

# *Information Items*



**ORANGE COUNTY TRANSPORTATION AUTHORITY**

## **Metrolink Ridership and Revenue Quarterly Report**

### **Staff Report**



**March 8, 2012**

**To:** Transit Committee  
**From:** Will Kempton, Chief Executive Officer  
**Subject:** Metrolink Ridership and Revenue Quarterly Report

### **Overview**

The Southern California Regional Rail Authority is a five-member joint powers authority that operates the 400-mile commuter rail system known as Metrolink. A report on Metrolink ridership and revenue for service in Orange County covering the second quarter of fiscal year 2011-12 is provided for Board of Directors' review.

### **Recommendation**

Receive and file as an information item.

### **Background**

Metrolink's five-agency membership includes the Los Angeles County Metropolitan Transportation Authority, the Orange County Transportation Authority (OCTA), the Riverside County Transportation Commission (RCTC), the San Bernardino Associated Governments (SANBAG), and the Ventura County Transportation Commission. Metrolink operates 163 daily trains on seven lines, serving 55 stations, and carries more than 41,000 riders each weekday.

There are three lines that provide service to Orange County. The Orange County (OC) Line service began in 1994, followed by the Inland Empire – Orange County (IEOC) Line in 1995, and the 91 Line in 2002. The three lines serving Orange County provide a total of 48 trains (19 OC Line, 14 IEOC Line, nine 91 Line, and six Intracounty) each weekday, serving 11 Orange County stations, carrying an average of more than 14,000 daily passengers.

In 2006, the OC and IEOC lines began offering service on weekends, year-round. In February 2010, due to budget constraints, weekend service was scaled back by nearly 50 percent. Seasonal weekend service was implemented for July through October of 2010 and 2011, when demand and

ridership typically increase. Year-round expanded weekend service has been budgeted and is proposed to resume next fiscal year (FY). The OC Line weekend service is fully funded by OCTA. The IEOC Line weekend service is funded by OCTA, RCTC, and SANBAG.

The Rail 2 Rail Program, which began in 2003, allows Metrolink monthly pass holders the option of riding Amtrak Pacific Surfliner trains at no additional charge, provided the pass holder travels within the stations identified on the monthly pass. In Orange County, a valid Metrolink ticket or pass also permits free transfers to local OCTA bus routes that directly serve a Metrolink station, including StationLink.

### ***Discussion***

This report provides an update on weekday and weekend ridership, revenue, and on-time performance for the second quarter (October, November, December) of FY 2011-12. The analysis includes a quarter-to-quarter comparison, in addition to the year-over-year comparison.

### **Ridership and Revenue**

#### **Total Ridership and Revenue**

Total FY 2011-12 second quarter ridership (weekday and weekend) for the three Metrolink lines serving Orange County, including Rail 2 Rail passengers, has increased by 7.1 percent compared to the same quarter last year, and decreased by 6.9 percent from the previous quarter. Second quarter passenger fare revenues of just over \$6.5 million are 5.2 percent higher than the same quarter last year, and 6.8 percent lower than last quarter. Ridership and revenue are down from the first quarter of FY 2011-12 in part because Metrolink operated six additional seasonal weekend trains during the first quarter (July, August, September), and there were a number of weekend work windows during the second quarter that caused Metrolink weekend service to be suspended.

System-wide Metrolink ridership is higher than the second quarter of FY 2010-11 by 7.6 percent, and revenue has increased by 5.4 percent. Detailed ridership and revenue data by route is included in Attachment A.

#### **Weekday Ridership**

Combined average weekday ridership on the OC, IEOC, and 91 lines during this period was 14,832, including Rail 2 Rail. This represents an increase of 5.1 percent compared to the same quarter last year, and an increase of

1.2 percent compared to the previous quarter. The OC and 91 lines average weekday ridership is up 11.4 percent and 4.7 percent respectively, and the IEOC Line is down 2.1 percent, compared to the same quarter last year.

Average weekday ridership is shown in the table below.

Quarter	OC Line	IEOC Line	91 Line	Rail 2 Rail	Total
FY 2010-11/2nd Quarter (Q2)	6,529	3,809	2,215	1,562	14,115
FY 2011-12/1st Quarter (Q1)	7,172	3,670	2,267	1,542	14,651
FY 2011-12/Q2	7,271	3,729	2,320	1,512	14,832

FY 2011-12/Q2 vs FY 2010-11/Q2	11.4%	-2.1%	4.7%	-3.2%	5.1%
FY 2011-12/Q2 vs FY 2011-12/Q1	1.4%	1.6%	2.3%	-1.9%	1.2%

According to the California Employment Development Department, the unemployment rates in the Inland Empire (Riverside and San Bernardino counties) remain at approximately 12 percent, though they improved by 2 percent compared to the same period last year. This is evident in the slow rebound of ridership on the IEOC Line.

On May 9, 2011, the OCTA Board of Directors approved a revised Metrolink Service Expansion Program service rollout schedule consisting of six weekday trips between the Fullerton Transportation Center and Laguna Niguel/Mission Viejo Metrolink Station beginning in mid-2011. OCTA implemented the six new trips on the OC Line on July 5, 2011, which span from approximately 2:30 p.m. to 11:30 p.m., and have averaged about 20 passengers per train.

While ridership on these new weekday trains is not very robust, staff continues to market the service in an effort to increase ridership and is considering schedule adjustments to maximize passenger use. In addition, as gas prices continue to rise, it is expected that Metrolink ridership throughout Orange County will increase as well.

### Weekend Ridership

Combined average weekend ridership on the OC and IEOC lines during this period was 1,891. This represents an increase of 51.3 percent compared to the same period last year, and a 61.7 percent decrease over the previous quarter. Average daily weekend ridership year over year on the OC Line is up 78.2 percent on Saturday and up 60.8 percent on Sunday. Average Saturday ridership on the IEOC Line is up 7.3 percent over the same quarter last year, and the Sunday ridership on the IEOC Line is up 47 percent.

As stated in the background section of this report, OCTA and Metrolink have operated increased levels of weekend service on the OC and IEOC lines for the past two years from July 2009 to October 2011. Ridership in the second quarter of FY 2011-12 was lower than the first quarter due to the decreased level of weekend service starting in October 2011, and four weekend service closures as a result of planned track work in Orange and San Diego counties that took place in October, November, and December.

Average weekend ridership is shown in the table below.

Quarter	OC Line (Saturday)	OC Line (Sunday)	IEOC Line (Saturday)	IEOC Line (Sunday)	Total
FY 2010-11/Q2	377	355	286	232	1,250
FY 2011-12/Q1	1,152	1,027	1,664	1,098	4,941
FY 2011-12/Q2	672	571	307	341	1,891

FY 2011-12/Q2 vs FY 2010-11/Q2	78.2%	60.8%	7.3%	47.0%	51.3%
FY 2011-12/Q2 vs FY 2011-12/Q1	-41.7%	-44.4%	-81.6%	-68.9%	-61.7%

## Revenue

Passenger fare revenue covers roughly half of Metrolink operating expenses, with the remainder covered by member agency subsidies. Ridership and revenue do not necessarily follow the same trends during each reporting period. This is primarily attributed to two factors: 1) due to the sale of advance tickets and monthly passes, revenue can be recorded in the month preceding the actual ridership; and 2) while ridership may decrease, operating costs do not drop proportionately.

Second quarter revenue increased by 10.3 percent on the OC Line and 4.5 percent on the IEOC line compared to the same quarter last year, but decreased by 11.2 percent on the 91 Line. Total FY 2011-12 revenue for the three lines increased by 5.2 percent compared to FY 2010-11, and decreased by 6.3 percent compared to the previous quarter.

Revenue is displayed in the table below.

Quarter	OC Line	IEOC Line	91 Line	Total
FY 2010-11/Q2	\$ 3,752,116	\$ 1,406,646	\$ 1,098,530	\$ 6,257,292
FY 2011-12/Q1	\$ 4,401,875	\$ 1,611,269	\$ 1,017,561	\$ 7,030,705
FY 2011-12/Q2	\$ 4,139,314	\$ 1,470,464	\$ 975,043	\$ 6,584,821

FY 2011-12/Q2 vs FY 2010-11/Q2	10.3%	4.5%	-11.2%	5.2%
FY 2011-12/Q2 vs FY 2011-12/Q1	-6.0%	-8.7%	-4.2%	-6.3%

One of the single largest operating expenses is diesel fuel, which was budgeted at a rate of \$3.40 per gallon for FY 2011-12 (through June 2012), up from \$2.40 per gallon budgeted for FY 2010-11. Metrolink has locked in fuel prices at just under the budgeted rate for the remainder of the current FY and is exploring options to lock in fuel prices for FY 2012-13 as well. Though rising fuel prices increase Metrolink's operating costs, they also have the potential to significantly increase fare revenue as higher gas prices push more commuters out of their cars and onto Metrolink.

### On-Time Performance

On-time performance is an integral component of providing quality service. A Metrolink train is considered to be on time if it arrives within five minutes of the scheduled arrival at its end point. Metrolink's on-time performance goal is 95 percent.

Trains can be delayed for a variety of reasons, including equipment issues, unscheduled delays (or "meets") with other trains, delays from other operators utilizing the same tracks, construction or track maintenance, and incidents.

### Weekday On-Time Performance

Percentage of Weekday Trains Arriving Within Five Minutes of Scheduled Time*			
Month	OC Line	IEOC Line	91 Line
October	89.8 %	94.6 %	94.7 %
November	94.5 %	93.9 %	98.4 %
December	93.2 %	90.9 %	92.6 %
Total Average Orange County On-Time Performance 93.6 percent			

\* System total is 93.2 percent, including the Antelope Valley, IEOC, OC, Riverside, San Bernardino, Ventura County, and 91 lines.



**ORANGE COUNTY TRANSPORTATION AUTHORITY**


**Fiscal Year 2010-11 Expenditure Report and Measure M2  
Eligibility Guidelines and Requirements**

**Staff Report**





**March 5, 2012**

**To:** Regional Planning and Highways Committee  
**From:** Will Kempton, Chief Executive Officer   
**Subject:** Fiscal Year 2010-11 Expenditure Report and Measure M2 Eligibility Guidelines and Requirements

**Overview**

Consistent with Measure M2 Ordinance No. 3, local agencies must satisfy eligibility requirements to receive Measure M2 funds, including submittal of expenditure reports identifying all Measure M2 expenditures. Fiscal year 2010-11 expenditure reports were reviewed by the Taxpayers Oversight Committee and found consistent with Ordinance No. 3 and are presented to the Board of Directors for eligibility approval. Furthermore, to guide local agencies in the process of meeting eligibility requirements, the eligibility manual has been updated and is presented for Board of Directors' review and approval.

**Recommendations**

- A. Approve fiscal year 2010-11 expenditure reports and find all local jurisdictions eligible to receive Measure M2 net revenues for fiscal year 2011-12.
- B. Approve the revised Measure M2 Eligibility Guidelines.

**Background**

The Measure M2 (M2) Ordinance No. 3, approved by voters on November 7, 2006, requires all local jurisdictions in Orange County to satisfy eligibility requirements in order to receive M2 net revenues. Recently, the Board of Directors (Board) determined that agencies which qualify as an eligible jurisdiction under Ordinance No. 3 also be eligible jurisdictions under Ordinance No. 2. This allows local agencies to submit one eligibility package for both Measure M (M1) and M2 during the completion and closeout of M1 and implementation of M2.

