated fixed route service has been approved to be reduced in the March 2009 service change. The hiring limit also continues as a way of controlling costs.

This report summarizes the material variances between the budget plan and actual revenues and expenses for the fiscal year.

Authority-Wide Budget versus Actuals (in Millions)



Amendments

In FY 2009-10, there was one Board-approved budget amendment.

Fiscal Year 2009-10 Amendments (in Thousands)

Description	Amount
Approved Budget	\$ 1,213,776
Design and Support Services for Railroad Grade Separation Projects	3,000
Total Amended Budget	\$ 1,216,776

Staffing

A staffing plan of 1,858 full-time equivalent (FTE) positions was approved in the FY 2009-10 budget. At the end of the first quarter, 1,762 of these positions were filled.

Amended Full-Time Equivalent Vacancy Rate

Staffing Description	Budget	Filled	Vacant	Vacancy Rate
Coach Operators	1,059	1,017	43	4.0%
Maintenance Union	242	228	14	5.8%
Transportation Communications International Union	48	44	4	8.3%
<i>Union Subtotal</i>	<i>1,349</i>	<i>1,289</i>	<i>61</i>	<i>4.5%</i>
Direct Transit Operations Support	206	194	12	5.8%
Other Administrative	303	279	24	7.9%
<i>Administrative Subtotal</i>	<i>509</i>	<i>473</i>	<i>36</i>	<i>7.1%</i>
Total Authority	1,858	1,762	97	5.2%

Total Authority Revenues

At the end of the first quarter, actual revenues of \$87.7 million were \$69.5 million under the budget of \$157.3 million. Material variances are explained below by program or fund group.

Revenues Year-to-Date Budget versus Actuals (in thousands)

	Budget	Actuals	\$ Variance	% Variance
Transit	\$ 65,325	\$ 32,011	\$ (33,314)	-51.0%
General Fund	5,633	(4,142)	(9,775)	-173.5%
Renewed Measure M	6,870	-	(6,870)	-100.0%
Measure M	66,605	47,585	(19,020)	-28.6%
Motorist and Taxi Services	2,243	553	(1,690)	-75.3%
Commuter and Urban Rail Endowment Fund	781	696	(85)	-10.9%
Internal Service Funds	380	365	(15)	-3.9%
91 Express Lanes	9,447	10,675	1,228	13.0%
Total	\$ 157,284	\$ 87,743	\$ (69,541)	-44.2%

Note: It is not uncommon for revenue reimbursements related to federal and state grants to be received in future years rather than the year in which they were originally budgeted.

Quarterly Budget Status Report - OCTA

First Quarter of FY 2009 – 2010

Total Authority Operating Expenses

At the end of the first quarter, actual operating expenses of \$116.5 million were \$49.1 million under the budget of \$165.6 million. Material variances are explained below by program or fund group.

Operating Expenses Year-to-Date Budget versus Actuals (in thousands)

	Budget	Actual	\$ Variance	% Variance
General Fund	\$ 23,645	\$ 9,826	\$ 13,819	58.4%
Renewed Measure M	15,012	4,443	10,569	70.4%
Transit Measure M	63,194	53,560	9,634	15.2%
Commuter and Urban Rail Endowment Fund	43,723	34,642	\$ 9,081	20.8%
Motorist and Taxi Services	8,564	5,222	3,342	39.0%
Internal Service Funds	2,127	888	1,239	58.3%
91 Express Lanes	3,133	1,921	1,212	38.7%
Total	\$ 165,623	\$ 116,532	\$ 49,091	29.6%

Total Authority Capital Expenses

At the end of the first quarter, actual capital expenses of \$31.7 million were \$38.1 million under the budget of \$6.4 million. Material variances are explained below by program or fund group.

Capital Expenses Year-to-Date Budget versus Actuals (in thousands)

	Budget	Actual	\$ Variance	% Variance
Renewed Measure M	\$ 16,480	\$ 1,297	\$ 15,183	92.1%
Transit Measure M	18,534	3,588	14,946	80.6%
Commuter and Urban Rail Endowment Fund	1,963	1,390	573	29.2%
91 Express Lanes	450	-	450	100.0%
General Fund	508	114	394	77.6%
Total	\$ 38,095	\$ 6,389	\$ 31,706	83.2%

General Fund Variance Explanations

Year-to-Date (in thousands)

	Budget	Actual	\$ Variance	% Variance
Revenues	\$ 5,633	\$ (4,142)	\$ (9,775)	-173.5%
Operating Capital	23,645	9,826	13,819	58.4%
Total	\$ 23,805	\$ 9,826	\$ 13,979	58.7%

Revenues: General Fund Revenues underran the budget by \$9.8 million. The variance is attributed to state grants (\$5 million), Federal Capital Grants (\$2.8 million), and Congestion Mitigation and Air Quality (CMAQ) funds (\$1.3 million).

The underrun in state grants is due to prior year State Transportation Improvement Program (STIP) Planning, Programming and Monitoring Program (PPM) funds (\$1.5 million) and an underrun of \$0.9 million in FY 2009-10 STIP PPM funds. Reimbursement of these funds are expected to be received as projects under the program continue to incur expenses and reimbursements are sought.

STIP revenues associated with the Bus Rapid Transit (BRT) design phase are contributing \$2.6 million to underrun. Expenses related to these revenues have been incurred and reimbursements are expected to be sought in the second quarter.

Federal Capital Grants are contributing \$2.8 million to the underrun. This underrun is primarily associated with the New Freedoms Program (\$1.3 million) and the Jobs Access and Reverse Commute Program (JARC) (\$1.2 million). Expenses for these programs are expected to begin in the second quarter and request for reimbursements will follow immediately thereafter.

Operating: General Fund operating expenses underran the budget by \$13.8 million. The variance is attributed to the JARC program (\$3.3 million), New Freedoms Program (\$1.5 million), BRT project management services (0.9 million), the South County Major Investment Study (SOCMIS) Phase II (\$0.8 million), the Orange County/Los Angeles (OC/LA) Intercounty Corridor Study Phase II (\$0.6 million), Bristol Street Widening Project (\$0.6 million), thin-client/virtual desktop computing hardware (\$0.3 million), general telephone expenses (\$0.3 million), legal services (\$0.3 million), inventory adjustment costs (\$0.1 million), procurement resources support (\$0.1 million), microsoft exchange 2007/quest exchange migration/recovery (\$0.1 million), and records management control (\$0.1 million).

The JARC and New Freedoms programs are contributing a combined \$4.8 million to the variance. Both programs were originally scheduled to be expensed in the first quarter. However, the schedule was revised to accommodate all agencies' desiring to participate in the programs. Expenses are expected to begin in the second quarter of the fiscal year.

Management services for the BRT project are contributing \$0.9 million to the underrun. This is due to revisions in scope and as a result of less than anticipated monthly expenditures. In addition, invoices run one month in arrears.

The SOCMIS Phase II project is contributing \$0.8 million to the variance due to a change in the timeline of the project. The cities involved are currently discussing the project and OCTA is

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anticipating receiving notice from the cities in the third quarter.

The OC/LA Intercounty Corridor Study Phase II is contributing \$0.6 million to the underrun. The variance is due to additional technical studies for Phase I of the project that were requested by the Board. These studies are expected to be complete in the second quarter and expenses for the second phase are expected to be posted in the third quarter.

The Bristol Street Widening Project is moving forward but at a slower pace than budgeted and is contributing \$0.6 million to the variance.

Expenses related to the thin-client/virtual desktop computing hardware are contributing \$0.3 million to the variance. This project is currently in the procurement stage and a contract is expected to be awarded in the third quarter.

General telephone expenses are contributing \$0.3 million to the variance. The variance is primarily due to invoices running two months in arrears.

Legal services are contributing \$0.3 million to the variance, also due to invoices running in arrears and being reviewed for approval.

Inventory adjustment costs, procurement resources support, microsoft exchange 2007/quest exchange migration/recovery, and records management control are all contributing \$0.1 million each to the variance for a total of \$0.4 million. The primary cause of the underrun on these projects is all due to invoices running in arrears or actual costs incurred were less than anticipated.

Measure M Program Variance Explanations

Year-to-Date
(in thousands)

	Budget	Actual	\$ Variance	% Variance
Revenues	\$ 66,605	\$ 47,585	\$ (19,020)	-28.6%
Operating	43,723	34,642	9,081	20.8%
Capital	18,534	3,588	14,946	80.6%
Total	\$ 62,257	\$ 38,230	\$ 24,027	38.6%

Revenues: Measure M Revenues underran the budget by \$19 million. The variance is primarily attributed to Sales Tax Revenue (\$9.8 million) and Federal Capital Assistance Grants (\$8.6 million).

The underrun of \$9.8 million for sales tax revenue through the first quarter is due to the economic climate, which continues to impact the approved budget.

Note: The State Board of Equalization (SBOE) updated their forecast and based on those projections, the year end estimate was anticipated to underrun by \$14.7 million. However, based on actuals through November 2009, OCTA expects total sales tax revenue by year-end to be under by approximately \$23.2 million.

The underrun in Federal Capital Assistance Grants is related to CMAQ funds (\$8.6 million) that have not yet been received. The delay in reimbursement of these revenues is due to the West County Connector (WCC) right-of-way (ROW), design, and construction management. OCTA is currently waiting approval of the authorization to proceed (E76 documentation) by the Federal Highway Administration (FHWA). Once received, this phase of the project will proceed and as expenses are incurred, revenues will be sought.

Operating: Measure M Operating Expenses underran the budget by \$9.1 million. The variance is attributed to the Streets and Roads Competitive Grants Program (\$4.7 million) and Metrolink Service Expansion Plan (MSEP) Infrastructure Improvements (\$4.1 million).

The underrun within the Streets and Roads Competitive Grants Program (\$4.7 million) is primarily related to invoices from cities running in arrears. Invoices are expected to be received throughout the fiscal year and actuals are anticipated to be in line with the budget by year-end.

MSEP Infrastructure Improvements are contributing \$4.1 million to the variance. The Southern California Regional Rail Authority (SCRRA) is the lead agency on the project and initially elected to utilize other sources of funds available for the project before beginning to invoice OCTA. However, OCTA did obtain an update from SCRRA and expects to begin receiving invoices in the second quarter.

Capital: Measure M Capital Expenses underran the budget by \$14.9 million. The variance is attributed to the Santa Ana Freeway (Interstate 5) gateway capital construction, utility relocation, and right-of-way (ROW) acquisition and utility relocation (\$8.6 million), property related to the MSEP (\$5 million), and the WCC ROW utility relocation project (\$1 million).

The Interstate 5 (I-5) Gateway project underrun (\$8.6 million) is primarily due to two factors. First, invoices are currently running in arrears, however are expected to catch up by year-end. In addition, the unpredictability of work required by each of the utility companies and the timing in which invoices are received by OCTA is contributing to this variance.

Property related to the MSEP is contributing \$5 million to the variance. The purchase of property

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for the MSEP project has taken longer than anticipated due to negotiations and the value of two major parcels not yet determined due to condemnation.

The WCC ROW utility relocation project is contributing \$1 million to the variance. This was initially due to a longer than anticipated time line for the FHWA to issue the approval to proceed. However, that approval has since been granted and invoices are expected to be posted throughout the remainder of the fiscal year.

Renewed Measure M Program Variance Explanations

Year-to-Date
(in thousands)

	Budget	Actual	\$ Variance	% Variance
Revenues	\$ 6,870	\$ -	\$ (6,870)	-100.0%
Operating	15,012	4,443	10,569	70.4%
Capital	16,480	1,297	15,183	92.1%
Total	\$ 31,492	\$ 5,740	\$ 25,752	81.8%

Revenues: Renewed Measure M revenues underran the budget by \$6.9 million. The variance is attributed to Federal Capital Assistance Grant revenues related to the Kramer Avenue and Lakeview Avenue Grade Separation Project (\$3.9 million), The Orange Freeway (State Route 57) Widening Project (\$1.8 million), and CMAQ funds for the Orangethorpe Avenue Grade Separation Project (\$1.1 million).

Federal revenues (\$3.9 million) contributing to the variance are related to the Kramer Avenue and Lakeview Avenue Grade Separation projects and are underrunning due to a longer than expected period of to complete the final design. OCTA has received the E76 documentation and expenses are expected to be incurred in the last two quarters of the fiscal year. Once expenses are posted, revenues will be sought thereafter.

Operating: Renewed Measure M Operating Expenses underran the budget by \$10.6 million. The variance is primarily attributed to the Grade Crossings Safety Enhancements Project (\$4.2 million) and design of the grade separation projects (\$4 million).

Contributing \$4.2 million to the variance is the Grade Crossings Safety Enhancement Project. The variance is related to invoices running two months in arrears from the original forecast. The project is on schedule but invoices were not received until work was already underway.

Also contributing \$4 million to the overall variance is the design of the grade separation projects. The design phase was on-hold pending the review and

approval of environmental documents by the FHWA. Approval of the environmental documents was granted at the end of this quarter. The design phase is in its final stages and expenses are expected to be incurred in third and fourth quarter.

Capital: Renewed Measure M capital expenses underran the budget of \$16.5 million by \$15.2 million. The underrun is attributed to environmental mitigation (\$7.5 million), the grade separations ROW acquisition of land and building (\$3.6 million), the grade crossing and quiet zone ROW (\$1.5 million), and the State Route 57 (SR-57) construction widening project (\$1.4 million).

The environmental mitigation project related to the 13 freeway projects under Renewed Measure M is contributing \$7.5 million to the variance. This expense was originally scheduled to be expensed quarterly. After further review, staff anticipates presenting recommended acquisitions of land to the Board in the third quarter.

The grade separations ROW acquisition of land and building was delayed due to the design phase taking longer than initially anticipated. E-76 documentation has been submitted and approval is estimated to be received in the third quarter.

The grade crossing and quiet zone ROW is contributing \$1.5 million to the overall variance. The underrun is due to discussions between SCRRRA and OCTA whether to a full-take or part-take is required for this project. A decision is expected in the second quarter.

The SR-57 construction widening project is contributing \$1.4 million to the variance as a result of discussions with Caltrans regarding the amount of construction support services required for this project.

Transit Program Variance Explanations

Year-to-Date
(in thousands)

	Budget	Actual	\$ Variance	% Variance
Revenues	\$ 65,325	\$ 32,011	\$ (33,314)	-51.0%
Operating	63,194	53,560	9,634	15.2%
Capital	1,963	1,390	573	29.2%
Total	\$ 65,157	\$ 54,950	\$ 10,207	15.7%

Revenues: Transit Revenues underran the budget by \$33.3 million. The variance is primarily attributed to Federal Operating Assistance Grants (\$7.3 million), Local Transportation Fund (LTF) sales tax revenue (\$6.4 million), American Recovery and Reinvestment Act (ARRA) Capital cost of contracting funds (\$4.9 million), Gas Tax Exchange funds (\$4 million), Proposition 1B Capital funds (\$3.2 million), and Farebox Revenues (\$1.3 million).

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The underrun (\$7.3 million) in Federal Operating Grants is attributed to reimbursement from the Federal Transit Administration (FTA) for preventive maintenance related to OCTA's paratransit service. These funds are expected to be received in the fourth quarter.

The underrun of \$6.4 million for LTF revenue through the first quarter is due to the economic climate, which continues to impact the approved budget.

Note: The State Board of Equalization (SBOE) updated their forecast and based on those projections, the year end estimate was anticipated to underrun by \$7.8 million. However, based on actuals through November 2009, OCTA expects total sales tax revenue by year-end to be under by approximately \$13.1 million.

The underrun in ARRA Capital Cost of Contracting funds (\$4.9 million) is primarily due to contract service invoices running two months in arrears.

Funds related to the Gas Tax Exchange are running in arrears but revenues are anticipated to be on track by the end of the fiscal year.

The underrun in Proposition 1B funds (\$3.2 million) is primarily related to the fixed route and contract services radio system, which was budgeted to be expensed in the fourth quarter of this fiscal year.

Farebox revenues are contributing \$1.3 million to the underrun. This is primarily due to less than anticipated ridership.

Operating: Transit Operating Expenses underran the budget by \$9.6 million. The variance is primarily attributed to Contributions to Other Agencies (\$4 million), Contract Transportation Services (\$2.1 million), fuels and lubricants (\$2 million), and maintenance services and supplies (\$1.5 million).

The variance (\$4 million) contributed by Contributions to Other Agencies is related to the Gas Tax Exchange Program we have with the cities. This expense is currently running one quarter in arrears.

The underrun (\$2.1 million) in contract services are primarily related to invoices running in arrears two months. Invoices for the month of August and September were received but processed at the beginning of October.

The underrun (\$2 million) within fuels and lubricants can be attributed to lower than anticipated costs per gallon for liquefied natural gas (LNG), compressed natural gas (CNG), and diesel fuel. These fuels were originally budgeted at \$0.91 cents, \$0.38 cents, and \$2.93 per gallon, respectively. However, the current

average cost per gallon for LNG is \$0.51 cents, \$0.04 cents for CNG, and \$2.08 per gallon of diesel fuel. It is important to note that the cost for both LNG and CNG includes the \$0.50 cent alternative fuel tax credit.

The underrun (\$1.5 million) in maintenance services and supplies is made up of several expense categories which include equipment operations and maintenance (\$0.3 million), tires and tubes (\$0.2 million), underground tank testing and repair (\$0.2 million), non-office supplies (\$0.2 million), and Bus Stop Maintenance (\$0.1 million). Underruns in these areas are typically small but add up throughout the year. They are either expenses that are budgeted and utilized on an as needed basis, a result of invoices running in arrears, or savings as a result of lower than originally anticipated costs.

Motorist and Taxi Services Program

Variance Explanations

Year-to-Date
(in thousands)

	Budget	Actual	\$ Variance	% Variance
Revenues	\$ 2,243	\$ 553	\$ (1,690)	-75.3%
Operating	2,127	888	1,239	58.3%
Capital	-	-	-	0.0%
Total	\$ 2,127	\$ 888	\$ 1,239	58.3%

Revenues: Motorist and Taxi services revenues underran the budget by \$1.7 million. The variance is due to Department of Motor Vehicles (DMV) fee revenues (\$1 million) for both the Service Authority for Abandoned Vehicles (SAAV) and Service Authority for Freeway Emergency (SAFE) programs. In addition, \$0.7 million of the variance is due to the Freeway Service Patrol (FSP).

Both FSP and DMV fee revenues are expected to be received and are running one quarter in arrears.

Operating: Motorist and Taxi services underran the budget by \$1.2 million.

The variance is due to FSP Tow Services (0.5 million), SAAV abatement payments to member agencies (\$0.5 million), and the #511 and #399 project (\$0.2 million).

FSP Tow Services are contributing \$0.5 million to the underrun due to invoices running one month in arrears and monthly costs continuing to run less than anticipated.

The Abandoned Vehicle Abatement Program is contributing \$0.5 million to the variance as a result of invoices running in arrears two months.

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The #511 and #399 project is contributing \$0.2 million to the variance. Plans for implementation took longer than initially anticipated as discussions between the five participating agencies continued. However, the project is expected to be ready in the second quarter.

91 Express Lanes Program Variance Explanations Year-to-Date (in thousands)

	Budget	Actual	\$ Variance	% Variance
Revenues	\$ 9,447	\$ 10,675	\$ 1,228	13.0%
Operating	6,225	6,030	195	3.1%
Capital	508	114	394	77.6%
Total	\$ 6,733	\$ 6,144	\$ 589	8.7%

Revenues: The 91 Express Lanes revenues overran the budget by \$1.2 million. The variance is attributed to higher than anticipated toll road revenues (\$0.6 million) and violation processing fees (\$0.4 million).

Internal Services Funds Variance Explanations Year-to-Date (in thousands)

	Budget	Actual	\$ Variance	% Variance
Revenues	\$ 380	\$ 365	\$ (15)	-3.9%
Operating	3,133	1,921	\$ 1,212	38.7%
Capital	-	-	\$ -	0.0%
Total	\$ 3,133	\$ 1,921	\$ 1,212	38.7%

Operating: Internal Service Funds underran the budget by \$1.2 million. The variance is attributed to Workers Claims Expense (WC), \$0.6 million and public liability/property damage (PL/PD), \$0.5 million. Both of these accounts are difficult to project due to the unpredictability in the number of claims and their severity.

Commuter and Rail Endowment Fund Variance Explanations Year-to-Date (in thousands)

	Budget	Actual	\$ Variance	% Variance
Revenues	\$ 781	\$ 696	\$ (85)	-10.9%
Operating	8,564	5,222	3,342	39.0%
Capital	450	-	450	100.0%
Total	\$ 9,014	\$ 5,222	\$ 3,792	42.1%

Operating: Commuter and Rail Endowment Fund (CURE) operating expenses underran the budget by \$3.3 million. The underrun is attributed to Metrolink operations and MSEP startup costs (\$1.1 million), Santa Ana second main track (\$0.5 million), Metrolink rehabilitation, renovation, and fencings (\$0.4 million), Relocation of the Los Angeles

Unified School District (LAUSD) mail dock (\$0.4 million), the Los Angeles/San Diego Rail Corridor (LOSSAN) Fencing (\$0.4 million), and the Eastern Maintenance Facility (\$0.2 million).

The variance of \$1.1 million related to the Metrolink operations and MSEP startup costs were budgeted to be expensed quarterly. However, MSEP startup costs are expected to be incurred during the third quarter.

The Santa Ana second main track project is contributing \$0.5 million to the underrun. SCRRA is the lead agency on this project and anticipates billing OCTA by the third quarter of the fiscal year.

The Metrolink rehabilitation/renovation/fencings project is contributing \$0.4 million to the variance. Specifications for this project are underway and expenses are expected to be posted beginning October 2009.

The Relocation of the LAUSD Mail Dock is contributing \$0.4 million to the underrun. The project is currently on hold due to funding issues from other member agencies, but expectations are that all will be resolved by the third quarter and the project will continue to move forward.

The LOSSAN fencing project is contributing \$0.4 million to the variance. The underrun is due to revisions in the scope of work, which are expected to be finalized in the second quarter and the project to be expensed in the third quarter.

Finally, the Eastern Area Maintenance Facility is contributing \$0.2 million the underrun. This expense is to cover as needed maintenance for the facility and minor capital improvements. The funds are utilized on an as needed basis and no expenses have been incurred to date.

Closing Summary

Revenues

In summary, OCTA's revenues underran the budget primarily due to Federal Operating Assistance Grants (\$7.3 million), State Grants (\$5 million), the ARRA capital cost of contracting funds (\$4.9 million), Gas Tax Exchange funds (\$4 million), Proposition 1B capital funds (\$3.2 million), Federal Capital Grants (\$2.8 million), and CMAQ funds (\$1.3 million).

The receipt of these reimbursements is strictly a timing issue. These revenues are anticipated to be received once expenses for the projects they are funding are incurred and reimbursement is sought.

Furthermore, it is important to note that the current economic climate continues to affect both our local

Measure M sales tax revenue and bus service related LTF sales tax revenue. These two sources of revenue are underrunning by \$9.8 million and \$6.8 million, respectively.

Measure M sales tax revenues are expected to be \$23.2 million under the approved budget, based on SBOE's latest forecast and actuals through November 2009.

LTF sales tax revenues, which also support bus service, are expected to be approximately \$13.1 million less than budgeted by year end (based on SBOE's latest forecast projection and advances received through November 2009).

Finally, Farebox revenues were also under budget by \$1.3 million due to lower than anticipated ridership. These underruns in revenues and lower ridership in the previous and current fiscal year required OCTA to implement a hiring limit on staffing levels, continue to reduce overhead costs, and decrease fixed route services levels.

Operating

Total operating expenditures underran the budget by \$49.1 million. The main drivers are the General Fund (\$13.8 million), Renewed Measure M Program (\$10.6 million), Transit Program (\$9.6 million), and the Measure M Program (\$9.1 million).

The primary drivers include the JARC program, New Freedoms Program, BRT project management services, grade crossing safety enhancement project, grade separation design project, contract services, and fuels.

All projects are underway, but the timing of expenditures is being affected by the stage of each project and the time required for unforeseen activities.

Capital

Capital expenses underran the budget by \$31.7 million. The main drivers are the Renewed Measure M Program (\$14.9 million) and Measure M Program (\$15.2 million)

As with operating expenses, the underrun in capital expenditures is primarily driven by timing issues related to projects within both programs.



MEMO

December 9, 2009


To: Members of the Board of Directors
From: ^{WK} Wendy Knowles, Clerk of the Board
Subject: **Board Committee Transmittal for Agenda Item**

The following item is being discussed at a Committee meeting which takes place subsequent to distribution of the Board agenda. Therefore, you will be provided a transmittal following that Committee meeting (and prior to the Board meeting) informing you of Committee action taken.

Thank you.



December 9, 2009

To: Finance and Administration Committee
From: Will Kempton, Chief Executive Officer 
Subject: First Quarter Fiscal Year 2009-10 Grant Status Report

Overview

The Quarterly Grant Status Report summarizes grant activities for information purposes for the Orange County Transportation Authority Board of Directors. This report focuses on significant activity for the period of July through September 2009. The Quarterly Grant Status Report summarizes future and pending grant applications, awarded/executed and current grant agreements, as well as closed-out grant agreements.

Recommendation

Receive and file as an information item.

Discussion

The Orange County Transportation Authority's (OCTA) long-term, proactive planning approach ensures the effective utilization of limited capital and operating resources. One critical aspect of this proactive planning approach is to strategically seek and obtain federal, state, and local grant funding.

The ongoing grant activities are categorized by future grant applications, pending grant applications, awarded/executed grant agreements, current grant agreements, as well as closed grant agreements for Federal Transit Administration (FTA), and other discretionary grant programs.

Future Grant Applications

OCTA has one grant proposal currently under development as summarized on the next page as well as in Attachment A.

FTA, Surface Transportation Program American Recovery and Reinvestment Act of 2009 (ARRA) Fund Transfer

- The transfer of \$500,000 in ARRA-Surface Transportation Program funds from Federal Highways Administration (FHWA) to the FTA has been completed to support the purchase of three replacement alternative fuel transit buses directed by the OCTA Board of Directors (Board) on October 9, 2009. The buses are to be purchased and operated by the City of Laguna Beach to provide local trolley service. To facilitate the transfer, a grant agreement with FTA is currently under federal review and is anticipated to be executed in December 2009.

Pending Grant Applications

The OCTA has four pending grant proposals awaiting award or approval, which are summarized below and in Attachment B.

Fiscal Year (FY) 2009 FTA Section 5307 Formula Capital Grant Program

- The FY 2009 FTA Section 5307 Formula Grant application has been finalized in cooperation with FTA and submitted for federal review on September 29, 2009. The grant agreement builds upon the FY 2009 program of projects approved by the OCTA Board on November 24, 2008. The grant captures \$58 million in federal capital and operating assistance to support OCTA's fixed route and paratransit operations, including preventive maintenance, capital cost of contracting, and support for the bicycle, pedestrian, and facilities program, as well as to enhance the security of the transit system.

Recovery Act Energy Efficiency and Conservation Block Grant (EECBG):
Department of Energy (DOE)

- On June 25, 2009, OCTA submitted a proposal to pursue \$2.7 million in competitive American Recovery and Reinvestment Act of 2009 (ARRA) Funds made available for competition through the DOE EECBG Program. The funds do not require a local match contribution and are being pursued to help support the implementation of traffic signal synchronization for the Bravo! Program. The funds are being competed nationwide to support capital projects that reduce emissions, decrease energy consumption and improve energy efficiency, while helping stimulate the economy by creating

and sustaining jobs. Award announcements are anticipated in December 2009.

FY 2009 California Transit Security Grant Program (CTSGP), Proposition 1B Transit System Safety, Security, and Disaster Response Account

- On April 16, 2009, staff submitted project proposals and financial documents needed to secure \$3.52 million allocated to OCTA through the FY 2009 CTSGP. As directed by the Board on February 23, 2009, the funds are to support upgrades to OCTA's transit communications system (\$3,435,574) and the installation of license plate recognition systems on OCTA Transit Police Service vehicles (\$85,000). Award notifications are anticipated in December 2009. The funds do not require local match contributions or cost-sharing arrangements.

FY 2009 Transit Security Grant Program (TSGP): Department of Homeland Security (DHS)

- On September 29, 2009, the United States DHS awarded OCTA \$880,000 in Transit Security Grant funds to support a variety of OCTA's security initiatives. As approved by the Board on July 27, 2009, the funds will be used to update OCTA's security plans, train and exercise OCTA staff on updated plan and counter-surveillance training, as well as implement a public awareness campaign for OCTA. The efforts are intended to help bring up-to-date OCTA's emergency protocols and procedures, ensure well-trained and practiced personnel, while enhancing security awareness among transit riders. The funds do not require local match contributions or cost-sharing arrangements.

Awarded/Executed Grant Agreements

The OCTA has five awarded/executed grant agreements, which are summarized below and in Attachment C.

FY 2009 FTA Section 5309 Discretionary Bus Capital Grant Program

- On July 28, 2009, two FTA Discretionary Bus Capital Grants were executed following the review and approval by the FTA and the Southern California Association of Governments (SCAG). The two grants combined capture over \$5.1 million in federal earmark funds to support a variety of transit projects, including two earmarks totaling \$3.2 million for the

Anaheim Regional Transportation Intermodal Center (requested by Senator Diane Feinstein [D-CA], Representative Ed Royce, [R-CA], and Representative Loretta Sanchez [D-CA]). The federal earmark funds require up to a 20 percent local match contribution.

FTA Section 5316 Jobs Access Reverse Commute Program

- On August 31, 2009, OCTA executed a funding agreement with the FTA, which secures \$3.5 million in Section 5316 Funds as authorized by the OCTA Board on June 22, 2009. The funds will support 12 projects that address the unmet transportation needs of persons of low income. The projects were selected based on mobility needs and criteria identified in OCTA's Public Transit-Human Services Transportation Coordination Plan adopted on October 10, 2008.

FTA Section 5317 New Freedom Initiative

- On September 21, 2009, OCTA executed a funding agreement with the FTA, which secures \$4.3 million in Section 5317 funds as authorized by the OCTA Board on June 22, 2009. The funds will support 12 projects that address the unmet transportation needs of persons with disabilities. The projects were selected based on mobility needs and criteria identified in OCTA's Public Transit-Human Services Transportation Coordination Plan adopted on October 10, 2008.

FTA Section 5307 Transit Capital: American Recovery and Reinvestment Act of 2009

- On July 10, 2009, OCTA executed a grant with FTA to secure all \$76.8 million in transit capital assistance funds allocated to OCTA through the ARRA. Following the approval of the OCTA Board on August 24, 2009, and in keeping with the Supplemental Appropriations Act 2009 (P.L. 111-32), staff worked in cooperation with FTA to amend the grant agreement to make available \$7.7 million for use towards OCTA fixed route transit operating expenses. The funds do not require a local match contribution. The amended grant agreement is currently under review by FTA and is anticipated to be executed in December 2009.

Current Grant Agreements - FTA

OCTA has ten current capital formula grants and five current capital discretionary grants, which are summarized below and in Attachments C and D (operating assistance only).

Capital Formula Grants: OCTA receives an annual formula capital grant from the FTA. There are ten active formula capital grants, totaling \$527 million. A total of \$410.8 million of these grants have been expended or obligated for procurement, leaving a remaining and available balance of \$116.2 million.

Capital Discretionary Grants: There are five active discretionary capital grants, totaling \$21.6 million. A total of \$4.5 million of these grants has been expended or obligated for procurement, leaving a remaining and available balance of \$17.2 million. The \$17.2 million available balance includes the construction of the Harbor Boulevard bus rapid transit (BRT) demonstration project, mobile fare equipment for OCTA, engineering design for BRT bus way, and security camera system for three existing commuter rail stations located in Fullerton, Santa Ana, and Tustin.

Current Grant Agreements - Other Discretionary Grants

OCTA has \$230.9 million in current other discretionary grants, which are summarized below and in Attachment E.

In addition to the specific grants outlined above, OCTA receives a variety of discretionary grants from sources such as Air Quality Management District Grant Program and Mobile Source Air Pollution Reduction Review Committee, State Office of Homeland Security, Federal Emergency Management Agency, State Transportation Improvement Program, Congestion Mitigation and Air Quality, California Department of Transportation, State Proposition 1B, FHWA Grant Program, and the State Highway Fund. The remaining and available balance on these discretionary grants is \$71.1 million. These funds will be received on a reimbursement of eligible expense basis.

Closed Grant Agreements

There were nine formula capital grant agreements, discretionary capital grant agreements, or other discretionary grants closed this quarter as summarized in Attachment E and F.

Summary

This report provides an update of the grant funded activities for the first quarter of fiscal year 2009-10, July through September 2009. Staff recommends this report be received and filed as an information item.

Attachments

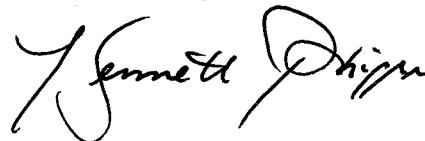
- A. Quarterly Grant Status Report, July through September 2009, Future Grant Applications
- B. Quarterly Grant Status Report, July through September 2009, Pending Grant Applications
- C. Quarterly Grant Status Report, July through September 2009, Current Formula and Discretionary Grants
- D. Quarterly Grant Status Report, July through September 2009, Operating Assistance Only
- E. Quarterly Grant Status Report, July through September 2009, Current Other Discretionary Grants
- F. Quarterly Grant Status Report, July through September 2009, Federal Transit Administration Capital Grant Index

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Quarterly Grant Status Report
 July through September 2009
 Future Grant Applications

ATTACHMENT A

Federal Transit Administration (FTA), Surface Transportation Program (Federal Highways Administration (FHWA) American Recovery and Reinvestment Act of 2009 (ARRA) Fund Transfer						
GRANT	FEDERAL GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	ESTIMATED SUBMITTAL DATE	ESTIMATED APPROVAL DATE	STATUS
Laguna Beach Trolleys	\$ 500,000	\$ -	\$ 500,000	July 2009	December 2009	The fund transfer paperwork submitted on July 9, 2009, is under review by California Department of Transportation (Caltrans) as the designated administrative agency for FHWA. To expedite the transfer, a grant agreement with FTA is being submitted concurrently and is anticipated to be executed in December 2009.
Total	\$ 500,000	\$ -	\$ 500,000			

Quarterly Grant Status Report
 July through September 2009
 Pending Grant Applications

Fiscal Year (FY) 2009 FTA Section 5307 Formula Capital Grant Program						
GRANT	FEDERAL GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	ESTIMATED SUBMITTAL DATE	ESTIMATED APPROVAL DATE	STATUS
Fiscal Year 2009 Section 5307 Bus Application	\$ 58,040,827	\$ 50,453,589	\$ 108,494,416	September 2009	December 2009	The FY 2009 FTA Section 5307 Formula Grant application has been finalized in cooperation with FTA and submitted for federal review on September 29, 2009. The grant agreement builds upon the FY 2009 program of projects approved by the OCTA Board of Directors (Board) on November 24, 2008. The grant captures \$58 million in federal capital and operating assistance to support OCTA's fixed route and paratransit operations, including preventive maintenance, capital cost of contracting, and support for the bicycle, pedestrian, and facilities program, as well as to enhance the security of the transit system.

