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## **BOARD AGENDA**

### **Board Members**

Mark A. Murphy, Chairman  
Gene Hernandez, Vice Chairman  
Lisa A. Bartlett  
Doug Chaffee  
Barbara Delgleize  
Andrew Do  
Katrina Foley  
Brian Goodell  
Patrick Harper  
Michael Hennessey  
Steve Jones  
Fred Jung  
Joseph Muller  
Tam Nguyen  
Vicente Sarmiento  
Donald P. Wagner  
Ryan Chamberlain

Orange County Transportation Authority  
Board Room  
550 South Main Street  
Orange, California

**Monday, August 8, 2022 at 9:00 a.m.**

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

### **Agenda Descriptions**

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

### **Public Availability of Agenda Materials**

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



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## **BOARD AGENDA**

### **Meeting Access and Public Comments on Agenda Items**

Members of the public can either attend in-person (subject to OCTA's Coronavirus (COVID-19) safety protocols) or listen to live audio streaming of the Board and Committee meetings by clicking the below link:

<https://www.octa.net/About-OCTA/Who-We-Are/Board-of-Directors/Live-and-Archived-Audio/>

Members of the public may address the Board of Directors regarding any item in two ways:

#### **In-Person Comment**

Members of the public may attend in-person (subject to OCTA's COVID-19 safety protocols) and address the Board regarding any item. Members of the public will be required to complete a COVID-19 symptom and temperature screening.

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

#### **Written Comment**

Written public comments may also be submitted by emailing them to [ClerkOffice@octa.net](mailto:ClerkOffice@octa.net), and must be sent by **5:00 p.m. the day prior to the meeting**. If you wish to comment on a specific agenda item, please identify the item number in your email. All public comments that are timely received will be part of the public record and distributed to the Board. Public comments will be made available to the public upon request.



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## **BOARD AGENDA**

### **Call to Order**

#### **Invocation**

Director Wagner

#### **Pledge of Allegiance**

Director Sarmiento

### **Special Calendar**

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

1. **Presentation of Resolutions of Appreciation for Community College Passes**

Stella Lin/Maggie McJilton

Present Resolution of Appreciation Nos. 2022-055, 2022-056, 2022-057, 2022-058, 2022-059, 2022-060, 2022-061, 2022-062, 2022-063, and 2022-064 to Santa Ana College, Santiago Canyon College, Fullerton College, Golden West College, Cypress College, Coastline College, Saddleback College, Irvine Valley College, Orange Coast College, and Rancho Santiago Canyon Community College District Continuing Education.

#### **Consent Calendar (Items 2 through 19)**

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

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

2. **Approval of Minutes**

##### **Recommendation**

Approve the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of July 25, 2022.



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**BOARD AGENDA**

**3. Fiscal Year 2021-22 Internal Audit Plan, Fourth Quarter Update**  
Janet Sutter

**Overview**

The Orange County Transportation Authority Board of Directors adopted the Orange County Transportation Authority Internal Audit Department Fiscal Year 2021-22 Internal Audit Plan on August 9, 2021. This update is for the fourth quarter of the fiscal year.

**Recommendation**

Receive and file the fourth quarter update to the Orange County Transportation Authority Internal Audit Department Fiscal Year 2021-22 Internal Audit Plan as an information item.

**4. Agreement for 91 Express Lanes Channelizers**  
Kirk Avila

**Overview**

Channelizers are an integral part of maintaining the safety and integrity of the 91 Express Lanes toll systems and traffic operations. As channelizers get damaged or destroyed, they are replaced on a regular maintenance schedule and new ones must be procured. The method of this procurement for channelizers is through the use of a piggy-back provision on another public agency's existing agreement. Board of Directors' approval is requested to execute an agreement to provide channelizers for the 91 Express Lanes.

**Recommendations**

- A. Approve the selection of Statewide Traffic Safety and Signs, Inc. to provide channelizers for the 91 Express Lanes through a competitive procurement that was conducted by the Riverside County Transportation Commission.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-2-2650 between the Orange County Transportation Authority and Statewide Traffic Safety and Signs, Inc., in the amount of \$274,238, for the procurement of channelizers for the 91 Express Lanes.





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**BOARD AGENDA****5. Amendment to Purchase Order for Modular Systems and Ancillary Furniture**

Sara Belovsky/Andrew Oftelie

**Overview**

In January 2020, the Orange County Transportation Authority Board of Directors approved a purchase order with Western Office Interiors to provide services for the purchase, installation, reconfiguration, and maintenance of modular systems and ancillary furniture at all work locations. An amendment is required to increase the existing purchase order for the purchase and installation of furniture for the Interstate 405 Customer Service and Operations Center office space.

**Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Purchase Order No. C-9-1652 between the Orange County Transportation Authority and Western Office Interiors, in the amount of \$500,000, to provide for the purchase of modular systems and ancillary furniture for the Interstate 405 Customer Service and Operations Center. This will increase the purchase order to a total contract value of \$1,490,000.

**6. Fourth Quarter Fiscal Year 2021-22 Procurement Status Report**

Pia Veesapen/Andrew Oftelie

**Overview**

The fourth quarter procurement status report summarizes the procurement activities for information purposes to the Orange County Transportation Authority Board of Directors. This report focuses on procurement activity from April 1, 2022, through June 30, 2022, that was approved by the Board of Directors during this period. The fourth quarter procurement status report also projects future procurement activity for the first quarter as identified in the fiscal year 2022-23 budget.

**Recommendation**

Receive and file as an information item.



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**BOARD AGENDA**

**7. Orange County Transportation Authority Investment and Debt Programs Report - June 2022**

Robert Davis/Andrew Oftelie

**Overview**

The Orange County Transportation Authority has a comprehensive investment and debt program to fund its immediate and long-term cash flow demands. Each month, the Treasurer submits a report detailing investment allocation, performance, compliance, outstanding debt balances, and credit ratings for the Orange County Transportation Authority's debt program. This report is for the month ending June 30, 2022.

**Recommendation**

Receive and file as an information item.

**8. Annual New York Credit Update - June 2022**

Robert Davis/Andrew Oftelie

**Overview**

Since the early 1990s, the Orange County Transportation Authority has maintained an active investor relations program. As part of this program, each year the Orange County Transportation Authority conducts a series of meetings with the rating agencies and financial institutions in New York, New York. This year, the meetings took place from Tuesday, June 21, 2022 to Thursday, June 23, 2022.

**Recommendation**

Receive and file as an information item.



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**BOARD AGENDA****Orange County Local Transportation Authority Consent Calendar Matters****9. Oversight Controls and Contract Compliance Related to the OC Streetcar Design and Construction Management, Internal Audit Report No. 22-505**

Serena Ng/Janet Sutter

**Overview**

The Internal Audit Department of the Orange County Transportation Authority has completed an audit of oversight, procurement, invoice, and project reporting controls and compliance with policies, procedures, and contracts related to the design and construction management of the OC Streetcar project. The initial scope of the audit included the OC Streetcar construction contract; however, this was excluded at legal counsel direction, and consistent with government auditing standards that require consideration of interference with ongoing legal proceedings. Based on the audit, procurements were handled in compliance with procedures, required status meetings with the Federal Transit Administration are conducted, and quarterly project reports to the Board of Directors are provided. However, recommendations have been made to reconsider the use of a Schedule of Values in firm-fixed price contracts to recover identified overbillings by consultants, to resume preparation of internal project status reports on a monthly basis, and to enhance controls over contract amendments and monitoring of consultant insurance requirements.

**Recommendation**

Direct staff to implement five recommendations provided in Oversight Controls and Contract Compliance Related to the OC Streetcar Design and Construction Management, Internal Audit Report No. 22-505.



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**BOARD AGENDA**

**10. Fourth Quarter Fiscal Year 2021-22 and Planned Fiscal Year 2022-2023  
Capital Action Plan Performance Metrics**

James G. Beil

**Overview**

Staff has prepared a quarterly progress report on capital project delivery for the period of April 2022 through June 2022, for review by the Orange County Transportation Authority Board of Directors. This report highlights the Capital Action Plan for project delivery, which is used as a performance metric to assess delivery progress on highway, transit, and rail projects.

**Recommendation**

Receive and file as an information item.

**11. Cooperative Agreement with the California Department of  
Transportation for the Interstate 5 Improvement Project Between  
Interstate 405 and Yale Avenue and Authority to Acquire Right-of-Way**

Josue Vaglienty/James G. Beil

**Overview**

The Orange County Transportation Authority proposes to enter into a cooperative agreement with the California Department of Transportation to define roles, responsibilities, and funding obligations for right-of-way support services, right-of-way engineering, right-of-way acquisition, and utility relocation for the Interstate 5 Improvement Project between Interstate 405 and Yale Avenue.

**Recommendations**

- A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-2-2592 between the Orange County Transportation Authority and the California Department of Transportation, at no cost, to perform right-of-way services for the Interstate 5 Improvement Project between Interstate 405 and Yale Avenue.
- B. Authorize the Chief Executive Officer to initiate discussions with property owners and utility owners, make offers, and execute agreements for the acquisition of all necessary real property interests and necessary utility relocations.



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**BOARD AGENDA**

**12. Amendment to Cooperative Agreement with the California Department of Transportation for Preparation of the Project Report and Environmental Document for the Interstate 5/EI Toro Road Interchange Project**

Niall Barrett/James G. Beil

**Overview**

On November 22, 2016, the Orange County Transportation Authority entered into a cooperative agreement with the California Department of Transportation to perform environmental phase services for the preparation of the project report and environmental document for the Interstate 5/EI Toro Road Interchange Project.

**Recommendations**

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Cooperative Agreement No. C-6-1262 between the Orange County Transportation Authority and the California Department of Transportation to provide federal funding, which the California Department of Transportation will draw directly, to complete environmental phase services for preparation of the project report and environmental document for the Interstate 5/EI Toro Road Interchange Project.
- B. Authorize the use of up to \$4,813,000 in additional Surface Transportation Block Grant Program funds for the Interstate 5/EI Toro Road Interchange Project.
- C. Authorize the use of up to \$350,000 in additional Measure M2 funds for public outreach efforts for the Interstate 5/EI Toro Road Interchange Project.
- D. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute or amend all necessary agreements to facilitate the above actions.



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**BOARD AGENDA**

**13. Amendment to Agreement for Additional Design Services for Interstate 5 Improvement Project Between Yale Avenue and State Route 55**

Niall Barrett/James G. Beil

**Overview**

On November 9, 2020, the Orange County Transportation Authority Board of Directors authorized an agreement with TranSystems Corporation for the preparation of plans, specifications, and estimates for the Interstate 5 Improvement Project between Yale Avenue and State Route 55. An amendment to the existing agreement is required for additional design services.

**Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Agreement No. C-0-2371 between the Orange County Transportation Authority and TranSystems Corporation, in the amount of \$984,228, for additional design services for the Interstate 5 Improvement Project between Yale Avenue and State Route 55. This will increase the maximum cumulative obligation of the agreement to a total contract value of \$13,458,941.

**14. Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605**

Jeff Mills/James G. Beil

**Overview**

On November 14, 2016, the Orange County Transportation Authority Board of Directors approved Agreement No. C-5-3843 with OC 405 Partners, a joint venture, for the design and construction of the Interstate 405 Improvement Project from State Route 73 to Interstate 605. A contract change order is needed at this time to compensate OC 405 Partners for additional landscaping at various bridges in the City of Westminster.



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**BOARD AGENDA****Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 133 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$509,431, to provide additional landscaping at various bridges in the City of Westminster.

**15. Agreement for Partial Demolition and Reconstruction Services of a Commercial Building for the State Route 55 Improvement Project Between Interstate 5 and Interstate 405**

Joe Gallardo/James G. Beil

**Overview**

On April 11, 2022, the Orange County Transportation Authority issued an invitation for bids for partial demolition and reconstruction services of a commercial building necessary for the State Route 55 Improvement Project between Interstate 5 and Interstate 405. Bids were received in accordance with the Orange County Transportation Authority's public works procurement procedures. Board of Directors' approval is requested to execute the agreement.

**Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-2-2154 between the Orange County Transportation Authority and Golden Gate Steel, Inc. doing business as Golden Gate Construction, the lowest responsive, responsible bidder, in the amount of \$2,046,700, for partial demolition and reconstruction services of a commercial building for the State Route 55 Improvement Project between Interstate 5 and Interstate 405.



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**BOARD AGENDA**

**16. Temporary Policy Change to Address Extraordinary Inflation for Prior Regional Capacity Program and Regional Traffic Signal Synchronization Program Allocations**

Adriann Cardoso/Kia Mortazavi

**Overview**

The Regional Capacity Program and Regional Traffic Signal Synchronization Programs allocate funds for roadway and signal projects through a competitive process, consistent with the Measure M2 Expenditure Plan. Due to recent extraordinary inflationary pressures, local jurisdictions have requested that the Orange County Transportation Authority provide assistance with advancing project commitments in light of the extraordinary cost escalation environment. Two recommendations to aid the local jurisdictions are presented for the Board of Directors' consideration.

**Recommendations**

- A. Authorize staff to accept local jurisdictions' reapplication of previously approved (2018, 2019, 2020, 2021) Regional Capacity Program and Regional Traffic Signal Synchronization Program grants for the 2023 call for projects, subject to the limitations described in this report.
- B. Authorize staff to apply one-time right-of-way and construction escalation adjustments to previously approved (2018, 2019, 2020, 2021) Regional Capacity Program and Regional Traffic Signal Synchronization Program projects, subject to the limitations described in this report.

**17. Release 2023 Annual Call for Projects for Measure M2 Comprehensive Transportation Funding Programs**

Charvalen Alacar/Kia Mortazavi

**Overview**

The Measure M2 Comprehensive Transportation Funding Programs guidelines provide the mechanism for administration of the annual competitive call for projects for the Measure M2 funding program. The 2023 Regional Capacity Program (Project O) and Regional Traffic Signal Synchronization Program (Project P) call for projects is presented for review and approval.





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**BOARD AGENDA****Recommendations**

- A. Approve proposed revisions to the Comprehensive Transportation Funding Programs guidelines.
- B. Authorize staff to issue the 2023 annual call for projects for the Regional Capacity Program.
- C. Authorize staff to issue the 2023 annual call for projects for the Regional Traffic Signal Synchronization Program.

**18. Cooperative Agreements for Regional Traffic Signal Synchronization Program Projects**

Alicia Yang/Kia Mortazavi

**Overview**

On May 9, 2022, the Orange County Transportation Authority Board of Directors awarded Measure M2 Regional Traffic Signal Synchronization Program funds to five projects as part of the 2022 call for projects. Through the application process, the responsible local agencies requested the Orange County Transportation Authority to oversee the implementation of three of the five projects, Bake Parkway and Rockfield Boulevard, Crown Valley Parkway, and Moulton Parkway. Cooperative agreements are necessary for each of these projects to specify the roles and required amount of the local agency matching funds as specified in the applications.

**Recommendations**

- A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-2-2632 between the Orange County Transportation Authority and the cities of Irvine, Laguna Hills, and Lake Forest for the Bake Parkway and Rockfield Boulevard Regional Traffic Signal Synchronization Program Project, with local agency in-kind services and cash-matching funds totaling \$626,686.



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**BOARD AGENDA**

- B. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-2-2633 between the Orange County Transportation Authority and the cities of Dana Point, Laguna Niguel, Mission Viejo, and the County of Orange for the Crown Valley Parkway Regional Traffic Signal Synchronization Program Project, with local agency in-kind services and cash-matching funds totaling \$587,318.
- C. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-2-2634 between the Orange County Transportation Authority and the cities of Dana Point, Laguna Hills, and Laguna Niguel for the Moulton Parkway Regional Traffic Signal Synchronization Program Project, with local agency in-kind services and cash-matching funds totaling \$662,913.

**19. Request to Exercise Option Term 1 for On-Call Traffic Engineering and Intelligent Transportation Systems Services Agreements**

Alicia Yang/Kia Mortazavi

**Overview**

On January 13, 2020, the Orange County Transportation Authority Board of Directors approved agreements with four traffic engineering firms to provide consultant services for on-call traffic engineering and intelligent transportation systems services for the Measure M2 Regional Traffic Signal Synchronization Program for five years with two, one-year option terms. Amendments to the existing agreements are necessary for additional on-call services to implement recommendations approved as part of the 2022 Comprehensive Transportation Funding Program competitive call for projects.

**Recommendations**

- A. Authorize the Chief Executive Officer to execute Option Term 1 for the following firms to continue to provide on-call traffic engineering services for the Regional Traffic Signal Synchronization Program (Project P): DKS Associates (Agreement No. C-9-1513), AGA Engineers, Inc. (Agreement No. C-9-1810), KOA Corporation (Agreement No. C-9-1811), and Iteris, Inc. (Agreement No. C-9-1812), extending the term of the agreements by one year from their current respective end dates.



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## **BOARD AGENDA**

- B. Authorize the Chief Executive Officer to negotiate and execute amendments between the Orange County Transportation Authority and the following consultants for on-call traffic engineering and intelligent transportation systems services agreements: with DKS Associates (Agreement No. C-9-1513), AGA Engineers, Inc. (Agreement No. C-9-1810), KOA Corporation (Agreement No. C-9-1811), and Iteris, Inc. (Agreement No. C-9-1812), in a shared amount of \$9,384,583. This will increase the maximum obligation for all the on-call firms for a total combined aggregate contract value of \$25,260,008.

### **Regular Calendar**

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

**20. Interstate 405 Improvement Project Update**

Jeff Mills/James G. Beil

##### **Overview**

The Orange County Transportation Authority is currently underway with the implementation of the Interstate 405 Improvement Project. This report provides a project update.

##### **Recommendation**

Receive and file as an information item.

### **Discussion Items**

**21. Caltrans District 12 Interstate 5 Managed Lanes Project Update**

Kia Mortazavi

The Interstate 5 Managed Lanes Project includes a 15-mile section between Red Hill Avenue, south of State Route 55, and the Orange/Los Angeles County line that will address high-occupancy vehicle lane (carpool) degradation through the study of options that include priced managed lanes (also known as Express Lanes). The California Department of Transportation will present an overview discussion why the project is needed, proposed alternatives, the timeline, and the environmental process/phase.



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**BOARD AGENDA****22. San Diego Association of Governments Regional Transportation Plan Update**

Kia Mortazavi

San Diego Association of Governments representatives, Hasan Ikhata, Chief Executive Officer and Coleen Clementson, Deputy Chief Executive Officer will present the bold new transportation vision included in the San Diego region's Regional Transportation Plan. They will discuss specific projects that are being done in collaboration with other agencies, including the California Department of Transportation. The California Department of Transportation representative, Allan Kosup, North County Corridor Director, will join Mr. Ikhata and Ms. Clementson to discuss improvements in the North Coast Corridor.

**23. Public Comments****24. Chief Executive Officer's Report****25. Directors' Reports****26. Closed Session**

A Closed Session is scheduled as follows:

- A. Pursuant to Government Code Section 54957(b) to evaluate the performance of the Chief Executive Officer, Darrell E. Johnson.
- B. Pursuant to Government Code Section 54957.6 to, meet with the designated representative, Chairman Mark A. Murphy, regarding the compensation of the Chief Executive Officer.

**27. Annual Review and Compensation Adjustment for Chief Executive Officer, Darrell E. Johnson**

Darrell E. Johnson commenced service as the Orange County Transportation Authority's Chief Executive Officer on March 1, 2013. As part of this item, the Board of Directors will consider in open session the Chief Executive Officer's performance and will approve any adjustments to the Chief Executive Officer's Contract of Employment and compensation as deemed necessary by the Board of Directors.



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**BOARD AGENDA****28. Adjournment**

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, August 22, 2022** at the Orange County Transportation Authority Headquarters, Board Room - Conference Room 07-08, 550 South Main Street, Orange, California.



## **Call to Order**

The Monday, July 25, 2022, regular meeting of the Orange County Transportation Authority (OCTA) and affiliated agencies was called to order by Chairman Murphy at 9:04 a.m. at the OCTA Headquarters, 550 South Main Street, Board Room, Orange, California.

**Directors Present:** Mark A. Murphy, Chairman  
Lisa Bartlett  
Doug Chaffee  
Barbara Delgleize  
Andrew Do  
Katrina Foley  
Brian Goodell  
Michael Hennessey  
Steve Jones  
Fred Jung  
Joseph Muller  
Vicente Sarmiento  
Donald P. Wagner

**Directors Absent:** Gene Hernandez, Vice Chairman  
Patrick Harper  
Tam Nguyen  
Ryan Chamberlain

**Staff Present:** Darrell E. Johnson, Chief Executive Officer  
Jennifer L. Bergener, Deputy Chief Executive Officer  
Andrea West, Interim Clerk of the Board  
Gina Ramirez, Clerk of the Board Specialist, Senior  
Allison Cheshire, Clerk of the Board Specialist, Senior  
Cassie Trapesonian, Assistant General Counsel

## **Invocation**

Director Jones gave the Invocation.

## **Pledge of Allegiance**

Director Hennessey led the Pledge of Allegiance.



## **Special Calendar**

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

**1. Presentation of Resolutions of Appreciation for Employees of the Month for July 2022**

Resolutions of Appreciation Nos. 2022-065, 2022-066, and 2022-067 were presented to Jaime Caicedo, Coach Operator; Gilberto Anaya, Maintenance; and David Aguirre, Administration, as Employees of the Month for July 2022.

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

**2. Public Hearing for the Making Better Connections Study Draft Service Plan**

Chief Executive Officer (CEO), Darrell E. Johnson, provided opening comments.

Ryan Armstrong, Department Manager, Marketing and Customer Engagement, provided a presentation on this item.

The Clerk of the Board (COB) read the notification of the public hearing into the record.

Chairman Murphy opened the public hearing.

Public comments were received from:

- Dennis Cusick
- Kevin Castaro
- Anne Cashman
- Anderson Crane
- Maureen Milton
- Howard Lee
- Madeline Leon
- Austin
- Brian Bracknu
- James Gesualdi

The COB read into the record a public comment was received from Frank Russell and was emailed to the Board of Directors on Sunday, July 24, at 7:15 p.m. and would be retained as part of the Board meeting record.



A lengthy discussion ensued between Board members and OCTA staff.

A motion was made by Director Wagner, seconded by Director Delgleize, and passed by those present to receive and file initial public input on the Making Better Connections Study Draft Service Plan.

### **Consent Calendar (Items 3 through 20)**

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

##### **3. Approval of Minutes**

A motion was made by Director Hennessey, seconded by Director Do, and declared passed by those present to approve the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of July 11, 2022.

##### **4. Orange County Transportation Authority Internal Audit Department Fiscal Year 2022 23 Internal Audit Plan**

A motion was made by Director Hennessey, seconded by Director Do, and declared passed by those present to

- A. Approve the Orange County Transportation Authority Internal Audit Department Fiscal Year 2022-23 Internal Audit Plan.
- B. Direct the Executive Director of the Internal Audit Department to provide quarterly updates on the Orange County Transportation Authority Internal Audit Department Fiscal Year 2022-23 Internal Audit Plan.

##### **5. Revenue Vehicle Procurement Audit, Internal Audit Report No. 22-508**

A motion was made by Director Hennessey, seconded by Director Do, and declared passed by those present, to Direct staff to implement two recommendations provided in Revenue Vehicle Procurement Audit, Internal Audit Report No. 22-508.

##### **6. Approval to Release Request for Proposals for an Enterprise Human Resources and Payroll Management System**

A motion was made by Director Hennessey, seconded by Director Do, and declared passed by those present, to:

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 2-2580 to select a firm to provide an enterprise human resources and payroll management system.





- B. Approve the release of Request for Proposals 2-2580 to select a firm to provide an enterprise human resources and payroll management system for a seven-year initial term with two, two-year option terms.

**7. Orange County Transportation Authority Investment and Debt Programs Report - May 2022**

A motion was made by Director Hennessey, seconded by Director Do, and declared passed by those present to Receive and file as an information item.

**8. State Legislative Status Report**

A motion was made by Director Hennessey, seconded by Director Do, and declared passed by those present to Receive and file as an information item.

**9. Federal Legislative Status Report**

A motion was made by Director Hennessey, seconded by Director Do, and declared passed by those present to Receive and file as an information item.

**10. Amendment to Agreement for State Legislative Advocacy and Consulting Services**

A motion was made by Director Hennessey, seconded by Director Do, and declared passed by those present to authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Agreement No. C-0-2369 between the Orange County Transportation Authority and Topp Strategies, LLC, to exercise the first option term of the agreement, in the amount of \$420,000, for state legislative advocacy and consulting services. This will increase the maximum obligation of the agreement to a total contract value of \$840,000.

**11. Amendment to Agreement for Federal Legislative Advocacy and Consulting Services**

A motion was made by Director Hennessey, seconded by Director Do, and declared passed by those present to authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Agreement No. C-8-1750 between the Orange County Transportation Authority and Potomac Partners DC, to exercise the second option term of the agreement, in the amount of \$480,000, for federal legislative advocacy and consulting services. This will increase the maximum obligation of the agreement to a total contract value of \$1,440,000.



**12. Approval to Release Request for Proposals for Preliminary Engineering and Environmental Services for the Garden Grove to Santa Ana Rails to Trails**

A motion was made by Director Hennessey, seconded by Director Do, and declared passed by those present, to:

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 2-2595 for consultant services for preliminary engineering and environmental services for the Garden Grove to Santa Ana Rails to Trails.
- B. Approve the release of Request for Proposals 2-2595 for consultant services for preliminary engineering and environmental services for the Garden Grove to Santa Ana Rails to Trails.

**Orange County Transportation District Consent Calendar Matters**

**13. Agreement for Bus Mural Application Services**

A motion was made by Director Hennessey, seconded by Director Do, and declared passed by those present, to:

- A. Approve the selection of JG Images, Inc., as the firm to provide bus mural application services.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-2-2317 between the Orange County Transportation Authority and JG Images, Inc., in the amount of \$350,000, for a three-year initial term with two, two-year option terms to provide bus mural application services.

**14. Agreement for Public Information Marketing Program Services**

A motion was made by Director Hennessey, seconded by Director Do, and declared passed by those present, to:

- A. Approve the selection of Klein and Klein, Inc., as the firm to provide public information marketing program services.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-2-2313 between the Orange County Transportation Authority and Klein and Klein, Inc., in the amount of \$381,000, for a three-year initial term with two, two-year option terms to provide public information marketing program services.



**15. Amendment to Agreement for the Making Better Connection Study**

A motion was made by Director Hennessey, seconded by Director Do, and declared passed by those present, to authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Agreement No. C-0-2739 between the Orange County Transportation Authority and Transportation Management and Design, Inc., in the amount of \$176,775, for consultant support in implementing the final service plan during Phase 3 (Optional Task) of the study, as well as to exercise the option term, effective November 1, 2022, through May 31, 2023. This will increase the maximum cumulative payment obligation of the agreement to a total contract value of \$746,622.

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

**16. Amendment to Cooperative Agreement for Design and Construction of the Placentia Metrolink Commuter Rail Station**

A motion was made by Director Hennessey, seconded by Director Do, and declared passed by those present, to authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Cooperative Agreement No. C-6-1117 between the Orange County Transportation Authority and the City of Placentia, to revise specific provisions related to roles, responsibilities, and funding as well as to extend the agreement term through May 31, 2027, for continued design and construction services of the Placentia Metrolink Commuter Rail Station

**17. Amendment to Agreement for the Design of the OC Streetcar Project**

Director Wagner pulled this item to voice his concerns about the cost of the project.

Chairman Murphy suggested the vote for this item be delayed until staff presents Items 21.

A motion was made by Director Foley, seconded by Director Sarmiento, and declared passed by those present, to authorize the Chief Executive Officer to negotiate and execute Amendment No. 12 to Agreement No. C-5-3337 between the Orange County Transportation Authority and HNTB Corporation, in the amount of \$3,000,000, and extend the agreement term through September 30, 2023, for continued OC Streetcar project design support services during construction. This will increase the maximum cumulative obligation of the agreement to a total contract value of \$29,083,841.

Director Wagner voted in opposition.



**18. Amendment to Agreement for Public Outreach Consultant Services with TRC Solutions, Inc., for the Interstate 5 Improvement Project from State Route 73 to El Toro Road**

A motion was made by Director Hennessey, seconded by Director Do, and declared passed by those present, to authorize the Chief Executive Officer to negotiate and execute Amendment No. 3 to Agreement No. C-8-2086 between the Orange County Transportation Authority and TRC Solutions, Inc., in the amount of \$550,000 to provide ongoing public outreach consultant services for the Interstate 5 Improvement Project from State Route 73 to El Toro Road. Amending this agreement will increase the maximum cumulative obligation of the agreement to a total contract value of \$1,321,410.

**19. Agreement for OC Streetcar Safety Awareness and Public Education Program**

A motion was made by Director Hennessey, seconded by Director Do, and declared passed by those present, to:

- A. Approve the selection of Katz & Associates, Inc., as the firm to provide a safety awareness and public education program for the OC Streetcar project.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-2-2207 between the Orange County Transportation Authority and Katz & Associates, Inc., in the amount of \$700,000, for a two-year initial term with one, two-year option term, to provide a safety awareness and public education program for the OC Streetcar project.

**20. Measure M2 Community Based Transit Circulators Program Project V Ridership Report**

A motion was made by Director Hennessey, seconded by Director Do, and declared passed by those present, to receive and file as an information item.



## **Regular Calendar**

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

#### **21. OC Streetcar Project Quarterly Update**

Ross Lew, Program Manager, and Tresa Oliveri, Public Outreach Specialist, provided a presentation on this item.

Public comments were received from the following:

- Larry Burdick
- Ryan Chase
- Mimi Mar
- Ryan Smolar
- Delilah Snell
- Kim Tapfer
- Brian Bracknu
- Joseph Banuelos
- Maribel Gomez
- Ginette Sanchez
- Marcella Prado
- Ana Laura Padilla
- Benjamin Vasquez
- Julio Arana
- Juliet Castro
- Manny Escamilla
- Valerie Amezcua
- Laura Robinson
- Peter Warner
- Ronnie Paniagua
- Sarah Johnston
- Edwin Shoemaker
- Owen Johnston

The COB read into the record that public comments were received on Sunday, July 24, between 9:40 a.m. and 5:00 p.m from the following:

Anthony Padilla  
Ginette Sanchez  
Joseph and Chela Banuelos  
Delilah Snell  
Brent Evans  
Mimi Mar



The comments were emailed to the Board of Directors on Sunday, July 24<sup>th</sup> at 7:15 p.m. and would be retained as part of the July 25, 2022, Board of Director's meeting record.

Following the discussion, no action was taken on this receive and file information item.

**22. Contract Change Orders for Construction of the OC Streetcar Project**

A motion was made by Director Foley, seconded by Director Sarmiento, and declared passed by those present, to:

- A. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 1.3 to Agreement No. C-7-1904 with Walsh Construction Company II, LLC, in the amount of \$2,100,000, for schedule impacts associated with time impact evaluation 01.
- B. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 28.1 to Agreement No. C-7-1904 with Walsh Construction Company II, LLC, in the amount of \$1,300,000, for schedule impacts associated with time impact evaluation 07.
- C. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 44.2 to Agreement No. C-7-1904 with Walsh Construction Company II, LLC, in the amount of \$907,220, for design of temporary traffic signals and video detections.
- D. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 105 to Agreement No. C-7-1904 with Walsh Construction Company II, LLC, in the amount of \$3,500,000, for modified track slab.
- E. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 150 to Agreement No. C-7-1904 with Walsh Construction Company II, LLC, in the amount of \$500,000, for Fourth Street extended work hours and public safety.
- F. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 164 to Agreement No. C-7-1904 with Walsh Construction Company II, LLC, in the amount of \$500,000, for station platform, parking lot, and Sasscer Park lights.

Director Wagner voted in opposition.



**Discussion Items**

**23. Public Comments**

Public comments were received from:

- Peter Warner
- Paul Haycke

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

Mr. Johnson, CEO, provided an update on the upcoming State Route 55 groundbreaking event on Thursday, July 28.

**25. Directors' Reports**

There were no Director's Reports.

**26. Closed Session**

There was no Closed Session scheduled.

**27. Adjournment**

The meeting adjourned at 12:19 p.m.

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, August 8, 2022** at the Orange County Transportation Authority Headquarters, Board Room, 550 South Main Street, Orange, California.

ATTEST:

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Gina Ramirez  
Clerk of the Board Specialist, Senior



## COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors

**From:** Andrea West, Interim Clerk of the Board *Andrea West*

**Subject:** Fiscal Year 2021-22 Internal Audit Plan, Fourth Quarter

Finance and Administration Committee Meeting of July 27, 2022

**Present:** Directors Goodell, Harper, Hennessey, Jones, and Sarmiento

**Absent:** Directors Hernandez and Muller

**Committee Vote**

This item was passed by the Members present.

Director Samiento was not present to vote on this item.

**Committee Recommendation**

Receive and file the fourth quarter update to the Orange County Transportation Authority Internal Audit Department Fiscal Year 2021-22 Internal Audit Plan as an information item.





**July 27, 2022**

**To:** Finance and Administration Committee

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

Janet Sutter, Executive Director  
Internal Audit Department

**Subject:** Fiscal Year 2021-22 Internal Audit Plan, Fourth Quarter Update

### **Overview**

The Orange County Transportation Authority Board of Directors adopted the Orange County Transportation Authority Internal Audit Department Fiscal Year 2021-22 Internal Audit Plan on August 9, 2021. This update is for the fourth quarter of the fiscal year.

### **Recommendation**

Receive and file the fourth quarter update to the Orange County Transportation Authority Internal Audit Department Fiscal Year 2021-22 Internal Audit Plan as an information item.

### **Background**

The Internal Audit Department (Internal Audit) is an independent appraisal function, the purpose of which is to examine and evaluate the Orange County Transportation Authority's (OCTA) operations and activities to assist management in the discharge of its duties and responsibilities.

Internal Audit performs a wide range of auditing services that include overseeing the annual financial and compliance audits, conducting operational and contract compliance reviews, investigations, and agreed-upon procedures reviews. Audits initiated by entities outside of OCTA are coordinated through Internal Audit.

***Discussion***

The OCTA Internal Audit Fiscal Year (FY) 2021-22 Internal Audit Plan (Plan), Attachment A, reflects the status of each audit project as of year-end. Staff hours, as reflected in Attachment A, represent total hours available annually for audit activities and are budgeted by project as a preliminary estimate of the effort required to meet the audit objective. Actual hours available for audit activities exceeded budgeted hours by approximately 200 hours due primarily to a decrease in the number of hours consumed for Internal Audit administrative activities.

For the Plan year, Internal Audit completed 35 projects, including 23 price reviews, ten internal audits, one unscheduled agreed-upon procedures review, and one Buy America review. As of June 30, 2022, four internal audits are in process, one audit has been completed with a draft report in circulation, and one audit has not yet commenced. These audit projects were carried over to the OCTA Internal Audit FY 2022-23 Plan approved by the Board of Directors on July 25, 2022.

During the fourth quarter, Internal Audit issued results of an audit of freeway service patrol (FSP) operations. Based on the audit, procurements were handled in accordance with OCTA procurement policies, and oversight and invoice review controls were adequate to ensure compliance with policy and contract agreements. In addition, management has implemented effective monitoring controls to ensure that service providers comply with FSP Standard Operating Guidelines.

An audit of investments for the period July 1 through December 31, 2021, found that OCTA complied with its debt, investment, and reporting policies and procedures during the period.

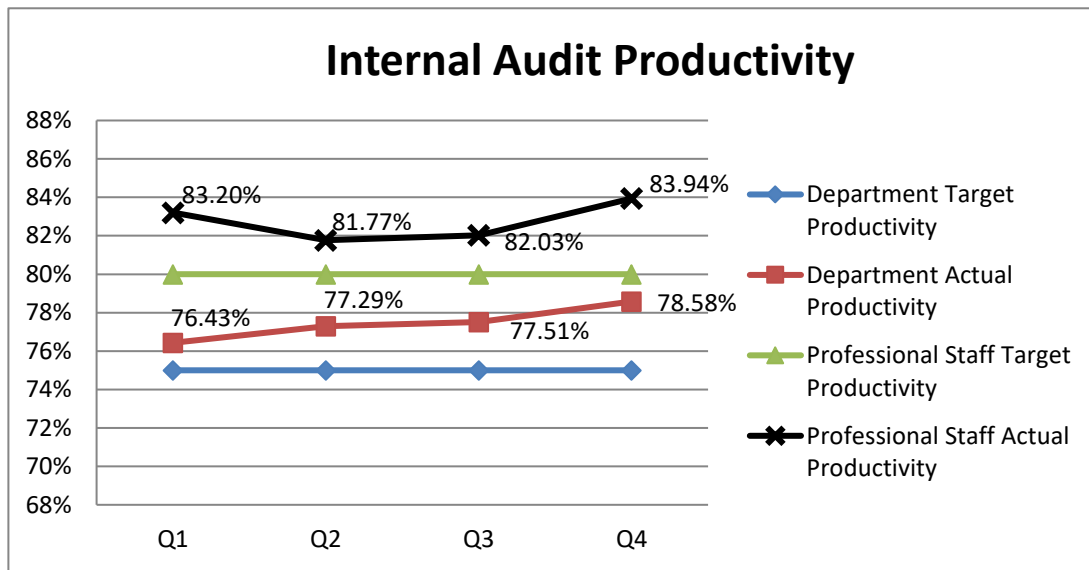
Also, during the quarter, Internal Audit provided results of an audit of temporary staffing services that found contract compliance, oversight, and invoice review controls were adequate and operating.

Lastly, an audit of the revenue vehicle procurement process was completed and concluded that revenue vehicle acceptance procedures and invoice review controls were generally adequate and operating; however, two recommendations were made to update policy and procedures related to cooperative procurements and to ensure that regulatorily-required resident inspector reports are prepared.

### Internal Audit Productivity

Internal Audit measures the productivity of the department by calculating a productivity ratio. The ratio, used broadly throughout the audit industry, measures the amount of time auditors spend on audit projects versus time spent on administrative duties. Productivity goals are established for both the professional staff and for the department. Because the executive director regularly participates in non-audit management activities such as planning and committee meetings, the department-wide target is set at 75 percent. The target for Internal Audit professional staff, not including the executive director, is 80 percent.

By the quarter ended June 30, 2022, Internal Audit had achieved cumulative productivity of 79 percent, and the professional staff achieved cumulative productivity of 84 percent.



### Price Reviews

At the request of the Contracts Administration and Materials Management (CAMM) Department, and consistent with OCTA's procurement policy, Internal Audit conducts agreed-upon procedure reviews of single-bid procurements exceeding \$50,000 to ensure that CAMM handled the procurement in a fair and competitive manner. Internal Audit also performs agreed-upon procedure reviews of sole source contractor proposals exceeding \$50,000 and prices proposed by architectural and engineering firms exceeding \$150,000, to ensure that the prices are fair and reasonable. Internal Audit makes recommendations to adjust proposed rates where they exceed the rates per

review. During the fourth quarter, Internal Audit completed nine price reviews. For the year ended June 30, 2022, a total of 23 price reviews were issued.

#### Fraud Hotline

Internal Audit is responsible for administering the OCTA Fraud Hotline. The fraud hotline system allows reporters to file complaints anonymously through the internet or by calling a toll-free phone number. Complaints may also be received in person, by phone, or by mail directly to Internal Audit. To ensure proper recordkeeping, all complaints are recorded in the Ethicspoint system, regardless of how the complaint is received.

During the quarter ended June 30, 2022, Internal Audit received three reports. One report was a customer complaint and was referred to customer service for disposition; a second report was a complaint unrelated to OCTA and the reporter was referred to the local police department. A third report, alleging that altered documents were provided to Internal Audit during follow-up of an outstanding audit recommendation, was investigated and substantiated. As a result, Internal Audit will perform additional follow-up of the recommendation and the matter was referred to Human Resources for additional investigation and disposition.

#### Outstanding Audit Recommendations Tracking

At the request of the Finance and Administration Committee, a listing of outstanding audit recommendations is included with the quarterly updates to the Plan as Attachment B.

For the quarter ended June 30, 2022, Internal Audit completed a follow-up review of one outstanding audit recommendation from the investments audit and closed out the recommendation, as reflected in Attachment C. Follow-up review of another outstanding recommendation from the audit of the Bridgestone/Firestone tire lease and services contract was also performed and management was notified that the recommendation would be closed out. However, subsequently, Internal Audit confirmed that altered documents were provided as part of the follow-up review, as noted above. As a result, this recommendation will remain open and additional follow-up will be performed. Follow-up of another seven recommendations is in process as of quarter end. Two recommendations were added to the listing resulting from the revenue vehicle procurement audit, summarized above.

***Summary***

The Orange County Transportation Authority Internal Audit Department Fiscal Year 2021-22 Internal Audit Plan is being closed out. Five projects that are in process, and one project that has not yet commenced, have been carried forward to the Orange County Transportation Authority Internal Audit Department Fiscal Year 2022-23 Internal Audit Plan. The Internal Audit Department will continue to perform follow-up of all outstanding findings and recommendations.

***Attachments***

- A. Orange County Transportation Authority Internal Audit Department Fiscal Year 2021-22 Internal Audit Plan, Fourth Quarter Update
- B. Outstanding Audit Recommendations, Audit Reports Issued through June 30, 2022
- C. Audit Recommendations Closed During Fourth Quarter, Fiscal Year 2021-22

**Approved by:**



Janet Sutter  
Executive Director, Internal Audit  
714-560-5591

**Orange County Transportation Authority  
Fiscal Year 2021-22 Internal Audit Plan  
Fourth Quarter Update**

<b>Audit Activity</b>	<b>Project Number</b>	<b>Description</b>	<b>Primary Audit Type</b>	<b>Planned Staff Hours</b>	<b>Staff Hours To Date</b>	<b>Under (Over)</b>	<b>Status (Date Issued)</b>
<b>Mandatory External Independent Audits</b>							
Annual Financial Audits and Agreed-Upon Procedures (AUP) Reviews	FY22-001 through FY22-004	Coordinate and report on annual financial and AUP reviews for fiscal year (FY) 2020-21.	Financial	425	454	(29)	Complete
External Regulatory Audits	FY22-005	Coordinate and report on external audits by regulatory or funding agencies.	Compliance	32	22	11	
State Triennial Review	FY21-007	Procure independent audit firm and coordinate and report on the required State Triennial Performance audits of the Orange County Transportation Authority (OCTA), Orange County Transit District, and Laguna Beach Municipal Transit Lines.	Compliance	180	253	(73)	Complete
<b>Internal Audit Department Projects</b>							
Risk Assessment and Annual Audit Plan	FY22-100	Preparation of the annual audit plan, quarterly updates to the audit plan, and periodic assessment of risk throughout the year, including monitoring the audit results of related entities.	Audit Plan and Updates	180	182	(2)	Complete
Quality Assurance and Self-Assessment	FY22-101	Update of Internal Audit Policies & Procedures. Annual self assessment of the Internal Audit Department's (Internal Audit) compliance with Generally Accepted Government Auditing Standards.	Quality Assurance	120	139	(19)	Complete
Fraud Hotline Activities	FY22-102	Administrative duties related to maintenance of the Fraud Hotline and work related to investigations of reports of fraud, waste, or abuse.	Fraud Hotline	160	48	112	11 Reports
Peer Review	FY22-104	Participate in peer reviews of other internal audit agencies in exchange for reciprocal credit towards required peer review of OCTA's Internal Audit. Report results of peer review to the Finance and Administration Committee and the Board of Directors (Board).	Peer Review	120	103	17	Peer Report Issued 3-27-22
Automated Workpaper Solution	FY22-103	System updates/training related to automated workpaper solution.	Workpaper System	40	34	7	

**Orange County Transportation Authority  
Fiscal Year 2021-22 Internal Audit Plan  
Fourth Quarter Update**

Audit Activity	Project Number	Description	Primary Audit Type	Planned Staff Hours	Staff Hours To Date	Under (Over)	Status (Date Issued)
<b>Internal Audits</b>							
<b>Security and Emergency Preparedness</b>							
Physical Access Security	FY21-511	Review and test controls in place to ensure adequate physical access security at OCTA locations.	Internal Control / Operational	140	406.5	(267)	Complete 1-18-22
<b>Clerk of the Board</b>							
Form 700 Disclosures	FY21-510	Review and test controls in place related to coordination of Form 700 disclosures by designated employees.	Compliance	24	12	12	Complete 7-15-21
Public Records Requests	FY22-510	Assess and test controls in place to ensure compliance with regulations, policies, and procedures.	Compliance	160	102	58	In Process
<b>Express Lanes Program and Motorist Services</b>							
Freeway Service Patrol	FY22-509	Review and test oversight, compliance, and invoice review controls over freeway service patrol activities and consultants.	Operational/ Compliance	240	233.5	7	Complete 4-21-22
<b>People and Community Engagement</b>							
Benefit Programs: Incentives	FY22-502	Assess and test policies, procedures, and controls over employee incentive programs.	Operational	240	278	(38)	Complete 12-23-21
Temporary Staffing	FY22-506	Assess and test oversight, contract compliance, and invoice review controls related to temporary staffing contracts and services.	Operational/ Compliance	240	241	(1)	Complete 4-21-22
<b>Capital Programs</b>							
OC Streetcar - Construction	FY22-505	Review of oversight controls, contract compliance, and invoice review controls related to design and construction of the OC Streetcar project.	Internal Control / Compliance	320	498	(178)	In Process
On-Call Right-of-Way (ROW) and Appraisal Services	FY22-511	Assess and test oversight, contract compliance, and invoice review controls over the use of consultant services for ROW and appraisal services.	Internal Control / Compliance	240	195	45	In Process

**Orange County Transportation Authority  
Fiscal Year 2021-22 Internal Audit Plan  
Fourth Quarter Update**

Audit Activity	Project Number	Description	Primary Audit Type	Planned Staff Hours	Staff Hours To Date	Under (Over)	Status (Date Issued)
<b>Operations</b>							
Facilities Maintenance	FY21-507	Review of facilities maintenance function within the Operations Division, including oversight controls and contract compliance.	Operational / Compliance	180	418	(238)	Complete 2-9-22
Revenue Vehicle Purchases	FY22-508	Review revenue vehicle purchase activities to determine compliance with regulations, policies, and procedures.	Internal Control/ Operational	240	260	(20)	Complete 6-29-22
Non-Revenue Vehicle Purchases and Assignment	FY22-512	Review non-revenue vehicle and accessory purchases and assignments to determine compliance with policies and procedures, and evaluate activities to assess economy and efficiency.	Internal Control/ Operational	240	188.5	52	In Process
<b>Finance and Accounting</b>							
Treasury	FY22-501, FY22-504	Semi-annual review of investments: compliance, controls, and reporting.	Compliance	300	300	-	2 Reports Issued
<b>Information Systems</b>							
Cybersecurity	FY22-5XX	Design a scope of work and procure an audit consultant to evaluate OCTA's cybersecurity program.	Internal Control/ Operational	100		100	
<b>Contract Administration and Materials Management (CAMM)</b>							
Independent Cost Estimates	FY22-513	Review and test controls to ensure independent cost estimates are properly prepared and in compliance with regulations, policy, and procedures.	Internal Control/ Compliance	160	59	101	In Process
Price Reviews	PR22-XXX	As requested by the CAMM Department, apply AUP to sole source, single bid, and architectural and engineering firm proposals.	Price Review	900	766	134	23 Reports Issued
Buy America	FY22-503	As requested by the CAMM Department, apply AUP to determine compliance with Buy America requirements.	Buy America	160	151	9	1 Report Issued



**Orange County Transportation Authority  
Fiscal Year 2021-22 Internal Audit Plan  
Fourth Quarter Update**

Audit Activity	Project Number	Description	Primary Audit Type	Planned Staff Hours	Staff Hours To Date	Under (Over)	Status (Date Issued)
<b>External Affairs</b>							
Public Outreach	FY22-504	Assess and test oversight, contract compliance, and invoice review controls related to public outreach activities for the Interstate 405 Project.	Internal Control/ Compliance	240	239.5	1	Complete 2-8-22
<b>Unscheduled Reviews and Special Requests</b>							
Unscheduled Reviews and Special Requests	FY21-802, FY22-800	Time allowed for unplanned audits and requests from the Board or management.	Varies	240	189	51	1 Report Issued
<b>Monitoring Activities</b>							
Measure M Taxpayer Oversight Committee (TOC)	FY22-601	Coordination of audit activities on behalf of the Audit Subcommittee of the TOC.	Administrative Support	60	38	22	
Metrolink Audit Activities	FY22-602	Review/monitor audit results of Metrolink activities.	Non-Audit Service	20		20	
Capital Asset Inventory Observation	FY22-604	At the request of the Finance and Administration Division, observe and apply limited procedures related to the biannual capital asset inventory counts.	Non-Audit Service	80	225	(145)	Complete
Bus Base Inspections	FY22-603	At the request of the Operations Division, participate in annual base inspections.	Non-Audit Service	60	24	36	Complete
<b>Follow-Up Reviews</b>							
Follow-Up Reviews and Reporting	FY22-700	Follow up on the status of management's implementation of audit recommendations.	Follow-Up	240	221	20	
<b>Total Audit Project Planned Hours (A)</b>				<b>6,081</b>	<b>6,277</b>	<b>(196)</b>	

**Orange County Transportation Authority  
Fiscal Year 2021-22 Internal Audit Plan  
Fourth Quarter Update**

Audit Activity	Project Number	Description	Primary Audit Type	Planned Staff Hours	Staff Hours To Date	Under (Over)	Status (Date Issued)
<b>Internal Audit Administration</b>							
Board and Committee Meetings				180	155	26	
Executive Steering and Agenda Setting Meetings				180	149	31	
Internal Audit Staff Meetings				140	128	12	
Other Administration				1,375	1,280	95	
<b>Total Hours (B)</b>				<b>7,956</b>	<b>7,988</b>	<b>(32)</b>	
<b>Department Target Efficiency (A/B)</b>				75%	79%		
<b>Target Efficiency - Professional Staff</b>				80%	84%		

**Outstanding Audit Recommendations  
Audit Reports Issued Through  
June 30, 2022**

Audit Issue Date	Report Number	Division/ Department/ Agency	Audit Name	Recommendation	Initiate Next Update	Management Response	Internal Audit Status
4/27/21	21-506	Operations	Review of Oversight Controls and Contract Compliance: Bridgestone-Firestone (Bridgestone) Tire Lease and Services, Agreement No. C-9-1354	The Internal Audit Department (Internal Audit) recommended management strengthen monitoring controls to ensure required staffing and work schedules are provided as required. Management should also consider actions to address violations of contract terms and consider adjustments to invoices to account for staffing shortages. Finally, management should evaluate whether 17-hour shifts worked by contractor staff present safety concerns that should be addressed.	Sep-22	Management agreed and advised that the Contracts Administration and Materials Management (CAMM) Department was engaged to formally address the noted contract violations and to explore adjustments to invoices to account for staffing shortages. Management will continue to closely monitor the contract to ensure proper staffing levels are maintained, work schedules are posted and adhered to, and all employee procedures are followed as specified in the terms of the contract. Management will work with the Orange County Transportation Authority's (OCTA) Health, Safety, and Environmental Compliance (HSEC) Department to ensure safe work practices are being followed by Bridgestone.	<u>Update December 2021:</u> Management obtained credit from Bridgestone for the missed work shifts noted during the audit; however, staffing shortages have persisted and no formal action has been taken to address the failure to meet contract requirements or to obtain credits for the missed work shifts. <u>Update June 2022:</u> Internal Audit performed follow-up and closed out the recommendation; however, subsequent to the follow-up review, it was discovered that some documents provided to Internal Audit had been altered. As a result, an additional follow-up will be performed in September.
7/15/21	21-510	Executive Office	Administrative Controls Related to Conflict of Interest Code Form 700 Statement of Economic Interests	Internal Audit recommends management establish and implement a procedure to identify contractors, including those identified by Internal Audit, serving in roles that would otherwise be performed by a designated OCTA employee and require filing. Management should also identify Transit Police Services (TPS) and Real Property consultant staff that should be filing and include them in the eDisclosure system so that they may file, as required.	Jul-22	Management will work with legal counsel and CAMM to develop a process to identify consultants required to file. Both TPS and Real Property consultant staff will be included in this process.	<u>Update March 2022:</u> Management has reviewed the suggestion to include real property and TPS with legal counsel. Based on that review, real-property consultants will be removed and TPS officers with a rank of captain and above will be required to file. A process has been developed to review scopes of work for positions that should be required to file form 700s and will be implemented in the new fiscal year.