To maintain eligibility on an annual basis, local jurisdictions are required to satisfy the following requirements:

- Comply with provisions of the Congestion Management Program (CMP)
- Require new development to pay a fairshare of necessary transportation improvements (Mitigation Fee Program)
- Adopt a local circulation element consistent with the countywide Master Plan of Arterial Highways (MPAH)
- Adopt a seven-year Capital Improvement Program
- Adopt a Local Signal Synchronization Plan (LSSP) consistent with the countywide Traffic Signal Synchronization Master Plan
- Participate in traffic forums to facilitate planning of signal synchronization programs
- Adopt a local Pavement Management Plan (PMP)
- Adopt an annual expenditure report
- Submit a final report upon completion of M2-funded projects
- Agree to expend M2 funds in a timely manner
- Certify that maintenance of effort (MOE) requirements will be met
- Agree to not use M2 revenues to supplant developer funding for transportation projects
- Consider land-use planning strategies that accommodate transit and non-motorized transportation

Each local jurisdiction submitted eligibility documentation by the June 30, 2011 deadline, excluding the requirement for the expenditure report, which is due six months after the end of the jurisdiction's fiscal year (FY). The City of Huntington Beach is on a federal fiscal year, and hence the expenditure report is due in March. In addition to Orange County Transportation Authority (OCTA) staff review of the eligibility submittals, the M2 Ordinance outlines an oversight role for the Taxpayers Oversight Committee (TOC) for specific eligibility items. The annual eligibility review (AER) subcommittee of the TOC completed a review of the CMP, PMP, Mitigation Fee Program, and LSSP. The recommendations of eligibility compliance were presented to the TOC and were subsequently approved by the Board. The local jurisdictions were found conditionally eligible for FY 2011-12, until review of the submitted expenditure reports.

The expenditure report template was modeled after the Annual Streets and Roads Report required by the State Controller. It was developed in conjunction with local agency finance representatives and was subsequently approved by the OCTA Board on February 28, 2011 meeting. Proper completion, adoption, and submission of the expenditure report is required to complete the FY 2011-12 eligibility process.

To assist local agencies, the Eligibility Guidelines Preparation Manual was prepared to provide clear direction for participation in the eligibility process. The manual outlines annual eligibility requirements as specified in the M2 Ordinance No. 3. First approved by the Board on January 25, 2010, the implementation of M2's first eligibility review cycle was finalized in the fourth quarter of FY 2010-11. Having completed the first FY of eligibility for M2, staff is recommending improvements to the eligibility guidelines based on lessons learned and implementation of best practices.

### ***Discussion***

#### **Expenditure Report**

For the purposes of satisfying eligibility, each jurisdiction must adopt an annual expenditure report to account for M2 funds, developer/traffic impact fees, and funds expended by the jurisdiction that satisfy the MOE requirements. This is a new requirement under M2 and must be submitted within six months of each jurisdiction's FY end. To be found eligible, local agencies must include all net revenue, fund balances, interest earned, all expenditures by activity type (capital, operations, administration, etc.), and funding source for each program/project.

With the exception of the City of Huntington Beach that has the FY ending September 30, 2011, all expenditure reports were received by the December 31, 2011 deadline, and are summarized in Attachment A. It is under the TOC's purview to review the expenditure reports. The expenditure reports were reviewed by the AER subcommittee and found consistent with the requirements of the M2 Ordinance No. 3. The reports are being recommended by the TOC for final approval by the Board for the FY 2011-12 eligibility.

#### **Eligibility Guidelines - Local Agency Preparation Manual**

For future cycles of the M2 eligibility process, OCTA staff identified areas of improvement to the eligibility guidelines that are intended to make the submittal process smoother and more efficient. The updated M2 eligibility guidelines include revisions to the previous manual aimed at providing a clearer more user-friendly experience (Attachment B.)

Improved areas of the eligibility guidelines include revisions to the CMP monitoring checklist, with the addition of a signature location and inclusion of jurisdiction name. To provide better clarity for reporting needs, the PMP

certification form was also revised and updated. Finally, in order to streamline the number of submittals, the resolution for the MPAH and LSSP, as well as the council approval for the Mitigation Fee Program have been combined into one resolution. Along with providing clearer direction that is more precise, the revisions to the eligibility guidelines are highlighted for Board review and approval.

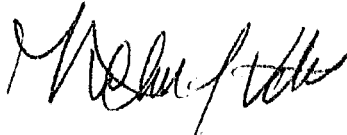
***Summary***

The FY 2010-11 expenditure reports and revised M2 eligibility guidelines are both vital pieces to the eligibility process for both the current and future cycles. The FY 2010-11 expenditure reports have been found consistent with Ordinance No. 3 by the TOC and will move the current cycle to completion upon Board approval. The revisions to the eligibility guidelines will improve the overall process for both local agencies and OCTA administration and are recommended for review and approval.

***Attachments***

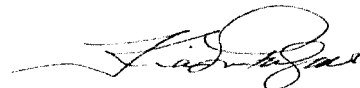
- A. Fiscal Year 2010-11 Expenditure Report Summary
- B. Renewed Measure M2 Eligibility Guidelines – Local Agency Preparation Manual

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ORANGE COUNTY TRANSPORTATION AUTHORITY

**Fiscal Year 2010-11 Expenditure Report and Measure M2  
Eligibility Guidelines and Requirements**

**Attachment A**

## Fiscal Year 2010-11 Expenditure Report Summary

Agency	Expenditure Report Received by 12/31/2011	Resolution Received	MOE Reported	Expenditure Report Found Compliant by TOC Subcommittee
Aliso Viejo	Yes	Yes	Yes	Yes
Anaheim	Yes	Yes	Yes	Yes
Brea	Yes	Yes	Yes	Yes
Buena Park	Yes	Yes	Yes	Yes
Costa Mesa	Yes	Yes	Yes	Yes
County of Orange	Yes	Yes	N/A	Yes
Cypress	Yes	Yes	Yes	Yes
Dana Point	Yes	Yes	Yes	Yes
Fountain Valley	Yes	Yes	Yes	Yes
Fullerton	Yes	Yes	Yes	Yes
Garden Grove	Yes	Yes	Yes	Yes
Huntington Beach	N/A	N/A	N/A	N/A
Irvine	Yes	Yes	Yes	Yes
La Habra	Yes	Yes	Yes	Yes
La Palma	Yes	Yes	Yes	Yes
Laguna Beach	Yes	Yes	Yes	Yes
Laguna Hills	Yes	Yes	Yes	Yes
Laguna Niguel	Yes	Yes	Yes	Yes
Laguna Woods	Yes	Yes	Yes	Yes
Lake Forest	Yes	Yes	Yes	Yes
Los Alamitos	Yes	Yes	Yes	Yes
Mission Viejo	Yes	Yes	Yes	Yes
Newport Beach	Yes	Yes	Yes	Yes
Orange	Yes	Yes	Yes	Yes
Placentia	Yes	Yes	Yes	Yes
Rancho S. Margarita	Yes	Yes	Yes	Yes
San Clemente	Yes	Yes	Yes	Yes
San Juan Capistrano	Yes	Yes	Yes	Yes
Santa Ana	Yes	Yes	Yes	Yes
Seal Beach	Yes	Yes	Yes	Yes
Stanton	Yes	Yes	Yes	Yes
Tustin	Yes	Yes	Yes	Yes
Villa Park	Yes	Yes	Yes	Yes
Westminster	Yes	Yes	Yes	Yes
Yorba Linda	Yes	Yes	Yes	Yes

MOE - Maintenance of Effort

TOC - Taxpayers Oversight Committee



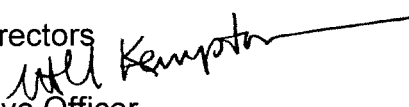
**ORANGE COUNTY TRANSPORTATION AUTHORITY**

**Project S Bus and Station Van Extension 2012 Call for  
Projects**

**Staff Report**



**February 27, 2012**

**To:** Members of the Board of Directors  
**From:** Will Kempton, Chief Executive Officer   
**Subject:** Project S Bus and Station Van Extension 2012 Call for Projects

### **Overview**

On December 12, 2011, the Board of Directors approved the Project S Bus and Station Van Call for Projects Guidelines. To gauge interest in a call for projects, staff was directed to request letters of interest for Project S bus and station van concepts prior to issuance of a formal solicitation. Letters of interest were received from eight local agencies. Based on the expressed interest, staff is requesting Board of Directors approval to issue a call for projects.

### **Recommendation**

Direct staff to issue the 2012 Project S Bus and Station Van Call for Projects and return with programming recommendations in July 2012.

### **Background**

Measure M2 (M2) includes the Project S - Transit Extensions to Metrolink Program which will expand transit service to 11 rail stations. This competitive program can provide funding for new bus or lease purchases, bus routes, bus stop improvements or facilities for new service, and other flexible services such as station vans that expand the reach of the Metrolink service to employment, activity centers, and communities.

Orange County Transportation Authority (OCTA) staff developed draft Project S guidelines and conducted a guidelines workshop with the Technical Advisory Committee. The Project S guidelines were subsequently approved by the Board of Directors (Board) on December 12, 2011. Details of the guidelines are provided in Attachment A. The Board directed staff to request letters of interest for the program and return to the Board with results prior to issuance of a call for projects.



Projects that apply for a funding call would be evaluated against criteria identified in the M2 voter pamphlet and scored against the criteria summarized below. Details of the scoring criteria are provided in Attachment B and summarized below.

- Cost effectiveness, including operating subsidy per boarding and annualized cost per incremental passenger trip for opening year
- Project readiness (priority is given to projects that can be implemented within the first five years)
- Projected daily boardings with fully presented projection methodology
- Percent of projected ridership from commuter rail riders
- Projected average daily occupancy for station vans
- Ease of connections (average travel time to employment/activity centers served)
- Local and regional benefit, including planned employment and population densities per square mile for opening year
- Financial commitment and ability to attract other financial partners

### ***Discussion***

Project S is a capital program, with the 2012 call estimated to be \$10 million and a required ten percent local match. In addition to the capital cost, an operating reserve would be available for cost-effective projects. OCTA would reserve a total of \$1 million per year in Project S revenue for operations and maintenance (O&M) distributed on a pro-rata basis. The operating reserve would be subject to minimum performance requirements including a minimum standard of ten boardings per revenue vehicle hour, and OCTA would reimburse awarded agencies on a pro-rata basis, but not to exceed \$6 per boarding, not to exceed 90 percent of net O&M costs (after deducting for fares), and no more than \$150,000 per agency or project, whichever is less.

On December 16, 2011, correspondence requesting letters of interest for Project S were sent out to all local agencies. Eight responses were received by the due date of January 10, 2012. The letters of interest were presented to the Executive Committee on February 6, 2012 (Attachment C). At the direction of the Board, staff will issue a 2012 call for projects and return with programming recommendations in July 2012. All local agencies, regardless of whether an agency submitted a letter of interest, can participate in the program consistent with approved guidelines.

***Summary***

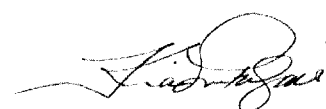
M2 includes Project S, which enables local agencies to enhance regional transit capabilities through the creation of new connections to Orange County Metrolink stations. Bus and Station Van Program guidelines for administration of the initial call for projects were approved by the Board. The Board requested letters of interest in the program prior to issuance of a call for projects. Staff has received eight letters of interest and is seeking Board approval to issue a 2012 call for projects to all agencies.