Recovery Act Energy Efficiency and Conservation Block Grant (EECBG): Department of Energy (DOE)						
GRANT	FEDERAL GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	SUBMITTAL DATE	ESTIMATED APPROVAL DATE	STATUS
DOE Energy Efficiency and Conservation Block Grant (EECBG)	\$ 2,700,000	\$ -	\$ 2,700,000	June 2009	December 2009	On June 25, 2009, OCTA submitted a proposal to pursue \$2.7 million in competitive American Recovery and Reinvestment Act of 2009 (ARRA) Funds made available for competition through the DOE EECBG program. The funds do not require a local match contribution and are being pursued to help support the implementation of traffic signal synchronization for the Bravo! program. The funds are being competed nationwide to support capital projects that reduce emissions, decrease energy consumption and improve energy efficiency, while helping stimulate the economy by creating and sustaining jobs. Award announcements are anticipated in December 2009.

FY 2009 California Transit Security Grant Program (CTSGP), Proposition 1B Transit System Safety, Security, and Disaster Response Account						
GRANT	FEDERAL GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	SUBMITTAL DATE	ESTIMATED APPROVAL DATE	STATUS
Proposition 1B Transit System Safety, Security, and Disaster Response Account (TSSSDRA)	\$ 3,520,574	\$ -	\$ 3,520,574	April 2009	December 2009	On April 16, 2009, staff submitted project proposals and financial documents needed to secure \$3.52 million allocated to OCTA through the FY 2009 CTSGP. As directed by the Board on February 23, 2009, the funds are to support upgrades to OCTA's transit communications system (\$3,435,574) and the installation of license plate recognition systems on OCTA Transit Police Service vehicles (\$85,000). Award notifications are anticipated in December 2009. The funds do not require local match contributions or cost-sharing arrangements.

Transit Security Grant Program: Department of Homeland Security (DHS)						
GRANT	FEDERAL GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	SUBMITTAL DATE	ESTIMATED APPROVAL DATE	STATUS
Fiscal Year 2009 Transit Security Grant Program: Department of Homeland Security	\$ 880,000	\$ 220,000	\$ 1,100,000	January 2009	November 2009	On September 29, 2009, the United States DHS awarded OCTA \$880,000 in Transit Security Grant funds to support a variety of OCTA's security initiatives. As approved by the Board on July 27, 2009, the funds will be used to update OCTA's security plans, train and exercise OCTA staff on updated plan and counter-surveillance training, as well as implement a public awareness campaign for OCTA. The efforts are intended to help bring up-to-date OCTA's emergency protocols and procedures, ensure well-trained and practiced personnel, while enhancing security awareness among transit riders. The funds do not require local match contributions or cost-sharing arrangements.

Total	\$ 65,141,401	\$ 50,673,589	\$ 115,814,990			
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**Quarterly Grant Status Report
July through September 2009
Current Formula and Discretionary Grants**

Federal Transit Authority Section 5307, 5309, 5316, 5317 and ARRA GRANT FUNDS

Federal Transit Authority Section 5307 - Urbanized Area Formula Capital Grant Program

Formula grants funded by the Transportation Equity Act for the 21st Century.

Funds are generally used to purchase revenue vehicles, vehicle and facility modifications and bus related equipment.

CURRENT GRANT	FEDERAL GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	EXPENDED TO DATE	UNLIQUIDATED OBLIGATIONS	REMAINING BALANCE
Fiscal Year 2009 Congestion Mitigation and Air Quality	\$ 5,200,000	\$ 1,300,000	\$ 6,500,000	\$ -	\$ -	\$ 6,500,000
Fiscal Year 2008	52,551,072	6,416,088	58,967,160	42,914,471	1,088,967	14,963,722
Fiscal Year 2007 Congestion Mitigation and Air Quality	5,616,267	651,984	6,268,251	2,506,660	2,130,012	1,631,579
Fiscal Year 2007	48,631,827	5,678,239	54,310,066	39,183,296	-	15,126,770
Fiscal Year 2006	47,043,235	5,562,746	52,605,981	34,694,969	28,682	17,882,330
Fiscal Year 2005	88,923,097	10,618,894	99,541,991	94,990,782	4,507,358	43,851
Fiscal Year 2001	35,613,774	4,899,532	40,513,306	37,522,852	-	2,990,454
Formula Grants Total	\$ 283,579,272	\$ 35,127,483	\$ 318,706,755	\$ 251,813,030	\$ 7,755,019	\$ 59,138,706

Note: The remaining balance reflects funds in an approved grant waiting for the procurement contract.

* The Fiscal Year 2002-03 Section 5307 Grant is a consolidated Fiscal Year 2001-02 and Fiscal Year 2002-03 mega grant.

** The Fiscal Year 2003-04 Section 5307 Grant is "ONLY" 9/12 of the amount available because the extension of Transportation Equity Act for the 21st Century expired June 30, 2004.

Federal Transit Authority Section 5309 - Discretionary Capital Grant Program

Discretionary grants funded by the Transportation Equity Act for the 21st Century.

Grants provide capital funds for projects that improve efficiency and coordination of transportation systems.

CURRENT GRANT	FEDERAL GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	EXPENDED TO DATE	UNLIQUIDATED OBLIGATIONS	REMAINING BALANCE
Alternative Fuels Replacement Bus	\$ 247,507	\$ 50,694	\$ 298,201	\$ -	\$ -	\$ 298,201
Fiscal Year 2009 Bus Application	4,837,841	1,209,460	6,047,301	-	-	6,047,301
Fiscal Year 2008 Bus Program	7,021,300	1,727,839	8,749,139	1,545,093	-	7,204,046
Fiscal Year 2006 Bus Application	970,874	242,719	1,213,593	222,613	17,043	973,937
Fiscal Year 2005 Bus Application	4,344,932	938,983	5,283,915	2,704,959	-	2,677,956
Discretionary Grants Sub-Total	\$ 17,422,454	\$ 4,169,695	\$ 21,592,149	\$ 4,472,665	\$ 17,043	\$ 17,201,441

Note: The above grant amounts include Federal Transit Authority amount and Orange County Transportation Authority local match but excludes operating assistance.

The federal funds allocated for operating assistance can be found in Attachment D.

Quarterly Grant Status Report
July through September 2009
Current Formula and Discretionary Grants

Federal Transit Authority Section 5307, 5309, 5316, 5317 and ARRA GRANT FUNDS

FTA Section 5316 Jobs Access Reverse Commute Program (JARC)

Formula grants funded by the Transportation Equity Act for the 21st Century.

Grants provide funds to support new transit services and establish mobility management programs to assist low-income individuals.

CURRENT GRANT	FEDERAL GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	EXPENDED TO DATE	UNLIQUIDATED OBLIGATIONS	REMAINING BALANCE
FY 2009 Section 5316 JARC	\$ 3,485,080	\$ 871,270	\$ 4,356,350	\$ -	\$ -	\$ 4,356,350
Formula Grants Sub-Total	\$ 3,485,080	\$ 871,270	\$ 4,356,350	\$ -	\$ -	\$ 4,356,350

FTA Section 5317 New Freedom Initiative

Formula grants funded by the Transportation Equity Act for the 21st Century.

Grants provide funds to support new transit services and establish mobility management programs to enhance transit access for persons with disabilities.

Formula Grants GRANT	FEDERAL GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	EXPENDED TO DATE	UNLIQUIDATED OBLIGATIONS	REMAINING BALANCE
FY 2009 Section 5317 New Freedom	\$ 4,256,923	\$ 1,064,231	\$ 5,321,154	\$ -	\$ -	\$ 5,321,154
Formula Grants Sub-Total	\$ 4,256,923	\$ 1,064,231	\$ 5,321,154	\$ -	\$ -	\$ 5,321,154

FTA Section 5307 Transit Capital: American Recovery and Reinvestment Act of 2009 (ARRA)

Formula grants funded by the Transportation Equity Act for the 21st Century.

Amendment #1 to CA-95-X015 adds a new line item to support Fixed Route Operating Assistance (ALI 30.90.01)

CURRENT GRANT	FEDERAL GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	EXPENDED TO DATE	UNLIQUIDATED OBLIGATIONS	REMAINING BALANCE
Preventive Maintenance & Capital Cost of Contracting	\$ 76,802,235	\$ -	\$ 76,802,235	\$ 29,364,965	\$ 26,344	\$ 47,410,926
Formula Grants Sub-Total	\$ 76,802,235	\$ -	\$ 76,802,235	\$ 29,364,965	\$ 26,344	\$ 47,410,926

Formula Grants Total	\$ 368,123,510	\$ 37,062,984	\$ 405,186,494	\$ 281,177,995	\$ 7,781,363	\$ 116,227,136
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Discretionary Grants Total	\$ 17,422,454	\$ 4,169,695	\$ 21,592,149	\$ 4,472,665	\$ 17,043	\$ 17,201,441
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Formula and Discretionary Grant Total	\$ 385,545,964	\$ 41,232,679	\$ 426,778,643	\$ 285,650,660	\$ 7,798,406	\$ 133,428,577
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Quarterly Grant Status Report
 July through September 2009
 Operating Assistance Only

FEDERAL TRANSIT ADMINISTRATION SECTION 5307 GRANT FUNDS

Federal Transit Administration Section 5307 - Urbanized Area Formula Capital Grant Program

Note: Operating Assistance Only

CURRENT GRANT	FEDERAL GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	Federal Transit Administration DATE PAID
Fiscal Year 2009 *	\$ -	\$ -	\$ -	TBD
Fiscal Year 2008 *	5,255,107	18,759,832	24,014,939	June 6, 2008
Fiscal Year 2007 *	4,863,183	19,151,756	24,014,939	December 12, 2007
Fiscal Year 2006 *	4,659,324	19,355,615	24,014,939	October 3, 2006
Fiscal Year 2005 *	5,341,510	24,844,621	30,186,131	October 4, 2005
Fiscal Year 2001 *	3,155,000	16,411,495	19,566,495	March 8, 2002
Formula Grants Total	\$ 23,274,124	\$ 98,523,319	\$ 121,797,443	

Note: * Includes Americans with Disabilities Act Paratransit Operating Assistance "ONLY"

Quarterly Grant Status Report
 July through September 2009
 Current Other Discretionary Grants

DISCRETIONARY ALLOCATIONS					
Air Quality Management District Grant Program and Mobile Source Air Pollution Reduction Review Committee. Provides grants for the purchase of clean fuel revenue vehicles and other activities to reduce mobile source emissions.					
CURRENT GRANT	STATE GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	REMAINING BALANCE	PROJECT STATUS
Fiscal Year 2002-03 Air Quality Management District Contract #07320 Revenue Contract #C71248	\$ 1,000,000	\$ -	\$ 1,000,000	\$ 1,000,000	Funds were awarded in October 2002 for liquified natural gas (LNG) fueling infrastructure at the Garden Grove and Anaheim facilities. On December 3, 2004, Air Quality Management District (AQMD) approved OCTA's request to direct funds towards LNG fuel tank upgrades for the bus fleet and liquified natural gas fueling station at the Santa Ana Base. Due to delays with the LNG tank improvement project and new commitment towards compressed natural gas (CNG) fuel technologies, staff began discussions with AQMD to realign the total grant award to support CNG fueling at the Santa Ana Facility. Negotiations with the CNG fueling vendor were completed in May 2006, a detailed project scope was forwarded to AQMD staff to develop emissions benefit calculations needed to redirect awarded funds. On February 2, 2007, the Air Quality Management District governing Board approved the use of grant funds to OCTA. First reimbursement for \$990,000 was submitted on November 17, 2008. Reports for AQMD are being revised per AQMD comments. OCTA will resubmit revised invoice reports to Caltrans in December 2009.
Fiscal Year 2006 Mobile Source Air Pollution Reduction Committee Contract #MS06002 Revenue Contract #C71246	928,000	-	928,000	518,580	Executed November 2007, this grant provides funding for the purchase and implementation of automated vehicle locator and mobile data terminal equipment to increase the efficiency of the Freeway Service Patrols. The award requires a minimum 25 percent match funded through the Orange County Service Authority for Freeway Emergencies. To date reimbursements from the Mobile Source Air Pollution Reduction Committee total \$409,420. Project will continue for three years. A Grant Contract modification will be executed in the second quarter and reimbursements will restart at that time.
Fiscal Year 2007 Air Quality Management District Contract #08130 Revenue Contract #C81043	4,700,000	-	4,700,000	2,050,000	On December 7, 2007, the Air Quality Management District awarded Orange County Transportation Authority \$4.7 million in grant funds through the FY 2007 Carl Moyer Grant Program. The award supports the repowering of 188 Orange County Transportation Authority transit buses with new advanced low emission engines with a grant amount of \$25,000 each. The new advanced replacement engines will reduce tail pipe emissions between 600 and 700 pounds per year per vehicle. The first reimbursement for \$1,575,000 was received on March 4, 2009. The second reimbursement for \$1,075,000 was submitted on March 30, 2009, and received on May 20, 2009. Final reimbursement documentation is being prepared by the Transit Division. Final reimbursement is expected to be sent in October 2009 with payment received in the second quarter.
Fiscal Year 2008 Mobile Source Air Pollution Reduction Committee Contract # TBD Revenue Contract #Cxxxxxx	1,500,000	-	1,500,000	1,500,000	Awarded by the Mobile Source Air Pollution Reduction Review Committee on November 15, 2007, to implement a "Big Rig" pilot program intended to ease congestion by removing disabled trucks along the highly congested Riverside Freeway. This pilot service would operate similar to the Freeway Service Patrol to help mitigate the impacts of goods movement. This project has been delayed for at least one year (FY 2011) as the CHP and OCTA do a more in-depth study for the need for this project.
Fiscal Year 2008 - Alternative Fuels Infrastructure Program Contract # MSO8057 Revenue Contract #C90469	400,000	-	400,000	400,000	On July 11, 2008, the Mobile Source Air Pollution Reduction Committee awarded OCTA \$400,000 in competitive grant funds from its Alternative Fuels Infrastructure Program. The award will offset the capital costs of implementing a new compressed natural gas fueling station at the Garden Grove base facility, while allowing local funds to be used towards other OCTA projects and programs. The contract was executed on May 14, 2009. First reimbursement will be sent in the second quarter.
Total - AQMD / MSRC	\$ 8,528,000	\$ -	\$ 8,528,000	\$ 5,468,580	

Quarterly Grant Status Report
 July through September 2009
 Current Other Discretionary Grants

DISCRETIONARY ALLOCATIONS

State Office of Homeland Security					
These grants are to be used for the protection of the Orange County's transportation system.					
CURRENT GRANT	STATE GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	REMAINING BALANCE	PROJECT STATUS
Fiscal Year 2006 Transit Security Grant Program	\$ 950,000	\$ -	\$ 950,000	\$ 200,000	Funds on-board bus cameras, surveillance system at the Buena Park Rail Station and development of a Comprehensive Emergency Operations Plan. Two reimbursement requests for expenditures from separate fiscal years for on-board bus cameras and Buena Park rail station video surveillance systems. Total to date received is \$750,000.
Fiscal Year 2007 (supplemental) Transit Security Grant Program	550,000	-	550,000	150,000	Funds on-board bus surveillance system, a training exercise, and training program. Total to date received is \$400,000.
Fiscal Year 2008 Transit Security Grant Program	409,000	-	409,000	409,000	Grant funds will be utilized to develop and conduct an exercise and training program aimed at reducing safety and security risks associated with OCTA's alternative fuel vehicles and infrastructure. The program will seek feedback from local first responder agencies and equipment manufacturers, update protocols and procedures, and provide training to OCTA transit frontline personnel.

Total - TSGP	\$ 1,909,000	\$ -	\$ 1,909,000	\$ 759,000	
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Federal Emergency Management Agency					
State of California Emergency Management Agency					
CURRENT GRANT	STATE GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	REMAINING BALANCE	PROJECT STATUS
November 2008 Freeway Complex Wildfire Cost Recovery	\$ 65,809	\$ -	\$ 65,809	\$ 59,420	Wild fire recovery eligible costs include the clean-up and replacement of a storage shed, equipment, and damaged asphalt (\$52,313), repairs to the communications antenna and cabling (\$11,626), and vehicle and overtime costs (\$1,870). Due to payment request modifications, reimbursement has been delayed until January 2010.

State Transportation Improvement Program					
CURRENT GRANT	CALTRANS QUALITY ASSURANCE/QUALITY CONTROL AMOUNT	OCTA TOTAL GRANT AMOUNT	STATE GRANT AMOUNT	REMAINING BALANCE	PROJECT STATUS
2006 State Transportation Improvement Program Capital BRT (PS&E)	-	\$ 8,310,000	\$ 8,310,000	\$ 2,966,611	West Orange County Bus Rapid Transit Guideway, Design Phase (Plans, Specifications and Estimates). Reimbursement received to date is \$5,343,388.59.
2007 State Transportation Improvement Program Capital Placentia Rail Station (PS&E)	-	2,500,000	2,500,000	2,456,880	Placentia Rail Station Design phase (Plans, Specifications and Estimates). Contract C71294 executed October 2, 2008, with Willdan for PS&E. Received reimbursement for \$24,198 in December 2008. Reimbursement to date is \$43,120. Next reimbursement will be in the second quarter.
2008 State Transportation Improvement Program Capital Tustin Rail Station (PS&E)	-	1,100,000	1,100,000	1,100,000	Tustin Rail Station Design phase (Plans, Specifications and Estimates). First reimbursement will be in the second quarter.
2008 State Transportation Improvement Program El Camino Real Soundwall (PS&E)	-	646,000	646,000	42,594	Funding for the Santa Ana Freeway El Camino Real Soundwall, design phase (Plans, Specifications and Estimates). Reimbursements received to date total \$603,406.64
2008 State Transportation Improvement Program Capital Avenida Vaquero Soundwall (PS&E)	-	620,000	620,000	36,530	Funding for the Santa Ana Freeway Avenida Vaquero Soundwall, design phase (Plans, Specifications and Estimates). Total Reimbursement received to date is \$583,470.

Total - STIP	\$ -	\$ 13,176,000	\$ 13,176,000	\$ 6,602,616	
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Quarterly Grant Status Report
 July through September 2009
 Current Other Discretionary Grants

DISCRETIONARY ALLOCATIONS

<u>State Transportation Improvement Program</u>					
Programming, Planning, Monitoring (PPM)					
CURRENT GRANT	STATE GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	REMAINING BALANCE	PROJECT STATUS
Fiscal Year 2004 Program	\$ 3,500,000	\$ -	\$ 3,500,000	\$ 3,500,000	Annual State Transportation Improvement Program allocation for the programming, planning, monitoring. Submitted final reimbursement for \$3.5 million to California Department of Transportation (Caltrans) District 12 on February 5, 2008. Staff fulfilled a Caltrans District 12 request on four occasions for additional information for further clarification to complete project review. Project close-out is continuing at Caltrans District 12. Staff continues to respond to District 12 inquiries during close-out process.
Fiscal Year 2005 Program	1,287,000	-	1,287,000	801,761	Annual State Transportation Improvement Program allocation for the programming, planning, monitoring. Final reimbursement for \$749K on October 10, 2007, is pending at Caltrans District 12. Staff continues to respond to District 12 inquiries during close-out process.
Fiscal Year 2006 Program	1,777,000	-	1,777,000	166,108	Annual State Transportation Improvement Program allocation for the programming, planning, monitoring. Final reimbursement for \$166,108 on June 23, 2008, is pending at Caltrans District 12. Staff has received and is in the process of responding to the two requests from Caltrans District 12 regarding additional information for further clarification to complete project review. Staff continues to respond to District 12 inquiries during close-out process.
Fiscal Year 2007 Program	1,531,000	-	1,531,000	743,609	Annual State Transportation Improvement Program allocation for the programming, planning, monitoring. Received payment of \$787,391 on July 17, 2008. Reimbursement for \$743,609 was submitted on June 24, 2009. Caltrans has not made any additional requests for information. Final close-out audit is in process. Staff continues to monitor the status of this reimbursement.
Fiscal Year 2008 Program	1,531,000	-	1,531,000	1,531,000	Annual State Transportation Improvement Program allocation for the programming, planning, monitoring. Reimbursements will begin in the second quarter.
Total - STIP PPM	\$ 9,626,000	\$ -	\$ 9,626,000	\$ 6,742,478	

Quarterly Grant Status Report
 July through September 2009
 Current Other Discretionary Grants

DISCRETIONARY ALLOCATIONS					
State Proposition 1B					
State Funding for the Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA)					
CURRENT GRANT	STATE GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	REMAINING BALANCE	PROJECT STATUS
Fiscal Year 2008 Cycle 1 #6061-0002OES ID # 059-91032	\$ 17,138,093	\$ -	\$ 17,138,093	\$ 2,051,778	Currently, 140 of the 173 paratransit vehicles are on the property waiting inspection and acceptance. A total of \$15,086,315.26 has been transferred from Prop 1B cash account to Fund 30 as revenue reimbursement. Contract C61315 for the procurement of the remaining 33 paratransit vans was approved by the Board on June 22, 2009.
Fiscal Year 2008 Cycle 1 #6061-0002OES ID # 059-91032	2,684,610	-	2,684,610	674,764	Currently making quarterly capital lease payments for Anaheim compressed natural gas fueling facility and transferring funds from Prop 1B cash account to Fund 30 as revenue reimbursement.
Fiscal Year 2008 Cycle 1 #6061-0002OES ID # 059-91032	2,723,218	-	2,723,218	690,851	Currently making quarterly capital lease payments for the Garden Grove compressed natural gas fueling facility and transferring funds from Prop 1B cash account to Fund 30 as revenue reimbursement.
Fiscal Year 2008 Cycle 1 #6061-0002OES ID # 059-91032	2,684,605	-	2,684,605	2,684,605	Staff has determined this project is not eligible for use of Prop. 1B funds due to the lease being an operating lease as opposed to a capital lease. Staff is in the process of working with the State to transfer these funds to the Anaheim and Garden Grove CNG fueling facility capital lease projects. This transfer is expected to be finalized in October 2009.
Fiscal Year 2008 Cycle 1 #6061-0002OES ID # 059-91032	18,571,677	-	18,571,677	18,571,677	Orange County Metrolink Service Expansion Program (MSEP). The funding for the MSEP is categorized into three general areas: turnback facilities, layover facilities and reliability improvements. Construction has begun.
Fiscal Year 2008 Cycle 1 #6061-0002OES ID # 059-91032	7,737,225	-	7,737,225	7,737,225	ACCESS/fixd radio system upgrade. These funds will be reallocated to another project.
Total - Prop. 1B (PTMISEA)	\$ 51,539,428	\$ -	\$ 51,539,428	\$ 32,410,900	

Quarterly Grant Status Report
 July through September 2009
 Current Other Discretionary Grants

DISCRETIONARY ALLOCATIONS					
<u>State Proposition 1B Transit Security Grant Program (CTSGP)</u>					
<u>Transit System Safety, Security, and Disaster Response Account (TSSSDRA)</u>					
CURRENT GRANT	STATE GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	REMAINING BALANCE	PROJECT STATUS
FY 2008 Proposition 1B Transit System Safety, Security, and Disaster Response Account	\$ 818,450	\$ -	\$ 818,450	\$ 818,450	No activity to date for the commuter rail right-of-way fencing project. Project has been included in the FY 2010 Budget.
FY 2008 Proposition 1B Transit System Safety, Security, and Disaster Response Account	802,124	-	802,124	789,265	Funds were transferred from account code 2166-9022-D3107-K6M (\$200K) for the video surveillance systems for base facilities project. A scope of work (SOW) was developed and sent out for proposals which were originally scheduled to be received on January 20. On January 5, legal counsel sent an opinion that these types of projects can be done as a design build procurement. OCTA cancelled the request for proposal and is revising the SOW for a design/build procurement to be issued shortly. There is a requisition (# 6193) in place in Contracts, Administration and Materials Management. A contract was executed on June 23, 2009, with consultant TRC Solutions, Inc. (\$120,278.88) to develop a design/build package which will consist of design criteria, performance standards, plans, and specifications. When the final design build package is submitted by TRC solutions, CMM will post a Invitation for Bidders on CMM Net for contractors (design/builders) to construct the project at the four OCTA bus bases, based on TRC Solutions design/build criteria. Revenue was received in the amount of \$12,859.
FY 2008 Proposition 1B Transit System Safety, Security, and Disaster Response Account	754,000	-	754,000	742,358	Funds were transferred from account code 2166-9022-D3107-EY1 (\$500K) for the key card access systems for base facilities project. A scope of work (SOW) was developed and sent out for proposals which were originally scheduled to be received on January 20. On January 5, legal counsel sent an opinion that these types of projects can be done as a design build procurement. OCTA cancelled the request for proposals (RFP) and is revising the scope of work for a design/build procurement to be issued shortly. There is a requisition (# 6194) in place in CMM. A contract was executed on June 23, 2009, with TRC Solutions, Inc. (\$120,278.88) to develop a design/build package which will consist of design criteria, performance standards, plans, and specifications. When the final design build package is submitted by TRC solutions, CMM will post a Invitation for bidders on CMM Net for contractors (design/builders) to construct the project at the four OCTA bus bases, based on TRC Solutions design/build criteria. Revenue was received in the amount of \$11,642.
FY 2008 Proposition 1B Transit System Safety, Security, and Disaster Response Account	273,100	-	273,100	175,178	Cooperative Agreement with Southern California Regional Rail Authority to fund grade crossing monitors in Orange County was authorized by the Board on June 22, 2009. Revenue was received in the amount of \$97,922.
Total - Prop. 1B (TSSSDRA)	\$ 2,647,674	\$ -	\$ 2,647,674	\$ 2,525,251	

Quarterly Grant Status Report
 July through September 2009
 Current Other Discretionary Grants

DISCRETIONARY ALLOCATIONS

Federal Highway Administration Grant Program Congestion Mitigation Air Quality (CMAQ)
 Federal funding for the Garden Grove Project Construction

CURRENT GRANT	FEDERAL GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	REMAINING BALANCE	PROJECT STATUS
Fiscal Year 2004	\$ 101,276,120	\$ -	\$ 101,276,120	\$ 63,109	Funding for the construction of carpool lanes on the Garden Grove Freeway. Amount received to date is \$101,213,011. Staff will seek final reimbursement of \$63,109 after plant establishment is completed in February 2011.
Fiscal Year 2007	26,000,000	-	26,000,000	3,737,306	West County Connectors Project. Funding for the design of the high occupancy vehicle direct connectors from Garden Grove Freeway to the San Diego Freeway and the San Gabriel Freeway. Reimbursements to date of \$22,262,694. The design phase is concluding and moving into the right-of-way phase.
Fiscal Year 2008	12,167,740	-	12,167,740	12,167,740	West County Connectors Project. Funding right-of-way phase of the high occupancy vehicle direct connectors from Garden Grove Freeway to the San Diego Freeway and the San Gabriel Freeway. Reimbursements will begin in the second quarter.

Total - CMAQ	\$ 139,443,860	\$ -	\$ 139,443,860	\$ 15,968,155	
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Federal Highway Administration Grant Program

CURRENT GRANT	FEDERAL GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	REMAINING BALANCE	PROJECT STATUS
Fiscal Year 2006 Value Pricing Pilot Program	\$ 588,000	\$ 147,000	735,000	\$ 578,220	Fund the performance monitoring and pricing pilot project on 91 Express Lanes to review speed and travel time sensor technology options, approaches to dynamic pricing and policy impacts. Funding requires a 20 percent match. During the quarter ending 12/31/07, the Orange County Transportation Authority entered into a new agreement with a new project management firm to assist in oversight of this project. Reimbursements to date of \$9,780.

Total Other Discretionary	\$ 214,347,771	\$ 13,323,000	\$ 227,670,771	\$ 71,114,620	
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Quarterly Grant Status Report
 July through September 2009
 Current Other Discretionary Grants

DISCRETIONARY ALLOCATIONS					
Closed Other Discretionary Grants					
CURRENT GRANT	FEDERAL GRANT AMOUNT	LOCAL SHARE AMOUNT	TOTAL GRANT AMOUNT	REMAINING BALANCE	PROJECT STATUS
Fiscal Year 2004-05 Mobile Source Air Pollution Reduction Committee Contract #PT05063 Revenue Contract #C52915	425,000	-	425,000	425,000	Grant awarded for \$150,000 in February 2005 to purchase and install 71 catalyzed diesel particulate filter systems to retrofit certain diesel-fueled buses. In June 2005, the Mobile Source Air Pollution Reduction Committee Board increased award amount to \$603,500. The contract was executed in March 2006 and budgeted in fiscal year 2007. Requisition 41263 was approved in January 2007. In June 2007, the Board approved a reduction of the number of filters to 50, resulting in a new award amount of \$425,000. Final reimbursement, AR 124196 for \$76,500 was received June 22, 2009.
Fiscal Year 2006 Mobile Source Air Pollution Reduction Committee Contract #MS07009 Revenue Contract #C80815	\$ 800,000	\$ -	\$ 800,000	\$ 800,000	Awarded on April 6, 2007, this grant helps support the purchase of 40 new buses equipped with advanced low emission natural gas engines. During the first quarter (July thru September), 28 Low Emission buses were conditionally accepted. A pause in payments to the vendor delayed reimbursement during the second quarter (October thru December). The final reimbursement invoice, AR 124186 for \$80,000 was received on June 22, 2009.
Fiscal Year 2007 Transit Security Grant Program	1,000,000	-	1,000,000	1,000,000	Funds on-board bus surveillance system. Total to date received is \$1,000,000.
Targeted Rubberized Asphalt Concrete Incentive Grant Program	150,000	-	150,000	150,000	Funding to help offset the costs of rubberized asphalt on the Garden Grove Freeway improvement project. Received final report on October 28, 2008. Reimbursement invoice submitted on November 3, 2008. Final Report has been accepted by Waste Management and reimbursement payment for \$150,000 received on June 11, 2009.
FY 2008 Proposition 1B Transit System Safety, Security, and Disaster Response Account	732,900	-	732,900	732,900	On-board bus video surveillance cameras project. As of June 8, 2009, the full transfer of \$732,900 to Orange County Transit District has been completed. This project paid for 48 paratransit bus cameras and 22 - 40' compressed natural gas bus cameras.
FY 2008 Proposition 1B Transit System Safety, Security, and Disaster Response Account	140,000	-	140,000	140,000	The video surveillance system for the Irvine station - The original public bid opening for this project was 9/9/08 but there were no bids submitted. The specs for the project were revised to allow for more companies to be able to bid the project and there was a second public bid opening on 10/17/08. A notice to award the contract was given to consultant on 11/10/08. The city will hold the contract with the consultant. We have cooperative agreement C-3-0628 amendment #5 with the city that gives them the funds for the video surveillance system. Installation of the video surveillance system at the Irvine station was completed in March. The final invoice from the city is under review as of June 30, 2009. Funds were transferred to Fund 93 in the amount of \$140,000.

Total - Closed	\$ 3,247,900	\$ -	\$ 3,247,900	\$ 3,247,900
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**Quarterly Grant Status Report
July through September 2009
Federal Transit Administration Capital Grant Index**

GRANT NO.	DESCRIPTION	EXECUTED DATE	GRANT BUDGET	UNLIQUIDATED OBLIGATIONS	TOTAL OUTLAYS	TOTAL COMMIT/COSTS	UNCOMMITTED BALANCE	PERCENT COMPLETE	ANTICIPATED CLOSE-OUT
CA-03-0709	2005 Section 5309 Bus Application	3/3/2005	\$ 5,382,915	\$ -	\$ 2,704,959	\$ 2,704,959	\$ 2,677,956	50.25%	June '10
CA-03-0754	2006 Section 5309 Bus Application	8/22/2006	1,213,593	17,043	222,613	239,656	973,937	18.34%	December '09
CA-03-0810	Alternative Fuels Replacement Bus	9/21/2009	298,201	-	-	-	298,201	0.00%	September '12
CA-04-0078	FY 2008 Section 5309 Bus Application	9/8/2008	8,749,139	-	1,545,093	1,545,093	7,204,046	17.66%	December '10
CA-04-0122	FY 2009 Section 5309 Bus Application	9/28/2009	6,047,301	-	-	-	6,047,301	0.00%	September '12
CA-37-X113	FY 2009 Section 5316 JARC	9/21/2009	4,356,350	-	-	-	4,356,350	0.00%	September '12
CA-57-X038	FY 2009 Section 5317 New Freedom	8/31/2009	5,321,154	-	-	-	5,321,154	0.00%	October '12
CA-90-Y048	Program of Projects	3/4/2001	40,513,306	-	37,522,852	37,522,852	2,990,454	92.62%	April '10
CA-90-Y349	Program of Projects	9/22/2005	99,541,991	4,507,358	94,990,782	99,498,140	43,851	95.43%	April '10
CA-90-Y428	Program of Projects	9/28/2006	52,605,981	28,682	34,694,969	34,723,651	17,882,330	65.95%	June '11
CA-90-Y540	Program of Projects	12/10/2007	54,310,066	-	39,183,296	39,183,296	15,126,770	72.15%	March '10
CA-90-Y644	Program of Projects	6/11/2008	58,967,160	1,088,967	42,914,471	44,003,438	14,963,722	72.78%	April '10
CA-95-X005	FY 2007 CMAQ Fund Transfer	8/28/2007	6,268,251	2,130,012	2,506,660	4,636,672	1,631,579	39.99%	March '10
CA-96-X015	Prev Maint Capital Cost of Contracting	7/10/2009	76,802,235	26,344	29,364,965	29,391,309	47,410,926	38.23%	July '12
CA-95-X043	FY 2009 CMAQ Fund Transfer-Irvine Guideway	9/22/2008	6,500,000	-	-	-	6,500,000	0.00%	September '12
TOTALS			\$ 426,877,643	\$ 7,798,406	\$ 285,650,660	\$ 293,449,066	\$ 133,428,577	66.92%	

**July through September 2009
Closed Grant Agreements**

GRANT NO.	DESCRIPTION	EXECUTED DATE	GRANT BUDGET	UNLIQUIDATED OBLIGATIONS	TOTAL OUTLAYS	TOTAL COMMIT/COSTS	UNCOMMITTED BALANCE	PERCENT COMPLETE	ANTICIPATED CLOSE-OUT
CA-03-0626	Cities of Anaheim and Brea	8/25/2002	2,399,920	-	2,399,920	2,399,920	-	100.00%	July '09
CA-90-Y163	Program of Projects	8/14/2003	156,073,002	-	156,073,002	156,073,002	-	100.00%	July '09
CA-90-Y237	Program of Projects	8/19/2004	59,188,821	-	59,188,821	59,188,821	-	100.00%	July '09
TOTALS			\$ 217,661,743	\$ -	\$ 217,661,743	\$ 217,661,743	\$ -	100.00%	



BOARD COMMITTEE TRANSMITTAL

December 14, 2009

To: Members of the Board of Directors
From: Wendy Knowles, Clerk of the Board
Subject: Change of Signage on the San Diego Freeway (Interstate 405)

Highways Committee Meeting of December 7, 2009

Present: Directors Amante, Cavecche, Glaab, Green, Norby, and Pringle
Absent: Directors Dixon and Mansoor

Committee Vote

This item was passed by all Committee Members present.