**Outstanding Audit Recommendations  
Audit Reports Issued Through  
June 30, 2022**

<b>Audit Issue Date</b>	<b>Report Number</b>	<b>Division/ Department/ Agency</b>	<b>Audit Name</b>	<b>Recommendation</b>	<b>Initiate Next Update</b>	<b>Management Response</b>	<b>Internal Audit Status</b>
7/15/21	21-510	Executive Office	Administrative Controls Related to Conflict of Interest Code (COI) Form 700 Statement of Economic Interests	Internal Audit recommends management reconcile the designated positions list with COI code filing requirements in the Human Resources (HR) system. Management should also consider adding the Financial Analyst in Treasury and Public Finance as a designated position.	Jul-22	Management will review the active designated position titles in the HR system and deactivate position codes, where applicable, or add the COI codes as appropriate. In addition, HR will create new position codes for the Financial Analyst job series in Treasury and Public Finance and attach the COI code for the entire job family.	Update March 2022: HR reconciled position codes in the HR system with the designated positions list and corrected the discrepancies from the audit. HR added the COI code to the Financial Analyst series; however, Internal Audit noted that the employee in that position was never added to the eDisclosure filing system. As a result, this employee was never sent a request to file. Internal Audit recommended that HR work with Clerk of the Board to develop and implement a process to ensure that all employees working in newly designated positions are added to the eDisclosure system and notified to file.
12/23/21	22-502	People and Community Engagement (PACE)	Employee Incentive Benefit Programs	Internal Audit recommends that HR follow up to ensure all discrepancies in vanpool days reported between payment request forms, the OC Vanpool system, and the Commuter Club system are resolved prior to approving payment of incentives.	Jun-22	HR will follow up on any discrepancies of the vanpool days between payment request forms, the OC Vanpool system, and the Commuter Club system and ensure the discrepancies are resolved before the coordinator approves payment requests.	In Process

**Outstanding Audit Recommendations  
Audit Reports Issued Through  
June 30, 2022**

<b>Audit Issue Date</b>	<b>Report Number</b>	<b>Division/ Department/ Agency</b>	<b>Audit Name</b>	<b>Recommendation</b>	<b>Initiate Next Update</b>	<b>Management Response</b>	<b>Internal Audit Status</b>
12/23/21	22-502	PACE and F&A	Employee Incentive Benefit Programs	Internal Audit recommends HR consider obtaining and retaining supporting documentation when changing providers charged with collecting information in support of incentive payments. In addition, the Contracts Administration and Materials Management (CAMM) Department should ensure that a complete audit clause is reflected in all purchase orders (PO).	Jun-22	The new Wellness provider has the functionality to retain and report on information in support of incentive payments in the event that OCTA changes providers. Once CAMM was made aware that a system glitch existed that partially cut off the audit clause from some or all POs, CAMM staff worked directly with OCTA's Information Systems Department to identify the root cause and correct the issue. Additionally, now CAMM reviews the General Provisions on each PO to verify that all clauses have printed in their entirety and are included.	In Process
12/23/21	22-502	PACE	Employee Incentive Benefit Programs	Internal Audit recommends HR obtain signed Metrolink Corporate Quick Card Incentive Program Request forms from all participating employees without a form on file. Additionally, HR should consider requesting periodic re-certifications by participating employees to ensure that they understand and acknowledge program requirements.	Jun-22	HR will obtain signed Metrolink Corporate Quick Card forms from all active Metrolink commuters who do not have one on file. HR will also request recertification of participating employees on an annual basis.	In Process
3/2/22	Not Applicable	Planning and Operations	Measure M2 City Audits	Crowe LLP issued results of agreed-upon procedures applied to selected cities to determine compliance with Measure M2 Ordinance and guidelines for Local Fair Share and Senior Mobility Program funds.	Aug-22	Staff was directed to follow-up with cities to confirm actions taken, as indicated in management responses.	

**Outstanding Audit Recommendations  
Audit Reports Issued Through  
June 30, 2022**

<b>Audit Issue Date</b>	<b>Report Number</b>	<b>Division/ Department/ Agency</b>	<b>Audit Name</b>	<b>Recommendation</b>	<b>Initiate Next Update</b>	<b>Management Response</b>	<b>Internal Audit Status</b>
1/26/22	21-511	Executive Office	Physical Access Security	Internal Audit recommends Security and Emergency Preparedness Department (SEP) management develop, maintain, and test a comprehensive, appropriate, and up-to-date set of physical security plans, policies, and procedures based on evaluation of the organization using risk rating methodologies and assessments. A written Access Control Policy and related procedures should be developed and published, and management should address requirements included in the Physical Security Policy for implementing gate controls at all facilities. Finally, management should implement a regular training program to inform employees as to security policies, procedures, and protocols.	Jul-22	Management will work to document all processes and review assigned policies. SEP will make considerable updates to the Physical Security Policy to address gate controls and create an OCTA Physical Access Control policy. These updates will be completed by June 30, 2022. A "Record of Changes" section has been added to security plans to document reviews and updates. Management has hired a consultant to review OCTA policies, procedures, and security plans. The consultant will provide recommendations on program improvements, conduct a new Threat and Vulnerability Assessment, provide a new written security plan, and create a security training program to include curriculums for all employees. Management will implement a training program within 12 months.	In Process
1/26/22	21-511	Executive Office	Physical Access Security	Internal Audit recommends management define and document responsibilities, policies, and procedures related to physical access security and incorporate appropriate language in the Contracted Transportation Service (CTS) provider contracts. Written procedures for coordination with OCTA should be provided to CTS. Management should consider permitting CTS providers with access to Lenel system reports and/or notifications of access breaches and events.	Jul-22	During the review process of current policies, management will include language and definitions to provide clear delineation of duties. In the interim, and starting immediately, management will provide copies to the CTS project manager outlining equipment inspections and current states of functionality of security equipment. Policy review and creation will be completed by June 30, 2022. Afterward, language changes to CTS contracts will be addressed through contract amendments. Contract language will also address OCTA's expectation of CTS providers for event or incident response. This shall be fully implemented by September 30, 2022, or by contract execution.	In Process

**Outstanding Audit Recommendations  
Audit Reports Issued Through  
June 30, 2022**

Audit Issue Date	Report Number	Division/ Department/ Agency	Audit Name	Recommendation	Initiate Next Update	Management Response	Internal Audit Status
1/26/22	21-511	Executive Office	Physical Access Security	Internal Audit recommends management develop and implement written policies, procedures, and protocols that address the timely issuance, termination, and use of badges. These procedures should be referenced in contracts with CTS providers and be communicated to OCTA staff. Management should also ensure secondary controls are operating as intended.	Jul-22	Management is reviewing the issuance and termination of access badges in order to document processes. Management will work with other departments, including CTS, to advise of procedures for issuing and terminating access badges and encourage those departments to include procedures in their contracts as appropriate. Additionally, management is currently reviewing and documenting procedures to ensure secondary controls are being utilized. Review and updating of procedures will conclude with the creation of a new physical access policy to be completed by June 30, 2022.	In Process
1/26/22	21-511	Executive Office	Physical Access Security	Internal Audit recommends management implement invoice review controls and enforce contract requirements. Overpayment of overtime should be recovered, along with charges for support fees that are not covered by the contract. Costs incurred that are not on the contract price listing should be accompanied by receipts or other supporting documentation and should be reimbursed "at cost".	Jul-22	A more comprehensive review process will be implemented immediately, including notification to the vendor that supporting documentation must be provided with all invoices. Overpayments are in the process of being recaptured, and an amendment to the contract is being issued to address Other Direct Costs that were not itemized in the original contract.	In Process

**Outstanding Audit Recommendations  
Audit Reports Issued Through  
June 30, 2022**

<b>Audit Issue Date</b>	<b>Report Number</b>	<b>Division/ Department/ Agency</b>	<b>Audit Name</b>	<b>Recommendation</b>	<b>Initiate Next Update</b>	<b>Management Response</b>	<b>Internal Audit Status</b>
2/9/22	21-507	Operations	Facilities Maintenance (FM) Operations	Internal Audit recommends management implement a perpetual inventory system to track purchasing activity and maintain inventory of all parts and supplies. Purchasing, storage, issuance, and disposal activities should be centralized and include controls to ensure proper authorization for purchases, physical security of inventory items, and proper assignment of costs to work orders.	Aug-22	FM contracts for parts and supplies will be transferred to CAMM by July 2022. By February 2023, FM parts and supplies stored outside of CAMM's control will be brought into the inventory system for proper storage and issuance. The current Enterprise Asset Management (EAM) system is not capable of assigning all costs to FM work orders; however, a new EAM system is being implemented and should be capable of properly assigning costs to work orders. The new EAM system is estimated to be fully implemented in mid-2023.	
2/9/22	21-507	Operations and F&A	FM Operations	Management should enhance its invoice review process to ensure compliance with OCTA's Vendor Payment Policy and contract payment terms. Vendor mark-ups should be discontinued from time-and-expense contracts. For contracts related to the purchase of parts and materials only, any items not listed on the price summary sheet should include supporting cost documentation. If mark-ups are to be allowed on parts-and-materials contracts, the proposed mark-ups should be incorporated into the evaluation of costs during the vendor selection process.	Aug-22	Management will immediately begin working on enhancing the current invoice cover page to include a checklist that will require acknowledgement of review for sufficient detail as to quantity and rates of costs and justification. To address the issue of providing sufficient detail and complying with contract terms, the checklist being developed will improve oversight. In terms of discontinuing vendor mark-ups in time-and-expense contracts, management will work with CAMM to develop a solution that will address the issue of vendor mark-ups as well as incorporating an evaluation of cost, if mark-ups are allowed, during the vendor selection process.	



**Outstanding Audit Recommendations  
Audit Reports Issued Through  
June 30, 2022**

<b>Audit Issue Date</b>	<b>Report Number</b>	<b>Division/ Department/ Agency</b>	<b>Audit Name</b>	<b>Recommendation</b>	<b>Initiate Next Update</b>	<b>Management Response</b>	<b>Internal Audit Status</b>
2/9/22	21-507	Operations	FM Operations	Internal Audit recommends management ensure that bonus eligibility determinations are in line with the criteria outlined in the Transportation Communications Union/International Association of Machinists and Aerospace Workers collective bargaining agreement (CBA) for facilities technicians.	Aug-22	The bonus incentive Letter of Agreement was removed from the CBA during recent negotiations. The new CBA was approved by the Board of Directors on February 7, 2022.	
2/9/22	21-507	Operations	FM Operations	Management should update the FM Plan (Plan) on a periodic basis and document the results of the annual assessments of OCTA building structures.	Aug-22	Management will ensure that the Plan is reviewed and updated periodically and will ensure that capital needs assessments are formally documented beginning with the annual assessment from 2021.	
6/29/22	22-508	Finance and Administration Division (F&A)	Revenue Vehicle Procurement Audit	Internal Audit recommends management update and expand policies and procedures to fully address revenue vehicle cooperative procurements, including allowable methods of solicitation, approval thresholds, and basis of award. In addition, management should enhance documentation to reflect requirements for use of agency contracts.	Dec-22	CAMM will update the cooperative procurement procedures to include a specific process for revenue vehicle procurements and apply the request for proposal method and corresponding thresholds rather than the request for quote procurement method previously used. Moving forward, CAMM will also document in the contract file the rationale, as well as validation that the contract was awarded on a competitive basis and did not restrict competition.	
6/29/22	22-508	Operations	Revenue Vehicle Procurement Audit	Internal Audit recommends management revise the Scope of Work (SOW) for in-plant inspection service agreements to include a requirement for preparation of a Resident Inspector Report that complies with Federal Transit Administration Buy America requirements.	Dec-22	Although in-plant inspection service SOWs do include providing a written record of all vehicle construction activities, management concurs with the recommendation to revise the SOWs for in-plant inspection service agreements to include a requirement for a formal Resident Inspector Report. Management will pursue amendments to the current in-plant inspection service agreements.	

**Audit Recommendations Closed During  
Fourth Quarter, Fiscal Year 2021-22**

**ATTACHMENT C**

<b>Audit Issue Date</b>	<b>Report Number</b>	<b>Division/ Department/ Agency</b>	<b>Audit Name</b>	<b>Recommendation</b>	<b>Internal Audit Status Comments</b>
9/28/21	22-501	Finance and Administration Division	Investments: Compliance Controls and Reporting January to June 2021	Internal Audit recommends that Treasury staff consistently document resolution of all issues flagged in the Clearwater compliance module, as required by the procedure manual. Additionally, Treasury staff should consider customizing the Clearwater compliance module to more accurately monitor against OCTA Policy.	Staff investigated and documented issues flagged in the Clearwater compliance module during the succeeding audit period of July through December 2021.



## COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors  
**From:** Andrea West, Interim Clerk of the Board *Andrea West*  
**Subject:** Agreement for 91 Express Lanes Channelizers

### Finance and Administration Committee Meeting of July 27, 2022

**Present:** Directors Goodell, Harper, Hennessey, Jones, and Sarmiento  
**Absent:** Directors Hernandez and Muller

### **Committee Vote**

This item was passed by the Members present.

Director Sarmiento was not present to vote on this item.

### **Committee Recommendations**

- A. Approve the selection of Statewide Traffic Safety and Signs, Inc. to provide channelizers for the 91 Express Lanes through a competitive procurement that was conducted by the Riverside County Transportation Commission.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-2-2650 between the Orange County Transportation Authority and Statewide Traffic Safety and Signs, Inc., in the amount of \$274,238, for the procurement of channelizers for the 91 Express Lanes.



**July 27, 2022**

**To:** Finance and Administration Committee

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

**Subject:** Agreement for 91 Express Lanes Channelizers

### **Overview**

Channelizers are an integral part of maintaining the safety and integrity of the 91 Express Lanes toll systems and traffic operations. As channelizers get damaged or destroyed, they are replaced on a regular maintenance schedule and new ones must be procured. The method of this procurement for channelizers is through the use of a piggy-back provision on another public agency's existing agreement. Board of Directors' approval is requested to execute an agreement to provide channelizers for the 91 Express Lanes.

### **Recommendations**

- A. Approve the selection of Statewide Traffic Safety and Signs, Inc. to provide channelizers for the 91 Express Lanes through a competitive procurement that was conducted by the Riverside County Transportation Commission.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-2-2650 between the Orange County Transportation Authority and Statewide Traffic Safety and Signs, Inc., in the amount of \$274,238, for the procurement of channelizers for the 91 Express Lanes.

### **Background**

The 91 Express Lanes is a four-lane, 18-mile tolled facility in the median of the Riverside Freeway (State Route 91) between State Route 55 (SR-55) in the City of Anaheim and Interstate 15 (I-15) interchange in the City of Riverside. The Orange County Transportation Authority (OCTA) operates the portion of the 91 Express Lanes that extends from SR-55 to the Orange County/Riverside County Line, and the Riverside County Transportation Commission (RCTC) operates the remaining portion into Riverside County.

Both OCTA and RCTC segments of the 91 Express Lanes are separated from the general purpose lanes with channelizers. Channelizers are the white and yellow pylons attached to the roadway. They are an integral part of maintaining the safety and integrity of the express lanes toll systems and traffic operations. Using channelizers reduces the opportunity for vehicles to enter or exit the express lanes in areas where they are not permitted and thus reduces the opportunity for evasion of the tolls and disruption to the flow of traffic in both the express lanes and general purpose lanes. Every three weeks, the California Department of Transportation performs maintenance on the 91 Express Lanes, which includes the replacement of damaged and missing channelizers.

Previously, channelizers for the 91 Express Lanes were provided for under the DeAngelo Brothers, Inc. (DBI) contract for roadway operations and maintenance services for the 91 Express Lanes. In fall 2021, staff was notified that DBI closed the company's operations, effective immediately. Since then, OCTA has utilized the channelizers that were in inventory and in anticipation that the inventory of channelizers will need to be replenished in the coming months, an informal procurement was done and a purchase order was issued to Zumar Industries, Inc., with the channelizer's unit price of \$36.50.

### ***Procurement Approach***

For this procurement, the Contracts Administration and Materials Management (CAMM) Department has two different procurement methods for the purchase of the channelizers. OCTA can issue an invitation for bids (IFB) in accordance with OCTA's Board of Directors (Board)-approved procurement policies and procedures or piggy-back on another public agency's existing agreement in accordance with state law, which aims to allow public agencies to piggy-back on procurement contracts as a cost-savings measure.

Using the first option, OCTA would issue an IFB, whereby award is based on the lowest, responsive, responsible bid. Advantages of this procurement method include OCTA having full authority over the procurement, such as detailing the requirements and selecting a vendor for award. However, this procurement approach can take up to 90 days before the procurement is completely processed.

Using the second option of a piggy-back procurement, OCTA would partner with another public agency that has an existing agreement. This procurement method can result in a shortened procurement time, as well as administrative cost savings.

Staff determined that the piggy-back procurement method would be the most advantageous to OCTA. RCTC competitively procured the channelizers through an IFB released in January 2022. Three bids were received and RCTC awarded the contract to Statewide Traffic and Signs, Inc., (Statewide Traffic) in March 2022. In addition to having the lowest bid of \$30.35 per channelizer, Statewide Traffic proposed the shortest delivery time compared to the other bidders. OCTA has been authorized to piggy-back on RCTC's agreement and is agreeable to all the terms and conditions of the RCTC Equipment Purchase Agreement for Channelizers under RCTC Agreement No. 22-31-050-00.

**Fiscal Impact**

Funding is included in OCTA's Fiscal Year 2022-23 Budget, 91 Express Lanes Account No. 0036-7610-B0002-CJB, and is funded through toll revenues.

**Summary**

Staff recommends the Board of Directors authorize the Chief Executive Officer to negotiate and execute Agreement No. C-2-2650 between the Orange County Transportation Authority and Statewide Traffic Safety and Signs, Inc., in the amount of \$274,238, for the procurement of channelizers for the 91 Express Lanes.

**Attachment**

None.

**Prepared by:**



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Kirk Avila  
General Manager  
Express Lanes Programs  
714-560-5674



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Pia Veasapen  
Director, Contracts Administration and  
Materials Management  
714-560-5619



## COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors

**From:** Andrea West, Interim Clerk of the Board *Andrea West*

**Subject:** Amendment to Purchase Order for Modular Systems and Ancillary Furniture

Finance and Administration Committee Meeting of July 27, 2022

**Present:** Directors Goodell, Harper, Hennessey, Jones, and Sarmiento  
**Absent:** Directors Hernandez and Muller

**Committee Vote**

This item was passed by the Members present.

Director Sarmiento was not present to vote on this item.

**Committee Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Purchase Order No. C-9-1652 between the Orange County Transportation Authority and Western Office Interiors, in the amount of \$500,000, to provide for the purchase of modular systems and ancillary furniture for the Interstate 405 Customer Service and Operations Center. This will increase the purchase order to a total contract value of \$1,490,000.



**July 27, 2022**

**To:** Finance and Administration Committee

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

**Subject:** Amendment to Purchase Order for Modular Systems and Ancillary Furniture

**Overview**

In January 2020, the Orange County Transportation Authority Board of Directors approved a purchase order with Western Office Interiors to provide services for the purchase, installation, reconfiguration, and maintenance of modular systems and ancillary furniture at all work locations. An amendment is required to increase the existing purchase order for the purchase and installation of furniture for the Interstate 405 Customer Service and Operations Center office space.

**Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Purchase Order No. C-9-1652 between the Orange County Transportation Authority and Western Office Interiors, in the amount of \$500,000, to provide for the purchase of modular systems and ancillary furniture for the Interstate 405 Customer Service and Operations Center. This will increase the purchase order to a total contract value of \$1,490,000.

**Discussion**

The Orange County Transportation Authority (OCTA) has negotiated a building lease for the Interstate 405 (I-405) Express Lanes offices which was approved by the OCTA Board of Directors (Board) in November 2021. The nearly 20,000-square foot customer service and operations center is expected to assist approximately 500 customers monthly. Additionally, the call center and traffic management operations, such as tow truck dispatch and storage, will also be working at the location. The space is proposed to accommodate roughly 100 employees who will work out of ten offices, 96 cubicles, one training room, two conference rooms, one mail room, reception space, and a walk-up customer service counter for four representatives.



## **Amendment to Purchase Order for Modular Systems and Ancillary Furniture** *Page 2*

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In order to meet the project timeline for the opening of the I-405 Express Lanes, staff has engaged in a significant amount of planning for the furniture designs with OCTA's current vendor, Western Office Interiors. However, the original contract approved by the Board did not assume any costs associated with the new customer service facility.

Staff is recommending an amendment of the current contract with Western Office Interiors to allow for appropriate lead times to furnish the newly leased office space that is expected to be completed by January 2023.

### ***Procurement Approach***

This procurement was originally handled in accordance with OCTA's Board-approved policies and procedures for materials and equipment greater than \$50,000. On January 13, 2020, the Board approved the award of the purchase order with Western Office Interiors, in the amount of \$990,000 for a two-year term. This purchase order has been previously amended as shown on Attachment A.

The proposed Amendment No. 2 will increase the purchase order amount by \$500,000, bringing the total purchase order amount to \$1,490,000, which will allow for the purchase of modular systems and ancillary furniture for the I-405 Customer Service and Operations Center. The rates for the proposed Amendment No. 2 will remain the same as negotiated in the original purchase order as firm-fixed rates.

### **Fiscal Impact**

The project is included in OCTA's Fiscal Year 2022-23 Budget, Executive Office Division, Express Lanes Programs, account nos. 0037-A5310-1NX-7611 and 0037-A9510-4W4-9043, and is funded through the General Fund.

### ***Summary***

Staff requests Board of Directors' approval to authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Purchase Order No. C-9-1652 between the Orange County Transportation Authority and Western Office Interiors, in the amount of \$500,000, to continue providing furniture services for the additional I-405 Express Lanes offices furniture purchase and installation of systems and ancillary furniture.

**Amendment to Purchase Order for Modular Systems and Page 3  
Ancillary Furniture**

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***Attachment***

- A. Western Office Interiors, Purchase Order No. C-9-1652 Fact Sheet

**Prepared by:**



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Sara Belovsky  
Section Manager,  
General Services  
714-560-5720

**Approved by:**



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Andrew Oftelie  
Chief Financial Officer,  
Finance and Administration  
714-560-5649



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Pia Veesapen  
Director, Contracts Administration and  
Materials Management  
714-560-5619

## ATTACHMENT A

### Western Office Interiors Purchase Order No. C-9-1652 Fact Sheet

1. January 13, 2020, Purchase Order No. C-9-1652, \$990,000, approved by the Board of Directors (Board).
  - Purchase Order for the purchase, installation, reconfiguration and maintenance of modular systems and ancillary furniture, effective January 21, 2020 through January 20, 2022.
2. November 10, 2021, Amendment No. 1 to Purchase Order No. C-9-1652, \$0, approved by the Contracts Administration and Materials Management Department.
  - Amendment to extend the contract term through January 13, 2023.
3. August 8, 2022, Amendment No. 2 to Purchase Order No. C-9-1652, \$500,000, pending approval by the Board.
  - Amendment to continue providing services for the purchase of modular systems and ancillary furniture for the Interstate 405 Customer Service and Operations Center.

Total committed to Western Office Interiors, Purchase Order No. C-9-1652: \$1,490,000



## COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors

**From:** Andrea West, Interim Clerk of the Board *Andrea West*

**Subject:** Fourth Quarter Fiscal Year 2021-22 Procurement Status Report

Finance and Administration Committee Meeting of July 27, 2022

**Present:** Directors Goodell, Harper, Hennessey, Jones, and Sarmiento

**Absent:** Directors Hernandez and Muller

**Committee Vote**

This item was passed by the Members present.

Director Sarmiento was not present to vote on this item.

**Committee Recommendation**

Receive and file as an information item.



**July 27, 2022**

**To:** Finance and Administration Committee  
**From:** Darrell E. Johnson, Chief Executive Officer  
**Subject:** Fourth Quarter Fiscal Year 2021-22 Procurement Status Report

A handwritten signature in blue ink, appearing to read "Darrell E. Johnson", is written over the "From:" line of the memo.

**Overview**

The fourth quarter procurement status report summarizes the procurement activities for information purposes to the Orange County Transportation Authority Board of Directors. This report focuses on procurement activity from April 1, 2022, through June 30, 2022, that was approved by the Board of Directors during this period. The fourth quarter procurement status report also projects future procurement activity for the first quarter as identified in the fiscal year 2022-23 budget.

**Recommendation**

Receive and file as an information item.

**Background**

The Board of Directors (Board) approved the Orange County Transportation Authority (OCTA) Fiscal Year (FY) 2021-22 Budget on June 14, 2021, which identifies the goods and services that would be purchased during the FY. A quarterly procurement report has been prepared detailing the procurement activity for line items that were approved by the Board during the fourth quarter of FY 2021-22. The report also provides a “look-ahead” of upcoming procurement activity by Board committee. The quarterly procurement report identifies contractual activity, not dollars spent.

**Discussion**

During the fourth quarter of FY 2021-22, the Contracts Administration and Materials Management department handled 444 different contractual documents. Of the total, 295 procurements, valued at \$58,632,277, were

completed; the remaining procurements will be executed during the first quarter of FY 2022-23.

In the fourth quarter, the Board acted on 52 procurements. The procurements were split between 15 new agreements valued at \$9,597,085, five amendments valued at \$16,047,872, 12 contract change orders valued at \$9,205,108, one cooperative agreement valued at \$1,230,000, 16 cooperative amendments valued at \$14,703,868, one sole source agreement valued at \$250,000, and two option-year amendments valued at \$151,307. Not all procurements are completed within the quarter in which they begin. Often, the procurements require cost and price reviews, as well as negotiations, which can lengthen the procurement process. Procurements not completed within the fourth quarter of FY 2021-22 will be completed in the first quarter of FY 2022-23. Attachment A shows a list of Board-approved procurements during the fourth quarter.

There are several large procurements requiring committee approval throughout the first quarter of FY 2022-23 (July 1 through September 30, 2022) including:

- Project Study Report/Project Development Support on State Route 57 between Lambert Road and Tonner Canyon Road
- Intelligent Transportation Management System Radio Computing Infrastructure and Software Refresh
- Safety Awareness and Public Education Consultant Services for the OC Streetcar
- Graphic Design and Production Services
- Express Lanes Marketing Program

The estimated value of the first quarter procurements is \$58,050,537. Attachments B through F identify procurement activity anticipated in the first quarter of FY 2022-23 by the committee that will review the items.

### ***Summary***

This report provides an update of the procurement activity for the fourth quarter of FY 2021-22, April 1, 2022 through June 30, 2022, as well as a look-ahead at anticipated procurement activity for the first quarter of FY 2022-23. Staff recommends that this report be received and filed as an information item.

***Attachments***

- A. Board-Approved Contracts – Fourth Quarter Fiscal Year 2021-2022
- B. Regional Planning and Highways Committee – First Quarter Outlook (July 1, 2022 through September 30, 2022)
- C. Transit Committee – First Quarter Outlook (July 1, 2022 through September 30, 2022)
- D. Finance and Administration Committee – First Quarter Outlook (July 1, 2022 through September 30, 2022)
- E. Legislative and Communications Committee – First Quarter Outlook (July 1, 2022 through September 30, 2022)
- F. Executive Committee – First Quarter Outlook (July 1, 2022 through September 30, 2022)

**Prepared by:**



Pia Veasapen  
Director, Contracts Administration and  
Materials Management  
(714) 560-5619

**Approved by:**



Andrew Oftelie  
Chief Financial Officer,  
Finance and Administration  
(714) 560-5649

## Board-Approved Contracts - Fourth Quarter Fiscal Year 2021-2022

## AGREEMENTS

Prime Vendor	Contract #	Contract Description	Eff Date	Exp Date	Amount
BCA Watson Rice LLP	C13917	On-Call Performance Audits and Agreed-Upon Procedures Engagements	7/1/2022	6/30/2025	\$750,000** Aggregate
Conrad LLP	C23351	On-Call Performance Audits and Agreed-Upon Procedures Engagements	7/1/2022	6/30/2025	\$750,000** Aggregate
Davis Farr LLP	C23352	On-Call Performance Audits and Agreed-Upon Procedures Engagements	7/1/2022	6/30/2025	\$750,000** Aggregate
Macias Gini & O'Connell LLP	C23353	On-Call Performance Audits and Agreed-Upon Procedures Engagements	7/1/2022	6/30/2025	\$750,000** Aggregate
Sjoberg Evashenk Consulting, Inc	C23354	On-Call Performance Audits and Agreed-Upon Procedures Engagements	7/1/2022	6/30/2025	\$750,000** Aggregate
TAP International, Inc.	C23355	On-Call Performance Audits and Agreed-Upon Procedures Engagements	7/1/2022	6/30/2025	\$750,000** Aggregate
Weaver and Tidwell LLP	C23356	On-Call Performance Audits and Agreed-Upon Procedures Engagements	7/1/2022	6/30/2025	\$750,000** Aggregate
RPW Services, Inc.	C22151	Pacific Electric Right-of-way Maintenance Services	5/24/2022	6/30/2027	\$199,613
Katz and Associates, Inc.	C13853	Public Awareness Campaign for the OC Streetcar Project	5/31/2022	11/30/2023	\$430,000
HDR Engineering, Inc.	C13874	South Orange County Rail Station Feasibility Study	5/2/2022	6/30/2024	\$424,824
Abajian Enterprise doing business as Social Removal	C22147	Demolition and Clearance Services for the Interstate 5 (I-5) Widening Project from State Route 73 (SR-73) to Oso Parkway	5/31/2022	6/1/2023	\$299,500
Inter-Pacific, Inc doing business as Inter-Pacific Systems, Inc.	C22231	Installation of 12kV Electrical Switchgear Equipment at the Santa Ana Bus Base	6/22/2022	6/22/2023	\$465,095
ADT Commercial, LLC	C22230	Fire Alarm Control Panels Replacement at the Santa Ana Bus Base	6/22/2022	6/22/2025	\$496,299
Golden Gate Steel, Inc. doing business as Golden Gate Construction	C22243	Building Repairs at Irvine Construction Circle Bus Base	6/17/2022	12/31/2022	\$553,417
Vicon Enterprise Incorporated	C22210	Drainage Pipe Repair at Anaheim Bus Base Chassis Wash Bay	6/9/2022	8/24/2023	\$99,500
Becnel Uniforms	C13928	Coach Operator, Operations Instructor, and Field Supervisor Uniforms	6/29/2022	6/30/2025	\$674,468
Mobility Management Partners, Inc.	C22187	Transit Training Services	8/1/2022	7/31/2025	\$1,116,804
INIT Innovations in Transportation, Inc.	C13279	Development, Installation, and Implementation of the OC Streetcar Ticket Vending Machines System	6/29/2022	6/30/2027	\$2,107,765
Clearwater Analytics, LLC	C13860	Treasury Management Software System	8/1/2022	6/30/2027	\$984,800
Marsh USA, Inc.		Insurance Brokerage and Insurance Documents Tracking Services	7/1/2022	6/30/2027	\$670,000
Pacific Graphics, Inc.	C22288	On-Call Marketing Print Services	7/1/2022	6/30/2025	\$325,000
<b>TOTAL NUMBER OF CONTRACTS</b>					<b>15</b>
<b>TOTAL DOLLAR VALUE</b>					<b>\$9,597,085</b>



## Board-Approved Contracts - Fourth Quarter Fiscal Year 2021-2022

### AMENDMENTS

Prime Vendor	Contract #	Contract Description	Eff Date	Exp Date	Amount
Jacobs Project Management Co.	C41447	Amendment No. 12 to Provide Additional Services through the Completion and Closeout of the I-405 Improvement Project	12/31/2022	5/31/2024	\$13,584,200
Switch Ltd.	C81517	Amendment No. 5 to Provide Additional Data Center Colocation Services	7/1/2022	11/30/2023	\$500,000
Intratek Computer, Inc.	C71949	Amendment No. 3 to Continue Providing Contract Staffing Services for Information Technology Technical Positions	8/1/2022	3/31/2023	\$1,492,292
Akeso Occupational Health	C91165	Amendment No. 2 to Exercise the Two-Year Option-term for Medical Clinic Services	8/1/2022	3/31/2024	\$282,000
Innovative TDM Solutions	C02167	Amendment to Agreement for Average Vehicle Ridership Services	7/1/2022	6/30/2023	\$189,380
<b>TOTAL NUMBER OF AMENDMENTS</b>					<b>5</b>
<b>TOTAL DOLLAR VALUE</b>					<b>\$16,047,872</b>

### CONTRACT CHANGE ORDERS

Prime Vendor	Contract #	Contract Description	Eff Date	Exp Date	Amount
OC405 Partners	C53843	Contract Change Order No. 123 to Provide Additional Hazardous Material and Contaminated Soil Removal and Disposal at the Goldenwest Street Bridge for the Interstate 405 (I-405) Improvement Project	5/2/2022	12/31/2025	\$1,755,000
OC405 Partners	C53843	Contract Change Order No. 124 to Provide Additional Landscaping Areas at Bridges in the City of Fountain Valley for the I-405 Improvement Project	5/2/2022	12/31/2025	\$1,009,585
OC405 Partners	C53843	Contract Change Order No. 125 to Provide Modified Bridge Safety and Aesthetic Fencing Details for the I-405 Improvement Project	5/2/2022	12/31/2025	\$540,767
Golden Gate Steel, Inc. doing business as Golden Gate Construction	C13295	70 Calendar Days to the Contract Duration for Additional Framing and Metal Deck Repairs at Garden Grove Bus Base	5/16/2022	9/20/2022	\$55,043
Stacey and Witbeck, Inc.	C02193	Contract Change Order No. 1.1 for Additional Costs Related to Structural Backfill of Retaining Wall for the Anaheim Canyon Metrolink Station Improvement Project	5/5/2022	11/6/2023	\$594,713
Walsh Construction Company	C71904	Contract Change Order No. 71.1 for Traffic Signal Interconnects on the OC Streetcar Project	5/31/2022	10/8/2023	\$500,000
Walsh Construction Company	C71904	Contract Change Order No. 91 for Communications Information Center Enclosures and Component Modifications on the OC Streetcar Project	6/16/2022	10/8/2023	\$1,650,000

**Board-Approved Contracts - Fourth Quarter Fiscal Year 2021-2022**

Walsh Construction Company	C71904	Contract Change Order No. 94 for Traffic Signal Pole Modifications on the OC Streetcar Project	6/22/2022	10/8/2023	\$800,000
Walsh Construction Company	C71904	Contract Change Order No. 96 for Relocation of Bumping Posts and Train Signal Cabinet at Harbor Station on the OC Streetcar Project	6/22/2022	10/8/2023	\$400,000
Walsh Construction Company	C71904	Contract Change Order No. 117.1 for Manual Train Control Override on the OC Streetcar Project	6/6/2022	10/8/2023	\$700,000
Walsh Construction Company	C71904	Contract Change Order No. 145 for Structural Steel Quality Control Inspection and Testing on the OC Streetcar Project	5/27/2022	10/8/2023	\$350,000
Walsh Construction Company	C71904	Contract Change Order No. 146 for Train Signal Modifications on the OC Streetcar Project	6/14/2022	10/8/2023	\$850,000
<b>TOTAL NUMBER OF AMENDMENTS</b>					<b>12</b>
<b>TOTAL DOLLAR VALUE</b>					<b>\$9,205,108</b>

**COOPERATIVE AGREEMENTS**

Prime Vendor	Contract #	Contract Description	Eff Date	Exp Date	Amount
California Department of Transportation	C22232	Right-of-way Services for the I-5 Improvement Project Between Yale Avenue and State Route 55 (SR-55)	8/31/2022	8/31/2024	\$1,230,000
<b>TOTAL NUMBER OF COOPERATIVE AGREEMENTS</b>					<b>1</b>
<b>TOTAL DOLLAR VALUE</b>					<b>\$1,230,000</b>

**COOPERATIVE AMENDMENTS**

Prime Vendor	Contract #	Contract Description	Eff Date	Exp Date	Amount
City of Fountain Valley	C53613	Amendment No. 6 to Cooperative Agreement with City of Fountain Valley for Traffic Signal Modifications at the Intersection of Magnolia Street and Slater Avenue as Part of The I-405 Improvement Project	8/30/2022	4/30/2023	\$165,950
California Department of Transportation	C71753	Amendment No. 4 for Additional Advertisement and Award Services on the SR 55 Improvement Project Between I-405 and I-5	8/31/2022	12/31/2022	\$450,000
91 Express Lanes Riverside County Transportation Commission		Amendment No. 7 for the Reimbursement of Shared Operational Expenses Through June 30, 2023	7/1/2022	6/30/2023	\$827,388
North County Senior Services, LLC, doing business as Acacia Adult Day Services	C81917	Amendment No 3 for Continued Services and to Adjust the Per Trip Rate	7/1/2022	6/30/2023	\$0
Alzheimer's Family Center	C81918	Amendment No 3 for Continued Services and to Adjust the Per Trip Rate	7/1/2022	6/30/2023	\$0
Alzheimer's Orange County	C81919	Amendment No 3 for Continued Services and to Adjust the Per Trip Rate	7/1/2022	6/30/2023	\$29,803
Community SeniorServ, doing business as Meals on Wheels Orange County	C81920	Amendment No 3 for Continued Services and to Adjust the Per Trip Rate	7/1/2022	6/30/2023	\$0

**Board-Approved Contracts - Fourth Quarter Fiscal Year 2021-2022**

Orange County Adult Achievement Center, doing business as My Day Counts	C81921	Amendment No 3 for Continued Services and to Adjust the Per Trip Rate	7/1/2022	6/30/2023	\$259,952
Innovative Integrated Health, formerly known as Sultan Adult Day Health Care	C81922	Amendment No 1 for Continued Services and to Adjust the Per Trip Rate	7/1/2022	6/30/2023	\$0
Abrazar, Inc.	C13259	Amendment No. 1 to Provide Funding through June 30, 2023 for the Senior Mobility Program	7/1/2022	6/30/2023	\$89,387
Korean American Senior Association of Orange County	C13260	Amendment No. 1 to Provide Funding through June 30, 2023 for the Senior Mobility Program	7/1/2022	6/30/2023	\$109,894
Southland Integrated Services, Inc.	C13261	Amendment No. 1 to Provide Funding through June 30, 2023 for the Senior Mobility Program	7/1/2022	6/30/2023	\$96,628
County of Orange, Orange County Sheriff's Department	C02330	Amendment No. 3 to Include the Necessary Firm-Fixed Cost for Fiscal Year 2022-23 for Transit Police Services	7/1/2022	6/30/2023	\$11,674,866
Transportation Corridor Agencies	C61510	Amendment No. 9 to Extend the Term Until Such a Time Either Agency No Longer Operates the Toll Facility	7/1/2022	6/30/2032	\$0
Los Angeles County Metropolitan Transportation Authority	C21960	Amendment No. 2 to Extend the Term Until Such a Time Either Agency No Longer Operates the Toll Facility	9/20/2022	9/19/2032	\$0
California Department of Transportation	C81426	Amendment No. 3 to Cooperative Agreement for Additional Construction Support Services for the I-5 Improvement Project from Oso Parkway to Alicia Parkway	9/1/2022	8/31/2023	\$1,000,000
<b>TOTAL NUMBER OF COOPERATIVE AMENDMENTS</b>					<b>16</b>
<b>TOTAL DOLLAR VALUE</b>					<b>\$14,703,868</b>

**SOLE SOURCE**

Prime Vendor	Contract #	Contract Description	Eff Date	Exp Date	Amount
Conduent Transport Solutions, Inc.	C22165	Intelligent Transportation Management System Radio Voice Over Internet Protocol Pilot Program for Paratransit Vehicles	6/28/2022	6/30/2023	\$250,000
<b>TOTAL NUMBER OF SOLE SOURCE</b>					<b>1</b>
<b>TOTAL DOLLAR VALUE</b>					<b>\$250,000</b>

**OPTION YEARS**

Prime Vendor	Contract #	Contract Description	Eff Date	Exp Date	Amount
Init Innovations in Transportation	C60942	Exercise Option Term 2 to Extend Warranty Coverage for the Validators	5/1/2022	4/30/2023	\$151,307
Regional Center of Orange County	C81735	Amendment No. 3 to Exercise Option Term 2 to Share in the Cost of Paratransit Services Provided to the Regional Center of Orange County	7/1/2022	6/30/2024	\$0
<b>TOTAL NUMBER OF AMENDMENTS</b>					<b>2</b>
<b>TOTAL DOLLAR VALUE</b>					<b>\$151,307</b>

**REGIONAL PLANNING and HIGHWAYS COMMITTEE - First Quarter Outlook (July 1, 2022 through September 30, 2022)**

<u>Committee Date</u>	<u>Item Description</u>	<u>Estimated Value</u>	<u>Division</u>
July 1, 2022	Contract Change Orders for the Interstate 405 Improvement Project from State Route 73 to Interstate 605	\$3,000,000	Capital Programs
	Agreement for Project Study Report/Project Development Support on State Route 57 between Lambert Road and Tonner Canyon Road	\$750,000	Planning
<hr/>			
August 1, 2022	Cooperative Agreement with the California Department of Transportation for the Interstate 5 Improvement Project Between Interstate 405 and Yale Avenue and Authority to Acquire Right-of-way	\$0	Capital Programs
	Amendment to Cooperative Agreement with the California Department of Transportation for the Interstate 5/El Toro Road Interchange Project	\$5,163,000	Capital Programs
	Amendment to Agreement for the Interstate 5 Improvement Project Between Yale Avenue and State Route 55	\$985,000	Capital Programs
	Contract Change Orders for the Interstate 405 Improvement Project from State Route 73 to Interstate 605	\$509,431	Capital Programs
	Cooperative Agreements for Fiscal Year 2022 Regional Traffic Signal Synchronization Program Projects	\$587,000	Planning
	Exercise Option Term 1 for On-Call Traffic Engineering and Intelligent Transportation Systems Services Agreements	\$9,400,000	Planning
<hr/>			
September 2, 2022	None		

**TRANSIT COMMITTEE - First Quarter Outlook (July 1, 2022 through September 30, 2022)**

<u>Committee Date</u>	<u>Item Description</u>	<u>Estimated Value</u>	<u>Division</u>
July 14, 2022	Sole Source Agreement for the Purchase of Trapeze Software Group, Inc., DriverMate Licenses	\$309,873	Operations
	Change Orders for OC Streetcar Construction	\$8,807,220	Capital Programs
	Amendment to Cooperative Agreement for Design and Construction of the Placentia Metrolink Commuter Rail Station	\$4,400,000	Capital Programs
	Amendment to Agreement for OC Streetcar Design Services	\$3,000,000	Capital Programs
	Amendment to Agreement for the Making Better Connections Study	\$176,775	Planning
August 11, 2022	Amendment to Cooperative Agreement with the City of Anaheim for the Anaheim Canyon Station Project	\$70,000	Capital Programs
	Intelligent Transportation Management System Radio Computing Infrastructure and Software Refresh	\$2,150,000	Finance and Administration
September 8, 2022	None		

## FINANCE AND ADMINISTRATION COMMITTEE - First Quarter Outlook (July 1, 2022 through September 30, 2022)

<u>Committee Date</u>	<u>Item Description</u>	<u>Estimated Value</u>	<u>Division</u>
July 13, 2022	None		
July 27, 2022	Sole Source Agreement for the 91 Express Lanes Channelizers	\$274,238	Executive
	Amendment to Agreement for Modular Systems and Ancillary Furniture Contract	\$500,000	Finance and Administration
August 10, 2022	None		
August 24, 2022	None		
September 14, 2022	Cooperative Agreement with Anaheim Transportation Network for Public Transit Services	\$4,500,000	Finance and Administration
September 28, 2022	None		

**LEGISLATIVE AND COMMUNICATIONS COMMITTEE - First Quarter Outlook (July 1, 2022 through September 30, 2022)**

<u>Committee Date</u>	<u>Item Description</u>	<u>Estimated Value</u>	<u>Division</u>
July 21, 2022	Amendment to Agreement for Public Outreach Services with TRC Solutions, Inc. for the Interstate 5 Improvement Project from State Route 73 to El Toro Road	\$550,000	People and Community Engagement
	Agreement for On-Call Graphic Design and Production Services	\$381,000	People and Community Engagement
	Agreement for On-Call Bus Mural Application Services	\$350,000	People and Community Engagement
	Agreement for Express Lanes Marketing Program	\$300,000	People and Community Engagement
	Amendment to Agreement for State Legislative Advocacy and Consulting Services	\$420,000	Government Relations
	Amendment to Agreement for Federal Legislative Advocacy and Consulting Services	\$480,000	Government Relations
August 18, 2022	Agreement for Safety Awareness and Public Education Consultant Services for the OC Streetcar	\$700,000	People and Community Engagement
	Agreement for Express Lanes Marketing Program	\$300,000	People and Community Engagement
September 15, 2022	None		

**EXECUTIVE COMMITTEE - First Quarter Outlook (July 1, 2022 - September 30, 2022)**

<u>Committee Date</u>	<u>Item Description</u>	<u>Estimated Value</u>	<u>Division</u>
July 1, 2022	None		
August 1, 2022	Cooperative Agreements for Fiscal Year 2022 Regional Traffic Signal Synchronization Program Projects	\$587,000	Planning
	Exercise Option Term 1 for On-Call Traffic Engineering and Intelligent Transportation Systems Services Agreements	\$9,400,000	Planning





## COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors  
**From:** Andrea West, Interim Clerk of the Board *Andrea West*  
**Subject:** Orange County Transportation Authority Investment and Debt Programs Report – June 2022

Finance and Administration Committee Meeting of July 27, 2022

**Present:** Directors Goodell, Harper, Hennessey, Jones, and Sarmiento  
**Absent:** Directors Hernandez and Muller

**Committee Vote**

This item was passed by the Members present.

Director Sarmiento was not present to vote on this item.

**Committee Recommendation**

Receive and file as an information item.



**July 27, 2022**

**To:** Finance and Administration Committee

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

**Subject:** Orange County Transportation Authority Investment and Debt Programs Report – June 2022

**Overview**

The Orange County Transportation Authority has a comprehensive investment and debt program to fund its immediate and long-term cash flow demands. Each month, the Treasurer submits a report detailing investment allocation, performance, compliance, outstanding debt balances, and credit ratings for the Orange County Transportation Authority's debt program. This report is for the month ending June 30, 2022.

**Recommendation**

Receive and file as an information item.

**Discussion**

As of June 30, 2022, the Orange County Transportation Authority's (OCTA) outstanding investments totaled \$2.4 billion. The portfolio is divided into three managed portfolios: the liquid portfolio for immediate cash needs, the short-term portfolio for future budgeted expenditures, and the bond proceeds portfolio to meet Measure M2 (M2) transportation program needs. In addition to these portfolios, OCTA has funds invested in debt service reserve funds for the 91 Express Lanes Program.

Portfolio Compliance and Liquidity Requirements for the Next Six Months: The portfolio is in full compliance with OCTA's Investment Policy and the State of California Government Code. Additionally, OCTA has reviewed the liquidity requirements for the next six months and anticipates that OCTA's liquidity will be sufficient to meet projected expenditures during the next six months.

The weighted average book yield for the OCTA portfolio is one percent. The book yield measures the exact income, or interest, on a bond without regard to

market price change. The yield is the income return on an investment, such as the interest received from holding a particular security. The yield is usually expressed as an annual percentage rate based on the investment's cost and market value.

OCTA's month-end balance in the Local Agency Investment Fund was \$21,148,181, with an average monthly effective yield of 0.86 percent. OCTA's month-end balance in the Orange County Investment Pool (OCIP) was \$17,285,693. For the month of May, the monthly gross yield for the OCIP was 0.64 percent. Yields for the month of June will be received in July.

During the month of June, zero securities held within OCTA's investment portfolio were downgraded or placed on Negative Credit Watch. Please refer to A-8 (Rating Downgrades and Negative Credit Watch) of Attachment A for further details. As of June 30, 2022, the securities reflected on A-8 still meet the minimum ratings requirements set forth by OCTA's Investment Policy.

OCTA's debt program is separate from its investment program and is comprised of M2 Sales Tax Revenue Bonds, 91 Toll Revenue Bonds, 2021 Transportation Infrastructure Finance and Innovation Act Loan, and the 2021 Bond Anticipation Notes. The debt program currently has an outstanding principal balance of \$1.4 billion as of June 30, 2022. Approximately 45 percent of the outstanding balance is comprised of M2 debt, six percent is associated with the 91 Express Lanes Program, and 49 percent is associated with the 405 Express Lanes.

***Summary***

The Treasurer is submitting a copy of the Orange County Transportation Authority Investment and Debt Programs report to the Finance and Administration Committee. The report is for the month ending June 30, 2022.

***Attachments***

- A. Orange County Transportation Authority Investment and Debt Programs  
– For the Period Ending June 30, 2022
- B. Orange County Transportation Authority Portfolio Listing as of  
June 30, 2022

**Prepared by:**



Robert Davis  
Department Manager  
Treasury/Public Finance  
(714) 560-5675

**Approved by:**



Andrew Oftelie  
Chief Financial Officer  
Finance and Administration  
(714) 560-5649

**Treasury/Public Finance Department's  
Report On**

**Orange County Transportation Authority  
Investment and Debt Programs**



**Presented to the  
Finance and Administration Committee**

**For The Period Ending  
June 30, 2022**

# OCTA Investment Dashboard

## 6/30/2022

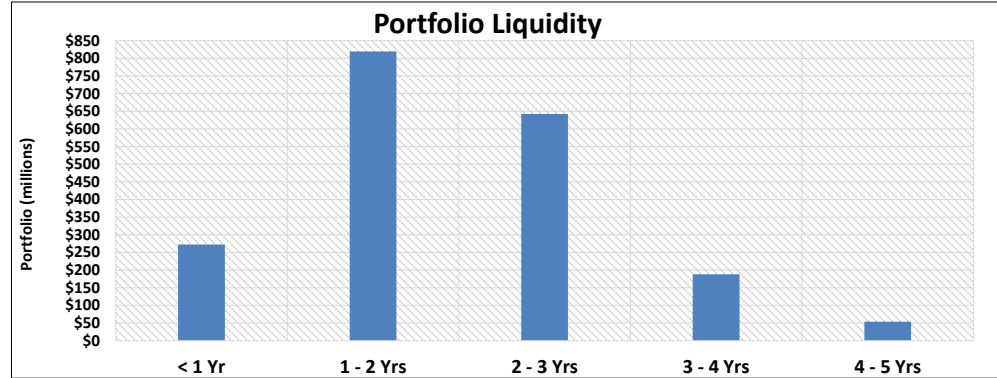
### Safety of Principal

**Securities that fell below OCTA's minimum credit quality requirements during the month of June 2022:**  
Not applicable.