***Attachments***

- A. 2011-12 Call for Project S – Bus and Station Van Program Guidelines
- B. Project S Bus and Station Van Scoring Criteria for Eligible Projects
- C. Letters of Interest for Project S Bus and Station Van Projects

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**ORANGE COUNTY TRANSPORTATION AUTHORITY**

**Project S Bus and Station Van Extension 2012 Call for  
Projects**

**Attachment A**

## **2011-12 Call for Project S – Bus and Station Van Program Guidelines**

### **1.0 Overview**

This Measure M2 (M2) Program establishes a competitive process to enable local jurisdictions to enhance regional transit capabilities through the creation of new connections to the existing Metrolink system. Projects must meet specific criteria in order to compete for funding through this program. In addition, local jurisdictions will be required to demonstrate the ability to fund the local share of operations and maintenance on an ongoing basis using non-Orange County Transportation Authority (OCTA) resources<sup>1</sup>. Public-private partnerships<sup>2</sup> are encouraged but not required.

### **2.0 Objectives**

- Expand multi-modal transit options for regional travel by establishing new transit connections to existing Metrolink stations
- Provide new service (shuttle bus and station van) on a defined route with ridership derived from Amtrak/Metrolink patronage

### **3.0 Project Participation Categories**

Metrolink provides a vital transit option for travel throughout Southern California. Orange County is home to 11 Metrolink stations currently serving residents and commuters for employment, education, and recreational-based trips. These stations serve diverse destination and trip origination needs. Efficient and convenient access enables the system to thrive and the overall transportation network (all motorized and non-motorized modes) to operate effectively.

Transit needs may differ from one location to the next, and projects pursued under this program have significant latitude on how the challenge of delivering enhanced transit service to/from existing Metrolink stations are addressed. The program categories listed below identify key project elements that can be pursued through the Project S funding source. Selection criteria will parallel Federal Transportation Administration (FTA) programs wherever possible to aid in streamlining the competitive process. The program categories eligible for funding through Project S are:

- Bus leases/purchases for the purposes of providing expanded service to/from a Metrolink station
- Bus stop improvements (including signage, furniture, fare box equipment, and shelters) on the new route
- Maintenance facilities and fueling stations required for the new bus service

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<sup>1</sup> Fairshare revenues are considered non-OCTA resources.

<sup>2</sup> Public-private partnerships are defined as direct financial contributions or sponsorships for eligible program activities.

- Station vans leases for the purposes of providing expanded service to/from a Metrolink station
- Consistent with FTA guidelines, Americans with Disabilities Act (ADA) complementary paratransit service costs are considered capital costs for the purposes of this program

#### **4.0 Operating Reserve Incentive**

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

1. OCTA will reserve a total of \$1 million per year in Project S revenue for operations and maintenance distributed on a pro-rata basis
2. The project must have been awarded Project S non-guideway funds through the Project S competitive process and meet a minimum standard of ten boardings per revenue vehicle hour on an ongoing basis for shuttle buses and a 60 percent minimum occupancy for station vans
3. Awarded agencies must submit audited operations and maintenance costs and ridership and fare performance data to OCTA by September 30 of each year for the prior fiscal year
4. OCTA will reimburse awarded agencies on a pro-rata basis but not to exceed \$6 per boarding, not to exceed 90 percent of net operating and maintenance costs (after deducting fares), and no more than \$150,000 per agency or project, whichever is less
5. Participation in the operating reserve is limited to the useful life of the capital purchased with Project S funds.

All submitted materials are subject to audit prior to OCTA pro-rata reimbursements. Funds not used in a given year will become available for future calls for projects.

#### **5.0 Capital Match Funding Requirements**

Local funding must meet a minimum ten percent match requirement for the entire capital project comprised of any combination of private contributions, advertising revenues, and local discretionary funds. Match funding commitments in excess of ten percent for one project phase may result in a reduced minimum match requirement for another phase subject to Board of Directors (Board) approval. Match funding commitments will be incorporated into the master funding agreement.

#### **6.0 Eligibility Requirements**

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

acceptable project is identified during a funding cycle, a subsequent call for projects will be scheduled at an appropriate time.

- Applicant must be eligible to receive M2 funding (established on an annual basis) to participate in this program
- The proposed project must be included in the 2011 Transit System Study or have participated in prior Go Local planning efforts
- Agency must have a financial plan outlining a funding strategy for ongoing operations and maintenance (minimum of five years)
- The service operator is OCTA, and the local agency would retain routing and service-level decisions, or local agencies may propose an alternate service provider.
- Letter of commitment for an 80 percent start-up occupancy rate for each station van and documentation supporting the commitment (e.g. letters of interest, proof of van pool request and or survey data). Station van passengers must be Amtrak/Metrolink passengers
- Local agency will be required to enter into a cooperative funding agreement with OCTA
- Project applications must be for complete projects (environmental clearance through implementation, where applicable) for evaluation purposes
- All projects must include meeting ADA requirements, and these costs must be included in the project application
- Project application must meet minimum competitive score to be deemed eligible and “of merit” (as determined by the OCTA Board)
- Any proposal to duplicate or replace existing local or OCTA service must be clearly detailed
- Complete applications must be approved by the city council and partner jurisdictions prior to submittal to OCTA to demonstrate adequate community and elected official support for initial consideration
- Procurements associated with the project must follow FTA procurement policies
- Agencies submitting for funding must agree to follow applicable FTA requirements
- Agencies will be required to submit annual National Transit Database reporting to OCTA

## **7.0 Selection Criteria**

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

## 8.0 Application Process

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

- Complete application
- Provide five-year funding/operations plan
- Allocations subject to cooperative funding agreement

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

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

A call for projects for the initial funding cycle is expected to be issued February 28, 2012, with **applications due** April 26, 2012, subject to approval by the OCTA Board. Complete project applications must be submitted by the established due date to be eligible for consideration.

Applications will be reviewed by OCTA for consistency, accuracy, and concurrence. Once applications have been completed in accordance with the program requirements, the projects will be scored, ranked, and submitted to the Executive Committee and the Board for consideration and funding approval. The process is expected to be concluded by ~~June 30,~~July 2012.

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

## 9.0 Application Guidelines

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

### 9.1 Financial Details

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

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

## 9.2 Scoring Criteria

The formal application must include feasibility and efficacy components to demonstrate transportation benefit to ensure the selected project(s) meet the spirit and intent of M2. Merit will be demonstrated through technical attributes and industry standard methodologies. The applications will be evaluated against the criteria identified in the Measure M2 voter pamphlet and fully discussed in the application:

- Match funding and level of commitment from private partners
- Operating subsidy per boarding for opening year
- Annualized cost per incremental passenger trip for opening year
- Project readiness including projected opening year and phase readiness
- Projected daily boardings with projection methodology fully presented
- Percent of projected ridership from commuter rail riders
- Projected average daily occupancy for station vans
- Ease of connections (average travel time to employment and recreation centers served)
- Planned employment densities per square mile for opening year
- Planned population densities per square mile for opening year

## 9.3 Other Application Materials

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

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



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

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

9.3.4 *Operations Plan:* In addition to the financial details indicated in Section 9.1, the operations plan submitted shall include the following technical data: a route map, draft time table, headways, stop location listing, summary of vehicle types and characteristics, speed profile, fleet size, and any other applicable supporting documentation.

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

## **10.0 Reimbursements**

The capital program is administered on a reimbursement basis. Capital reimbursements will be disbursed upon review and approval of a complete expense report, performance report, and consistent with the cooperative funding agreement. Local agency revenues provided to OCTA for ongoing operating assistance will be in accordance with terms identified in the cooperative funding agreement.

## **11.0 Project Cancellation**

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

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

## **12.0 Audits**

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



**ORANGE COUNTY TRANSPORTATION AUTHORITY**

**Project S Bus and Station Van Extension 2012 Call for  
Projects**

**Attachment B**

## Project S Bus and Station Van Scoring Criteria for Eligible Projects

**M2 Eligible**

In Go Local Planning and/or 2011 Transit Study

Yes No

Five-year Operations and Maintenance Plan

Yes No

Total Project Cost (information only)

Yes No

\$ (capital)

**Financial Commitment/Partnership (18 points)****Match funding (capital)**

≥50%	10 points
40% - 49%	8 points
30% - 39%	6 points
20% - 29%	4 points
11% - 19%	2 points

**Level of commitment from private partners**

Binding agreement	8 points
Commitment letter	4 points

**Cost Effectiveness (20 points)****Operating subsidy per boarding opening year**

≤\$4.50	10 points
\$4.51 - \$8.50	8 points
\$8.51 - \$14.99	6 points
\$14.50 - \$18.00	4 points

**Annualized cost per incremental passenger opening year**

≤\$7.00	10 points
\$7.01 - \$11.20	8 points
\$11.21 - \$14.20	6 points
\$14.21 - \$17.99	4 points
≥\$18.00	2 points

**Project Readiness (20 points)****Estimated opening year**

By 2012	10 points
By 2013	8 points
By 2014	4 points
By 2015	2 point

**Phase readiness**

Planning and environmental complete	10 points
ROW acquired or not applicable	5 points
Maintenance facilities available	1 points

**Transit Usage - Shuttle Bus (20 points)****Projected average daily boardings (first year)**

≥300	10 points
201 - 299	8 points
101 - 200	6 points
31 - 100	4 points
≤30	2 points

**Percent of projected ridership from commuter rail**

≥70%	10 points
50% - 69%	6 points
30% - 49%	3 points

**Transit Usage - Station Van (20 Points)****Projected average daily occupancy (first year)**

≥100%	10 points
90% - 99%	8 points
80% - 89%	6 points

**Percent of projected ridership from commuter rail**

100%	10 points
<100%	0 points

**Community Connections (10 points)****Average travel time to station from employment/activity center**

1 - 10 minutes	5 points
11 - 15 minutes	4 points
16 - 20 minutes	3 points
21 - 30 minutes	2 points

**Connectivity/activity centers served by project**

5 points maximum	Senior center(s)	1 point
	Schools	1 point
	Retail centers (over 000k feet)	1 point
	Special event venues	1 point
	Major employment centers	1 point
	Connections to existing service	1 point

**Local/Regional Benefit (12 points)****Planned employment densities per square mile (within 1/4 mile of route) opening year**

>15,000	6 points
10,001 - 15,000	4 points
5,001 - 10,000	2 points
1,001 - 5,000	1 points

**Planned population densities per square mile (within 1/4 mile of route) for opening year**

>10,000	6 points
7,001 - 10,000	4 points
4,001 - 7,000	2 points
501 - 4,000	1 points



**ORANGE COUNTY TRANSPORTATION AUTHORITY**

**Project S Bus and Station Van Extension 2012 Call for  
Projects**

**Attachment C**


**Letters of Interest for Project S Bus and Station Van Projects**

On December 16, 2011, the Orange County Transportation Authority requested local agencies to submit letters of interest to participate in the Measure M2 - Project S Bus and Station Van Extension Project. The table below is a summary of the level of interest and concepts for the program from seven local jurisdictions and the County of Orange as of January 10, 2012.