Opposed: Director Norby

Committee Recommendation

Adopt Resolution 2009-54 supporting the request of the City of Irvine and authorize the Chief Executive Officer to transmit a request to the California Department of Transportation to initiate the process to designate the City of Irvine as a destination for the southbound San Diego Freeway (Interstate 405) and modify the overhead signage to indicate Irvine/San Diego.



December 7, 2009

To: Highways Committee

From: Will Kempton, Chief Executive Officer

Subject: Change of Signage on the San Diego Freeway (Interstate 405)

Overview

In February 2009, the Board of Directors requested the California Department of Transportation change the destination signage for the southbound San Diego Freeway (Interstate 405) to indicate "Irvine/San Diego." To implement this request, a resolution is presented for Board of Directors' approval. Adoption of this resolution will support the request of the City of Irvine to start the signage change process with the California Department of Transportation, the Federal Highway Administration, and the American Association of State Highway and Transportation Officials.

Recommendation

Adopt Resolution 2009-54 supporting the request of the City of Irvine and authorize the Chief Executive Officer to transmit a request to the California Department of Transportation to initiate the process to designate the City of Irvine as a destination for the southbound San Diego Freeway (Interstate 405) and modify the overhead signage to indicate Irvine/San Diego.

Background

The San Diego Freeway (Interstate 405) was originally constructed as a bypass of the Santa Ana Freeway (Interstate 5) running along the western areas of the greater Los Angeles area to Irvine. Interstate 405 (I-405) has played a critical role in the development of business and residential centers in Orange County and I-405 traffic volumes are among the highest in the nation with daily weekday volumes exceeding 350,000 vehicles.

Overhead guide signing is provided on freeways to major destinations for long-trip orientation. Any given route should have the same destinations or "control cities" to achieve continuity of signing for through traffic. There are circumstances, however, where more than one destination point may be

properly designated. This can occur when two destinations of similar importance, some distance apart, are served by the same route.

The California Department of Transportation (Caltrans) has established standards for guide signs and other traffic control devices through the *California Manual of Uniform Traffic Control Devices*. To change a destination sign, the manual states that a major destination, such as Irvine, must be included in the control cities list prepared and approved by the American Association of State Highway and Transportation Officials (AASHTO). AASHTO is a nonprofit, nonpartisan association representing highway and transportation departments in the 50 states, the District of Columbia, and Puerto Rico. Its primary goal is to foster the development, operation, and maintenance of an integrated national transportation system. The control cities list is a policy document that is periodically reviewed and approved by the AASHTO Board of Directors. The Federal Highway Administration (FHWA) must also approve sign installation on the interstate highway system and FHWA relies on AASHTO's recommendation concerning the designation of control cities for destination signing.

Discussion

Currently, the I-405 is not listed on the AASHTO control cities list since it was considered by FHWA as a bypass of Interstate 5 (I-5)¹. Irvine is now a major destination given the city's employment opportunities, entertainment and recreation facilities, and academic institutions. As a result, the concept of I-405 as a bypass of the I-5 is outdated and current freeway signage policies need to be updated to reflect this fact. At its regular meeting of October 27, 2009, the City of Irvine (City) City Council adopted a resolution requesting Caltrans to initiate the process to designate the City as a destination for the southbound I-405 in Orange County and modify the overhead signage to indicate Irvine/San Diego.

Both the I-405 and any control cities such as Irvine, would need to be added to the AASHTO list in order to allow the destination sign change process to proceed. States may submit requests for additions to the list of control cities to the AASHTO for consideration. Recommendations will be presented to the AASHTO Board of Directors for approval. After the final AASHTO approval, and with the concurrence of the FHWA, Caltrans would be notified of the action taken and implementation can then proceed.

Caltrans has identified 12 locations along the I-405, from the vicinity of the Long Beach Freeway (Interstate 710) to Irvine, where overhead signs would have to be modified to accommodate the new Irvine/San Diego destination. These locations are for the southbound direction only.

¹ The designated control cities for I-5 in Southern California are: Los Angeles, Santa Ana, and San Diego.

The overhead sign modifications necessary to add Irvine as a destination will depend upon the age, location, condition, and size of the existing signs or sign panels. All but one of the signs are mounted on sign bridges that span the southbound lanes, shoulder areas, and any adjacent on- off-ramps. A cost estimate for the sign modifications would have to be prepared by Caltrans based on a more detailed survey of sign configuration and conditions. Staff intends to work closely with Caltrans to minimize the cost of the signage changes by modifying the existing sign legends. Incremental implementation of the signage changes will be proposed but it should be noted that AASHTO and FHWA are likely to require modification of all signs at one time to assure continuity of motorist information.

In order to initiate the process for the I-405 overhead signing changes the following Orange County Transportation Authority (OCTA) actions should occur:

- Adopt a resolution supporting the City's request for the signing changes
- Request Caltrans to submit an application to AASHTO and FHWA to approve the City as a control city for the I-405 southbound
- Request Caltrans to develop a formal cost estimate for the proposed sign changes

Staff has developed a resolution for Board of Directors' approval (Attachment A). Finally, staff will continue to work with Caltrans to formally request AASHTO and FHWA to approve the signage changes, as well as refine costs and identify potential funding to pay for the sign changes once approval is obtained.

Summary

A resolution is presented for Board of Directors approval requesting Caltrans initiate the process change to the signage for the southbound I-405 destination to indicate Irvine/San Diego. FHWA and AASHTO approval is necessary to implement the change.

Attachments

- A. Resolution 2009-54
- B. City of Irvine - Request for City Council Action – October 27, 2009 – Designation of the City of Irvine as a Destination on I-405 Overhead Signage
- C. Letter from City of Irvine – Dated November 2, 2009

Prepared by:



Harry W. Thomas
Project Manager
(714) 560-5617

Approved by:



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

A Resolution of the Board of Directors of the Orange County Transportation Authority supporting the request of the City of Irvine to the California Department of Transportation to initiate the process to designate the City of Irvine as a destination for the southbound San Diego Freeway (Interstate 405) in Orange County and modify the overhead signing to indicate "Irvine/San Diego."

WHEREAS, the southbound San Diego Freeway (Interstate 405) terminates in the City of Irvine;

WHEREAS, there are no control cities designated specifically for the San Diego Freeway (Interstate 405);

WHEREAS, the City of Irvine is a major commercial and employment center in the Orange County;

WHEREAS, the only designated control cities in the Santa Ana Freeway (Interstate 5)/ San Diego Freeway (Interstate 405) corridor with destination signing in Orange County are Los Angeles, Santa Ana, and San Diego;

WHEREAS, control cities on freeway guide signs are selected by the states and are contained in the "List of Control Cities for use in Guide Signs on Interstate Highways," published by the American Association of State Highway Transportation Officials;

WHEREAS, the California Department of Transportation must initiate requests to change the list of control cities in California;

WHEREAS, the City of Irvine has adopted City Council Resolution No. 09-107 dated October 27, 2009 requesting the California Department of Transportation to initiate the process to designate the City of Irvine as a destination for the southbound San Diego Freeway (Interstate 405) in Orange County.

WHEREAS, requests to change the list of control cities must be approved by the Federal Highway Administration for Interstate Highways;

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Orange County Transportation Authority supports the request of the City of Irvine to be added as a destination on the overhead guide signs for the southbound San Diego Freeway (Interstate 405) in Orange County.

ADOPTED, SIGNED AND APPROVED this (_____) day of (_____), 2009.

AYES:

NOES:

ABSENT:

ATTEST:

Wendy Knowles
Clerk of the Board

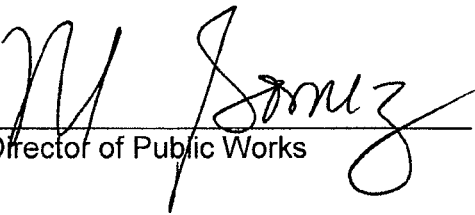
Peter Buffa, Chairman
Orange County Transportation Authority



REQUEST FOR CITY COUNCIL ACTION

MEETING DATE: OCTOBER 27, 2009

TITLE: DESIGNATION OF THE CITY OF IRVINE AS A DESTINATION ON I-405
OVERHEAD SIGNAGE



Director of Public Works



City Manager

RECOMMENDED ACTION:

Adopt RESOLUTION NO. – A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF IRVINE, CALIFORNIA REQUESTING THE CALIFORNIA DEPARTMENT OF TRANSPORTATION TO INITIATE THE PROCESS TO DESIGNATE THE CITY OF IRVINE AS A DESTINATION FOR THE SOUTHBOUND SAN DIEGO FREEWAY (INTERSTATE 405) IN ORANGE COUNTY AND MODIFY THE OVERHEAD SIGNAGE TO INDICATE "IRVINE/SAN DIEGO"

EXECUTIVE SUMMARY:

It has been suggested that the City of Irvine initiate a signage change process with the Orange County Transportation Authority (OCTA), California Department of Transportation (Caltrans), the Federal Highway Administration (FHWA), and the American Association of State Highway Transportation Officials (AASHTO) to change the destination signage for the southbound I-405 freeway to indicate "Irvine/San Diego." Council adoption of a Resolution requesting this change is required.

COMMISSION/BOARD/COMMITTEE RECOMMENDATION:

Not applicable.

STATEMENT OF THE ISSUE:

History:

Overhead guide signing is provided on freeways to major destinations for long trip orientation. Any given route should have the same destinations or "control cities" to achieve continuity of signing for through traffic. There are circumstances, however, where more than one destination point may be properly designated. This can occur when two destinations of similar importance, some distance apart, are served by the same route. Currently, the southbound I-405 freeway overhead signs do not show Irvine

as a destination and only show San Diego. The I-405 freeway was originally constructed as a bypass of the I-5 freeway running along the western areas of the greater Los Angeles area to Irvine.

Caltrans has established standards for guide signs and other traffic control devices through the *California Uniform Traffic Control Devices Manual*. To change a destination sign, the manual states that a major destination, such as Irvine, must be included in the "control cities" list prepared and approved by AASHTO. The FHWA must also approve sign installation on the interstate highway system and FHWA relies on AASHTO's recommendation concerning the designation of control cities for destination signing.

Analysis/Discussion:

The I-405 freeway has played a critical role in the development of business and residential centers in Orange County and I-405 traffic volumes are among the highest in the nation with daily weekday volumes exceeding 350,000 vehicles.

The southbound I-405 freeway overhead signs do not show Irvine as a destination. Irvine is not listed on the AASHTO control cities list since it was considered by FHWA as a bypass of the I-5 freeway. Irvine has become a major destination given the City's employment opportunities, entertainment, recreation facilities, and academic institutions. As a result, the concept of I-405 as a bypass of the I-5 is outdated and freeway signage policies need to be updated to reflect this fact.

Upon City Council adoption of the Resolution, staff will seek a Resolution of support from OCTA and will start the formal process with Caltrans, AASHTO and FHWA which may take up to 12 months. After the final AASHTO approval, and with the concurrence of the FHWA, Caltrans would be notified of the action taken and implementation can then proceed. The sign modifications will be done as part of Caltrans' normal maintenance and replacement over years to come.

Caltrans has identified 12 locations along the southbound I-405 from the vicinity of the Long Beach Freeway (Interstate 710) to Irvine where overhead signs would have to be modified to accommodate the new Irvine/San Diego destination.

ALTERNATIVES CONSIDERED:

Not applicable.

FINANCIAL IMPACT:

The City does not anticipate any financial impact due to this request. Caltrans is expected to replace the signs as part of routine maintenance and replacement of the freeway signs.

CONCLUSION:

City Council adoption of a Resolution requesting a change to the destination signage for the southbound I-405 will initiate the signage change process with OCTA, Caltrans, FHWA and AASHTO.

Report prepared by: Shohreh Dupuis, Manager of Transit and Transportation

Reviewed by: Joyce Amerson, Deputy Director of Public Works

Attachment:

Resolution



Sukhee Kang, Mayor

www.ci.irvine.ca.us

City of Irvine, One Civic Center Plaza, P.O. Box 19575, Irvine, California 92623-9575 (949) 724-6233

November 2, 2009

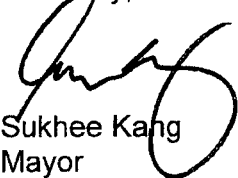
Honorable Chairman Peter Buffa
Orange County Transportation Authority
P.O. Box 14184
Orange, CA 92863-1584

Dear Chairman Buffa:

On October 27, 2009, the Irvine City Council adopted a Resolution supporting a change to the destination signage for the southbound I-405 in order to initiate the signage change process with Orange County Transportation Authority (OCTA), Caltrans, Federal Highway Administration, and the American Association of State Highway Transportation Officials. Attached is a copy of the resolution.

Please contact Shohreh Dupuis, Manager of Transit and Transportation at (949) 724-7526 if you have any questions.

Sincerely,



Sukhee Kang
Mayor

Attachment

cc: Will Kempton, Chief Executive Officer, OCTA

CITY COUNCIL RESOLUTION NO. 09-107

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF IRVINE, CALIFORNIA REQUESTING THE CALIFORNIA DEPARTMENT OF TRANSPORTATION TO INITIATE THE PROCESS TO DESIGNATE THE CITY OF IRVINE AS A DESTINATION FOR THE SOUTHBOUND SAN DIEGO FREEWAY (INTERSTATE 405) IN ORANGE COUNTY AND MODIFY THE OVERHEAD SIGNAGE TO INDICATE "IRVINE/SAN DIEGO"

WHEREAS, the southbound I-405 freeway terminates in the City of Irvine; and

WHEREAS, there are no control cities designated specifically for the I-405 freeway; and

WHEREAS, the City of Irvine is a major commercial and employment center in the Orange County; and

WHEREAS, the only designated control cities in the I-5 freeway and I-405 freeway corridor with destination signing in Orange County are Los Angeles, Santa Ana, and San Diego; and

WHEREAS, control cities on freeway guide signs are selected by the states and are contained in the "List of Control Cities for use in Guide Signs on Interstate Highways," published by the American Association of State Highway Transportation Officials; and


WHEREAS, the City of Irvine seeks the support of the Orange County Transportation Authority Board of Directors for the City's request; and

WHEREAS, the California Department of Transportation must initiate requests to change the list of control cities in California; and

WHEREAS, requests to change the list of control cities must be approved by the Federal Highway Administration for Interstate Highways.

NOW, THEREFORE, the City Council of the City of Irvine DOES HEREBY RESOLVE to request that the City of Irvine be added as a destination on the overhead guide signs for the southbound I-405 freeway in Orange County.

PASSED AND ADOPTED by the City Council of the City of Irvine at a regular meeting held on the 27th day of October, 2009.



MAYOR OF THE CITY OF IRVINE

ATTEST:



CITY CLERK OF THE CITY OF IRVINE

STATE OF CALIFORNIA)
COUNTY OF ORANGE) SS
CITY OF IRVINE)

I, SHARIE APODACA, City Clerk of the City of Irvine, HEREBY DO CERTIFY that the foregoing resolution was duly adopted at a regular meeting of the City Council of the City of Irvine, held on the 27th day of October, 2009.

AYES: 4 COUNCILMEMBERS: Agran, Choi, Shea and Kang
NOES: 0 COUNCILMEMBERS: None
ABSENT: 1 COUNCILMEMBERS: Krom



CITY CLERK OF THE CITY OF IRVINE



BOARD COMMITTEE TRANSMITTAL

December 14, 2009

To: Members of the Board of Directors
From: ^{WK} Wendy Knowles, Clerk of the Board
Subject: 2010 Long-Range Transportation Plan Status

Highways Committee Meeting of December 7, 2009

Present: Directors Amante, Cavecche, Glaab, Green, Norby, and Pringle
Absent: Directors Dixon and Mansoor

Committee Vote

This item was passed by all Committee Members present.

Committee Recommendation

Receive and file as an information item.



December 7, 2009

To: Highways Committee
From: Will Kempton, Chief Executive Officer
Subject: 2010 Long-Range Transportation Plan Status

Overview

The Orange County Transportation Authority updates the Long-Range Transportation Plan every four years. The last Long-Range Transportation Plan update was in 2006 and staff has initiated the process for a 2010 update. An overview of the process and schedule is provided for review.

Recommendation

Receive and file as an information item.

Background

The 2010 Long-Range Transportation Plan (LRTP) is the Orange County Transportation Authority's (OCTA's) vision of how people, goods, and services will use the future transportation system for work, commerce, school, and recreational travel. With policy direction, the LRTP provides goals and strategies that guide future investments in the Orange County transportation system.

The LRTP is updated every four years to coincide with the OCTA's input in the Southern California Association of Governments (SCAG) Regional Transportation Plan (RTP). The last OCTA plan was updated in July 2006 and provided input into SCAG's 2008 RTP. The 2006 LRTP also assumed Orange County voters would support Renewed Measure M (M2) that was subsequently approved by a super-majority in November 2006. OCTA is now preparing the 2010 LRTP as input into SCAG's 2012 RTP.

Discussion

OCTA's 2010 LRTP will address new requirements included in SB 375 (Chapter 728, Statutes 2008) that aim to reduce greenhouse gas emissions

within the SCAG region to a target set by the California Air Resources Board (CARB). The 2010 LRTP will also reflect the current economic crisis, a restoration of transit service by future expansion strategies, implementation of the M2 programs and projects, and other projects and programs that meet the mobility needs of Orange County residents and workers.

A critical issue for this LRTP will be meeting the greenhouse gas emission targets imposed by CARB. These mandates must be weighted against the financial constraints that OCTA is expected to face over the time horizon (2035) of the plan. Based on federal law, OCTA must provide a long-range plan to SCAG that is "financially constrained" and based on reasonably available revenue. This challenge will require innovative and creative approaches that help to meet the regional greenhouse gas emission reduction targets. If SCAG cannot meet the target, state law provides a "relief valve" by preparation of a financially unconstrained transportation and land-use vision that meets the greenhouse gas reduction target.

Supporting land-use strategies, coordinated with transportation investments, are key elements included in SB 375. This will mean that public transit investments, whether traditional fixed-route bus service operated by OCTA or new projects and services implemented and operated by local agencies, will play an increasingly important role in meeting the goals outlined in SB 375. Given the importance of transit in the 2010 LRTP, OCTA staff recommends that early LRTP efforts focus on the definition of transit services that meet projected financial conditions (further discussed below).

Planning Process

In developing the 2010 LRTP over the next 12 months, staff will compile data and perform outreach activities to ensure that Orange County's transportation needs are identified and addressed to the greatest extent possible. The types of data that will be collected include:

- 2020 and 2035 population, employment, and housing growth forecasts
- Estimated costs and completion dates for projects and programs
- 2020 and 2035 revenue forecasts

This data will be aligned to transportation system performance measures that assess overall plan cost effectiveness, necessary revenues to deliver the plan and other measures of effectiveness and will be brought to the Board of Directors (Board) for review.

OCTA will conduct outreach efforts to the public and Orange County local agencies in the plan preparation process. This outreach effort, in conjunction

with the quantitative data sources listed above, will work to identify the needs of the transportation system. With this information, staff will develop alternative sets of projects and programs that will meet the identified needs. Three alternatives within the 2010 LRTP will be brought to the Board for final adoption. These alternatives include:

1. Baseline – committed projects included in the six-year Regional Transportation Improvement Program
2. Constrained (sustainable strategy) – projects that can be funded based on the revenue forecasts through 2035
3. Unconstrained (alternative strategy) – projects that require funds beyond the revenue forecast through 2035 and beyond

The action plan below outlines key timeframes and activities to prepare the draft and final LRTP.

Fall 2009: Now through late December 2009, staff will procure consultant services for plan preparation. This effort will focus on project management support, developing goals and objectives for the plan, preparing chapter outlines, and participating in early outreach activities through OCTA's Citizens Advisory Committee (CAC). Concurrently, staff will identify the baseline projects and programs to consider for the alternatives. Revenue forecasts will also be prepared in this timeframe.

Winter 2010: Starting in early 2010, outreach efforts to local agencies and the Orange County Council of Governments (OCCOG) will begin with an emphasis on meeting requirements included in SB 375. This effort will focus largely on a future network of transit services that could support proposed land-use plans by local agencies. In addition, local agencies may consider land-use changes that could further enhance a future network of transit services. Concurrently, OCTA will begin drafting the early LRTP chapters describing growth trends, goals and objectives, and measures of effectiveness. Preliminary project and program lists by alternative will also be prepared during this period. Staff will present this material to the Board for review by late March 2010.

Spring 2010: In mid-2010, the outreach activities to local agencies, OCCOG, and the CAC will continue, and the project and program lists will be compiled into the three alternatives described above. Travel demand modeling will begin using the projects lists by alternative and the latest demographic forecasts prepared by California State University, Fullerton's Center for Demographic Research. Preliminary outputs and measures of effectiveness will be provided for Board review during this timeframe.

Summer/Fall 2010: By fall 2010 and with Board approval, the draft LRTP will be released to the public for review and comments. The applicable SB 375 elements, such as the supporting land-use plan, will be submitted to OCCOG for review and approval. Outreach activities will include public workshops to explain the plan and proposed strategies. Comments received by the public and local agencies will be considered in preparation of the final plan.

Fall 2010/Winter 2011: Depending on the nature and extent of public comments received, the final LRTP will be brought to the Board for review and approval by late 2010.

The draft and final plans will be submitted to SCAG for inclusion in the upcoming RTP. It is OCTA's intent to meet the requirements included in SB 375 as part of this process.

Summary

Staff has initiated the 2010 update of the LRTP, which is anticipated to take about 12 months to complete. The 2010 LRTP will guide future investments in the transportation system using goals and strategies that are based on growth forecasts, travel demand models, revenue forecasts, and policy direction. Reducing greenhouse gases through a variety of strategies will drive much of the policy discussion for the 2010 LRTP.

Attachment

None.

Prepared by:



Greg Nord
Transportation Analyst
(714) 560-5885

Approved by:



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



BOARD COMMITTEE TRANSMITTAL

December 14, 2009

To: Members of the Board of Directors
From: ^{WK} Wendy Knowles, Clerk of the Board
Subject: 2010 Regional Transportation Improvement Program and Financial Plan

Highways Committee Meeting of December 7, 2009

Present: Directors Amante, Cavecche, Glaab, Green, Norby, and Pringle
Absent: Directors Dixon and Mansoor

Committee Vote

This item was passed by all Committee Members present.

Committee Recommendations

- A. Approve the Orange County Regional Transportation Improvement Program financial plan for fiscal years 2010-11 through 2015-16.
- B. Direct staff to submit the Orange County Regional Transportation Improvement Program for fiscal years 2010-11 through 2015-16 to the Southern California Association of Governments.
- C. Authorize staff to process all necessary amendments to the Regional Transportation Improvement Program and execute all necessary agreements to facilitate programming of projects.
- D. Adopt Resolution 2009-68 of the Board of Directors of the Orange County Transportation Authority, fiscal years 2010-11 through 2015-16, Regional Transportation Improvement Program.



December 7, 2009

To: Highways Committee

From: Will Kempton, Chief Executive Officer

Subject: 2010 Regional Transportation Improvement Program and Financial Plan

Overview

The Orange County Transportation Authority is responsible for the biennial preparation of the Regional Transportation Improvement Program for Orange County. This document is required under state and federal laws and includes the financial information for regionally significant transportation improvement projects in Orange County valued at \$4.3 billion. A summary of the Regional Transportation Improvement Program, the required financial plan, and resolution are submitted for Board of Directors' approval.

Recommendations

- A. Approve the Orange County Regional Transportation Improvement Program financial plan for fiscal years 2010-11 through 2015-16.
- B. Direct staff to submit the Orange County Regional Transportation Improvement Program for fiscal years 2010-11 through 2015-16 to the Southern California Association of Governments.
- C. Authorize staff to process all necessary amendments to the Regional Transportation Improvement Program and execute all necessary agreements to facilitate programming of projects.
- D. Adopt Resolution 2009-68 of the Board of Directors of the Orange County Transportation Authority, fiscal years 2010-11 through 2015-16, Regional Transportation Improvement Program.

Background

The Regional Transportation Improvement Program (RTIP) is the programming document that implements the Long-Range Regional Transportation Plan.

The RTIP is comprised of projects of regional significance and are currently funded with state or federal funding, as well as projects that are anticipated to receive state or federal funding in the future. Regionally significant projects are those that would have significant impacts on regional travel, emissions, and air quality.

The Orange County Transportation Authority (OCTA) Board of Directors (Board) approved the 2008 RTIP on January 8, 2008. Federal and state laws require that the RTIP is updated at least every two years and is financially constrained to reasonably anticipated revenues. Federal law also requires that the RTIP include a financial plan that demonstrates how the proposed improvements will be funded and implemented. The financial plan must include a list of all public and private funding sources reasonably expected during the life of the program. OCTA's RTIP includes the following funding sources:

- **Local:** Measure M (M1) and Renewed Measure M (M2), city general funds, developer fees, toll revenues, property tax, and transportation corridor agencies funds.
- **State:** State Transportation Improvement Program, State Highway Operation and Protection Plan, Proposition 116, Proposition 1B Programs, Transportation Congestion Relief Program, and Transportation Development Act.
- **Federal:** Regional Surface Transportation Program, Congestion Mitigation and Air Quality, Transportation Enhancement, federal formula, federal projects with earmarks, Recreational Trails Program, Highway Bridge Program, and American Recovery and Reinvestment Act funds.

The RTIP programs funds for the next six years of planned projects. The 2010 RTIP will cover fiscal years (FYs) 2010-11 through 2015-16. The RTIP is used to track and verify federal transportation and air quality regulations as outlined in the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users and the federal Clean Air Act.

It is important to make the RTIP as comprehensive as possible to ensure that air quality conformity requirements are addressed and projects remain eligible for state and federal funding. A project that is not in the RTIP cannot be analyzed for regional air quality impacts or benefits and cannot proceed past environmental review to implementation. Additionally, projects are not eligible for federal or state funds unless they have been included in the RTIP.

Discussion

On September 18, 2009, OCTA began the development of the 2010 RTIP and invited the California Department of Transportation (Caltrans), local agencies, and internal departments to submit regionally significant projects. The RTIP includes projects approved as part of the Comprehensive Business Plan, the Regional Transportation Plan, the M2 Early Action Plan, M1 streets and roads grants, local agency capital improvement plans, and Caltrans technical programming adjustments. The RTIP is also regularly updated to make necessary adjustments to projects as approved by the Board. A list of RTIP fund sources is summarized in Attachment A.

The 2010 RTIP contains a total \$4.3 billion in reasonably anticipated federal, state, and local funding sources for 268 projects throughout Orange County which are scheduled to begin between FYs 2010-11 and 2015-16. OCTA is required to certify that the projects programmed in the first four years of the RTIP (FYs 2010-11 through 2013-14) are of "high priority" and will be implemented in accordance with each respective schedule. Federal Transportation Improvement Program (FTIP) guidelines, which dictate RTIP development, further require that the projects programmed in the first four years of the plan must be fully funded. All projects included in the first four years of the RTIP for which OCTA is the lead have been previously approved by the Board and are fully funded. Additionally, all local agencies with projects programmed in the first four years of the RTIP have provided written confirmation that the projects are fully funded and are in accordance with RTIP guidelines.

With Board approval, a final funding plan will be sent to Southern California Association of Governments (SCAG) for review. A resolution certifying this financial plan is required by SCAG (Attachment B) and will be submitted with the funding plan. Once SCAG has completed its review in February, SCAG will model the program and determine timely implementation requirements. SCAG is expected to present the RTIP to the public, regional transportation commissions, transportation committees, and regional council for review and comment. Following the public comment period, SCAG will approve the 2010 RTIP, which will be forwarded to Caltrans and the Federal Highway Administration (FHWA) for final review and approval in June 2010 for inclusion in statewide programming documents. The 2010 RTIP is anticipated to be fully approved by the FHWA in November 2010. A complete list of RTIP projects is included in Attachment C.

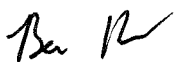
Summary

OCTA developed the 2010 RTIP and associated financial plan including 268 projects in the amount of \$4.3 billion. Staff has worked with local agencies and consulted Board-approved plans to develop the 2010 RTIP. With Board approval, the final 2010 RTIP and associated funding plan will be sent to SCAG.

Attachments

- A. Regional Transportation Improvement Program and Financial Plan Summary - Fiscal Years 2010-11 through 2015-16¹
- B. Resolution 2009-68 of the Board of Directors of the Orange County Transportation Authority - Fiscal Years 2010-11 through 2015-2016 - Regional Transportation Improvement Program
- C. 2010 Regional Transportation Improvement Program Project List

Prepared by:



Ben Ku
Senior Transportation Funding Analyst
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Approved by:



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

**Regional Transportation Improvement Program and Financial Plan Summary
Fiscal Years 2010-11 through 2015-16¹**

PROGRAMMED REVENUE	
(dollars in \$1,000s)	
Significant funding sources listed	
Local	\$2,038,212
Measure M - Freeway, Transit, and Streets and Roads	\$281,405
Renewed Measure M - Regional Capacity Program, Transit, Freeway	\$252,765
City General Funds	\$91,962
Developer Fees	\$209,350
Other - Local (Air Board, Agency, Fare Revenue, General Funds, Private Funds, etc.)	\$1,202,730
State	\$1,670,582
State Transportation Improvement Program	\$226,583
State Highway operation and Protection Plan	\$191,912
Proposition 1B ²	\$315,173
Transportation Development Act	\$936,802
Local Bridge Seismic Retrofit	\$112
Federal	\$622,406
Regional Surface Transportation Program	\$47,520
Congestion Mitigation and Air Quality	\$147,196
American Recovery and Reinvestment Act of 2009	\$5,382
Transportation Enhancement	\$2,802
Federal Formula	\$369,917
Demonstration Projects (funded through the Federal Transportation Acts)	\$34,100
Other - Federal (1112 Recreational Trails, Highway Bridge Repair & Rehabilitation, Economic Development Administration Grant)	\$15,489
Total Revenue	\$4,331,200

¹ Revenue is only amount programmed for projects in the Regional Transportation Improvement Program. Does not reflect all revenue.

² Corridor Mobility Improvement Account, Trade Corridor Improvement Fund, Public Transportation Modernization, Improvement, and Service Enhancement Account, Traffic Light Synchronization Program.

**RESOLUTION 2009-68 OF THE BOARD OF DIRECTORS
OF THE ORANGE COUNTY TRANSPORTATION AUTHORITY**

**FISCAL YEARS 2010-11 THROUGH 2015-16
REGIONAL TRANSPORTATION IMPROVEMENT PROGRAM**

THIS RESOLUTION CERTIFIES THAT THE ORANGE COUNTY TRANSPORTATION AUTHORITY AND OTHER RESPONSIBLE AGENCIES HAVE THE RESOURCES TO FUND THE PROJECTS IN FISCAL YEARS 2010-11 THROUGH 2015-16 TRANSPORTATION IMPROVEMENT PROGRAM AND AFFIRM THE COMMITMENT TO IMPLEMENT ALL PROJECTS IN THE PROGRAM.

WHEREAS, Orange County is located within the metropolitan planning boundaries of the Southern California Association of Governments (hereinafter referred to as "SCAG"); and

WHEREAS, the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) requires SCAG to adopt a Regional Transportation Improvement Program (RTIP) for the metropolitan planning area; and

WHEREAS, the SAFETEA-LU also requires that the RTIP include a financial plan that demonstrates how the transportation improvement program can be implemented; and

WHEREAS, the Orange County Transportation Authority (hereinafter referred to as the "Authority") is the agency responsible for short-range capital and service planning and programming for the Orange County area within SCAG; and

WHEREAS, as the responsible agency for short-range transportation planning, the Authority is responsible for the development of the Orange County RTIP, including all projects utilizing federal and state highway and transit funds; and

WHEREAS, the Authority must determine on an annual basis, the total amount of funds that could be available for transportation projects within its boundaries; and

WHEREAS, the Authority has adopted the fiscal years 2010-11 through 2015-16 Orange County RTIP with funding for fiscal years 2010-11 and 2011-12, available and committed, and reasonably committed for fiscal years 2012-13 through 2015-16; and

NOW, THEREFORE, BE IT RESOLVED by the Authority that it affirms its continuing commitment to the projects in the fiscal years 2010-11 through 2015-16 Orange County RTIP; and

BE IT FURTHER RESOLVED that the fiscal years 2010-11 through 2015-16 Orange County RTIP financial plan identifies the resources that are available and committed in the first two years and reasonably available to carry out the program in the last four years, and certifies that:

1. All the RTIP projects in the fiscal years 2010-11 through 2015-16 are consistent with the 2010 State Transportation Improvement Program, scheduled to be approved by the California Transportation Commission in May 2010; and
2. Orange County has the funding capacity in its County Surface Transportation Program and Congestion Mitigation and Air Quality Program allocation to fund all identified projects in the fiscal years 2010-11 through 2015-16; and
3. The local match for projects funded with the federal Surface Transportation Program and Congestion Mitigation and Air Quality Program have been identified in the RTIP; and
4. All of the Federal Transit Administration funded projects are programmed within SAFETEA-LU guaranteed funding levels; and
5. Throughout the life of the 2010 RTIP, Authority staff is authorized to amend the RTIP based on current funding levels and funding priorities established by the Authority's Board of Directors.