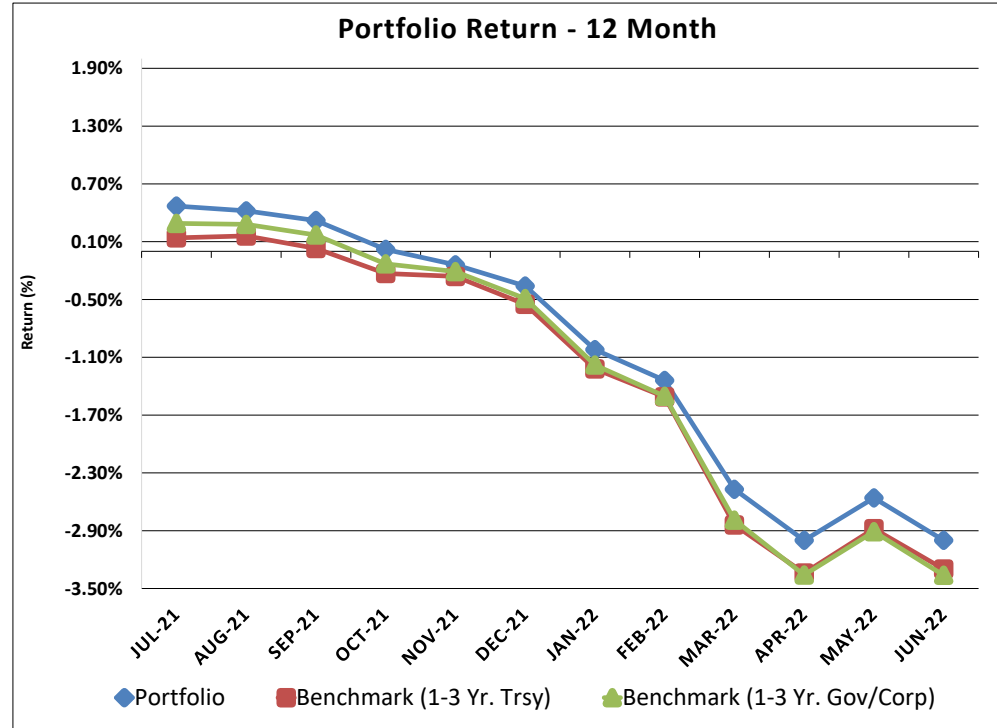
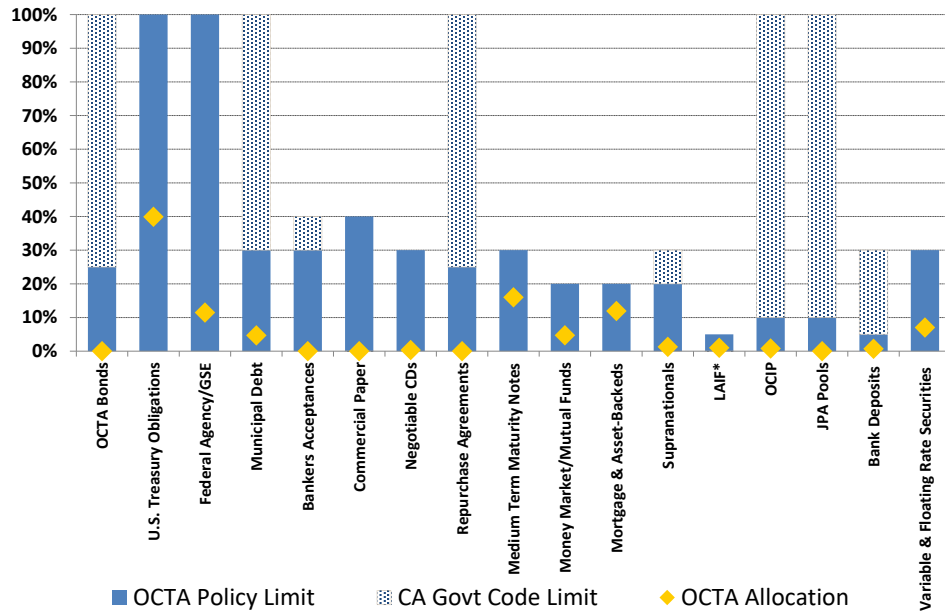
**Securities currently held within OCTA's portfolio that fell below OCTA's minimum credit quality requirements during prior reporting periods:**  
Not applicable.

**Securities downgraded or placed on Negative Credit Watch during the month of June 2022, but remain in compliance with OCTA's Investment Policy:**  
Not Applicable

For further details please refer to A-8 of this report.



### Portfolio Diversification



\*Per CA Government Code LAIF limit is \$75 million

# Investment Compliance

6/30/2022

<b>Portfolio Subject to Investment Policy</b>			
	<b>Dollar Amount</b>	<b>Percent Of</b>	<b>Investment Policy</b>
<b>Short-Term/Liquid Portfolio<sup>1</sup></b>	<b>Invested</b>	<b>Portfolio</b>	<b>Maximum Percentages</b>
U.S. Treasury Obligations	\$ 843,291,338	39.9%	100%
Federal Agency/GSE	242,147,747	11.5%	100%
Municipal Debt	\$ 99,173,702	4.7%	30%
Commercial Paper	-	0.0%	40%
Negotiable Certificates of Deposit	\$ 7,322,937	0.3%	30%
Repurchase Agreements	-	0.0%	25%
Medium Term Maturity Notes/Corporates	\$ 337,914,478	16.0%	30%
Money Market/Mutual Funds	100,007,928	4.7%	20%
Mortgage & Asset-Backed	\$ 252,272,311	11.9%	20%
Supranationals	27,472,502	1.3%	20%
Local Agency Investment Fund	\$ 21,148,181	1.0%	\$ 75 Million
Orange County Investment Pool	17,285,693	0.8%	10%
Joint Powers Authority Pools	\$ -	0.0%	10%
Bank Deposits	15,061,166	0.7%	5%
Variable & Floating Rate Securities	\$ 148,720,304	7.0%	30%
<b>Total Short-Term/Liquid Portfolio</b>	<b>\$ 2,111,818,286</b>	<b>100.0%</b>	

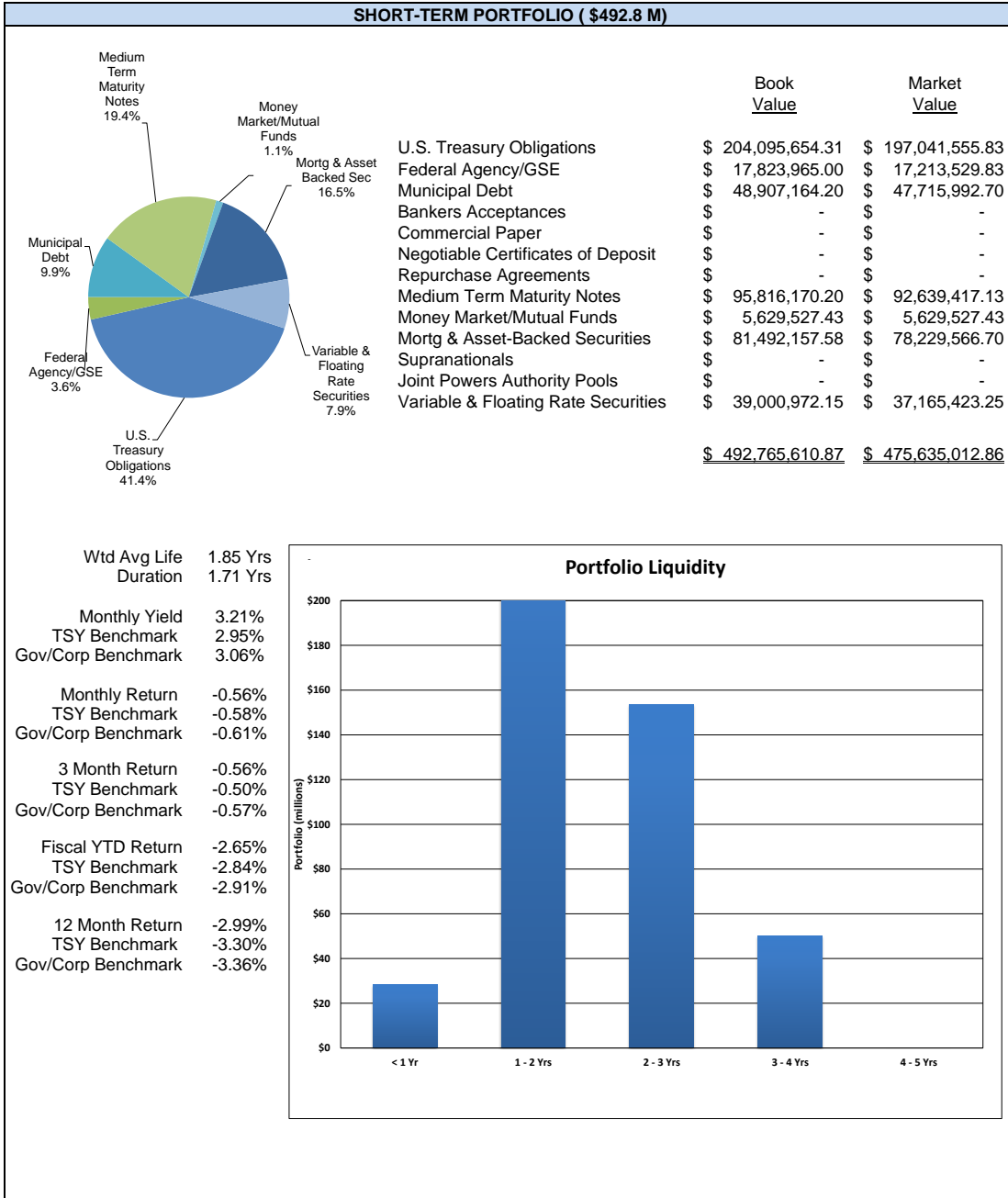
1. Excludes portion of Liquid Portfolio subject to Indenture

<b>Portfolio Subject to Indenture</b>					
	<b>Dollar Amount</b>	<b>OCTA</b>		<b>Indenture Requirements</b>	
	<b>Invested</b>	<b>Credit Quality</b>	<b>Term</b>	<b>Credit Quality</b>	<b>Term</b>
<b>Liquid Portfolio*</b>					
Money Market Funds	183,381,284	AAA/Aaa	45 days	Min. A2/A	Max. 4 years
<b>Total Liquid Portfolio</b>	<b>\$ 183,381,284.4</b>				
<b>Bond Proceeds Portfolio</b>					
<u>2021 Bond Anticipation Notes (BANs)</u>					
US Treasuries Obligations	80,152,211	AAA/Aaa	N/A	Min. A2/A	N/A
Commercial Paper	19,981,656	A-1/P-1	11-270 days	Min. A-1/P-1	Max. 270 days
<b>Total Bond Proceeds Portfolio</b>	<b>100,133,867</b>				
<b>Reserve Funds Portfolio</b>					
Commercial Paper	\$ -	P-1/F-1	60-150 days	Min. A-1/P-1	Max. 180 days
Bank Deposits	25,340,925				
US Treasuries Obligations	683	AAA/Aaa	30 days	Min. A2/A	Max. 5 years
<b>Total Reserve Funds Portfolio</b>	<b>25,341,608</b>				
<b>Total Portfolio Subject to Indenture</b>	<b>125,475,475</b>				
<b>Portfolio Total</b>	<b>\$ 2,420,675,046</b>				

\*Reflects portion of Liquid Portfolio subject to Indenture (OCTA Sales Tax Revenue)

**Investment Manager Diversification and Maturity Schedules**

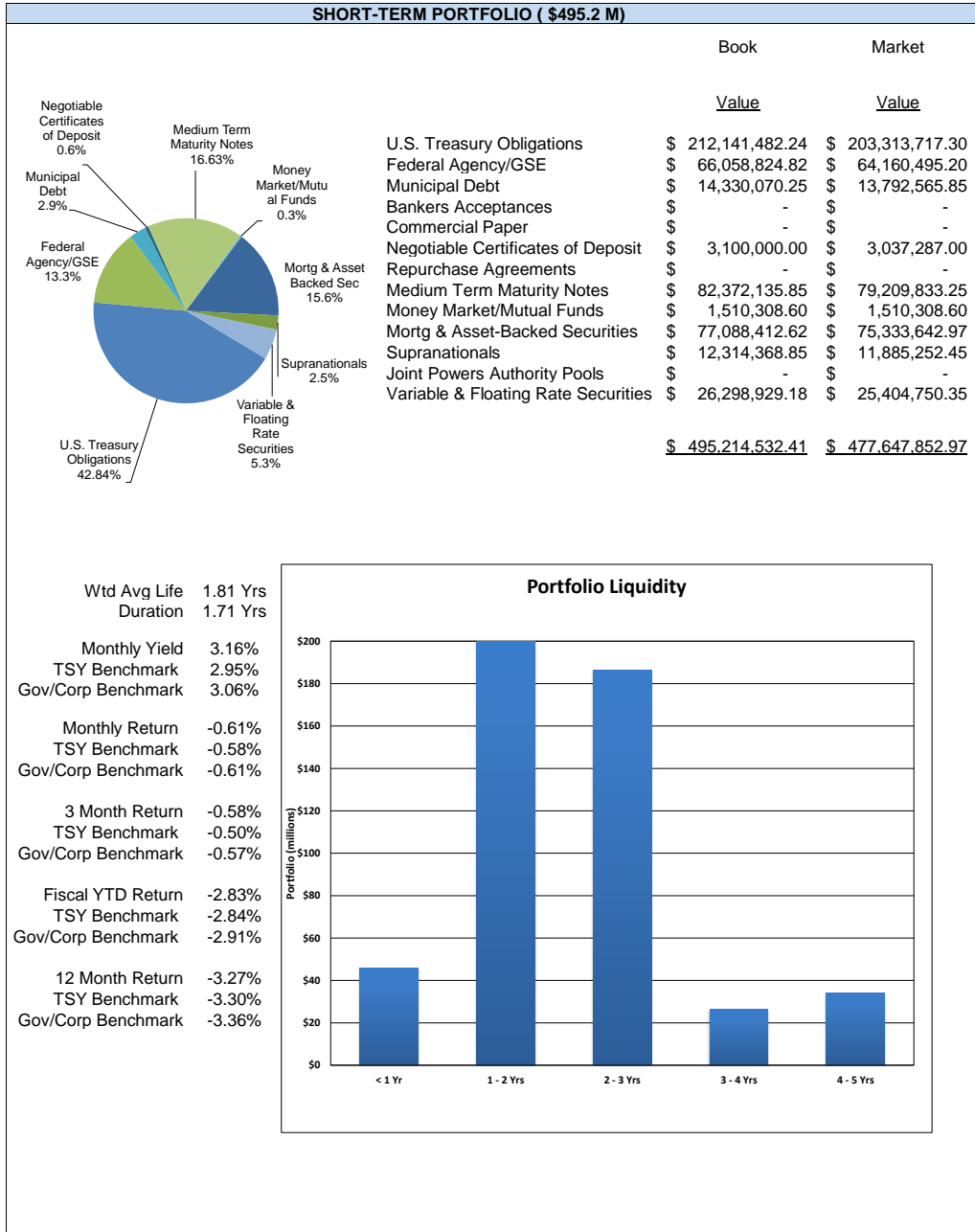
**MetLife Investment Management  
6/30/2022**





**Investment Manager Diversification and Maturity Schedules**

**PFM  
6/30/2022**

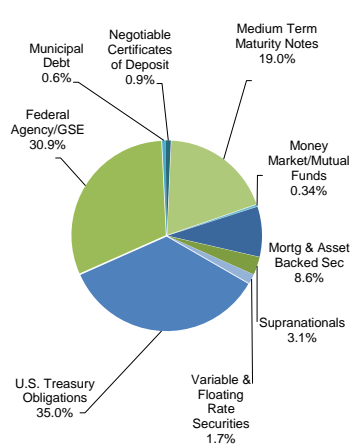


**Investment Manager Diversification and Maturity Schedules**

**Chandler Asset Management**

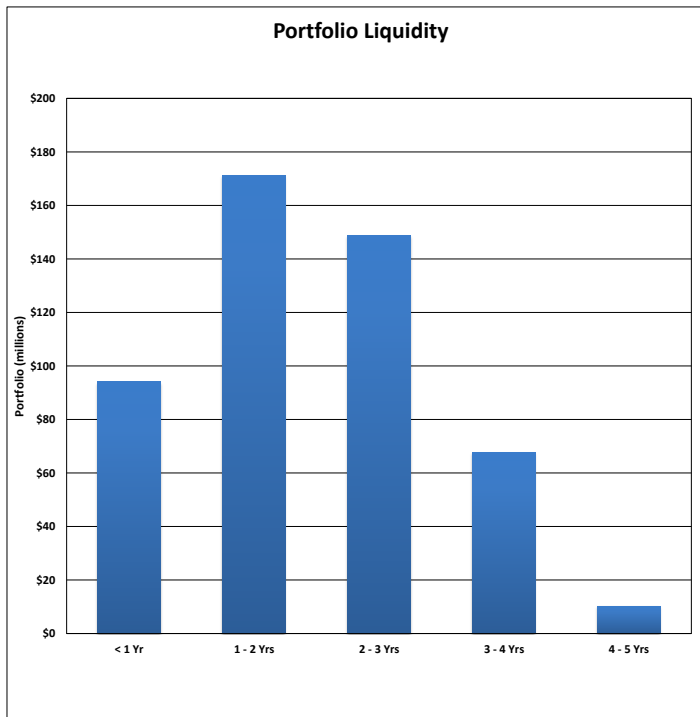
6/30/2022

**SHORT-TERM PORTFOLIO (\$491.9 M)**



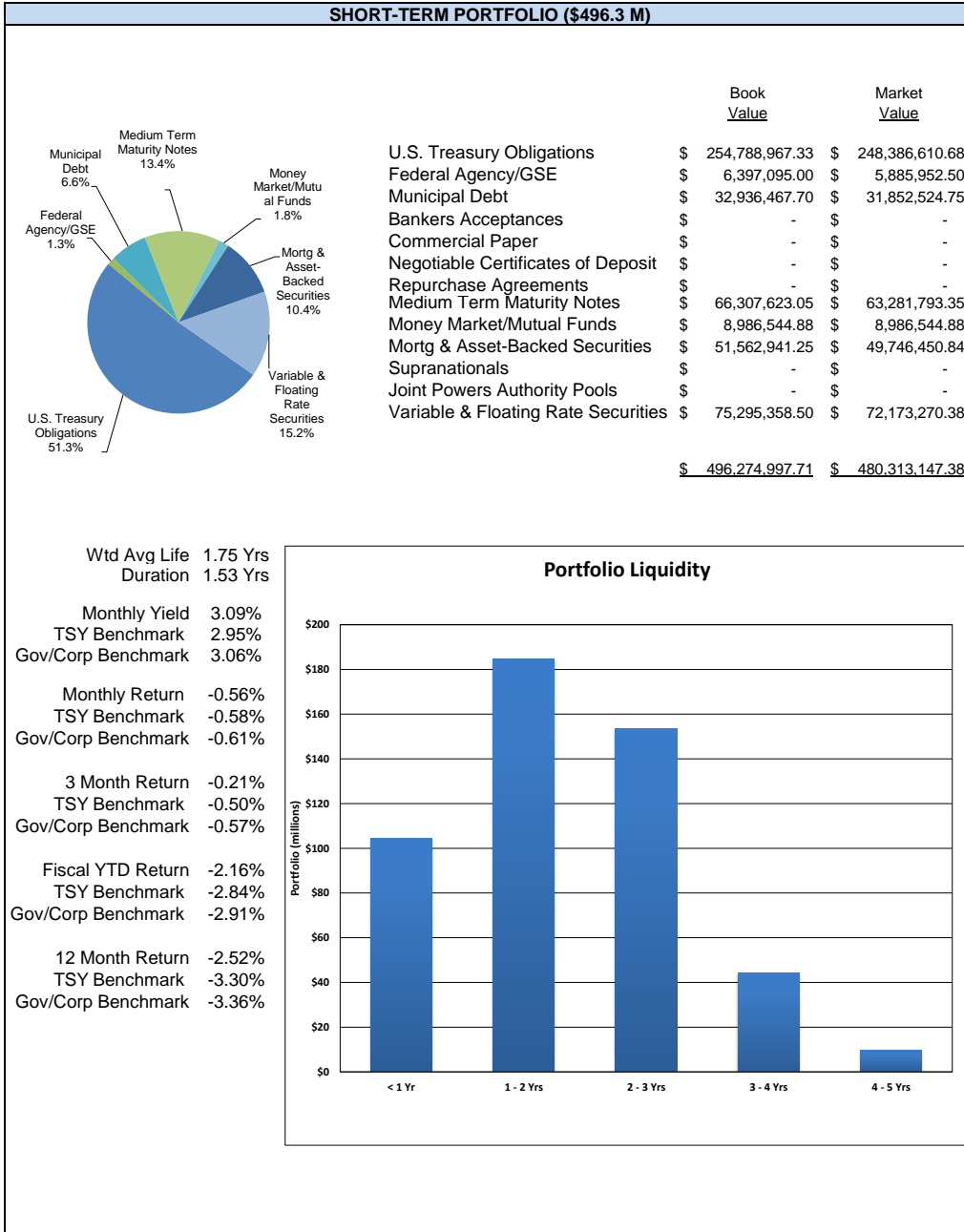
	<u>Book Value</u>	<u>Market Value</u>
U.S. Treasury Obligations	\$ 172,265,234.38	\$ 165,381,250.00
Federal Agency/GSE	\$ 151,867,862.15	\$ 147,931,912.95
Municipal Debt	\$ 3,000,000.00	\$ 2,944,980.00
Bankers Acceptances	\$ -	\$ -
Commercial Paper	\$ -	\$ -
Negotiable Certificates of Deposit	\$ 4,222,937.10	\$ 4,220,141.25
Repurchase Agreements	\$ -	\$ -
Medium Term Maturity Notes	\$ 93,418,548.60	\$ 90,248,545.70
Money Market/Mutual Funds	\$ 1,686,048.54	\$ 1,686,048.54
Mortg & Asset-Backed Securities	\$ 42,128,799.30	\$ 41,182,226.57
Supranationals	\$ 15,158,132.70	\$ 14,294,216.90
Joint Powers Authority Pools	\$ -	\$ -
Variable & Floating Rate Securities	\$ 8,125,043.84	\$ 7,729,010.77
	<b>\$ 491,872,606.61</b>	<b>\$ 475,618,332.68</b>

Wtd Avg Life	1.82 Yrs
Duration	1.76 Yrs
Monthly Yield	3.09%
TSY Benchmark	2.95%
Gov/Corp Benchmark	3.06%
Monthly Return	-0.56%
TSY Benchmark	-0.58%
Gov/Corp Benchmark	-0.61%
3 Month Return	-0.55%
TSY Benchmark	-0.50%
Gov/Corp Benchmark	-0.57%
Fiscal YTD Return	-2.81%
TSY Benchmark	-2.84%
Gov/Corp Benchmark	-2.91%
12 Month Return	-3.19%
TSY Benchmark	-3.30%
Gov/Corp Benchmark	-3.36%



**Investment Manager Diversification and Maturity Schedules**

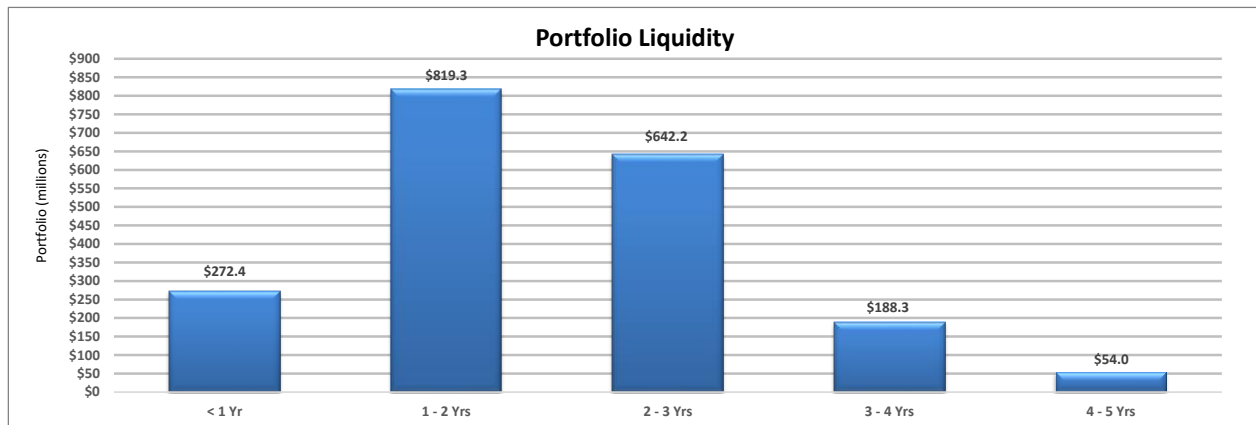
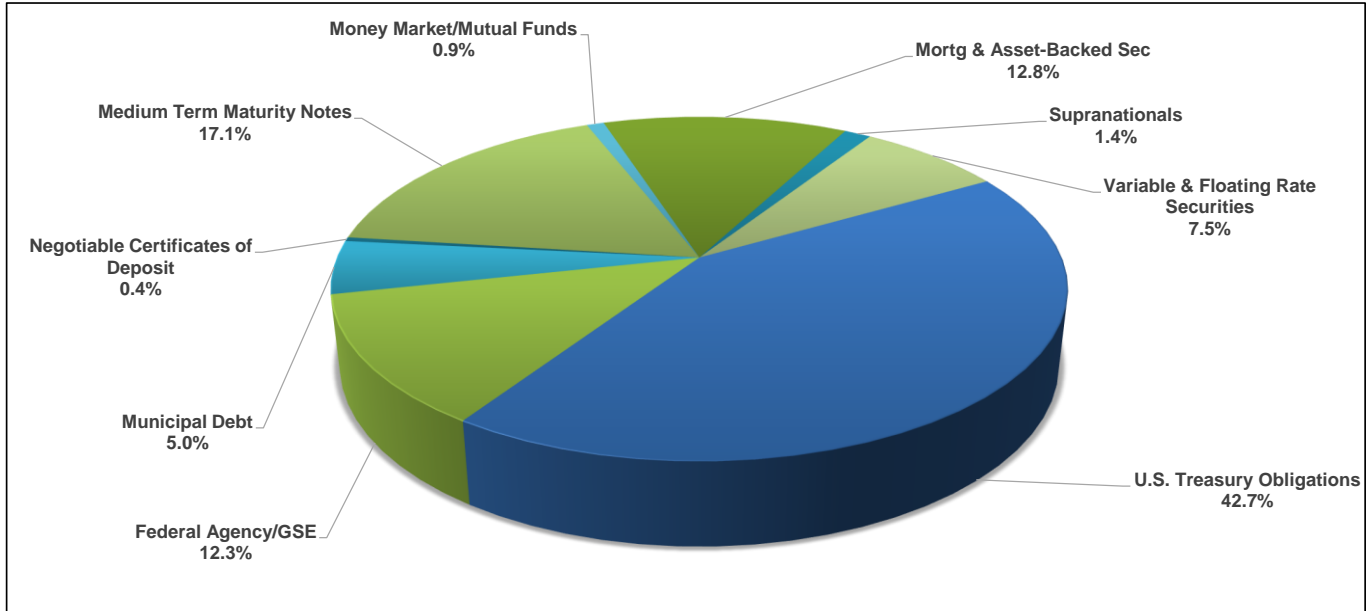
**Payden & Rygel  
6/30/2022**



# Short-Term Portfolio

## 6/30/2022

### Portfolio Composition



# Rating Downgrades & Negative Credit Watch

6/30/2022

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Investment Manager / Security

Par Amount

Maturity

S&P

Moody's

Fitch Ratings

**Rating Downgrades:**

N/A

**Negative Credit Watch:**

N/A

# **DEBT PROGRAM**

(M2 Sales Tax Revenue Bonds, 91 Toll Revenue Bonds, 2021 TIFIA Loan (I-405), 2021 Bond Anticipation Notes (BANs))

# Outstanding Debt<sup>1</sup>

## As of 6/30/22

### Orange County Local Transportation Authority (OCLTA-M2)

#### 2010 Series A Taxable Build America Bonds - Sales Tax Revenue Bonds

Issued:	\$	293,540,000
Outstanding:		250,000,000
Debt Service FY 2022:		17,270,000
All in True Interest Cost:		4.33%
Pledged Revenue Source:	M2 Sales Tax Revenues	
Ratings (Fitch/ Moody's/ S&P):		AA+/Aa2/AA+
Final Maturity:		2041

#### 2019 M2 Sales Tax Bond

Issued:	\$	376,690,000
Outstanding:		360,170,000
Debt Service FY 2022:		26,556,400
All in True Interest Cost:		3.14%
Pledged Revenue Source:	M2 Sales Tax Revenues	
Ratings (Fitch/ S&P):		AA+/AA+
Final Maturity:		2041

### 91 Express Lanes

#### 2013 OCTA 91 Express Lanes Refunding Bonds

Issued:	\$	124,415,000
Outstanding:		78,515,000
Debt Service FY 2022:		10,795,825
All in True Interest Cost:		3.83%
Pledged Revenue Source:	91 Toll Road Revenues	
Ratings (Fitch/ Moody's/ S&P):		A+/A1/AA-
Final Maturity:		2030

### 405 Express Lanes

#### 2021 Bond Anticipation Notes

Issued:	\$	662,820,000
Outstanding:		662,820,000
Debt Service FY 2022:		17,498,989
All in True Interest Cost:		0.34%
Pledged Revenue Source:	Collateral <sup>2</sup>	
Ratings (Moody's/ S&P):		Aa3/AA
Final Maturity:		2024

#### 2021 TIFIA Loan

Amount Available	\$	628,930,000
Outstanding:		-
Accrued Interest:		-
Interest Rate:		1.95%
Pledged Revenue Source:	405 Toll Road Revenues	
Ratings (Moody's/Kroll):		Baa2/BBB-
Final Maturity:		2058

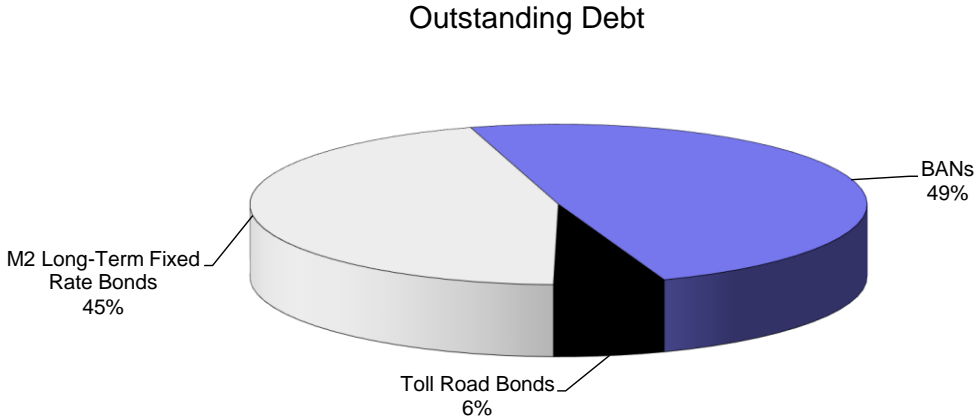
1. Comprised of OCTA's debt obligations (M2 Sales Tax Revenue Bonds, 91 Toll Revenue Bonds, 2021 TIFIA Loan (I-405), and 2021 BANs) currently outstanding and irrespective of OCTA's investment program.

2. Comprised of (a) proceeds from draws under the TIFIA Loan Agreement; (b) any legally available funds of OCTA except (i) LTF Revenue, (ii) federal grant funds, (iii) any revenues and assets with respect to the SR 91 Express Lanes, and (iv) any revenues received from operation of the freeway callbox system in Orange County and the freeway service patrol; (c) proceeds from the purchase and sale of OCTA bonds by OCTLA under and pursuant to the Standby Bond Purchase Agreement; and (d) all amounts held by the Trustee in the funds and accounts established under the indenture, including investment earnings thereon, excluding amounts deposited to the Rebate Fund

# Total Outstanding Debt\*

## As of 6/30/22

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**TOTAL OUTSTANDING DEBT: \$1,351,505,000**

\*Comprised of OCTA's debt obligations (M2 Sales Tax Revenue Bonds, 91 Toll Revenue Bonds, 2021 TIFIA Loan (I-405), and 2021 BANS) currently outstanding and irrespective of OCTA's investment program.



**Orange County Transportation Authority  
Portfolio Listing  
As of June 30, 2022**

LIQUID PORTFOLIO				
DESCRIPTION	MATURITY DATE	BOOK VALUE	MARKET VALUE	YIELD
<b>CASH EQUIVALENTS</b>				
BANK DEPOSITS	N/A	15,061,166.16	15,061,166.16	
MONEY MARKET DEMAND ACCOUNT	N/A	82,195,498.27	82,195,498.27	0.77%
FIDELITY TREASURY OBLIGATIONS FUND	N/A	159,231,652.20	159,231,652.20	1.22%
FEDERATED TREASURY OBLIGATIONS FUND	N/A	24,149,632.18	24,149,632.18	1.38%
SUB-TOTAL		280,637,948.81	280,637,948.81	
<b>LOCAL AGENCY INVESTMENT FUND (LAIF)</b>	N/A	21,148,180.85	21,148,180.85	0.86%
<b>ORANGE COUNTY INVESTMENT POOL (OCIP)</b>	N/A	17,285,693.22	17,285,693.22	0.64%
<b>LIQUID PORTFOLIO - TOTAL</b>		<b>\$ 319,071,822.88</b>	<b>\$ 319,071,822.88</b>	

SHORT-TERM PORTFOLIO				
DESCRIPTION	MATURITY DATE	BOOK VALUE	MARKET VALUE	YIELD
<b>Money Market Funds</b>				
FIRST AMER.GVT OBLG Z	6/30/2022	319,185.20	319,185.20	1.26
FIRST AMER.GVT OBLG Z	6/30/2022	5,310,342.23	5,310,342.23	1.26
FIRST AMER.GVT OBLG Z	6/30/2022	2,588,577.79	2,588,577.79	1.26
FIRST AMER.GVT OBLG Z	6/30/2022	6,397,967.09	6,397,967.09	1.26
FIRST AMER.GVT OBLG Z	6/30/2022	1,304,739.71	1,304,739.71	1.26
FIRST AMER.GVT OBLG Z	6/30/2022	381,308.83	381,308.83	1.26
FIRST AMER.GVT OBLG Z	6/30/2022	421,513.99	421,513.99	1.26
FIRST AMER.GVT OBLG Z	6/30/2022	1,088,794.61	1,088,794.61	1.26
SUB-TOTAL		17,812,429.45	17,812,429.45	
<b>NEGOTIABLE CERTIFICATES OF DEPOSIT</b>				
Bank of Nova Scotia - Houston Branch	7/28/2022	4,222,937.10	4,220,141.25	1.67
Credit Suisse AG, New York Branch	3/17/2023	940,000.00	920,983.80	3.46
Credit Suisse AG, New York Branch	3/17/2023	2,160,000.00	2,116,303.20	3.46
SUB-TOTAL		7,322,937.10	7,257,428.25	
<b>U.S. TREASURY OBLIGATIONS</b>				
UNITED STATES TREASURY	4/30/2025	697,839.84	696,990.00	3.03
UNITED STATES TREASURY	4/30/2025	1,743,773.30	1,742,475.00	3.03
UNITED STATES TREASURY	9/30/2025	2,513,183.59	2,496,400.00	3.05
UNITED STATES TREASURY	9/30/2025	7,002,734.38	6,989,920.00	3.05
UNITED STATES TREASURY	10/31/2025	8,032,812.50	7,986,880.00	3.05
UNITED STATES TREASURY	11/15/2025	6,818,164.06	6,817,860.00	3.07
UNITED STATES TREASURY	5/31/2023	7,787,187.50	7,908,720.00	2.89
UNITED STATES TREASURY	6/30/2023	691,400.39	694,665.75	2.94
UNITED STATES TREASURY	6/30/2023	1,075,511.72	1,033,924.50	2.94
UNITED STATES TREASURY	10/31/2023	8,007,187.50	7,861,600.00	2.96
UNITED STATES TREASURY	4/30/2024	1,352,433.98	1,267,476.60	2.98
UNITED STATES TREASURY	4/30/2024	3,103,259.38	2,908,318.40	2.98
UNITED STATES TREASURY	5/15/2025	9,793,359.38	9,762,500.00	2.99
UNITED STATES TREASURY	10/31/2024	7,758,691.41	7,245,975.00	3.01
UNITED STATES TREASURY	10/31/2024	1,570,096.29	1,463,686.95	3.01
UNITED STATES TREASURY	10/31/2024	3,611,739.65	3,366,963.05	3.01
UNITED STATES TREASURY	11/30/2024	2,577,022.66	2,397,155.25	3.03
UNITED STATES TREASURY	11/30/2024	1,519,250.78	1,413,212.25	3.03
UNITED STATES TREASURY	11/30/2024	4,402,568.36	4,099,762.50	3.03
UNITED STATES TREASURY	12/31/2024	1,252,682.23	1,168,850.00	3.00
UNITED STATES TREASURY	12/31/2024	1,244,203.13	1,164,000.00	3.00
UNITED STATES TREASURY	12/31/2024	4,074,494.92	3,789,337.40	3.04
UNITED STATES TREASURY	12/31/2024	6,095,705.27	5,684,006.10	3.04
UNITED STATES TREASURY	12/31/2024	6,738,417.97	6,299,410.00	3.04
UNITED STATES TREASURY	12/31/2024	5,909,964.84	5,524,098.00	3.04
UNITED STATES TREASURY	12/31/2024	2,896,906.25	2,713,592.00	3.04
UNITED STATES TREASURY	1/31/2025	8,313,750.00	7,672,800.00	3.03
UNITED STATES TREASURY	3/31/2025	10,137,753.91	10,041,171.88	3.02
UNITED STATES TREASURY	3/31/2025	4,433,906.25	4,199,760.00	3.05
UNITED STATES TREASURY	3/31/2025	1,989,687.50	1,866,560.00	3.05
UNITED STATES TREASURY	3/31/2025	7,862,500.00	7,466,240.00	3.05
UNITED STATES TREASURY	4/30/2025	7,440,527.34	6,960,675.00	3.04
UNITED STATES TREASURY	5/31/2025	7,357,324.22	6,920,775.00	3.04
UNITED STATES TREASURY	6/15/2023	450,369.14	438,556.50	2.96
UNITED STATES TREASURY	6/30/2025	6,811,054.69	6,444,900.00	3.04
UNITED STATES TREASURY	7/31/2025	6,979,687.50	6,886,200.00	3.05
UNITED STATES TREASURY	7/31/2025	7,729,375.00	7,345,280.00	3.05
UNITED STATES TREASURY	10/15/2023	2,744,414.06	2,652,460.94	2.94
UNITED STATES TREASURY	10/15/2023	4,096,476.56	3,954,578.13	2.94
UNITED STATES TREASURY	10/15/2023	6,972,656.25	6,751,718.75	2.94
UNITED STATES TREASURY	10/15/2023	4,099,725.00	3,964,223.44	2.94
UNITED STATES TREASURY	10/15/2023	3,142,863.28	3,038,273.44	2.94
UNITED STATES TREASURY	10/15/2023	3,142,248.05	3,038,273.44	2.94
UNITED STATES TREASURY	10/15/2023	2,070,298.83	2,001,402.34	2.94
UNITED STATES TREASURY	10/15/2023	5,685,972.66	5,497,628.13	2.94
UNITED STATES TREASURY	10/15/2023	3,029,190.82	2,926,922.10	2.98
UNITED STATES TREASURY	10/15/2023	6,951,668.56	6,714,677.90	2.98
UNITED STATES TREASURY	11/15/2023	1,250,927.73	1,204,587.50	2.97
UNITED STATES TREASURY	11/15/2023	2,872,130.08	2,765,732.90	2.97
UNITED STATES TREASURY	12/15/2023	9,877,343.75	9,600,000.00	2.95
UNITED STATES TREASURY	12/15/2023	4,923,437.50	4,800,000.00	2.95
UNITED STATES TREASURY	12/15/2023	6,600,433.99	6,400,065.10	2.98
UNITED STATES TREASURY	12/15/2023	9,840,435.94	9,576,109.40	2.98
UNITED STATES TREASURY	12/15/2023	7,978,437.50	7,676,240.00	2.98
UNITED STATES TREASURY	12/15/2023	1,336,964.06	1,285,770.20	2.98
UNITED STATES TREASURY	12/15/2023	658,504.69	633,289.80	2.98
UNITED STATES TREASURY	12/15/2023	2,418,842.77	2,326,860.25	2.98
UNITED STATES TREASURY	12/31/2022	3,760,146.87	3,715,068.00	2.55
UNITED STATES TREASURY	1/31/2023	4,090,718.26	4,031,936.64	2.57
UNITED STATES TREASURY	1/31/2023	2,756,099.63	2,716,548.86	2.57
UNITED STATES TREASURY	1/31/2023	6,060,738.49	5,973,765.28	2.57
UNITED STATES TREASURY	1/31/2023	4,417,707.64	4,354,227.35	2.57
UNITED STATES TREASURY	1/31/2023	759,507.62	746,593.87	2.57
UNITED STATES TREASURY	1/31/2023	3,980,777.34	3,923,882.00	2.57
UNITED STATES TREASURY	1/31/2023	910,213.28	897,169.00	2.57
UNITED STATES TREASURY	1/31/2023	2,320,725.00	2,287,288.00	2.57
UNITED STATES TREASURY	1/31/2023	4,351,359.38	4,288,665.00	2.57
UNITED STATES TREASURY	1/31/2023	3,110,242.97	3,066,149.00	2.57
UNITED STATES TREASURY	1/31/2023	1,034,959.57	1,020,406.50	2.57
UNITED STATES TREASURY	2/15/2024	1,030,512.16	986,870.05	2.95
UNITED STATES TREASURY	2/15/2024	1,533,322.66	1,471,362.20	2.95
UNITED STATES TREASURY	3/15/2024	2,547,714.26	2,439,539.55	2.98
UNITED STATES TREASURY	3/15/2024	3,111,103.12	2,979,007.20	2.98
UNITED STATES TREASURY	3/15/2024	2,744,306.64	2,625,727.50	2.98
UNITED STATES TREASURY	3/31/2023	1,604,247.66	1,573,846.95	2.75
UNITED STATES TREASURY	3/31/2023	1,709,064.84	1,676,808.90	2.75
UNITED STATES TREASURY	4/15/2024	21,702,656.25	21,013,437.50	2.96
UNITED STATES TREASURY	4/15/2024	1,564,073.05	1,513,922.66	2.96
UNITED STATES TREASURY	4/15/2024	4,925,781.25	4,775,781.25	2.96
UNITED STATES TREASURY	4/15/2024	9,864,843.75	9,546,100.00	2.99
UNITED STATES TREASURY	4/15/2024	4,544,199.61	4,395,975.00	2.99
UNITED STATES TREASURY	4/15/2024	3,600,851.56	3,532,057.00	2.99
UNITED STATES TREASURY	4/15/2024	8,013,437.50	7,636,880.00	2.99
UNITED STATES TREASURY	4/15/2024	910,675.39	868,695.10	2.99
UNITED STATES TREASURY	4/15/2024	2,091,551.17	1,995,134.90	2.99
UNITED STATES TREASURY	4/30/2023	5,008,450.41	4,897,275.00	2.87

**Orange County Transportation Authority  
Portfolio Listing  
As of June 30, 2022**

<u>DESCRIPTION</u>	<u>MATURITY DATE</u>	<u>BOOK VALUE</u>	<u>MARKET VALUE</u>	<u>YIELD</u>
UNITED STATES TREASURY	4/30/2023	8,767,267.44	8,572,675.00	2.87
UNITED STATES TREASURY	5/15/2024	14,710,632.73	14,004,586.05	2.99
UNITED STATES TREASURY	5/15/2024	306,787.50	304,137.60	2.99
UNITED STATES TREASURY	5/15/2024	24,035,187.17	22,881,602.25	2.99
UNITED STATES TREASURY	5/15/2024	2,361,089.00	2,247,766.95	2.99
UNITED STATES TREASURY	5/15/2024	4,144,488.28	3,944,284.50	2.99
UNITED STATES TREASURY	5/15/2024	3,988,281.25	3,801,720.00	2.99
UNITED STATES TREASURY	5/31/2023	393,828.13	390,022.00	2.88
UNITED STATES TREASURY	5/31/2023	905,804.69	897,211.60	2.88
UNITED STATES TREASURY	6/15/2024	4,181,132.81	3,984,750.00	2.96
UNITED STATES TREASURY	6/15/2024	3,995,436.33	3,861,412.50	2.96
UNITED STATES TREASURY	6/15/2024	9,962,285.15	9,961,875.00	2.96
UNITED STATES TREASURY	6/15/2024	7,485,058.59	7,112,100.00	2.99
UNITED STATES TREASURY	6/15/2024	11,647,898.44	11,094,876.00	2.99
UNITED STATES TREASURY	6/15/2024	4,572,867.19	4,362,088.00	2.99
UNITED STATES TREASURY	6/15/2024	274,870.31	265,518.40	2.99
UNITED STATES TREASURY	6/15/2024	10,975,937.50	10,431,080.00	2.99
UNITED STATES TREASURY	6/15/2024	403,924.22	384,053.40	2.99
UNITED STATES TREASURY	6/15/2024	1,987,031.25	1,896,560.00	2.99
UNITED STATES TREASURY	6/15/2024	1,991,250.00	1,896,560.00	2.99
UNITED STATES TREASURY	6/15/2024	942,489.84	896,124.60	2.99
UNITED STATES TREASURY	6/15/2024	4,470,820.31	4,267,260.00	2.99
UNITED STATES TREASURY	6/15/2024	5,973,750.00	5,689,680.00	2.99
UNITED STATES TREASURY	7/15/2024	1,454,545.31	1,380,096.60	2.99
UNITED STATES TREASURY	7/15/2024	904,717.19	858,410.60	2.99
UNITED STATES TREASURY	7/15/2024	1,309,225.00	1,336,383.80	2.99
UNITED STATES TREASURY	7/15/2024	7,502,050.78	7,113,900.00	2.99
UNITED STATES TREASURY	7/15/2024	1,197,750.00	1,138,224.00	2.99
UNITED STATES TREASURY	7/15/2024	2,402,625.00	2,276,448.00	2.99
UNITED STATES TREASURY	7/15/2024	674,920.90	640,251.00	2.99
UNITED STATES TREASURY	7/15/2024	748,623.05	711,390.00	2.99
UNITED STATES TREASURY	7/15/2024	2,844,656.25	2,703,282.00	2.99
UNITED STATES TREASURY	7/15/2024	5,506,015.63	5,216,860.00	2.99
UNITED STATES TREASURY	7/15/2024	1,544,818.95	1,465,463.40	2.99
UNITED STATES TREASURY	7/15/2024	9,996,875.00	9,485,200.00	2.99
UNITED STATES TREASURY	7/15/2024	1,597,062.50	1,517,632.00	2.99
UNITED STATES TREASURY	7/31/2023	334,424.22	324,950.00	2.95
UNITED STATES TREASURY	8/15/2024	7,914,375.00	7,567,840.00	3.02
UNITED STATES TREASURY	8/15/2024	998,164.06	945,980.00	3.02
UNITED STATES TREASURY	8/15/2024	2,497,265.63	2,364,950.00	3.02
UNITED STATES TREASURY	8/15/2024	3,095,035.16	2,932,538.00	3.02
UNITED STATES TREASURY	8/15/2024	1,497,246.09	1,418,970.00	3.02
UNITED STATES TREASURY	8/15/2024	6,143,273.44	5,817,777.00	3.02
UNITED STATES TREASURY	8/31/2023	1,622,333.98	1,572,122.50	2.98
UNITED STATES TREASURY	8/31/2023	5,607,708.25	5,437,125.20	2.98
UNITED STATES TREASURY	8/31/2023	4,358,904.30	4,227,800.20	2.98
UNITED STATES TREASURY	9/15/2024	7,484,472.66	7,078,725.00	3.02
UNITED STATES TREASURY	9/15/2024	1,245,068.36	1,179,787.50	3.02
UNITED STATES TREASURY	9/15/2024	745,927.73	707,872.50	3.02
UNITED STATES TREASURY	9/15/2024	2,988,164.06	2,831,490.00	3.02
UNITED STATES TREASURY	9/30/2023	824,258.79	797,799.75	2.95
UNITED STATES TREASURY	9/30/2023	1,874,047.85	1,813,181.25	2.95
UNITED STATES TREASURY	9/30/2023	4,597,664.06	4,448,338.00	2.95
UNITED STATES TREASURY	10/15/2024	1,248,974.61	1,184,325.00	3.01
UNITED STATES TREASURY	10/15/2024	1,243,847.66	1,184,325.00	3.01
UNITED STATES TREASURY	10/15/2024	3,059,865.23	2,913,439.50	3.01
UNITED STATES TREASURY	10/31/2023	12,316,224.06	11,908,104.02	2.96
UNITED STATES TREASURY	10/31/2023	948,431.64	931,525.50	2.96
UNITED STATES TREASURY	10/31/2023	2,368,227.54	2,295,233.75	2.96
UNITED STATES TREASURY	10/31/2023	19,949,218.75	19,328,200.00	2.96
UNITED STATES TREASURY	11/15/2024	653,386.88	620,122.80	3.03
UNITED STATES TREASURY	11/15/2024	8,004,375.00	7,585,600.00	3.03
UNITED STATES TREASURY	11/15/2024	1,269,073.24	1,208,955.00	3.03
UNITED STATES TREASURY	11/15/2024	4,987,500.00	4,741,000.00	3.03
UNITED STATES TREASURY	11/15/2024	3,359,311.52	3,200,175.00	3.03
UNITED STATES TREASURY	11/30/2023	688,517.58	666,553.80	2.96
UNITED STATES TREASURY	11/30/2023	619,152.34	598,932.40	2.96
UNITED STATES TREASURY	11/30/2023	3,429,921.88	3,323,108.80	2.96
UNITED STATES TREASURY	11/30/2023	7,376,296.88	7,148,548.00	2.96
UNITED STATES TREASURY	11/30/2023	1,994,375.00	1,932,040.00	2.96
UNITED STATES TREASURY	11/30/2023	14,939,062.50	14,490,300.00	2.96
UNITED STATES TREASURY	12/15/2024	1,241,743.75	1,180,864.40	3.03
UNITED STATES TREASURY	12/15/2024	8,000,000.00	7,618,480.00	3.03
UNITED STATES TREASURY	12/15/2024	1,750,683.59	1,666,542.50	3.03
UNITED STATES TREASURY	12/15/2024	1,249,072.27	1,190,387.50	3.03
UNITED STATES TREASURY	12/15/2024	2,904,531.25	1,904,620.00	3.03
UNITED STATES TREASURY	12/15/2024	3,597,328.13	3,428,316.00	3.03
UNITED STATES TREASURY	12/31/2023	2,874,829.11	2,781,332.50	2.99
UNITED STATES TREASURY	12/31/2023	1,240,581.25	1,199,600.80	2.99
UNITED STATES TREASURY	12/31/2023	500,058.59	483,710.00	2.99
UNITED STATES TREASURY	12/31/2023	1,000,117.19	967,420.00	2.99
UNITED STATES TREASURY	12/31/2023	10,001,171.87	9,674,200.00	2.99
UNITED STATES TREASURY	1/31/2024	340,337.11	333,842.70	2.98
UNITED STATES TREASURY	1/31/2024	128,344.53	125,795.80	2.98
UNITED STATES TREASURY	1/31/2024	2,693,803.52	2,622,358.60	2.98
UNITED STATES TREASURY	1/31/2024	10,187,925.00	9,920,450.32	2.98
UNITED STATES TREASURY	1/31/2024	10,188,918.75	9,921,417.98	2.98
UNITED STATES TREASURY	1/31/2024	10,653,993.75	10,374,282.86	2.98
UNITED STATES TREASURY	1/31/2024	4,377,189.89	4,258,671.66	2.98
UNITED STATES TREASURY	1/31/2024	1,089,859.38	1,064,426.00	2.98
UNITED STATES TREASURY	1/31/2024	4,981,746.09	4,886,683.00	2.98
UNITED STATES TREASURY	1/31/2024	286,307.03	280,621.40	2.98
UNITED STATES TREASURY	2/15/2025	3,309,783.75	3,209,079.51	3.05
UNITED STATES TREASURY	2/15/2025	2,504,888.75	2,428,674.43	3.05
UNITED STATES TREASURY	2/15/2025	831,754.69	821,731.95	3.05
UNITED STATES TREASURY	2/15/2025	1,882,187.50	1,826,071.00	3.05
UNITED STATES TREASURY	2/15/2025	3,467,187.50	3,363,815.00	3.05
UNITED STATES TREASURY	2/29/2024	919,029.69	898,334.00	2.96
UNITED STATES TREASURY	2/29/2024	3,650,288.48	3,568,924.75	2.96
UNITED STATES TREASURY	2/29/2024	3,619,498.23	3,559,160.25	2.96
UNITED STATES TREASURY	3/15/2025	1,292,256.38	1,276,123.20	3.04
UNITED STATES TREASURY	3/15/2025	607,309.38	599,391.20	3.04
UNITED STATES TREASURY	4/15/2025	1,271,300.00	1,266,099.20	3.03
UNITED STATES TREASURY	4/15/2025	2,536,436.33	2,527,252.70	3.03