Local Jurisdiction	Concept
Aliso Viejo	Laguna Niguel Station Bus to Town Center and Noon Time Circulator
Anaheim	Anaheim Canyon Station to Downtown Anaheim and The Anaheim Resort
Brea	Brea Employee Shuttle
Fountain Valley	Fountain Valley Express and Station Van to Employment Centers
Fullerton	Station Van to Employment Centers
Irvine	Irvine Station to the Orange County Great Park
Lake Forest	Station Van to Employment Centers
County of Orange	Laguna Niguel Station Bus to Ladera Community



**February 13, 2012**

**To:** Members of the Board of Directors  
**From:** Will Kempton, Chief Executive Officer   
**Subject:** Measure M Taxpayers Oversight Committee Annual Public Hearing Results and Compliance Findings

**Overview**

Measure M, Orange County's one-half cent sales tax for transportation, passed in 1990 and renewed in 2006, calls for an oversight committee to serve as a watchdog over the program. As required by the Measure M Ordinance, the Taxpayers' Oversight Committee conducted the 21st Annual Public Hearing on January 30, 2012. The Taxpayers Oversight Committee found the Orange County Local Transportation Authority has acted in accordance with Measure M Ordinances No. 2 and No. 3 during 2011.

**Recommendation**

Receive and file as an information item.

**Background**

The Measure M Taxpayers Oversight Committee (TOC) is required by the Measure M Ordinances. The TOC is an independent committee representing all five supervisorial districts in Orange County. The TOC is responsible for ensuring the transportation projects in Measure M are implemented according to the expenditure plan approved by the voters in 1990 and the investment plan in 2006. The TOC meets bimonthly to review progress on the implementation of Measure M.

Annually, the TOC is required to hold a public hearing to hear comments from citizens regarding Measure M as part of its oversight effort to determine whether the Orange County Transportation Authority (OCTA), acting as the Orange County Local Transportation Authority (OCLTA), is proceeding in accordance with the Measure M (M1) Countywide Traffic Improvement and Growth Management Plan, dated May 22, 1989, and the Renewed

Measure M (M2) Transportation Ordinance and Investment Plan, dated July 24, 2006.

The results of the hearing and the findings of the TOC are transmitted to the OCTA Board of Directors annually. The TOC has consistently found OCTA in compliance for the past 20 years.

### ***Discussion***

The 21st Measure M Annual Public Hearing took place on January 30, 2012. The hearing was publicized through news releases and public notices, and posted on OCTA's social media sites. Approximately 35 members of the public were present at the public hearing. Eleven people addressed the TOC regarding Project T funding for the Anaheim Regional Transportation Intermodal Center, with eight of them expressing support for the project and three expressing opposition to it.

After the public hearing and review of the annual financial audit of OCTA and all other information the committee members have been provided to date, the TOC made the determination at its January meeting that during 2011, OCTA has proceeded in accordance with the M1 Countywide Traffic Improvement and Growth Management Plan and the M2 Transportation Ordinance and Investment Plan. David Sundstrom, Chairman of the TOC, prepared an official letter stating their findings (Attachment A).

In addition, in accordance with M1 Ordinance No. 2, Section 12, Paragraph B.3, Chairman Sundstrom certified that the expenditures from the trust fund, through the fiscal year ending June 30, 2011, have been spent on specific transportation identified in the M1 Expenditure Plan. Also, in accordance with M2 Ordinance No. 3, Section 10, Paragraph 3, Chairman Sundstrom certified that the revenues, through fiscal year ending June 30, 2011, have been spent in compliance with the Ordinance.

### ***Summary***

Subsequent to bimonthly meetings and the Measure M Annual Public Hearing on January 30, 2012, the Measure M TOC has determined that OCTA is proceeding in accordance with the M1 Countywide Traffic Improvement and Growth Management Plan and the M2 Transportation Ordinance and Investment Plan.

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***Attachment***

- A. 21st Annual Measure M Public Hearing Memo, dated January 30, 2012,  
from Taxpayers Oversight Committee

**Prepared by:**

*Alice T. Rogan*

Alice T. Rogan  
Strategic Communications Officer  
(714) 560-5577

**Approved by:**

*Ellen S. Burton*

Ellen S. Burton  
Executive Director, External Affairs  
(714) 560-5923





ORANGE COUNTY TRANSPORTATION AUTHORITY

**Measure M Taxpayers Oversight Committee Annual Public  
Hearing Results and Compliance Findings**

**Attachment A**



# Measure M Taxpayers Oversight Committee



January 30, 2012

To: Paul Glaab, Chairman  
Board of Directors  
Orange County Transportation Authority

From: Taxpayers Oversight Committee

Subject: 21st Annual Measure M Public Hearing

In accordance with both Policy Resolution No. 1 "Citizens Oversight Committee," and Attachment C "Taxpayers Oversight Committee," the Taxpayers Oversight Committee (TOC) is required to conduct an annual public hearing to determine whether the Orange County Transportation Authority (Authority) is proceeding in accordance with the Measure M (M1) Countywide Traffic Improvement and Growth Management Plan, dated May 22, 1989 and the Renewed Measure M (M2) Transportation Ordinance and Investment Plan dated July 24, 2006.

The TOC conducted the annual public hearing on January 30, 2012. No items were presented at the hearing to indicate that the Authority was not proceeding in accordance with the M1 and the M2 Plans during 2011.

Based upon the above-mentioned hearing, 2010/11 Local Transportation Authority (LTA) financial audit results and all other information the TOC has to date, the TOC hereby finds the Authority is proceeding in accordance with both the M1 and the M2 Plans.

Also, in accordance with Ordinance No. 2, Section 12, Paragraph B.3, I certify that the expenditures from the trust fund, through fiscal year ending June 30, 2011, have been spent on specific transportation purposes identified in the M1 Expenditure Plan. In addition, in accordance with Ordinance No. 3, Section 10, Paragraph 3, I certify that the expenditures, as part of the M2 Early Action Plan, through fiscal year ending June 30, 2011, have been spent in compliance with the M2 Transportation Ordinance and Investment Plan.

Sincerely,

A handwritten signature in black ink, appearing to read "David Sundstrom".

David Sundstrom, Chairman  
Measure M Taxpayers Oversight Committee  
Orange County Auditor-Controller



**ORANGE COUNTY TRANSPORTATION AUTHORITY**

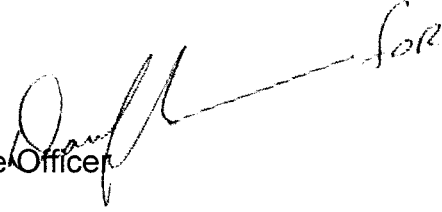
**Measure M2 Progress Report for October 2011 Through  
December 2011**

**Staff Report**



**February 6, 2012**

**To:** Executive Committee

**From:** Will Kempton, Chief Executive Officer 

**Subject:** Measure M2 Progress Report for October 2011 Through December 2011

### **Overview**

Staff has prepared a Measure M2 progress report for the period of October 2011 through December 2011 for review by the Orange County Transportation Authority Board of Directors. Implementation of Measure M2 continues at a fast pace, and revenue projections are on a positive trend. This report highlights progress on Measure M2 projects and programs and will be available to the public via the Orange County Transportation Authority website.

### **Recommendation**

Receive and file as an information item.

### **Background**

The Measure M2 (M2) Transportation Ordinance and Investment Plan, Ordinance No. 3, requires quarterly status reports regarding the major projects detailed in the ordinance be filed with the Orange County Transportation Authority (OCTA) Board of Directors (Board). All M2 progress reports are provided to the M2 Taxpayers Oversight Committee and posted online for the public's information.

### **Discussion**

This report reflects activities within the overall M2 Program, as well as progress being made on Board-approved Capital Action Plan (CAP) projects and programs for the period of October 2011 through December 2011. An overview of significant progress is included (Attachment A) along with CAP project status (Attachment B).

Highlights of the M2 progress report during the fourth quarter include:

Freeway Projects

- In October 2011, OCTA began preparing an environmental study for improvements along Interstate 5 (I-5) between State Route 73 and El Toro Road, in the cities of Lake Forest, Laguna Hills, and Mission Viejo.
- In October 2011, California Department of Transportation (Caltrans) approved the environmental document for improvements on the I-5 from Avenida Pico to San Juan Creek Road.
- In October 2011, Caltrans awarded a contract to construct a new northbound lane on State Route 57 from Katella Avenue to Lincoln Avenue in Anaheim. Construction activities began in January 2012.
- In December 2011, Caltrans approved the project study report that identified alternatives to add capacity on I-5 between State Route 55 and the El Toro Y area in the cities of Irvine and Tustin.

Streets and Roads

- On December 2, 2011, 40 project applications from the Regional Capacity Program call for projects were received requesting consideration for funding. The application review process has begun, and recommendations for funding are anticipated to be brought to the Board in spring 2012.
- OCTA is in the third and final phase of advanced signal synchronization efforts along ten arterial corridors comprised of 533 signalized intersections on 158 miles of roadway. This effort, known as the Traffic Light Synchronization Program (TLSP), is funded by a total \$8 million of Measure M and Proposition 1B grants.
- In November, a program overview was presented to the Board outlining the progress to date for all the grade separation projects, including the initiation of construction administration activities for the Placentia Avenue and Kraemer Boulevard undercrossing projects. Right-of-way activities are continuing on the Orangethorpe Avenue and Tustin Avenue/Rose Drive overcrossings. The Lakeview Avenue overcrossing design reached the 95 percent completion level, and property appraisals are underway.

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Transit Programs

- Orange County's at-grade rail-highway crossing (railroad crossing) safety enhancement program was completed in December 2011. Crossings in the cities of Dana Point, San Juan Capistrano, and San Clemente went into service in October. The final railroad crossing of the program, the Harvard Avenue crossing in the City of Irvine, went into service at the end of December. With all 52 crossings in the eight participating cities now complete and new safety enhancements activated, cities have the option to establish a quiet zone through the Federal Railroad Administration.
- As part of Project S, on December 12, 2011, the Board approved cooperative agreements with the cities of Anaheim and Santa Ana to define the role of OCTA as grantee and the cities as subrecipients for purposes of requesting federal funds from the Federal Transit Administration. Staff also presented initial options to the Transportation 2020 Committee for which entity should be responsible for the design and construction of the fixed-guideway projects.
- The M2 Project S Guidelines for Bus and Station Van Extension Projects were approved in December 2011. OCTA has requested letters of interest inquiring if the cities and/or County plan to submit projects.

Environmental Cleanup and Water Quality

- A countywide assessment is currently underway to determine the best candidate sites for funding regional capital projects like bioswales, constructed wetlands, and detention/infiltration basins. This assessment is anticipated to be completed by early 2012.
- The Environmental Cleanup Allocation Committee has been meeting and is developing the Comprehensive Transportation Funding Program funding guidelines in preparation for a call for projects, anticipated to take place shortly after the assessment is complete.

Freeway Mitigation Program

- In November, The Environmental Oversight Committee and OCTA toured 11 potential restoration sites that are being considered for funding. (These proposed projects were submitted during the second call for restoration projects that took place in June of 2011.)

- In December, OCTA officials purchased the fifth open space property, the 48-acre Hafen property, for \$1.7 million. The Hafen property is located northwest of Rancho Santa Margarita in Trabuco Canyon. To date, OCTA has acquired approximately 950 acres of open space property in the Trabuco Canyon area and in Brea.

#### Financial Outlook

Sales tax receipts for the fourth quarter once again exceeded projections used for the current year budget. Sales tax receipts from the State Board of Equalization for the period increased seven percent from the same period last year, which exceeds the 5.4 percent growth rate assumed for the budget. This represents the eighth straight quarter with growth in sales tax receipts from the same period of the prior year. The 2005 (original) revenue forecast for the life of the M2 program was \$24.3 billion. The revenue forecast had dipped to a low of \$13.7 billion; however, as a result of the positive growth in sales tax revenues, the 2011 estimate is \$15.5 billion.