ADOPTED, SIGNED, AND APPROVED this day of December 14, 2009.

AYES:

NOES:

ABSENT:

ATTEST:

Wendy Knowles
Clerk of the Board

Peter Buffa, Chairman
Orange County Transportation Authority

2010 REGIONAL TRANSPORTATION
IMPROVEMENT PROGRAM
PROJECT LIST

IS AVAILABLE ON THE OCTA WEBSITE (www.OCTA.net)

AND AVAILABLE UPON REQUEST

FROM THE CLERK OF THE BOARD'S OFFICE



BOARD COMMITTEE TRANSMITTAL

December 14, 2009

To: Members of the Board of Directors
From: Wendy Knowles, Clerk of the Board
Subject: Special Needs in Transit Advisory Committee Appointments and Report of Activities for 2009

Legislative and Communications Committee Meeting of December 3, 2009

Present: Directors Bates, Buffa, Dalton and Glaab
Absent: Directors Brown, Cavecche, and Mansoor

Committee Vote

This item was passed by all Committee Members present.

Committee Recommendations

- A. Approve the appointment of members to serve on the Special Needs in Transit Advisory Committee.
- B. Receive and file the Special Needs in Transit Advisory Committee's Report of Activities for 2009.



December 3, 2009

To: Legislative and Communication Committee

From: Will Kempton, Chief Executive Officer

A handwritten signature in black ink, appearing to read "Will Kempton", is written over the printed name in the "From:" field. A horizontal line extends to the right from the end of the signature.

Subject: Special Needs in Transit Advisory Committee Appointments and Report of Activities for 2009

Overview

On December 31, 2009, the terms of eight Special Needs in Transit Advisory Committee members will expire. Additionally, three members have resigned before the expiration of their terms because of scheduling conflicts and employment changes. This creates a total of eleven openings on the committee. This report recommends candidates for appointment and highlights the Special Needs in Transit Advisory Committee's activities for the year 2009.

Recommendations

- A. Approve the appointment of members to serve on the Special Needs in Transit Advisory Committee.
- B. Receive and file the Special Needs in Transit Advisory Committee's Report of Activities for 2009.

Background

The Special Needs in Transit Advisory Committee (Special Needs Committee) was originally formed in 1992 in response to the Americans with Disabilities Act (ADA) and formalized the predecessor "504 Committee." The Special Needs Committee's mission is to advise the Orange County Transportation Authority (OCTA) on the promotion of more integrated public transit services and improve two-way communication between OCTA and its customers who have special transportation needs. Members also provide support for ACCESS service eligibility appeals.

On March 10, 2005, the OCTA Board of Directors (Board) approved the restructured Special Needs Committee increasing committee membership from 28 to 34 appointees. This action was taken after the passage of

Assembly Bill 710 (Chapter 469, Statutes of 2004) in 2004 that expanded the Board from 12 to 18 members (one non-voting). The Board also directed staff to initiate recruitment of participants. The new members were appointed to one, two, or three-year terms, with the opportunity to be appointed to additional three-year terms during future recruitments. On September 27, 2005, the restructured committee held its first meeting, and the committee has continued to meet monthly or bimonthly as necessary since that date.

Discussion

Appointment of Special Needs Committee Members

On December 31, 2009, the terms of eight members will expire and three mid-term vacancies will need to be filled. To commence the current appointment process, those committee members whose terms are expiring were asked if they wanted their names submitted for reappointment. All eight members have agreed to continue to serve if reappointed.

All candidates meet the following criteria:

- Demonstrate interest and involvement with persons with disabilities, senior citizens, and others with special needs
- Represent large, active constituencies with whom regular interface regarding transportation matters is conducted
- Commit to dedicate no fewer than 25 hours a year to OCTA meetings and activities

The 34-member committee reflects a broad representation of constituents throughout the County. Attachment A is a list of current members and the proposed appointees, affiliations, tenure of service, and the appointing Board Member. The recommended appointees are designated with an asterisk. Additionally, Board Members whose appointees are unable to complete their terms have appointed replacement members to serve through the expiration of the term.

2009 Activities

Throughout the year, the Special Needs Committee has played an instrumental role in addressing a variety of transportation issues affecting senior citizens and individuals with disabilities. The following are some of the highlights from the past year.

Contracted Transportation Service (ACCESS and Contracted Fixed Route)

The Special Needs Committee worked actively and cooperatively with OCTA's Community Transportation Services (CTS) Department and Veolia Transportation, Inc. (Veolia) to identify and address ongoing service issues on behalf of its constituencies including the Regional Center of Orange County, the Braille Institute, numerous adult day health service organizations, and Goodwill Industries of Orange County.

Public Transit/Human Services Transportation Coordination Plan for Orange County

The Federal Transit Administration has established funding opportunities to address the special transportation needs of seniors, persons with disabilities, and persons of low income. To access this funding, communities must engage in a coordinated planning process with local human services agencies and stakeholder organizations to develop strategies which address the transportation needs of these vulnerable populations. OCTA retained the consulting services of A Menninger-Mayeda Alternative (AMMA) to assist in the development of the coordination plan.

The planning process involved a variety of activities including a comprehensive public outreach effort. As part of this effort, consultants and CTS staff attended three meetings of the Special Needs Committee where committee members provided feedback on elements of the public outreach process including a stakeholders' survey, agency interviews, consumer focus groups, public workshops, and project development workshops.

Fixed-Route Bus Service Change Strategies

The Special Needs Committee participated in the development of the bus service reduction strategies by providing input to OCTA service planning and customer advocacy staff. This year, the Special Needs Committee gave feedback on changes proposed for March 2009, September 2009, and March 2010. Additionally, members provided input at the May 22 and October 28, 2009, public hearings.

To prepare for the October hearing, on October 6, 2009, a discussion was held with this committee and members were asked to rank a number of service reduction strategies. A ranking scale was provided; the scale was from one to nine with one being the most favored approach and nine being the least favored approach (Attachment B). The committee was most in favor of ensuring geographic coverage so that ACCESS service would be preserved.

Collectively, the group ranked the approaches to reducing service in the following order:

1. Ensure geographic coverage (most favored)
2. Implement short turns
3. Reduce off-peak service but maintain span
4. Shorten routes
5. Reduce span, hours of operation
6. Preserve as much service as possible on routes that carry the most people
7. Eliminate least productive routes
8. Reduce peak hours
9. Eliminate routes (least favored)

Committee members also felt it was important to select strategies that maintain the bus service network to ensure there are transit choices for all and to minimize the impact on ACCESS service. The Special Needs Committee provided formal comments to the Board as part of the public hearing on October 26, 2009 (Attachment C).

ACCESS No-Show Appeals Board

ACCESS passengers who demonstrate a pattern or practice of failing to cancel unwanted scheduled rides are subject to a 30-day suspension of service. Policies and procedures are in place that allow passengers to explain when a missed ride is beyond his/her control and to remove the "No-Show" from their file. Passengers are entitled to a No-Show Appeals Hearing before a suspension of service is implemented. Throughout the year, members of the Special Needs Committee served on the No-Show Appeals Board at the monthly appeals hearings.

Orange County Office of Aging

The executive director of the Orange County Office on Aging (OoA), who serves on the Special Needs Committee, provided regular updates on OoA transportation activities. Committee members provided feedback and made recommendations about the OoA Senior Non-emergency Medical Transportation Program and the coordination of that service with ACCESS service.

Exceptional Service Awards

Selection and presentation of exceptional service awards to ACCESS drivers continues to be an important and well-appreciated function of the Special Needs Committee. This year the Special Needs Committee presented awards to nine drivers and one field supervisor for outstanding service to special needs customers.

Next Steps

Following approval of appointments by the Board, all members will be notified. New members will attend an orientation briefing at the first committee meeting in January 2010. Staff will return to the Board next year with a report on the Special Needs Committee's activities and the appointment of members whose three-year terms have expired.

Summary

The Special Needs in Transit Advisory Committee has served in an advocacy role on transit issues that have arisen throughout the year. Eight members whose appointment terms are ending wish to continue to serve and three members have been appointed to complete terms of members unable to serve through the expiration of their terms. Appointing Board Members have submitted the name of an individual for approval.

- *Elizabeth Lee – Alzheimer's Family Services Center
- Pethuru Lourthu – West View Services, Inc. Anaheim
- Kathryn McCullough – OC Office on Aging Senior Advisory Committee
- Jane Neglia – Dayle McIntosh Center
- Ellen Schenk – Department of Rehabilitation
- William Turner – Demiurgic Living Solutions
- Mallory Vega – Acacia Adult Day Services
- Denise Welch – South County Senior Services
- *Janis White – Regional Center of Orange County
- Gary Wisser – Vocational Visions
- *Minaya Wright – Integrity House, Santa Ana

*Recommended Mid-Term Appointments

Attachments

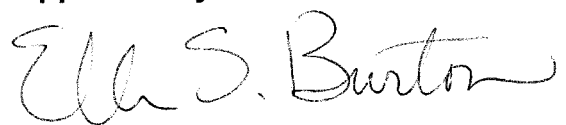
- A. 2010 Special Needs in Transit Advisory Committee Members
- B. Special Needs in Transit Advisory Committee Ranking March 2010
Bus Service Change Program Reduction Approaches
- C. Formal Comments to the OCTA Board of Directors

Prepared by:



Gaile Raymer
Customer Relations, Associate Specialist
(714) 560-5339

Approved by:



Ellen S. Burton
Executive Director, External Affairs
(714) 560-5923

**2010 Special Needs in Transit Advisory
Committee Members**

Board Members	Candidates Selected	Affiliation	Term Expires
Jerry Amante	Tabitha Evans (M. Duvall appointee)	Multiple Sclerosis Society, Orange County	2010
	Patty Estrella	City of Tustin	2010
Patricia Bates	*Jane Neglia	Dayle McIntosh Center	2012
	*Denise Welch	South County Senior Services	2012
Art Brown	Dick Waltz	Fullerton Senior Citizens Club	2011
	Randy Platt	Community Senior Serv, Inc.	2010
Peter Buffa	Denise Larsen	North Orange County Community College District	2011
	Judy Murray	Fairview Developmental Center	2011
Bill Campbell	Sylvia S. Mann	Orange County Office on Aging	2011
	*Ellen Schenk	Goodwill Industries of Orange County	2012
Carolyn V. Cavecche	Sue Lau	Polio Survivors Plus; AARP	2011
	Jay Farrell	City of Orange	2010
Richard Dixon	*Gary Wisser	Vocational Visions	2012
	Roberta Menn	Saddleback Valley Unified School District	2010
Paul G. Glaab	*Kathryn McCullough	Orange County Office on Aging Senior Advisory Committee	2012
	Penny Hinds	Oasis Senior Center	2010
Cathy Green	Bob Tiezzi	Orange County ARC	2011
	*Pethuru Lourthu	Westview Services, Inc. Anaheim	2012
Allan Mansoor	Henry Michaels	California Elwyn Rehabilitation Department	2011
	Madeline Rae Jensen	Senior Citizen's Advisory Council	2011

**2010 Special Needs in Transit Advisory
Committee Members**

Board Members	Candidates Selected	Affiliation	Term Expires
John Moorlach	*William Turner	Demiurgic Living Solutions	2012
	**Janis White	Regional Center of Orange County	2010
Janet Nguyen	Francine Harris <small>(L. Correa appointee)</small>	Santa Ana Senior Center	2010
	Charles Mitchell	American Legion Post 555	2010
Chris Norby	Alice Grant, R.N.	Community Organizations of Anaheim	2011
	Paul Miller, Ph.D.	Disabled Student Services, California State University, Fullerton	2010
Curt Pringle	Diana Burkhardt	Braille Institute	2010
	Susan Ray	Council Services Coordinator – City of Anaheim	2010
Miguel Pulido	Ronald E. Salda	Regional Center of Orange County Provider Review	2011
	**Minaya Wright	Integrity House	2012
Bill Dalton	*Mallory Vega <small>(Mark Rosen appointee)</small>	Acacia Adult day Services	2012
	Noel Burcelis <small>(Mark Rosen appointee)</small>	Helping Hands for Better Living, Inc.	2010
Gregory T. Winterbottom	**Elizabeth Lee	Alzheimer's Family Service Center	2011
	Carol H. Kawanami	Braille Institute	2010

* Recommended reappointments

** Recommended mid-term appointments

**Special Needs in Transit Advisory Committee –
Ranking March 2010 Bus Service Change Program
Reduction Approaches**

<p><i>Please use a ranking scale of 1 to 9 to prioritize the following 9 service reduction techniques – with 1 being your most favored choice and 9 being your least favored choice.</i></p>	<p><i>Rank from 1 to 9</i></p>
<p>a. Preserve as much service as possible on the routes that carry the most passengers. <i>(serves the most people; reduces geographic coverage; likely to have the highest impact on ACCESS)</i></p>	
<p>b. Ensure there is some level of countywide geographic coverage/equity for bus service. <i>(maintains existing route network, lower impact on ACCESS; higher impact on the core fixed route service, likely to cause overloads and pass bys in high usage areas)</i></p>	
<p>c. Shorten some routes completely. <i>(truncate links that are low ridership)</i></p>	
<p>d. Implement short-turns. <i>(Do not travel the entire length of a route all the time – have buses short turn during non-busy times)</i></p>	
<p>e. Reduce service during peak ridership periods (weekday rush hours). <i>(likely to cause overloads and pass bys)</i></p>	
<p>f. Reduce service during off-peak periods including early morning, midday, late night and weekends, but maintain span or hours of operation.</p>	
<p>g. Eliminate least productive routes.</p>	
<p>h. Reduce the span of service or hours of operation. <i>(typically early and late trips have low ridership; however, transit advocates feel it's important for riders to have an early morning and/or late-night choice)</i></p>	
<p>i. Eliminate certain service <u>altogether</u> such as weekend service where ridership is lower than peak periods.</p>	

Do you have any other suggestions for strategies that would help OCTA reach the necessary budget cuts?



AFFILIATED AGENCIES

*Orange County
Transit District*

*Local Transportation
Authority*

*Service Authority for
Freeway Emergencies*

*Consolidated Transportation
Service Agency*

*Congestion Management
Agency*

*Service Authority for
Abandoned Vehicles*

October 21, 2009

The Honorable Peter Buffa, Chairman
Orange County Transportation Authority
550 S. Main Street
Orange, CA 92863

Dear Chairman Buffa:

On behalf of the Orange County Transportation Authority (OCTA) Special Needs In Transit Advisory Committee (SNAC), we are requesting that you consider the following input when making a decision on the upcoming March 2010 Bus Service Reductions.

The Special Needs Committee met twice, in August and October, to discuss the strategies for the March 2010 Bus Service Reduction Program. Collectively, the committee members' ranking preferences (Attachment A), based on the list of approaches to reduce service presented to the committee on October 6 by OCTA staff, are in order as follows:

1. Ensure there is some level of countywide geographic coverage/equity for bus service that would have the least impact on ACCESS service (most favored)
2. Implement short-turns on lowest ridership trips.
3. Reduce service during off-peak periods including early morning, midday, late night and weekends, but maintain span or hours of operation.
4. Shorten routes
5. Reduce span, hours of operation
6. Preserve as much service as possible on routes that carry the most people
7. Eliminating the least productive routes
8. Reducing service during peak ridership periods (weekday rush hours)
9. Eliminating certain service altogether such as weekend service where ridership is lower than peak hours (least favored)

These approaches were selected keeping in mind the quality of life of ACCESS customers that have limited options due to their disabilities and live on fixed incomes reducing their ability to pay increased fares. The importance of getting to their jobs, attending doctor appointments, dialysis appointments, and maintaining their independence were amongst the biggest concerns for the committee.

Chairman Buffa
October 21, 2009
Page 2

It is also our understanding that the State Supreme Court has denied the State's petition to review the Third District Court of Appeals decision regarding the diversion of transit funding to other budget purposes. The Special Needs in Transit Advisory Committee encourages the OCTA Board of Directors to do everything it can to advocate for the return of transit funds to Orange County to help mitigate or avoid future service reductions.

Sincerely,



Mallory Vega
SNAC Chair



Randy Platt
SNAC Vice Chair

c: OCTA Board of Directors
Will Kempton, OCTA Chief Executive Officer
OCTA Executive Staff



December 7, 2009

To: Executive Committee
From: Will Kempton, Chief Executive Officer
Subject: Agreements for Freeway Service Patrol Services

Overview

On August 24, 2009, staff was directed to terminate for convenience Agreement Nos. C-8-1336, C-9-0349, and C-9-0350 and to reissue a request for proposals for the Freeway Service Patrol services covered under these agreements. Offers were received in accordance with the Orange County Transportation Authority's procurement procedures for professional and technical services.

Recommendations

- A. Authorize the Chief Executive Officer to execute Agreement No. C-9-0719 between the Orange County Transportation Authority and Greater Southern California Towing, Inc., in an amount not to exceed \$1,414,500, to provide Freeway Service Patrol services from January 1, 2010 through November 30, 2013.
- B. Authorize the Chief Executive Officer to execute Agreement No. C-9-0840 between the Orange County Transportation Authority and Top Towing, in an amount not to exceed \$1,157,184, to provide Freeway Service Patrol services from January 1, 2010 through November 30, 2013.
- C. Authorize the Chief Executive Officer to execute Agreement No. C-9-0841 between the Orange County Transportation Authority and A & B Towing, in an amount not to exceed \$2,394,005, to provide Freeway Service Patrol services from January 1, 2010 through November 30, 2013.
- D. Authorize the Chief Executive Officer to execute Agreement No. C-9-0842 between the Orange County Transportation Authority and California Coach Orange, Inc., in an amount not to exceed \$2,936,520,

to provide Freeway Service Patrol services from January 1, 2010 through November 30, 2013.

Discussion

The Orange County Freeway Service Patrol (FSP) is a traffic congestion management program designed for the rapid removal of disabled motorists' vehicles from traffic lanes and shoulders, as well as timely response to accidents and other incidents that require removal of debris on the freeways. The FSP began providing peak-hour service (6:00 a.m. to 10:00 a.m. and 3:00 p.m. to 7:00 p.m.) along Orange County freeways in November 1992.

The FSP service on Orange County's freeway system is divided into 12 areas, which are called beats. Beats are further divided into segments. There are from two to four segments per beat for a total of 34 segments covered during the peak service hours. Mid-day service (10:30 a.m. to 2:30 p.m.) was added to cover the congested areas at five major interchanges. Due to heavy congestion on the San Diego Freeway (Interstate 5) in south Orange County, weekend service (Saturday and Sunday from 9:00 a.m. to 5:30 p.m.) was implemented in January 2007. FSP service is also provided during non-peak hours (10:00 a.m. to 3:00 p.m. and 7:00 p.m. to 10:00 p.m.) in certain construction zone areas. Service areas and hours of operations are detailed in Attachment A.

The FSP is a partnership between the California Department of Transportation (Caltrans), the California Highway Patrol (CHP), and the Orange County Transportation Authority (OCTA). Private tow truck companies operate the service under contract to OCTA. Each tow truck driver patrols his assigned freeway segment during service hours, stopping to assist motorists. The driver offers assistance, such as changing a flat tire, offering a free gallon of gas, or taping a coolant hose. Any such assistance is to be completed within ten minutes. If it cannot be completed within that time, the tow truck driver tows the vehicle off the freeway to a drop zone. All FSP service is provided without charge to the motorist. The FSP is funded through a combination of state and local funds consisting of funding from the State Highway Account through Caltrans and from the \$1 fee on registered vehicles that supports the call box program and other motorist aid services.

The contracts for the 12 beats are staggered such that only half of the beats are awarded at one time. The OCTA Board of Directors (Board) awarded three agreements for FSP service on Beats 1, 2, 3, 4, 5, and 10 on April 27, 2009. On August 24, 2009, the OCTA Board instructed staff to terminate the

agreements for convenience and reissue a request for proposals (RFP) for these beats.

Procurement Approach

This procurement was handled in accordance with OCTA's procedures for professional and technical services. The RFP was issued on September 8, 2009, and was electronically sent to 65 firms registered on CAMM NET, 36 of which are Orange County firms. The project was advertised in a newspaper of general circulation on September 8, 2009 and September 15, 2009. A pre-proposal conference was held on September 21, 2009, and was attended by eleven firms.

Three addenda were issued to the RFP. Addendum No. 1 was issued to revise beat information in Attachment A to the Scope of Work. Addendum No. 2 was issued to include the pre-proposal sign-in sheet. Addendum No. 3 was issued to respond to questions submitted to OCTA.

On October 8, 2009, ten proposals were received. Firms were directed to submit their cost and price information separately in a sealed envelope. Firms were allowed to propose for any and all beats. An evaluation committee comprised of OCTA staff from Contracts Administration and Materials Management (CAMM), Motorist Services, and Maintenance, as well as an external representative from the Riverside County Transportation Commission (RCTC), and an external representative from CHP was established to review all proposals received. The proposals were evaluated based on the following Board-approved criteria:

- Qualifications of the Firm 30 percent
- Staffing and Project Management 30 percent
- Work Plan 20 percent
- Cost and Price 20 percent

The weighting deviated from the 25 percent norm for each criterion. The greatest level of importance was assigned to the qualifications of the firm and staffing and project management as the FSP contractors must meet very stringent state and local guidelines in order to operate as an FSP provider.

The evaluation committee first evaluated the written proposals based on technical merit reviewing (1) qualifications of the firms; (2) staffing and project organization; and (3) work plan. Based on the totals of each committee member's score of the technical evaluation criteria for each proposal, a short-list of firms was developed and these firms were invited for an interview.

The sealed envelopes containing the short-listed firms' proposed pricing were then opened by CAMM and their vehicle service hour (VSH) rates were scored based on the reasonableness and competitiveness of all short-listed firms. The evaluation committee conducted interviews with the following seven short-listed firms listed in alphabetical order:

Firm and Location

A & B Towing
Costa Mesa, California

Bob's Towing
Rowland Heights, California

California Coach Orange, Inc.
Orange, California

Greater Southern California Towing, Inc.
Santa Ana, California

Hadley Tow
Orange, California

Tip Top Tow Service
Santa Monica, California

Top Towing
Santa Ana, California

The interviews consisted of a site visit to each firm's facility, followed by questions and answers. After the interviews, the evaluation committee met to complete the evaluation. The short-listed firms were evaluated based on technical merit, their proposed VSH rates, and the interviews. As stated in the FSP specifications included in the RFP, a firm with no FSP experience shall be considered new and can only be eligible for one beat award. Therefore, Top Towing was only eligible for one beat because they are new to the FSP program. Since Top Towing was the highest ranked firm for Beats 2 and 5, it is recommended that Beat 2 be awarded to Top Towing and Beat 5 be awarded to the second ranked firm, California Coach Orange, Inc.

In reference to Beat 1, there was a three-way tie including California Coach Orange, Inc., Greater Southern California Towing, Inc., and Top Towing. Since California Coach Orange, Inc. proposed a higher VSH rate and Top

Towing was not eligible for any more beats, it is recommended that Beat 1 is awarded to Greater Southern California Towing, Inc.

Based upon the proposal evaluation, the interviews, and the limitation on the number of beats awarded, it is recommended that the following contracts be awarded:

Agreement No. C-9-0719, Greater Southern California Towing, Inc., Beat 1 – the Riverside Freeway (State Route 91) from Tustin Avenue to the Riverside County Line – one tow truck, one back-up tow truck, and two service trucks, in the amount not to exceed \$1,414,500, for the period of January 1, 2010 to November 30, 2013.

Agreement No. C-9-0840, Top Towing, Beat 2 – Santa Ana Freeway (Interstate 5) from Harbor Boulevard to Newport/Redhill Avenue - two service trucks and one back-up tow truck, and for the I-5 Gateway project from Magnolia Avenue to the Los Angeles County Line, one back-up tow truck may be used, in the amount not to exceed \$1,157,184, for the period of January 1, 2010 to November 30, 2013.

Agreement No. C-9-0841, A & B Towing, Beat 3 – San Diego Freeway (Interstate 405) from the Los Angeles County Line to Slater Avenue/Brookhurst Street - one tow truck, one back-up tow truck, and two service trucks; and

Beat 10 – the Costa Mesa Freeway (State Route 55) from Lincoln Avenue to McFadden/Warner Avenue – one tow truck, one back-up tow truck, and one service truck, in the amount not to exceed \$2,394,005, for the period of January 1, 2010 to November 30, 2013.

Agreement No. C-9-0842, California Coach Orange, Inc., Beat 4 – the Orange Freeway (State Route 57) from the Los Angeles County Line to Chapman Avenue, Orange (I-5 / SR-22 / SR-57) - two tow trucks, one back-up tow truck, and one service truck; and

Beat 5 – the Santa Ana Freeway (Interstate 5) from Redhill Avenue to Lake Forest Drive – one tow truck, one back-up tow truck, and one service truck and on Saturday and Sunday, the Santa Ana Freeway (Interstate 5) from Alicia Parkway to Christianitos Road, in the amount not to exceed \$2,936,520, for the period of January 1, 2010 to November 30, 2013.

Three of the seven short-listed firms are not recommended for award. Although Bob's Towing and Tip Top Tow Service have current FSP experience

in Los Angeles County (L.A.), their work plans lacked detail with regards to operating a new facility in Orange County. Hadley Tow is experienced in both Orange and L.A. counties; however, the project manager designated an FSP driver to manage its daily operation which means that appropriate oversight may not be available for pull-out for each shift or to provide assistance to other drivers during the shift.

Following is a brief summary of the evaluation results.

Qualifications of the Firm

All four firms being recommended have extensive experience in the towing industry and either provide services for the CHP rotation tow program, local law enforcement rotation tow program, and/or an FSP program. The firms are well qualified to provide freeway service patrol services. Each firm's proposal and interview demonstrated knowledge and understanding of the service requirements.

Staffing and Project Management

Three of the four recommended firms currently have FSP certified tow operators who will be available to provide the required services. Although Top Towing is new to the FSP program, its staff has extensive experience providing towing services to other agencies such as CHP, Orange County Sheriff Department, Santa Ana School Police, and AAA. Each firm will provide a lead driver responsible for inspecting tow trucks, service vehicles, and drivers to ensure compliance with required supplies and uniforms.

Work Plan

The work plans proposed by the recommended firms provided an in-depth and thorough understanding of the requirements of the FSP program. The work plans detailed and communicated each firm's ability to meet or exceed all aspects of the service requirements for the assigned beat(s).

Cost and Price

The firms were asked to provide VSH rates based on various fuel price ranges. The proposed VSH rates were scored based on the range \$2.00 - \$3.50 per gallon because this reflects current market fuel prices. Pricing scores were based on a formula, which assigns the highest weight to the lowest price and weights the other proposal prices based on their relation to the lowest price.

The four recommended firms' proposed VSH rates were very competitive and were scored accordingly.

The total cost of the agreements is an amount not to exceed \$7,902,209, for a four-year term.

Based on the evaluation of the written proposals, the proposed VSH rates, the qualifications of each firm, the information obtained from interviews and site visits, it is recommended that A & B Towing, California Coach Orange, Inc., Greater Southern California Towing, Inc., and Top Towing be selected for contract award.

Fiscal Impact

The project was approved in the OCTA's Fiscal Year 2010 Budget, Motorist Services Department - Service Authority for Freeway Emergencies Fund, Account 0013-7629-S1002-AVX, and is funded through the State Highway Account with a 25 percent match provided by OCTA from the local Department of Motor Vehicles registration funding.

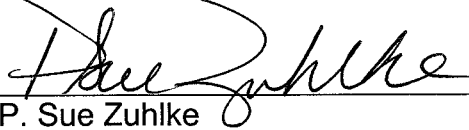
Summary

Based on the information provided, staff recommends award of Agreement No. C-9-0719 to Greater Southern California Towing, Inc. in the amount of \$1,414,500 for FSP services for Beat 1, award of Agreement No. C-9-0840 to Top Towing in the amount of \$1,157,184 for FSP services for Beat 2, award of Agreement No. C-9-0841 to A & B Towing in the amount of \$2,394,005 for FSP services for Beats 3 and 10, and award of Agreement No. C-9-0842 to California Coach Orange, Inc. in the amount of \$2,936,520 for FSP services for Beats 4 and 5.

Attachments

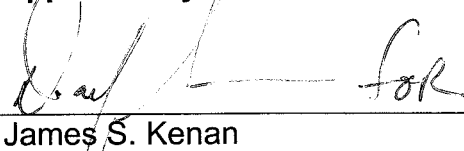
- A. Orange County Freeway Service Patrol Beats
- B. Freeway Service Patrol Review of Proposals RFP 9-0719
- C. Proposal Evaluation Criteria Matrix ("Short-Listed Firms")
- D. Contract History for the Past Two Years RFP 9-0719 "Freeway Service Patrol"

Prepared by:




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(714) 560-5574

Approved by:



James S. Kenan
Deputy Chief Executive Officer
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Virginia Abadessa
Director, Contracts Administration and
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ORANGE COUNTY FREEWAY SERVICE PATROL BEATS

OCTA/FSP Beat #	Segment (CHP Beat) #	Location	Hours of Operation
1	914	State Route 91 - Riverside Freeway Tustin Ave. - Imperial Hwy.	Peak Service 6:00 am to 10:00 am and 3:00 pm to 7:00 pm
	915	Imperial Hwy. - Gypsum Canyon Rd.	
	916	Gypsum Canyon Rd. - Riverside County Line	
2	503	Interstate 5 - Santa Ana Freeway Harbor Blvd. - 17th St.	Peak Service 6:00 am to 10:00 am and 3:00 pm to 7:00 pm
	504	17th St. - Red Hill Ave.	
	902	Magnolia Ave. to LA County Line (Construction Beat)	Construction Service 10:00 am to 3:00 pm and 7:00 pm to 10:00 pm
3	405	Interstate 405 - San Diego Freeway L.A. Co Line - Seal Beach Blvd.	Peak Service 6:00 am to 10:00 am and 3:00 pm to 7:00 pm
	406	Seal Beach Blvd. - Goldenwest St.	
	407	Goldenwest St. - Brookhurst St.	
4	570	State Route 57 - Orange Freeway LA County Line - Yorba Linda Blvd.	Peak Service 6:00 am to 10:00 am and 3:00 pm to 7:00 pm
	571	Yorba Linda Blvd. - Lincoln Ave.	
	572	Lincoln Ave. - I-5/SR-22	
5	505	Interstate 5 - Santa Ana Freeway Red Hill Ave. - Jeffrey Rd.	Peak Service 6:00 am to 10:00 am and 3:00 pm to 7:00 pm
	506	Jeffrey Rd. - El Toro Rd.	
	511	Alicia Pkwy. - Ortega Hwy.	Weekend Service 9:00 am to 5:30 pm
	512	Ortega Hwy. - Christianitos Rd.	
6	220	State Route 22 - Garden Grove Freeway Vally View St. - Brookhurst St.	Peak Service 6:00 am to 10:00 am and 3:00 pm to 7:00 pm
	221	Brookhurst St. - Bristol St./La Veta Ave.	
	222	Bristol St./La Veta Ave. - State Route 55	
6A	223	The Interchange of Interstate 5 and State Routes 57 and 22	Mid-Day Service 10:30 am to 2:30 pm
6B	224	The Interchange of Interstate 5 and State Routes 55 and 22	Mid-Day Service 10:30 am to 2:30 pm
7	408	Interstate 405 - San Diego Freeway Brookhurst St. - Fairview Rd.	Peak Service 6:00 am to 10:00 am and 3:00 pm to 7:00 pm
	409	Fairview Rd. - MacArthur Blvd.	
	410	MacArthur Blvd. - Jeffrey Rd.	
	411	Jeffrey Rd. - Interstate 5	

ORANGE COUNTY FREEWAY SERVICE PATROL BEATS

OCTA/FSP Beat #	Segment (CHP Beat) #	Location	Hours of Operation
8	501 502	Interstate 5 North - Santa Ana Freeway LA County Line - Brookhurst St. Brookhurst St. - Harbor Blvd.	Peak Service 6:00 am to 10:00 am and 3:00 pm to 7:00 pm
9	910 911 912 913	State Route 91 - Artesia/Riverside Freeway LA County Line - Beach Blvd. Beach Blvd. - Brookhurst St. Brookhurst St. - State College Blvd. State College Blvd. - Tustin Av.	Peak Service 6:00 am to 10:00 am and 3:00 pm to 7:00 pm
9A	500	The Interchange of Interstate 5 and State Route 91	Mid-Day Service 10:30 am to 2:30 pm
9B	573	The Interchange of State Route 57 and State Route 91	Mid-Day Service 10:30 am to 2:30 pm
10	551 552	State Route 55 Costa Mesa Freeway State Route 91 - Chapman Ave. Chapman Ave. - Warner Ave.	Peak Service 6:00 am to 10:00 am and 3:00 pm to 7:00 pm
13	507 508 509 510	Interstate 5 - San Diego Freeway El Toro Rd. - Crown Valley Pkwy. Crown Valley Pkwy. - Ortega Hwy. Ortega Hwy. - Vista Hermosa Vista Hermosa - San Diego County Line	Peak Service 6:00 am to 10:00 am and 3:00 pm to 7:00 pm
14	553 554	State Route 55 - Costa Mesa Freeway Warner Av. - Paularino Ave. Paularino Ave. - End of Freeway	Peak Service 6:00 am to 10:00 am and 3:00 pm to 7:00 pm
14A	550	The Interchange of Interstate 405 and State Route 73	Mid-Day Service 10:30 am to 2:30 pm

FREEWAY SERVICE PATROL
Review of Proposals- RFP 9-0719 - Beat 1
Presented to Executive Committee - 12/7/09

10 proposals were received, 6 firms were short-listed.