**Orange County Transportation Authority  
Portfolio Listing  
As of June 30, 2022**

<u>DESCRIPTION</u>	<u>MATURITY DATE</u>	<u>BOOK VALUE</u>	<u>MARKET VALUE</u>	<u>YIELD</u>
UNITED STATES TREASURY	4/15/2025	2,959,745.32	2,947,637.20	3.03
UNITED STATES TREASURY	4/15/2025	3,519,243.36	3,506,501.30	3.03
UNITED STATES TREASURY	5/15/2025	2,056,966.80	2,034,297.00	3.03
	5/15/2025	435,288.87	431,667.90	3.03
	5/15/2025	7,949,303.71	7,288,737.30	3.03
UNITED STATES TREASURY	5/15/2025	9,813,236.72	9,705,085.20	3.03
UNITED STATES TREASURY	5/15/2025	1,210,803.52	1,200,731.40	3.03
UNITED STATES TREASURY	5/15/2025	3,536,669.53	3,527,768.70	3.03
UNITED STATES TREASURY	5/15/2025	1,246,191.41	1,240,425.00	3.03
UNITED STATES TREASURY	5/15/2025	7,227,910.16	7,194,465.00	3.03
UNITED STATES TREASURY	6/15/2025	318,825.00	318,726.40	3.02
UNITED STATES TREASURY	6/15/2025	8,854,199.22	8,839,677.50	3.02
UNITED STATES TREASURY	6/15/2025	846,878.91	846,617.00	3.02
<b>SUB-TOTAL</b>		<b>843,291,338.26</b>	<b>814,123,133.81</b>	
<b>FEDERAL AGENCY/GSE</b>				
FEDERAL HOME LOAN BANKS	9/8/2023	4,135,800.00	3,975,440.00	2.90
FEDERAL HOME LOAN BANKS	9/8/2023	4,104,600.00	3,975,440.00	2.90
FEDERAL HOME LOAN BANKS	12/8/2023	6,686,160.00	6,423,820.00	3.09
FEDERAL HOME LOAN BANKS	3/8/2024	5,201,750.00	4,907,800.00	3.00
FEDERAL HOME LOAN BANKS	2/12/2026	1,249,125.00	1,137,625.00	3.25
FEDERAL HOME LOAN BANKS	2/12/2026	2,897,970.00	2,639,290.00	3.25
FEDERAL HOME LOAN BANKS	12/20/2024	1,648,927.50	1,568,011.50	3.10
FEDERAL HOME LOAN BANKS	12/20/2024	5,994,720.00	5,701,860.00	3.10
FEDERAL HOME LOAN BANKS	2/28/2025	850,000.00	628,444.85	3.20
FEDERAL HOME LOAN BANKS	2/28/2025	4,095,000.00	4,004,746.20	3.07
FEDERAL HOME LOAN BANKS	6/9/2023	3,977,720.00	3,966,760.00	3.03
FEDERAL HOME LOAN BANKS	6/9/2023	4,029,880.00	3,966,760.00	3.03
FEDERAL FARM CREDIT BANKS FUNDING CORP	7/17/2023	5,060,200.00	5,000,650.00	2.86
FEDERAL FARM CREDIT BANKS FUNDING CORP	6/26/2023	6,967,450.00	6,917,960.00	2.98
FEDERAL FARM CREDIT BANKS FUNDING CORP	2/12/2023	4,996,450.00	4,978,450.00	2.59
FEDERAL FARM CREDIT BANKS FUNDING CORP	8/14/2023	4,993,550.00	4,925,250.00	2.96
FEDERAL FARM CREDIT BANKS FUNDING CORP	8/14/2023	7,983,280.00	7,761,600.00	2.92
FEDERAL FARM CREDIT BANKS FUNDING CORP	2/21/2023	5,000,600.00	4,964,400.00	2.57
FEDERAL FARM CREDIT BANKS FUNDING CORP	10/2/2023	4,994,600.00	4,835,100.00	2.89
FEDERAL FARM CREDIT BANKS FUNDING CORP	2/25/2025	4,956,270.00	4,854,550.00	2.90
FEDERAL HOME LOAN MORTGAGE CORP	8/12/2025	4,095,490.00	3,800,105.50	3.08
FEDERAL HOME LOAN MORTGAGE CORP	12/30/2024	2,685,000.00	2,689,658.48	3.65
FEDERAL HOME LOAN MORTGAGE CORP	11/25/2024	680,000.00	637,398.00	3.18
FEDERAL HOME LOAN MORTGAGE CORP	11/25/2024	1,570,000.00	1,471,639.50	3.18
FEDERAL NATIONAL MORTGAGE ASSOCIATION	5/22/2023	6,111,548.70	5,990,419.90	2.85
FEDERAL NATIONAL MORTGAGE ASSOCIATION	5/22/2023	2,472,535.20	2,423,530.40	2.85
FEDERAL NATIONAL MORTGAGE ASSOCIATION	5/22/2023	4,890,235.35	4,793,315.15	2.85
FEDERAL NATIONAL MORTGAGE ASSOCIATION	7/10/2023	3,203,098.50	3,124,902.90	2.89
FEDERAL NATIONAL MORTGAGE ASSOCIATION	7/10/2023	5,000,300.00	4,867,450.00	2.89
FEDERAL NATIONAL MORTGAGE ASSOCIATION	7/10/2023	2,354,926.00	2,297,436.40	2.89
FEDERAL NATIONAL MORTGAGE ASSOCIATION	7/10/2023	5,403,357.75	5,271,448.35	2.89
FEDERAL NATIONAL MORTGAGE ASSOCIATION	8/25/2025	7,771,280.00	7,347,360.00	3.11
FEDERAL NATIONAL MORTGAGE ASSOCIATION	11/27/2023	1,797,946.00	1,734,390.00	2.91
FEDERAL NATIONAL MORTGAGE ASSOCIATION	1/19/2023	4,411,710.00	4,487,345.00	2.48
FEDERAL NATIONAL MORTGAGE ASSOCIATION	1/19/2023	2,233,875.00	2,298,643.00	2.48
FEDERAL NATIONAL MORTGAGE ASSOCIATION	10/27/2023	6,098,475.00	5,890,574.80	2.96
FEDERAL HOME LOAN MORTGAGE CORP	5/5/2023	1,899,202.00	1,859,587.00	2.93
FEDERAL HOME LOAN MORTGAGE CORP	6/26/2023	7,463,143.80	7,285,000.80	3.01
FEDERAL HOME LOAN MORTGAGE CORP	6/26/2023	2,238,444.80	2,185,013.60	3.01
FEDERAL HOME LOAN MORTGAGE CORP	6/26/2023	5,144,932.80	5,022,124.90	3.01
FEDERAL HOME LOAN MORTGAGE CORP	8/24/2023	8,001,840.00	7,757,680.00	2.95
FEDERAL HOME LOAN MORTGAGE CORP	8/24/2023	2,787,154.20	2,705,490.90	2.95
FEDERAL HOME LOAN MORTGAGE CORP	8/24/2023	6,403,461.80	6,215,841.10	2.95
FEDERAL HOME LOAN MORTGAGE CORP	9/8/2023	5,098,317.00	4,941,747.00	2.92
FEDERAL HOME LOAN MORTGAGE CORP	9/8/2023	3,001,860.00	2,906,910.00	2.92
FEDERAL HOME LOAN MORTGAGE CORP	9/8/2023	2,725,497.61	2,640,443.25	2.92
FEDERAL HOME LOAN MORTGAGE CORP	9/8/2023	2,550,465.66	2,470,873.50	2.92
FEDERAL HOME LOAN MORTGAGE CORP	9/8/2023	6,997,690.00	6,782,790.00	2.92
FEDERAL HOME LOAN MORTGAGE CORP	10/16/2023	6,376,128.00	6,173,248.00	2.93
FEDERAL HOME LOAN MORTGAGE CORP	10/16/2023	1,530,237.15	1,490,260.65	2.93
FEDERAL HOME LOAN MORTGAGE CORP	10/16/2023	1,549,199.85	1,499,906.35	2.93
FEDERAL HOME LOAN MORTGAGE CORP	10/16/2023	1,991,720.00	1,928,140.00	2.93
FEDERAL HOME LOAN MORTGAGE CORP	11/6/2023	4,705,761.00	4,543,501.50	2.94
FEDERAL HOME LOAN MORTGAGE CORP	11/6/2023	2,482,763.50	2,397,155.25	2.94
FEDERAL HOME LOAN MORTGAGE CORP	11/6/2023	5,709,856.50	5,512,974.75	2.94
FEDERAL HOME LOAN MORTGAGE CORP	12/4/2023	5,959,094.65	5,739,463.35	2.97
FEDERAL HOME LOAN MORTGAGE CORP	12/4/2023	2,097,921.00	2,020,599.00	2.97
FEDERAL HOME LOAN MORTGAGE CORP	12/4/2023	4,820,223.25	4,642,566.75	2.97
<b>SUB-TOTAL</b>		<b>242,147,746.97</b>	<b>235,191,890.48</b>	
<b>MEDIUM TERM NOTES</b>				
ADOBE INC	2/1/2023	134,815.05	134,117.10	2.83
ADOBE INC	2/1/2023	314,568.45	312,939.90	2.83
AMAZON.COM INC	6/3/2023	249,650.00	243,837.50	3.12
AMAZON.COM INC	5/12/2024	3,265,225.80	3,109,116.00	3.19
AMAZON.COM INC	5/12/2024	898,700.60	846,212.00	3.19
AMAZON.COM INC	5/12/2024	2,047,007.00	1,949,140.00	3.19
AMAZON.COM INC	4/13/2025	364,419.65	361,295.25	3.38
AMAZON.COM INC	4/13/2025	1,772,177.75	1,756,983.75	3.38
AMERICAN EXPRESS CO	7/30/2024	492,005.00	482,146.50	3.86
AMERICAN EXPRESS CO	7/30/2024	129,475.00	121,617.50	3.86
AMERICAN EXPRESS CO	7/30/2024	1,320,845.00	1,240,488.50	3.86
AMERICAN EXPRESS CO	7/30/2024	362,530.00	340,529.00	3.86
AMERICAN EXPRESS CO	11/3/2023	4,299,570.00	4,160,723.00	3.24
AMERICAN EXPRESS CO	3/4/2025	104,893.95	100,870.35	3.81
AMERICAN EXPRESS CO	3/4/2025	99,663.00	96,067.00	3.81
AMERICAN EXPRESS CO	3/4/2025	384,611.15	369,857.95	3.81
AMERICAN EXPRESS CO	3/4/2025	498,315.00	480,335.00	3.81
AMERICAN EXPRESS CO	5/3/2024	349,965.00	347,480.00	3.78
AMERICAN EXPRESS CO	5/3/2024	969,903.00	963,016.00	3.78
AMERICAN HONDA FINANCE CORP	1/12/2024	1,585,215.00	1,502,085.00	3.46
AMERICAN HONDA FINANCE CORP	8/9/2024	404,732.70	380,910.60	3.71
AMERICAN HONDA FINANCE CORP	8/9/2024	994,343.30	935,817.40	3.71
AMERICAN HONDA FINANCE CORP	8/9/2024	968,730.00	940,520.00	3.71
AMERICAN HONDA FINANCE CORP	1/13/2025	5,600,572.05	5,318,808.70	3.63
AMERICAN HONDA FINANCE CORP	1/13/2025	499,605.00	474,470.00	3.63
AMERICAN HONDA FINANCE CORP	1/13/2025	724,427.25	687,981.50	3.63
APPLE INC	5/3/2023	1,977,040.00	1,988,440.00	3.10
APPLE INC	2/23/2023	2,949,060.00	3,001,110.00	2.85
APPLE INC	5/11/2023	448,776.00	442,098.00	2.82

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DESCRIPTION	MATURITY DATE	BOOK VALUE	MARKET VALUE	YIELD
APPLE INC	5/11/2025	299,184.00	294,732.00	2.82
APPLE INC	5/11/2023	728,014.40	717,181.20	2.82
ASTRAZENECA FINANCE LLC	5/28/2024	584,947.35	554,351.85	3.56
ASTRAZENECA FINANCE LLC	5/28/2024	1,339,879.40	1,269,797.40	3.56
TRUIST FINANCIAL CORP	8/1/2024	4,454,730.00	4,392,495.00	3.70
TRUIST FINANCIAL CORP	8/1/2024	1,659,632.00	1,561,776.00	3.70
BMW US CAPITAL LLC	8/12/2024	254,977.05	239,850.45	3.69
BMW US CAPITAL LLC	8/12/2024	619,944.20	583,165.80	3.69
BMW US CAPITAL LLC	4/1/2025	194,816.70	192,621.00	3.72
BMW US CAPITAL LLC	4/1/2025	874,177.50	864,325.00	3.72
BAKER HUGHES HOLDINGS LLC	12/15/2023	140,000.00	135,914.80	3.30
BAKER HUGHES HOLDINGS LLC	12/15/2023	380,000.00	368,911.60	3.30
BANK OF AMERICA CORP	1/11/2023	3,034,740.00	3,004,800.00	2.99
BANK OF AMERICA CORP	12/6/2025	855,000.00	795,534.75	3.89
BANK OF AMERICA CORP	12/6/2025	575,000.00	535,008.75	3.89
BANK OF AMERICA CORP	12/6/2025	1,500,000.00	1,395,675.00	3.89
BANK OF AMERICA CORP	2/4/2025	3,845,000.00	3,706,426.20	3.43
BANK OF AMERICA CORP	2/4/2025	300,000.00	289,188.00	3.43
BANK OF AMERICA CORP	2/4/2025	1,500,000.00	1,445,940.00	3.43
BANK OF NEW YORK MELLON CORP	1/29/2023	2,944,320.00	2,996,820.00	3.13
BANK OF NEW YORK MELLON CORP	4/28/2023	947,355.50	913,840.20	2.98
BANK OF NEW YORK MELLON CORP	1/27/2023	764,464.50	759,905.10	3.03
BANK OF NEW YORK MELLON CORP	4/24/2025	389,006.00	357,659.80	3.82
BANK OF NEW YORK MELLON CORP	4/24/2025	890,619.00	818,852.70	3.82
BANK OF NEW YORK MELLON CORP	10/25/2024	559,610.00	554,882.00	3.48
BANK OF NEW YORK MELLON CORP	10/25/2024	1,334,132.25	1,256,862.45	3.48
BANK OF NEW YORK MELLON CORP	10/25/2024	992,360.00	941,470.00	3.48
BANK OF NEW YORK MELLON CORP	4/25/2025	1,229,827.80	1,215,916.50	3.78
BANK OF NEW YORK MELLON CORP	4/25/2025	859,879.60	850,153.00	3.78
BANK OF NEW YORK MELLON CORP	4/25/2025	2,124,702.50	2,100,668.75	3.78
BERKSHIRE HATHAWAY INC	3/15/2023	2,924,460.00	2,999,670.00	2.76
BERKSHIRE HATHAWAY INC	3/15/2023	2,014,300.00	1,999,780.00	2.76
BRIGHTHOUSE FINANCIAL GLOBAL FUNDING	1/13/2025	544,302.40	506,751.90	4.72
BRIGHTHOUSE FINANCIAL GLOBAL FUNDING	1/13/2025	1,627,913.60	1,515,606.60	4.72
BRISTOL-MYERS SQUIBB CO	11/13/2023	575,000.00	554,921.00	3.16
BRISTOL-MYERS SQUIBB CO	11/13/2023	1,325,000.00	1,278,731.00	3.16
BURLINGTON NORTHERN SANTA FE LLC	4/1/2025	226,092.30	206,881.50	3.57
BURLINGTON NORTHERN SANTA FE LLC	4/1/2025	527,548.70	492,723.50	3.57
CAPITAL ONE FINANCIAL CORP	12/6/2024	470,000.00	450,396.30	3.49
CATERPILLAR FINANCIAL SERVICES CORP	7/7/2023	339,809.60	331,598.60	3.13
CATERPILLAR FINANCIAL SERVICES CORP	7/7/2023	784,560.40	765,602.65	3.13
CATERPILLAR FINANCIAL SERVICES CORP	5/17/2024	624,162.50	592,068.75	3.36
CATERPILLAR FINANCIAL SERVICES CORP	5/17/2024	1,448,057.00	1,373,599.50	3.36
CATERPILLAR FINANCIAL SERVICES CORP	5/17/2024	5,193,032.00	4,926,012.00	3.36
CATERPILLAR FINANCIAL SERVICES CORP	9/13/2024	474,354.00	446,922.75	3.41
CATERPILLAR FINANCIAL SERVICES CORP	9/13/2024	1,168,408.80	1,100,841.30	3.41
CATERPILLAR FINANCIAL SERVICES CORP	1/10/2024	1,844,704.80	1,781,753.40	3.27
CATERPILLAR FINANCIAL SERVICES CORP	1/10/2024	334,946.40	323,516.20	3.27
CHEVRON CORP	5/11/2023	265,000.00	260,457.90	3.17
CHEVRON CORP	5/11/2023	610,000.00	599,544.80	3.17
CINTAS NO 2 CORP	5/1/2025	149,967.00	149,491.50	3.58
CINTAS NO 2 CORP	5/1/2025	264,941.70	264,101.65	3.58
CINTAS NO 2 CORP	5/1/2025	769,830.60	767,389.70	3.58
CITIGROUP INC	11/3/2025	160,000.00	148,556.80	3.82
CITIGROUP INC	11/3/2025	260,221.00	241,404.80	3.82
CITIGROUP INC	1/25/2026	1,040,000.00	974,282.40	3.98
CITIGROUP INC	1/25/2026	395,000.00	370,039.95	3.98
CITIGROUP GLOBAL MARKETS HOLDINGS INC	6/7/2024	600,000.00	563,352.00	4.06
CITIGROUP GLOBAL MARKETS HOLDINGS INC	6/7/2024	1,400,000.00	1,314,488.00	4.06
CNO GLOBAL FUNDING	1/6/2025	174,888.00	165,061.75	4.05
CNO GLOBAL FUNDING	1/6/2025	519,667.20	490,469.20	4.05
COMCAST CORP	10/15/2025	4,042,256.85	3,629,279.25	3.81
COMERICA INC	7/31/2023	636,006.00	599,604.00	3.76
COMERICA INC	7/31/2023	1,484,014.00	1,399,076.00	3.76
PNC BANK NATIONAL ASSOCIATION	4/10/2025	4,562,820.00	4,461,930.00	4.20
CONSUMERS ENERGY CO	6/1/2023	169,942.20	165,299.50	3.43
CONSUMERS ENERGY CO	6/1/2023	409,860.60	398,663.50	3.43
COOPERATIVE RABOBANK UA (NEW YORK BRANCH)	1/12/2024	4,332,008.85	4,122,628.35	3.69
JOHN DEERE CAPITAL CORP	7/5/2023	119,901.60	117,060.00	3.17
JOHN DEERE CAPITAL CORP	7/5/2023	279,770.40	273,140.00	3.17
JOHN DEERE CAPITAL CORP	1/17/2024	3,512,504.35	3,370,533.50	3.19
JOHN DEERE CAPITAL CORP	1/17/2024	239,829.60	230,136.00	3.19
JOHN DEERE CAPITAL CORP	1/17/2024	554,605.95	532,189.50	3.19
JOHN DEERE CAPITAL CORP	9/10/2024	129,915.50	122,268.90	3.46
JOHN DEERE CAPITAL CORP	9/10/2024	404,736.75	380,914.65	3.46
JOHN DEERE CAPITAL CORP	1/10/2025	774,635.75	734,909.25	3.40
JOHN DEERE CAPITAL CORP	1/10/2025	204,903.65	194,395.35	3.40
JOHN DEERE CAPITAL CORP	1/10/2025	809,619.30	768,098.70	3.40
JOHN DEERE CAPITAL CORP	3/7/2025	64,972.05	62,762.05	3.48
JOHN DEERE CAPITAL CORP	3/7/2025	194,916.15	188,286.15	3.48
JOHN DEERE CAPITAL CORP	6/6/2025	169,960.90	169,241.80	3.56
JOHN DEERE CAPITAL CORP	6/6/2025	469,891.90	467,903.80	3.56
ERP OPERATING LP	4/15/2023	578,770.40	549,925.55	3.25
ERP OPERATING LP	4/15/2023	1,355,016.00	1,287,484.50	3.25
ENTERGY LOUISIANA LLC	11/17/2023	271,951.04	262,020.32	3.36
ENTERGY LOUISIANA LLC	11/17/2023	633,303.84	609,775.23	3.36
ENTERGY LOUISIANA LLC	10/1/2024	344,482.50	323,979.15	3.80
ENTERGY LOUISIANA LLC	10/1/2024	858,710.00	807,600.20	3.80
EQUITABLE FINANCIAL LIFE GLOBAL FUNDING	8/12/2024	719,935.20	671,918.40	4.13
EQUITABLE FINANCIAL LIFE GLOBAL FUNDING	8/12/2024	1,784,839.35	1,665,797.70	4.13
F&G GLOBAL FUNDING	9/20/2024	2,479,479.20	2,299,679.20	4.37
F&G GLOBAL FUNDING	9/20/2024	324,931.75	301,369.25	4.37
F&G GLOBAL FUNDING	9/20/2024	804,830.95	746,468.45	4.37
F&G GLOBAL FUNDING	9/20/2024	844,900.00	786,196.50	4.37
GA GLOBAL FUNDING TRUST	4/8/2024	2,886,990.00	2,829,870.00	4.26
GA GLOBAL FUNDING TRUST	9/13/2024	444,016.55	407,673.40	4.86
GA GLOBAL FUNDING TRUST	9/13/2024	1,107,546.90	1,016,893.20	4.86
GOLDMAN SACHS GROUP INC	3/3/2024	132,256.80	120,375.60	3.80
GOLDMAN SACHS GROUP INC	3/3/2024	308,599.20	280,876.40	3.80
GOLDMAN SACHS GROUP INC	12/6/2023	265,000.00	255,303.65	3.87
GOLDMAN SACHS GROUP INC	12/6/2023	725,000.00	698,472.25	3.87
GOLDMAN SACHS GROUP INC	1/24/2025	1,000,000.00	961,310.00	3.53
GOLDMAN SACHS GROUP INC	1/24/2025	325,000.00	312,425.75	3.53
GOLDMAN SACHS GROUP INC	1/24/2025	1,250,000.00	1,201,637.50	3.53
HSBC USA INC	5/24/2024	909,963.60	904,649.20	4.07
HSBC USA INC	5/24/2024	2,634,894.60	2,619,506.20	4.07
HOME DEPOT INC	2/15/2024	6,008,140.80	5,918,717.20	3.00
HOME DEPOT INC	4/15/2025	94,833.75	93,210.20	3.41
HOME DEPOT INC	4/15/2025	274,518.75	269,819.00	3.41
HORMEL FOODS CORP	6/3/2024	3,344,397.90	3,191,732.10	3.12
HORMEL FOODS CORP	6/3/2024	304,359.30	300,566.70	3.12
HORMEL FOODS CORP	6/3/2024	869,598.00	858,762.00	3.12
INTERCONTINENTAL EXCHANGE INC	5/23/2025	2,497,250.00	2,489,875.00	3.80
INTERCONTINENTAL EXCHANGE INC	5/23/2025	309,650.00	308,744.50	3.80

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DESCRIPTION	MATURITY DATE	BOOK VALUE	MARKET VALUE	YIELD
INTERCONTINENTAL EXCHANGE INC	5/23/2025	854,059.50	851,537.25	3.80
INTERNATIONAL BUSINESS MACHINES CORP	2/12/2024	307,804.00	280,593.60	3.49
INTERNATIONAL BUSINESS MACHINES CORP	2/12/2024	720,041.50	666,388.60	3.49
INTERNATIONAL BUSINESS MACHINES CORP	5/15/2024	1,930,709.22	1,898,668.86	3.44
INTERNATIONAL BUSINESS MACHINES CORP	5/15/2024	2,017,100.00	1,983,980.00	3.44
JPMORGAN CHASE & CO	7/15/2025	3,225,737.10	2,959,668.90	3.84
JACKSON NATIONAL LIFE GLOBAL FUNDING	1/12/2025	1,659,717.80	1,565,479.60	4.14
JACKSON NATIONAL LIFE GLOBAL FUNDING	1/12/2025	169,971.10	160,320.20	4.14
JACKSON NATIONAL LIFE GLOBAL FUNDING	1/12/2025	499,915.00	471,530.00	4.14
KEYBANK NA	3/7/2023	260,045.00	249,997.50	3.37
KEYBANK NA	3/7/2023	101,937.64	97,999.02	3.37
KEYBANK NA	3/7/2023	311,595.00	299,997.00	3.37
KEYBANK NA	3/7/2023	150,524.50	144,998.55	3.37
KEYBANK NA	3/7/2023	821,620.13	786,992.13	3.37
MASSMUTUAL GLOBAL FUNDING II	6/9/2023	3,521,432.45	3,434,155.00	3.35
MASSMUTUAL GLOBAL FUNDING II	6/9/2023	1,502,565.00	1,465,500.00	3.35
MASSMUTUAL GLOBAL FUNDING II	10/21/2024	695,000.00	677,903.40	2.19
MASSMUTUAL GLOBAL FUNDING II	10/21/2024	1,705,000.00	1,687,336.20	2.19
MET TOWER GLOBAL FUNDING	6/13/2025	524,485.50	520,710.75	4.00
MET TOWER GLOBAL FUNDING	6/13/2025	1,448,579.00	1,438,153.50	4.00
METROPOLITAN LIFE GLOBAL FUNDING I	9/27/2024	439,947.20	410,819.20	3.81
METROPOLITAN LIFE GLOBAL FUNDING I	9/27/2024	1,089,869.20	1,017,711.20	3.81
METROPOLITAN LIFE GLOBAL FUNDING I	9/27/2024	1,629,804.40	1,521,898.40	3.81
METROPOLITAN LIFE GLOBAL FUNDING I	9/27/2024	1,978,300.40	1,887,360.00	3.81
METROPOLITAN LIFE GLOBAL FUNDING I	3/21/2025	579,483.80	564,264.60	3.86
MONONGAHELA POWER CO	4/15/2024	160,784.00	159,892.80	4.14
MONONGAHELA POWER CO	4/15/2024	110,743.60	109,926.30	4.14
MORGAN STANLEY	2/25/2023	324,300.40	305,902.80	3.28
MORGAN STANLEY	2/25/2023	738,979.60	697,057.20	3.28
NATIONAL AUSTRALIA BANK LTD (NEW YORK BRANCH)	6/9/2025	670,000.00	654,043.70	3.82
NATIONAL AUSTRALIA BANK LTD (NEW YORK BRANCH)	6/9/2025	1,610,000.00	1,595,687.10	3.82
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	2/8/2024	244,830.95	233,198.35	3.46
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	2/8/2024	564,610.15	537,783.95	3.46
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	2/7/2025	399,988.00	382,188.00	3.68
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	2/7/2025	1,184,964.45	1,132,231.95	3.68
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	2/7/2025	169,994.90	152,429.90	3.68
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	2/7/2025	499,985.00	477,735.00	3.68
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	6/15/2025	319,913.60	317,939.20	3.68
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	6/15/2025	889,759.70	884,268.40	3.68
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	6/15/2025	1,499,595.00	1,490,340.00	3.68
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	6/15/2025	109,970.30	109,291.60	3.68
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	6/15/2025	344,906.85	342,776.20	3.68
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	4/23/2023	3,162,024.90	3,119,170.80	3.01
NESTLE HOLDINGS INC	9/14/2024	910,000.00	858,894.40	3.27
NESTLE HOLDINGS INC	9/14/2024	2,210,000.00	2,085,886.40	3.27
NEW YORK LIFE GLOBAL FUNDING	8/27/2024	624,131.25	588,631.25	3.42
NEW YORK LIFE GLOBAL FUNDING	8/27/2024	1,547,845.50	1,459,805.50	3.42
NEW YORK LIFE GLOBAL FUNDING	10/29/2024	619,194.00	579,979.00	3.62
NEW YORK LIFE GLOBAL FUNDING	10/29/2024	1,542,991.50	1,445,270.25	3.62
NEW YORK LIFE GLOBAL FUNDING	1/14/2025	5,948,568.60	5,622,234.60	3.78
NEW YORK LIFE GLOBAL FUNDING	6/6/2024	5,135,836.60	5,088,600.00	3.69
NEXTERA ENERGY CAPITAL HOLDINGS INC	6/20/2024	1,684,966.30	1,692,936.35	3.95
NIKE INC	3/27/2025	44,938.80	43,822.35	3.41
OKLAHOMA GAS AND ELECTRIC CO	5/26/2023	190,000.00	184,619.20	3.76
OKLAHOMA GAS AND ELECTRIC CO	5/26/2023	430,000.00	417,822.40	3.76
PACCAR FINANCIAL CORP	9/28/2022	1,498,170.00	1,497,480.00	2.69
PACCAR FINANCIAL CORP	2/7/2023	2,274,886.25	2,256,117.50	3.30
PACCAR FINANCIAL CORP	8/11/2023	134,823.15	130,648.95	3.32
PACCAR FINANCIAL CORP	8/11/2023	314,587.35	304,847.55	3.32
PACCAR FINANCIAL CORP	2/2/2024	1,618,120.80	1,545,496.20	3.35
PACCAR FINANCIAL CORP	8/9/2024	274,851.50	258,703.50	3.44
PACCAR FINANCIAL CORP	8/9/2024	684,630.10	644,406.90	3.44
PACCAR FINANCIAL CORP	8/9/2024	344,813.70	324,555.30	3.44
PACCAR FINANCIAL CORP	8/9/2024	764,586.90	719,666.10	3.44
PACCAR FINANCIAL CORP	11/8/2024	1,544,907.30	1,458,572.70	3.39
PACCAR FINANCIAL CORP	4/7/2025	4,823,745.50	4,729,030.75	3.61
PACCAR FINANCIAL CORP	4/7/2025	619,838.90	607,668.20	3.61
PACCAR FINANCIAL CORP	4/7/2025	854,771.70	837,994.05	3.61
PACCAR FINANCIAL CORP	4/7/2025	1,889,508.60	1,852,407.90	3.61
PACCAR FINANCIAL CORP	4/7/2025	474,876.50	465,552.25	3.61
PACCAR FINANCIAL CORP	4/7/2025	1,499,610.00	1,470,165.00	3.61
PACIFIC LIFE GLOBAL FUNDING II	9/23/2023	2,022,468.75	1,955,765.25	3.36
PAYPAL HOLDINGS INC	10/1/2024	1,759,687.00	1,657,330.00	3.57
PEPSICO INC	5/12/2023	279,445.60	275,290.40	2.80
PEPSICO INC	5/1/2023	643,722.90	634,151.10	2.80
PRECISION CASTPARTS CORP	1/15/2023	292,233.00	289,962.30	2.52
PRECISION CASTPARTS CORP	1/15/2023	1,370,472.00	1,359,823.20	2.52
PRICOA GLOBAL FUNDING I	12/6/2024	449,536.50	422,626.50	3.79
PRICOA GLOBAL FUNDING I	12/6/2024	1,218,743.40	1,145,787.40	3.79
PRICOA GLOBAL FUNDING I	12/6/2024	2,897,013.00	2,723,593.00	3.79
PRINCIPAL LIFE GLOBAL FUNDING II	8/23/2024	324,798.50	303,585.75	3.98
PRINCIPAL LIFE GLOBAL FUNDING II	8/23/2024	799,504.00	747,288.00	3.98
PRINCIPAL LIFE GLOBAL FUNDING II	1/10/2025	922,003.00	862,969.50	4.20
PROTECTIVE LIFE GLOBAL FUNDING	6/9/2023	3,500,000.00	3,417,540.00	3.65
ROCHE HOLDINGS INC	3/10/2025	1,580,000.00	1,524,368.20	3.51
ROCHE HOLDINGS INC	3/10/2025	4,640,000.00	4,476,625.60	3.51
ROCKWELL AUTOMATION INC	8/15/2023	314,848.80	304,879.05	3.28
ROYAL BANK OF CANADA	11/1/2024	4,205,160.00	3,860,800.00	3.82
ROYAL BANK OF CANADA	4/14/2025	2,524,065.75	2,491,543.75	3.88
SALESFORCE INC	7/15/2024	149,923.50	141,942.00	3.37
SALESFORCE INC	7/15/2024	349,821.50	331,198.00	3.37
SALESFORCE INC	7/15/2024	564,711.85	534,648.20	3.37
CHARLES SCHWAB CORP	3/18/2024	534,737.50	503,527.50	3.22
CHARLES SCHWAB CORP	3/18/2024	1,229,385.00	1,179,693.00	3.22
CHARLES SCHWAB CORP	3/18/2024	2,333,832.50	2,239,498.50	3.22
CHARLES SCHWAB CORP	3/18/2024	2,006,720.00	1,918,200.00	3.22
CHARLES SCHWAB CORP	3/18/2024	389,805.00	374,049.00	3.22
CHARLES SCHWAB CORP	3/18/2024	899,555.00	853,599.00	3.22
SECURITY BENEFIT GLOBAL FUNDING	5/1/2024	3,128,810.60	2,998,585.90	4.13
SIMON PROPERTY GROUP LP	2/1/2024	4,657,578.75	4,569,876.00	3.82
SOUTHERN CALIFORNIA EDISON CO	4/1/2024	4,014,000.00	3,805,200.00	4.00
SOUTHERN CALIFORNIA GAS CO	9/15/2024	919,545.78	920,786.62	3.42
SOUTHERN CALIFORNIA GAS CO	9/15/2024	2,785,336.95	2,789,207.85	3.42
STATE STREET CORP	3/30/2026	128,811.25	120,981.25	4.14
STATE STREET CORP	3/30/2026	510,065.00	483,925.00	4.14
STATE STREET CORP	3/30/2026	386,433.75	362,943.75	4.14
STATE STREET CORP	3/30/2026	1,020,130.00	967,850.00	4.14
STATE STREET CORP	2/6/2026	285,000.00	269,028.60	3.46
STATE STREET CORP	2/6/2026	855,000.00	807,085.80	3.46
STATE STREET CORP	2/6/2026	1,625,000.00	1,533,935.00	3.46
STATE STREET CORP	2/6/2026	255,000.00	240,709.80	3.46
STATE STREET CORP	2/6/2026	745,000.00	703,250.20	3.46
TARGET CORP	7/1/2024	425,056.00	401,164.00	3.35
TARGET CORP	7/1/2024	1,962,640.00	1,892,910.00	3.35
TORONTO-DOMINION BANK	6/12/2024	3,171,900.00	2,943,930.00	3.65
TOYOTA MOTOR CREDIT CORP	1/1/2024	2,544,847.30	2,436,481.20	3.33
TOYOTA MOTOR CREDIT CORP	1/11/2024	649,961.00	622,284.00	3.33
TOYOTA MOTOR CREDIT CORP	1/11/2024	249,985.00	239,340.00	3.33
TOYOTA MOTOR CREDIT CORP	1/11/2024	1,249,925.00	1,196,700.00	3.33
TOYOTA MOTOR CREDIT CORP	4/6/2023	1,798,542.00	1,765,602.00	2.94
TOYOTA MOTOR CREDIT CORP	4/6/2023	174,858.25	171,655.75	2.94
TOYOTA MOTOR CREDIT CORP	4/6/2023	409,667.90	402,164.90	2.94
TOYOTA MOTOR CREDIT CORP	6/18/2024	3,086,322.90	2,916,403.80	3.48
TOYOTA MOTOR CREDIT CORP	1/13/2025	973,693.50	923,978.25	3.63
TOYOTA MOTOR CREDIT CORP	3/22/2024	1,663,967.70	1,639,392.30	3.42
USAA CAPITAL CORP	5/1/2025	488,397.70	485,761.50	3.70
USAA CAPITAL CORP	5/1/2025	1,415,356.60	1,407,717.00	3.70
UNILEVER CAPITAL CORP	8/12/2024	220,000.00	207,515.00	3.43
UNILEVER CAPITAL CORP	8/12/2024	485,000.00	457,476.25	3.43
US BANCORP	2/5/2024	2,107,940.00	1,995,440.00	3.52
US BANCORP	7/30/2024	2,662,075.00	2,438,525.00	3.64
UNITEDHEALTH GROUP INC	5/15/2024	514,464.40	490,192.45	3.22
UNITEDHEALTH GROUP INC	5/15/2024	1,188,762.40	1,132,677.70	3.22
UNITEDHEALTH GROUP INC	5/15/2024	1,988,520.00	1,903,660.00	3.22
UNITEDHEALTH GROUP INC	5/15/2024	419,563.20	399,768.60	3.22
UNITEDHEALTH GROUP INC	5/15/2024	963,996.40	918,515.95	3.22
VISA INC	12/14/2022	1,962,480.00	2,001,720.00	2.80
WALMART INC	6/26/2023	3,083,010.00	3,008,760.00	3.07
WALMART INC	6/26/2023	2,956,460.00	2,905,840.00	3.07

SUB-TOTAL

337,914,477.70

325,379,589.43

**Orange County Transportation Authority  
Portfolio Listing  
As of June 30, 2022**

<u>DESCRIPTION</u>	<u>MATURITY DATE</u>	<u>BOOK VALUE</u>	<u>MARKET VALUE</u>	<u>YIELD</u>
<u>MORTGAGE AND ASSET-BACK SECURITIES</u>				
ALLYA 2019-1 A3	9/15/2023	4,976.34	4,982.02	0.46
ALLYA 2019-1 A3	9/15/2023	9,690.76	9,701.82	0.46
ALLYA 2022-1 A3	11/16/2026	714,861.58	709,322.90	3.69
ALLYA 2022-1 A3	11/16/2026	1,944,623.45	1,929,556.70	3.69
ACAR 221 B	9/14/2026	499,988.80	479,260.00	3.80
ACAR 221 B	9/14/2026	1,549,965.28	1,485,706.00	3.80
AMXCA 2022-2 A	5/17/2027	4,409,024.51	4,400,827.20	3.49
AMXCA 2022-2 A	5/17/2027	949,789.86	948,024.00	3.49
AMXCA 2022-2 A	5/17/2027	2,749,391.70	2,744,280.00	3.49
AMCAR 2021-3 A3	8/18/2026	949,883.82	911,534.50	3.47
BMWLT 2021-1 A3	1/25/2024	234,717.80	232,162.04	3.34
BMWLT 2021-1 A3	1/25/2024	534,357.54	528,539.11	3.34
BMWLT 2022-1 A3	1/25/2023	1,589,762.30	1,534,795.20	4.14
BMWOT 2022-A A3	8/25/2026	1,699,911.80	1,680,909.00	3.73
BMWOT 2022-A A3	8/25/2026	344,982.06	341,125.65	3.73
BMWOT 2022-A A3	8/25/2026	1,004,947.74	993,713.85	3.73
BMWLT 2021-2 A3	12/26/2024	1,299,865.84	1,262,612.00	3.83
CAPITAL ONE MULTI TR A B S SER 2021 3 CL A 11/16/2	11/16/2026	624,913.88	590,225.00	3.51
CAPITAL ONE MULTI TR A B S SER 2021 3 CL A 11/16/2	11/16/2026	2,149,703.73	2,030,374.00	3.51
COMET 2022-1 A	3/17/2025	949,928.37	933,356.00	3.50
COMET 2022-1 A	3/17/2025	2,999,773.80	2,947,440.00	3.50
COMET 2022-2 A	5/15/2025	3,799,352.76	3,802,394.00	3.49
COMET 2022-2 A	5/15/2025	404,935.28	405,255.15	3.49
COMET 2022-2 A	5/15/2025	1,049,832.21	1,050,661.50	3.49
COPAR 2019-1 A3	11/15/2023	24,074.22	24,088.25	2.20
COPAR 2019-1 A3	11/15/2023	48,148.45	48,176.50	2.20
COPAR 2022-1 A3	4/15/2027	379,916.97	372,814.20	3.95
COPAR 2022-1 A3	4/15/2027	1,089,761.84	1,069,388.10	3.95
COPAR 2021-1 A3	9/15/2026	1,249,976.38	1,181,025.00	3.64
COPAR 2021-1 A3	9/15/2026	1,999,962.20	1,889,640.00	3.64
COPAR 2021-1 A3	9/15/2026	359,993.20	340,135.20	3.64
COPAR 2021-1 A3	9/15/2026	879,983.37	831,441.60	3.64
CARMX 2021-2 A3	2/17/2026	1,609,782.35	979,437.40	2.80
CARMX 2021-2 A3	2/17/2026	2,339,495.73	2,269,191.60	2.80
CARMX 2021-2 A3	2/17/2026	399,913.80	387,896.00	2.80
CARMX 2021-2 A3	2/17/2026	914,802.82	887,312.10	2.80
CARMX 2020-3 B	3/16/2026	737,328.52	694,828.60	3.20
CARMX 2020-3 B	3/16/2026	121,012.50	114,218.40	3.20
CARMX 2020-2 A4	5/15/2025	1,492,593.75	1,420,144.50	3.57
CARMX 2019-4 B	7/15/2024	1,758,871.25	1,658,230.08	3.46
CARMX 2020-1 A3	12/16/2024	601,177.86	596,623.76	3.14
CARMX 2020-1 A3	12/16/2024	142,859.09	139,697.27	3.14
CARMX 2020-1 A4	6/16/2025	4,262,480.39	4,003,506.46	3.42
CARMX 2020-4 A3	8/15/2025	144,968.08	141,898.45	2.92
CARMX 2020-4 A3	8/15/2025	329,927.37	322,941.30	2.92
CARMX 2021-1 A3	12/15/2024	194,961.41	190,074.30	2.77
CARMX 2021-1 A3	12/15/2025	454,910.09	443,506.70	2.77
CARMX 2021-3 A3	6/15/2026	1,249,794.38	1,200,600.00	2.99
CARMX 2021-3 A3	6/15/2026	2,899,522.95	2,785,392.00	2.99
CARMX 2021-3 A3	6/15/2026	764,874.16	734,767.20	2.99
CARMX 2021-3 A3	6/15/2026	1,759,710.48	1,690,444.80	2.99
CARMX 2022-2 A3	5/15/2025	494,924.71	492,257.70	3.76
CARMX 2022-2 A3	5/15/2025	1,426,988.36	1,427,050.10	3.76
CARMX 2022-2 A3	5/15/2025	1,426,988.36	1,427,050.10	3.76
CARMX 2022-2 A3	5/15/2025	1,426,988.36	1,427,050.10	3.76
DCENT 2019-3 A	10/15/2024	304,934.49	304,606.55	2.34
DCENT 2019-3 A	10/15/2024	694,850.71	694,103.45	2.34
DCENT 2021-1 A	9/16/2024	389,916.50	363,265.50	3.85
DCENT 2021-1 A	9/16/2024	944,797.68	890,220.25	3.85
DCENT 2022-2 A	5/17/2027	714,941.87	712,147.15	3.49
DCENT 2022-2 A	5/17/2027	1,959,840.65	1,952,179.60	3.49
DRIVE 2021-3 A3	10/15/2025	1,399,791.68	1,369,326.00	3.15
DRIVE 2021-3 B	5/15/2026	1,249,989.13	1,199,062.50	3.75
DRIVE 2021-2 A3	3/17/2025	1,649,879.88	1,641,469.50	1.87
DRIVE 2021-1 A3	11/15/2024	12,003.14	11,998.09	1.60
DRIVE 2021-1 A3	11/15/2024	28,007.33	27,995.53	1.60
EART 2021-2 A3	10/15/2024	175,179.01	174,948.86	1.84
EART 2021-2 A3	10/15/2024	408,751.02	408,214.00	1.84
EART 2021-3 A3	2/18/2025	1,280,763.06	1,272,348.57	2.73
FH G12952	12/1/2022	5,361.52	5,192.27	2.57
FNR 2011-74 UY	3/25/2026	624,172.71	620,613.48	3.24
FNA 2012-M17 A2	11/25/2022	176,172.51	182,523.41	2.62
FNA 2013-M7 A2	12/25/2022	93,066.49	91,481.76	3.05
FNA 2013-M7 A2	12/25/2022	226,849.57	222,986.79	3.05
FHR 3778 L	12/15/2025	349,580.07	348,370.12	3.83
FHR 3806 L	2/15/2026	204,648.52	194,283.06	3.09
FHR 3806 L	2/15/2026	27,245.61	26,429.64	3.09
FHR 3806 L	2/15/2026	1,424,752.71	1,416,388.29	3.09
FHMS K-022 A2	7/25/2022	60,542.75	60,254.90	1.68
FHMS K-022 A2	7/25/2022	137,976.43	137,320.43	1.68
FHMS K-023 A2	8/25/2022	412,668.31	406,313.94	1.51
FHMS K-023 A2	8/25/2022	949,915.73	935,288.69	1.51
FHMS K-SMC A2	1/25/2023	1,175,160.15	1,176,719.60	2.82
FHMS K-SMC A2	1/25/2023	308,728.52	309,138.20	2.82
FHMS K-SMC A2	1/25/2023	2,030,198.44	2,034,328.80	2.82
FHMS K-SMC A2	1/25/2023	410,500.00	398,888.00	2.82
FHMS K-026 A2	11/25/2022	1,110,409.17	1,089,216.34	2.31
FHMS K-026 A2	11/25/2022	2,089,074.88	2,049,203.61	2.31
FHMS K-026 A2	11/25/2022	471,974.14	461,532.35	2.31
FHMS K-S01 A2	1/25/2023	85,381.13	87,308.51	2.92
FHMS K-034 A1	2/25/2023	40,704.19	40,906.19	1.82
FHMS K-034 A1	2/25/2023	88,985.51	89,427.11	1.82
FHMS K-035 A1	3/25/2023	25,625.89	25,926.68	2.62
FHR 4285 BA	12/15/2023	240,167.47	233,127.66	3.18
FHMS K-040 A2	9/25/2024	1,446,975.00	1,432,080.00	3.43
FHMS K-041 A1	8/25/2024	678,172.11	647,330.35	2.95
FHMS K-046 A1	1/25/2025	307,214.71	293,050.03	3.11
FHMS K-PLB A	5/25/2025	2,156,328.13	1,967,560.00	3.31
FHMS K-PLB A	5/25/2025	2,640,039.06	2,459,450.00	3.31
FHMS K-047 A1	12/25/2024	0.01	0.01	0.33
FHMS K-050 A1	1/25/2025	2,000,779.03	1,887,103.62	3.31
FHMS K-051 A2	9/25/2025	4,348,857.42	3,940,520.00	3.34
FHMS K-051 A2	9/25/2025	330,046.88	299,280.00	3.34
FHMS K-051 A2	9/25/2025	1,337,686.53	1,212,084.00	3.34
FHMS K-051 A2	9/25/2025	4,031,093.75	3,990,400.00	3.34
FHMS K-052 A2	11/25/2025	985,992.19	893,565.00	3.34
FHMS K-052 A2	11/25/2025	233,962.70	233,319.75	3.34
FHMS K-724 A1	3/25/2023	171,871.78	172,815.17	2.37
FHMS K-724 A1	3/25/2023	133,947.33	134,682.13	2.37
FHMS K-726 A2	4/25/2024	2,958,813.98	2,939,652.84	3.32
FHMS K-726 A2	4/25/2024	1,080,081.20	1,073,086.64	3.32
FHMS K-BX1 A1	9/25/2024	606,665.52	603,487.15	3.25
FHMS K-BX1 A2	1/25/2026	744,257.81	741,202.50	3.31
FHMS K-J33 A1	12/25/2025	34,058.06	33,080.97	2.98
FHMS K-J33 A1	12/25/2025	77,931.66	75,695.89	2.98
FHMS K-727 A2	7/25/2024	1,344,598.68	1,237,747.13	3.30
FHMS K-727 A2	7/25/2024	3,105,382.67	2,858,606.46	3.30
FHMS K-728 A2	8/25/2024	1,205,186.20	1,196,089.33	3.31
FHMS K-728 A2	8/25/2024	3,443,389.14	3,417,398.10	3.31
FHMS K-P05 A	7/25/2023	47,161.41	46,212.66	5.01