#### Program Management Office

OCTA has established an M2 Program Management Office (PMO) and hired a program manager to provide interdivisional coordination. A committee made up of Executive Directors and key staff from each of the divisions meets every two weeks to review key issues and activities within the Measure M Program.

In the fourth quarter, the focus of the PMO has been on several key items. These include:

- Working with Government Relations and Finance and Administration divisions staff to track the rising charges of the State Board of Equalization for collecting M2 revenues.
- Working with Information Services Department staff and project management staff to create a unified approach to saving and properly documenting M2 project and program files/activities to ensure comprehensive and consistent archiving.
- Developing a scope of work for the 2009-2012 Triennial Performance Assessment, scheduled to be released in April 2012.
- Developing an Ordinance Matrix identifying all key compliance requirements for tracking purposes.
- Creating a PMO Charter (Attachment C) to guide the office activities.

During the next quarter, an M2 workshop will take place where staff will provide a summary on the progress of the M2 Program of projects, will present options

to the Board for expediting delivery on planned freeway projects, and proposed financing options for the Interstate 405 (Project K).

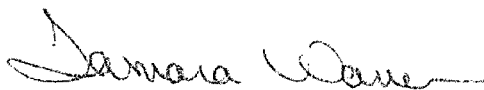
***Summary***

As required by M2 Ordinance No. 3, a quarterly report covering activities from October 2011 through December 2011 is provided to update progress in implementing the M2 Transportation Investment Plan. The above information and the attached details indicate significant progress on the overall M2 CAP. To be cost effective and to facilitate accessibility and transparency of information available to stakeholders and the public, the M2 progress report is presented on the OCTA website. Hard copies are available by mail upon request.

***Attachments***

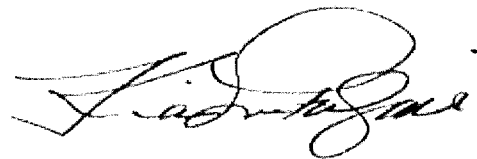
- A. Measure M2 Quarterly Project and Program Summary – October Through December 2011
- B. Capital Action Plan – Status Thru December 2011
- C. Measure M Program Management Office Charter

**Prepared by:**



Tamara S. Warren  
Manager, Program Management Office  
(714) 560-5590

**Approved by:**



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





**ORANGE COUNTY TRANSPORTATION AUTHORITY**

**Measure M2 Progress Report for October 2011 Through  
December 2011**

**Attachment A**

**Measure M2 Quarterly Project and Program Summary  
October Through December 2011**

The following is a summary of the progress made on the Measure M2 (M2) Early Action Plan projects and programs covering the fourth quarter, October – December of 2011.

**Freeway Projects**

**Planning Projects**

Contact: Dan Phu (714) 560-5907

**Interstate 5 (I-5) Projects**

Segment: I-5 between State Route 55 (SR-55) and the El Toro “Y” area (Project B)

Status: Project Study Report Completed

Summary: The Orange County Transportation Authority (OCTA) completed a project study report/project development support (PSR/PDS) looking at alternatives to add capacity on the I-5 through the cities of Tustin and Irvine. The PSR/PDS was submitted to the California Department of Transportation (Caltrans) for their review and approval and was approved on December 28, 2011.

Segment: I-5/El Toro Road Interchange (Part of Project D)

Status: Project Study Report Underway

Summary: OCTA initiated a PSR/PDS to look at alternatives to update and improve the I-5/El Toro Road interchange in the cities of Laguna Hills and Lake Forest. The project study team (PST), consisting of staff from OCTA and the affected cities (Laguna Hills, Lake Forest, and Laguna Woods), has completed the initial assessment and data collection task of the project. The PST has developed an initial set of alternatives for analysis. The study is expected to be completed in late 2012.

**SR-55 Projects**

Segment: SR-55 between I-5 and State Route 22 (SR-22) (Part of Project F)

Status: Project Study Report in Procurement

Summary: OCTA is in the procurement process to prepare a PSR/PDS to look at alternatives to add capacity to, and freeway operational improvements between, the SR-22 and State Route (SR-91), in the cities of Orange, Santa Ana, and Tustin. The study is expected to be underway by mid-2012.

**State Route 57 (SR-57) Projects**

Segment: SR-57 Between Orangewood Avenue and Katella Avenue (Part of Project G)

Status: Project Study Report in Procurement

Summary: OCTA is in the procurement process to prepare a PSR/PDS to look at alternatives to add capacity in the northbound direction in the cities of Anaheim and Orange. The study is expected to be underway by mid-2012.

#### SR-91 Projects

Segment: SR-91 between SR-55 and SR-57 (Project I)

Status: Project Study Report Underway

Summary: In August 2011, OCTA initiated a PSR/PDS to look at alternatives to add capacity and balance the number of lanes on SR-91 in the City of Anaheim. The anticipated completion date for this study is December 2012.

#### Interstate 405 (I-405) Projects

Segment: I-405 Between the SR-55 and the El Toro "Y" (Project L)

Status: Project Study Report Underway

Summary: OCTA also initiated a PSR/PDS to look at alternatives to add capacity on the I-405 in the City of Irvine. The PST, consisting of staff from OCTA and the City of Irvine, completed the initial assessment and data collection task of the project. The PST is in the process of developing an initial set of alternatives for analysis. The study is expected to be complete in early 2013.

#### Capital Projects

Contact: Rose Casey (714) 560-5729

#### I-5 Projects

Segment: I-5 Between SR-55 and SR-57 (Project A)

Status: Environmental Study Underway

Summary: An environmental study is underway to add lanes to the I-5 between the SR-55 and the SR-57 in the City of Santa Ana. The study will evaluate options to add capacity to the existing high-occupancy vehicle (HOV) lanes and improve traffic circulation within the I-5/SR-55 interchange. The study is expected to be complete in mid-2013.

Segment: I-5 Between State Route 73 (SR-73) and El Toro Road (Part of Projects C and D)

Status: Environmental Study Underway

Summary: In October 2011, OCTA began preparing an environmental study for improvements along I-5 between the SR-73 and El Toro Road, in the cities of Lake Forest, Laguna Hills, and Mission Viejo. The study will evaluate lane additions and interchange improvements to improve the flow of traffic through this area. These improvements include reconstruction of the La Paz Road and Avery Parkway interchanges. The study is expected to be complete in mid-2014.

Segment: I-5 Between Avenida Pico and San Juan Creek Road (Part of Projects C and D)  
Status: Environmental Document Approved by Caltrans on October 26, 2011  
Summary: The environmental study evaluated the impacts of extending the current HOV lanes on the I-5 from their present terminus at San Juan Creek Road to Avenida Pico in the City of San Clemente. The project also evaluated improvements to the interchange at I-5 and Avenida Pico.

Segment: I-5 Between Avenida Pico and San Juan Creek Road (Part of Project C)  
Status: Final Design Underway  
Summary: OCTA has begun the final design for improvements along I-5 between Avenida Pico and San Juan Creek Road, in the cities of San Clemente, Dana Point, and San Juan Capistrano. Final design is expected to be complete by mid-2014.

Segment: I-5/ State Route 74 (SR-74) Interchange (Part of Project D)  
Status: Final Design and Right-of-Way Acquisition Underway  
Summary: Caltrans is preparing the final design for the reconstruction of the I-5 interchange at SR-74 in the City of San Juan Capistrano. The project will reconstruct the SR-74 bridge over the freeway and improve local traffic flow along the SR-74 and Del Obispo Street, adjacent to the freeway. Design is expected to be complete in mid-2012.

#### SR-55 Projects

Segment: SR-55 Between the I-405 and I-5 (Part of Project F)  
Status: Environmental Study Underway  
Summary: OCTA began the environmental study to increase capacity on SR-55 in the cities of Irvine, Santa Ana, and Tustin. The study will evaluate the addition of mixed-flow lanes, carpool lanes, and auxiliary lanes. The study is expected to be complete in early 2014.

#### SR-57 Projects

Segment: SR-57 Northbound, Katella Avenue to Lincoln Avenue (Part of Project G)  
Status: Construction Underway  
Summary: Caltrans awarded a contract to construct a new northbound lane on SR-57 in the City of Anaheim. Construction activities began in January 2012 and are anticipated to be complete by mid-2014.

Segment: SR-57 Northbound, Orangethorpe Avenue to Lambert Road (Part of Project G)  
Status: Construction Underway  
Summary: Caltrans awarded contracts to two contractors to begin construction of a new northbound lane on the SR-57 in the cities of Brea, Fullerton, and Placentia. Construction of the improvements started in January 2011, is 35 percent complete, and is expected to be complete in mid-2014.

## SR-91 Projects

Segment: SR-91 Westbound, I-5 to SR-57 (Project H)  
Status: Final Design Underway  
Summary: OCTA is preparing the final design for the SR-91 in the City of Anaheim that will add a new westbound general purpose lane. Final design is expected to be complete in early 2012.

Segment: SR-91 Westbound, Tustin Avenue Interchange to SR-55 (Part of Project J)  
Status: Final Design Underway  
Summary: Caltrans is preparing the final design to improve traffic flow at the SR-55/SR-91 interchange. Traffic flow will be improved at the westbound SR-91 exit ramp to Tustin Avenue and the westbound connector from the SR-55. Final design is expected to be complete in early 2013.

Segment: SR-91, Between SR-55 and State Route 241 (SR-241) (Part of Project J)  
Status: Construction Underway  
Summary: Construction began to add one new lane in each direction along the SR-91 in the cities of Anaheim and Yorba Linda. The new lanes will be built within existing right-of-way. The construction contract was awarded in May 2011. The first construction working day was August 22, 2011. Construction completion is expected in late 2012.

Segment: SR-91, Between the SR-241 and State Route 71 (SR-71) (Part of Project J)  
Status: Environmental Study Underway  
Summary: OCTA is working with the Riverside County Transportation Commission (RCTC) to extend the 91 Express Lanes eastward from its current terminus in the city of Anaheim to Interstate 15 (I-15) in Riverside County. This project will also add one general purpose lane in each direction from the SR-241 to the I-15. The environmental document is expected to be complete in mid-2012.

The portion between the SR-241 and the Orange County/Riverside County line is also part of Project J, while the matching segment between the county line and the SR-71 is part of RCTC's Measure A. RCTC has opted to defer the construction of the general purpose lane improvements in its county. Accordingly, the matching general purpose lane improvements on the Orange County side are being deferred to ensure coordinated delivery of the projects and to provide a continuous segment that stretches from the SR-241 to the SR-71. This action is also consistent with the 2011 SR-91 Implementation Plan.

## I-405 Projects

Segment: I-405, Between SR-55 and Interstate 605 (Project K)  
Status: Environmental Study Underway  
Summary: OCTA is preparing an environmental study to add new lanes in each direction on the I-405 that serves the cities of Costa Mesa, Fountain Valley, Garden Grove, Huntington Beach, Los Alamitos, Seal Beach, and

Westminster. These improvements will add mainline capacity and improve the local interchanges along the corridor. The draft environmental document is expected to be complete in spring 2012, with the final document complete in early 2013.

Freeway Service Patrol – (Project N)

Contact: Sue Zuhlke (714) 560-5574

Staff has developed draft guidelines that will be brought to the Board of Directors (Board) for consideration in February 2012.

**Streets and Roads Projects**

Regional Capacity Program (Project O)

Contact: Roger Lopez (714) 560-5438

The 2011-12 Regional Capacity Program call for projects was formally issued on September 28, 2011. On December 2, 2011, 40 project applications were received requesting consideration for funding. The application review process has begun and recommendations for funding are anticipated to be brought to the Board in spring 2012.