Overall Ranking	Proposal Score	Firm & Location	Sub-Contractors	Evaluation Committee Comments	VSH Rate
1	83	Greater Southern California Towing, Inc. Santa Ana, CA	None	Very experienced with FSP in Orange County Large, clean, secure facility Good technical work plan Proposed competitive price Already have FSP certified operators	\$55.50
1	83	California Coach Orange, Inc. Orange, CA	None	Strong FSP experience in Orange and L.A. counties Large, secure facility Very thorough and detailed work plan Proposed highest price of short-listed firms Already have FSP certified operators	\$57.85
1	83	Top Towing Santa Ana, CA	None	Proposed lowest price of short-listed firms Extensive experience with CHP and local law enforcement rotation tow program Very thorough and detailed work plan Large, clean, secure facility	\$51.96
4	73	Tip Top Tow Service Santa Monica, CA	R.A. Storelee Insurance Agency Henry Radio, Inc. D.S. Filters, Inc. Byron Woodley Tire Formula One American Accounting Company	Current FSP experience in L.A. County Work plan lacked detail in operating new facility in Orange County Proposed high price Planned to hire new local FSP operators in Orange County Proposed project manager will also be the lead driver	\$57.00
5	72	Bob's Towing Rowland Heights, CA	None	Current FSP experience in L.A. County Work plan lacked detail in operating new facility in Orange County Proposed very competitive price Proposed project manager will not be present at new facility in Orange County throughout the day	\$52.77
6	70	Hadley Tow Orange, CA	None	Strong FSP experience in Orange and L.A. counties Large, secure facility Proposed competitive price Project manager designated FSP driver to manage daily operation	\$55.00

Evaluation Panel:

Internal:
Contracts Administration and Materials Management (1)
Motorist Services (1)
Maintenance (1)
External:
California Highway Patrol (1)
Riverside County Transportation Commission (1)

Evaluation Criteria:

Qualifications of Firm
Staffing and Project Organization
Work Plan
Cost and Price

Weight Factors

30%
30%
20%
20%

FREEWAY SERVICE PATROL
Review of Proposals- RFP 9-0719 - Beat 2
 Presented to Executive Committee - 12/7/09

10 proposals were received, 6 firms were short-listed.

Overall Ranking	Proposal Score	Firm & Location	Sub-Contractors	Evaluation Committee Comments	VSH Rate
1	83	Top Towing Santa Ana, CA	None	Proposed lowest price of short-listed firms Extensive experience with CHP and local law enforcement rotation tow program Very thorough and detailed work plan Large, clean, secure facility	\$45.39
2	81	Greater Southern California Towing, Inc. Santa Ana, CA	None	Very experienced with FSP in Orange County Large, clean, secure facility Good technical work plan Proposed competitive price Already have FSP certified operators	\$53.50
2	81	California Coach Orange, Inc. Orange, CA	None	Strong FSP experience in Orange and L.A. counties Large, secure facility Very thorough and detailed work plan Proposed high price Already have FSP certified operators	\$54.90
4	72	Tip Top Tow Service Santa Monica, CA	R.A. Storelee Insurance Agency Henry Radio, Inc. D.S. Filters, Inc. Byron Woodley Tire Formula One American Accounting Company	Current FSP experience in L.A. County Work plan lacked detail in operating new facility in Orange County Proposed competitive price Planned to hire new local FSP operators in Orange County Proposed project manager will also be the lead driver	\$53.00
5	69	Bob's Towing Rowland Heights, CA	None	Current FSP experience in L.A. County Work plan lacked detail in operating new facility in Orange County Proposed competitive price Proposed project manager will not be present at new facility in Orange County throughout the day	\$52.77
6	68	Hadley Tow Orange, CA	None	Strong FSP experience in Orange and L.A. counties Large, secure facility Proposed highest price of short-listed firms Project manager designated FSP driver to manage daily operation	\$55.00

Evaluation Panel:

Internal:
 Contracts Administration and Materials Management (1)
 Motorist Services (1)
 Maintenance (1)
 External:
 California Highway Patrol (1)
 Riverside County Transportation Commission (1)

Evaluation Criteria:

Qualifications of Firm
 Staffing and Project Organization
 Work Plan
 Cost and Price

Weight Factors

30%
 30%
 20%
 20%

FREEWAY SERVICE PATROL
Review of Proposals- RFP 9-0719 - Beat 3
Presented to Executive Committee - 12/7/09

10 proposals were received, 6 firms were short-listed.

Overall Ranking	Proposal Score	Firm & Location	Sub-Contractors	Evaluation Committee Comments	VSH Rate
1	84	A & B Towing Costa Mesa, CA	None	Very experienced with FSP in Orange County Large, clean, secure facility Demonstrated a thorough understanding of project requirements Proposed competitive price Already have FSP certified operators	\$55.10
2	83	Top Towing Santa Ana, CA	None	Proposed lowest price of short-listed firms Extensive experience with CHP and local law enforcement rotation tow program Very thorough and detailed work plan Large, clean, secure facility	\$49.97
3	82	Greater Southern California Towing, Inc. Santa Ana, CA	None	Very experienced with FSP in Orange County Large, clean, secure facility Good technical work plan Proposed competitive price Already have FSP certified operators	\$55.25
4	81	California Coach Orange, Inc. Orange, CA	None	Strong FSP experience in Orange and L.A. counties Large, secure facility Very thorough and detailed work plan Proposed highest price of short-listed firms Already have FSP certified operators	\$62.75
5	74	Tip Top Tow Service Santa Monica, CA	R.A. Storelee Insurance Agency Henry Radio, Inc. D.S. Filters, Inc. Byron Woodley Tire Formula One American Accounting Company	Current FSP experience in L.A. County Work plan lacked detail in operating new facility in Orange County Proposed very competitive price Planned to hire new local FSP operators in Orange County Proposed project manager will also be the lead driver	\$51.80
6	69	Hadley Tow Orange, CA	None	Strong FSP experience in Orange and L.A. counties Large, secure facility Proposed competitive price Project manager designated FSP driver to manage daily operation	\$55.00

Evaluation Panel:

Internal:
Contracts Administration and Materials Management (1)
Motorist Services (1)
Maintenance (1)
External:
California Highway Patrol (1)
Riverside County Transportation Commission (1)

Evaluation Criteria:

Qualifications of Firm
Staffing and Project Organization
Work Plan
Cost and Price

Weight Factors

30%
30%
20%
20%

FREEWAY SERVICE PATROL

Review of Proposals- RFP 9-0719 - Beat 4

Presented to Executive Committee - 12/7/09

10 proposals were received, 6 firms were short-listed.

Overall Ranking	Proposal Score	Firm & Location	Sub-Contractors	Evaluation Committee Comments	VSH Rate
1	83	California Coach Orange, Inc. Orange, CA	None	Strong FSP experience in Orange and L.A. counties Large, secure facility Very thorough and detailed work plan Proposed competitive price Already have FSP certified operators	\$57.85
2	81	Greater Southern California Towing, Inc. Santa Ana, CA	None	Very experienced with FSP in Orange County Large, clean, secure facility Good technical work plan Proposed highest price of short-listed firms Already have FSP certified operators	\$59.50
2	81	Top Towing Santa Ana, CA	None	Proposed competitive price Extensive experience with CHP and local law enforcement rotation tow program Very thorough and detailed work plan Large, clean, secure facility	\$55.41
4	75	Tip Top Tow Service Santa Monica, CA	R.A. Storelee Insurance Agency Henry Radio, Inc. D.S. Filters, Inc. Byron Woodley Tire Formula One American Accounting Company	Current FSP experience in L.A. County Work plan lacked detail in operating new facility in Orange County Proposed lowest price of short-listed firms Planned to hire new local FSP operators in Orange County Proposed project manager will also be the lead driver	\$51.80
5	71	Bob's Towing Rowland Heights, CA	None	Current FSP experience in L.A. County Work plan lacked detail in operating new facility in Orange County Proposed competitive price Proposed project manager will not be present at new facility in Orange County throughout the day	\$56.77
6	70	Hadley Tow Orange, CA	None	Strong FSP experience in Orange and L.A. counties Large, secure facility Proposed competitive price Project manager designated FSP driver to manage daily operation	\$55.00

Evaluation Panel:

Internal:

- Contracts Administration and Materials Management (1)
- Motorist Services (1)
- Maintenance (1)

External:

- California Highway Patrol (1)
- Riverside County Transportation Commission (1)

Evaluation Criteria:

- Qualifications of Firm
- Staffing and Project Organization
- Work Plan
- Cost and Price

Weight Factors

- 30%
- 30%
- 20%
- 20%

FREEWAY SERVICE PATROL
Review of Proposals- RFP 9-0719 - Beat 5
 Presented to Executive Committee - 12/7/09

10 proposals were received, 5 firms were short-listed.

Overall Ranking	Proposal Score	Firm & Location	Sub-Contractors	Evaluation Committee Comments	VSH Rate
1	83	Top Towing Santa Ana, CA	None	Proposed lowest price of short-listed firms Extensive experience with CHP and local law enforcement rotation tow program Very thorough and detailed work plan Large, clean, secure facility	\$49.64
2	81	California Coach Orange, Inc. Orange, CA	None	Strong FSP experience in Orange and L.A. counties Large, secure facility Very thorough and detailed work plan Proposed highest price of short-listed firms Already have FSP certified operators	\$61.75
3	80	Greater Southern California Towing, Inc. Santa Ana, CA	None	Very experienced with FSP in Orange County Large, clean, secure facility Good technical work plan Proposed high price Already have FSP certified operators	\$60.15
4	73	Tip Top Tow Service Santa Monica, CA	R.A. Storelee Insurance Agency Henry Radio, Inc. D.S. Filters, Inc. Byron Woodley Tire Formula One American Accounting Company	Current FSP experience in L.A. County Work plan lacked detail in operating new facility in Orange County Proposed competitive price Planned to hire new local FSP operators in Orange County Proposed project manager will also be the lead driver	\$55.00
5	69	Hadley Tow Orange, CA	None	Strong FSP experience in Orange and L.A. counties Large, secure facility Proposed competitive price Project manager designated FSP driver to manage daily operation	\$55.00

Evaluation Panel:

Internal:
 Contracts Administration and Materials Management (1)
 Motorist Services (1)
 Maintenance (1)
 External:
 California Highway Patrol (1)
 Riverside County Transportation Commission (1)

Evaluation Criteria:

Qualifications of Firm
 Staffing and Project Organization
 Work Plan
 Cost and Price

Weight Factors

30%
 30%
 20%
 20%

FREEWAY SERVICE PATROL
Review of Proposals- RFP 9-0719 - Beat 10
 Presented to Executive Committee - 12/7/09

10 proposals were received, 7 firms were short-listed.

Overall Ranking	Proposal Score	Firm & Location	Sub-Contractors	Evaluation Committee Comments	VSH Rate
1	84	A & B Towing Costa Mesa, CA	None	Very experienced with FSP in Orange County Large, clean, secure facility Demonstrated a thorough understanding of project requirements Proposed competitive price Already have FSP certified operators	\$57.28
2	83	Top Towing Santa Ana, CA	None	Proposed lowest price of short-listed firms Extensive experience with CHP and local law enforcement rotation tow program Very thorough and detailed work plan Large, clean, secure facility	\$51.44
2	83	California Coach Orange, Inc. Orange, CA	None	Strong FSP experience in Orange and L.A. counties Large, secure facility Very thorough and detailed work plan Proposed competitive price Already have FSP certified operators	\$55.50
4	81	Greater Southern California Towing, Inc. Santa Ana, CA	None	Very experienced with FSP in Orange County Large, clean, secure facility Good technical work plan Proposed highest price of short-listed firms Already have FSP certified operators	\$60.15
5	74	Tip Top Tow Service Santa Monica, CA	R.A. Storelee Insurance Agency Henry Radio, Inc. D.S. Filters, Inc. Byron Woodley Tire Formula One American Accounting Company	Current FSP experience in L.A. County Work plan lacked detail in operating new facility in Orange County Proposed very competitive price Planned to hire new local FSP operators in Orange County Proposed project manager will also be the lead driver	\$52.00
6	72	Bob's Towing Rowland Heights, CA	None	Current FSP experience in L.A. County Work plan lacked detail in operating new facility in Orange County Proposed very competitive price Proposed project manager will not be present at new facility in Orange County throughout the day	\$52.77
7	70	Hadley Tow Orange, CA	None	Strong FSP experience in Orange and L.A. counties Large, secure facility Proposed competitive price Project manager designated FSP driver to manage daily operation	\$55.00

Evaluation Panel:

Internal:

- Contracts Administration and Materials Management (1)
- Motorist Services (1)
- Maintenance (1)

External:

- California Highway Patrol (1)
- Riverside County Transportation Commission (1)

Evaluation Criteria

- Qualifications of Firm
- Staffing and Project Organization
- Work Plan
- Cost and Price

Weight Factors

- 30%
- 30%
- 20%
- 20%

BEAT 1								
PROPOSAL EVALUATION CRITERIA MATRIX ("Short-Listed Firms")								
RFP 9-0719 - FREEWAY SERVICE PATROL								
FIRM: GREATER SOUTHERN CALIFORNIA TOWING						Weights	Overall Score	
Eval. Number	1	2	3	4	5			
Qualifications of Firm	4.0	4.0	4.0	4.0	4.5	6	24.6	
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	6	24.0	
Work Plan	4.0	4.0	3.5	3.5	4.0	4	15.2	
Cost and Price	4.7	4.7	4.7	4.7	4.7	4	18.8	
Overall Score	82.8	82.8	80.8	80.8	85.8		83	
FIRM: CALIFORNIA COACH ORANGE, INC.						Weights	Overall Score	
Eval. Number	1	2	3	4	5			
Qualifications of Firm	4.0	4.0	3.5	4.0	4.0	6	23.4	
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	6	24.0	
Work Plan	4.5	4.5	4.0	4.0	4.5	4	17.2	
Cost and Price	4.5	4.5	4.5	4.5	4.5	4	18.0	
Overall Score	84.0	84.0	79.0	82.0	84.0		83	
FIRM: TOP TOWING						Weights	Overall Score	
Eval. Number	1	2	3	4	5			
Qualifications of Firm	4.0	3.5	4.0	4.0	3.5	6	22.8	
Staffing/Project Organization	4.0	4.0	4.0	4.0	3.5	6	23.4	
Work Plan	4.0	4.5	4.0	4.5	3.5	4	16.4	
Cost and Price	5.0	5.0	5.0	5.0	5.0	4	20.0	
Overall Score	84.0	83.0	84.0	86.0	76.0		83	
FIRM: TIP TOP TOW SERVICE						Weights	Overall Score	
Eval. Number	1	2	3	4	5			
Qualifications of Firm	3.5	3.5	4.0	3.5	4.0	6	22.2	
Staffing/Project Organization	3.5	3.0	3.5	3.5	4.0	6	21.0	
Work Plan	3.0	2.5	3.5	3.0	2.5	4	11.6	
Cost and Price	4.6	4.6	4.6	4.6	4.6	4	18.4	
Overall Score	72.4	67.4	77.4	72.4	76.4		73	
FIRM: BOB'S TOWING						Weights	Overall Score	
Eval. Number	1	2	3	4	5			
Qualifications of Firm	3.5	3.5	3.5	3.5	3.5	6	21.0	
Staffing/Project Organization	4.0	3.0	3.0	3.0	3.0	6	19.2	
Work Plan	3.0	2.5	3.5	2.5	3.5	4	12.0	
Cost and Price	4.9	4.9	4.9	4.9	4.9	4	19.6	
Overall Score	76.6	68.6	72.6	68.6	72.6		72	
FIRM: HADLEY TOW						Weights	Overall Score	
Eval. Number	1	2	3	4	5			
Qualification of Firm	4.0	3.0	3.5	3.0	3.0	6	19.8	
Staffing/Project Organization	3.0	3.0	3.0	3.5	3.0	6	18.6	
Work Plan	3.5	3.0	3.5	3.0	3.0	4	12.8	
Cost and Price	4.7	4.7	4.7	4.7	4.7	4	18.8	
Overall Score	74.8	66.8	71.8	69.8	66.8		70	

BEAT 2
PROPOSAL EVALUATION CRITERIA MATRIX ("Short-Listed Firms")
RFP 9-0719 - FREEWAY SERVICE PATROL

FIRM: TOP TOWING						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	4.0	3.5	4.0	4.0	3.5	6	22.8
Staffing/Project Organization	4.0	4.0	4.0	4.0	3.5	6	23.4
Work Plan	4.0	4.5	4.0	4.5	3.5	4	16.4
Cost and Price	5.0	5.0	5.0	5.0	5.0	4	20.0
Overall Score	84.0	83.0	84.0	86.0	76.0		83
FIRM: GREATER SOUTHERN CALIFORNIA TOWING						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	4.0	4.0	4.5	6	24.6
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	6	24.0
Work Plan	4.0	4.0	3.5	3.5	4.0	4	15.2
Cost and Price	4.2	4.2	4.2	4.2	4.2	4	16.8
Overall Score	80.8	80.8	78.8	78.8	83.8		81
FIRM: CALIFORNIA COACH ORANGE, INC.						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	3.5	4.0	4.0	6	23.4
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	6	24.0
Work Plan	4.5	4.5	4.0	4.0	4.5	4	17.2
Cost and Price	4.1	4.1	4.1	4.1	4.1	4	16.4
Overall Score	82.4	82.4	77.4	80.4	82.4		81
FIRM: TIP TOP TOW SERVICE						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	3.5	3.5	4.0	3.5	4.0	6	22.2
Staffing/Project Organization	3.5	3.0	3.5	3.5	4.0	6	21.0
Work Plan	3.0	2.5	3.5	3.0	2.5	4	11.6
Cost and Price	4.3	4.3	4.3	4.3	4.3	4	17.2
Overall Score	71.2	66.2	76.2	71.2	75.2		72
FIRM: BOB'S TOWING						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	3.5	3.5	3.5	3.5	3.5	6	21.0
Staffing/Project Organization	4.0	3.0	3.0	3.0	3.0	6	19.2
Work Plan	3.0	2.5	3.5	2.5	3.5	4	12.0
Cost and Price	4.3	4.3	4.3	4.3	4.3	4	17.2
Overall Score	74.2	66.2	70.2	66.2	70.2		69
FIRM: HADLEY TOW						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualification of Firm	4.0	3.0	3.5	3.0	3.0	6	19.8
Staffing/Project Organization	3.0	3.0	3.0	3.5	3.0	6	18.6
Work Plan	3.5	3.0	3.5	3.0	3.0	4	12.8
Cost and Price	4.1	4.1	4.1	4.1	4.1	4	16.4
Overall Score	72.4	64.4	69.4	67.4	64.4		68

BEAT 3
PROPOSAL EVALUATION CRITERIA MATRIX ("Short-Listed Firms")
RFP 9-0719 - FREEWAY SERVICE PATROL

FIRM: A & B TOWING						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.5	4.0	4.0	4.5	6	25.2
Staffing/Project Organization	4.0	4.0	4.5	4.0	4.5	6	25.2
Work Plan	4.0	4.0	4.0	4.0	4.0	4	16.0
Cost and Price	4.5	4.5	4.5	4.5	4.5	4	18.0
Overall Score	82.0	85.0	85.0	82.0	88.0		84
FIRM: TOP TOWING						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	4.0	3.5	4.0	4.0	3.5	6	22.8
Staffing/Project Organization	4.0	4.0	4.0	4.0	3.5	6	23.4
Work Plan	4.0	4.5	4.0	4.5	3.5	4	16.4
Cost and Price	5.0	5.0	5.0	5.0	5.0	4	20.0
Overall Score	84.0	83.0	84.0	86.0	76.0		83
FIRM: GREATER SOUTHERN CALIFORNIA TOWING						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	4.0	4.0	4.5	6	24.6
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	6	24.0
Work Plan	4.0	4.0	3.5	3.5	4.0	4	15.2
Cost and Price	4.5	4.5	4.5	4.5	4.5	4	18.0
Overall Score	82.0	82.0	80.0	80.0	85.0		82
FIRM: CALIFORNIA COACH ORANGE, INC.						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	3.5	4.0	4.0	6	23.4
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	6	24.0
Work Plan	4.5	4.5	4.0	4.0	4.5	4	17.2
Cost and Price	4.0	4.0	4.0	4.0	4.0	4	16.0
Overall Score	82.0	82.0	77.0	80.0	82.0		81
FIRM: TIP TOP TOW SERVICE						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	3.5	3.5	4.0	3.5	4.0	6	22.2
Staffing/Project Organization	3.5	3.0	3.5	3.5	4.0	6	21.0
Work Plan	3.0	2.5	3.5	3.0	2.5	4	11.6
Cost and Price	4.8	4.8	4.8	4.8	4.8	4	19.2
Overall Score	73.2	68.2	78.2	73.2	77.2		74
FIRM: HADLEY TOW						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualification of Firm	4.0	3.0	3.5	3.0	3.0	6	19.8
Staffing/Project Organization	3.0	3.0	3.0	3.5	3.0	6	18.6
Work Plan	3.5	3.0	3.5	3.0	3.0	4	12.8
Cost and Price	4.5	4.5	4.5	4.5	4.5	4	18.0
Overall Score	74.0	66.0	71.0	69.0	66.0		69

BEAT 4

PROPOSAL EVALUATION CRITERIA MATRIX ("Short-Listed Firms")

RFP 9-0719 - FREEWAY SERVICE PATROL

FIRM: CALIFORNIA COACH ORANGE, INC.						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	3.5	4.0	4.0	6	23.4
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	6	24.0
Work Plan	4.5	4.5	4.0	4.0	4.5	4	17.2
Cost and Price	4.5	4.5	4.5	4.5	4.5	4	18.0
Overall Score	84.0	84.0	79.0	82.0	84.0		83
FIRM: GREATER SOUTHERN CALIFORNIA TOWING						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	4.0	4.0	4.5	6	24.6
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	6	24.0
Work Plan	4.0	4.0	3.5	3.5	4.0	4	15.2
Cost and Price	4.4	4.4	4.4	4.4	4.4	4	17.6
Overall Score	81.6	81.6	79.6	79.6	84.6		81
FIRM: TOP TOWING						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	4.0	3.5	4.0	4.0	3.5	6	22.8
Staffing/Project Organization	4.0	4.0	4.0	4.0	3.5	6	23.4
Work Plan	4.0	4.5	4.0	4.5	3.5	4	16.4
Cost and Price	4.7	4.7	4.7	4.7	4.7	4	18.8
Overall Score	82.8	81.8	82.8	84.8	74.8		81
FIRM: TIP TOP TOW SERVICE						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	3.5	3.5	4.0	3.5	4.0	6	22.2
Staffing/Project Organization	3.5	3.0	3.5	3.5	4.0	6	21.0
Work Plan	3.0	2.5	3.5	3.0	2.5	4	11.6
Cost and Price	5.0	5.0	5.0	5.0	5.0	4	20.0
Overall Score	74.0	69.0	79.0	74.0	78.0		75
FIRM: BOB'S TOWING						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	3.5	3.5	3.5	3.5	3.5	6	21.0
Staffing/Project Organization	4.0	3.0	3.0	3.0	3.0	6	19.2
Work Plan	3.0	2.5	3.5	2.5	3.5	4	12.0
Cost and Price	4.6	4.6	4.6	4.6	4.6	4	18.4
Overall Score	75.4	67.4	71.4	67.4	71.4		71
FIRM: HADLEY TOW						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualification of Firm	4.0	3.0	3.5	3.0	3.0	6	19.8
Staffing/Project Organization	3.0	3.0	3.0	3.5	3.0	6	18.6
Work Plan	3.5	3.0	3.5	3.0	3.0	4	12.8
Cost and Price	4.7	4.7	4.7	4.7	4.7	4	18.8
Overall Score	74.8	66.8	71.8	69.8	66.8		70

BEAT 5
PROPOSAL EVALUATION CRITERIA MATRIX ("Short-Listed Firms")
RFP 9-0719 - FREEWAY SERVICE PATROL

FIRM: TOP TOWING						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	4.0	3.5	4.0	4.0	3.5	6	22.8
Staffing/Project Organization	4.0	4.0	4.0	4.0	3.5	6	23.4
Work Plan	4.0	4.5	4.0	4.5	3.5	4	16.4
Cost and Price	5.0	5.0	5.0	5.0	5.0	4	20.0
Overall Score	84.0	83.0	84.0	86.0	76.0		83
FIRM: CALIFORNIA COACH ORANGE, INC.						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	3.5	4.0	4.0	6	23.4
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	6	24.0
Work Plan	4.5	4.5	4.0	4.0	4.5	4	17.2
Cost and Price	4.0	4.0	4.0	4.0	4.0	4	16.0
Overall Score	82.0	82.0	77.0	80.0	82.0		81
FIRM: GREATER SOUTHERN CALIFORNIA TOWING						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	4.0	4.0	4.5	6	24.6
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	6	24.0
Work Plan	4.0	4.0	3.5	3.5	4.0	4	15.2
Cost and Price	4.1	4.1	4.1	4.1	4.1	4	16.4
Overall Score	80.4	80.4	78.4	78.4	83.4		80
FIRM: TIP TOP TOW SERVICE						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	3.5	3.5	4.0	3.5	4.0	6	22.2
Staffing/Project Organization	3.5	3.0	3.5	3.5	4.0	6	21.0
Work Plan	3.0	2.5	3.5	3.0	2.5	4	11.6
Cost and Price	4.5	4.5	4.5	4.5	4.5	4	18.0
Overall Score	72.0	67.0	77.0	72.0	76.0		73
FIRM: HADLEY TOW						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualification of Firm	4.0	3.0	3.5	3.0	3.0	6	19.8
Staffing/Project Organization	3.0	3.0	3.0	3.5	3.0	6	18.6
Work Plan	3.5	3.0	3.5	3.0	3.0	4	12.8
Cost and Price	4.5	4.5	4.5	4.5	4.5	4	18.0
Overall Score	74.0	66.0	71.0	69.0	66.0		69

BEAT 10
PROPOSAL EVALUATION CRITERIA MATRIX ("Short-Listed Firms")
RFP 9-0719 - FREEWAY SERVICE PATROL

FIRM: A & B TOWING						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.5	4.0	4.0	4.5	6	25.2
Staffing/Project Organization	4.0	4.0	4.5	4.0	4.5	6	25.2
Work Plan	4.0	4.0	4.0	4.0	4.0	4	16.0
Cost and Price	4.5	4.5	4.5	4.5	4.5	4	18.0
Overall Score	82.0	85.0	85.0	82.0	88.0		84
FIRM: TOP TOWING						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	4.0	3.5	4.0	4.0	3.5	6	22.8
Staffing/Project Organization	4.0	4.0	4.0	4.0	3.5	6	23.4
Work Plan	4.0	4.5	4.0	4.5	3.5	4	16.4
Cost and Price	5.0	5.0	5.0	5.0	5.0	4	20.0
Overall Score	84.0	83.0	84.0	86.0	76.0		83
FIRM: CALIFORNIA COACH ORANGE, INC.						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	3.5	4.0	4.0	6	23.4
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	6	24.0
Work Plan	4.5	4.5	4.0	4.0	4.5	4	17.2
Cost and Price	4.6	4.6	4.6	4.6	4.6	4	18.4
Overall Score	84.4	84.4	79.4	82.4	84.4		83
FIRM: GREATER SOUTHERN CALIFORNIA TOWING						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	4.0	4.0	4.5	6	24.6
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	6	24.0
Work Plan	4.0	4.0	3.5	3.5	4.0	4	15.2
Cost and Price	4.3	4.3	4.3	4.3	4.3	4	17.2
Overall Score	81.2	81.2	79.2	79.2	84.2		81
FIRM: TIP TOP TOW SERVICE						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	3.5	3.5	4.0	3.5	4.0	6	22.2
Staffing/Project Organization	3.5	3.0	3.5	3.5	4.0	6	21.0
Work Plan	3.0	2.5	3.5	3.0	2.5	4	11.6
Cost and Price	4.9	4.9	4.9	4.9	4.9	4	19.6
Overall Score	73.6	68.6	78.6	73.6	77.6		74
FIRM: BOB'S TOWING						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualifications of Firm	3.5	3.5	3.5	3.5	3.5	6	21.0
Staffing/Project Organization	4.0	3.0	3.0	3.0	3.0	6	19.2
Work Plan	3.0	2.5	3.5	2.5	3.5	4	12.0
Cost and Price	4.9	4.9	4.9	4.9	4.9	4	19.6
Overall Score	76.6	68.6	72.6	68.6	72.6		72
FIRM: HADLEY TOW						Weights	Overall Score
Eval. Number	1	2	3	4	5		
Qualification of Firm	4.0	3.0	3.5	3.0	3.0	6	19.8
Staffing/Project Organization	3.0	3.0	3.0	3.5	3.0	6	18.6
Work Plan	3.5	3.0	3.5	3.0	3.0	4	12.8
Cost and Price	4.7	4.7	4.7	4.7	4.7	4	18.8
Overall Score	74.8	66.8	71.8	69.8	66.8		70

**CONTRACT HISTORY FOR THE PAST TWO YEARS
RFP 9-0719 "FREEWAY SERVICE PATROL"**

Firm - Prime Only	Contract No.	Description	Contract Start Date	Contract Completion Date	Contract Amount
A & B Towing	C-7-0899	Freeway Service Patrol	12/1/2007	11/30/2010	\$1,740,486
	C-8-1336	Freeway Service Patrol	7/1/2009	6/30/2013	\$2,158,404
Sub Total					\$3,898,890
Bob's Towing	None	No Contracts Awarded	NA	NA	\$0
Sub Total					\$0
California Coach Orange, Inc.	C-5-0081	Freeway Service Patrol	7/1/2005	7/31/2009	\$6,330,954
	C-7-0443	Freeway Service Patrol	12/1/2007	11/30/2010	\$1,658,218
	C-9-0349	Freeway Service Patrol	7/1/2009	6/30/2013	\$3,020,734
Sub Total					\$11,009,906
Greater Southern California Towing, Inc	C-5-0737	Freeway Service Patrol	7/1/2005	6/30/2009	\$2,826,808
	C-9-0350	Freeway Service Patrol	7/1/2009	6/30/2013	\$2,436,908
Sub Total					\$5,263,716
Hadley Tow	C-6-0016	Towing Services	7/1/2006	6/30/2008	\$140,000
	C-7-0898	Freeway Service Patrol	12/1/2007	11/30/2010	\$5,485,616
Sub Total					\$5,625,616
Tip Top Tow Service	None	No Contracts Awarded	NA	NA	\$0
Sub Total					\$0
Top Towing	None	No Contracts Awarded	NA	NA	\$0
Sub Total					\$0



BOARD COMMITTEE TRANSMITTAL

December 14, 2009

To: Members of the Board of Directors
From: ^{WK} Wendy Knowles, Clerk of the Board
Subject: Cooperative Agreements for the Santa Ana Freeway (Interstate 5) Gateway Project for Landscape Construction and Maintenance of the Orange County Monument Sign

Highways Committee Meeting of December 7, 2009

Present: Directors Amante, Cavecche, Glaab, Green, Norby, and Pringle
Absent: Directors Dixon and Mansoor

Committee Vote

This item was passed by all Committee Members present.

Committee Recommendations (Reflects change from staff recommendation)

- A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-0778 between the Orange County Transportation Authority and the California Department of Transportation to establish the roles, responsibilities, and processes for the implementation of landscaping construction on the Santa Ana Freeway (Interstate 5) Gateway Project, in an amount not exceed \$1,279,000.
- B. Authorize the Chief Executive Officer to negotiate Amendment No. 4 to Agreement No. C-5-2358 between the Orange County Transportation Authority and the City of Buena Park for maintenance of the Orange County monument sign, in an amount not to exceed \$105,000 and return back to the Highways Committee.



December 7, 2009

To: Highways Committee

From: Will Kempton, Chief Executive Officer

Subject: Cooperative Agreements for the Santa Ana Freeway (Interstate 5) Gateway Project for Landscape Construction and Maintenance of the Orange County Monument Sign

Overview

The Orange County Transportation Authority proposes to enter into a cooperative agreement with the California Department of Transportation for constructing the Santa Ana Freeway (Interstate 5) Gateway Project landscaping and amend an agreement with the City of Buena Park to add the maintenance of the new Orange County monument sign.

Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-0778 between the Orange County Transportation Authority and the California Department of Transportation to establish the roles, responsibilities, and processes for the implementation of landscaping construction on the Santa Ana Freeway (Interstate 5) Gateway Project, in an amount not exceed \$1,279,000.
- B. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Agreement No. C-5-2358 between the Orange County Transportation Authority and the City of Buena Park for maintenance of the Orange County monument sign, in an amount not to exceed \$105,000.

Discussion

The Orange County Transportation Authority (Authority) and the California Department of Transportation (Caltrans) have mutually agreed to develop a cooperative agreement where Caltrans will serve as the implementing agency for the highway replacement planting (landscaping) on

Cooperative Agreements for the Santa Ana Freeway (Interstate 5) Gateway Project for Landscape Construction and Maintenance of the Orange County Monument Sign Page 2

the Santa Ana Freeway (Interstate 5) Gateway Project. Caltrans will be responsible for the implementation of landscaping for the Interstate 5 Gateway Project, which includes advertising and awarding the construction contract. The contract administration will be led by the Caltrans resident engineer who will manage construction inspection work, material source inspection, independent assurance sampling, and other construction engineering as necessary. The expected cost of this work is \$1,279,000.

The draft cooperative agreement (Attachment A) also identifies the project progress reporting process, Caltrans' obligations at the completion of the project, record and claims processing requirements, and standard indemnification clauses included in cooperative agreements between Caltrans and the Authority.

On February 9, 2009, the Authority Board of Directors (Board) approved the maintenance agreement between Caltrans and the Authority regarding the Orange County monument sign for cleaning, debris and graffiti removal, safety and structural inspection, and payment for the electrical service in accordance with the Caltrans' Guidelines for Gateway Monument Demonstration Program. The Authority agreed to assume responsibility for performing monument maintenance after construction of the Interstate 5 Gateway Project is complete.

The Interstate 5 Gateway Project is scheduled to be completed in late September 2010. Staff recommends the Authority contract with the City of Buena Park (City) to maintain the Orange County monument sign because of its experience in maintaining other City monument signs located in Caltrans right-of-way. The City is currently maintaining two signs along the Riverside Freeway (State Route 91) and has agreed to maintain the Interstate 5 monument sign as part of its existing maintenance program. Amendment No. 4 to the existing agreement will be executed with the City to reimburse the City on a time and material basis for maintenance work to be performed over the next five years, from October 2010 to December 31, 2015. The estimated maintenance cost to be contracted with the City is in an amount not to exceed \$105,000 for the five-year contract term.

Fiscal Impact

Funding for the construction landscaping will be included in the Authority's Fiscal Year 2010-11 Budget, Development Division, Account 0010-9084-F1610-AP8. Funds for the Orange County monument sign will be budgeted in the appropriate fiscal year budget, Development Division, Account 0010-9084-F1610-9Y2.

Cooperative Agreements for the Santa Ana Freeway (Interstate 5) Gateway Project for Landscape Construction and Maintenance of the Orange County Monument Sign Page 3

Summary

Staff is seeking Board approval for the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-0778 with Caltrans to establish roles, responsibilities, and processes for the implementation of the landscaping construction on the Interstate 5 Gateway Project.