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<u>DESCRIPTION</u>	<u>MATURITY DATE</u>	<u>BOOK VALUE</u>	<u>MARKET VALUE</u>	<u>YIELD</u>
FHMS K-J23 A2	12/25/2022	184,071.34	179,366.88	2.67
FHMS K-J23 A2	12/25/2022	392,054.94	382,098.79	2.67
FHMS K-J27 A1	7/25/2024	81,835.63	81,411.22	4.15
FHMS K-J30 A1	1/25/2025	268,622.50	259,287.41	2.90
FHMS K-J30 A1	1/25/2025	615,338.21	593,954.19	2.90
FN AM8730	7/1/2025	1,743,163.59	1,599,486.13	3.55
FN AN0429	1/1/2025	964,427.28	882,046.24	3.47
FNR 0338C MP	5/25/2023	46,235.67	44,724.92	2.97
FNR 0338C MP	5/25/2023	50,892.76	49,111.66	2.97
FNR 0333J LB	5/25/2023	26,981.56	26,139.35	3.35
FNR 0364L HQ	7/25/2023	36,263.71	35,255.98	3.19
FHR 2666 OD	8/15/2023	34,611.18	33,527.40	3.82
FHR 2666 OD	8/15/2023	36,010.55	34,825.24	3.82
FHR 2756 KA	2/15/2024	140,889.69	135,344.46	3.69
FN BR6007	5/1/2023	246,650.38	237,218.50	1.96
FITAT 2019-1 A3	12/15/2023	25,691.74	25,714.61	1.67
FORDO 2022-A A3	6/15/2026	769,908.52	738,984.40	3.47
FORDF 2017-3 A	9/15/2022	776,132.81	749,985.00	2.50
FORDF 2019-2 B	4/15/2024	1,831,369.92	1,678,176.90	4.37
FORDF 2019-4 A	9/15/2024	4,357,395.70	4,115,070.90	3.75
FORDF 2020-1 A1	9/15/2025	1,007,617.19	964,640.00	3.73
FORDF 2020-1 A1	9/15/2025	180,935.16	173,635.20	3.73
FORDF 2020-1 A1	9/15/2025	1,005,625.00	964,640.00	3.73
FORDO 2021-A A3	8/15/2025	1,139,287.50	1,109,664.60	3.05
FORDO 2021-A A3	8/15/2025	259,978.08	253,081.40	3.05
FORDO 2021-A A3	8/15/2025	599,949.42	584,034.00	3.05
FORDO 2022-B	9/15/2026	189,989.72	190,000.00	3.77
FORDO 2022-B	9/15/2026	654,964.56	655,000.00	3.77
GMCAR 2021-4 A3	9/16/2026	1,074,972.59	1,024,862.00	3.21
GMCAR 2021-4 A3	9/16/2026	299,992.35	286,008.00	3.21
GMCAR 2021-4 A3	9/16/2026	719,981.64	686,419.20	3.21
GMALT 2020-3	10/21/2024	349,369.92	348,262.10	4.06
GMCAR 2022-2 A3	2/16/2027	309,935.21	306,934.10	3.55
GMCAR 2022-2 A3	2/16/2027	899,811.90	891,099.00	3.55
GMCAR 2020-3 A3	4/16/2025	199,544.06	196,194.71	2.67
GMCAR 2020-3 A3	4/16/2025	465,602.81	457,787.65	2.67
GMCAR 2020-4 A3	8/18/2025	118,672.99	116,307.77	2.76
GMCAR 2020-4 A3	8/18/2025	269,296.40	263,929.17	2.76
GMALT 2021-1 A3	2/20/2024	216,948.43	215,104.81	3.06
GMALT 2021-1 A3	2/20/2024	318,184.78	315,487.06	3.06
GMALT 2021-1 A3	2/20/2024	727,968.21	721,796.15	3.06
GMALT 2022-1 A3	3/20/2025	3,329,971.36	3,240,289.80	3.82
GMCAR 2022-1 A3	11/16/2026	1,049,908.75	1,003,957.50	3.48
GMCAR 2022-1 A3	11/16/2026	274,976.10	262,941.25	3.48
GMCAR 2022-1 A3	11/16/2026	804,930.05	769,700.75	3.48
GALC 212 A3	7/15/2025	899,884.71	856,161.00	3.87
GALC 212 A3	7/15/2025	2,259,705.37	2,187,967.00	3.87
HDMOT 2020-A A3	10/15/2024	81,617.81	81,431.52	2.53
HDMOT 2020-A A3	10/15/2024	187,874.96	187,446.15	2.53
HDMOT 2019-A A3	2/15/2024	15,775.57	15,775.85	2.50
HDMOT 2019-A A3	2/15/2024	36,809.67	36,810.31	2.50
HDMOT 2022-A A3	4/17/2023	639,893.44	631,270.40	3.67
HDMOT 2022-A A3	4/17/2023	1,894,684.48	1,869,152.20	3.67
HAROT 2020-1 A3	4/22/2024	1,505,111.48	1,495,967.64	2.86
HAROT 2022-1 A3	5/15/2026	1,084,836.82	1,049,553.05	3.47
HAROT 2021-3 A3	11/18/2025	5,399,921.16	5,157,216.00	3.46
HAROT 2021-4 A3	1/21/2026	1,509,681.69	1,439,483.00	3.57
HAROT 2021-4 A3	1/21/2026	354,925.17	338,421.50	3.57
HAROT 2021-4 A3	1/21/2026	859,797.63	915,168.00	3.57
HAROT 2019-3 A3	8/15/2023	556,726.97	556,197.13	2.26
HART 2019-B C	6/15/2026	1,557,011.72	1,466,625.00	3.81
HALST 2021-A A3	1/16/2024	149,981.28	148,659.00	3.12
HALST 2021-A A3	1/16/2024	344,956.94	341,915.70	3.12
HALST 2022-A A3	1/15/2025	2,099,953.59	2,028,264.00	3.82
HALST 2022-A A3	1/15/2025	1,919,957.57	1,854,412.30	3.82
HALST 2022-A A4	12/15/2025	1,999,625.40	1,903,640.00	4.17
HART 2022-A A3	10/15/2026	684,973.63	663,354.00	3.73
HART 2022-A A3	10/15/2026	2,014,922.42	1,951,326.00	3.73
HART 2021-A A3	9/15/2025	1,759,814.85	1,699,878.40	3.35
HART 2021-A A3	9/15/2025	264,972.12	255,947.60	3.35
HART 2021-A A3	9/15/2025	604,936.36	594,333.20	3.35
HALST 21C A3	8/15/2024	469,954.75	482,420.00	3.85
HALST 21C A3	8/15/2024	1,209,890.49	1,167,456.40	3.85
HART 2021-B A3	1/15/2026	3,614,202.17	3,469,677.00	3.42
HART 2021-C A3	5/15/2026	274,938.62	262,652.50	3.32
HART 2021-C A3	5/15/2026	679,848.22	649,468.00	3.32
JDOT 2019-B A3	12/15/2023	163,526.33	163,484.53	2.40
JDOT 2022 A3	9/15/2026	1,994,558.71	1,942,571.40	3.62
JDOT 2020 A3	8/15/2024	1,071,568.26	1,060,788.80	3.25
KCOT 221 A2	4/15/2025	229,992.07	225,731.20	4.81
KCOT 221 A2	4/15/2025	659,977.23	647,750.40	4.81
KCOT 221 A3	10/15/2026	649,907.05	625,280.50	4.43
KCOT 221 A3	10/15/2026	1,849,735.45	1,779,644.50	4.43
KCOT 2021-1 A3	8/15/2025	274,943.73	262,121.75	3.92
KCOT 2021-1 A3	8/15/2025	639,868.06	610,028.80	3.92
MCCT 211 A	11/21/2025	4,741,015.63	4,734,150.00	3.46
MBALT 2020-B A3	11/15/2023	2,505,732.18	2,483,536.10	2.69
MBALT 2020-B A3	11/15/2023	63,194.59	62,775.00	2.69
MBALT 2020-B A3	11/15/2023	142,187.84	141,243.76	2.69
MBALT 2021-B A3	11/15/2024	1,999,849.76	1,926,459.30	4.50
MBART 2020-1 A3	2/18/2025	117,455.55	115,846.06	2.68
MBART 2020-1 A3	2/18/2025	268,911.40	265,226.51	2.68
MMAF 20B A3	8/14/2025	3,469,950.38	3,322,872.00	3.72
MMAF 20B A3	8/14/2025	1,229,246.88	1,187,424.00	3.72
MMAF 20A A2	4/9/2024	775,296.70	765,560.40	3.29
NAROT 2020-B A3	7/15/2024	174,944.77	173,175.07	2.64
NAROT 2020-B A3	7/15/2024	399,873.75	395,837.88	2.64
NAROT 2019-C A3	7/15/2024	1,014,423.02	1,011,453.44	2.64
NAROT 2019-C A3	7/15/2024	92,688.40	92,417.07	2.64
NAROT 2019-C A3	7/15/2024	216,272.93	215,639.82	2.64
PFSC 20E A	10/15/2025	302,156.25	288,534.00	4.08
PFSC 20E A	10/15/2025	1,007,421.67	961,780.00	4.08
PACIFICORP	4/1/2024	2,196,837.00	2,178,153.75	3.50
PACIFICORP	4/1/2024	1,147,911.60	1,141,653.00	3.50
SCART 20A A	10/15/2024	234,159.54	233,712.82	2.40
SDART 2021-4 A3	8/15/2025	749,931.07	737,512.50	3.18
SDART 2021-4 B	6/15/2026	249,972.17	242,515.00	3.17
SRT 22A A3	1/15/2025	2,199,830.38	2,090,242.00	4.52
SDART 2021-3 A3	3/17/2025	968,730.13	965,743.61	1.52
SDART 2021-3 B	12/15/2025	1,449,739.00	1,425,886.50	2.48
TAOT 2020-D A3	1/15/2025	360,900.48	355,216.68	2.82
TAOT 2020-D A3	1/15/2025	1,378,579.51	1,358,181.42	2.82
TAOT 2022-B A3	9/15/2026	359,991.58	355,334.40	3.55
TAOT 2022-B A3	9/15/2026	1,039,975.66	1,026,521.60	3.55
TAOT 2021-D A3	4/15/2026	364,992.23	347,640.60	3.45
TAOT 2021-D A3	4/15/2026	899,980.83	857,196.00	3.45
TAOT 2019-C A3	9/15/2023	92,826.67	92,793.09	2.13
TAOT 2019-C A3	9/15/2023	216,032.99	215,954.83	2.13
TAOT 2019-C A3	9/15/2023	0.00	0.00	0.59
TAOT 2019-C A3	9/15/2023	0.00	0.00	0.59
TLOT 21B A3	10/21/2024	239,996.70	231,225.60	4.09
TLOT 21B A3	10/21/2024	559,992.44	539,526.40	4.09
TAOT 2021-A A3	5/15/2025	3,699,313.28	3,612,939.00	3.09
UART 211 A3	6/16/2025	316,408.81	311,573.46	3.62
VZOT 2020-B A	2/20/2025	239,949.60	236,222.40	3.13

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DESCRIPTION	MATURITY DATE	BOOK VALUE	MARKET VALUE	YIELD
VZOT 2020-B A	2/20/2025	559,882.40	551,185.60	3.13
VZOT 2019-A B	9/20/2023	3,981,174.22	3,911,173.00	2.81
VZOT 2019-C A1A	4/22/2024	145,073.84	144,913.83	2.36
VZOT 2019-C A1A	4/22/2024	335,694.12	335,323.86	2.36
VZOT 2020-A A1A	7/22/2024	163,463.00	162,976.98	2.74
VZOT 2020-A A1A	7/22/2024	381,413.66	380,279.62	2.74
VWALT 2022-A A3	7/21/2025	189,984.88	189,525.00	3.61
VWALT 2022-A A3	7/21/2025	549,956.22	548,625.00	3.61
VALET 2021-1 A3	6/22/2026	239,990.59	229,982.40	3.47
VALET 2021-1 A3	6/22/2026	1,139,955.31	1,092,416.40	3.47
WLAKE 2021-3 A3	6/16/2025	999,982.60	999,320.00	3.51
WLAKE 2021-3 A3	6/16/2025	2,849,950.41	2,762,562.00	3.51
WOLS 2021-A A3	8/15/2024	899,893.26	868,257.00	3.90
WOLS 2021-A A3	8/15/2024	2,099,750.94	2,025,933.00	3.90
WOART 2021-D A3	10/15/2026	434,940.75	413,915.55	3.46
WOART 2021-D A3	10/15/2026	1,069,854.27	1,018,137.10	3.46
WOART 2020-B A3	5/15/2025	212,775.23	209,451.91	2.85
WOART 2020-B A3	5/15/2025	496,482.55	488,721.12	2.85
<b>SUB-TOTAL</b>		<b>252,272,310.74</b>	<b>244,491,887.08</b>	
<b>Municipal Debt</b>				
ANAHEIM CALIF HSG & PUB IMPT AUTH REV	10/1/2023	2,215,000.00	2,198,919.10	3.23
BAY AREA TOLL AUTH CALIF TOLL BRDG REV	4/1/2023	1,110,000.00	1,101,297.60	3.24
BAY AREA TOLL AUTH CALIF TOLL BRDG REV	4/1/2023	2,590,000.00	2,589,694.40	3.24
BAY AREA TOLL AUTH CALIF TOLL BRDG REV	4/1/2023	240,000.00	238,015.20	3.35
BAY AREA TOLL AUTH CALIF TOLL BRDG REV	4/1/2023	550,000.00	545,451.50	3.35
CALIFORNIA EARTHQUAKE AUTH REV	7/1/2022	250,000.00	250,000.00	1.32
CALIFORNIA EARTHQUAKE AUTH REV	7/1/2022	565,000.00	565,000.00	1.32
CALIFORNIA EARTHQUAKE AUTH REV	7/1/2023	105,000.00	103,030.20	3.40
CALIFORNIA EARTHQUAKE AUTH REV	7/1/2023	260,000.00	255,122.40	3.40
CALIFORNIA ST	4/1/2024	3,239,373.40	3,072,783.40	3.23
CALIFORNIA ST DEPT WTR RES CENT VY PROJ REV	12/1/2022	150,000.00	186,309.00	2.49
CALIFORNIA ST DEPT WTR RES CENT VY PROJ REV	12/1/2022	435,000.00	431,128.50	2.49
CALIFORNIA ST DEPT WTR RES CENT VY PROJ REV	12/1/2023	70,000.00	67,358.20	3.15
CALIFORNIA ST DEPT WTR RES CENT VY PROJ REV	12/1/2023	160,000.00	153,961.60	3.15
CALIFORNIA ST UNIV REV	11/1/2023	330,000.00	318,205.80	3.23
CALIFORNIA ST UNIV REV	11/1/2023	760,000.00	732,837.60	3.23
CALIFORNIA ST UNIV REV	11/1/2023	300,000.00	289,278.00	3.23
CALIFORNIA ST UNIV REV	11/1/2023	700,000.00	674,982.00	3.23
CALIFORNIA STATEWIDE CMNTYS DEV AUTH REV	2/1/2023	265,000.00	260,489.70	3.30
CALIFORNIA STATEWIDE CMNTYS DEV AUTH REV	2/1/2023	610,000.00	599,617.80	3.30
CONNECTICUT ST	7/1/2023	70,417.90	69,374.90	2.91
CONNECTICUT ST	7/1/2023	155,925.35	153,615.85	2.91
CONNECTICUT ST	6/15/2024	440,208.20	438,389.30	3.21
CONNECTICUT ST	6/15/2024	1,228,488.00	1,223,412.00	3.21
COOPERATIVE RABOBANK UA (NEW YORK BRANCH)	1/10/2025	523,393.50	493,867.50	3.86
COOPERATIVE RABOBANK UA (NEW YORK BRANCH)	1/10/2025	1,520,333.50	1,434,567.50	3.86
CORONA	5/1/2024	430,000.00	407,996.90	3.82
CORONA	5/1/2024	1,080,000.00	1,024,736.40	3.82
EL CAJON CALIF	4/1/2023	610,000.00	597,226.60	3.49
EL CAJON CALIF	4/1/2024	540,000.00	513,129.60	3.89
EL DORADO CALIF IRR DIST REV	3/1/2023	720,000.00	706,910.40	3.64
EL DORADO CALIF IRR DIST REV	3/1/2024	720,000.00	690,660.00	3.62
EL SEGUNDO CALIF PENSION OBLIG	7/1/2023	415,000.00	401,931.65	3.60
EL SEGUNDO CALIF PENSION OBLIG	7/1/2023	970,000.00	939,454.70	3.60
FLORIDA ST BRD ADMIN FIN CORP REV	7/1/2025	310,000.00	290,039.10	3.54
FLORIDA ST BRD ADMIN FIN CORP REV	7/1/2025	715,000.00	688,961.15	3.54
GOLDEN ST TOB SECURITIZATION CORP CALIF TOB SETTLE	6/1/2025	610,000.00	567,830.70	3.93
GOLDEN ST TOB SECURITIZATION CORP CALIF TOB SETTLE	6/1/2025	1,510,000.00	1,406,613.70	3.93
HAWAII ST ARPTS SYS CUSTOMER FAC CHARGE REV	7/1/2022	715,000.00	715,000.00	1.80
HAWAII ST ARPTS SYS CUSTOMER FAC CHARGE REV	7/1/2024	715,000.00	687,701.30	4.01
LOS ALTOS CALIF SCH DIST	10/1/2024	608,838.00	572,280.00	3.14
LOS ALTOS CALIF SCH DIST	10/1/2024	1,217,676.00	1,144,560.00	3.14
LOS ANGELES CALIF CMNTY COLLEGE DIST	8/1/2023	230,000.00	223,544.50	3.09
LOS ANGELES CALIF CMNTY COLLEGE DIST	8/1/2023	530,000.00	515,133.50	3.09
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2022	1,620,000.00	1,609,615.80	2.24
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2022	1,649,983.50	1,639,423.50	2.24
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2025	480,000.00	442,166.40	3.47
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2025	1,120,000.00	1,031,721.60	3.47
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2022	305,860.00	300,576.00	2.40
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2022	713,692.00	701,344.00	2.40
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2022	900,000.00	894,789.00	2.25
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2023	720,000.00	696,520.80	3.16
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2023	755,102.40	754,564.20	3.16
MARYLAND ST	8/1/2023	545,000.00	530,917.20	2.84
MARYLAND ST	8/1/2023	1,590,000.00	1,539,172.80	2.84
MASSACHUSETTS ST WTR RES AUTH	8/1/2023	2,365,000.00	2,334,444.20	2.99
MISSISSIPPI ST	11/1/2023	280,000.00	270,718.00	2.97
MISSISSIPPI ST	11/1/2023	645,000.00	623,618.25	2.97
NEW JERSEY ST TPK AUTH TPK REV	1/1/2025	255,000.00	238,861.05	3.56
NEW JERSEY ST TPK AUTH TPK REV	1/1/2025	595,000.00	557,342.45	3.56
NEW YORK ST	2/15/2024	3,900,000.00	2,944,980.00	3.18
NEW YORK STATE DORMITORY AUTHORITY	3/15/2025	2,690,000.00	2,500,166.70	3.65
NEW YORK STATE DORMITORY AUTHORITY	3/15/2024	3,570,000.00	3,503,383.80	3.45
NEW YORK ST URBAN DEV CORP REV	3/15/2023	275,000.00	270,083.00	3.05
NEW YORK ST URBAN DEV CORP REV	3/15/2023	640,000.00	628,556.80	3.05
NEW YORK ST URBAN DEV CORP REV	3/15/2024	845,000.00	806,890.50	3.36
NEW YORK ST URBAN DEV CORP REV	3/15/2024	1,945,000.00	1,857,280.50	3.36
OHIO CALIF CMNTY COLLEGE DIST	8/1/2022	600,000.00	799,848.00	1.90
PALM DESERT CALIF REDEV AGY SUCCESSOR AGY TAX ALLO	10/1/2022	930,661.50	925,624.00	1.97
PALM DESERT CALIF REDEV AGY SUCCESSOR AGY TAX ALLO	10/1/2022	783,413.40	771,478.40	1.97
PORT AUTH N Y & N J	7/1/2023	1,064,864.00	1,050,172.90	2.98
PORT AUTH N Y & N J	7/1/2023	2,914,031.50	2,875,707.10	2.98
PORT AUTH N Y & N J	7/1/2023	681,362.45	652,677.55	2.98
RANCHO SANTIAGO CALIF CMNTY COLLEGE DIST	9/1/2023	895,000.00	837,371.90	3.22
REDONDO BEACH CALIF CMNTY FING AUTH LEASE REV	5/1/2026	450,000.00	409,126.50	3.89
REDONDO BEACH CALIF CMNTY FING AUTH LEASE REV	5/1/2026	1,045,000.00	950,082.65	3.89
RHODE IS ST TPK & BRDG AUTH TOLL REV	12/1/2022	400,000.00	399,908.00	2.21
RIVERSIDE CNTY CALIF PENSION OBLIG	2/15/2023	415,000.00	412,447.75	3.36
RIVERSIDE CNTY CALIF PENSION OBLIG	2/15/2023	960,000.00	954,096.00	3.36
RIVERSIDE CNTY CALIF INFRASTRUCTURE FING AUTH LEAS	11/1/2024	520,000.00	487,716.40	3.87
RIVERSIDE CNTY CALIF INFRASTRUCTURE FING AUTH LEAS	11/1/2024	1,290,000.00	1,209,916.80	3.87
SAN BERNARDINO CALIF CMNTY COLLEGE DIST	8/1/2024	270,000.00	256,894.20	3.37
SAN BERNARDINO CALIF CMNTY COLLEGE DIST	8/1/2024	620,000.00	589,905.20	3.37
SAN DIEGO CALIF CMNTY COLLEGE DIST	8/1/2022	1,500,000.00	1,500,075.00	1.86
SAN DIEGO CALIF CMNTY COLLEGE DIST	8/1/2022	1,225,995.75	1,215,060.75	1.86
SAN DIEGO CNTY CALIF REG-ARPT AUTH ARPT REV	7/1/2023	3,560,000.00	3,460,694.80	3.51
SAN DIEGO CNTY CALIF WTR AUTH WTR REV	5/1/2024	1,440,000.00	1,369,468.80	3.37
SAN FRANCISCO CALIF CITY & CNTY PUB UTILS COMMN WT	11/1/2022	190,000.00	189,768.20	2.31
SAN FRANCISCO CALIF CITY & CNTY PUB UTILS COMMN WT	11/1/2022	440,000.00	439,463.20	2.31
SAN FRANCISCO CALIF CITY & CNTY ARPTS COMMN INTL A	5/1/2023	1,635,140.00	1,639,542.30	3.01
SAN JOSE EVERGREEN CALIF CMNTY COLLEGE DIST	9/1/2022	430,000.00	429,187.30	1.81
SAN JOSE EVERGREEN CALIF CMNTY COLLEGE DIST	9/1/2023	430,000.00	417,581.60	3.03
SEMITROPIC IMPT DIST SEMITROPIC WTR STORAGE DIST C	12/1/2022	497,505.60	479,097.60	2.61
SEMITROPIC IMPT DIST SEMITROPIC WTR STORAGE DIST C	12/1/2022	1,140,117.00	1,097,932.00	2.61
SOUTHERN CALIF PUB PWR AUTH PWR PROJ REV	7/1/2023	825,000.00	804,391.50	3.08
SOUTHERN CALIF PUB PWR AUTH PWR PROJ REV	7/1/2023	1,910,000.00	1,862,288.20	3.08
UPPER SANTA CLARA VY JT PWR AUTH CALIF REV	8/1/2022	740,000.00	739,163.80	1.84
UPPER SANTA CLARA VY JT PWR AUTH CALIF REV	8/1/2022	1,720,000.00	1,718,056.40	1.84
UPPER SANTA CLARA VY JT PWR AUTH CALIF REV	8/1/2023	2,590,000.00	2,520,562.10	3.21
UPPER SANTA CLARA VY JT PWR AUTH CALIF REV	8/1/2024	2,625,000.00	2,485,035.00	3.50
UTAH HSG CORP SINGLE FAMILY MTG REV	7/1/2022	290,000.00	290,000.00	2.13
VALLEJO CALIF WTR REV	5/1/2023	250,000.00	246,815.00	3.02
VALLEJO CALIF WTR REV	5/1/2023	590,000.00	582,483.40	3.02
VENTURA CNTY CALIF PUB FING AUTH LEASE REV	11/1/2023	660,000.00	657,351.20	2.26
VENTURA CNTY CALIF PUB FING AUTH LEASE REV	11/1/2023	720,000.00	700,200.00	3.17
VENTURA CNTY CALIF PUB FING AUTH LEASE REV	11/1/2023	722,793.60	700,200.00	3.17
VENTURA CNTY CALIF PUB FING AUTH LEASE REV	11/1/2023	728,517.60	700,200.00	3.17
<b>SUB-TOTAL</b>		<b>99,173,702.15</b>	<b>96,306,063.30</b>	



**Orange County Transportation Authority  
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<u>Variable &amp; Floating Rate</u>	<u>MATURITY DATE</u>	<u>BOOK VALUE</u>	<u>MARKET VALUE</u>	<u>YIELD</u>
ACAR 2021-4 B	2/13/2026	449,930.07	434,434.50	3.35
ACAR 2021-4 B	2/13/2026	1,049,836.83	1,013,680.50	3.35
AMERICAN EXPRESS CO	11/4/2026	950,000.00	916,845.00	3.00
AMERICAN EXPRESS CO	11/4/2026	2,360,000.00	2,277,636.00	3.00
ANALOG DEVICES INC	10/1/2024	125,000.00	121,986.25	2.84
ANALOG DEVICES INC	10/1/2024	310,000.00	302,525.90	2.84
BANK OF AMERICA CORP	3/5/2024	319,278.00	299,037.00	3.45
BANK OF AMERICA CORP	3/5/2024	744,982.00	697,753.00	3.45
BANK OF AMERICA CORP	10/22/2025	658,281.25	595,312.50	4.20
BANK OF AMERICA CORP	10/22/2025	1,527,212.50	1,381,125.00	4.20
BANK OF AMERICA CORP	5/19/2024	430,000.00	420,217.50	3.52
BANK OF AMERICA CORP	5/19/2024	995,000.00	972,363.75	3.52
BANK OF AMERICA CORP	10/24/2024	2,256,637.50	2,144,362.50	3.55
BANK OF AMERICA CORP	10/24/2024	802,424.00	762,440.00	3.55
BANK OF AMERICA CORP	10/24/2024	645,000.00	614,717.25	3.55
BANK OF AMERICA CORP	10/24/2024	1,510,000.00	1,439,105.50	3.55
BANK OF AMERICA CORP	4/22/2025	525,000.00	493,799.25	3.64
BANK OF AMERICA CORP	4/22/2025	1,220,000.00	1,147,495.40	3.64
BANK OF AMERICA CORP	4/22/2025	255,000.00	239,845.35	3.64
BANK OF AMERICA CORP	4/22/2025	595,000.00	559,639.15	3.64
BANK OF AMERICA CORP	4/2/2026	550,000.00	533,115.00	4.14
BANK OF NEW YORK MELLON CORP	6/13/2025	3,410,000.00	3,382,549.50	3.27
CARMX 2020-3 A3	3/17/2025	158,348.73	156,107.93	2.83
CARMX 2020-3 A3	3/17/2025	363,865.17	358,716.10	2.83
CITIGROUP INC	10/30/2024	625,000.00	595,812.50	3.47
CITIGROUP INC	10/30/2024	1,440,000.00	1,372,752.00	3.47
CITIGROUP INC	10/30/2024	760,000.00	724,508.00	3.47
CITIGROUP INC	10/30/2024	1,740,000.00	1,658,742.00	3.47
CITIGROUP INC	5/1/2025	2,515,000.00	2,356,127.45	3.76
CITIGROUP INC	5/1/2025	1,749,352.50	1,639,452.50	3.76
CITIGROUP INC	5/1/2025	185,000.00	173,313.55	3.76
CITIGROUP INC	5/1/2025	430,000.00	402,836.90	3.76
CITIGROUP INC	5/1/2025	85,000.00	79,630.55	3.76
CITIGROUP INC	5/1/2025	205,000.00	192,050.15	3.76
FNA 2014-M8 A2	6/25/2024	450,783.74	413,765.05	4.14
FNA 2014-M8 A2	6/25/2024	1,038,568.61	953,280.59	4.14
FNA 2014-M13 A2	8/25/2024	438,167.73	436,387.80	3.30
FHMS K-029 A2	2/25/2023	1,031,558.34	985,040.54	3.03
FHMS K-029 A2	2/25/2023	520,747.86	497,302.02	3.03
FHMS K-029 A2	2/25/2023	1,121,610.77	1,071,112.04	3.03
FHMS K-029 A2	2/25/2023	785,171.57	755,516.53	3.03
FHMS K-029 A2	2/25/2023	1,719,971.31	1,616,231.57	3.03
FHMS K-031 A2	4/25/2023	1,139,967.97	1,069,839.50	3.05
FHMS K-031 A2	4/25/2023	2,631,514.84	2,469,629.50	3.05
FHMS K-032 A2	5/25/2023	1,149,819.14	1,128,644.00	3.21
FHMS K-032 A2	5/25/2023	2,655,776.95	2,606,868.00	3.21
FHMS K-033 A2	7/25/2023	1,143,989.06	1,088,572.10	3.00
FHMS K-033 A2	7/25/2023	2,665,809.38	2,536,672.60	3.00
FHMS K-035 A2	8/25/2023	517,334.04	499,360.37	3.22
FHMS K-047 A2	5/25/2025	930,925.78	921,605.25	3.41
FHMS K-047 A2	5/25/2025	2,606,976.56	2,640,274.50	3.41
FHMS K-048 A2	6/25/2025	180,817.00	164,148.95	3.42
FHMS K-730 AM	1/25/2025	3,800,660.16	3,457,900.50	3.42
FHMS K-105 A	7/25/2024	45,632.88	45,558.96	2.34
FHMS K-105 A	7/25/2024	106,476.73	106,304.24	2.34
FHMS Q-015 A	8/25/2024	299,611.92	300,067.33	1.13
FHMS Q-015 A	8/25/2024	698,990.40	700,052.87	1.13
FN AL3382	3/1/2023	328,512.58	324,815.70	2.06
FN BM1757	4/1/2023	1,078,965.64	1,078,903.58	2.14
FIRST REPUBLIC BANK	2/12/2024	150,000.00	148,252.50	2.79
FIRST REPUBLIC BANK	2/12/2024	350,000.00	345,922.50	2.79
GMALT 2020-3 A3	8/21/2023	88,208.78	87,946.40	2.39
GMALT 2020-3 A3	8/21/2023	201,951.68	201,350.98	2.39
GMALR 2021-1 A3	10/16/2025	369,941.10	360,872.10	3.02
GMALT 2021-2 A3	5/20/2024	479,924.64	470,798.40	3.59
GMALT 2021-2 A3	5/20/2024	1,109,825.73	1,088,721.30	3.59
GOLDMAN SACHS GROUP INC	11/17/2023	1,511,963.00	1,491,125.00	2.58
GOLDMAN SACHS GROUP INC	11/17/2023	510,000.00	503,625.00	2.58
GOLDMAN SACHS GROUP INC	11/17/2023	1,165,000.00	1,150,437.50	2.58
GOLDMAN SACHS GROUP INC	3/8/2024	635,000.00	620,375.95	2.90
GOLDMAN SACHS GROUP INC	3/8/2024	1,480,000.00	1,445,915.60	2.90
GOLDMAN SACHS GROUP INC	10/21/2024	4,730,000.00	4,523,109.80	3.36
GOLDMAN SACHS GROUP INC	10/21/2024	320,236.80	306,003.20	3.36
GOLDMAN SACHS GROUP INC	10/21/2024	310,000.00	302,284.10	3.10
GOLDMAN SACHS GROUP INC	10/21/2024	776,000.00	755,710.25	3.10
HUNTINGTON NATIONAL BANK	5/16/2025	3,410,000.00	3,405,942.10	3.62
JPMORGAN CHASE & CO	12/5/2024	413,542.50	373,713.75	3.87
JPMORGAN CHASE & CO	12/5/2024	3,961,872.00	3,587,652.00	3.87
JPMORGAN CHASE & CO	12/5/2024	335,235.60	313,919.55	3.87
JPMORGAN CHASE & CO	6/1/2024	475,000.00	463,034.75	3.92
JPMORGAN CHASE & CO	6/1/2024	1,100,000.00	1,072,291.00	3.92
JPMORGAN CHASE & CO	9/16/2024	350,000.00	335,433.00	3.52
JPMORGAN CHASE & CO	9/16/2024	810,000.00	776,287.80	3.52
JPMORGAN CHASE & CO	9/16/2024	90,000.00	86,254.20	3.52
JPMORGAN CHASE & CO	9/16/2024	210,000.00	201,259.80	3.52
JPMORGAN CHASE & CO	2/16/2025	275,000.00	259,003.25	3.61
JPMORGAN CHASE & CO	2/16/2025	640,000.00	602,771.20	3.61
JPMORGAN CHASE & CO	2/16/2025	245,000.00	230,748.35	3.61
JPMORGAN CHASE & CO	2/16/2025	570,000.00	536,843.10	3.61

**Orange County Transportation Authority  
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DESCRIPTION	MATURITY DATE	BOOK VALUE	MARKET VALUE	YIELD
JPMORGAN CHASE & CO	3/16/2024	640,000.00	626,009.60	3.14
JPMORGAN CHASE & CO	3/16/2024	1,470,000.00	1,437,865.80	3.14
JPMORGAN CHASE & CO	6/1/2025	405,000.00	378,472.50	3.80
JPMORGAN CHASE & CO	6/1/2025	930,000.00	869,085.00	3.80
JPMORGAN CHASE & CO	6/1/2025	865,000.00	808,342.50	3.80
JPMORGAN CHASE & CO	6/1/2025	2,308,757.15	2,154,022.50	3.80
JPMORGAN CHASE & CO	6/1/2025	1,151,840.00	1,074,675.00	3.80
JPMORGAN CHASE & CO	6/1/2025	240,000.00	224,280.00	3.80
JPMORGAN CHASE & CO	6/1/2025	545,000.00	509,302.50	3.80
JPMORGAN CHASE & CO	8/9/2025	310,000.00	287,515.70	3.64
JPMORGAN CHASE & CO	8/9/2025	790,000.00	732,701.30	3.64
JPMORGAN CHASE & CO	2/24/2026	945,000.00	898,165.80	4.02
JPMORGAN CHASE & CO	2/24/2026	1,625,000.00	1,544,465.00	4.02
JPMORGAN CHASE & CO	4/26/2026	305,000.00	301,196.65	4.12
JPMORGAN CHASE & CO	4/26/2026	695,000.00	686,333.35	4.12
JDOT 2021 A3	9/15/2025	1,099,871.10	1,057,551.00	3.13
JDOT 2021 A3	9/15/2025	709,863.54	682,601.10	3.13
JDOT 2021 A3	9/15/2025	1,639,684.79	1,576,712.40	3.13
JDOT 2021 A3	9/15/2025	1,454,720.35	1,398,851.55	3.13
KEYCORP	5/23/2025	205,000.00	203,483.00	3.78
KEYCORP	5/23/2025	35,039.55	34,741.00	3.78
KEYBANK NA	1/3/2024	1,010,000.00	994,547.00	2.40
KEYBANK NA	6/14/2024	615,000.00	596,562.30	2.72
KEYBANK NA	6/14/2024	1,430,000.00	1,387,128.60	2.72
KCOT 212 A3	11/17/2025	464,982.47	436,807.05	4.30
KCOT 212 A3	11/17/2025	1,064,959.85	1,000,429.05	4.30
MORGAN STANLEY	10/21/2025	185,000.00	170,647.70	3.78
MORGAN STANLEY	10/21/2025	430,000.00	396,640.60	3.78
MORGAN STANLEY	11/10/2023	350,000.00	346,006.50	2.45
MORGAN STANLEY	11/10/2023	810,000.00	800,757.90	2.45
MORGAN STANLEY	1/25/2024	550,000.00	539,143.00	2.73
MORGAN STANLEY	1/25/2024	1,290,000.00	1,284,535.40	2.73
MORGAN STANLEY	1/22/2025	520,000.00	491,545.60	3.51
MORGAN STANLEY	1/22/2025	1,200,000.00	1,134,338.00	3.51
MORGAN STANLEY	1/22/2025	321,938.50	307,216.00	3.51
MORGAN STANLEY	1/22/2025	990,580.00	945,280.00	3.51
MORGAN STANLEY	2/18/2026	1,215,000.00	1,159,158.60	3.95
MORGAN STANLEY	2/18/2026	390,000.00	372,075.60	3.95
MORGAN STANLEY	2/18/2026	1,365,000.00	1,302,264.60	3.95
MORGAN STANLEY	4/5/2024	265,000.00	258,340.55	2.98
MORGAN STANLEY	4/5/2024	610,000.00	594,670.70	2.98
MORGAN STANLEY	4/5/2024	75,000.00	73,115.25	2.98
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	10/18/2024	465,000.00	459,057.30	2.39
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	10/18/2024	1,160,000.00	1,145,175.20	2.39
NEXTERA ENERGY CAPITAL HOLDINGS INC	11/3/2023	1,245,000.00	1,227,121.80	2.98
NALT 2020-B A3	10/16/2023	81,782.79	81,461.59	2.82
NALT 2020-B A3	10/16/2023	185,584.02	184,855.14	2.82
CITIZENS BANK NA	5/23/2025	625,000.00	622,543.75	3.86
SPIRE MISSOURI INC	12/2/2024	1,330,000.00	1,317,072.40	2.41
SPIRE MISSOURI INC	12/2/2024	3,605,000.00	3,569,959.40	2.41
TRUIST BANK	8/2/2024	1,283,244.00	1,199,148.00	3.40
TRUIST BANK	8/2/2024	2,994,236.00	2,798,012.00	3.40
TLOT 2021-A A3	4/20/2024	2,944,726.34	2,293,119.22	3.76
TLOT 2021-A A3	4/20/2024	329,961.49	322,699.08	3.76
TLOT 2021-A A3	4/20/2024	754,911.89	738,296.38	3.76
WELLS FARGO & CO	10/30/2025	657,237.50	595,000.00	4.16
WELLS FARGO & CO	10/30/2025	1,524,791.00	1,380,400.00	4.16
WELLS FARGO & CO	6/2/2024	6,140,580.00	5,859,960.00	3.67
WELLS FARGO & CO	5/19/2025	135,000.00	126,408.60	3.55
WELLS FARGO & CO	5/19/2025	320,000.00	299,635.20	3.55
WELLS FARGO & CO	4/25/2026	490,000.00	481,910.10	4.11
WELLS FARGO & CO	4/25/2026	1,360,000.00	1,337,546.40	4.11
<b>SUB-TOTAL</b>		<b>148,720,303.68</b>	<b>142,472,454.75</b>	
<i>Supranationals</i>				
INTER-AMERICAN DEVELOPMENT BANK	5/24/2023	789,731.49	773,022.90	2.94
INTER-AMERICAN DEVELOPMENT BANK	5/24/2023	1,809,384.60	1,771,103.10	2.94
INTER-AMERICAN DEVELOPMENT BANK	9/23/2024	6,764,990.20	6,397,785.40	3.07
INTER-AMERICAN DEVELOPMENT BANK	9/23/2024	1,219,097.20	1,152,924.40	3.07
INTER-AMERICAN DEVELOPMENT BANK	9/23/2024	2,992,783.70	2,830,334.90	3.07
INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT	3/19/2024	5,349,700.00	4,956,750.00	3.02
INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT	11/24/2023	3,043,442.50	2,939,881.50	2.91
INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT	11/24/2023	803,269.25	775,883.15	2.91
INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT	11/24/2023	1,841,033.25	1,778,266.35	2.91
INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT	4/20/2023	868,199.10	851,390.70	2.83
INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT	4/20/2023	1,990,870.35	1,952,326.95	2.83
<b>SUB-TOTAL</b>		<b>27,472,501.55</b>	<b>26,179,469.35</b>	
<b>SHORT-TERM PORTFOLIO - TOTAL</b>		<b>\$ 1,976,127,747.60</b>	<b>\$ 1,909,214,345.89</b>	
<b>BOND PROCEEDS PORTFOLIO</b>				
<b>DESCRIPTION</b>	<b>MATURITY DATE</b>	<b>BOOK VALUE</b>		<b>YIELD</b>
2021 Bond Anticipation Notes (BANs) - US Bank				
FIRST AMERICAN TREAS OBLIGATIONS	N/A	80,152,211.26	80,152,211.26	0.99%
US BANK COMMERCIAL PAPER	7/1/2022	19,981,655.56	19,981,655.56	0.13%
<b>BOND PROCEEDS PORTFOLIO-TOTAL</b>		<b>\$ 100,133,866.82</b>		
<b>DEBT SERVICE RESERVE FUNDS</b>				
<b>DESCRIPTION</b>	<b>MATURITY DATE</b>	<b>BOOK VALUE</b>	<b>REQUIRED AMOUNT</b>	<b>YIELD</b>
<i>91 EXPRESS LANES 2013 BONDS (US Bank)</i>				
US BANK COMMERCIAL PAPER	8/11/2022	11,498,506.25	10,799,437.46	1.09%
FIRST AMERICAN TREAS OBLIGATIONS	N/A	683.49		0.99%
<i>91 EXPRESS LANES 2013 BONDS - OPERATING &amp; MAINTENANCE RESERVES</i>			13,000,000.00	
OPERATING RESERVE	N/A	3,193,919.78		0.00%
MAINTENANCE RESERVE	N/A	10,648,498.72		0.00%
<b>DEBT SERVICE RESERVE FUNDS - TOTAL</b>		<b>\$ 25,341,608.24</b>		
<b>TOTAL PORTFOLIO</b>		<b>\$ 2,420,675,045.54</b>	<b>\$ 2,333,779,988.27</b>	



## COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors  
**From:** Andrea West, Interim Clerk of the Board *Andrea West*  
**Subject:** Annual New York Credit Update – June 2022

Finance and Administration Committee Meeting of July 27, 2022

**Present:** Directors Goodell, Harper, Hennessey, Jones, and Sarmiento  
**Absent:** Directors Hernandez and Muller

**Committee Vote**

This item was passed by the Members present.

Director Sarmiento was not present to vote on this item.

**Committee Recommendation**

Receive and file as an information item.



**July 27, 2022**

**To:** Finance and Administration Committee  
**From:** Darrell E. Johnson, Chief Executive Officer  
**Subject:** Annual New York Credit Update – June 2022

**Overview**

Since the early 1990s, the Orange County Transportation Authority has maintained an active investor relations program. As part of this program, each year the Orange County Transportation Authority conducts a series of meetings with the rating agencies and financial institutions in New York, New York. This year, the meetings took place from Tuesday, June 21, 2022 to Thursday, June 23, 2022.

**Recommendation**

Receive and file as an information item.

**Background**

The Orange County Transportation Authority (OCTA) and its affiliated agencies have issued approximately \$2.5 billion of debt to advance various capital programs since 1987. One sub-component of debt issuance is the servicing of debt, which includes updating the rating agencies on the progress of OCTA's programs and services on an annual basis.

Every year, OCTA provides a comprehensive presentation to various organizations. This year, OCTA met with Moody's Investors Service, S&P Global, Kroll Bond ratings, Barclay's, Fitch Ratings, BofA Securities, Stantec, and Met Life Investment Management.

It is important for OCTA to provide constant communication to the municipal market. The annual meetings provide the opportunity to discuss the issues facing OCTA and the Orange County economy. OCTA's track record of providing projects on time and under budget has clearly established OCTA's credibility with the rating agencies and investors.

***Discussion***

The following representatives from OCTA were in New York from Tuesday to Thursday, June 21-23, 2022: Chairman Mark Murphy, Vice-Chairman Gene Hernandez, Director Michael Hennessey, Chairman of the Finance and Administration Committee, Darrell Johnson, Andrew Oftelie, and Robert Davis. In addition, Jim Martling and Krista deMello from OCTA's financial advisory firm, Sperry Capital Inc., attended the meetings.

During the meetings, representatives discussed OCTA's programs and services. Staff focused on the Orange County economy, transit challenges, the 91 Express Lanes, and the construction progress of the I-405 Improvement Project, which is currently the largest highway construction project in California. The team also emphasized the strong debt service coverage ratios for OCTA's debt obligations. The meetings were well received, with interest and questions regarding the Orange County economy, recent traffic patterns on the 91 Express Lanes, and several OCTA programs. This information will be used by the rating agencies for their annual surveillance of OCTA.

A detailed summary report on the New York meetings has been prepared by Sperry Capital Inc., and has been included as Attachment A. The report identifies the members of each firm and discusses the topics of concern for each of the organizations. A copy of the June 2022 New York presentation book is provided as Attachment B.

***Summary***

The Orange County Transportation Authority has been proactive in delivering information to the municipal market to ensure that the Orange County Transportation Authority's credit ratings remain strong. A summary report of the most recent meetings in New York is provided as an attachment.

**Attachments**

- A. Letter from James W. Martling, Principal, Sperry Capital Inc., to Robert L. Davis, Treasury and Public Finance Manager, Orange County Transportation Authority, dated July 1, 2022
- B. Orange County Transportation Authority June 2022 Presentation Book

**Prepared by:**



Robert Davis  
Department Manager  
Treasury/Public Finance  
(714) 560-5675

**Approved by:**



Andrew Oftelie  
Chief Financial Officer  
Finance and Administration  
(714) 560-5649

## Sperry Capital Inc.

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July 1, 2022

Mr. Robert L. Davis  
Treasury and Public Finance Manager  
Orange County Transportation Authority  
550 South Main Street  
Orange, California 92863-1584

Dear Robert:

OCTA's June 2022 trip to New York to meet with credit analysts from the four major rating agencies, Moody's, S&P Global, Kroll Bond Rating Agency ("KBRA"), and Fitch Ratings ("Fitch") (the "Rating Agencies"), was very successful. Since OCTA's first Measure M1 bond issue, which sold in 1991, Board members and staff have clearly established their credibility by delivering on their "promises made, promises kept" philosophy.

The June 2022 credit update allowed OCTA the opportunity to give in-person presentations to the Rating Agencies and provide updates on the successes and challenges of OCTA's multi-modal services in the post-pandemic era. The OCTA team provided the Rating Agencies with an update on the Orange County economy, transit challenges, the 91 Express Lanes, and the construction progress of the I-405 Improvement Project ("405 Project"), which is currently the largest highway construction project in California. The team also emphasized the strong debt service coverage ratios for OCTA's debt obligations.

The credit analysts thanked OCTA for continuing its commitment to provide annual updates in today's challenging post-COVID economic environment. The Rating Agencies were complimentary about the quality of the presentation book ("June 2022 Update") and the presentations made by OCTA's Board of Directors and staff.

OCTA also met with representatives of BofA Securities and Barclays (the two senior managers of OCTA's September 2021 \$662,820,000 TIFIA Bond Anticipation Notes issue). In addition, OCTA met with representatives of Stantec, its traffic and revenue consultant on the 91 Express Lanes and 405 Express Lanes, and MetLife Investment Management ("MetLife"), one of OCTA's four portfolio managers.



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# Sperry Capital Inc.

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Mr. Robert L. Davis

July 1, 2022

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OCTA met with the following firms in New York from June 21<sup>st</sup> to June 23<sup>rd</sup>.

Moody's	Moody's rates OCTA's Measure M2 Sales Tax Revenue Bonds Aa2, 405 Project 2021 Bond Anticipation Notes Aa3, 91 Express Lanes Bonds A1, and the 405 Project 2021 TIFIA loan Baa2.
S&P Global	S&P Global rates OCTA's Measure M2 Sales Tax Revenue Bonds AA+, 405 Project 2021 Bond Anticipation Notes AA, and 91 Express Lanes Bonds AA-.
KBRA	KBRA provided OCTA with a rating of BBB- for the 2021 TIFIA Loan.
Fitch Ratings	Fitch rates OCTA's Measure M2 Sales Tax Revenue Bonds AA+ and 91 Express Lanes Bonds A+.
BofA Securities	BofA Securities was the senior manager of OCTA's \$662,820,000 Bond Anticipation Notes (I-405 Improvement Project), Series 2021 ("2021 BANs"). In addition, Bank of America N.A. provided OCTA with a \$314,000,000 bank facility which allowed the 2021 BANs to be sold on a tax-exempt basis.
Barclays	Barclays was the co-senior manager of OCTA's September 2021 \$662,820,000 2021 BANs.
Stantec	Stantec is working on updates on their investment grade traffic and revenue forecasts for the 91 Express Lanes and the 405 Express Lanes.
MetLife	MetLife is one of OCTA's four fixed income portfolio managers.

OCTA was represented by Chair Mark Murphy, Vice Chair Gene Hernandez, and Director Michael Hennessey, Chair of the Finance and Administration Committee and Public Member, as well as OCTA staff members CEO Darrell Johnson, CFO Andy Otelie, and yourself at the New York meetings. Krista deMello and I attended the presentations as well. The Treasury/Public Finance Department, with support from many departments throughout OCTA, worked diligently during April and May to update and prepare the comprehensive 72-page June 2022 Update, which was presented to the Rating Agencies.

The June 2022 Update was organized as follows:

	<u>Page</u>
Presentation Participants, Overview, Summary	2,3,4
1. Orange County Transportation Authority	5
2. Orange County Economy	12
3. Measure M Program	22
4. Agency Update	32
5. Express Lanes Program	48
6. Debt Programs and Financing Plans	60



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## Tuesday June 21 Meetings

### Moody's:

Moody's was represented in-person by Kurt Krummenacker (Senior Vice President and head of Global Project Finance & Infrastructure) and Sara Ponce (Associate Analyst). Moses Kopmar (Moody's new primary analyst for OCTA), and John Medina (Moody's toll road specialist) participated via videoconference.

Chair Murphy started with a summary of the presentation by emphasizing, "OCTA's leadership is stable with continuity among Board members and its executive staff. Darrell Johnson has been OCTA's CEO since 2013. 'Promises made, promises kept' is an adage we have had for a long time and which we continue to keep."

In addition, Chair Murphy noted, "Orange County's economy continues to grow, sales tax collections are at an all-time high and OCTA's conservative \$1.65 billion budget allows for the continuation of all of OCTA's programs and projects." Chair Murphy then stated that, "OCTA has an interesting and unusually wide focus and range of multi-modal transportation responsibilities, and we continue to focus on alternative areas of transportation."

Moody's John Medina noted and asked, "OCTA has a significant number of projects in the region. Its areas of focus are broad. I'd like to get a sense for how you manage all of that. Do you have a special vantage point on integration, or changes to mobility as a service ("MaaS")?" CEO Darrell Johnson responded, "Only OCTA and LA Metro are similar transportation wise. If Orange County were a state, we'd be between Iowa and Nevada in population. We currently have \$3.7 billion of active transportation projects. We have a unique vantage point."

Chair Murphy summarized the 2022 Board and CEO initiatives to keep Orange County moving outlined on page 9, noting, "I worked closely with the CEO and staff to establish our 2022 initiatives. Half-way into the year, I'm optimistic that we can accomplish all of these initiatives."

Vice Chair Hernandez updated Moody's on the post-COVID Orange County economy in his opening statement by saying, "Orange County has a thriving business economy, well-educated work force, we are culturally diverse, and we have a wide variety of tourist attractions. If you look at page 13, you can see how small Orange County is, yet Orange County is probably the economic engine of Southern California."

Vice Chair Hernandez used the charts on page 14 to note that Orange County has the lowest unemployment rate in Southern California and said, "It's not that we were saved from the pandemic, but we have really done a good job bouncing back."

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Director Hennessey provided Moody's with background on OCTA's Measure M programs based on Measure M1 and Measure M2 history and the sources and uses of funds.

Director Hennessey stated, "Measure M1 delivered more than \$4 billion in transportation improvements and leveraged \$1.2 billion in external revenues. M1 delivered more than 30 major freeway projects. Orange County is conservative. Measure M2 was passed by nearly 70%. We take very seriously our pledge to our voters. Our mantra is still "promises made, promises kept."

Director Hennessey stated, "Sales tax receipts for fiscal year 2021 grew by 8.6% to \$345 million." Director Hennessey directed the Moody's analysts to page 26 that showed the current Measure M2 sales forecast from 2021-22 to 2041, "2022 sales tax is estimated to grow by 21.1% to \$418 million and the total Measure M2 sales tax forecast is estimated to be \$14.9 billion over 30 years."