Grade Separation Projects (Part of Project O)

Contact: Rose Casey (714) 560-5729

On October 10, 2011, the Board approved a cooperative agreement with the City of Anaheim related to a roadway extension and utility relocations associated with the Lakeview Avenue overcrossing project. OCTA and the City of Anaheim will share the costs. The Board also authorized an amendment to the design consultant AECOM, Inc., for additional design and construction support services for the Orangethorpe Avenue overcrossing project.

A program overview was presented to the Board in November outlining the progress to date for all the projects, including the initiation of construction administration activities for the Placentia Avenue and Kraemer Boulevard undercrossing projects. Right-of-way activities are continuing on the Orangethorpe Avenue and Tustin Avenue/Rose Drive overcrossings. The Lakeview Avenue overcrossing design reached the 95 percent completion level and property appraisals are under way.

Signal Synchronization (Project P)

Contact: Ron Keith (714) 560-5990

OCTA is in the third and final phase of advanced signal synchronization efforts along ten arterial corridors comprised of 533 signalized intersections on 158 miles of roadway. This effort, known as the Traffic Light Synchronization Program is funded by a total \$8 million of Measure M and Proposition 1B grants. Phase I synchronization along the Alicia Parkway, Beach Boulevard, and Chapman Avenue corridors, respectively, is complete. Phase II corridors of Orangethorpe Avenue and Edinger Avenue are also

complete and were presented to the Board in December 2011. The remaining two corridors of Phase II, El Toro Road and Brookhurst Street, respectively, will be completed in early 2012. Phase III of Katella Avenue, La Palma Avenue, and Yorba Linda Boulevard corridors began during July through October 2011, and are in various stages of initial development.

Through the M2 Regional Traffic Signal Synchronization Program (Project P), OCTA awarded \$7.8 million to synchronize an additional 400 signals along 140 miles of Orange County streets and roads. Seventeen projects were awarded funding that included 24 local agencies. The goal of the program is to improve traffic flow by developing and implementing regional signal coordination through more than 2,000 intersections. These projects began in July 2011 and are in the final stages of preliminary design and culmination of the necessary arrangements.

A new 2011 call for projects took place in October of 2011. Proposals were received from all agencies in Orange County. It is anticipated that project awards will be in excess of \$10 million. Recommendations for awards, including the project costs and details, will be made available to the Board in spring 2012.

#### Local Fair Share Program – (Project Q)

Contact: Andy Ofelie (714) 560-5649

All local agencies have been found eligible to receive M2 Local Fair Share funds. On a bi-monthly basis, 18 percent of net revenues are allocated to local agencies by formula. To date, approximately \$15.4 million in Local Fair Share payments have been provided to local agencies as of the end of the quarter.

### **Transit Projects**

#### Metrolink Grade Crossing Improvements (Project R)

Contact: Mary Toutouchi (714) 560-5833

Orange County's at-grade rail-highway crossing (railroad crossing) safety enhancement program began in August 2009 and was completed in December 2011. The enhancements made to railroad crossings covered a wide spectrum, from basic safety improvements (improving crossing surfaces, reapplying pavement markings, and enhancing signage) to the installation of supplemental safety measures that allow for the establishment of quiet zones. (A quiet zone is an area along the tracks where trains are not required to routinely sound their horns for a crossing.)

The first nine crossings in Orange (Group 1) were activated in October 2010. In January 2011, the crossings along the Olive subdivision in the cities of Anaheim and Orange (Group 2) went into service, followed by the Red Hill Avenue crossing in the City of Tustin (Group 4A) at the end of February 2011. Anaheim (Group 3) crossings on the Orange subdivision went into service at the end of May 2011. Santa Ana (Group 4) crossings on the Orange subdivision went into service at the end of September 2011. Crossings in the cities of Dana Point,

San Juan Capistrano, and San Clemente (Group 5), went into service in October 2011. The Harvard Avenue crossing in the City of Irvine (Group 6) went into service at the end of December 2011. Construction for all 52 crossings in the eight participating cities is now complete.

With construction complete and the new crossing safety enhancements activated, cities have the option to establish a quiet zone through the Federal Railroad Administration (FRA). Most of the cities have completed the first step of this process by submitting a notice of intent to implement a quiet zone to the FRA, California Public Utilities Commission, and appropriate railroad agencies. The cities of Anaheim, Orange, Tustin and San Clemente, upon completion of the crossings identified in Groups 1, 2, 3, 4A and the San Clemente crossings identified in Group 5, submitted “notices of establishment” as required by the FRA. The crossings associated with Groups 1, 2, 4A as well as Senda de la Playa and North Beach crossings in San Clemente are now designated quiet zones. Also, with the exception of the two most southerly crossings, Group 3 crossings are also designated quiet zones.

#### Go Local Fixed-Guideway (Part of Project S)

Contact: Kelly Hart (714) 560-5725

Project development continued with the two Board-approved Go Local fixed-guideway projects (part of Project S), one from Anaheim and the other from Santa Ana and Garden Grove. Both teams are currently working on Step Two efforts to complete detailed planning, including alternatives analysis and environmental clearance activities.

Per OCTA’s direction, the project team from Anaheim initiated a re-assessment of cost-effective alternatives for the Anaheim Rapid Connection Project. This re-assessment includes re-evaluating at-grade streetcar and bus rapid transit alternatives. The project alternatives continue to be refined to ensure the most cost-effective option that meets the needs of the corridor that is being studied.

The project team from Santa Ana and Garden Grove completed multiple deliverables during the reporting period, including finalizing the project’s environmental technical reports and preliminary conceptual engineering drawings/report. The project was redefined to include an initial operating segment to be constructed as the first operating segment of the project. The cities of Santa Ana and Garden Grove intend to complete the combined alternatives analysis and environmental report for submittal to the Federal Transit Administration (FTA) in early 2012. In addition, the project team coordinated with the FTA on the project’s ridership projection model.

OCTA staff continued its ongoing participation, review, and comment on development activities and deliverables related to both fixed-guideway projects. On December 12, 2011, the OCTA Board also approved cooperative agreements with Anaheim and Santa Ana to define the role of OCTA as grantee and the cities as sub-recipients for purposes of requesting federal funds from FTA. Additionally, staff presented initial options to the Transportation 2020 Committee for which entity should be responsible for the design and construction of the fixed-guideway projects.



Go Local Bus/Shuttle (Part of Project S)

Contact: Charlie Larwood (714) 560-5683

The M2 Project S Guidelines for Bus and Station Van Extension Projects were approved in December 2011. OCTA has requested letters of interest indicating if the cities and/or County plan to submit projects. The letter of interest deadline is January 10, 2012. The Board will consider recommending a call for projects based on the letters of interest submitted.

Convert Metrolink Station(s) to Regional Gateways that Connect Orange County with High-Speed Rail Systems (Project T)

Contact: Jennifer Bergener (714) 560-5462

City of Anaheim is the lead for the development of the Anaheim Regional Transportation Intermodal Center (ARTIC) Project. ARTIC will be a multimodal transportation hub serving both current and future expansions of Metrolink and Amtrak rail service, planned high-speed rail, as well as fixed-route and contract bus services, taxi, bicycle, and various shuttles/circulators. The FTA approved the Project Environmental Assessment in early January, and final environmental clearance is anticipated in early February with the issuance of the Finding of No Significance Impact. Design efforts are at approximately 60 percent, with construction anticipated to begin late 2012.

Senior Mobility Program (Part of Project U)

Contact: Dana Wiemiller (714) 560-5718

More than \$700,000 in M2 Project U funding has been disbursed to 25 cities participating in the Senior Mobility Program through December 2011. Collectively, the cities have provided more than 60,000 trips for seniors traveling to medical appointments, nutrition programs, shopping destinations, and senior and community center activities. In addition, more than \$860,000 has been disbursed to the County of Orange to support the Office on Aging Senior Non-Emergency Medical Transportation Program.

Fare Stabilization Program (Part of Project U)

Contact: Andy Oftelie (714) 560-5649

To stabilize fares for seniors and persons with disabilities, one percent of net revenues are dedicated for this purpose. A summary of the program and the allocations to date will be provided in the next quarterly report.

Community Based Transit/Circulators (Project V)

Contact: Charlie Larwood (714) 560-5683

OCTA continued working with interested cities concerning the 25 community based/transit circulator concepts. These concepts are part of the integrated Transit System Study planning efforts.

Safe Transit Stops (Project W)

Contact: Beth McCormick (714) 560-5964

Staff is developing draft guidelines. The proposed guidelines will be brought to the Board for consideration in the coming months.

**Environmental Clean up and Freeway Mitigation Program**

Environmental Committees

Contact: Dan Phu (714) 560-5907

The Environmental Cleanup Allocation/Water Quality Committee (Allocation Committee) and the Environmental Oversight Committee (EOC) both began meeting on a monthly basis in January 2008.

Environmental Cleanup (Project X)

Contact: Dan Phu (714) 560-5907

The M2 Allocation Committee is designed to make recommendations to the Board on the allocation of funds for environmental cleanup and water quality improvements (Project X). These funds will be allocated on a countywide competitive basis to assist jurisdictions in meeting the Clean Water Act standards for controlling transportation-related pollution.

The Environmental Cleanup Program is composed of a two-tiered funding process focusing on early priorities (Tier 1) and to prepare for more comprehensive investments (Tier 2).

A countywide assessment is currently underway to determine the best Tier 2 candidate sites for funding regional, capital projects like bioswales, constructed wetlands, and detention/infiltration basins. This assessment is anticipated to be completed by early 2012. The Allocation Committee is currently developing the Comprehensive Transportation Funding Program funding guidelines in preparation for the Tier 2 call for projects, anticipated to take place shortly after the assessment is complete.

Freeway Mitigation Program (Part of the Freeway Program of Projects A-M)

Contact: Dan Phu (714) 560-5907

The purpose of the M2 Freeway Mitigation Program's EOC is to make recommendations to the Board on the allocation of environmental freeway mitigation funds and to monitor the implementation of a master agreement between OCTA and state and federal resource agencies. (Part of Projects A – M) The master agreement, which was approved by the OCTA Board in January 2010, will provide higher-value environmental benefits such as habitat protection, wildlife corridors, and resource preservation in exchange for streamlined project approvals and greater certainty in the delivery of the 13 M2 freeway projects.

## Restoration Update

In November, the EOC and OCTA toured 11 potential restoration sites that are being considered for funding. These proposed projects were submitted during the second call for restoration projects that took place in June.

OCTA is seeking interested parties who have habitat restoration projects that will restore preserved open space lands to their native habitat. These projects will involve the removal of invasive plant species, which may include plants, weeds, and trees that are not native to the area and can threaten wildlife as well as their habitat.

The evaluation team, which includes OCTA, Caltrans, the U.S. Fish and Wildlife Service, the California Department of Fish and Game, and the Army Corps of Engineers, is expected to issue a restoration funding recommendation by early 2012. A total of \$5 million has been allocated for this round of funding.

## Acquisition Update

In December, OCTA officials purchased the fifth open space property. The 48-acre Hafen property was purchased for \$1.7 million and is located northwest of Rancho Santa Margarita in Trabuco Canyon. The Hafen property was identified as a priority conservation area because of the diversity of habitat types found on the property, including chaparral, coastal sage scrub, oak woodland, and native grassland.