Staff is seeking Board approval for the Chief Executive Officer to negotiate and execute Amendment No. 4 to Agreement No. C-5-2358 with the City for maintenance of the Orange County monument sign.

Attachments

- A. Draft Cooperative Agreement No. C-9-0778 Between Orange County Transportation Authority and California Department of Transportation
- B. Cooperative Agreement Between the Orange County Transportation Authority and the City of Buena Park, Agreement No. C-5-2358, Fact Sheet

Prepared by:



Charles Guess, P.E.
Program Manager
714-560-5775

Approved by:



Kia Mortazavi
Executive Director, Development
714-560-5741



Virginia Abadessa
Director, Contracts Administration &
Materials Management
714-560-5623

DRAFT

ATTACHMENT A

COOPERATIVE AGREEMENT

NO. C-9-0778

BETWEEN

**ORANGE COUNTY TRANSPORTATION
AUTHORITY AND CALIFORNIA
DEPARTMENT OF TRANSPORTATION**

12-ORA-5; PM 42.10/44.20
Construct Replacement Planting
In Buena Park from Route 91 to
the ORA/LA County Line
12-1016A4

District Agreement No. 12-618
CCTA Agreement C-9-0778

COOPERATIVE AGREEMENT

THIS AGREEMENT, ENTERED INTO EFFECTIVE ON _____, 2009 is between the STATE OF CALIFORNIA, acting by and through its Department of Transportation, referred to herein as STATE, and

ORANGE COUNTY TRANSPORTATION AUTHORITY,
a public corporation, referred to herein as AUTHORITY.

RECITALS

1. STATE and AUTHORITY, pursuant to Streets and Highway Codes sections 114 and 130, are authorized to enter into a cooperative agreement for improvements to State Highway System (SHS) within Orange County.
2. STATE and AUTHORITY propose Highway Replacement Planting on Interstate 5 from Route 91 to just north of ORA/LA County Line, referred to herein as "PROJECT"
3. STATE and AUTHORITY mutually desire to jointly participate in the construction of PROJECT and specify herein the terms and conditions under which PROJECT is to be constructed, financed, owned, operated, and maintained.
4. AUTHORITY desires and has requested STATE to provide labor, materials, tools, and equipment for PROJECT, including advertising, award, contract administration, a Resident Engineer, a Principal Assistant Resident Engineer, material source inspection, independent assurance sampling and testing and inspection as may be reasonably requested by AUTHORITY and other construction engineering necessary for the satisfactory construction and completion of PROJECT, collectively referred to herein as "SERVICES", and AUTHORITY agrees to reimburse to STATE in the actual costs estimated to be \$1,279,000 for the SERVICES

SECTION I

STATE AGREES:

1. To provide SERVICES.
2. To submit a billing in the amount of \$1,279,000 to AUTHORITY at least 15 days prior to STATE's bid advertising date of PROJECT construction contract, said billing represents STATE's SERVICES estimated costs.
3. To construct PROJECT by contract in accordance with Plans, Specifications, and Estimates (PS&E) prepared by STATE and accepted by AUTHORITY.
4. To submit to AUTHORITY a monthly construct progress report which describes the work performed and completed during the reporting period with pertinent contract data such as contract change orders (CCO) issued, cumulative costs of change orders, progress payments made (reported in dollars), and percentage progress achieved to date, all in accordance with STATE's standard accounting practices.
5. To consult with AUTHORITY on all PROJECT CCO's with an estimated cost over \$50,000 before implementation except when the safety of motorists and/or pedestrians or the protection of property requires the immediate issuance of that CCO.
6. Upon completion of PROJECT and all work incidental thereto, to furnish AUTHORITY with a detailed statement of the total cost of PROJECT construction, including the costs of any claims related to the construction contract which have been allowed to the construction contractor pursuant to the construction contract administrative claims process or arbitration and claims-related defense costs incurred by STATE. STATE thereafter shall refund to AUTHORITY (promptly after completion of STATE's final accounting of costs for PROJECT) any amount of AUTHORITY's payments STATE is holding after actual costs to be borne by AUTHORITY have been deducted or STATE shall bill AUTHORITY for any additional amount required to complete AUTHORITY's financial obligations assumed pursuant to this Agreement.

7. To maintain all STATE highway facilities constructed as part of PROJECT in accordance with the provisions of the freeway agreements and freeway maintenance agreements presently in effect, or as may be executed or modified hereafter, and to make no claim against AUTHORITY for any portion of such maintenance expense for the constructed improvements accepted by STATE.
8. To retain, or cause to be retained for audit by AUTHORITY's auditors or other agents of AUTHORITY, for a period of three (3) years from the date of processing the final detailed statement for the costs of PROJECT, all records and accounts of STATE relating to the PROJECT construction , and to make such materials available at STATE's District 12 Office. Copies thereof shall be furnished to AUTHORITY, if requested by AUTHORITY, at AUTHORITY's cost.
9. To provide AUTHORITY with a monthly listing of potential claims and the status of outstanding PROJECT claims.
10. To use the STATE's construction contract claims process, in consultation with AUTHORITY and to notify AUTHORITY, within three (3) days upon receipt of claims for PROJECT by providing a copy of the contractor's reply to the "Proposed Final Estimate" setting forth such claims.
11. To prepare the "Proposed Final Estimate" no later than thirty (30) days after STATE's acceptance of the construction contract for PROJECT in accordance with Section 7-1.17 of the STATE's current Standard Specifications or advise AUTHORITY of the status of the alternative date for that submittal.
12. To monitor actual SERVICES expenditures and to provide timely notice to AUTHORITY should the expected actual SERVICES costs exceed the budgeted amount of \$1,279,000. If said costs exceed \$1,279,000 and AUTHORITY fails to secure additional funding, STATE shall cease SERVICES until such funds are forthcoming.

SECTION II

AUTHORITY AGREES:

1. To deposit with STATE within twenty-five (25) days of receipt of billing therefor (which billing will be forwarded fifteen (15) days prior to STATE's bid advertising date of a PROJECT construction contract, the amount of \$1,279,000, which figure represents the SERVICES estimated costs to be performed by STATE on AUTHORITY's behalf pursuant to this Agreement.

SECTION III

IT IS MUTUALLY AGREED:

1. All obligations of STATE under the terms of this Agreement are subject to the appropriation of resources by the Legislature, State Budget Act authority, and the allocation of resources by the California Transportation Commission (CTC).
2. STATE shall not begin the SERVICES until after receipt of AUTHORITY's deposit described in Section II of this Agreement.
3. STATE has no obligation to perform any further work under this Agreement should the funds to perform them remain unavailable or unpaid at any point of time during the life of this Agreement.
4. In the construction of said PROJECT, STATE will furnish a representative to perform the functions of a Resident Engineer, and AUTHORITY may, at no cost to STATE, furnish a representative, if it so desires, and said AUTHORITY representative and Resident Engineer will cooperate and consult with each other, but the decisions of the STATE's Resident Engineer shall prevail.
5. Upon completion of all work under this Agreement, ownership and title to materials, equipment and appurtenances installed will automatically be vested in STATE, and no further agreement will be necessary to transfer ownership to STATE.
6. The party that discovers Hazardous Material (HM) will immediately notify the other party(ies) to this Agreement.

HM-1 is Defined as hazardous material (including but not limited to hazardous waste) that requires removal and disposal pursuant to federal or state law, whether it is disturbed by PROJECT or not.

HM-2 is defined as hazardous material (including but not limited to hazardous waste) that may require removal and disposal pursuant to federal or state law, only if disturbed by PROJECT.

7. STATE, independent of PROJECT, is responsible for any HM-1 found within existing State Highway System (SHS) right of way. STATE will undertake HM-1 management activities with minimum impact to PROJECT schedule and will pay all costs for HM-1 management activities.

STATE has no responsibility for management activities or costs associated with HM-1 found outside the existing SHS right of way. AUTHORITY, independent of PROJECT, is responsible for any HM-1 found within PROJECT limits outside existing SHS right of way. AUTHORITY will undertake, or cause to be undertaken, HM-1 activities with minimum impact to PROJECT schedule, and AUTHORITY will pay, or cause to be paid, all costs associated with HM-1 management activities.

8. If HM-2 is found within the limits of PROJECT, the public agency responsible for advertisement, award, and administration (AAA) of the PROJECT construction contract will be responsible for HM-2 management activities.

Any management activity cost related to HM-2 is a PROJECT construction cost.

9. Management activities related to either HM-1 or HM-2 include without limitation, any necessary manifest requirements and designation of disposal facility.

10. STATE's acquisition or acceptance of title to any property on which any hazardous material is found will proceed in accordance with STATE's policy on such acquisition.
11. STATE agrees to obtain, as a PROJECT cost, all necessary PROJECT permits, agreements, and/or approvals from appropriate regulatory agencies, unless the parties otherwise mutually agree in writing. If the parties agree in writing that AUTHORITY is responsible for obtaining said PROJECT permits, agreements, and/or approvals from appropriate regulatory agencies, then those said costs shall be a PROJECT cost.
12. STATE shall be fully responsible for complying with and implementing any and all environmental commitments set forth in the environmental documentation, permit(s), agreement(s), and/or approvals for PROJECT. The costs of said compliance and implementation shall be a PROJECT cost.
13. If there is a legal challenge to the environmental documentation, including investigative studies and/or technical environmental report(s), permit(s), agreement(s), and/or approval(s) for PROJECT, all legal costs associated with those said legal challenges shall be a PROJECT cost.
14. If, during performance of construction of PROJECT, new information is obtained which requires additional environmental documentation to comply with CEQA and if applicable, NEPA, this Agreement will be amended to include completion of those additional tasks.
15. All administrative draft and administrative final reports, studies, material, and documentation relied upon, produced, created or utilized for PROJECT will be held in confidence to the extent permitted by law, and where applicable, the provisions of California Government Code section 6254.5(e) shall govern the disclosure of such documents in the event said documents are shared between the Parties. Parties will not distribute, release, or share said documents with anyone other than employees, agents and consultants who require access to complete the work described herein this Agreement without the written consent of the party authorized to release them, unless required or authorized to do so by law.
16. Neither STATE nor any officer or employee thereof is responsible for any injury, damage, or liability occurring by reason of anything done or omitted to be done by AUTHORITY under or in connection with any work, authority or jurisdiction conferred upon AUTHORITY or arising under this Agreement. It is understood and agreed that, AUTHORITY will fully defend, indemnify and save harmless STATE and all its officers and employees from all claims, suits or actions of every name, kind and description brought forth under, including, but not limited to, tortious, contractual, inverse condemnation, or other theories or assertions of liability occurring by reason of anything done or omitted to be done by AUTHORITY under this Agreement.
17. Neither AUTHORITY nor any officer or employee thereof is responsible for any injury, damage or liability occurring by reason of anything done or omitted to be done by STATE under or in connection with any work, authority or jurisdiction conferred upon STATE or arising under this Agreement. It is understood and agreed that, STATE will fully defend, indemnify and save harmless AUTHORITY and all its officers and employees from all claims, suits or actions of every name, kind and description brought forth under, including, but not limited to, tortious, contractual, inverse condemnation, or other theories or assertions of liability occurring by reason of anything done or omitted to be done by STATE under this Agreement.
18. No alteration or variation of this Agreement shall be valid unless made by a formal amendment executed by parties hereto and no oral understanding or agreement not incorporated herein shall be binding on any of the parties hereto.

19. This Agreement shall terminate upon satisfactory completion of all post-PROJECT construction obligations of AUTHORITY and the delivery of required PROJECT construction documents, with concurrence of STATE, or on March 1, 2016, whichever is earlier in time, except that the ownership, operation, maintenance, indemnification, environmental commitments, legal challenges, and claims articles shall remain in effect until terminated or modified, in writing, by mutual agreement. Should any construction related or other claims arising out of PROJECT be asserted against one of the parties, the parties agree to extend the fixed termination date of this Agreement, until such time as the construction related or other claims are settled, dismissed or paid.

STATE OF CALIFORNIA
DEPARTMENT OF TRANSPORTATION

ORANGE COUNTY TRANSPORTATION
AUTHORITY

RANDY IWASAKI
Director of Transportation

By: _____
WILL KEMPTON
Chief Executive Officer

APPROVED AS TO FORM:

By: _____
JIM BEIL
Deputy District Director

By: _____
KENNARD R. SMART, JR.
General Counsel

APPROVED AS TO FORM AND PROCEDURE: APPROVED:

Attorney
Department of Transportation

By: _____
KIA MORTAZAVI
Executive Director
Development

CERTIFIED AS TO FUNDS:

Dated: _____

District Budget Manager

CERTIFIED AS TO FINANCIAL
TERMS AND CONDITIONS:

Accounting Administrator

Name
Fiscal Officer

EXHIBIT A

I-5 GATEWAY REPLACEMENT PLANTING FUNDING			
	PROJECT TOTAL	FUNDING SOURCE	
		STATE	OCTA (Measure M)
LANDSCAPE CONSTRUCTION	\$1,112,730	\$0	\$1,112,730
CONSTRUCTION SUPPORT COSTS	<u>\$166,270</u>	<u>\$0</u>	<u>\$166,270</u>
COOPERATIVE AGREEMENT TOTAL	\$1,279,000	\$0	\$1,279,000

ATTACHMENT B

Cooperative Agreement Between the Orange County Transportation Authority and the City of Buena Park Agreement No. C-5-2358 Fact Sheet

1. July 25, 2005, Agreement No. C-5-2358 for \$1,976,018, approved by the Board of Directors.
 - To implement capacity and operational improvements on Interstate 5 between State Route 91 and Artesia Boulevard in Buena Park.
 - Initial term is effective until final acceptance of Project by Authority or until December 31, 2015, whichever is later.
2. January 9, 2006, Amendment No. 1 to Agreement No. C-5-2358, \$265,650, approved by the Board of Directors.
 - Add funding for additional work and cost for mitigation of roadway intersections and pavement in conjunction with detours for the Project.
3. August 14, 2006, Amendment No. 2 to Agreement No. C-5-2358, \$10,000, approved by the Board of Directors.
 - Add funding for design work to develop an "Orange County" Gateway Monument.
4. November 27, 2006, Amendment No. 3 to Agreement No. C-5-2358, \$35,000, approved by the Board of Directors.
 - Add funding for design and plans, specification, and construction review for the "Orange County" Gateway sign.
5. December 14, 2009, Amendment No. 4 to Agreement No. C-5-2358, estimated at \$105,000, pending approval by the Board of Directors.
 - Add funding for maintenance costs of the "Orange County" monument sign.

Total committed to the City of Buena Park after approval of Amendment No. 4 to Agreement No. C-5-2358 will be: \$2,391,668.



MEMO

December 9, 2009

To: Members of the Board of Directors

From: Wendy Knowles, Clerk of the Board

Subject: **Board Committee Transmittal for Agenda Item**

The following item is being discussed at a Committee meeting which takes place subsequent to distribution of the Board agenda. Therefore, you will be provided a transmittal following that Committee meeting (and prior to the Board meeting) informing you of Committee action taken.

Thank you.



December 10, 2009

To: Transit Committee
From: Will Kempton, Chief Executive Officer
Subject: Customer Information Center Update

Overview

The Orange County Transportation Authority Customer Information Center assists customers with trip planning by providing travel itineraries and general information to bus riders seven days a week, 365 days a year. This report provides an update on the Customer Information Center including the increases in call volume and an update on the pilot program to reduce operating costs.

Recommendation

Direct staff to return to the Board of Directors in six months with an update on the Customer Information Center costs and call volume and the progress of the pilot program.

Background

The Customer Information Center (CIC) provides transit information to an increasing number of callers. Customers receive bus schedules, route information, and general bus information by calling the (714) 636-7433 or (800) 636-RIDE telephone numbers. The hours of CIC operation are:

Weekdays: 7 a.m. – 8 p.m.
Weekends: 7 a.m. – 7 p.m.
Holidays: 8 a.m. – 5 p.m.

The initial term for the Alta Resources contract spans a four and one-half year period, January 1, 2007 through June 20, 2011. As reported in the June 2009 CIC update, the number of calls received continues to increase from the previous fiscal year (FY). Call volumes have reached the highest levels since the work stoppage in July 2007 with an increase of 18.9 percent in the first quarter of this current FY versus the first quarter FY 2008-09.

Discussion

This is the seventh in a series of reports to the Board of Directors (Board) on the CIC. The first five reports included reviews on the increase in call volumes, strategies to reduce operating costs, and Board approval for a permanent change in operating hours. After the sixth report, the Board directed staff to implement a 12-month pilot program, which modified the Alta Resources contract performance standards to better manage call volume.

The pilot program was designed to reduce costs by averaging the initial hold times from approximately 30 seconds to 60 seconds with an average abandonment rate of 10 percent. Staff is continuing to work with Alta Resources to identify the appropriate staffing levels to manage call volumes by balancing the performance standards without compromising customer service.

The following chart illustrates the call volumes and the increases this fiscal year.

Months	Actual Call Volume FY 2008-09	FY 2009-10 Budget	FY 09/10 Calls Handled to Date*	Variance of Budget to Actual*
July	73,385	67,399	81,296	21%
August	69,780	64,088	82,912	29%
September	65,106	59,795	83,366	39%
October	63,876	58,665	78,613	34%
November	58,088	53,349	<i>81,600</i>	53%
December	56,132	51,553	<i>81,600</i>	58%
January	60,864	55,899	<i>81,600</i>	46%
February	55,256	50,748	<i>81,600</i>	61%
March	80,599	74,024	<i>81,600</i>	10%
April	67,638	62,120	<i>81,600</i>	31%
May	66,753	61,308	<i>81,600</i>	33%
June	73,879	67,852	<i>81,600</i>	20%
Total	791,356	726,800.00	978,987	35%
Average	65,946	60,567	<i>81,600</i>	35%

*Projections in italics

Call data was available through December 2008 for the development of the FY 2009-10 budget. The monthly call volume was declining and based on available data, it was assumed the average call volume would stabilize at

approximately 60,000 calls per month. The service changes over the past year have been significant. This, coupled with the removal of the schedules from the bus stop cassettes, has driven customers to call the CIC for trip itineraries and to inquire about individual bus schedules or next bus arrival times. The revised projection for FY 2009-10 call volumes is 81,600 per month based on an average of actual call volume during the July through September 2009 time period. Although call volumes are volatile and subject to seasonal changes, it is assumed an average of 81,600 monthly calls handled will be maintained throughout the year.

A survey was conducted October 23 through October 25 to determine the type of information being requested when customers call the CIC. The results of the survey are shown below.

Purpose of Calls	Number of Calls	% of Total
Next Scheduled Bus	623	9.2%
Trip Itineraries	5,833	86.0%
Lost & Found	24	0.4%
Other	299	4.4%
Total	6,779	100%

It is anticipated that the call volume will continue to increase due to the magnitude of the service changes. In addition, as we approach the March 2010 service reduction, we anticipate a spike in call volume due to questions about the elimination of routes, individual trip reductions, adjustments to Night Owl service and route restructuring. The increase in call volume for this fiscal year is estimated at 35 percent over the FY 2009-10 budget.

In November 2009, staff implemented short message service (SMS), more commonly known as text messaging, where customers are able to send a text message including a bus stop number and receive back a text response listing the next three scheduled times for a bus to arrive at their stop. A demonstration of the SMS system was provided to the Transit Committee on October 22, 2009. It is anticipated that as this program matures, some of the next scheduled bus calls may be diverted to the SMS system, which could have an impact on the overall growth in call volume. However, due to the mid-year implementation of the SMS program, and with only 9.2 percent of the surveyed calls for next scheduled bus, it is expected that the call diversion will have a minimal impact in decreasing the overall call volume this fiscal year.

In the previous update to the Board, staff reported on the Regional 511 Integrated Voice Response (IVR) system. The launch date is tentatively scheduled for January 2010. It is expected that diverting CIC calls to the 511 IVR will be a gradual process and full utilization of the trip planning system may not be realized until mid 2010.

Alta Contract

The table below reflects the contractual terms with Alta Resources for the initial four and one-half year term with three one-year option terms.

Alta Resources Contract No. C-6-0461	
Initial Contract Term 4.5 Years	1/1/2007 - 6/30/2011
3 One-Year Option Terms	7/1/2011 - 6/30/2014
Maximum Cumulative Obligation	\$6,917,366.00
Total Contract Cost to Date	\$5,077,537.60
Contract Balance	\$1,839,828.40

December 2009 will mark the third complete year of the four and one-half year initial contract term for the CIC contract. Currently, 63 percent of the initial contract term has expired and 73 percent of contract funding has been expended. At the current rate of expenditure, the maximum cumulative obligation will be attained in the first quarter of FY 2010-11, approximately September 2010 – about nine months earlier than anticipated when the contract was developed.

Several strategies have been implemented to manage the call volume and reduce costs including: reducing the hours of operation, discontinuing real-time bus arrival updates to callers, implementing technology to provide callers with the estimated wait time, and modifying performance standards. For the current fiscal year it is anticipated that 5 percent of the calls will be diverted to the Regional 511 IVR system beginning in January 2010. In addition, the pass sales and reduced fare identification functions were transferred to Customer Relations using existing staff in July 2009. However, given the magnitude of the service changes, the cost reduction strategies have been negated as customers continue to call for information.

The following chart reflects the financial impact on the fiscal year budget for this contract.

Months	FY 2009-10 Budget	Monthly Invoices*	Dollar Variance*	Percent Variance*
July	\$134,797.03	\$163,980.51	(\$29,183.48)	22%
August	\$128,175.19	\$166,550.06	(\$38,374.87)	30%
September	\$119,589.77	\$167,417.93	(\$47,828.16)	40%
October	\$117,330.45	\$157,992.21	(\$40,661.76)	35%
November	\$106,698.78	<i>\$164,016.00</i>	<i>(\$57,317.22)</i>	54%
December	\$103,105.90	<i>\$164,016.00</i>	<i>(\$60,910.10)</i>	59%
January	\$111,797.86	<i>\$164,016.00</i>	<i>(\$52,218.14)</i>	47%
February	\$101,496.83	<i>\$164,016.00</i>	<i>(\$62,519.17)</i>	62%
March	\$148,048.04	<i>\$164,016.00</i>	<i>(\$15,967.96)</i>	11%
April	\$124,240.67	<i>\$164,016.00</i>	<i>(\$39,775.33)</i>	32%
May	\$122,615.06	<i>\$164,016.00</i>	<i>(\$41,400.94)</i>	34%
June	\$135,704.43	<i>\$164,016.00</i>	<i>(\$28,311.57)</i>	21%
Total FY 2009-10	\$1,453,600.00	\$1,967,763.87	(\$514,163.87)	35%

*Projections in italics

In early 2010, OCTA's Financial Planning and Analysis Department will request a mid-fiscal year budget amendment that will include a request for the additional funds required for this contract to continue service without interruption. In addition, staff will continue to explore other ways to structure the CIC contract to reduce costs.

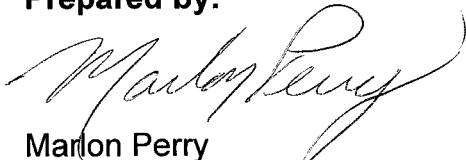
Summary

The performance of Alta Resources continues to meet or exceed contractual performance standards. Staff will continue to monitor call volume and will meet monthly with Alta Resources staff to review service performance to ensure contract requirements are being met and will provide an update in six months to the Board. In addition, staff will request a FY budget increase to be included in the Financial Planning and Analysis Department's mid-year budget amendment.

Attachments

- A. CIC Monthly Call Volumes
- B. Monthly Call Volumes with Average Speed of Answer (Seconds)

Prepared by:



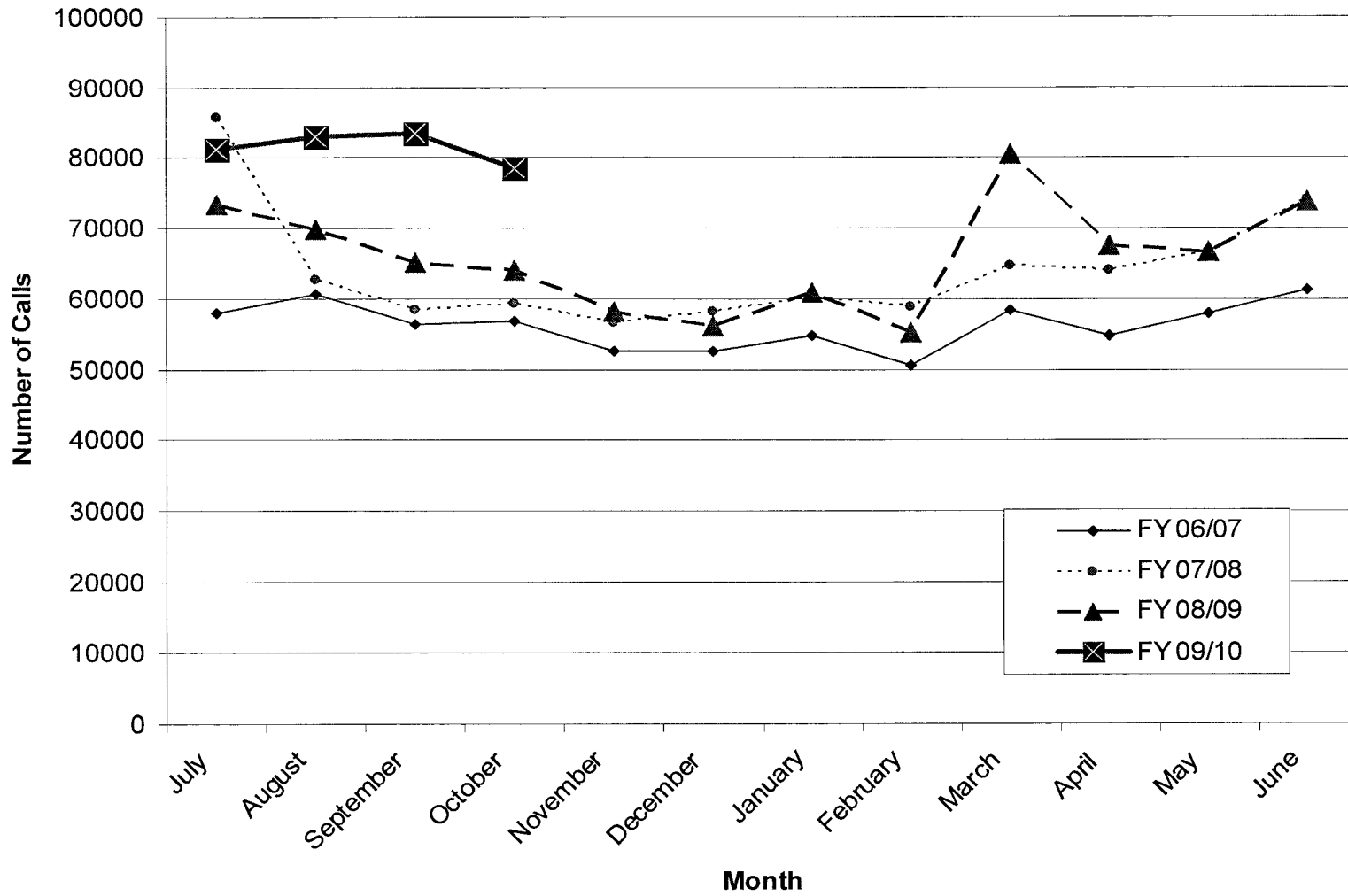
Marlon Perry
Manager, Customer Relations
(714) 560-5566

Approved by:

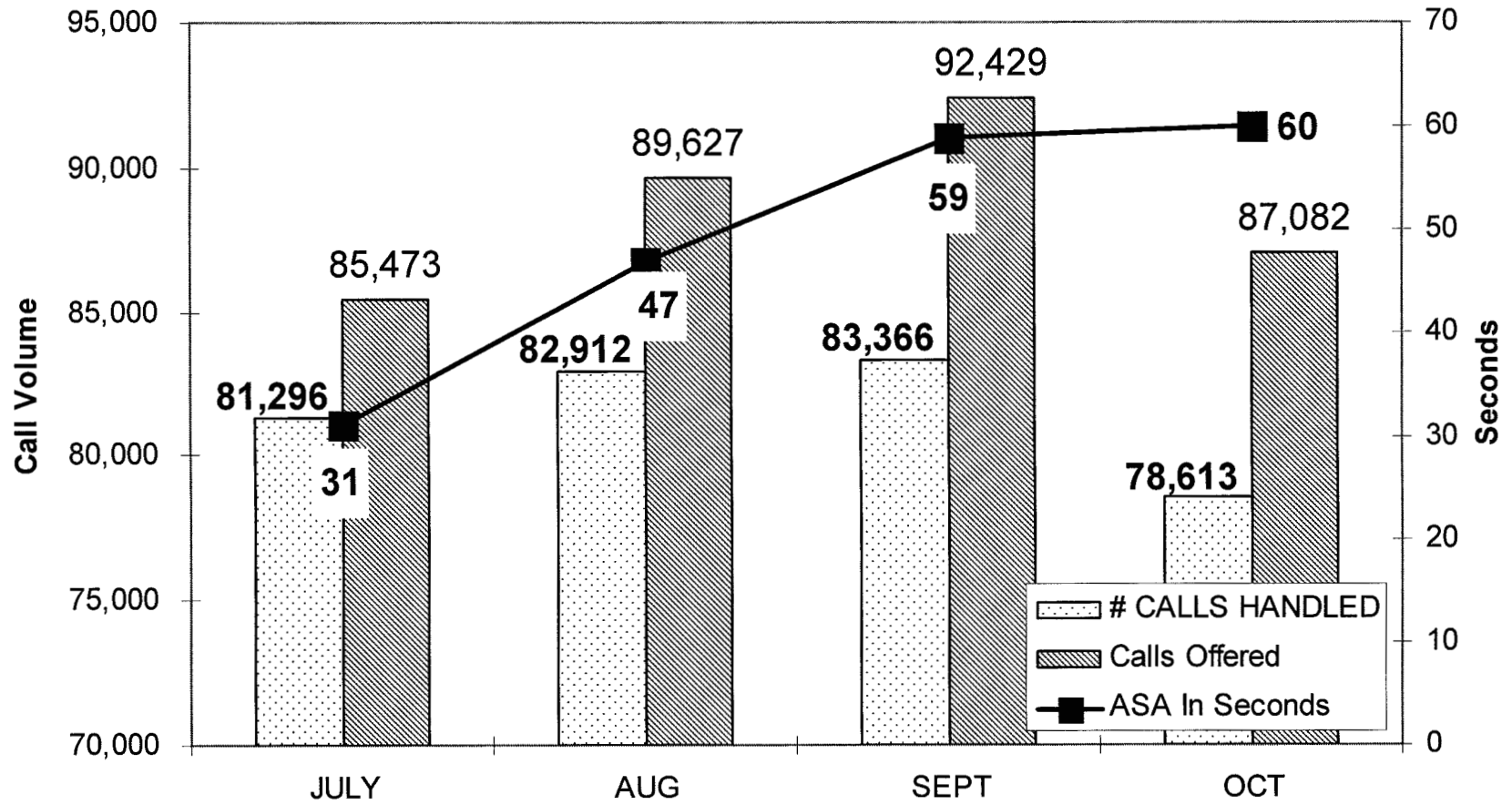


Ellen S. Burton
Executive Director, External Affairs
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CIC Monthly Call Volumes



Monthly Call Volumes with Average Speed of Answer (Seconds)





BOARD COMMITTEE TRANSMITTAL

December 14, 2009

To: Members of the Board of Directors
From: ^{WK} Wendy Knowles, Clerk of the Board
Subject: Renewed Measure M Early Action Plan Review

Transportation 2020 Committee Meeting of November 16, 2009

Present: Directors Amante, Brown, Buffa, Cavecche, Dixon, and Pringle
Absent: Director Campbell

Committee Vote

This item was passed by all Committee Members present.

Committee Recommendations (reflects change from staff recommendations)

- A. Direct staff to initiate the process to amend the Measure M Expenditure Plan to remove \$22 million intended for Renewed Measure M improvements on the Orange Freeway (State Route 57) project.
- B. Amend the Renewed Measure M Plan of Finance to allocate an additional \$22 million of Tax-Exempt Commercial Paper for the Orange Freeway (State Route 57) project.
- C. Direct staff to include clarifying language in the Renewed Measure M Eligibility Guidelines to address recent audit findings in lieu of amending the Local Transportation Authority Ordinance No. 3.
- D. Direct staff to return with an action plan on Renewed Measure M streets and roads project delivery before allocating Renewed Measure M funds to local jurisdictions.



- E. Revise the Metrolink Service Expansion Program to reduce the number of weekday trains from 76 per weekday to 56 per weekday as part of the Renewed Measure M Early Action Plan, with full build-out of 76 trains per weekday to be implemented commensurate with future ridership demand and available funding.
- F. Direct staff to revisit the conceptual engineering schedules and evaluate financial capacity to advance freeway projects.



November 16, 2009

To: Transportation 2020 Committee
From: Will Kempton, Chief Executive Officer
Subject: Renewed Measure M Early Action Plan Review

A handwritten signature in black ink, appearing to read "Will Kempton", is written over the "From:" line of the memo. The signature is fluid and cursive.

Overview

The Renewed Measure M Early Action Plan was originally approved by the Board of Directors on July 16, 2007. The Orange County Transportation Authority is at the half-way point in its implementation of this five-year plan. In the course of implementing the Early Action Plan, changed conditions related to revenues and project schedules necessitate a fresh look at various policy considerations. While some projects have already been adjusted, other projects should be reviewed and adjusted appropriately. A status of each of the Early Action Plan objectives is presented.

Recommendations

- A. Direct staff to initiate the process to amend the Measure M Expenditure Plan to remove \$22 million intended for Renewed Measure M improvements on the Orange Freeway (State Route 57) project.
- B. Amend the Renewed Measure M Plan of Finance to allocate an additional \$22 million of Tax-Exempt Commercial Paper for the Orange Freeway (State Route 57) project.
- C. Direct staff to include clarifying language in the Renewed Measure M Eligibility Guidelines to address recent audit findings in lieu of amending the Local Transportation Authority Ordinance No. 3.
- D. Direct staff to return with an action plan on Measure M streets and roads project delivery before allocating Renewed Measure M funds to local jurisdictions.
- E. Revise the Metrolink Service Expansion Program to reduce the number of weekday trains from 76 per weekday to 56 per weekday.

- F. Direct staff to revisit the conceptual engineering schedules and evaluate financial capacity to advance freeway projects.