Director Hennessey discussed OCTA's sales tax forecast methodology, "OCTA receives one-to-five-year forecasts from MuniServices, and long-term forecasts from UCLA, Cal State Fullerton, and Chapman University. OCTA uses the average of the long-term forecasts provided by the three universities."

Moody's Moses Kopmar asked if there was sufficient funding to complete Measure M2 projects without the need for a new sales tax authorization. Mr. Oftelie responded, "The amount of money we expect to come in now is enough to meet all the freeway promises we made in the M2 Measure."

CEO Johnson started his presentation with an update of OCTA's Measure M2 freeways program, "We have divided our freeway projects into 30 deliverables. 13 are done. 14 are in some space of development. Generally, the projects are all environmentally cleared. Our goal is to finish the 14 remaining freeway projects in the next 10 years, but our target is really 2030. That means we will have 90% of the freeway plan done in the first two decades of a three-decade plan. We have been very aggressive in terms of delivery. That is paying off for us now that we are getting things behind us before inflation."

CEO Johnson briefed the analysts on the recent SR-55 Project bid. "We developed our own model to look at the inflationary pressures on certain industries in Southern California to look at the things that we buy. When we got our three bids in, we were within 3% to 5% of engineers' estimates. We are very happy about that. For us, the bids were sort of a bellwether that showed that we did have an understanding of what was happening in the marketplace for concrete, steel, and labor."

CEO Johnson also briefed the analysts on the status of the fully funded \$2.08 billion 405 Project, "The project is 78% complete. Nine of the 18 bridge replacements are complete, and all remaining bridges are under construction." He summarized the 405 Project update by stating, "Substantial completion is currently scheduled for October 31, 2023."

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Moody's Kurt Krummenacker asked if OCTA could "cross-pollinate" revenue between the 91 Express Lanes and the 405 Express Lanes. Mr. Oftelie answered, "Express lanes net revenues are restricted to use in the express lanes corridor of origin pursuant to statute."

Mr. Oftelie briefed the credit analysts on OCTA's 91 Express Lanes and 405 Express Lanes Programs. Mr. Oftelie stated that the 91 Express Lanes traffic volumes and toll revenues are at an all-time high, "The estimated fiscal year traffic volume is 19.5 million, a 27% annual increase, and estimated fiscal year total revenues are \$55.4 million, a 21% annual increase."

Moody's Moses Kopmar asked if traffic patterns have changed on the 91 Express Lanes. Mr. Oftelie noted that the 91 Express Lanes' traffic volumes and revenues have clearly benefited from the opening of RCTC's 91 Express Lanes, "Westbound morning traffic has experienced the largest increases. Westbound volumes are almost equal to eastbound volumes." Moody's Moses Kopmar also asked why tolls were so much higher in Riverside County. Mr. Oftelie replied, "There is worse congestion in Riverside County, but the new I-15 project should reduce congestion."

Mr. Davis outlined OCTA's debt profile and emphasized OCTA's strong debt service coverage levels.

Moses Kopmar thanked OCTA for providing the June 2022 credit update. John Medina also thanked OCTA as well for coming to New York for the oral presentation and said he was pleased to hear about the good news regarding the 405 Express Lanes construction progress because he is a driver on the I-405 when visiting Southern California.

## **S&P Global:**

OCTA met with S&P Global at 12:00 p.m. OCTA had a working lunch with S&P Global at their offices at 55 Water Street. S&P Global was represented by Joe Pezzimenti (Director, US Public Finance & Infrastructure), Kayla Smith (Director and S&P Global's OCTA Express Lanes primary credit analyst), David Hitchcock (Senior Director), and Jen Hansen (Director) via videoconference from San Francisco.

At the start of the meeting, after introducing the OCTA team, Chair Murphy asked the S&P Global credit analysts to introduce themselves and their responsibilities.

After OCTA introductions, Chair Murphy introduced the OCTA team. After a presentation summary, Chair Murphy referenced OCTA's Organization Chart on page eight and stated, "You won't see many changes in OCTA's leadership on page seven. However, I want to point out that Johnny Dunning has been appointed Chief Operating Officer. Maggie McJilton's expanded responsibility is the result of the combination of two departments."

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Chair Murphy directed the analysts to page 10 entitled “Reserve Policy” to underscore OCTA’s history of maintaining reserves to mitigate financial risks to OCTA programs and noted that, “In 2019 the OCTA Board formally adopted a Reserve Policy. OCTA has three programs for buses, the 91 Express Lanes, and motorist services, which are reliant on stable revenue sources. In addition, OCTA established a Long-Term Operating Reserve Fund in 2022 to mitigate the impacts of future economic slowdowns.”

Vice Chair Hernandez updated S&P Global on the Orange County economy and used page 18 to illustrate that Orange County home prices are at historic highs. “The average home price is just over \$1 million. This is an issue. We have a very educated young work force we do not want to lose. There is a lot of creativity looking for solutions.”

Vice Chair Hernandez also highlighted taxable sales outlined on page 20, “Orange County has the highest taxable sales per capita in Southern California.”

Director Hennessey used the chart on page 24 to show Orange County’s history of sales tax collections from fiscal year 2000-01 through 2020-21. Director Hennessey noted that the gray bars represented Measure M1 collections, and the blue bars represented Measure M2 collections. “Orange County has had steady sales tax growth that has only been interrupted by national events such as the 2001 recession following 9/11, the 2008 Great Recession, and COVID-19 in 2020, which underscores the underlying economic strength of Orange County.”

Director Hennessey attributed higher sales tax collections to several factors, including “increased vaccinations which have allowed more people to move around, pent up demand, and online sales.”

Director Hennessey used the charts on page 28 to brief the analysts on OCTA’s Measure M2 Investment Plan’s funding distribution for freeway projects, streets and roads, transit, and environmental clean-up, and highlighted that 5% of the OC Go Freeway Program is allocated to environmental migration.

CEO Johnson presented OCTA’s project updates. After the 405 Project and SR-55 construction updates, CEO Johnson briefed the analysts on the OC Streetcar project, OC Bus ridership, the Metrolink ridership recovery forecast, funds OCTA may receive from the Infrastructure Investment and Jobs Act (“IIJA”), and the fiscal year 2022-23 budget highlights.

CEO Johnson said what the IIJA meant for California and OCTA. “We expect OCTA to receive nearly \$1 billion in formula funding over the next five years. But we have not assumed any dollars for our projects or program in our budget.” S&P Global’s Joe Pezzimenti asked if OCTA had a sense of when IIJA funds would arrive. CEO Johnson outlined the process for the ultimate distribution of highway and transit IIJA funding noting, “Big numbers, but we can’t take anything to the bank yet.”

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CEO Johnson then used page 46 entitled “ESG: Sustainability at OCTA” to highlight the information located at [octa.net/green](http://octa.net/green), “Although we have active air quality initiatives, climate change resiliency planning, innovative wildlife and habitat mitigation programs, two percent of Measure M2 allocated to water quality, and a zero-emission bus roll-out plan, we wanted to showcase our efforts on [octa.net/green](http://octa.net/green) for easy access.”

Mr. Oftelie updated the analysts on OCTA’s Express Lanes Programs. Mr. Oftelie used the Westbound Weekly Averages and Eastbound Weekly Averages on page 54 to illustrate the significant changes in the 91 Express Lanes. “The opening of the RCTC express lanes has had a profound positive impact on OCTA’s 91 Express Lanes morning traffic volumes and toll revenues. In addition, the number of Eastbound peak hours have stretched out. Which is exactly what the OCTA’s Toll Policy was designed to do.”

S&P Global’s Joe Pezzimenti asked how peak hour traffic volumes had changed since the pandemic. Mr. Oftelie also noted as shown on page 56 that, “The Eastbound peak hour from 2:00 p.m. to 3:00 p.m. has replaced the Thursday 4:00 p.m. to 5:00 p.m. hour as the busiest hour of the week.

Mr. Davis outlined OCTA’s debt profile and emphasized the strong debt service coverage ratios of OCTA’s debt obligations. In addition, Mr. Davis directed the analysts to page 70 entitled “Cash Balance Totals \$2.5 billion” to illustrate OCTA’s liquidity.

S&P Global’s Joe Pezzimenti thanked OCTA for the credit update, “I want to thank you for the extra effort to present us with your annual credit update in person.”

## **KBRA:**

OCTA met with KBRA at 2:30 p.m. KBRA was represented by Andrew Giudici (Senior Managing Director and Global Head of Project Finance and Corporates), Justin Huynh (Associate Director, Ratings Legal), Helen Habegger (Analyst, Project Finance), and Kathryn Bai (Associate Director, Project Finance & Infrastructure).

KBRA provided OCTA with an indicative BBB- rating for the 2019 TIFIA Loan. OCTA provided KBRA with an update on the 405 Express Lanes Project. Andrew Giudici asked about the impact of inflation on the 405 Project. CEO Johnson replied, “The 405 Project has a fixed price contract. The biggest inflation concern is with contractor workforce availability. Contractors are subject to a 10-day COVID quarantine and can’t work remotely.”

KBRA’s Andrew Giudici asked what OCTA thought the impact of consistently high gas prices would have on traffic volume of OCTA’s Express Lanes. Mr. Oftelie replied, “We have 27 years of 91 Express Lanes operating history, so we have data on what impacts increases and decreases on demand.

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However, now, we are experiencing high gas prices but also high 91 Express Lanes demand, which is an anomaly.”

## Wednesday June 22 Meetings

### **Barclays:**

OCTA met with Barclays representatives Wednesday at 9:00 a.m. Barclays was represented by Peter Buffa (Director), Jane LePham (Vice President), Dan Blankenship (Vice President), and Frank Vitiello (Managing Director). The Barclays representatives described the general process for pricing and underwriting tax-exempt bonds.

### **Fitch Ratings:**

We arrived at Fitch’s 33 Whitehall Street office for an 11:30 a.m. meeting. Fitch was represented in-person by Scott Monroe (Senior Director, based in San Francisco), Henry Flynn (Director), and Anne Tricerri (Director), and joined Pascal St. George (Senior Director), Varun Budhiraja (Analyst), and Anne Adiele (Senior Analyst), from Fitch’s office in San Francisco via videoconference.

OCTA enjoyed a spirited two-hour dialogue with the Fitch credit analysts during the 2022 update.

Chair Murphy began the presentation with, “My name is Mark Murphy, mayor of the City of Orange, my hometown and I am privileged to be the Chair of OCTA. I’m happy to say that things continue to be on the same positive path that we have enjoyed for a number of years.”

Directing the analysts to page 11, Chair Murphy described OCTA’s return work policy. “We had 500 employees working remotely during the pandemic, a new experience for us. This policy has been phased out based on our hybrid work policy. Employees must apply and receive approval to participate. And committee and Board meeting are now in person.”

Vice Chair Hernandez presented the Orange County economic information in Section 2. Vice Chair Hernandez noted that Orange County employment growth rebounded nicely in 2021 by adding 47,600 jobs. “Page 16 shows significant increases in professional service including IT, education and health services, and leisure and hospitality.”

Director Hennessey presented the Measure M program updates. After discussing the post-pandemic surge in sales tax collections, Director Hennessey said, “The Board updated our Next 10 Plan in December 2021. The Next 10 Plan incorporates the 2021 sales tax forecast and project delivery schedules. The M2 Program continues to be deliverable.” Fitch’s Scott Monroe asked about inflation. Director Hennessey replied, “There is a good answer for that. We are experiencing record sales tax growth.” Fitch’s Henry Flynn asked if OCTA could reschedule freeway projects? Mr. Oftelie responded, “The Board has flexibility in scheduling. The majority of M2 freeway projects have been



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built or are currently under construction.” CEO Johnson added that OCTA will complete 90% of M2 freeway projects in the first 20 years of the three decades of the M2 program which gets OCTA ahead of inflation risks and that adds to our flexibility.”

Fitch’s Anne Tricerri asked if OCTA was able to accelerate construction projects due to lower traffic volumes. CEO Johnson said that “Caltrans quickly agreed to OCTA’s request for longer lane closure hours on the 405 Express Lanes project which resulted in an additional 10,000 work hours.”

Director Hennessey noted Measure M2 streets, freeways, transit, and environmental accomplishments to date, “Measure M2 has made significant strides in environmental work. We have completed 19 water quality projects that has resulted in 45 million gallons of trash collected that would otherwise have gone into our water ways.”

CEO Johnson briefed Fitch on OCTA project updates. CEO Johnson discussed the challenges of post-pandemic bus demand stating, “We are now at 80% of pre-pandemic service levels. We are restoring bus service levels to meet demand. We are working with all Orange County school districts on our Youth Ride Free program. OCTA is the first large transit agency in the region to offer free rides to youths under 18. We want to connect transportation to education.”

Fitch’s Pascal St. George asked about OCTA’s plans for electric buses. CEO Johnson responded, “We have to meet the zero-emission target by 2040. We currently operate 10 hydrogen buses, and we are in the process of taking delivery of 10 electric buses. Our goal is to operate the buses in real time to compare cost and range before we make a decision.”

Mr. Oftelie briefed the analysts on OCTA’s Express Lanes Programs. Fitch has rated OCTA’s 91 Express Lanes since 2003 and currently rates the 91 Express Lanes AA-.

“The 91 Express Lanes are experiencing record high traffic volumes and toll revenues despite historically high gas prices. We always thought that high gas prices could lower demand, so this is an anomaly,” said Mr. Oftelie. Mr. Oftelie also noted the significant change in traffic patterns. “The opening of RCTC’s Express Lanes has had a profound impact on Westbound demand. Now half of our trips are Westbound.”

Fitch’s Scott Monroe noted that the 91 Express Lanes bonds that mature in 2030 will be eligible for a current refunding next year and asked if OCTA has considered issuing long-term refunding bonds. Mr. Oftelie replied, “Although we are aware of the refunding opportunity, OCTA leadership and staff are not considering issuing long term refunding bonds.”

Mr. Oftelie updated the Fitch analysts on the 241/91 Express Lanes Connector project. “The agencies continue to meet regularly to advance the project to construction. However, the estimated costs are

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now \$350-\$380 million. The estimated opening is late 2026. The direction we have from our Board is that the connector toll policy cannot do any harm to the continuity of successful operations of the 91 Express Lanes.”

Mr. Davis briefed Fitch on OCTA’s debt obligations and strong debt service coverage levels. Mr. Davis highlighted the total \$482 million TIFIA debt service savings information on page 67, that resulted from the 405 Project 2017 TIFIA loan, the 2021 TIFIA loan reset, and the issuance of the 2021 BANs.

Fitch’s Scott Monroe thanked OCTA for its in-person 2022 update.

**BofA Securities:**

BofA Securities was represented by Kevin O’Brien (Managing Director), Sandy Brinkert (Managing Director), Bryon Rockwell (Managing Director), and Amanda Grimm (Vice President). The BofA Securities team presented a detailed overview of the pricing and underwriting of OCTA’s September 2021 BANs issue.

## Thursday June 23 Meetings

**Stantec:**

OCTA met with Stantec’s Rick Gobeille, Adam Drinkard, Tiffany Cummings, Daniel Specter, and Sheldon Mar for a “refresher” PowerPoint presentation on the 91 Express Lanes and the 405 Express Lanes due to open in October 2023 from 9:00 a.m. to 10:30 a.m.

**MetLife:**

OCTA met with MetLife, one of its core portfolio managers from 11:00 a.m. to 12:30 p.m. Scott Pavlak and Erin Klepper briefed OCTA on short duration fixed income portfolios as well as the economy and inflation.

## Summary

The 72-page June 2022 Update contained very helpful information. OCTA urged the credit analysts to contact OCTA if they had additional questions. OCTA’s presentations were well received and appreciated. The credit analysts were pleased that OCTA presented its June 2022 Credit update in-person in New York.

I have attached a complete list of the participants at OCTA’s 2022 New York update meetings.

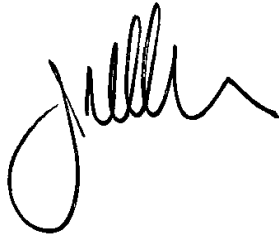
Sincerely,



Mr. Robert L. Davis

July 1, 2022

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A handwritten signature in black ink, appearing to read 'J. Martling', with a large loop at the beginning and a horizontal flourish at the end.

James W. Martling  
Principal

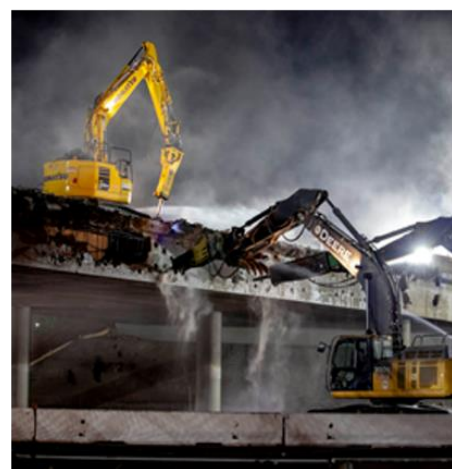
## OCTA 2022 NYC Rating Agency Update Meeting Schedule

<b>Date</b>	<b>Time</b>	<b>Meeting</b>	<b>Name</b>	<b>Title</b>	<b>Telephon</b>	<b>Location</b>
<b>Tuesday June 21</b>	9:30 am	Moody's Investors Service	Moses Kopmar  Kurt Krummenacker John Medina Sara Ponce	Vice President Global Project & Infrastructure Finance ( <b>Primary Analyst</b> ) (SF) Managing Director, Project Finance (NY)  Vice President Global Project & Infrastructure Finance (PA) Associate Analyst (NY)	415.274.1758  212.553.2814  212.553.1653 212.553.9452	<b>Moody's</b> 7 World Trade Center
<b>Tuesday June 21</b> meeting & lunch	12:00 pm	S&P Global Ratings	Kayla Smith David Hitchcock Joe Pezzimenti Jen Hansen	<b>Director, (Primary Analyst Denver)</b> Senior Director, States group analyst (NY) Director, US Public Finance & Infrastructure (NY) Director, Tax Backed Issues (SF)	303.721.4450 212.438.2022 212.438.2038	<b>S&amp;P Global Ratings</b> 55 Water Street
<b>Tuesday June 21</b>	2:30 pm	Kroll Bond Ratings	Andrew Giudici Justin Huynh Helen Habegger Kathryn Bai	Senior Managing Director and Global Head of Project Finance (NY) Associate Director, Ratings Legal (NY) Analyst, Project Finance (NY) Associate Director, Project Finance & Infrastructure (NY)	646.725.4260 917.705.2141 646.731.1288 646.731.3351	<b>Kroll</b> <b>805 Third Street</b>
<b>Wed. June 22</b>	9:00 am	Barclays	Peter Buffa Jane LePham Dan Blankenship Frank Vitiello	<b>Director, Public Finance (Primary Banker) LA</b> Vice President, Public Finance (SF) Director, Municipal Underwriter (NY) Managing Director, Municipal Underwriter (NY)	310.481.4908 917.471.3085 212.528.1061 212.528.1061	<b>Barclays</b> <b>745 7<sup>th</sup> Ave</b>
<b>Wed. June 21</b>	11:00 am	Fitch	Scott Monroe Henry Flynn Anne Tricerri Pascal St George Varum Budhiraja Anne Adiele	<b>Director, Infra/Project Finance (Primary Analyst) (SF)</b> Director Infra/Project Finance (NY) Director Toll Roads (NY) Senior Director, Tax Backed Issues (SF) Analyst Senior Analyst, (SF)	415.732.5618 646.582.4580 646.582.4675 415.732.7577 415.732.5622 415.732.7573	<b>Fitch Ratings</b> 33 Whitehall Street
<b>Wed. June 23</b>	1:30 pm	BofA Securities	Kevin O'Brien Bryon Rockwell Sandy Brinkert Amanda Grimm	<b>Managing Director, Public Finance (Primary Banker) (LA)</b> Managing Director, Public Finance (LA) Managing Director (NY), Municipal Products Group (NY) Vice President, Public Sector Banking (SF)	213.345.9576 213.345.9585 646.743.1312 646.743.1363	<b>BofA Securities</b> One Bryant Park

## OCTA 2022 NYC Rating Agency Update Meeting Schedule

<b>Thursday</b> June 23	9:00 am	Stantec	Sheldon Mar Rick Gobeille Tiffany Cummings Daniel Spector Adam Mangano- Drenkard	Senior Associate (NY) Manager (NY) Senior Associate (NY) Senior Associate (NY) Associate (NY)	212.366.5600 212.366.5600 212.366.5600 212.366.5600 212.366.5600	<b>Stantec</b> 475 Fifth Ave 12 <sup>th</sup> Floor
<b>Thursday</b> June 23	11:00 am	MetLife	Scott Pavlak Erin Klepper	Managing Director (NJ) Associate Director (NJ)	908.376.0553 973.355.4480	<b>MetLife</b> 200 Park Avenue

# Orange County Transportation Authority



# Presentation Participants

## Orange County Transportation Authority



**Mark A. Murphy**  
Chairman



**Gene Hernandez**  
Vice Chairman



**Michael Hennessey**  
Finance and Administration  
Committee Chairman



**Darrell E. Johnson**  
Chief Executive  
Officer



**Andrew Oftelie**  
Chief Financial Officer



**Robert Davis**  
Treasury and Public Finance  
Manager

## Financial Advisor



**James Martling**  
Principal

# Presentation Overview

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1.	Orange County Transportation Authority	5
2.	Orange County Economy	12
3.	Measure M Program	22
4.	Agency Update	32
5.	Express Lanes Programs	48
6.	Debt Programs And Financing Plans	60

# Presentation Summary

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- ❑ Leadership is stable with continuity among Board members and Executive staff
- ❑ Return to work/transition to hybrid work schedule
- ❑ Orange County economy continues to grow, and sales tax collections are at all time high
- ❑ Conservative FY 2022-23 budget of \$1.65 billion allows for the continuation of OCTA programs and projects
- ❑ 91 Express Lanes traffic volumes and toll revenues have reached historic highs
- ❑ Continuation of Measure M2 projects with all projects on track to meet voter commitments
- ❑ I-405 Improvement Project on schedule to open in October 2023 and the reset of OCTA's TIFIA Loan led to net present value savings of \$158 million
- ❑ Debt service coverage ratios remain strong for all OCTA debt programs

---

# **1. Orange County Transportation Authority**



# The Agency

- ❑ Orange County's regional transportation agency created in 1991
- ❑ Governed by an 18-member Board of Directors
- ❑ Multi-modal focus
- ❑ OCTA's programs and services include:
  - Administer Measure M2
  - Freeways
  - 91 and 405 Express Lanes
  - Streets and Roads
  - Metrolink Commuter Rail
  - Los Angeles – San Diego – San Luis Obispo Rail Corridor services
  - Bus and Paratransit
  - Rail Transit (coming in 2023)
  - Environmental Programs
  - Motorist Services
  - Active Transportation



# 2022 Board Of Directors

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**Mark A.  
Murphy**  
Chairman



**Gene  
Hernandez**  
Vice Chairman



**Michael Hennessey**  
Finance and Administration  
Committee Chairman

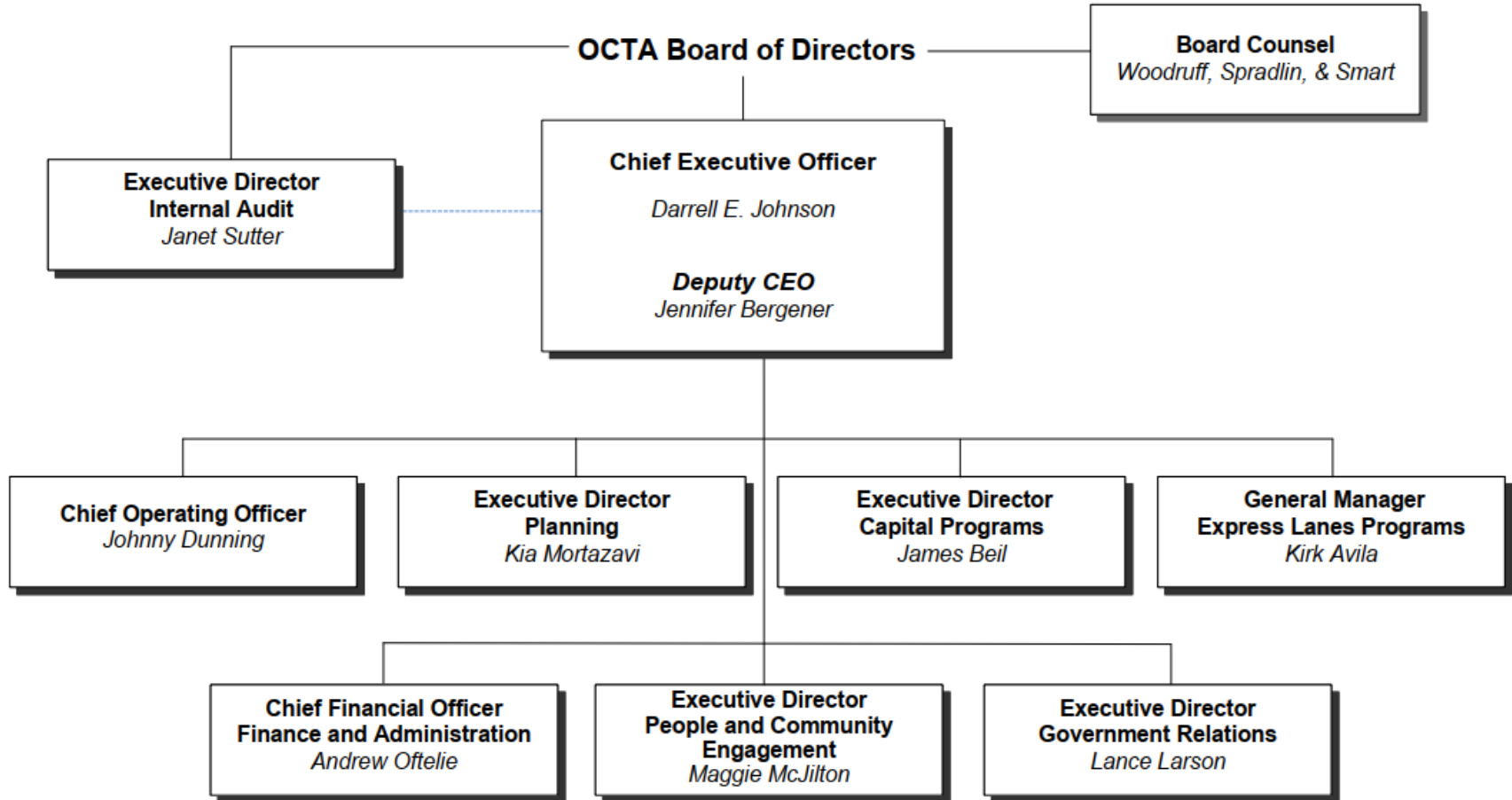
Lisa A. Bartlett  
Doug Chaffee  
Barbara Delgleize  
Andrew Do  
Katrina Foley  
Brian Goodell  
Patrick Harper  
Steve Jones  
Fred Jung  
Joseph Muller  
Tam Nguyen  
Vicente Sarmiento  
Donald P. Wagner  
Vacant  
Ryan Chamberlain

5th District Supervisor  
4th District Supervisor  
City Member, 2nd District  
1st District Supervisor  
2nd District Supervisor  
City Member, 5th District  
City Member, 2nd District  
City Member, 1st District  
City Member, 4th District  
City Member, 5th District  
Public Member  
City Member, 1st District  
3rd District Supervisor  
City Member, 4th District  
Governor's Caltrans Ex-Officio Member

# Organizational Chart

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## Orange County Transportation Authority



# 2022 BOARD & CEO INITIATIVES



## Balanced and Equitable Transportation

- Maximize Effectiveness of Mobility Options
- Deliver Measure M2 Infrastructure Improvements
- Connect with Stakeholders in Diverse and Disadvantaged Communities



## Fiscal and Environmental Responsibility and Adaptability

- Demonstrate Financial Stewardship and Responsibly Administer Public Funds
- Anticipate and Adapt to Changing Conditions
- Advocate Sustainability and Environmental Stewardship



## Organizational Excellence, Partnership, and Transparency

- Collaborate with Regional Stakeholders and Provide Outstanding Customer Service
- Embrace Inclusive Work Culture and Enhance Diversity
- Modernize Workplace and Promote Employee Growth and Safety

# Reserve Policy

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- ❑ OCTA has a history of maintaining reserves to mitigate the impacts of financial risks to the programs operated by the OCTA
- ❑ November 2019 OCTA Board formally adopted a Reserve Policy to mitigate impacts of financial risks to OCTA's programs
- ❑ OCTA operates three programs reliant on stable revenue sources and are most immediately impacted during periods of economic uncertainty
  - ❑ Bus
  - ❑ 91 Express Lanes
  - ❑ Motorist Services
- ❑ To further OCTA's goal of setting aside reserves in times of economic growth to mitigate the impacts of future economic slowdowns, OCTA established a Long-Term Operating Reserve Fund in 2022

# Return to the Workplace

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- ❑ COVID-19 Emergency Remote Work Policy
  - Most administrative employees worked remotely on an emergency basis during the pandemic
  - This policy has been phased out and OCTA introduced a hybrid work policy in its place
  
- ❑ Hybrid Work Policy
  - Voluntary program
  - Employees must apply and receive approval to participate
  - Maximum two remote workdays per week
  
- ❑ Board and Committee Meetings
  - Resumed meeting in person earlier this year

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## **2. Orange County Economy**





## Orange County Highlights

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**3rd** most populous county in CA

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**2nd** most dense county in CA

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**Culturally** diverse communities

---

**Thriving** business economy and  
a well-educated work force

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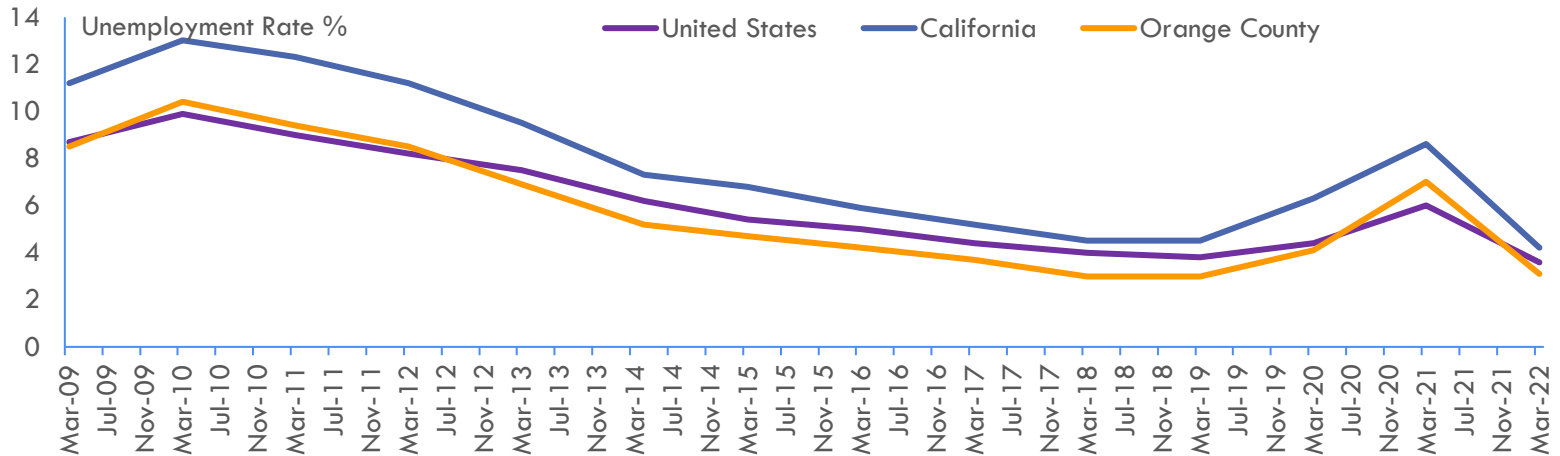
Home to a wide range of  
**tourist attractions**



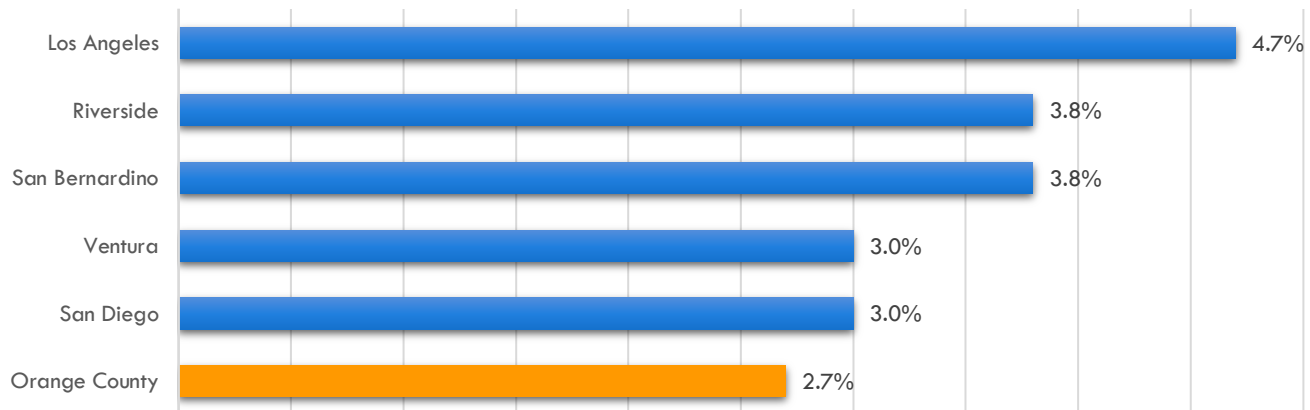


# Unemployment Rates

## Unemployment Rates (March 2009 to March 2022)



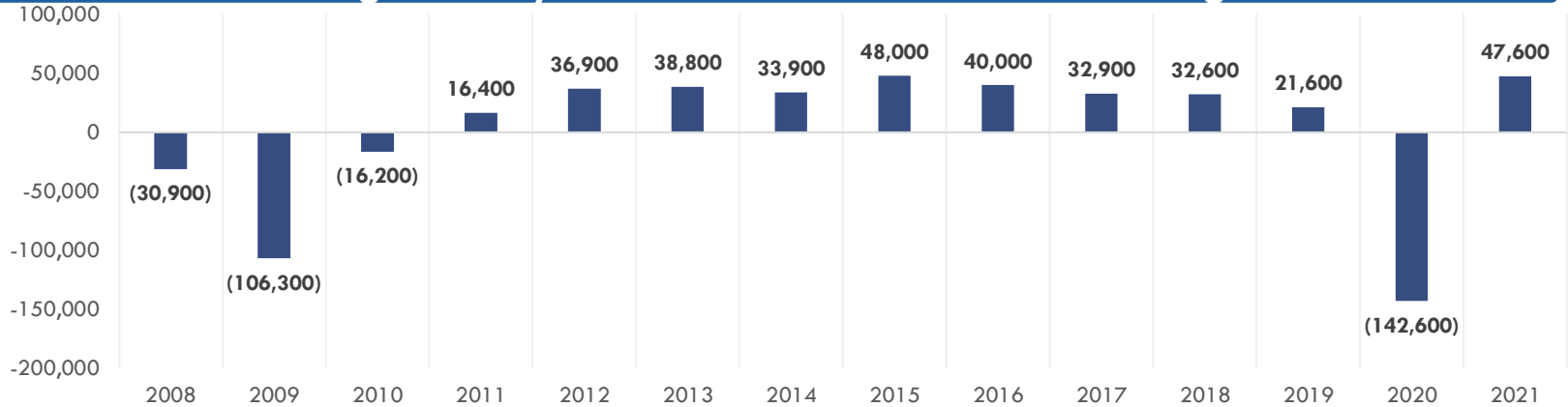
## Unemployment Rate (April 2022)



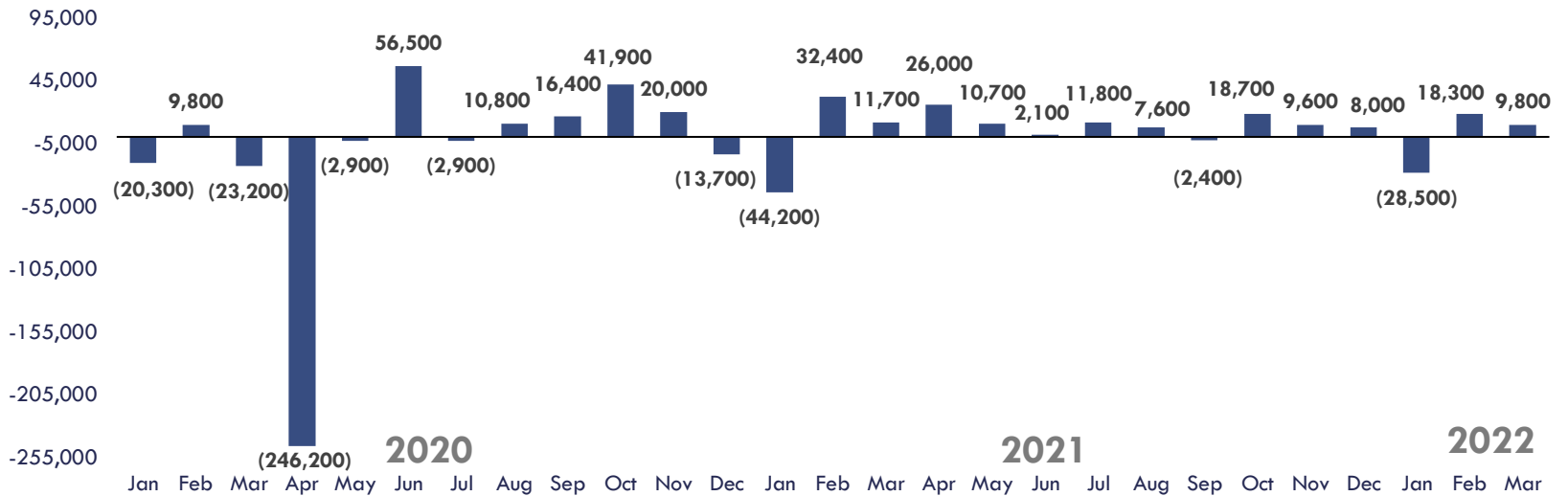
Source: State of California Employment Development Department

# Employment Growth Rebounds In 2021

## Orange County Nonfarm Jobs YOY Annual Change



## Orange County Nonfarm Jobs Mo-Mo Change



Source: State of California Employment Development Department

# Employment Changes Over The Past Year

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Industry	2020	2021	Change YOY	Change YOY (%)
Construction	101,300	101,500	200	0.2%
Manufacturing	149,100	147,100	-2,000	-1.3%
Trade, Transportation & Utilities	242,300	249,700	7,400	3.1%
Information	24,100	23,800	-300	-1.2%
Financial Activities	115,900	116,100	200	0.2%
Professional & Business Services	310,100	322,200	12,100	3.9%
Educational & Health Services	225,800	236,400	10,600	4.7%
Leisure & Hospitality	161,800	179,000	17,200	10.6%
Other Services	44,100	47,000	2,900	6.6%
Federal Government	11,600	11,000	-600	-5.2%
State Government	32,600	33,700	1,100	3.4%
Local Government	111,900	110,600	-1,300	-1.2%
<b>Total</b>	<b>1,530,600</b>	<b>1,578,100</b>	<b>47,500</b>	<b>3.1%</b>

Source: State of California Employment Development Department

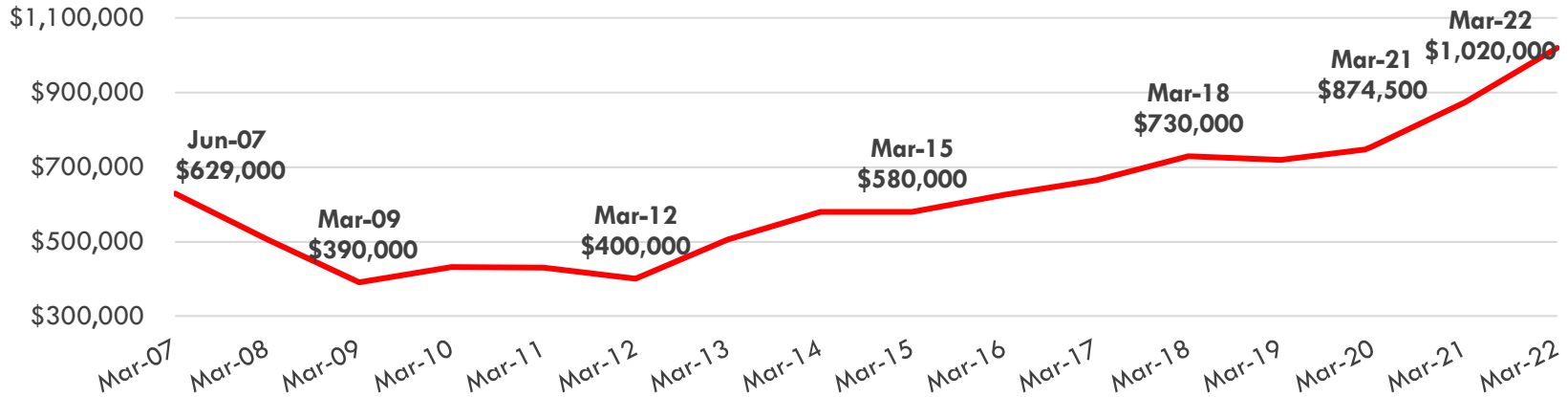
# Employment And Compensation By Industry

Industry	2021	% of Employment	Change in Employment (2013-2021)	Annual Wages (Q3 2021)
Construction	101,500	6.4%	30.5%	\$ 78,364
Manufacturing	147,100	9.3%	-7.4%	\$ 106,444
Trade, Transportation & Utilities	249,700	15.8%	-0.4%	\$ 62,660
Information	23,800	1.5%	2.6%	\$ 239,148
Financial Activities	116,100	7.4%	2.4%	\$ 129,168
Professional & Business Services	322,200	20.4%	18.6%	\$ 108,420
Educational & Health Services	236,400	15.0%	26.9%	\$ 61,828
Leisure & Hospitality	179,000	11.3%	-4.7%	\$ 37,596
Other Services	47,000	3.0%	3.1%	\$ 49,504
Federal Government	11,000	0.7%	0.0%	\$ 86,164
State Government	33,700	2.1%	15.8%	\$ 89,232
Local Government	110,600	7.0%	1.8%	\$ 75,868

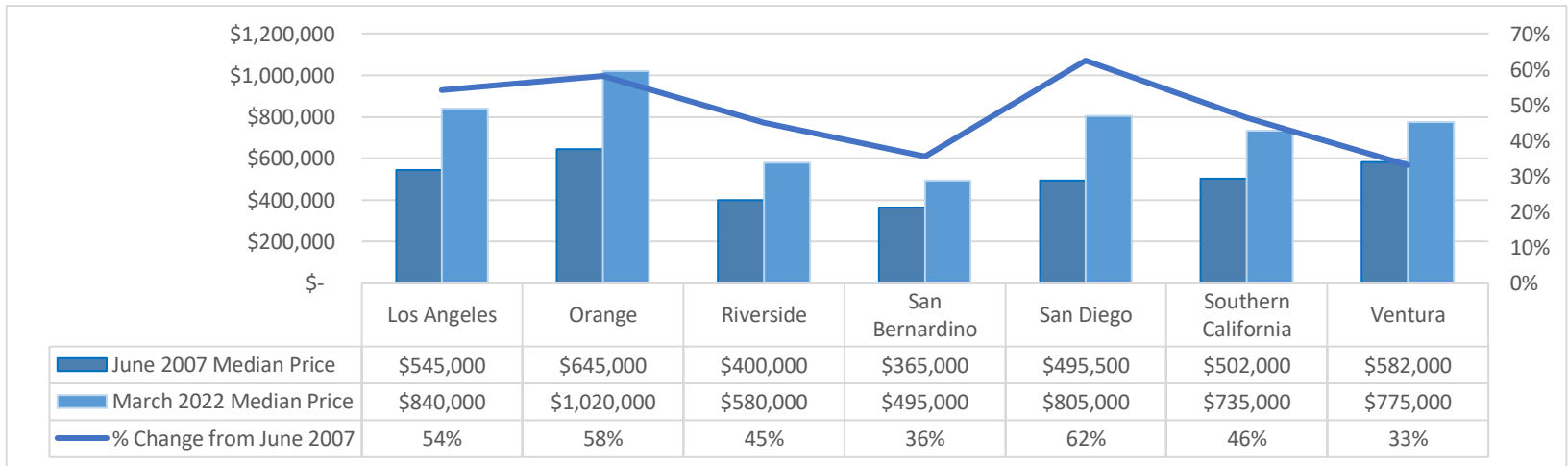
Source: State of California Employment Development Department

# Home Prices At Historic Levels

## Orange County Monthly Median Prices



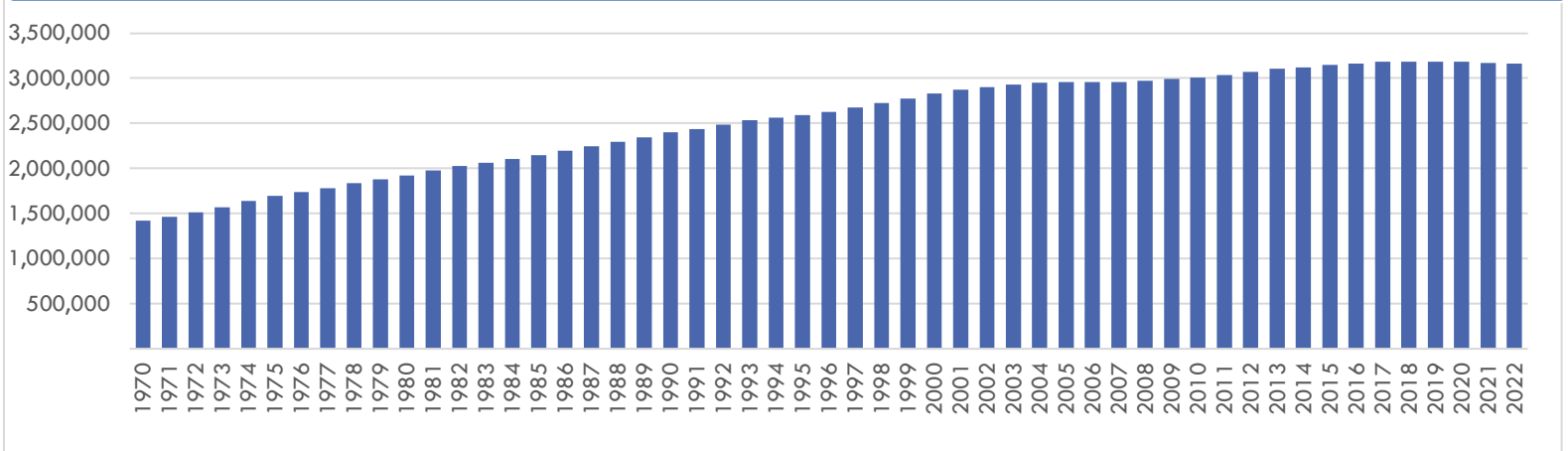
## Change in Home Values from Market Peak



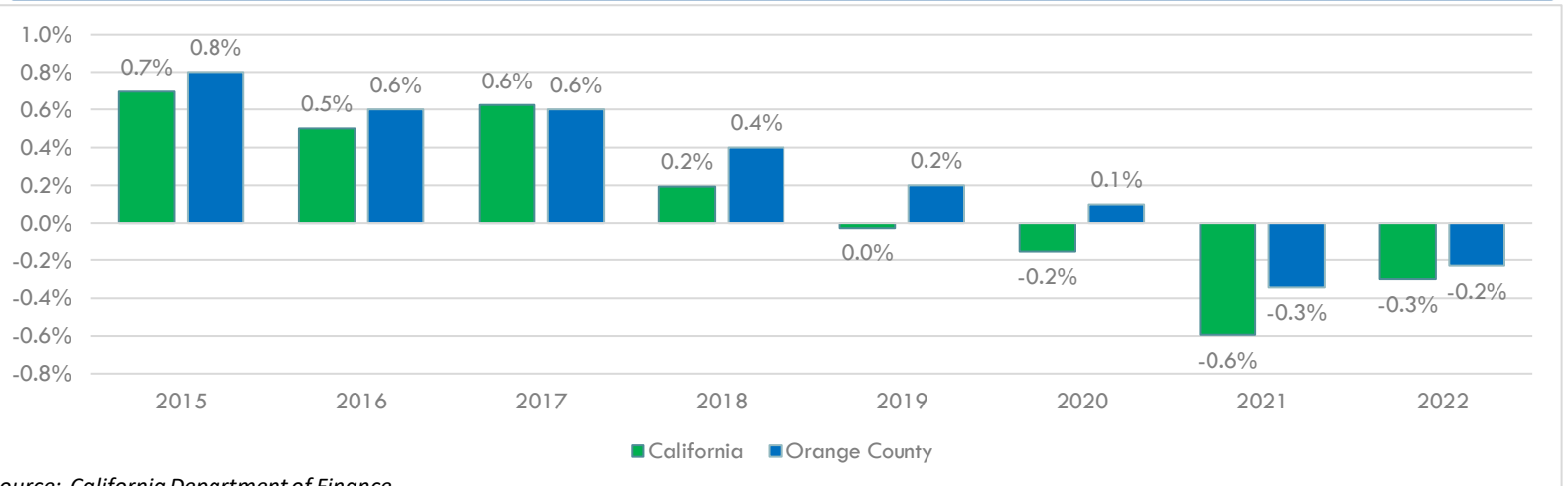
Source: State of California Employment Development Department

# Orange County Population

Orange County Population (1971 to 2022)



Orange County Population Growth Rates (2015 to 2022)



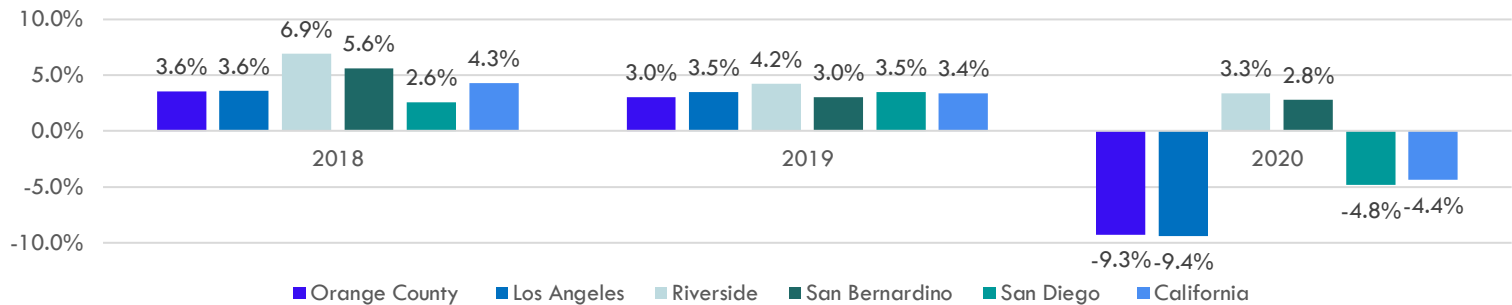
Source: California Department of Finance