To date, OCTA has acquired approximately 950 acres of open space property in the Trabuco Canyon area and in Brea. In fall 2010, the Board allocated a total of \$42 million to purchase open space in Orange County, consolidating the first two rounds of funding. Approximately \$8.5 million (inclusive of the long-term management cost) remains for additional acquisitions, and the funds are expected to be allocated within the next several months.

## **Financing**

Contact: Sean Murdock (714) 560-5685

Sales tax receipts for the fourth quarter exceeded projections used for the current year budget. Sales tax receipts from the State Board of Equalization for the period increased seven percent from the same period last year, which exceeds the 5.4 percent growth rate assumed for the budget. This represents the 8th straight quarter with growth in sales tax receipts from the same period of the prior year. The 2005 (original) revenue forecast for the life of the M2 program was \$24.3 billion. The revenue forecast had dipped to a low of \$13.7 billion; however, as a result of the positive growth in sales tax revenues, the 2011 estimate is \$15.5 billion.

### **Program Management Office**

Contact: Tami Warren (714) 560-5590

OCTA has established an M2 Program Management Office (PMO) and hired a program manager to provide interdivisional coordination. A committee made up of Executive Directors and key staff from each of the Divisions meets every two weeks to review key issues and activities within the Measure M Program.

In the fourth quarter the focus of the PMO has been on several key items. These include:

- Working with Government Relations and Finance and Administration divisions staff to track the rising charges of the State Board of Equalization for collecting M2 revenues.
- Working with Information Systems Department staff and project management staff to create a unified approach to saving M2 project and program files to ensure comprehensive and consistent filing.
- Developing a scope of work for the 2009-2012 Triennial Performance Assessment.
- Developing an Ordinance Matrix identifying all key compliance requirements for tracking purposes.
- Creating a PMO Charter (Attachment C) to guide the office activities.
- Preparing the agenda and materials for the February 27, 2012 M2 Board Workshop to seek guidance on project priorities for the next five to eight years.

During the next quarter, a M2 workshop will take place where staff will provide a summary on the progress of the M2 Program of projects. Additionally, staff will present options to the Board for expediting delivery on planned freeway projects and propose financing options for the Interstate 405 (Project K).



**ORANGE COUNTY TRANSPORTATION AUTHORITY**

**Measure M2 Progress Report for October 2011 Through  
December 2011**

**Attachment B**

Capital Projects	Cost Budget/Forecast	Schedule Plan/Forecast																
		Begin Environmental		FY 12	Complete Environmental	FY 12	Begin Design	FY 12	Complete Design	FY 12	Construction Ready	FY 12	Advertise Construction	FY 12	Award Contract	FY 12	Complete Construction	FY 12
		(millions)																
Freeway Projects:																		
I-5, Pico to Vista Hermosa	\$113.0	Jun-09	Q2	Dec-11	Q2	Jun-11		Jun-14		Dec-14		Feb-15		May-15		Jun-18		
Project C	\$113.0	Jun-09	Q2	Oct-11	Q2	Jun-11		Oct-13		Feb-14		Apr-14		Jul-14		Jul-16		
I-5, Vista Hermosa to Pacific Coast Highway	\$75.6	Jun-09	Q2	Dec-11	Q2	Jun-11		Jun-14		Dec-14		Feb-15		May-15		Jun-18		
Project C	\$75.6	Jun-09	Q2	Oct-11	Q2	Jun-11		Feb-13		Jun-13		Aug-13		Oct-13		Aug-15		
I-5, Pacific Coast Highway to San Juan Creek Rd.	\$70.7	Jun-09	Q2	Dec-11	Q2	Jun-11		Jun-14		Dec-14		Feb-15		May-15		Jun-18		
Project C	\$70.7	Jun-09	Q2	Oct-11	Q2	Jun-11		Jan-13		Jun-13		Jul-13		Oct-13		Jul-15		
I-5, I-5/Ortega Interchange	\$90.9	Sep-05		Jun-09		Jan-09		Nov-11	Q2	Mar-12	Q3	Jun-12	Q4	Aug-12		Nov-14		
Project D	\$90.9	Sep-05		Jun-09		Jan-09		Dec-11	Q2	Jun-12		Jul-12		Oct-12		Jan-15		
I-5, Avenida Vaquero Soundwall	\$3.0	N/A		N/A		Feb-08		Jan-09		Mar-09		Aug-10		Nov-10		Oct-11	Q2	
	\$2.3	N/A		N/A		Feb-08		Mar-09		Apr-09		Aug-10		Nov-10		Aug-11	Q1	
I-5, El Camino Real Soundwall	\$5.3	N/A		N/A		Jan-08		Jan-09		Mar-09		Aug-10		Dec-10		Feb-12	Q3	
	\$4.9	N/A		N/A		Jan-08		Jan-09		Apr-09		Aug-10		Dec-10		Feb-12		
I-5, SR-73 to El Toro Road	TBD	Sep-11	Q1	Jun-14		TBD		TBD		TBD		Mar-18		TBD		TBD		
Project C & D	\$558.7	Oct-11	Q2	Jun-14		Jun-14		Aug-17		Jun-18		Mar-18		Jun-18		Jun-22		
I-5, SR-55 to SR-57	TBD	Jul-11		Jun-13		TBD		TBD		TBD		TBD		TBD		TBD		
Project A	\$46.4	Jun-11		Jun-13		Jul-13		Mar-15		Jul-15		Aug-15		Nov-15		Nov-17		
I-5, SR-91 to Los Angeles (LA) County Line	\$334.1	N/A		Dec-99		Sep-99		Jun-04		Dec-04		Jan-05		Apr-05		Mar-11		
	\$326.5	N/A		Dec-99		Sep-99		Jul-05		Aug-05		Sep-05		Apr-06		Jan-11		
I-5, SR-91 to LA County Line (Landscape)	\$1.7	N/A		N/A		Jan-08		Jul-10		Sep-10		Nov-10		Feb-11		Apr-12	Q4	
	\$1.7	N/A		N/A		Jan-08		Jul-10		Sep-10		Nov-10		Feb-11		Apr-12		
I-5, Continuous HOV Lane Access	TBD	Jul-11	Q1	Mar-12	Q3	Feb-12	Q3	Jan-13		Apr-13		May-13		Aug-13		Dec-13		
	\$7.7	Aug-11	Q1	Jul-12		May-12		Jan-13		Apr-13		May-13		Aug-13		Dec-13		
SR- 22, Additional Soundwalls	\$4.0	N/A		N/A		Mar-08		Jan-09		Mar-09		Apr-09		Jun-09		Mar-11		
	\$3.2	N/A		N/A		Mar-08		Jun-09		Nov-09		Dec-09		Apr-10		Mar-11		
SR-55, High-Occupancy Vehicle Continuous (HOV) Access	\$1.5	May-10		Aug-10		May-10		Oct-10		Dec-10		Dec-10		Feb-11		Jun-11		
	\$1.1	May-10		Oct-10		May-10		Oct-10		Dec-10		Dec-10		Feb-11		May-11		
SR-55, I-405 to I-5	TBD	Feb-11		Nov-13		TBD		TBD		TBD		TBD		TBD		TBD		
Project F	\$274.9	May-11		Feb-14		Feb-14		Dec-16		Jun-17		Aug-17		Oct-17		Nov-20		
SR-57 Northbound (NB), Katella to Lincoln	\$78.7	Apr-08		Jul-09		Jul-08		Nov-10		Mar-11		May-11	Q1	Aug-11	Q1	Sep-14		
Project G	\$37.7	Apr-08		Nov-09		Aug-08		Dec-10		Apr-11		Jul-11	Q1	Oct-11	Q2	Sep-14		
SR-57 (NB), Orangethorpe to Yorba Linda	\$80.2	Aug-05		Dec-07		Feb-08		Dec-09		Apr-10		Jun-10		Oct-10		Mar-14		
Project G	\$57.5	Aug-05		Dec-07		Feb-08		Jul-09		Dec-09		May-10		Oct-10		Mar-14		
SR-57 (NB), Yorba Linda to Lambert	\$79.3	Aug-05		Dec-07		Feb-08		Dec-09		Apr-10		Jun-10		Oct-10		Jul-14		
Project G	\$56.5	Aug-05		Dec-07		Feb-08		Jul-09		Mar-10		May-10		Oct-10		Jul-14		
SR-91 Westbound (WB), I-5 to SR-57	\$78.1	Jul-07		Apr-10		Oct-09		Feb-12	Q3	Jul-12		Aug-12		Nov-12		Nov-15		
Project H	\$78.1	Jul-07		Jun-10		Mar-10		Apr-12		Jul-12		Sep-12		Nov-12		Nov-15		
SR-91 (WB), Tustin Interchange to SR-55	\$49.9	Jul-08		Jul-11		Jul-11		Mar-13		Jul-13		Aug-13		Oct-13		May-15		
Project I	\$49.9	Jul-08		May-11		Jun-11		Mar-13		Jul-13		Aug-13		Oct-13		May-15		