Background

On November 7, 2006, Orange County voters approved the renewal of the Measure M (M2) one-half cent sales tax for transportation improvements. On July 16, 2007, the Board of Directors (Board) approved a M2 Early Action Plan (EAP) which provided a blueprint for early action on the M2 Transportation Investment Plan. The EAP committed to meeting nine key objectives and made certain assumptions regarding sales tax receipts and available funding. Orange County Transportation Authority (OCTA) is at the half-way point of the five-year plan and sales tax projections for M2 are now projected at 40 percent less than originally anticipated.

Discussion

The EAP clearly articulated nine key objectives. These objectives were developed with an anticipated long-term revenue stream that was developed using forecasts provided by three universities, (University of California, Los Angeles, California State University, Fullerton, and Chapman University). Major reductions in sales tax receipts since the development of the EAP require each objective to be reviewed and adjusted for financial feasibility.

Despite the economic downturn, delivery of all objectives remain largely on track. Course correction in some areas has already occurred and it makes sense to revise other areas and establish applicable policy considerations where needed. A review of each of the nine objectives is provided here.

Objectives that have already been adjusted

Objective: Award up to \$200 million in competitive funding for transit projects.

In April 2009, the Board approved the use of \$82.3 million in M2 Project T funds (convert Metrolink stations to regional gateways) towards completion of Phase 1 of the Anaheim Regional Transportation Intermodal Center (ARTIC). Phase 1 is the initial phase of the project and consists of the relocation of the existing Anaheim station to the ARTIC site, including the necessary infrastructure improvements to the tracks, platforms, roadway, parking and utilities to accommodate the new facility. Phase 1 will also include a modest amount of commercial mixed-use development to support the transit facility. The total Phase 1 project cost is \$178.9 million and is fully funded via the Project T funds combined with a mix of other local, state, and federal funds.

Environmental clearance of the project is currently underway and is estimated to be completed in October 2010 and the station operational in 2013.

Development work is underway for two fixed-guideway projects as well as several mixed-flow bus/shuttle projects as part of the Go Local Program. The detailed planning efforts associated with these projects are funded through Measure M (M1) in preparation for the implementation phase which will be competitively awarded through M2 - Project S (Transit Extensions to Metrolink). In May 2008, the Board approved \$11.8 million of M1 funds, \$5.9 million for the City of Anaheim, and \$5.9 million for the City of Santa Ana (in partnership with the City of Garden Grove) to undergo an alternative analysis and environmental clearance of their respective fixed-guideway projects. Both cities are expected to complete these activities in 2011. The bus/shuttle projects are currently undergoing detailed service planning. This effort is expected to conclude in spring/summer 2010. Development of policy guidelines regarding a call for projects and award of Project S funds is underway and will be presented to the Board for consideration in spring 2010.

Objective: Complete an agreement between OCTA and resource agencies detailing environmental mitigation of freeway improvements and commitments for project permitting. Begin allocation of funds for mitigation.

The Board approved the process for the environmental mitigation program this past July. At that time, the Board reduced the total amount of early action funds to be utilized for property acquisition/restoration from \$80 million to \$55 million to account for the reduction in projected sales tax revenue. Work related to the planning agreement and other related efforts continues through the Transportation 2020 Committee and the Environmental Oversight Committee.

Objective: Complete program development for road runoff/water quality improvements. Begin allocation of funds to water quality projects.

Development of program guidelines for the water quality program is currently underway and on schedule. Staff is working with the Environmental Cleanup Allocation Committee (ECAC) to bring the program guidelines for this competitive program to the Transportation 2020 Committee and the Board in 2010. The ECAC, charged with program development, is preparing a recommendation for a two tier program. Tier I would fund relatively low-cost, quick to implement, debris removal improvements on city and county streets. Tier II would include larger, more complex regional projects. A planning effort to guide Tier II funding will be recommended with final Tier II guidelines to the

OCTA Board in 2010. With lower than expected sales tax receipts, the ECAC has adjusted expectations of the amount of available funding.

Objectives that need to be adjusted

Objective: Start construction on five major M2 freeway projects on Riverside Freeway (State Route 91) , State Route 57 (SR-57), and Santa Ana Freeway (Interstate 5) valued at \$445 million.

Despite the drop in sales tax revenue, external funding from the State of California (Proposition 1B) and the federal government (American Recovery and Reinvestment Act) has helped to ensure that all five freeway projects specified in the EAP are on schedule to start within the five-year window of the EAP.

When the original EAP was adopted, the Board authorized using \$22 million of M1 funds for the SR-57 Widening Project. At the time, it was projected that the unprogrammed balance within the M1 freeway mode was in excess of \$100 million. With the continuing downturn in the economy, sales tax has declined so dramatically that the current unprogrammed balance in the freeway mode is negative \$12 million. As a result, staff recommends removing the \$22 million dedicated from M1 for the M2 SR-57 project. Consequently, M2 Tax-Exempt Commercial Paper (TECP) would be used to fund the M2 SR-57 project with reimbursement expected from Proposition 1B funds.

Objective: Enable every Orange County city and the County to meet eligibility requirements for M2 funds, including new pavement management and signal synchronization programs.

Thirty-two percent of net revenues from M2 is dedicated to maintaining streets, fixing potholes, improving intersections, and widening city streets and county roads. OCTA is currently working to make each Orange County local agency eligible to receive M2 funds starting in fiscal year 2010-11, which coincides with the start of M2 revenues. Local agencies' M2 eligibility submittals following the new guidelines will be due to OCTA by June 30, 2010.

Consistent with the first Measure M Ordinance, an eligibility manual is being prepared to assist local jurisdictions to understand the requirements necessary to maintain their eligibility to receive M2 funds. This manual will identify annual eligibility requirements as specified in Ordinance No. 3, Attachment B, Section III. Policies and procedures will be included to enable and facilitate annual eligibility for local agency participation.

Over the last year, a number of audit findings related to the administration of the streets and roads component of the original M1 Ordinance have been reported to the Board. The Board has directed staff to initiate an amendment to both the original M1 Ordinance and the M2 Ordinance to provide clarifying language regarding detail provided in each city's Capital Improvement Program (CIP) and the ability to advance and fund turnback-funded projects. Additionally, the Taxpayers Oversight Committee (TOC) has asked that the Board act on clarifying the proper uses of interest earnings in city-controlled Turnback and CTFP accounts. Staff has raised these issues with the Technical Advisory Committee (TAC) and recommends that this clarifying language be included in the eligibility manual in lieu of a formal amendment to the ordinance. M2 Eligibility Guidelines will be presented to the Board in early 2010.

Objective: Award up to \$165 million to cities and the County for signal synchronization and road upgrades.

In April 2008, \$4 million of Proposition 1B funds was awarded to OCTA for signal synchronization projects. These funds, combined with \$4 million of matching funds from M1, provide the necessary resources to synchronize signals along 10 significant street corridors over the next three years. In addition, a signal synchronization master plan for the entire county is under development and should be completed before the end of the calendar year.

On April 10, 2008, the California Transportation Commission approved programming \$183 million to Orange County under the Trade Corridors Improvement Program for seven railroad grade separation projects in Fullerton and Placentia. This amount is matched with \$74 million of federal funding and \$160 million of local funding. The local funding will come primarily out of the Regional Capacity Program within M2, with \$101 million of TECP being utilized to advance the projects to meet the timelines required under the state program.

Currently, \$134 million of M1 allocations to local jurisdictions through the Combined Transportation Funding Program (CTFP) remain unobligated. Staff has been working with the TAC to develop a plan for the efficient closeout of the M1 CTFP program. Staff recommends that a policy regarding the efficient closeout of the M1 CTFP program be completed prior to the allocation of competitive street and road funds to local jurisdictions under M2.

Objective: Implement high-frequency Metrolink service within Orange County with associated railroad crossing safety and quiet zone improvements completed or under construction. Begin project development for at least five major grade separation projects.

Originally approved in November 2005, the Metrolink Service Expansion Program (MSEP) was to increase weekday rail service from 44 weekday trains per day to 76 weekday trains per day beginning in fiscal year 2009-10. Accommodating this level of service requires a significant capital investment in new rolling stock, station improvements, and track improvements. With M1 providing the primary source of revenue, the Board has authorized a \$420 million capital investment in providing the necessary improvements to increase service. Although sharp declines in sales tax receipts have reduced the anticipated revenues to fund this program, the infusion of Proposition 1B funds, Proposition 116 funds, and STIP funds have kept the MSEP capital program fully funded.

The only ongoing source of funding for operations of Metrolink service is M2. As reported to the Finance and Administration and Transit committees in May 2009, with sales tax projections for M2 now 40 percent less than originally anticipated, service levels must be adjusted to match available revenues. Staff is recommending that the operating plan for the MSEP be adjusted from 76 weekday trains per day to 56 trains per day to match projected revenues.

In a related but separate effort, on August 27, 2007, the Board approved an implementation strategy for the grade crossing safety enhancement program and quiet zone improvements at 52 grade crossings in Orange County. In partnership with the Southern California Regional Rail Authority (SCRRA), construction began in August 2009 and is expected to take slightly more than two years to complete.

The original M2 EAP also called for project development work to begin on at least five major grade separation projects. On August 24, 2009 the Board approved proceeding with five at-grade rail-highway crossings located at Ball Road and Orangethorpe Avenue in the City of Anaheim, Main Street in the City of Orange, and Grand Avenue and 17th Street in the City of Santa Ana, to proceed into the project development phase.

Objectives that need to be reviewed

Objective: Complete the first major milestone – conceptual engineering – for every freeway project in the EAP; ensuring that all projects are eligible for matching funds and ready to enter into environmental review, design, and construction.

OCTA continues to work diligently on getting all freeway projects included in the M2 expenditure plan shelf-ready. However, the dramatic decline in

revenues will pose a considerable challenge in funding projects outside the five-year window of the Early Action Plan. Staff recommends taking a fresh look at the project delivery schedules and financial capacity to advance projects over a 10-year horizon. This will help determine the optimal approach to balancing the need to get projects shelf-ready while avoiding the possibility of committing time and resources to activities that will become out-dated due to lack of available funding for construction activities.

Objective: Complete development work and allocate funds for transit fare discounts and improved services for seniors and persons with disabilities.

Development work has begun on the transit programs under M2. This development work is anticipated to be complete prior to the receipt of revenue in April, 2011.

Summary

The Orange County Transportation Authority is implementing the Renewed Measure M Early Action Plan as approved by the Board of Directors on July 16, 2007. OCTA is at the half-way point in delivering the Early Action Plan and remains on schedule in delivering all elements of the Early Action Plan as promised. However, M2 sales tax projections have decreased by 40 percent since the Early Action Plan was originally conceived and some elements of the Early Action Plan have already been adjusted to reflect new financial realities while other elements require further adjustment and analysis.

Attachment

None.

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Approved by:



Kenneth Phipps
Executive Director,
Finance and Administration
(714) 560-5637



December 14, 2009

To: Members of the Board of Directors
From: Will Kempton, Chief Executive Officer
Subject: Approval to Release Request for Proposals for Program Management Consultant for Construction of the Railroad Grade Separation Projects

Overview

Staff has developed a request for proposals to initiate a competitive procurement process to retain program management consultants to provide construction management oversight and coordination of railroad grade separation projects.

Recommendations

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 9-0809 for selection of consultant services.
- B. Approve the release of Request for Proposals 9-0809 for program management consultant for construction of the railroad grade separation projects.

Discussion

On May 23, 2008, the Orange County Transportation Authority (Authority) Board of Directors (Board) approved an implementation strategy for several grade separation projects along the Orangethorpe corridor. The current grade separations under development by the Authority include five projects: Placentia Avenue, Kraemer Boulevard, Orangethorpe Avenue, Tustin Avenue/Rose Drive, and Lakeview Avenue.

Final design has been initiated for the five grade separation projects and construction award is scheduled as follows:

Approval to Release Request for Proposals for Program Management Consultant for Construction of the Railroad Grade Separation Projects

<u>Project</u>	<u>Construction Award</u>
Placentia Avenue Undercrossing	October 2010
Kraemer Boulevard Undercrossing	January 2011
Lakeview Avenue Overcrossing	July 2011
Orangethorpe Avenue Overcrossing	July 2013
Tustin Avenue/Rose Drive Overcrossing	July 2013

The management and coordination of these construction projects will be a significant expansion of the role of the Authority's project development's staff. To handle these expanded responsibilities, staff proposes to hire a construction program management consultant (CPMC) to assist on the grade separation projects. The CPMC is necessary to support specialty construction roles currently not performed in-house by Authority staff. These specialty roles include the development and monitoring of a rail safety program, the implementation of a construction document management system, monitoring of labor compliance and environmental mitigation measures, and support for program risk assessment and claims mitigation.

Under a separate procurement, the Authority intends to award multiple contracts to construction management firms to administer each construction contract and to provide construction management services to the Authority. The services that the construction manager will provide for each project will include administration of each independent construction contract, coordination with the project design engineers during construction, quality assurance inspections, independent quality assurance testing, daily construction reports, control point surveying, project records administration, contractor progress payment processing, change order processing and implementation, and claim processing.

The CPMC will assist the Authority with the oversight and management of the activities and services performed by the construction manager of the projects to ensure that the firm assigned to each project is performing all of its construction management duties in a manner consistent with the construction contract requirements and with its contractual service obligations. The CPMC will also provide program-wide guidance to the construction management firms in terms of construction safety, quality assurance, and claims management.

Therefore, the Authority is seeking proposals from qualified program management consultants to assist the Authority in providing construction management oversight and coordination of these railroad grade separation projects.

Procurement Approach

The Authority's procurement procedures and policies require that the Board approve all Request for Proposals (RFP) over \$1,000,000, as well as approve the evaluation criteria and weightings. Staff is submitting for Board approval the draft RFP and evaluation criteria and weights, which will be used to evaluate proposals received in response to the RFP. The evaluation criteria and weights are as follows:

- Qualifications of the Firm 25 percent
- Staffing and Project Organization 40 percent
- Work Plan 35 percent

The evaluation criteria are consistent with criteria developed for similar Architectural and Engineering (A&E) procurements. Several factors were considered in developing the criteria weights. Staff proposed assigning the greatest level of importance to staffing and project organization criteria, as the qualifications of the project manager and other key task leaders are of most importance to the timely delivery of the project. Likewise, staff assigned a higher level of importance to the work plan as the technical approach and understanding of the project is critical to developing a thorough work approach and timely delivery. The firm must show a thorough understanding of all the special construction issues for each of the five grade separation projects. The qualifications of the firm are important in that they have to demonstrate their ability to perform on large, complex projects. For A&E procurements, price is not an evaluation criterion pursuant to state and federal laws.

The RFP will be released upon Board approval of this recommendation.

Fiscal Impact

The Renewed Measure M funding for the program management consultant for construction is partially included in the Authority's Fiscal Year 2009-10 Budget, Development Division, Account 0017-7519-SO202-PPJ, the the amount of \$5,800,000. A fund transfer from Account 0017-7831-SO202-QKD, Contributions to Other Agencies, in the amount of \$200,000, is required to accommodate the additional requirements, for a total amount not to

Approval to Release Request for Proposals for Program Management Consultant for Construction of the Railroad Grade Separation Projects

Page 4

exceed \$6,000,000. The remaining amount of Renewed Measure M funds will be budgeted in subsequent years.

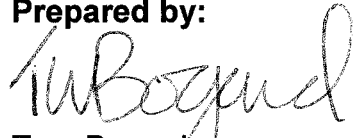
Summary

Board approval is requested to release RFP 9-0809 for professional services to provide a CPMC for railroad grade separation projects.

Attachment

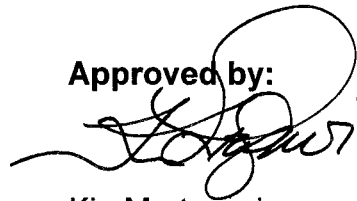
- A. Draft Request for Proposals (RFP) 9-0809, Construction Program Management Support for Grade Separation Projects

Prepared by:

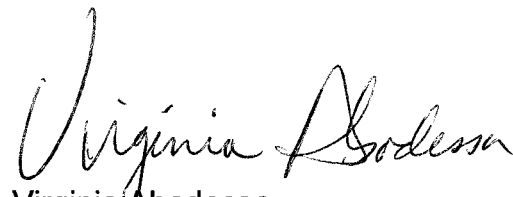


Tom Bogard
Director, Highway Project Delivery
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Approved by:



Kia Mortazavi
Executive Director, Development
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Virginia Abadessa
Director, Contracts Administration &
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DRAFT REQUEST FOR PROPOSALS (RFP) 9-0809

**CONSTRUCTION PROGRAM MANAGEMENT SUPPORT
FOR GRADE SEPARATION PROJECTS**

IS AVAILABLE ON THE OCTA WEBSITE (www.OCTA.net)

AND AVAILABLE UPON REQUEST

FROM THE CLERK OF THE BOARD'S OFFICE



December 14, 2009

To: Members of the Board of Directors
From: Will Kempton, Chief Executive Officer
Subject: Orange County Subregional Sustainable Communities Strategy

Overview

On Thursday, November 19, 2009, the Orange County Council of Governments approved the original cooperative agreement with the Orange County Transportation Authority for SB 375 (Chapter 728, Statutes of 2008) planning requirements. As part of the motion to approve, the Orange County Council of Governments Board of Directors also requested to work with the Orange County Transportation Authority to establish a joint working committee for sustainable communities strategy development and planning.

The Orange County Council of Governments Board also took action to notify the Southern California Associated Governments that the Board intended to work with the Orange County Transportation Authority and Southern California Associated Governments to conduct a subregional sustainable communities strategy for Orange County. This action was dependent upon negotiating a memorandum of understanding with the Southern California Associated Governments on the terms, roles, and responsibilities for conducting a subregional sustainable community strategy in Orange County.

Recommendations

- A. Staff recommends that the Orange County Transportation Authority approve an action to notify the Southern California Associated Governments of its intent to work with the Orange County Council of Governments per the terms of the SB 375 planning requirements agreement on the development of a subregional sustainable communities strategy for Orange County, dependent upon negotiating a memorandum of understanding with Southern California Associated Governments on the terms, roles, and responsibilities for subregional delegation.

- B. Staff also recommends that the Orange County Transportation Authority and Orange County Council of Governments establish a joint working committee for SB 375 planning purposes, membership to be designated by the chairs of both boards, to meet as needed during the sustainable communities strategy planning and approval process.

Background

The Orange County Council of Governments (OCCOG) is a joint powers agency comprised of a voluntary advisory association of member local governments and agencies in Orange County. The purpose of OCCOG is to 1) serve as the Southern California Association of Governments (SCAG) subregional organization that represents Orange County on mandated and non-mandated SCAG regional planning activities; 2) develop and adopt Orange County projections that serve as Orange County's official growth forecast for local, area wide, and regional planning; and 3) serve as a vehicle for cooperative planning for activities and issues of interest to the OCCOG member agencies.

The enactment of SB 375 provided for subregional councils of governments in the SCAG region to work with their respective county transportation commissions to develop land use/transportation strategies to meet greenhouse gas reduction targets. This legislation presented a unique opportunity for Orange County Transportation Authority (OCTA) and OCCOG staffs to discuss compliance with SB 375 along with administrative responsibilities for the OCCOG.

Cooperative Agreement for Administrative Services

Earlier this year, the OCTA and OCCOG Board of Directors (OCCOG Board) unanimously approved Cooperative Agreement No. C-9-0496, which identifies the roles and responsibilities for each agency for administration of the OCCOG.

This agreement was approved by the OCCOG Board on June 25, 2009, and the OCTA Board of Directors (OCTA Board) on July 13, 2009. It authorized OCTA to provide for the administration of the OCCOG including providing a meeting location; preparation of agendas, staff reports, and minutes for the OCCOG Board meetings; distribution and posting of meeting notices and meeting materials; management of election of SCAG Regional Council/OCCOG Board; management of financial requirements; invoicing and collection of dues from member agencies and payments from Orange County cities for OCCOG's sponsorship of the Center for Demographic Research (CDR); and maintenance and storage of records.

OCTA will also assist with the administration of the OCCOG Technical Advisory Committee. In order to provide these administrative services and in compliance with the laws governing joint powers agencies, OCTA is also required to provide an executive director, clerk of the board, treasurer, and auditor/controller either through direct staff and/or consultant support. The OCCOG executive director, or his/her designee, will also serve as the OCCOG subregional coordinator to SCAG and represent OCCOG on the SCAG Plans and Programs Technical Advisory Committee.

Cooperative Agreement for SB 375 Planning Requirements

A joint responsibility identified in Cooperative Agreement No. C-9-0496 was to “develop and approve concurrent with the Administrative Services Agreement a separate agreement between the entities specifying their respective roles and responsibilities in complying with the provisions of SB 375.” SB 375 authorizes a subregional council of governments and the county transportation commissions in the SCAG region to work together to propose the sustainable communities strategy (SCS) and an alternative planning strategy (APS), if needed.

SCAG would then be required to include the subregional SCS within its regional SCS to the extent that it is consistent with existing state and federal law, and approve the APS if consistent with SB 375. SB 375 also authorizes SCAG to develop and adopt a framework for the subregional SCS and APS to address the intraregional land use, transportation, economic, air quality, and climate policy relationships. SCAG has requested the subregions to notify them by December 31, 2009, if they intend to develop and submit a subregional SCS and APS if needed.

Following several months of negotiations between OCTA and OCCOG Board Members and staff, the original SB 375 planning requirements agreement was approved by both boards as Cooperative Agreement No. C-9-0497 (Attachment A). This agreement identifies the roles and responsibilities of each entity. This agreement was adopted by the OCTA Board, along with the cooperative agreement for administrative services on July 13, 2009. The agreement defines the responsibilities of each agency should the Boards of Directors of OCTA and the OCCOG elect to conduct a subregional SCS and APS, if needed.

Discussion

Unique to the SCAG region, SB 375 provided that the “subregional council of governments and the county transportation commissions may work together to propose the sustainable communities strategy and an alternative planning strategy for that subregional area...the metropolitan planning organization shall include the subregional communities strategy for that subregion in the regional sustainable communities strategy.”

SCAG has identified two processes for development of a subregional SCS:

- 1) **Subregional Delegation:** This option is for subregions with sufficient local resources that prefer to maintain local control in the development of the subregional SCS. Subregional delegation does require the subregional entity to assume the associated roles, responsibility and cost for conducting a subregional SCS but also provides full local control in the process and in the end, an assurance that the subregional SCS will be incorporated into the regional SCS. The SCAG Draft (October 27, 2009) Subregional Framework and Guidelines for SCS outlines this option in greater detail (Attachment B).

- 2) **Collaborative Process:** This option has been developed for subregions that may not have the local resources to conduct a subregional SCS. It provides these subregions the ability to participate in the development of the regional SCS through a cooperative process established by SCAG, with SCAG maintaining the leadership and oversight. This option does not require the cost, resources, or responsibilities locally for preparing a SCS.

SCAG established a December 31, 2009, deadline for a subregion to notify SCAG of its intent to conduct a subregional SCS or to choose the second option of participating in the regional collaborative process.

Once intent to conduct a subregional SCS has been transmitted to SCAG; Orange County as a subregional entity will work with SCAG to finalize a memorandum of understanding enumerating terms, roles, and responsibilities for conducting a subregional SCS. OCCOG and OCTA Board Members and staff will remain engaged as members of the myriad SCAG technical advisory committees that will continue as part of the cooperative process for the preparation of the regional SCS.

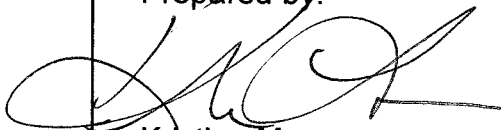
Summary

In summary, staff is seeking OCTA Board approval to notify SCAG of its intent to work with the OCCOG per the terms of the SB 375 planning requirements agreement on the development of a subregional SCS for Orange County, dependent upon negotiating a memorandum of understanding with SCAG on the terms, roles, and responsibilities for SCS subregional delegation. In addition, staff is recommending that OCTA and OCCOG establish a joint working committee for SB 375 planning purposes.

Attachments

- A. Cooperative Agreement No. C-9-0497 Between OCTA and OCCOG for SB 375 Planning Requirements
- B. SCAG Draft (October 27, 2009) Subregional Framework and Guidelines for SCS

Prepared by:



Kristine Murray
Executive Director of Government Relations
(714) 560-5908

1 COOPERATIVE AGREEMENT NO. C-9-0497

2 BETWEEN

3 ORANGE COUNTY TRANSPORTATION AUTHORITY

4 AND

5 ORANGE COUNTY COUNCIL OF GOVERNMENTS

6 FOR

7 SB 375 PLANNING REQUIREMENTS

8 THIS AGREEMENT (hereinafter referred to as "AGREEMENT"), is effective this 1st day
9 of July, 2009, by and between the Orange County Transportation Authority
10 ("AUTHORITY"), a public corporation of the State of California and the Orange County Council of
11 Governments ("OCCOG"), a public joint powers entity of the State of California.

12 RECITALS:

13 WHEREAS, SB 375 (Chapter 728, laws of 2008)("SB 375") authorizes, pursuant to
14 Government Code Subsection 65080(b)(2)(C) OCCOG, as a subregional council of governments,
15 and AUTHORITY, as a county transportation commission, to work together to propose a sustainable
16 communities strategy ("SCS") and, if necessary, an alternative planning strategy ("APS") for the
17 subregional area of Orange County; and

18 WHEREAS, OCCOG and AUTHORITY desire to evaluate and consider a cooperative
19 relationship for the preparation of the SCS and, if necessary, the APS for Orange County.

20 WHEREAS, AUTHORITY's Board of Directors approved this Agreement on July 13, 2009.

21 NOW THEREFORE, it is mutually understood and agreed by AUTHORITY and OCCOG as
22 follows:

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ARTICLE 1. JOINT RESPONSIBILITIES OF OCCOG AND AUTHORITY

A. Develop and adopt an SB 375 work plan for fiscal years (FY) 2009-10 and 2010-11 to comply with the responsibilities of each entity under SB 375. The work plan shall identify the entity tasks, costs, schedules, staffing, necessary professional services, and deliverables and shall assign financial and policy responsibilities for each entity.

B. Contract with a demographic consultant to develop demographic forecasts that will be utilized for the development of the SCS for greenhouse gas emissions reduction (and which, by statute, will also be used to allocate the subregion's Regional Housing Need Allocation); and, further, to develop additional forecasts for the preparation of an APS, if necessary.

ARTICLE 2. PREPARATION OF SCS AND, IF NECESSARY, PREPARATION OF APS FOR ORANGE COUNTY

A. OCCOG and AUTHORITY shall decide, by a majority vote of each party's Board of Directors, whether to prepare a subregional SCS, and if necessary, a subregional APS for Orange County. This decision shall be made after review and consideration of the approach and methodology for subregional SCS development established by the Southern California Association of Governments ("SCAG"). The decisions by OCCOG and AUTHORITY shall be prior to the date required by SCAG for such a decision.

B. OCCOG and AUTHORITY recognize that working relationships, approval authority, work tasks and deadlines for SCS and APS development shall be framed by terms and requirements, processes, work products and deliverables that are yet to be established, but shall be in an SB 375 subregional framework with guidelines that will be adopted by SCAG.

C. If OCCOG and AUTHORITY do not agree to develop an Orange County SCS/APS, each entity shall support the use of the Orange County Projections, as prepared by the Center for Demographic Research ("CDR"), for use in the 2012 Regional Transportation Plan; and further, shall secure additional funding for CDR to prepare interim drafts of the Orange County Plan ("OCP") for SCAG's development of the SCS, APS and the Regional Housing Needs Assessment ("RHNA").

1 D. If OCCOG and AUTHORITY agree to develop an Orange County SCS/APS, then the
2 parties agree as follows:

- 3 (1) Work with SCAG to identify a timeline for SCS preparation and submission,
4 and determine if preparation of an APS is necessary;
- 5 (2) Secure additional funding resources for consultant support to produce the SB
6 375 demographic forecasts for development of the SCS/APS, which would
7 include the subregion's RHNA development and allocations. The consultant
8 shall prepare the demographic forecast, with input from local jurisdictions, for
9 the SCS, and APS, if necessary, in consultation with both AUTHORITY and
10 OCCOG;
- 11 (3) AUTHORITY shall prepare a long-range transportation plan for Orange
12 County;
- 13 (4) OCCOG shall review and approve the Orange County Projections developed
14 by the demographics consultant;
- 15 (5) AUTHORITY shall use the OCCOG-adopted Orange County Projections to be
16 submitted to SCAG for inclusion into the 2012 Regional Transportation Plan
17 ("RTP");
- 18 (6) AUTHORITY, in consultation and cooperation with OCCOG, shall be
19 responsible for the preparation and shall adopt the subregional SCS and, if
20 necessary, the APS to be proposed to SCAG;
- 21 (i) AUTHORITY shall make a good faith effort to consider and include a
22 summary of all input provided by OCCOG to the SCS or, if necessary,
23 the APS;
- 24 (ii) AUTHORITY shall only use land use scenarios within the SCS that
25 have been approved by the respective cities or the County;

26 /

1 (iii) OCCOG may, by a two-thirds vote of its Board of Directors, reject the
2 subregional SCS and/or the APS prepared and adopted by
3 AUTHORITY, in which event AUTHORITY and OCCOG shall agree to
4 provisions for approval and adoption as established pursuant to the
5 guidelines to be established by SCAG for subregional development of
6 an SCS/APS.

7 (7) OCCOG agrees that the AUTHORITY-adopted subregional SCS and, if
8 necessary, the APS shall be submitted to SCAG as the subregional plan
9 unless it is rejected by a two-thirds vote of its Board of Directors.

10 **ARTICLE 3. REGIONAL HOUSING NEEDS ASSESSMENT**

11 SCAG shall maintain all responsibilities for administering and conducting the state-mandated
12 Regional Housing Needs Assessment and Allocation processes, which are required to be consistent
13 with the adopted 2012 SCS.

14 **ARTICLE 4. REDUCE ORANGE COUNTY CONGESTION ("ROCC") GRANT**

15 Upon authorization from the Federal Transit Administration and/or other approving agencies,
16 OCCOG shall agree to AUTHORITY'S use of ROCC federal planning grant in the amount of
17 approximately \$834,077 for the purpose of implementing the SB 375 work plans for FY 2009-10 and
18 2010-11. Use of the ROCC funds shall be in conformance with all federal and state requirements,
19 including audit and procurement processes.

20 **ARTICLE 5. INDEMNIFICATION**

21 A. OCCOG shall defend, indemnify, and hold harmless the AUTHORITY, its officers,
22 directors, agents, and employees, from all liability, claims, losses and demands, including defense
23 costs and reasonable attorneys' fees, whether resulting from court action or otherwise, arising out of
24 the acts or omissions of OCCOG, its officers, directors, agents, or employees, in the performance of
25 the Agreement.

26 /

1 B. AUTHORITY shall defend, indemnify, and hold harmless the OCCOG, its officers,
2 directors, agents, and employees, from all liability, claims, losses and demands, including defense
3 costs and reasonable attorneys' fees, whether resulting from court action or otherwise, arising out of
4 the acts or omissions of AUTHORITY, its officers, directors, agents, or employees, in the
5 performance of the Agreement.

6 **ARTICLE 6. ASSIGNMENT**

7 AUTHORITY shall not assign the performance of this Agreement, nor any part thereof, nor
8 any monies due hereunder, without prior written consent of OCCOG.

9 **ARTICLE 7. TERM OF AGREEMENT**

10 This Agreement shall commence upon execution by both parties and shall continue in full
11 force and effect through June 30, 2011, unless terminated earlier by any party. The term may be
12 extended by mutual consent; for a period of time agreed upon in writing between the parties.
13 AUTHORITY or OCCOG may terminate this Agreement, without cause, by delivering written notice
14 of termination to the other party not less than one hundred twenty (120) calendar days before the
15 date of termination. Upon the date of termination each party shall, at no cost to the other party,
16 make available all equipment, materials, documents or records in their possession to the party that
17 requests the same.

18 **ARTICLE 8. ENTIRE AGREEMENT**

19 This Agreement contains the entire understanding between the parties relating to the
20 obligations of the parties described in this Agreement. All prior or contemporaneous agreements,
21 understandings, representations and statements, oral or written, are merged into this Agreement
22 and shall be of no further force or effect. Each party is entering into this Agreement based solely
23 upon the representations set forth herein and upon each party's own independent investigation of
24 any and all facts such party deems material.

25 /

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ARTICLE 9. AUTHORITY TO EXECUTE THIS AGREEMENT

The person or persons executing this Agreement warrant and represent that he or she has the authority to execute this Agreement on behalf of their principal and has the authority to bind such party to the performance of its obligations hereunder.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be executed the day and year written below.

ORANGE COUNTY COUNCIL OF GOVERNMENTS

ORANGE COUNTY TRANSPORTATION AUTHORITY

By: Cheryl Brothers

By: [Signature]
for James S. Kenan
Chief Executive Officer

Date: 12.3.09

Date: 1/14/09

APPROVED AS TO FORM:

By: [Signature]
Kennard R. Smart, Jr.
General Counsel

APPROVED AS TO FORM:

By: [Signature]

APPROVAL RECOMMENDED:

By: [Signature]
P. Sue Zuhike
Chief of Staff

Date: _____

ARTICLE 9. AUTHORITY TO EXECUTE THIS AGREEMENT

The person or persons executing this Agreement warrant and represent that he or she has the authority to execute this Agreement on behalf of their principal and has the authority to bind such party to the performance of its obligations hereunder.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be executed the day and year written below.

ORANGE COUNTY COUNCIL OF GOVERNMENTS

By: Cheryl Botkins

Date: 12.3.09

ORANGE COUNTY TRANSPORTATION AUTHORITY

By: James S. Kenan
Chief Executive Officer

Date: 7/14/09

APPROVED AS TO FORM:

By: Kennard R. Smart, Jr.
General Counsel

APPROVED AS TO FORM:

By: [Signature]

APPROVAL RECOMMENDED:

By: P. Sue Zuhlke
Chief of Staff

Date: 7/14/09

ARTICLE 9. AUTHORITY TO EXECUTE THIS AGREEMENT

The person or persons executing this Agreement warrant and represent that he or she has the authority to execute this Agreement on behalf of their principal and has the authority to bind such party to the performance of its obligations hereunder.

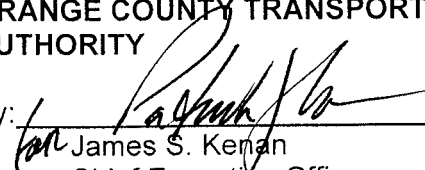
IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be executed the day and year written below.