# Taxable Sales

## Orange County Taxable Sales



## Taxable Sales Growth Rates by County



## Taxable Sales Per Capita

Orange County	Los Angeles	Riverside	San Bernardino	San Diego	California
\$19,995	\$15,497	\$17,076	\$19,729	\$17,539	\$17,705

Source: State of California Employment Development Department

---

## **3. Measure M Program**



# Background On Measure M Programs

- ❑ Half-cent countywide transportation sales tax
  
- ❑ Measure M1: 1991-2011
  - Delivered more than \$4 billion in transportation improvements
  - Leveraged \$1.2 billion in external revenues
  - Delivered more than 30 major freeway projects, including adding an additional project to widen SR-22
  - Brought Metrolink commuter rail service to Orange County in 1994
  
- ❑ Measure M2: 2011-41
  - Renewed in 2006 for 30 years
  - Passed by nearly 70% of voters



## ENVIRONMENTAL

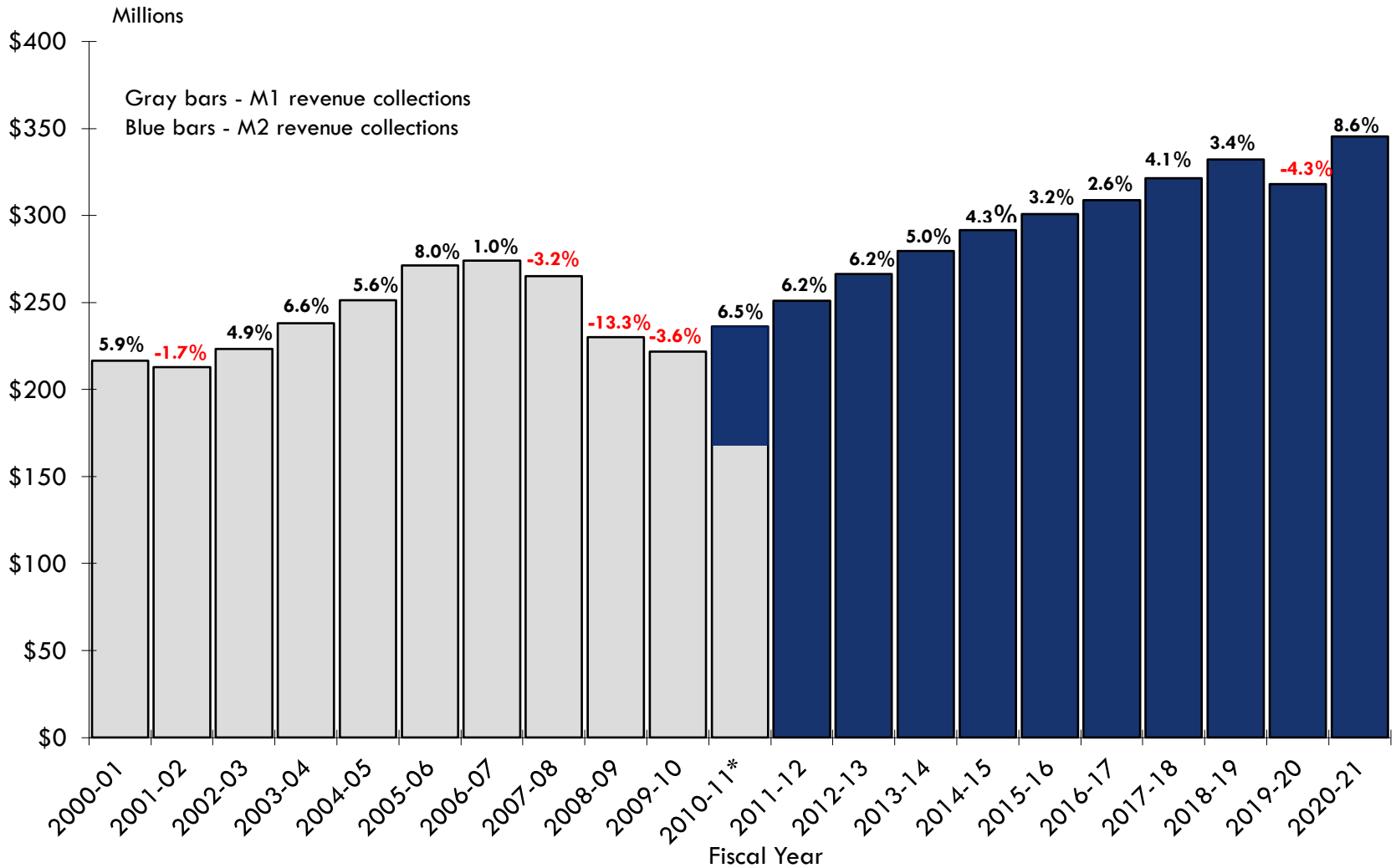
- A total of 5% of OC Go Freeway Program funds is allocated to the Freeway Environmental Mitigation Program
- A total of 2% of the overall OC Go Program funds is allocated to the Environmental Cleanup Program

# Measure M2 Program Update

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- ❑ M2 sales tax receipts increased by 3.4% in FY 2019 to \$332M and decreased by 4.3% in FY 2020 to \$318M due to the impact of COVID-19
- ❑ Sales tax receipts for FY 2021 grew by 8.6% to \$345 million
- ❑ Board adopted updated Next 10 Plan in December 2021
  - FY 2021 M2 sales tax forecast estimated to be \$13.2 billion for 30 years
  - M2 expenditure forecast incorporates higher short-term inflation
  - Future debt issuance of \$200 million anticipated in FY 2023
  - The M2 Program continues to be deliverable
- ❑ FY 2022 sales tax estimated to grow 21% to \$418 million,
- ❑ FY 2022 draft sales tax forecast estimated to be \$14.9 billion for 30 years
- ❑ M2 Performance Assessment covering FY 2019 through FY 2021 was completed with no significant findings.
- ❑ Taxpayer Oversight Committee determined that M2 is being delivered as promised to Orange County voters for the 31st consecutive year

# Historical Sales Tax Collections



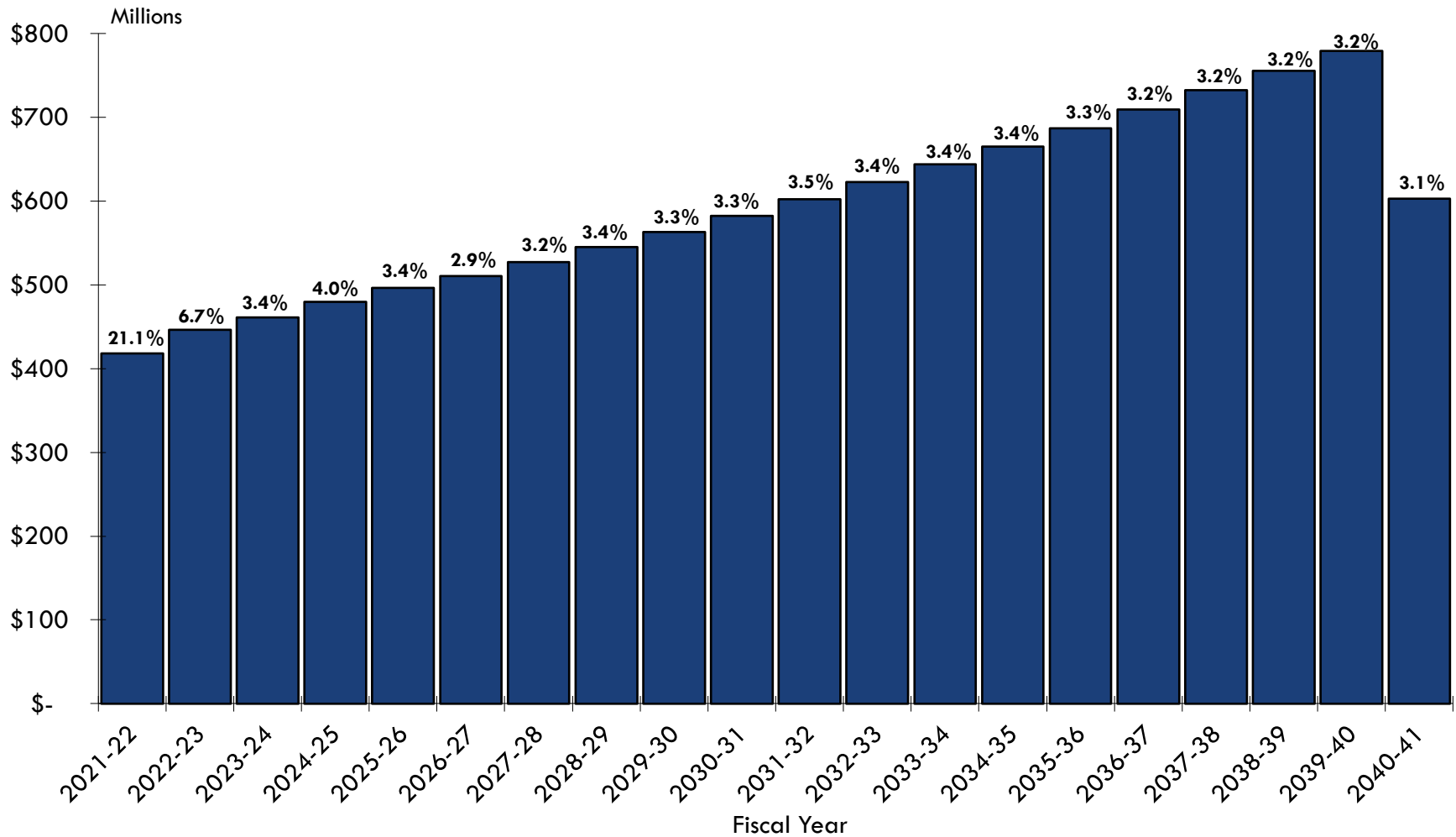
\* FY 2010-2011 was the final year of M1 and first year of M2

# Sales Tax Forecast Methodology

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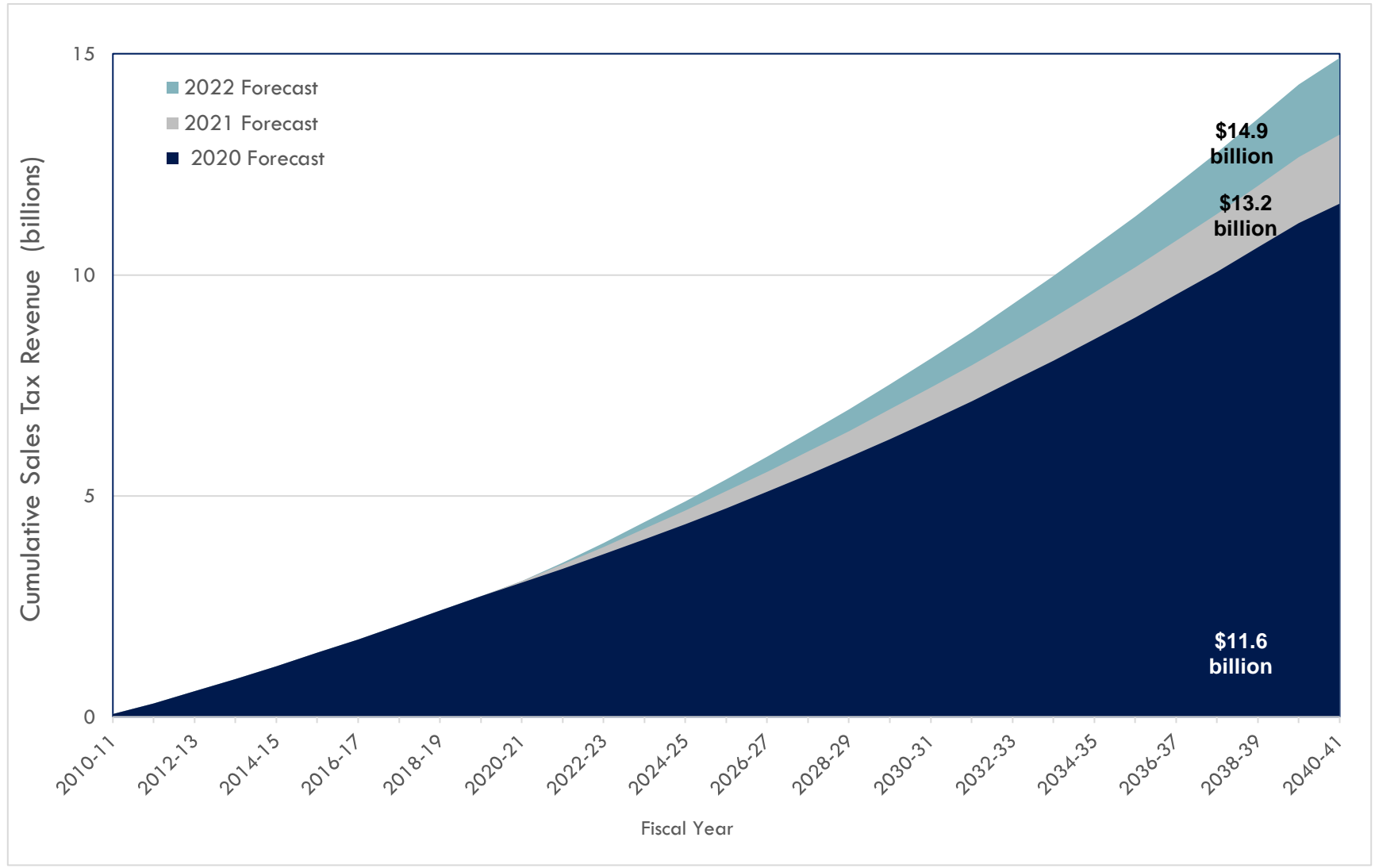
- ❑ Forecasting methodology is board approved and uses four entities which provide forecasts on an annual basis
- ❑ OCTA receives forecasts from MuniServices, LLC, University of California, Los Angeles, California State University, Fullerton, and Chapman University
- ❑ MuniServices, LLC's growth rates are used to forecast the first five years of the forecasting period
- ❑ An average of the growth rates from the forecasts provided by the three universities is used for the balance of the forecasting period

# Measure M2 Sales Tax Forecast



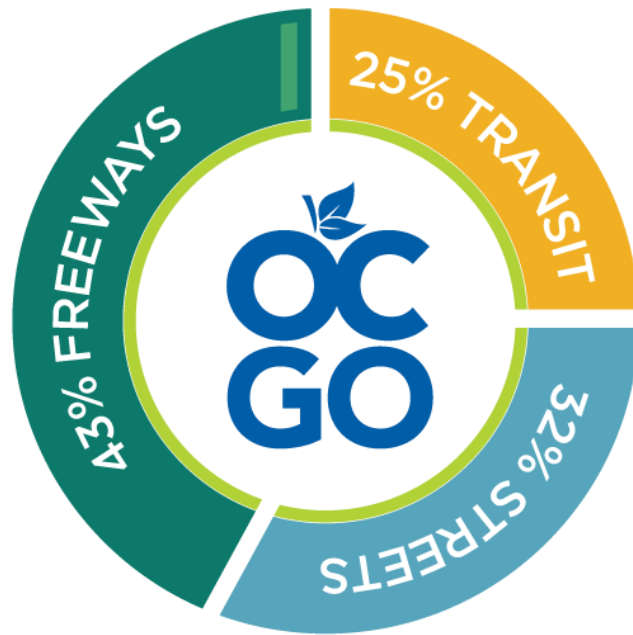
\* Fiscal Year 2041 represents forecasted sales tax receipts for three quarters

# Forecast Comparison – 2022, 2021, 2020






# Measure M2 Investment Plan

## Funding Distribution



## ENVIRONMENTAL

-  A total of 5% of OC Go Freeway Program funds is allocated to the Freeway Environmental Mitigation Program
-  A total of 2% of the overall OC Go Program funds is allocated to the Environmental Cleanup Program

 <b>M2 Projects and Programs</b>		
<b>Freeway Projects</b>		
I-5	Santa Ana Freeway Interchange Improvements	A
I-5	Santa Ana/San Diego Freeway Improvements	B C D
SR-22	Garden Grove Freeway Access Improvements	E
SR-55	Costa Mesa Freeway Improvements	F
SR-57	Orange Freeway Improvements	G
SR-91	Riverside Freeway Improvements	H I J
I-405	San Diego Freeway Improvements	K L
I-605	Freeway Access Improvements	M
All	Freeway Service Patrol	N
<b>Streets &amp; Roads Projects</b>		
	Regional Capacity Program	O
	Regional Traffic Signal Synchronization Program	P
	Local Fair Share Program	Q
<b>Transit Projects</b>		
	High Frequency Metrolink Service	R
	Transit Extensions to Metrolink	S
	Metrolink Gateways	T
	Expand Mobility Choices for Seniors and Persons with Disabilities	U
	Community Based Transit/Circulators	V
	Safe Transit Stops	W
<b>Environmental Cleanup</b>		
	Clean Up Highway and Street Runoff that Pollutes Beaches	X
<b>Taxpayer Safeguards and Audits</b>		
	Collect Sales Taxes (State charges required by law)	
	Oversight and Annual Audits	

# M2 Accomplishments to Date

## Streets

- 151 street capacity improvement projects
- 120 signal synchronization projects
- \$513 million in flexible funding distributed



## Environmental

- 196 water quality projects
- 45 million gallons of trash collected



## Transit

- Expanded Metrolink service
- Station, track and grade crossing improvements
- OC Streetcar underway
- \$92 million for expanded mobility choices for seniors and persons with disabilities
- 112 bus stop enhancements
- 26 community-based circulators



## Freeways

- 13 projects completed
- 611,000 motorists assisted/lane clearances
- Endowment to protect mitigation properties



# Next 10 Deliverables Summary

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2021 UPDATE

## NEXT 10 DELIVERY PLAN



### Streets

- Returns 18% to local agencies for transportation needs
- Provides annual grants to address bottlenecks
- Funds ongoing coordination of traffic signals



### Freeways

- Delivers 14 freeway projects
- Prepares remaining freeway improvements for delivery

### Transit

- Maintains Metrolink service and improves rail stations
- Completes OC Streetcar construction and begins operations
- Enhances mobility options for seniors and people with disabilities
- Continues support for localized transit options



### Environmental

- Ensures ongoing preservation of purchased open space
- Provides annual grants for water cleanup projects

---

## **4. Agency Update**

# OCTA Updates

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## ❑ Project Updates

- I-405 Improvement Project
- OC Streetcar
- OC Bus
- SR-55
- SR-241 / 91 Express Lanes Connector Update
- Risk Mitigation – Global Issues



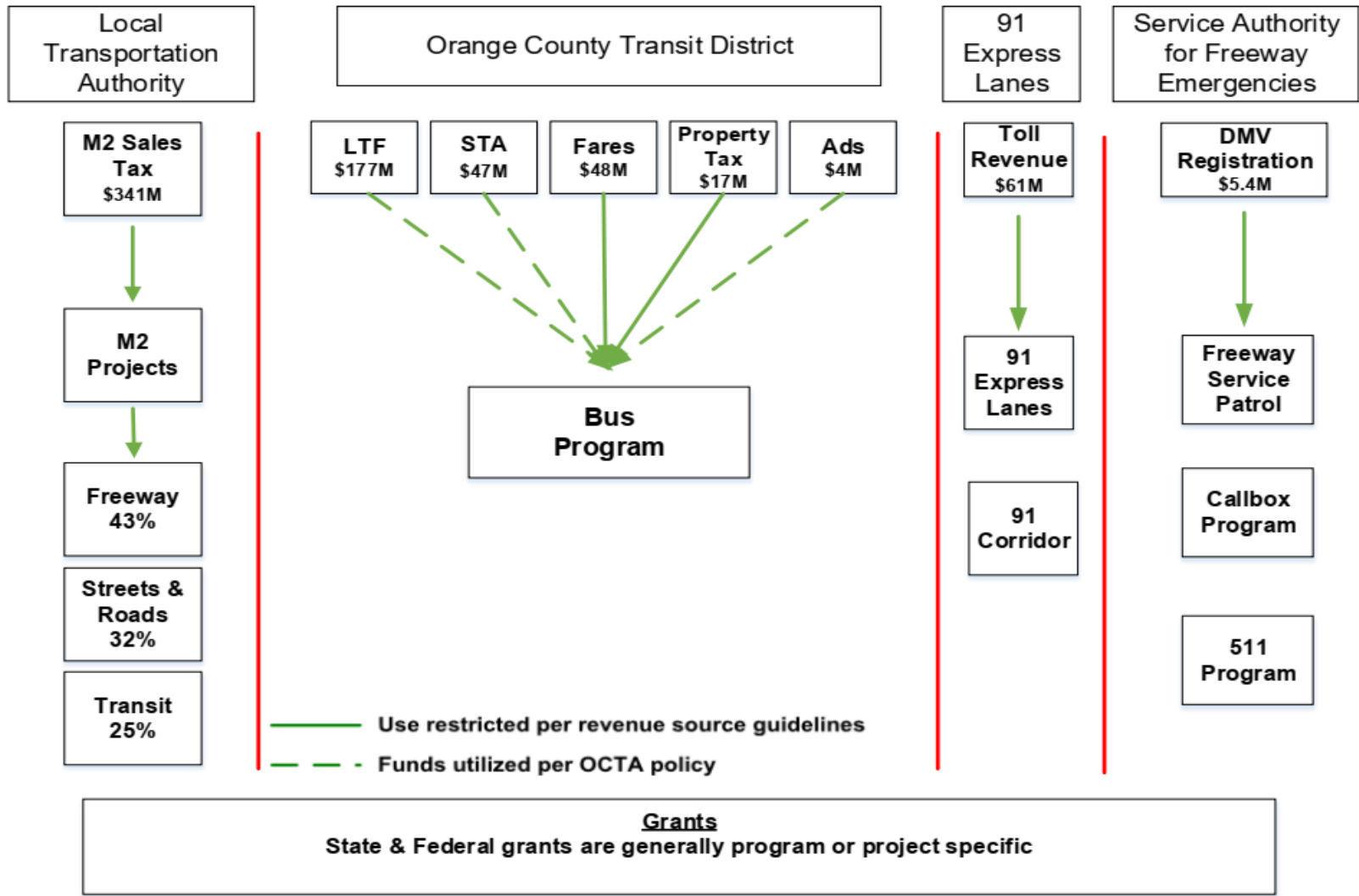
# OCTA Updates, Cont. (Inflation)

---

## □ Inflation

- Firm Fixed Price
- SR 55 Project Bid
- Comprehensive Business Plan
  - Long term estimates
- Conservative budgeting and forecasting

# OCTA Revenue Firewalls



# I-405 Significant Project Features

- ❑ Two new lanes in each direction (one general purpose lane and one tolled express lane)
- ❑ 18 bridge replacements plus new and widened bridges
- ❑ Interchange reconfigurations
- ❑ Merge lane improvements
- ❑ Arterial street improvements
- ❑ New and replaced soundwalls
- ❑ New bike lanes and sidewalks
- ❑ Anticipated seven-year design-build contract duration



# I-405 Project Update

---

## ❑ General

- Project is 78% complete
- Agreements reached with 90% of utility for relocations

## ❑ Design and Right-of-Way Possession

- Substantially complete with both design and right-of-way possession

## ❑ Construction

- Nine of 18 bridge replacements complete
- All remaining bridges under construction
- Approximately 85% of walls complete
- Approximately 65% of paving complete
- Over 75% of ramps to be reconstructed complete
- Substantial completion is currently scheduled for October 31, 2023

- ❑ The net OCTA project cost estimate is \$2.08 billion and is fully funded by federal, state, and local funding sources





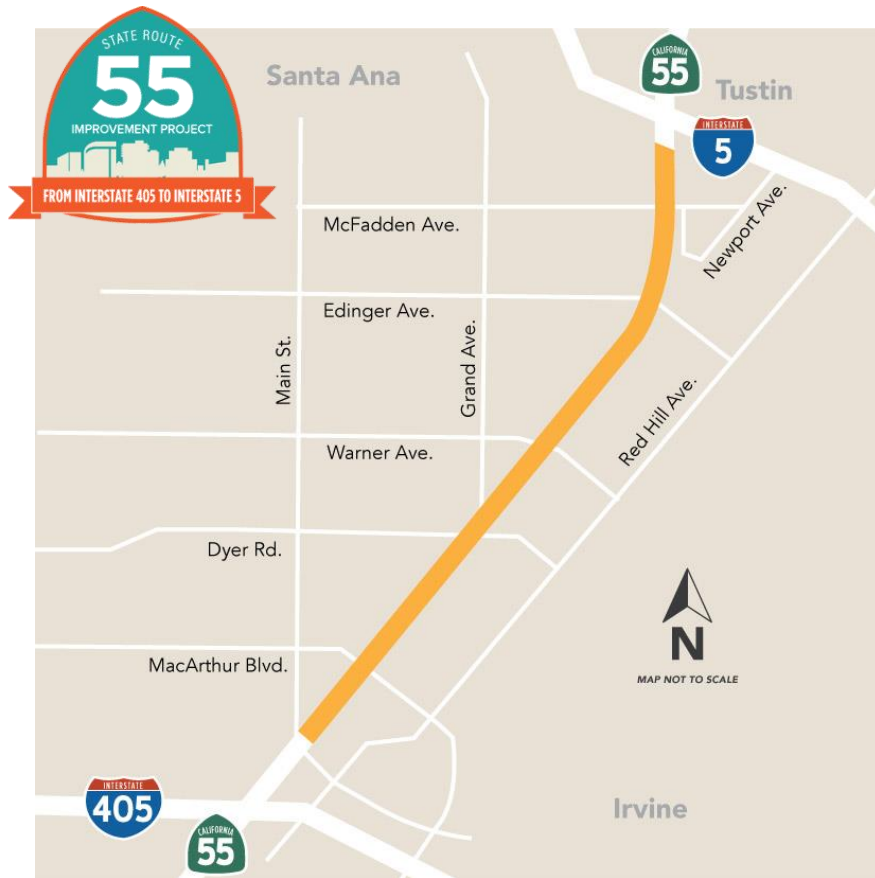
# I-405 Milestones And Next Steps

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Activity/Milestone	Completion Date
<b>Design-Build Implementation</b>	
Design and construction	2017-2023
Construction began	March 2018
Substantial Completion	October 2023
<b>Toll Lanes System Integrator</b>	
Contract awarded	May 2018
<b>Back Office System and Customer Service Vendor</b>	
Contract executed	January 2022



# SR-55 Improvements (I-405 to I-5)



## Scope:

- Adds one regular lane in each direction
- Adds second carpool lane in each direction
- Adds auxiliary lanes

## Status:

**Summer 2022:** Start of construction

**2026:** Anticipated completion

# OC Streetcar



## Scope:

- 4.1 miles connecting Santa Ana transportation center to Harbor Boulevard in Garden Grove

## Benefits:

- Improves air quality, eases congestion, offers high-frequency transit, enhances transit connectivity

## Status:

**2024:** Operations scheduled to begin

## OC STREETCAR BY THE NUMBERS

### PROJECT FEATURES

OCTA BUS CONNECTIONS: 14

FLEET SIZE: 8

FREQUENCY: 10-15 MINUTES

STOPS: 10 (IN EACH DIRECTION)



STREETCAR CAPACITY:  
UP TO 211 PEOPLE

DAILY TRAIN CONNECTIONS  
AT SARTC: 65+

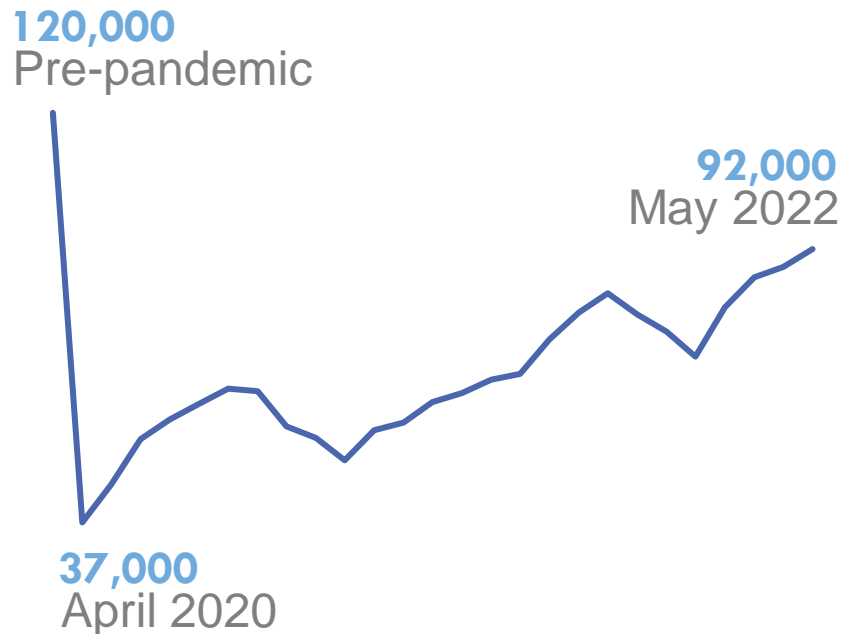
ROUTE: 4.15 MILES (in each direction)



# OC Bus Ridership

---

## Average Daily Weekday OC Bus Boardings



## Attracting Ridership



- Youth 18 and under ride OC Bus for free
  - OCTA is the first large transit agency in the region to offer free rides to youth
- Students enrolled at most community colleges in Orange County also ride OC Bus for free

# Making Better Connections Study

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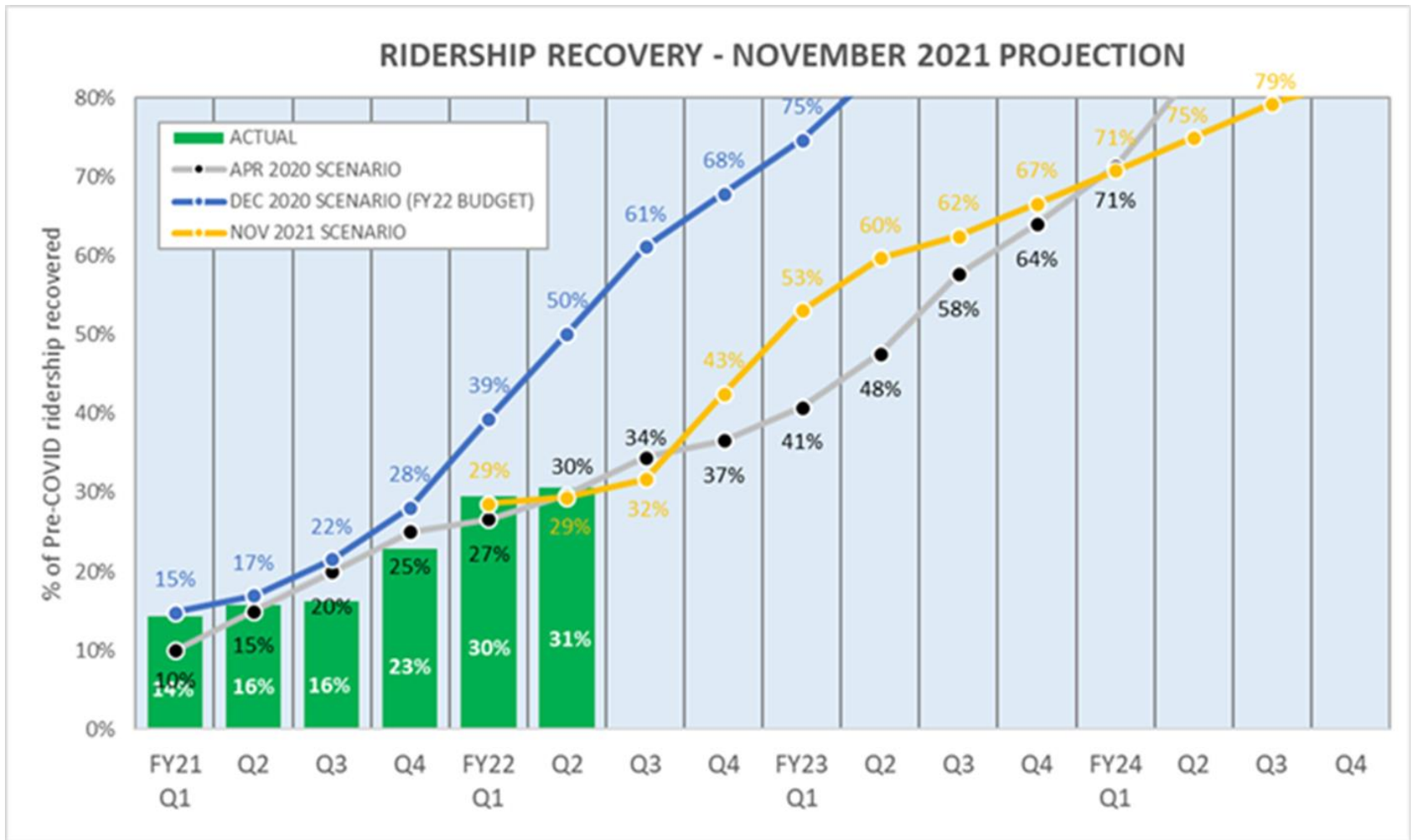
Making Better  
**Connections**



**OCBUS**

- Last bus restructuring study completed in 2012 and implemented as OC Bus 360° in 2016-18
- Transit ridership trending downward over the last decade
- Address changes to traveling behavior in response to COVID-19
- Evaluate OC Bus performance to better align transit services with changing travel patterns
- Improve customer experience and grow ridership by:
  - Matching service to markets
  - Preserving and improving core service
  - Leveraging innovation and technology to reduce customer wait and travel times

# Metrolink Ridership Recovery Forecast



# Infrastructure Investment and Jobs Act

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**Over five years, California will receive:**

 \$29.96 billion in highway funding

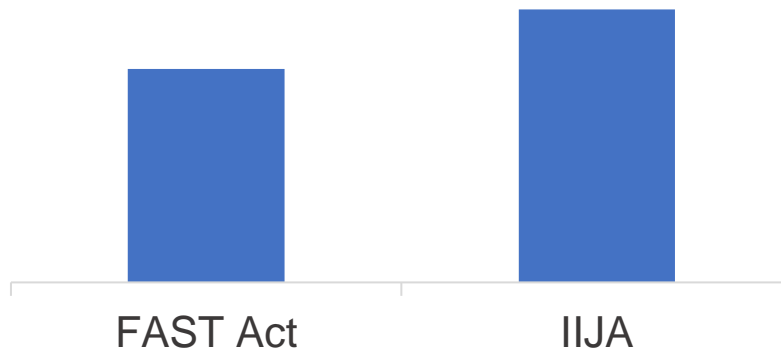
 \$9.45 billion in transit funding



**OCTA expected to receive:**

- Nearly \$1 billion in formula funding over next five years

**28% Increase over  
FAST Act Funding Levels**



**Funding Evenly Split Between  
Highways & Transit:**

 \$493 million in highway funding

 \$477 million in transit funding

# FY 2022-23 Budget Highlights

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Sales tax receipts anticipated to be significantly higher than current year



Bus operations budget includes capacity to add fixed-route service and accommodate increases in OC ACCESS trips



Metrolink budget includes capacity to reach pre-pandemic trip levels



Measure M continues to provide funding for freeways, streets and transit modes consistent with the Next 10 Delivery Plan

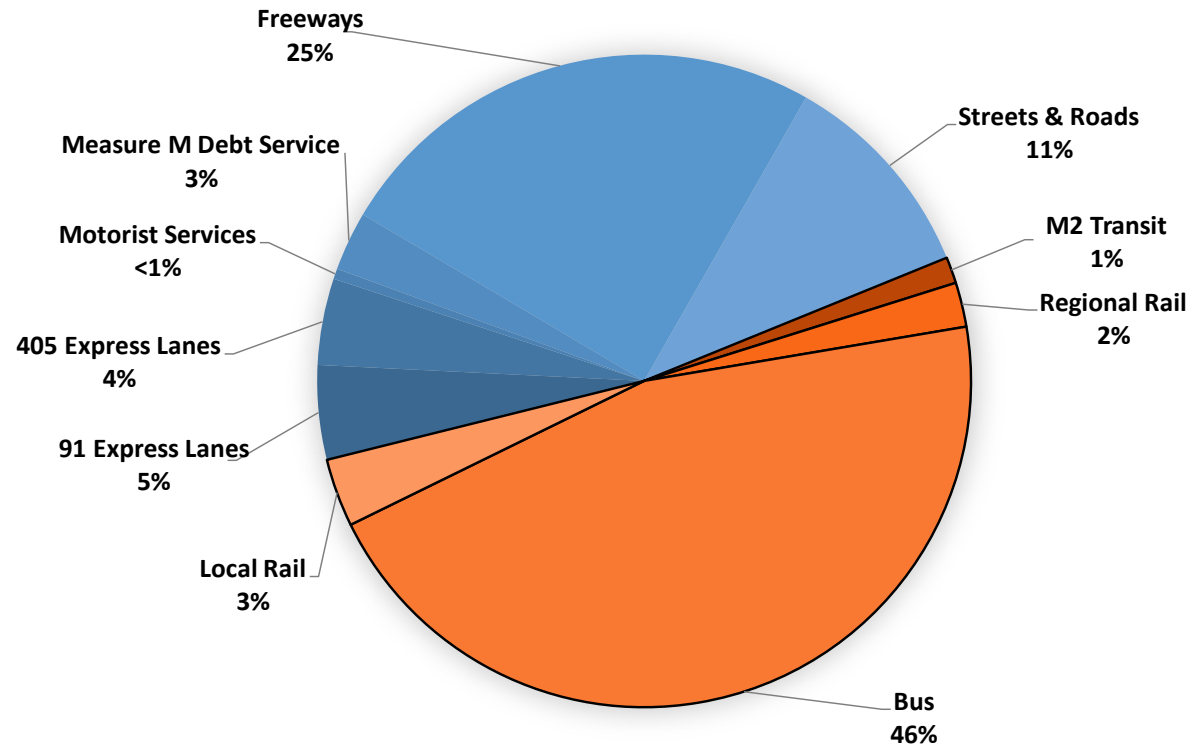


Strong trip growth anticipated for the 91 Express Lanes

# Total Budget by Program

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**\$1.65  
billion  
budget**





# ESG: Sustainability at OCTA

[octa.net/green](https://www.octa.net/green)

- HOV / managed lanes
- Express Lanes Network Study
- Signal synch
- Clean transit



- Zero-emission bus roll-out plan
- Testing hydrogen fuel-cell and battery-electric buses



- 2% of Measure M allocated to improve OC's water quality



- Climate Resiliency and Sustainability Plan



- 5% of Measure M allocated to the Environmental Mitigation Program
- 1,300 acres of open space acquired
- 12 restoration projects funded

# ESG: Connecting with Diverse & Disadvantaged Communities

## Partnerships & Projects



### Conduct diversity outreach programs

Ensure strategies are integrated with capital projects, planning studies, transit marketing and more



### Maximize relationships with stakeholders that represent diverse communities

Enhance engagement opportunities with OCTA's Diverse Community Leaders



### Communicate DEI efforts to public & stakeholders

Maintain & update [octa.net/equity](https://octa.net/equity)

## People



### Support employees' voices

Implement a schedule for recognizing historical and cultural dates internally and pilot an Employee Resource Group



### Further train managers to identify unconscious bias in hiring

Develop and implement interview training for managers that encompasses unconscious bias



### Provide unconscious bias training for employees

Launch online version of training for new administrative employees

## Policies & Programs



### Review OCTA's policies, practices & programs related to DEI

Implement recommendations from consultant to enhance DEI efforts



### Provide updates on AAP/EEO development & implementation; Adhere to federal requirements

Present biannual updates to OCTA executive leadership



### Communicate DEI efforts

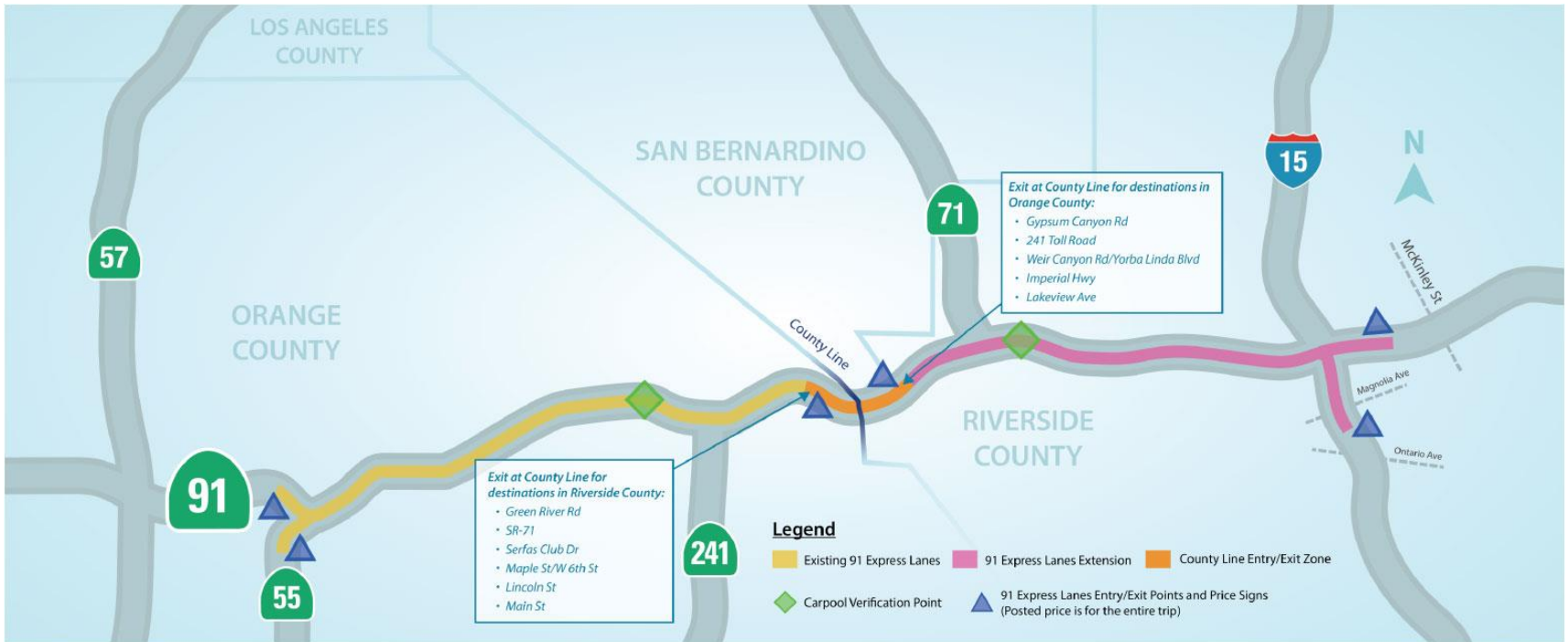
Present overview of DEI activities to the OCTA Board

*DEI – Diversity, Equity & Inclusion  
AAP – Affirmative Action Plan; EEO – Equal Employment Opportunity*



## 5. Express Lanes Programs

# State Route 91 Corridor



# Interstate 405 Corridor





# Express Lanes Update

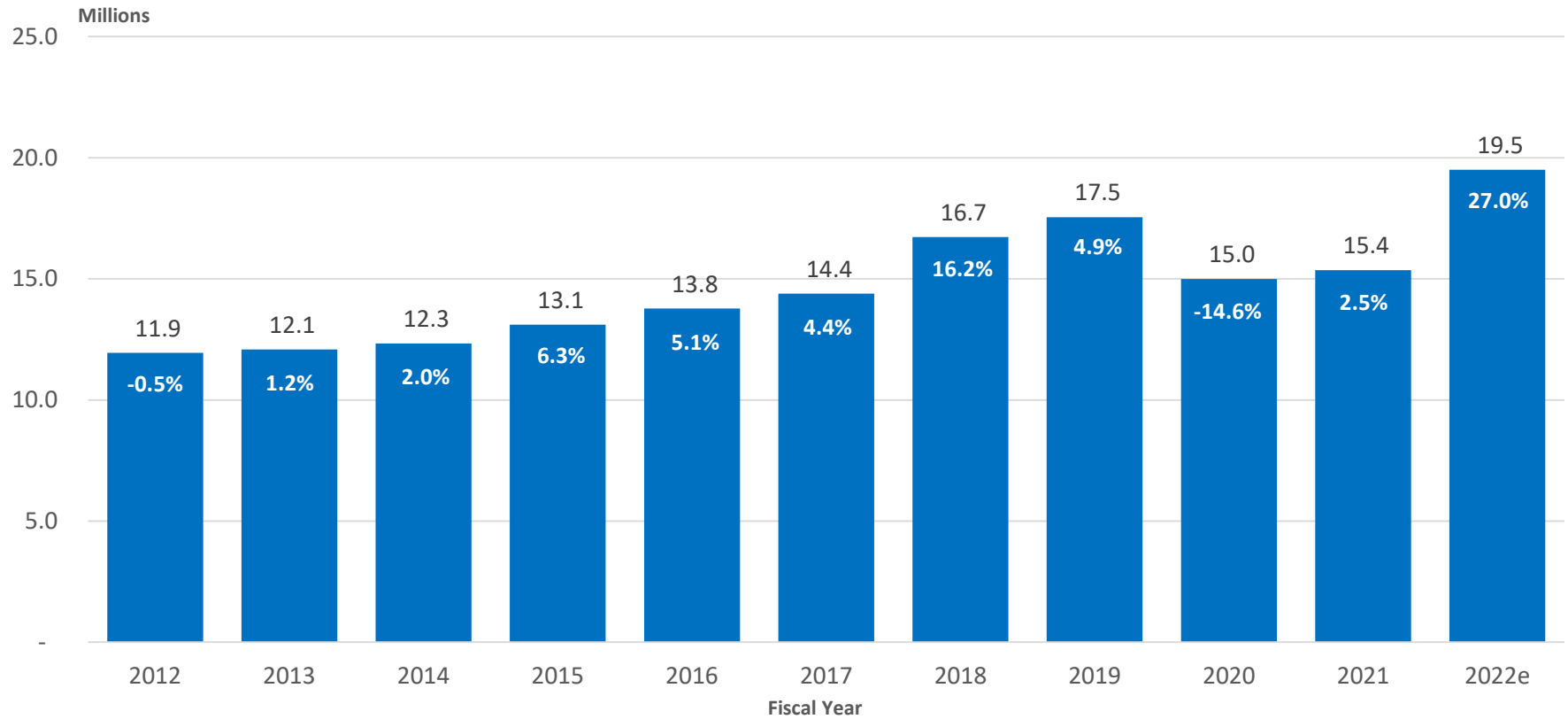
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- ❑ 91 Express Lanes traffic volumes and toll revenues have reached historic highs
- ❑ 91 Express Lanes back-office system implemented and transitioned to new operating contract
- ❑ Utilizing Freeway Services Patrols for roadway services on the 91 Express Lanes
- ❑ Selected vendor for 405 back-office systems/customer service center and executed agreement
- ❑ Entered into long-term lease for a 405 Express Lanes customer service center
- ❑ Continued to work with the Riverside Transportation Commission, the Transportation Corridor Agencies, and Caltrans on the delivery of a 241/91 Express Lanes Connector (tolled)



# Historical Annual Traffic Volumes

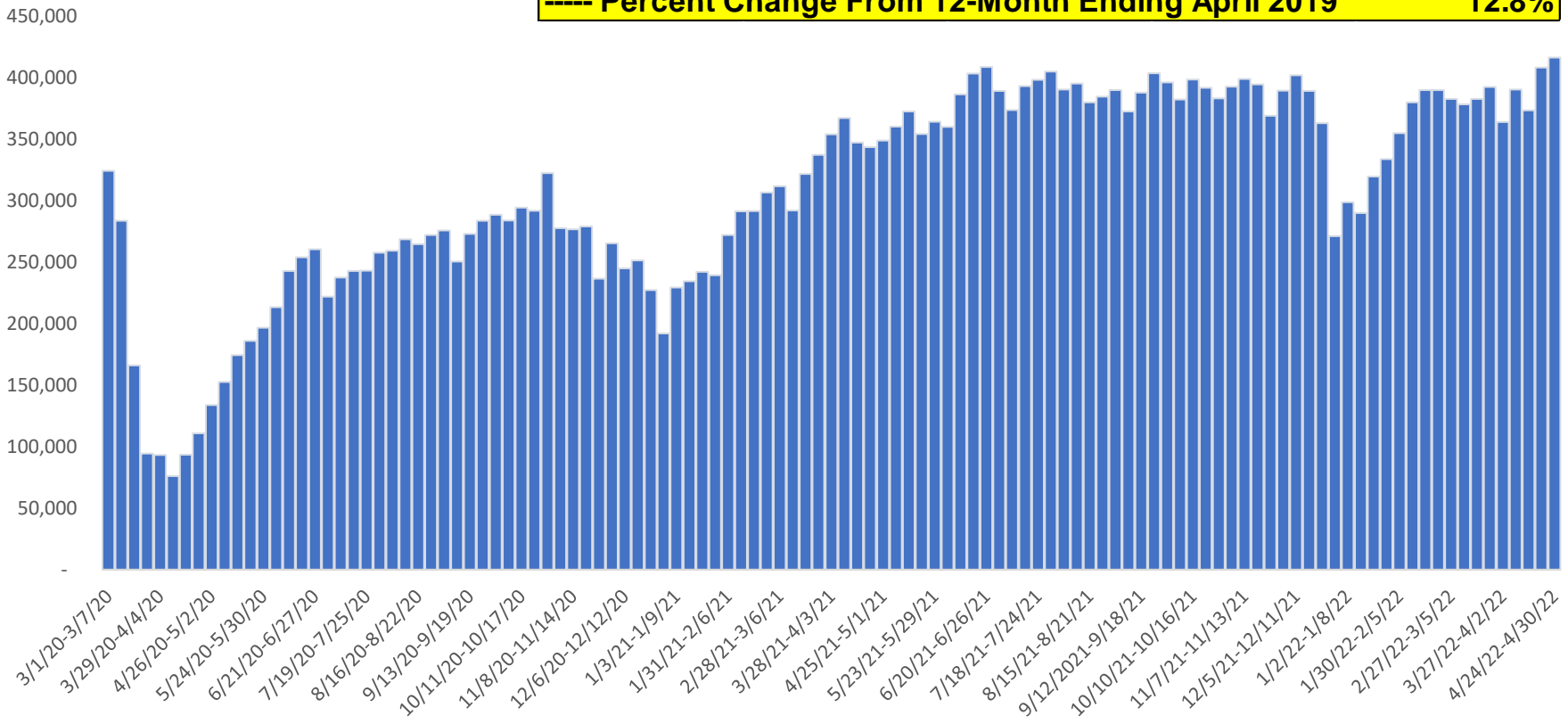
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# Closer Look at Weekly Traffic Volumes

<b>12-Month Ending April 2022 Traffic Volumes</b>	<b>19,708,044</b>
<b>---- Percent Change From 12-Month Ending April 2021</b>	<b>41.9%</b>
<b>---- Percent Change From 12-Month Ending April 2020</b>	<b>21.7%</b>
<b>---- Percent Change From 12-Month Ending April 2019</b>	<b>12.8%</b>