# Capital Action Plan

Status Thru December 2011

Updated: January 24, 2012

Capital Projects	Cost		Schedule															
	Budget/Forecast		Plan/Forecast															
	(millions)		Begin Environmental	FY 12	Complete Environmental	FY 12	Begin Design	FY 12	Complete Design	FY 12	Construction Ready	FY 12	Advertise Construction	FY 12	Award Contract	FY 12	Complete Construction	FY 12
SR-91, SR-55 to SR-241 Project J	\$128.4		Jul-07		Jul-09		Jun-09		Jan-11		Apr-11		Jun-11		Sep-11		Dec-12	
	\$80.9		Jul-07		Apr-09		Apr-09		Aug-10		Dec-10		Feb-11		May-11		Dec-12	
SR-91 Eastbound, SR-241 to SR-71 Project J	\$104.5		Mar-05		Dec-07		Jul-07		Dec-08		Mar-09		May-09		Jul-09		Nov-10	
	\$60.2		Mar-05		Dec-07		Jul-07		Dec-08		May-09		Jun-09		Aug-09		Jan-11	
I-405, Continuous HOV Lane Access	TBD		Jul-11	Q1	Apr-12	Q4	Mar-12	Q3	Jan-13		Apr-13		May-13		Aug-13		Nov-13	
	\$3.5		Aug-11	Q1	Mar-12		Mar-12		Jan-13		Apr-13		May-13		Aug-13		Nov-13	
I-405, SR-55 to I-605 (Design-Build) Project K	TBD		Mar-09		Mar-13		TBD		TBD		TBD		TBD		TBD		TBD	
	\$1,714.5		Mar-09		Sep-13		Oct-12		Nov-13		Feb-14		Feb-14		Oct-14		Nov-18	
I-405/SR-22 HOV Connector	\$195.9		N/A		N/A		Sep-07		Sep-09		Mar-10		May-10		Aug-10		Aug-14	
	\$120.9		N/A		N/A		Sep-07		Jun-09		Sep-09		Feb-10		Jun-10		Aug-14	
I-405/I-605 HOV Connector	\$260.4		N/A		N/A		Sep-07		Sep-09		Mar-10		May-10		Oct-10		Jan-15	
	\$169.6		N/A		N/A		Sep-07		Sep-09		Feb-10		May-10		Oct-10		Jan-15	
Grade Separation Projects:																		
Sand Canyon Grade Separation	\$55.6		N/A		Sep-03		Jan-04		Jul-10		Jul-10		Oct-10		Feb-11		May-14	
Project R	\$55.2		N/A		Sep-03		Jan-04		Jul-10		Jul-10		Oct-10		Feb-11		May-14	
Raymond Grade Separation	\$77.2		Feb-09		Nov-09		Mar-10		Aug-12		Nov-12		Feb-13		May-13		Mar-16	
Project O	\$78.2		Feb-09		Nov-09		Mar-10		May-12		Nov-12		Feb-13		May-13		Mar-16	
State College Grade Separation	\$73.6		Dec-08		Jan-11		Jul-06		Aug-12		Nov-12		Feb-13		May-13		Mar-16	
Project O	\$74.6		Dec-08		Apr-11		Jul-06		Mar-12		Nov-12		Feb-13		May-13		Mar-16	
Placentia Grade Separation	\$78.2		Jan-01		May-01		Jan-09		Mar-10		May-10		Mar-11		Jun-11	Q1	Nov-14	
Project O	\$87.3		Jan-01		May-01		Jan-09		Jun-10		Jan-11		Mar-11		Jul-11	Q1	Nov-14	
Kraemer Grade Separation	\$70.4		Jan-01		Sep-09		Jan-09		Jul-10		Jul-10		Apr-11		Aug-11	Q1	Oct-14	
Project O	\$67.8		Jan-01		Sep-09		Feb-09		Jul-10		Jan-11		Jun-11		Sep-11	Q1	Oct-14	
Orangethorpe Grade Separation	\$117.4		Jan-01		Sep-09		Feb-09		Dec-11	Q2	Dec-11	Q2	Feb-12	Q3	May-12	Q4	Mar-15	
Project O	\$115.0		Jan-01		Sep-09		Feb-09		Oct-11	Q2	Apr-12	Q2	Jun-12		Sep-12		Jul-15	
Tustin/Rose Grade Separation	\$103.0		Jan-01		Sep-09		Feb-09		Dec-11	Q2	Mar-12	Q3	May-12	Q4	Aug-12		Mar-15	
Project O	\$91.7		Jan-01		Sep-09		Feb-09		Jul-11	Q1	May-12		Jul-12		Oct-12		May-15	
Lakeview Grade Separation	\$70.2		Jan-01		Sep-09		Feb-09		Oct-11	Q2	Oct-12		Feb-13		May-13		Sep-15	
Project O	\$99.8		Jan-01		Sep-09		Feb-09		Mar-12		Dec-12		Mar-13		Jul-13		Dec-15	
Rail and Station Projects:																		
Rail-Highway Grade Crossing Safety Enhancement	\$94.4		Jan-08		Oct-08		Jan-08		Sep-08		Sep-08		Sep-08		Aug-09		Dec-11	Q2
Project R	\$94.4		Jan-08		Oct-08		Jan-08		Sep-08		Sep-08		Sep-08		Aug-09		Dec-11	Q2
Metrolink Service Expansion Program	\$134.0		May-07		Apr-08		Jul-07		Mar-09		Mar-09		Sep-08		Mar-09		Oct-11	Q2
	\$134.0		May-07		Apr-08		Jul-07		Mar-09		Mar-09		Sep-08		Mar-09		Jun-12	
Anaheim Rapid Connection	TBD		Jan-09		Oct-14		TBD		TBD		TBD		TBD		TBD		TBD	
Project S	\$676.0		Jan-09		Nov-14		Jun-13		May-14		May-15		Apr-14		May-15		Aug-18	
Santa Ana/Garden Grove Fixed Guideway	TBD		Aug-09		Mar-12	Q3	TBD		TBD		TBD		TBD		TBD		TBD	
Project S	\$252.0		Aug-09		Aug-12		Feb-13		Mar-15		Jun-15		Jun-15		Sep-15		Oct-17	

# Capital Action Plan

Status Thru December 2011

Updated: January 24, 2012

Capital Projects	Cost		Schedule															
	Budget/Forecast		Plan/Forecast															
		(millions)	Begin Environmental	FY 12	Complete Environmental	FY 12	Begin Design	FY 12	Complete Design	FY 12	Construction Ready	FY 12	Advertise Construction	FY 12	Award Contract	FY 12	Complete Construction	FY 12
Placentia Metrolink Station & Parking Structure	TBD		Jan-03		May-07		Oct-08		Jan-11		Jan-12	Q3	Aug-12		Nov-12		Jan-15	
	TBD		Jan-03		May-07		Oct-08		Feb-11		Aug-12		Aug-12		Nov-12		Jan-15	
Orange Station Parking Expansion	TBD		Dec-09		May-12	Q4	Nov-10		Apr-13		TBD		TBD		TBD		TBD	
	TBD		Dec-09		Dec-12		Nov-10		Apr-13		Apr-13		Apr-13		Jul-13		Nov-14	
Tustin Station Parking Expansion	\$17.6		Apr-07		Nov-07		Apr-09		Mar-10		Mar-10		Apr-10		Aug-10		Sep-11	Q1
	\$15.7		Apr-07		Nov-07		Apr-09		May-10		May-10		Jun-10		Aug-10		Sep-11	Q1
Fullerton Station Parking Expansion	\$42.0		Jul-06		Mar-07		Sep-07		Aug-09		Aug-09		May-10		Aug-10		Apr-12	Q4
	\$32.9		Jul-06		Mar-07		Sep-07		Aug-09		Aug-09		May-10		Aug-10		Apr-12	Q4
Anaheim Regional Transportation Intermodal Center	\$227.4		Apr-09		Feb-11	Q1	Jun-09		Feb-12	Q3	Dec-11	Q2	May-11 (t)		Jul-11	Q1	Sep-14	
Project R & T	\$227.4		Apr-09		Feb-12		Jun-09		May-12		May-12		May-12		Aug-12		Oct-14	
LOSSAN Fiber Optic Communications	\$24.6		N/A		N/A		Oct-07		Mar-10		Mar-10		Apr-10		Dec-10		Aug-12	
	\$24.6		N/A		N/A		Oct-07		Sep-10		Sep-10		Oct-10		Dec-10		Sep-12	
Tustin Station Video Surveillance System (VSS)	\$0.8		N/A		N/A		Mar-11		Jun-11		Jun-11		N/A		N/A		Oct-11	Q2
(Design-Furnish-Install)	\$0.8		N/A		N/A		Apr-11		Jun-11		Jun-11		N/A		N/A		Dec-11	Q2
Santa Ana Station VSS	\$0.8		N/A		N/A		Jan-11		Feb-11		Feb-11		N/A		N/A		Sep-11	Q1
(Design-Furnish-Install)	\$0.8		N/A		N/A		Jan-11		Feb-11		Apr-11		N/A		N/A		Nov-11	Q2
Fullerton Station VSS	\$0.8		N/A		N/A		Apr-11		Aug-11	Q1	Aug-11	Q1	N/A		N/A		Jun-12	Q4
(Design-Furnish-Install)	\$0.8		N/A		N/A		Jun-11		Aug-11	Q1	Aug-11	Q1	N/A		N/A		Jun-12	Q4

Notes: (1) Planned start of terminal shell and structure package

Grey = Milestone achieved  
 Green = Forecast milestone meets or exceeds plan  
 Yellow = Forecast milestone is one to three months later than plan  
 Red = Forecast milestone is over three months later than plan

**Begin Environmental:** The date work on the environmental clearance, project report, or preliminary engineering phase begins.  
**Complete Environmental:** The date environmental clearance and project approval is achieved.  
**Begin Design:** The date final design work begins, or the date when a design-build contract begins.  
**Complete Design:** The date final design work is 100 percent complete and approved.  
**Construction Ready:** The date contract bid documents are ready for advertisement, including certification of right-of-way, all agreements executed, contract constraints are cleared.  
**Advertise for Construction:** The date a construction contract is both funded and advertised for bids.  
**Award Contract:** The date the construction contract is awarded.  
**Construction Complete:** The date all construction work is completed and the project is open to public use.

- Acronyms**  
 I-5 - Santa Ana Freeway (Interstate 5)  
 SR-73 - San Joaquin Freeway (State Route 73)  
 SR-55 - Costa Mesa Freeway (State Route 55)  
 SR-57 - Orange Freeway (State Route 57)  
 SR-91 - Riverside Freeway (State Route 91)  
 SR-22 - Garden Grove Freeway (State Route 22)  
 I-405 - San Diego Freeway (Interstate 405)  
 SR-241 - Foothill/Eastern Transportation Corridor (State Route 241)  
 I-605 - San Gabriel River Freeway (Interstate 605)  
 LOSSAN - Los Angeles - San Diego - San Luis Obispo





**ORANGE COUNTY TRANSPORTATION AUTHORITY**

**Measure M2 Progress Report for October 2011 Through  
December 2011**

**Attachment C**

# **MEASURE M PROGRAM MANAGEMENT OFFICE CHARTER**

## **Introduction**

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In November 2006, Orange County voters approved the Renewed Measure M Transportation Ordinance and Investment Plan, also called “M2.” The Measure includes a 30-year Transportation Investment Plan covering a range of facilities and services. Following voter approval, the Orange County Transportation Authority Board of Directors (Board) authorized creation of an M2 Program Management Office (PMO) to oversee the Measure. This charter describes the purpose, goals and functional responsibilities of the PMO.

## **Purpose of the PMO**

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The Orange County Transportation Authority (OCTA) is committed to fulfilling the promises made in M2. This means not only completing the projects described in the Investment Plan, but adhering to numerous specific requirements and high standards of quality called for in the Measure. The PMO is intended to provide unified oversight and action to ensure successful delivery. While other organizational units within OCTA carry out the Investment Plan’s individual projects and programs, the PMO monitors and as appropriate, analyzes and assesses, facilitates, coordinates, and reports on M2 activities and progress.

## **PMO Goals**

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The PMO’s goals are to ensure:

- Compliance and consistency with Ordinance requirements
- Sound, effective, management of the overall M2 Program and the individual programs and projects within it
- Fiscal responsibility
- Transparency
- Implementation of taxpayer safeguards as described in the Ordinance.

## PMO Functional Responsibilities

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To further these five goals, the PMO will assume the following functional responsibilities:

### Compliance and Consistency

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1. Ensure projects, programs, and taxpayer safeguards are developed and delivered according to processes and procedures included in the Ordinance.
2. Coordinate development of a plan and monitor completion of activities related to closeout of Measure M.

### Management

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3. Ensure OCTA establishes the necessary business processes and systems to effectively and efficiently implement the 30-year Transportation Investment Plan.
4. Consolidate M2 program and project management policies and procedures for use by all OCTA divisions.
5. Serve as a clearinghouse for ensuring critical interdivisional program-management and information-sharing, including the formation of a standing "Measure M Program Management Advisory Committee."

### Fiscal Responsibility

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6. Ensure there is proper reporting and ongoing review of M2 receipts, expenditures, and accounting of M2 proceeds to meet business and agency standards.
7. Ensure that uses of M2 and related external funding follow the provisions of the Ordinance.

### Transparency

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8. Coordinate and oversee reporting of M2 Program status/information to the Board of Directors, general public, and stakeholders
9. Ensure consistent and appropriate reporting of information related to M2 project development activities.
10. Provide access to relevant M2-related policy and procedure development.

### Safeguards

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11. Ensure implementation of safeguard measures called for in the Ordinance including the Taxpayers Oversight Committee, quarterly reports to the Board, annual expenditure reports, Triennial Performance Assessments, Year Review, annual Local Transportation Authority audit, and reporting from the local jurisdictions.



**ORANGE COUNTY TRANSPORTATION AUTHORITY**

**Measure M Taxpayers Oversight Committee Annual Public  
Hearing Results and Compliance Findings**

**Staff Report**