ORANGE COUNTY COUNCIL OF GOVERNMENTS

By: 

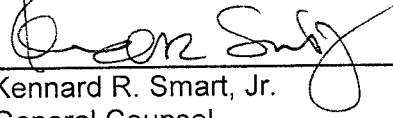
Date: 12. 3. 09

ORANGE COUNTY TRANSPORTATION AUTHORITY

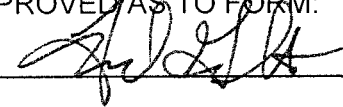
By: 
for James S. Kenan
Chief Executive Officer

Date: 7/14/09

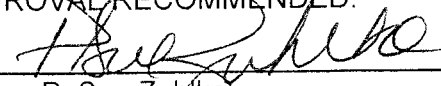
APPROVED AS TO FORM:

By: 
Kennard R. Smart, Jr.
General Counsel

APPROVED AS TO FORM:

By: 

APPROVAL RECOMMENDED:

By: 
P. Sue Zuhlke
Chief of Staff

Date: _____

Southern California Association of Governments

DRAFT
(October 27, 2009)

SUBREGIONAL FRAMEWORK AND GUIDELINES
for
SUSTAINABLE COMMUNITIES STRATEGY

I. INTRODUCTION

SB 375 (Steinberg), also known as California's Sustainable Communities Strategy and Climate Protection Act, is a new state law which became effective January 1, 2009. SB 375 calls for the integration of transportation, land use, and housing planning, and also establishes the reduction of greenhouse gas (GHG) emissions as one of the main goals for regional planning. SCAG, working with the individual County Transportation Commissions (CTCs) and the subregional organizations within the SCAG region, is responsible for implementing SB 375 in the Southern California region. Success in this endeavor is dependant on collaboration with a range of public and private partners throughout the region.

Briefly summarized here, SB 375 requires SCAG as the Metropolitan Planning Organization to:

- Prepare a Sustainable Communities Strategy (SCS) as part of the 2012 Regional Transportation Plan (RTP). The SCS will meet a State-determined regional GHG emission reduction target, if it is feasible to do so.
- Prepare an Alternative Planning Strategy (APS) that is not part of the RTP if the SCS is unable to meet the regional target.
- Integrate SCAG planning processes, in particular assuring that the Regional Housing Needs Assessment (RHNA) is consistent with the SCS, at the jurisdiction level.
- Specific to SCAG only, allow for subregional SCS/APS development.
- Develop a substantial public participation process involving all stakeholders.

Unique to the SCAG region, SB 375 provides that "a subregional council of governments and the county transportation commission may work together to propose the sustainable communities strategy and an alternative planning strategy ... for that subregional area." In addition, SB 375 authorizes that SCAG "may adopt a framework for a subregional SCS or a subregional APS to address the intraregional land use, transportation, economic, air quality, and climate policy relationships." Finally, SB 375 requires SCAG to "develop overall guidelines, create public participation plans, ensure coordination, resolve conflicts, make sure that the overall plan complies with applicable legal requirements, and adopt the plan for the region." *See*, Government Code §65080(b)(2)(C).

The intent of this Subregional Framework and Guidelines is to offer the SCAG region's subregional agencies the highest degree of autonomy, flexibility and responsibility in developing a program and set of implementation strategies for their subregional areas. In so doing, it is hoped that the subregional strategies brought forward for regional adoption will better reflect the issues, concerns, and future vision of the region's collective jurisdictions and the fullest possible range of stakeholders.

At the same time, it is necessary for SCAG to develop measures that assure equity, consistency and coordination, such that the region can collect and incorporate subregional strategies, and include a successful regional SCS in the 2012 Regional Transportation Plan (RTP) as required by SB 375. For that reason, this Framework and Guidelines establishes standards for the subregion's work in preparing and submitting subregional strategies, while also laying out SCAG's role in facilitating and supporting the subregional effort with data, tools, and other assistance.

While the Framework and Guidelines are intended to facilitate the specific subregional option to develop the SCS and APS if necessary as described in SB 375, SCAG encourages the fullest possible participation from all subregional organizations. As SCAG undertakes implementation of SB 375 for the first time, SCAG has also designed a "collaborative" process, in cooperation with the subregions, that allows for robust subregional participation for subregions that choose not to exercise their statutory option.

II. ELIGIBILITY AND PARTICIPATION

SB 375 allows for subregional councils of governments in the SCAG region to have the option to develop the SCS, and the APS if necessary, for their area. SCAG interprets this option as being available to any subregional organization recognized by SCAG, regardless of whether the organization is formally established as a "subregional council of governments."

County Transportation Commissions (CTCs) play an important and necessary role in the development of a subregional SCS. Any subregion that chooses to develop a subregional strategy will need to work closely with the respective CTC in its area in order to identify and integrate transportation projects and policies. Beyond working with CTCs/IVAG, SCAG encourages partnership efforts in the development of subregional strategies, including partnerships between and among subregions.

Subregional agencies must formally indicate to SCAG, in writing, by December, 2009 if they intend to exercise this option to develop their own SCS. Subregions that choose to develop a SCS for their area must do so in a manner consistent with this Framework and Guidelines. The subregion's intent to exercise its statutory option to prepare the strategy for their area must be decided and communicated through formal action of the subregional agency's governing board. It may also be necessary to establish a formal written agreement between SCAG and the respective subregion, which can be revised if necessary, as the SCS process is implemented.

III. FRAMEWORK

The Framework portion of this document covers regional objectives and policy considerations, and provides general direction to the subregions in preparing their own SCS, and APS if necessary.

A. SCAG's preliminary goals for implementing SB 375 are as follows:

- Achieve the regional GHG emission reduction target for cars and light trucks through a SCS.
- Fully integrate SCAG's planning processes for transportation, growth, intergovernmental review, land use, housing, and the environment.

- Seek areas of cooperation that go beyond the procedural statutory requirements, but that also result in regional plans and strategies that are mutually supportive of a range of goals.
- Build trust by providing an interactive, participatory and collaborative process for all stakeholders. Provide, in particular, for the robust participation of local jurisdictions, subregions and CTCs/IVAG in the development of the SCAG region's SCS and implementation of the subregional provisions of the law.
- Assure that the SCS adopted by SCAG and submitted to California Air Resources Board (ARB) is a reflection of the region's collective growth strategy and vision for the future.
- Develop strategies that incorporate and are respectful of local and subregional priorities, plans, and projects.

B. Flexibility

Subregions may develop any appropriate strategy to address the region's greenhouse gas reduction goals and the intent of SB 375. While subregions will be provided with SCAG data, and with a conceptual or preliminary scenario to use as a helpful starting point, they may employ any combination of land use policy change, transportation policy, and transportation investment, within the specific parameters described in the Guidelines.

C. Outreach Effort and Principles

Subregions are required to conduct an open and participatory process that includes the fullest possible range of stakeholders. As discussed within the Guidelines, SCAG will adopt a Public Participation Plan (PPP) that describes SCAG's responsibilities in complying with the outreach requirements of SB 375 and other applicable laws and regulations. SCAG will fulfill its outreach requirements for the regional SCS/APS which will include outreach activities regarding the subregional SCS/APS. Subregions are also encouraged to design their own outreach process that meets each subregion's own needs and reinforces the spirit of openness and full participation. To the extent that subregions do establish their own outreach process, this process should be coordinated with SCAG's outreach process.

D. Communication and Coordination

Subregions developing their own SCS are strongly encouraged to maintain regular communication with SCAG staff, the respective CTC, their jurisdictions and other stakeholders, and other subregions if necessary, to review issues as they arise and to assure close coordination. Mechanisms for on-going communication should be established in the early phases of strategy development.

E. Planning Concepts

SCAG, its subregions, and member cities have established a successful track record on a range of land use and transportation planning approaches through the on-going SCAG Compass Blueprint program, including local demonstration projects. Subregions are encouraged to capture, further develop and build off the concepts and approaches of the Compass Blueprint program. In brief, these include developing transit-oriented, mixed use, and walkable communities, and providing for a mix of housing and jobs.

IV. GUIDELINES

These Guidelines describe specific parameters for the subregional SCS/APS effort under SB 375, including process, deliverables, data, documentation, and timelines. As described above, the Guidelines are created to ensure that the region can successfully incorporate subregionally developed strategies into the regional SCS, and that the region can comply with its own requirements under SB 375. Failure to proceed in a manner consistent with the Guidelines will result in SCAG not accepting a subregion's submitted strategy.

A. Subregional Process

(1) Subregional Sustainable Communities Strategy

Subregions that choose to exercise their optional role under SB 375 will develop and adopt a subregional Sustainable Communities Strategy. That strategy will contain all of the required elements, and follow all procedures, as described in SB 375. Subregions may choose to further develop an Alternative Planning Strategy (APS), according to the procedures and requirements described in SB 375. If subregions prepare an APS, they must prepare a Sustainable Communities Strategy first, in accordance with SB 375. A subregional APS is not "in lieu of" a subregional SCS, but in addition to the subregional SCS. In part, an APS must identify the principal impediments to achieving the targets within the SCS. The APS must show how the GHG emission targets would be achieved through alternative development patterns, infrastructure, and additional transportation measures or policies. SCAG encourages subregions to focus on feasible strategies that can be included in the SCS.

The subregional SCS will include all components of a regional SCS as described in SB 375, and must include the following:

- (i) identify the general location of uses, residential densities, and building intensities within the subregion;
- (ii) identify areas within the subregion sufficient to house all the population of the subregion, including all economic segments of the population, over the course of the planning period of the RTP taking into account net migration into the region, population growth, household formation and employment growth;
- (iii) identify areas within the subregion sufficient to house an eight-year projection of the regional housing need for the subregion pursuant to Section 65584;
- (iv) identify a transportation network to service the transportation needs of the subregion;
- (v) gather and consider the best practically available scientific information regarding resource areas and farmland in the subregion as defined in subdivisions (a) and (b) of Section 65080.01;
- (vi) consider the state housing goals specified in Sections 65580 and 65581;
- (vii) set forth a forecasted development pattern for the subregion, which, when integrated with the transportation network, and other transportation measures and policies, will reduce the greenhouse gas emissions from automobiles and light trucks to achieve, if there is a feasible way to do so, the greenhouse gas emission reduction targets approved by the ARB; and
- (viii) allow the RTP to comply with Section 176 of the federal Clean Air Act (42 U.S.C. Sec. 7506). *See*, Government Code §65080(b)(2)(B).

In preparing the subregional SCS, the subregion will consider feasible strategies, including local land use policies, transportation infrastructure investment (e.g., transportation projects), and other transportation policies such as Transportation Demand Management (TDM) strategies (which

includes pricing), and Transportation System Management (TSM) strategies. Technological measures may be included if they exceed measures captured in other state and federal requirements (e.g., AB32).

As discussed further below (under “Documentation”), subregions need not constrain land use strategies considered for the SCS to current General Plans. The adopted strategy need not be fully consistent with local General Plans currently in place. However, should the adopted subregional strategy deviate from General Plans, subregions will need to demonstrate the feasibility of the strategy by documenting any affected jurisdictions’ willingness to adopt the necessary General Plan changes.

The regional SCS shall be part of the 2012 RTP. Therefore, for transportation investments included in a subregional SCS to be valid, they must also be included in the 2012 RTP. Further, such projects need to be scheduled in the RTIP for construction completion by the target years (2020 and 2035) in order to demonstrate any benefits as part of the SCS. As such, subregions will need to collaborate with the respective CTC in their area to coordinate the subregional SCS with future transportation investments. It should also be noted that the California Transportation Commission has started the process to update the RTP Guidelines. This topic is likely to be part of further discussion through the SCS process as well.

SCAG will accept and incorporate the subregional SCS unless it is inconsistent with SB 375, federal law, or the Framework and Guidelines. As SCAG intends the entire SCS development process to be iterative, SCAG will not amend a subregional SCS submitted to SCAG. SCAG may provide additional guidance to subregions so that subregions may make amendments to its subregional SCS as part of the iterative process, or request a subregion to prepare an APS if necessary.

(2) Subregional Alternative Planning Strategy (APS)

Subregions are encouraged to focus their efforts on feasible measures that can be included in a SCS. In the event that a subregion must prepare an APS, the content of a subregional APS should be consistent with what is required by SB 375, as follows:

- (i) Shall identify the principal impediments to achieving the subregional SCS.
- (ii) May include an alternative development pattern for the subregion pursuant to subparagraphs (B) to (F), inclusive.
- (iii) Shall describe how the the alternative planning strategy would contribute to the regional greenhouse gas emission reduction target, and why the development pattern, measures, and policies in the alternative planning strategy are the most practicable choices for the subregion.
- (iv) An alternative development pattern set forth in the alternative planning strategy shall comply with Part 450 of Title 23 of, and Part 93 of Title 40 of, the Code of Federal Regulations, except to the extent that compliance will prevent achievement of the regional greenhouse gas emission reduction targets approved by the ARB.
- (v) For purposes of the California Environmental Quality Act (Division 13 (commencing with Section 21000) of the Public Resources Code), an alternative planning strategy shall not constitute a land use plan, policy, or regulation, and the inconsistency of a project with an alternative planning strategy shall not be a consideration in determining whether a project may have an environmental effect. *See*, Government Code §65080(b)(2)(H).

Any precise timing or submission requirements for a subregional APS will be determined based on further discussions with subregional partners. As previously noted, a subregional APS is in addition to a subregional SCS and must be prepared and submitted to SCAG, if necessary.

(3) Outreach and process

SCAG will fulfill all of its outreach requirements under SB 375 for the regional SCS/APS, which will include outreach regarding any subregional SCS/APS. SCAG staff has revised its Public Participation Plan to incorporate the outreach requirements of SB 375, and integrate the SB 375 process with the 2012 RTP development. Subsequent to the adoption of the Final PPP (Amendment No. 2), SCAG will continue to discuss with subregions and stakeholders the Subregional Framework & Guidelines, which further describe the Public Participation elements of SB 375.

Subregions that elect to prepare their own SCS or APS are encouraged to present their subregional SCS or APS, in coordination with SCAG, at all meetings, workshops and hearings held by SCAG in their respective counties. Additionally, the subregions would be asked to either provide SCAG with their mailing lists so that public notices and outreach materials may also be posted and sent out by SCAG, or SCAG will provide notices and outreach materials to the subregions for their distribution to stakeholders. The SCAG Draft PPP Amendment No. 2 provides that additional outreach may be performed by subregions. Subregions are strongly encouraged to design and adopt their own outreach processes that mimic the specific requirements imposed on the region under SB 375. Subregional outreach processes should reinforce the regional goal of full and open participation, and engagement of the broadest possible range of stakeholders.

(4) Adoption and authority

It is recommended that the governing board of the subregional agency adopt the subregional SCS prior to submission to SCAG. While the exact format is still subject to further discussion, SCAG recommends that there be a resolution from the governing board of the subregion with a finding that the land use strategies included in the subregional SCS are feasible and based upon consultation with the local jurisdictions in the respective subregion. Finally, in accordance with SB 375, subregions are strongly encouraged to work in partnership with the CTC in their area. SCAG can facilitate these arrangements if needed.

(5) Data Standards

SCAG is currently assessing the precise data standards anticipated for the regional and subregional SCS. In particular, SCAG is reviewing the potential use of parcel data and development types currently used for regional planning. At present, the following describes the anticipated data requirements for a subregional SCS.

1. Types of Variables

Variables are categorized into socio-economic variables and land use variables. The socio-economic variables include population, households, housing units, and employment. The land use variables include land uses, residential densities, building intensities, etc, as described in SB 375.

2. Geographical Levels

SCAG is considering the collection and adoption of the data at the 5.5 acre grid cell level as optional for local agencies in order to make accessible the CEQA streamlining provisions under SB 375. The housing unit, employment, and the land use variables can be collected at the 5.5-acre grid cell level for those areas which under SB 375 qualify as containing a “transit priority project” (i.e. within half-mile of a major transit stop or high-quality transit corridor) for purposes of allowing jurisdictions to take advantage of the CEQA streamlining incentives in SB 375.

For all other areas in the region, SCAG staff will collect the population, household, employment, and land use variables at the Census tract or Traffic Analysis Zone (TAZ) level.

3. Base Year and Forecast Years

The socio-economic and land use variables will be required for the base year of 2008, and the target years of 2020 and 2035.

(6) Documentation

Subregions are expected to maintain full and complete records related to the development of the subregional SCS, including utilizing the most recent planning assumptions considering local general plans and other factors. In particular, subregions must document the feasibility of the subregional strategy by demonstrating willingness of local agencies to consider and adopt land use changes necessitated by the SCS. The format for this documentation will be determined by SCAG in consultation with subregions and stakeholders, though it may include resolutions from local jurisdictions and/or the subregion’s governing board.

(7) Timing

An overview schedule of the major milestones of the subregional process and its relationship to the regional SCS/RTP is included below. Subregions must submit the subregional SCS to SCAG by the date prescribed. Further, SCAG will need a preliminary SCS from subregions for the purpose of preparing a project description for the 2012 RTP Program Environmental Impact Report. The precise content of this preliminary submission will be determined based on further discussions. The anticipated timing of this preliminary product is approximately February 2011.

(8) Relationship to Regional Housing Needs Assessment (RHNA) and Housing Element

Although SB 375 calls for an integrated process, subregions are not automatically required to take on RHNA delegation as described in State law if they prepare a SCS/APS. However, SCAG encourages subregions to undertake both processes due to their inherent connections.

SB 375 requires that the RHNA allocated housing units be consistent with the development pattern included in the SCS. *See*, Government Code §65584.04(i). SCAG will be adopting the RHNA and applying it to local jurisdictions at the jurisdiction boundary level. SCAG staff believes that consistency between the RHNA and the SCS may still be accomplished by aggregating the housing units contained in the smaller geographic levels noted in the SCS and including such as part of the total jurisdictional number for RHNA purpose. SCAG staff has concluded that there is no consistency requirement for RHNA purposes at sub-jurisdictional level, even though the SCS is adopted at the smaller geographic level for the opportunity areas.

B. COUNTY TRANSPORTATION COMMISSIONS’ ROLES AND RESPONSIBILITIES

Subregions that develop a subregional SCS will need to work closely with the CTC in their area in order to coordinate and integrate transportation projects and policies as part of the subregional SCS. As discussed above (under “Subregional Sustainable Communities Strategy”), any transportation projects identified in the subregional SCS must also be included in the 2012 RTP in order to be considered as a feasible strategy. SCAG can help to facilitate communication between subregions and CTCs/IVAG.

C. SCAG ROLES AND RESPONSIBILITIES

SCAG’s roles in supporting the subregional SCS development process are in the following areas:

(1) Preparing and adopting the Framework and Guidelines

SCAG will adopt these Framework and Guidelines in order to assure regional consistency and the region’s compliance with law.

(2) Public Participation Plan

SCAG will assist the subregions by developing, adopting and implementing a Public Participation Plan and outreach process with stakeholders. This process includes consultation with congestion management agencies, transportation agencies, and transportation commissions; and SCAG will hold public workshops and hearings. SCAG will also conduct informational meetings in each county within the region for local elected officials (members of the board of supervisors and city councils), to present the draft SCS, and APS if necessary, and solicit and consider input and recommendations.

(3) Methodology

As required by SB 375, SCAG will adopt a methodology for measuring greenhouse gas emission reductions associated with the strategy.

(4) Incorporation/Modification

SCAG will accept and incorporate the subregional SCS unless it is inconsistent with SB 375, federal law, or the Subregional Framework and Guidelines. As SCAG intends the entire SCS development process to be iterative, SCAG will not amend a locally-submitted SCS. SCAG may provide additional guidance to subregions so that subregions may make amendments to its subregional SCS as part of the iterative process, or request a subregion to prepare an APS if necessary. Further, SCAG can propose additional regional strategies if feasible and necessary to achieve the regional emission reduction target with the regional SCS. SCAG will provide a process and timeline whereby subregions would submit a draft subregional SCS for review and comments to SCAG, so that any inconsistencies may be identified and resolved early in the process. This process and timeline will be outlined in the written agreement between SCAG and the subregional organization.

(5) Modeling

SCAG currently uses a Trip-Based Regional Transportation Demand Model and ARB’s EMFAC model for emissions purposes. In addition to regional modeling, SCAG is developing tools to evaluate the effects of strategies that are not fully accounted for in the regional model. SCAG is also

developing two additional tools – a Land Use Model and an Activity Based Model – to assist in strategy development and measurement of outcomes under SB 375.

In addition to modeling tools which are used to measure results of completed scenarios, SCAG is developing a scenario planning tool for use in workshop settings as scenarios are being created with jurisdictions and stakeholders. The tool will be made available to subregions and local governments for their use in subregional strategy development.

(6) Adoption/Submission to State

After the incorporation of subregional strategies, SCAG will finalize and adopt the regional SCS as part of the 2012 RTP. SCAG will submit the SCS to ARB for review as required in SB 375.

(7) Conflict Resolution

While SB 375 requires SCAG to develop a process for resolving conflicts, it is unclear at this time the nature or purpose of a conflict resolution process as SCAG does not intend to amend a locally-submitted SCS. As noted above, SCAG will accept the subregional SCS unless it is inconsistent with SB 375, federal law, or the Subregional Framework and Guidelines. SCAG will also request that a subregion prepare an APS if necessary. It is SCAG's intent that the process be iterative and that there be coordination among SCAG, subregions and their respective jurisdictions and CTCs. SCAG is open to further discussion on issues which may generate a need to establish a conflict resolution process.

(8) Funding

Funding for subregional activities is not available at this time, and any specific parameters for future funding are speculative. Should funding become available, SCAG anticipates providing a share of available resources to subregions. While there are no requirements associated with potential future funding at this time, it is advisable for subregions to track and record their expenses and activities associated with these efforts.

(9) Preliminary Scenario Planning

SCAG will work with each subregion to collect information and prompt dialogue with each local jurisdiction prior to the start of formal SCS development. This phase of the process is identified as "preliminary scenario planning" in the schedule below. The purpose of this process is to create a base of information to inform SCAG's recommendation of a regional target to ARB prior to June 2010. All subregions are encouraged to assist SCAG in facilitating this process.

(10) Data

SCAG is currently developing, and will provide each subregion with datasets for the following:

- (1) 2008 Base year;
- (2) General Plan/Growth projection & distribution;
- (3) Trend Baseline; and
- (4) Policy Forecast/SCS.

While the Trend Baseline is a technical projection that provides a best estimate of future growth based on past trends and assumes no general plan land use policy changes, the Policy Forecast/ SCS is derived using local input through a bottom-up process, reflecting regional policies including

transportation investments. Local input is collected from counties, subregions, and local jurisdictions.

Data/GIS maps will be provided to subregions and local jurisdiction for their review. This data and maps include the 2008 base year socioeconomic estimates and 2020 and 2035 socioeconomic forecast. Other GIS maps including the existing land use, the general plan land use, the resource areas, and other important areas identified in SB 375. It should be noted that none of the data/ maps provided were endorsed or adopted by SCAG's Community, Economic and Human Development Committee (CEHD). All data/maps provided are for the purpose of collecting input and comments from subregions and local jurisdictions. This is to initiate dialogue among stakeholders to address the requirements of SB 375 and its implementation.

The list of data/GIS maps include:

1. Existing land use
2. Zoning
3. General plan land use
4. Resource areas include:
 - (a) all publicly owned parks and open space;
 - (b) open space or habitat areas protected by natural community conservation plans, habitat conservation plans, and other adopted natural resource protection plans;
 - (c) habitat for species identified as candidate, fully protected, sensitive, or species of special status by local, state, or federal agencies or protected by the federal Endangered Species Act (1973), the California Endangered Species Act, or Native Plant Protection Act;
 - (d) lands subject to conservation or agricultural easements for conservation or agricultural purposes by local governments, special districts, or nonprofit 501(c)(3) organizations, areas of the state designated by the State Mining and Geology Board as areas of statewide or regional significance pursuant to Section 2790 of the Public Resources Code, and lands under Williamson Act contracts;
 - (e) areas designated for open-space or agricultural uses in adopted open-space elements or agricultural elements of the local general plan or by local ordinance;
 - (f) areas containing biological resources as described in Appendix G of the CEQA Guidelines that may be significantly affected by the sustainable communities strategy or the alternative planning strategy, and
 - (g) an area subject to flooding where a development project would not, at the time of development in the judgment of the agency, meet the requirements of the National Flood Insurance Program or where the area is subject to more protective provisions of state law or local ordinance.
5. Farmland
6. Sphere of influence
7. Transit priority areas
8. City/Census tract boundary with ID
9. City/TAZ boundary with ID

(11) Tools

SCAG is developing a Local Sustainability Planning Model (LSPM) for subregions/local jurisdictions to analyze land use impact. The LSPM is a web-based tool that can be used to analyze, visualize and calculate the impact of land use changes on auto ownership, mode use, vehicle miles of

travel (VMT), and greenhouse gas emissions in real time. Users will be able to estimate transportation and emissions impacts by modifying land use on 5.5 acres grid cell system, which was built from SCAG's current scenario development tool (Envision Tomorrow).

Other tools currently maintained by SCAG may be useful to the subregional SCS development effort, including the web-based CaLOTS application. SCAG will consider providing guidance and training on additional tools based on further discussions with subregional partners.

(12) Resources and technical assistance

SCAG will assist the subregions by making available technical tools for scenario development as described above. Further, SCAG will assign a staff liaison to each subregion, regardless of whether the subregion exercises its statutory option to prepare a SCS. SCAG staff can participate in subregional workshops, meetings, and other processes at the request of the subregion, and pending funding and availability. SCAG's legal staff will be available to assist with questions related to SB 375 or SCAG's implementation of SB 375. Further, SCAG will prepare materials for its own process in developing the regional SCS, and will make these materials available to subregions. Further assistance that can be provided by SCAG can be considered and discussed as these Framework and Guidelines are finalized.

D. MILESTONES/SCHEDULE

- SCAG compiles Growth Forecast (Baseline & Trend Workshops) – Summer 2009
- RTAC recommends Regional Targets methodology – September 2009
- SCAG finalizes draft baseline growth forecast – Fall 2009
- Deadline for Subregional SCS commitment – December 2009
- SCAG provides growth forecast data to subregions – January 2010
- SCAG provides preliminary regional emission reduction target to ARB – March 2010
- SCAG provides “Envision Tomorrow” tool to subregions – March 2010
- SCAG and subregions conduct preliminary scenario planning to inform regional target setting – January to March 2010
- CARB issues Final Regional Targets – September 2010
- SCS development (preliminary/draft etc) – through early 2011
- Subregions submit preliminary subregional SCS – February 2011
- Subregions submit final subregional SCS – June 2011
- Release Draft RTP/regional SCS for public review – November 2011
- Regional Council adopts RTP/SCS – April 2012

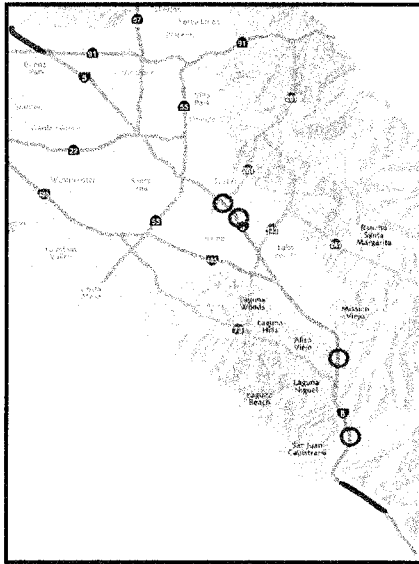
Highway Projects Status Report

***Orange County Transportation Authority
Board of Directors Meeting
December 14, 2009***






Project Status Report

Interstate 5 Projects

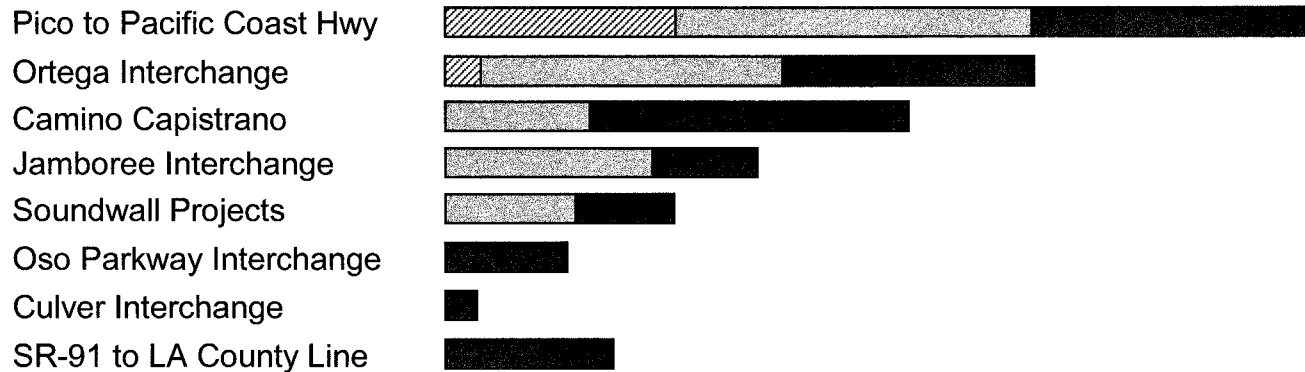


Pico to Pacific Coast Hwy	M2	\$250 million
Ortega Interchange	M2	\$85 million
Camino Capistrano Interchange	-	\$19 million
Jamboree Interchange	-	\$9 million
Soundwall Projects	-	\$8 million
Oso Parkway Interchange	-	\$23 million
Culver Interchange	-	\$3 million
SR-91 to LA County Line	M1	\$335 million

Legend:

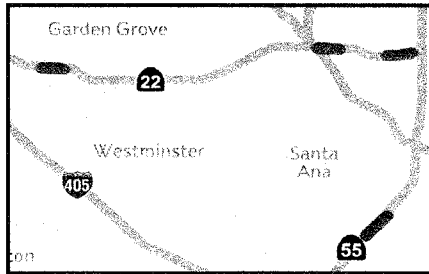
-  Environmental
-  Final Design
-  Construction

Data Date: October 2009



Project Status Report

State Route 22 and State Route 55 Projects






SR-22, Retrofit Soundwalls
 SR-55, MacArthur to Dyer

M1
 -

\$4 million
 \$3 million

Legend:

-  Environmental
-  Final Design
-  Construction

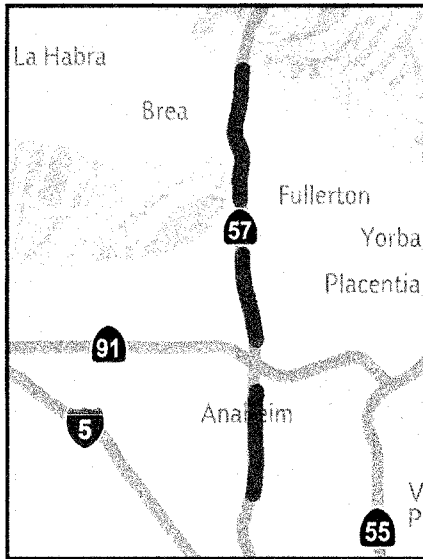
SR-22, Retrofit Soundwalls
 SR-55, MacArthur to Dyer



Data Date: October 2009




Project Status Report

State Route 57 Projects



Katella to Lincoln	M2	\$79 million
Orangethorpe to Yorba Linda	M2	\$80 million
Yorba Linda to Lambert	M2	\$79 million

Legend:

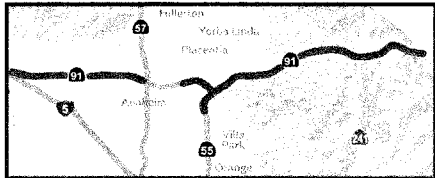
-  Environmental
-  Final Design
-  Construction



Data Date: October 2009




Project Status Report

State Route 91 Projects

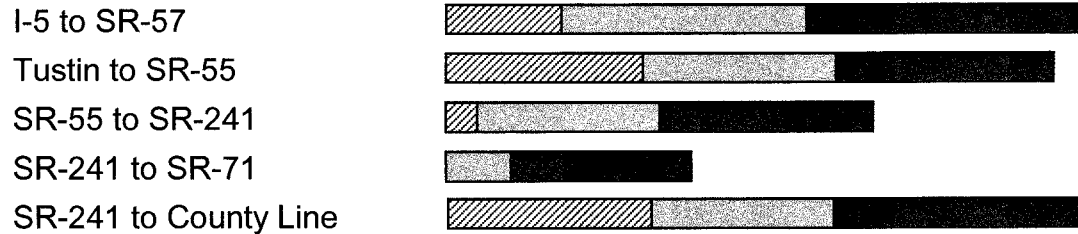


I-5 to SR-57	M2	\$78 million
Tustin to SR-55	M2	\$91 million
SR-55 to SR-241	M2	\$128 million
SR-241 to SR-71	M2	\$65 million
SR-241 to County Line	M2	\$50 million

Legend:

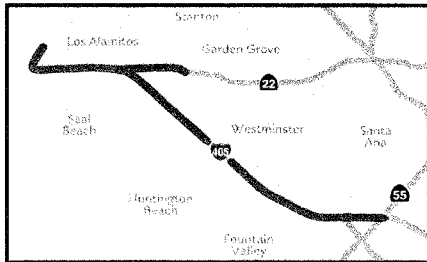
-  Environmental
-  Final Design
-  Construction

Data Date: October 2009






Project Status Report

Interstate 405 Projects



I-405/SR-22 Interchange	-	\$196 million
I-405/I-605 Interchange	-	\$260 million
SR-55 to I-605	M2	\$1,500 million

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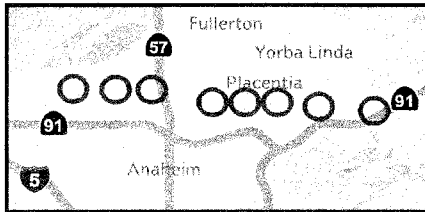
-  Environmental
-  Final Design
-  Construction



Data Date: October 2009

Project Status Report

BNSF Grade Separation Projects



Raymond Avenue	M2	\$64 million
State College Boulevard	M2	\$62 million
Placentia Avenue	M2	\$57 million
Kraemer Boulevard	M2	\$67 million
Orangethorpe Avenue	M2	\$128 million
Tustin Avenue/Rose Drive	M2	\$107 million
Lakeview Avenue	M2	\$84 million
Imperial Highway	-	\$90 million

Legend:

- Environmental
- Final Design
- Construction

Data Date: October 2009