Weekly Trips

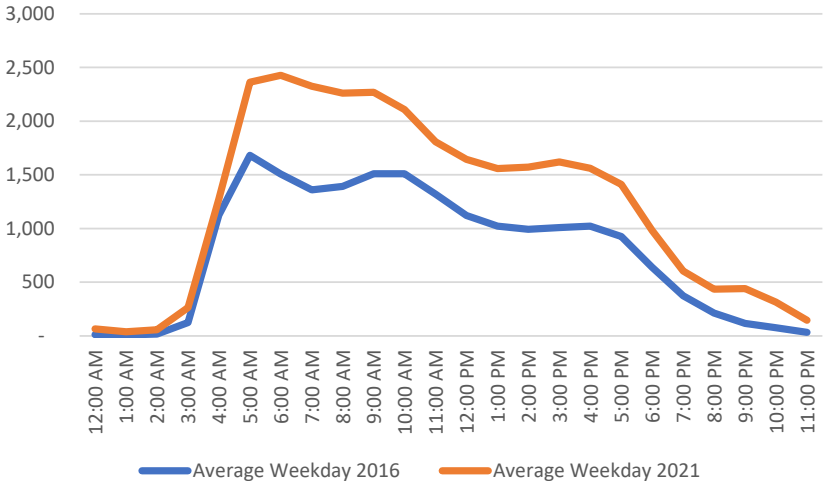




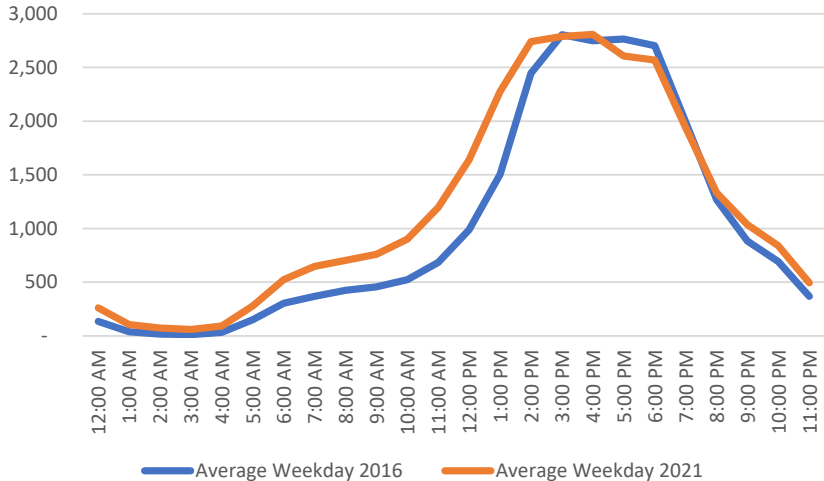
# Change in Travel Patterns Over the Years

*Opening of 91 Express Lanes Extension in Riverside County Increased Volumes in the Westbound Direction and COVID-19 Expanded Peak Travel Hours*

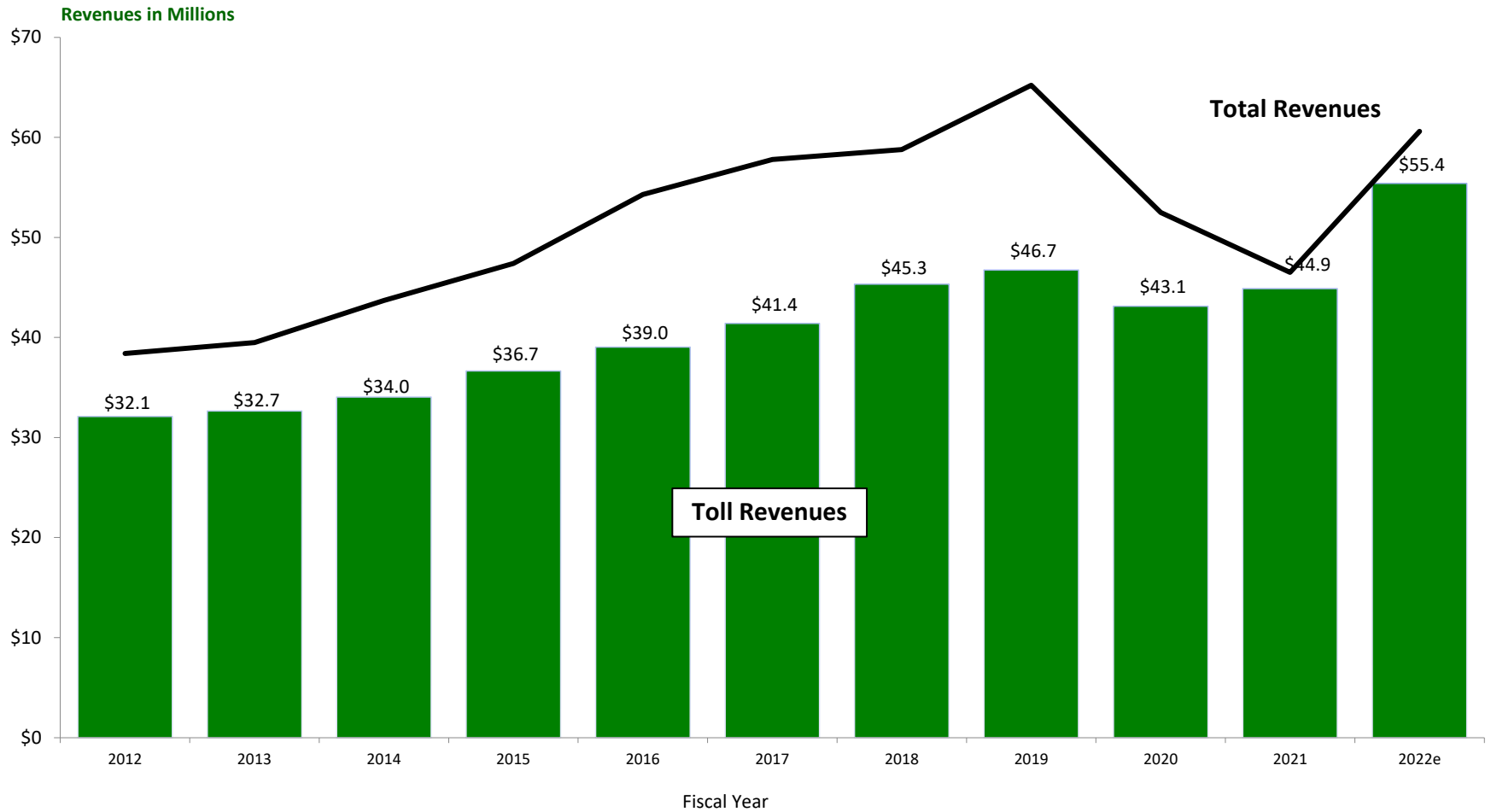
*Westbound Weekday Averages*



*Eastbound Weekday Averages*



# Revenues By Year



# Toll Rates As Of April 2022

## Westbound

Riverside County Line to SR-55

	Sun	M	Tu	W	Th	F	Sat
<b>Midnight</b>	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75
1:00 AM	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75
2:00 AM	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75
3:00 AM	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75
4:00 AM	\$1.75	\$3.15	\$3.15	\$3.15	\$3.15	\$3.15	\$1.75
5:00 AM	\$1.75	\$5.10	\$5.10	\$5.10	\$5.10	\$4.85	\$1.75
6:00 AM	\$1.75	\$5.30	\$5.30	\$5.30	\$5.30	\$5.10	\$1.75
7:00 AM	\$1.75	\$5.80	\$5.80	\$5.80	\$5.80	\$5.65	\$2.20
8:00 AM	\$2.20	\$5.30	\$5.30	\$5.30	\$5.30	\$5.10	\$2.60
9:00 AM	\$2.20	\$4.20	\$4.20	\$4.20	\$4.20	\$4.20	\$3.30
10:00 AM	\$3.30	\$2.60	\$2.60	\$2.60	\$2.60	\$2.60	\$3.30
11:00 AM	\$3.30	\$2.60	\$2.60	\$2.60	\$2.60	\$2.60	\$3.70
<b>Noon</b>	\$3.30	\$2.60	\$2.60	\$2.60	\$2.60	\$2.60	\$3.70
1:00 PM	\$3.70	\$2.60	\$2.60	\$2.60	\$2.60	\$2.60	\$3.70
2:00 PM	\$3.70	\$2.60	\$2.60	\$2.60	\$2.60	\$2.60	\$3.70
3:00 PM	\$3.70	\$2.60	\$2.60	\$2.60	\$2.60	\$3.30	\$3.70
4:00 PM	\$3.85	\$2.60	\$2.60	\$2.60	\$2.60	\$3.30	\$3.85
5:00 PM	\$3.85	\$2.60	\$2.60	\$2.60	\$2.60	\$3.30	\$3.85
6:00 PM	\$3.85	\$2.60	\$2.60	\$2.60	\$2.60	\$3.80	\$3.30
7:00 PM	\$3.30	\$1.75	\$1.75	\$1.75	\$1.75	\$2.60	\$2.60
8:00 PM	\$3.30	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75
9:00 PM	\$3.30	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75
10:00 PM	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75
11:00 PM	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75

OCTA Westbound Maximum Rate: \$5.80  
 RCTC Westbound Maximum Rate: \$18.30

## Eastbound

SR-55 to Riverside County Line

	Sun	M	Tu	W	Th	F	Sat
<b>Midnight</b>	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75
1:00 AM	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75
2:00 AM	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75
3:00 AM	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75
4:00 AM	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75
5:00 AM	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75
6:00 AM	\$1.75	\$2.60	\$2.60	\$2.60	\$2.60	\$2.60	\$1.75
7:00 AM	\$1.75	\$2.60	\$2.60	\$2.60	\$2.60	\$2.60	\$1.75
8:00 AM	\$2.10	\$2.60	\$2.60	\$2.60	\$2.60	\$2.60	\$2.60
9:00 AM	\$2.10	\$2.60	\$2.60	\$2.60	\$2.60	\$2.60	\$2.60
10:00 AM	\$3.30	\$2.60	\$2.60	\$2.60	\$2.60	\$2.60	\$3.30
11:00 AM	\$3.30	\$2.60	\$2.60	\$2.60	\$2.60	\$2.60	\$3.30
<b>Noon</b>	\$3.80	\$2.60	\$2.60	\$2.60	\$2.60	\$3.95	\$3.80
1:00 PM	\$3.80	\$3.65	\$3.65	\$3.65	\$3.95	\$6.20	\$3.80
2:00 PM	\$3.80	\$5.30	\$5.30	\$5.30	\$7.70	\$8.35	\$3.80
3:00 PM	\$3.30	\$5.65	\$5.75	\$7.45	\$7.45	\$7.90	\$3.80
4:00 PM	\$3.30	\$5.10	\$5.25	\$6.50	\$7.00	\$6.95	\$3.80
5:00 PM	\$3.30	\$4.95	\$4.90	\$5.40	\$6.70	\$6.75	\$3.80
6:00 PM	\$3.30	\$5.65	\$4.05	\$4.05	\$4.50	\$6.75	\$3.30
7:00 PM	\$3.30	\$3.95	\$3.95	\$3.95	\$5.75	\$6.25	\$2.60
8:00 PM	\$3.30	\$2.60	\$2.60	\$2.60	\$3.65	\$5.75	\$2.60
9:00 PM	\$2.60	\$2.60	\$2.60	\$2.60	\$2.60	\$3.65	\$2.60
10:00 PM	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$2.60	\$1.75
11:00 PM	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75	\$1.75

OCTA Eastbound Maximum Rate: \$8.35  
 RCTC Eastbound Maximum Rate: \$26.80

# 405 Express Lanes Update

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- ❑ Toll Systems Integrator (In-Lane System, Electronic Message Signs, Corridor Cameras)
  - Kapsch TrafficCom working with OC 405 Partners on design and coordination
- ❑ Back-Office System and Customer Service Center Operations
  - Working with WSP USA Services, Inc. to develop the back-office system
- ❑ Customer Service Center
  - Executed long-term lease and completed initial design
- ❑ Traffic Operations Center
  - Utilizing OCTA's Santa Ana Bus Base location
  - Build out anticipated to be completed in summer 2022 and turned over to Kapsch TrafficCom
  - Kapsch TrafficCom will install monitoring equipment and staff 24/7 operation

# 241/91 Express Lanes Connector Update

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- Agencies continue to meet on a regular basis to advance the project to construction
- Estimated costs updated to \$350-380 million, funded by the TCAs
- State grant funding for the project will be pursued and TCAs will be seeking AB 194 tolling authority
- Traffic modeling and analysis continues to be performed
- OCTA's priority is to control the number of vehicles entering the 91 Express Lanes
- Estimated opening is late 2026



# Upcoming Events

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- Complete installation of 91 Express Lanes new entrance readers and replace digital cameras along the SR-91 corridor
  
- Receive updated traffic and revenue study for the 91 Express Lanes
  
- Adjust toll rates as required
  
- Develop initial toll rate schedule and update toll policy for the 405 Express Lanes
  
- Procure marketing services for the 405 Express Lanes
  
- Continue participating with partner agencies in the development of the 241/91 Express Connector project

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## **6. Debt Programs and Financing Plans**

# Debt Profile Update

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- ❑ \$610.2 million M2 Sales Tax Revenue Bonds debt outstanding
- ❑ \$78.5 million in Senior Lien Toll Road Revenue Refunding Bonds (Series 2013) outstanding for the 91 Express Lanes program
- ❑ I-405 Toll Revenue Loan (I-405 Express Lanes)
  - TIFIA Loan Reset
  - \$662.8 million in Bond Anticipation Notes outstanding (2021 TIFIA BANs)

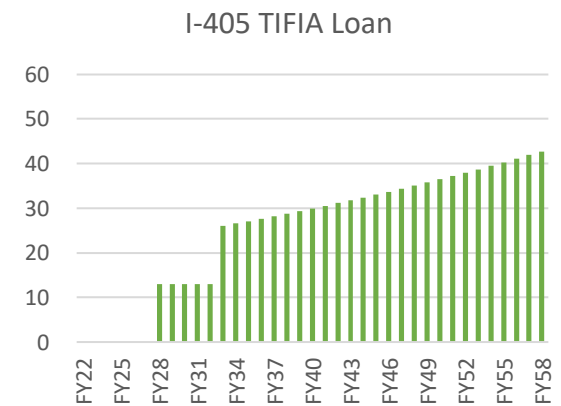
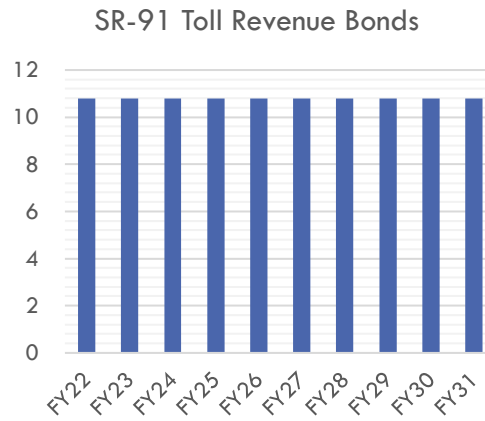
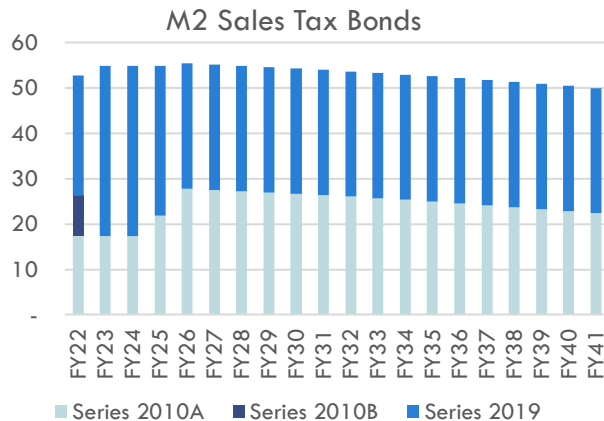


# Debt Profile - Outstanding Debt Of \$1.4 Billion

## Debt Summary

Credit	Original Par Amount	Outstanding Par Amount	Final Maturity	Ratings (Fitch/Moody's/S&P)
<b>M2 Sales Tax Revenue Bonds</b>				
2010 Series A (Taxable BABs)	\$ 293,540,000	\$ 250,000,000	2041	AA+/Aa2/AA+
2019 Series (Tax-Exempt)	\$ 376,690,000	\$ 360,170,000	2041	AA+/-/AA+
<b>91Toll Revenue Bonds (91 Express Lanes)</b>				
2013 Series Refunding Bonds	\$ 124,415,000	\$ 78,515,000	2030	A+/A1/AA-
<b>I-405 Toll Revenue Loan (I-405 Express Lanes)</b>				
2021 TIFIA Loan	\$ 628,930,000	\$ --	2058	--/Baa2/--
2021 Bond Anticipation Notes	\$ 662,820,000	\$ 662,820,000	2024	Aa3/AA
<b>Total</b>		<b>\$ 1,351,505,000</b>		

## Debt Service By Credit (\$MM)\*



\*Excludes 2021 BANs

# 91 Express Lanes Debt

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- ❑ \$78.5 million in Senior Lien Toll Road Revenue Refunding Bonds (Series 2013) outstanding for the 91 Express Lanes program
- ❑ Structure of the outstanding debt includes:
  - Fixed-rate debt with level annual debt service
  - Average debt service per year of \$10.8 million
  - Final maturity of December 2030
  - Open lien indenture
- ❑ Indenture-required reserves:
  - Operating Reserve Fund at \$3 million
  - Major Maintenance Reserve Fund at \$10 million
  - Debt Service Reserve Fund at \$10.8 million
- ❑ Two additional reserves funded by OCTA
  - Capital Reserve: \$26 million
  - SR-91 Corridor Projects Reserve: \$75 million
- ❑ Franchise Agreement terminates in 2065



# 91 Express Lanes Historical Coverage

<i>\$ in Millions</i>	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22e
Gross Potential Toll Revenues	\$ 44.59	\$ 49.65	\$ 51.85	\$ 46.51	\$ 48.97	\$ 60.21
Tolls	41.40	45.33	46.74	43.11	44.88	55.39
Add: Non-Toll Revenues	16.43	13.46	18.45	9.39	1.63	5.22
Revenues	57.83	58.79	65.19	52.50	46.51	60.61
Less: Current Expenses	(31.83) *	(16.40)	(15.31)	(15.05)	(14.73)	(15.00)
Net Revenues for Debt Service	\$ 25.99	\$ 42.39	\$ 49.89	\$ 37.46	\$ 31.78	\$ 45.61
Debt Service	\$ 10.80	\$ 10.79	\$ 10.80	\$ 10.80	\$ 10.80	\$ 10.80
<b>Debt Service Coverage Ratio</b>	<b>2.41x</b>	<b>3.93x</b>	<b>4.62x</b>	<b>3.47x</b>	<b>2.94x</b>	<b>4.23x</b>

\* Current Expenses in FY 2017 include \$13.7 million for the pavement rehabilitation project which was classified as an operating expense instead of a capital expense. The project was funded with 91 Express Lanes capital reserve funds.

# 91 Express Lanes Coverage Projections With No Revenue Growth

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<i>\$ in Millions</i>	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27	FY 2027-28	FY 2028-29	FY 2029-30	FY 2030-31
Gross Potential Toll Revenues (1)	\$ 60.21	\$ 60.21	\$ 60.21	\$ 60.21	\$ 60.21	\$ 60.21	\$ 60.21	\$ 60.21	\$ 60.21
Tolls (2)	55.39	55.39	55.39	55.39	55.39	55.39	55.39	55.39	55.39
Add: Non-Toll Revenues (3)	5.22	5.22	5.22	5.22	5.22	5.22	5.22	5.22	5.22
Revenues	60.61	60.61	60.61	60.61	60.61	60.61	60.61	60.61	60.61
Less: Current Expenses (4)	(15.60)	(16.22)	(16.87)	(17.55)	(18.25)	(18.98)	(19.74)	(20.53)	(21.35)
Net Revenues for Debt Service	\$ 45.01	\$ 44.39	\$ 43.74	\$ 43.07	\$ 42.36	\$ 41.63	\$ 40.87	\$ 40.08	\$ 39.26
2013 Bonds Debt Service	\$ 10.79	\$ 10.80	\$ 10.80	\$ 10.80	\$ 10.80	\$ 10.80	\$ 10.80	\$ 10.80	\$ 10.80

Debt Service Coverage Ratio for Outstanding Bonds	4.17x	4.11x	4.05x	3.99x	3.92x	3.86x	3.79x	3.71x	3.64x
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(1) No revenue growth - revenues remain at FY 2022 levels

(2) Tolls reflect 92% of Gross Potential Toll Revenues

(3) Non-toll revenues are estimated to remain the same as FY 2022 levels

(4) Current expenses are estimated to increase by an average of 4.0% per year

# TIFIA Loan Reset And 2021 BANs Issuance

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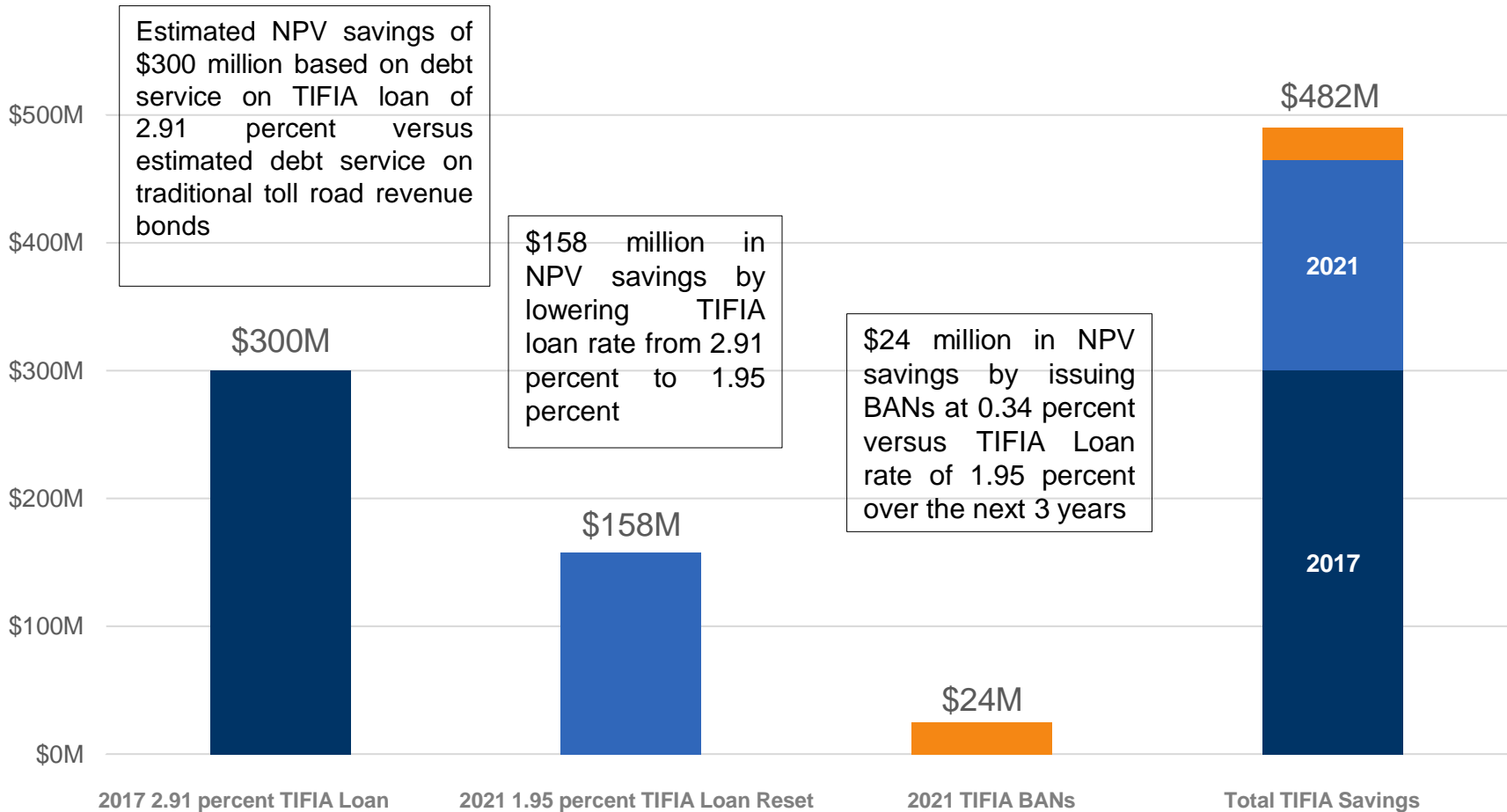
## ❑ TIFIA Loan Reset

- Original TIFIA loan amount of \$629 million at 2.91 percent
- The rate reset closed on September 9, 2021 at 1.95 percent
- \$158 million in NPV savings
- OCTA became the first agency to close on a partially drawn TIFIA loan
- No change in commercial terms

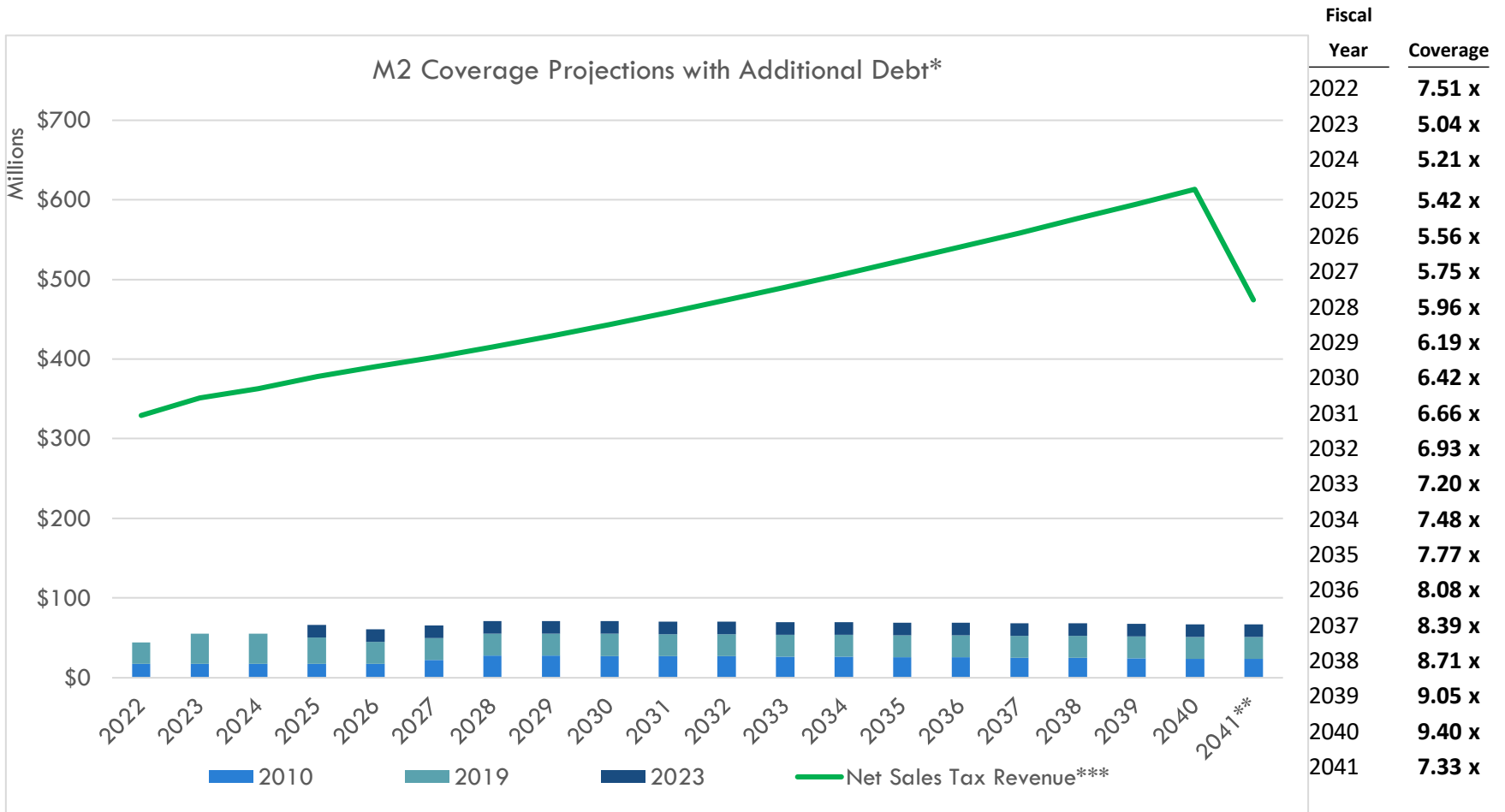
## ❑ 2021 BANs

- Issued \$663 million in BANs at a rate of 0.34 percent with a maturity date of October 2024
- The NPV savings of issuing the BANs in lieu of drawing on the TIFIA loan is \$24 million

# TIFIA Debt Service Savings



# M2 Coverage Projections With Additional Debt



\* Excludes 2021 BANs Issuance and assumes M2 bond issuance of \$200 million in 2023

\*\* Represents three quarters of a year of sales tax collections since the Measure M2 program ends March 31, 2041.

\*\*\* Measure M2 sales tax revenues less CDTFA fees, Environmental Cleanup allocation, and Local Fair Share funds.

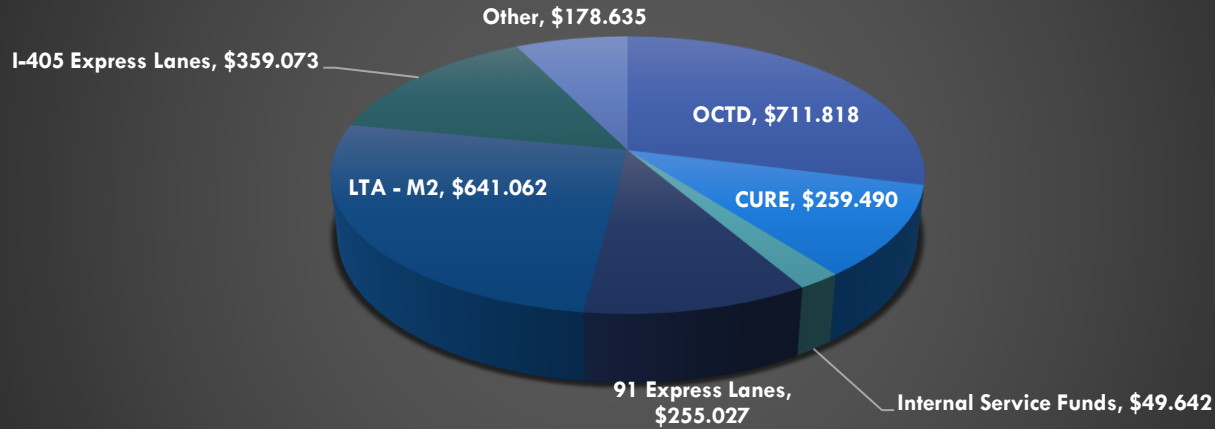
# OCTA Financing Plans

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- No additional debt currently planned for the 91 Express Lanes
- 2021 BANs to be paid at maturity in 2024
- One additional M2 debt issuance of \$200 million planned in FY 2023



# Cash Balance Totals \$2.5 Billion



OCTD - Orange County Transit District	LTA - Local Transportation Authority (M2)	CURE - Commuter Rail Endowment Fund	Internal Service Funds	91 Express Lanes	I-405 Express Lanes	Other
Fund supporting administrative, operational, and capital functions of fixed route, rail feeder, express, and paratransit bus service	Fund accounts for all Measure M2 revenues, bond proceeds, interest earnings, debt service, and project expenditures	Fund finances operating expenses for OCTA's participation in Metrolink's commuter rail services	Funds established to account for the costs of OCTA's liabilities and insurance programs	Fund established to account for the revenues and expenditures associated with the 91 Express Lanes	Fund established to account for the revenues and expenditures associated with the I-405 Express Lanes	Includes Orange County Unified Transportation Trust Fund, Local Transportation Fund, Service Authority for Freeway Emergencies, Transportation Development Capital, ARBA Trust Fund, etc.

# Fundamentals Remain Strong

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- ❑ OCTA
  - No outstanding debt, or plans to issue debt, for transit programs
- ❑ Measure M2 Program
  - Strong growth in sales tax revenues
  - Program is fully funded and limited amounts of additional debt planned
  - Debt service coverage ratio solidly above indenture requirements
- ❑ 405 Express Lanes Debt
  - Secured by a TIFIA loan
- ❑ 91 Express Lanes
  - Traffic volumes and toll revenues at historic highs despite COVID-19 and additional capacity added in the SR-91 corridor
  - 27-year operating history that's experienced growth and recessionary periods
  - Outstanding fixed-rate debt has a 2030 final maturity and annual debt service requirements of \$10.8 million (Franchise Agreement ends in 2065)
  - Debt service coverage ratio solidly above indenture requirements

# Orange County Transportation Authority

---



**Darrell E. Johnson**  
Chief Executive Officer  
714-560-5349

**Andrew Offelle**  
Chief Financial Officer  
714-560-5649

**Robert Davis**  
Treasury and Public Finance Manager  
714-560-5675



COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors

**From:** Andrea West, Interim Clerk of the Board *Andrea West*

**Subject:** Oversight Controls and Contract Compliance Related to the OC Streetcar Design and Construction Management, Internal Audit Report No. 22-505

Finance and Administration Committee Meeting of July 27, 2022

**Present:** Directors Goodell, Harper, Hennessey, Jones, and Sarmiento

**Absent:** Directors Hernandez and Muller

**Committee Vote**

This item was passed by the Members present.

Director Sarmiento was not present to vote on this item.

**Committee Recommendation**

Direct staff to implement five recommendations provided in Oversight Controls and Contract Compliance Related to the OC Streetcar Design and Construction Management, Internal Audit Report No. 22-505.



**July 27, 2022**

**To:** Finance and Administration Committee

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

Janet Sutter, Executive Director  
Internal Audit Department

**Subject:** Oversight Controls and Contract Compliance Related to the OC Streetcar Design and Construction Management, Internal Audit Report No. 22-505

### **Overview**

The Internal Audit Department of the Orange County Transportation Authority has completed an audit of oversight, procurement, invoice, and project reporting controls and compliance with policies, procedures, and contracts related to the design and construction management of the OC Streetcar project. The initial scope of the audit included the OC Streetcar construction contract; however, this was excluded at legal counsel direction, and consistent with government auditing standards that require consideration of interference with ongoing legal proceedings. Based on the audit, procurements were handled in compliance with procedures, required status meetings with the Federal Transit Administration are conducted, and quarterly project reports to the Board of Directors are provided. However, recommendations have been made to reconsider the use of a Schedule of Values in firm-fixed price contracts to recover identified overbillings by consultants, to resume preparation of internal project status reports on a monthly basis, and to enhance controls over contract amendments and monitoring of consultant insurance requirements.

### **Recommendation**

Direct staff to implement five recommendations provided in Oversight Controls and Contract Compliance Related to the OC Streetcar Design and Construction Management, Internal Audit Report No. 22-505.

### ***Background***

The Orange County Transportation Authority (OCTA) is implementing a modern streetcar running between the Santa Ana Regional Transportation Center in the City of Santa Ana and the intersection of Harbor Boulevard and Westminster Avenue in the City of Garden Grove, in cooperation with these two cities. The OC Streetcar project, with a 4.15-mile route, includes ten streetcar stops in each direction, comprised of four shared center platforms and six side platforms in each direction, and a maintenance and storage facility that accommodates up to fifteen modern streetcar vehicles, as well as all necessary administration, operations, vehicle maintenance, parts storage, and maintenance-of-way needs.

OCTA entered into Agreement No. C-5-3337 with HNTB Corporation to provide design consultant services. The contract was set up as a firm-fixed price contract, with a fixed price of \$16,434,022 and term through December 31, 2019. By Amendment 11, the term had been extended through September 30, 2022, and the maximum obligation had increased to \$26,083,841. OCTA entered into Agreement No. C-6-0926 with PGH Wong Engineering, Inc. to provide construction management (CM) services. The contract was set up as a time and expense contract, with a maximum obligation of \$10,752,136 and term through June 30, 2021. By Amendment 14, the term had been extended through November 30, 2024, and the maximum obligation had increased to \$35,082,570.

### ***Discussion***

The design consultant is billing for design support during construction using a Schedule of Values (SOV) that identifies unit rates for administration, meetings, requests for information (RFI), submittals, non-conformance reports, and other items, which is not typical in design agreements and is inconsistent with a firm-fixed price contract for which work is billed based on percentage of completion. The unit rates in the SOV increased significantly in a contract amendment, despite a lack of adequate accounting support to justify the increases. Recent amendments have been estimated to fund only a period of time instead of projecting the full fixed price, and since the contract had run out of funding before two amendments were processed, costs were incurred without contract authority for six months. Based on unit rates in the SOV and corresponding quantities in the monthly progress reports, the Internal Audit Department (Internal Audit) identified overbillings totaling \$160,712, resulting from: overcounting two RFIs, splitting an RFI into multiple parts with each part billed at the RFI rate, duplicate billings of RFIs, submittals, meetings, and non-conformance reports, and billing of responses to OCTA questions or

requests as an RFI, when an RFI is actually a formal request notification issued by the construction contractor. Further, starting in November 2021, the design consultant began billing labor hours for services of an engineering manager, which are not allowable per the contract or the SOV, and may overlap with time already being compensated for responding to RFIs, attending meetings, monthly administration, etc. These unallowable charges totaled \$44,958 in November 2021, and \$49,454 in December 2021. Internal Audit recommended that management reconsider use of an SOV and initiate amendments in a timely manner. Management should also recover identified overbillings and unallowable charges and disallow payments for services not allowed by the SOV. Management agreed to amend the contract to remove the use of SOVs. Management agreed to recover identified overbillings but indicated that unallowable charges for services by an engineering manager will not be recovered as these services were requested by management.

Internal Audit also identified duplicate billings of labor hours and other direct costs by the CM, resulting in \$987.63 in overbillings. Additionally, while the CM contract allows for escalation of labor billing rates on an annual basis, Internal Audit identified five consultant staff that were added to the contract and their billing rates escalated before their hire date or within two to three months of their hire date. Finally, when pricing the value of amendments, a few consultants used indirect rates and escalation that were higher than the contract rates or rates used in the original proposal. Internal Audit recommended that management recover overbillings, enhance controls over escalation when adding new staff, and ensure that the pricing of amendment values is based on the original contract or proposal rates. Management indicated that overbillings will be recovered and agreed to implement the recommendations.

Project Controls recently changed the frequency of its project status summary reporting from monthly to quarterly. Internal Audit recommended that Project Controls resume preparing monthly status summary reports in accordance with written procedures. Management responded that written procedures will be assessed, and revisions considered to effect efficient use of Project Controls resources.

Internal Audit also noted that consultants had not submitted evidence of required insurance three months after expiration of insurance certificates on file. Internal Audit recommended management develop procedures to ensure insurance coverage is maintained by consultants throughout the contract term and that standards for follow-up be set for outside vendors involved in the monitoring process. Management responded that the new contract with the



outside vendor will include more defined performance metrics and standards of service for insurance document tracking.

***Summary***

Internal Audit has completed an audit of oversight and contract compliance controls related to OC Streetcar design and construction management. Five recommendations were offered.

***Attachment***

- A. Oversight Controls and Contract Compliance Related to the OC Streetcar Design and Construction Management, Internal Audit Report No. 22-505

**Prepared by:**

*Serena K. Ng*

Serena Ng  
Senior Manager, Internal Audit  
714-560-5938

**Approved by:**

*Janet Sutter*

Janet Sutter  
Executive Director, Internal Audit  
714-560-5591



# ORANGE COUNTY TRANSPORTATION AUTHORITY INTERNAL AUDIT DEPARTMENT



## Oversight Controls and Contract Compliance Related to the OC Streetcar Design and Construction Management

### Internal Audit Report No. 22-505

July 13, 2022



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## **Conclusion**

The Internal Audit Department (Internal Audit) of the Orange County Transportation Authority (OCTA) has completed an audit of oversight, procurement, invoice, and project reporting controls for compliance with policies, procedures, and contracts related to the design and construction management of the OC Streetcar project. Based on the audit, procurements were handled in compliance with procedures, required status meetings with the Federal Transit Administration (FTA) are conducted, and quarterly project reports to the Board of Directors (Board) are provided. However, recommendations have been made to reconsider the use of a Schedule of Values in firm-fixed price contracts, to recover identified overbillings by consultants, to resume preparation of internal project status reports on a monthly basis, and to enhance controls over contract amendments and monitoring of consultant insurance requirements.

The initial scope of the audit included the OC Streetcar construction contract; however, this was excluded at legal counsel direction, and consistent with government auditing standards that require consideration of interference with ongoing legal proceedings.

## **Background**

### OC Streetcar Project

OCTA is implementing a modern streetcar running between the Santa Ana Regional Transportation Center in the City of Santa Ana and the intersection of Harbor Boulevard and Westminster Avenue in the City of Garden Grove, in cooperation with these two cities. The OC Streetcar project, with a 4.15-mile route, is being implemented as part of the Measure M2 (M2) Project S – Transit Extensions to Metrolink. The project includes ten streetcar stops in each direction, comprised of four shared center platforms and six side platforms in each direction. Each stop includes a canopy, benches, leaning rails, trash cans, lighting, changeable message signs, video cameras, a public address system, and ticket vending machines, which will be procured separately. The project includes a maintenance and storage facility that accommodates up to 15 modern streetcar vehicles, as well as all necessary administration, operations, vehicle maintenance, parts storage, and maintenance-of-way needs.

The project budget at 30 percent design was established at \$309,013,000, increased to \$310,444,000 at 60 percent design, and increased to \$424,361,000 to reflect the award of the construction contract. The baseline to complete construction was set for April 2020, revised to July 2020, revised to August 2021, and revised to December 2021. On December 13, 2021, the Board approved a revised FTA Full Funding Grant Agreement budget of \$509.54 million, with staff determining March 2024 to be an achievable revenue service date.

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Contracts

Effective February 1, 2016, OCTA entered into Agreement No. C-5-3337 with HNTB Corporation (HNTB) to provide design consultant services for Plans, Specification, and Estimates (PS&E) for the OC Streetcar project. The contract was set up as a firm-fixed price contract, with a price of \$16,434,022, and term through December 31, 2019. By Amendment 11, the term had been extended through September 30, 2022, and the maximum obligation had increased to \$26,083,841.

Effective December 6, 2016, OCTA entered into Agreement No. C-6-0926 with PGH Wong Engineering, Inc., to provide construction management (CM) services in support of the OC Streetcar project. The contract was set up as a time-and-expense contract, with a maximum obligation of \$10,752,136 and term through June 30, 2021. By Amendment 14, the term had been extended through November 30, 2024, and the maximum obligation had increased to \$35,082,570.

Effective November 19, 2018, OCTA entered into Agreement No. C-7-1904 with Walsh Construction Company II, LLC, for the construction of the OC Streetcar project.

Procurements and amendments are governed by the Contracts Administration and Materials Management (CAMM) Department's procurement policies and procedures, and CAMM maintains evidence of compliance in the agreement files.

Project-Related Controls

The Regional Rail Program Management Procedures present project management procedures to manage projects and provide guidance on the preparation and updating of a risk register that identifies possible risks that may impact the project including design, construction, start-up, operations, and revenue service.

Meetings with the FTA and the FTA's consultant were held on a quarterly basis prior to September 2021, at which point meetings began to be held monthly.

Beginning 2019, quarterly updates on the OC Streetcar project are provided to the Board. The OC Streetcar project is also included in quarterly M2 progress reports and quarterly progress reports on the Capital Action Plan performance metrics provided to the Board.

Invoice Review

Project Controls staff reviews consultant invoices using an invoice review checklist. For the CM invoices, staff checks if the labor rates are consistent with the contract, invoiced labor hours are adequately supported, and other direct costs (ODC) are based on contract rate schedules or adequately supported. For the design invoices, staff prepares the

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account coding and checks if the total contract value is correct, and the invoice is within the maximum payment obligation. After Project Controls' review, the project manager reviews the invoices to check if labor hours or percentage completion are reasonable and work descriptions are consistent with his knowledge, approves ODCs as required by the contract, and approves the invoices. Accounts Payable reviews the invoices for proper signature authority prior to processing payment.

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## **Objectives, Scope, and Methodology**

The objectives were to assess and test oversight, procurement, invoice, and project reporting controls and compliance with policies, procedures, and contracts.

According to Generally Accepted Government Auditing Standards (GAGAS), internal control is the system of processes that an entity's oversight body, management, and other personnel implemented to provide reasonable assurance that the organization will achieve its operational, reporting, and compliance objectives. The five components are control environment, risk assessment, control activities, information and communication, and monitoring.<sup>1</sup> The components and principles that were evaluated as part of this audit are:

- Control Environment
  - OCTA demonstrates a commitment to attract, develop, and retain competent individuals in alignment with objectives.
- Risk Assessment
  - OCTA identifies risks to the achievement of its objectives across the entity and analyzes risks as a basis for determining how the risks should be managed.
- Control Activities
  - OCTA deploys control activities through policies that establish what is expected and procedures that put policies into action.
- Information and Communication
  - OCTA obtains or generates and uses relevant, quality information to support the functioning of internal control.
- Monitoring
  - OCTA evaluates and communicates internal control deficiencies in a timely manner to those parties responsible for taking corrective action, including senior management and the Board, as appropriate.

The methodology consisted of testing compliance with selected procurement policies and procedures, confirming if a risk register was updated during the construction phase, assessing invoice review procedures and testing a judgmental sample of invoices for compliance with policies and contract provisions, reviewing reports and/or presentations for meetings with the FTA, testing a judgmental sample of Project Controls' monthly status reports, and testing the quarterly project status reporting to the Board.

The scope was originally designed to include contract compliance and internal controls over the design, construction management, and construction contracts. Subsequently,

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<sup>1</sup> See U.S. Government Accountability Office publication, "Standards for Internal Control in the Federal Government," available at <http://www.gao.gov/products/GAO-14-704G>, for more information.

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the construction contractor initiated a lawsuit against OCTA. To avoid interference with the ongoing legal proceeding, OCTA's legal counsel advised Internal Audit to withdraw from the testing of construction contract compliance, change orders, and invoicing portions of the audit engagement. The audit scope was revised accordingly to exclude such work. The revised scope included: procurements for the design, construction, and construction management contracts, all amendments to the construction management contract distributed through February 2022, as well as amendments to the design contract distributed from November 2018 through February 2022, all invoices paid on the construction management contract through February 2022, as well as design contract invoices billed from November 2018 through invoices paid in February 2022, FTA meetings in 2021, Project Controls' monthly status reports posted from November 2020 through February 2022,; and OC Streetcar project quarterly updates to the Board for quarters beginning September 2020 and ending December 2021, M2 quarterly progress reports for quarters beginning July 2020 and ending September 2021, and quarterly Capital Action Plan performance metrics reports for quarters beginning October 2020 and ending December 2021. The scope of the testing of Project Controls' monthly status reports and quarterly reports to the Board was limited to reports not previously tested in OC Streetcar Project Management Consultant: Oversight Controls and Contract Compliance, Internal Audit Report No. 21-503, and to reporting posted or presented through February 2022. The judgmental samples of design contract amendments and invoices were selected to provide coverage during the construction phase which began in November 2018. Since the samples are non-statistical, any conclusions are limited to the sample items tested.

We conducted this performance audit in accordance with GAGAS. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

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**Audit Comments, Recommendations, and Management Responses**

**Design Contract Schedule of Values and Overbillings**

The design consultant is billing for design support during construction using a Schedule of Values (SOV), which is not typical in design agreements and is inconsistent with a firm-fixed price contract for which work is billed based on percentage of completion. Prior to execution of the contract, the Scope of Work (SOW) was revised to include a provision allowing the consultant to develop a SOV at 90 percent PS&E completion. The SOV was developed and added in Amendment 8 to the contract that identified unit prices for administration, requests for information (RFI), submittals, non-conformance reports, etc.

The original firm-fixed price of the contract was \$16,434,022, and as of Amendment 11, had increased to \$26,083,841. Of the \$9,649,819 increase, \$7,091,782 relates to design support during construction, which was originally executed at a price of \$971,534, and had increased to \$8,063,316 as of February 2022.

While the project management consultant performed a review of unit values originally proposed by the design consultant, the unit values were increased significantly in Amendment 10, despite a lack of adequate accounting support to justify the increases. Unit values increased again in Amendment 11. The SOV, and increases, are as follows:

	Amendment 8- 11/21/19	Amendment 10- 9/14/20	%	Amendment 11- 6/14/21	%
Administration (monthly)	5,720	11,440	100.0%	11,726	2.5%
Meetings	750	750	0.0%	769	2.5%
Geotechnical Inspection	2,100	2,461		2,523	
Test Report Review		308		315	
	2,100	2,769	31.9%	2,838	2.5%
Partnering	5,240	176/hour		181/hour	
RFIs	700	1,214	73.4%	1,244	2.5%
Submittals	1,690	1,722	1.9%	1,765	2.5%
Sheet Changes	1,200	1,545	28.8%	1,584	2.5%
Spec Changes	700	905	29.3%	927	2.4%
Change Index Doc		150		154	
SOW Doc		377		385	
Independent Cost Estimate	640	827		848	
	640	1,354	111.6%	1,387	2.4%
Record Drawings	102,762	102,762	0.0%	102,762	0.0%
Non-Conformance Reports	860	860	0.0%	882	2.6%
Value Engineering Change Proposals	1,550	1,550	0.0%	1,589	2.5%



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While these amendments increased the contract maximum, the increases have been estimated to fund only a period of time (e.g., a year) instead of projecting the full firm-fixed price for services. Since the contract had run out of funding before two of the amendments were processed, costs were incurred without contract authority for six months.

The design consultant submits invoices that show a percentage of completion; however, the billed amounts are actually based on the quantities corresponding to the SOV items. The quantities are identified in monthly progress reports, which are not filed with the official invoice records. Since billings are based on the quantities corresponding to the SOV, Internal Audit reviewed the progress reports and recalculated invoice amounts based on the quantities in the progress reports and the SOV. Based on this review, Internal Audit identified overbillings totaling \$160,712, resulting from overcounting two RFIs, splitting an RFI into multiple parts with each part billed at the RFI rate, duplicate billings of RFIs, submittals, meetings, and non-conformance reports, and billing of responses to OCTA questions or requests as an RFI, when an RFI is actually a formal request notification issued by the construction contractor.

Further, starting in November 2021, the design consultant began billing labor hours of approximately 24 hours per week, for services of an engineering manager. These charges are not allowable per the contract or the SOV, and may overlap with time already being compensated for in the SOV for responding to RFIs, attending meetings, monthly administration, etc. These unallowable charges totaled \$44,958 in November 2021, and \$49,454 in December 2021.

**Recommendation 1:**

Internal Audit recommends that management reconsider whether a SOV should be allowed as a basis for billing under a firm-fixed price contract. If management continues to allow a SOV, increases to these rates should not be allowed until the design consultant provides adequate and sufficient support for proposed rates, and amendments should be initiated in a timely manner. Further, progress reports should be included as part of the invoice package and subjected to OCTA's formal invoice review process.

Management should recover identified overbillings and unallowable charges and disallow payments for services not allowed by the SOV.

**Management Response (CAMP and Capital Programs):**

The OC Streetcar project is unique and includes many complicated design elements and construction coordination. Therefore, it was determined that establishing SOVs to manage the consultant's services during construction seemed appropriate at that time for

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this unique project. For future firm-fixed price contracts, it will be evaluated if the use of SOVs is appropriate and may depend on the project design and construction complexity.

The rates for each SOV were developed by evaluating the level of effort and negotiating with the consultant. When the SOV rates were first established in Amendment No. 8 dated November 12, 2019, construction just began in March 2019. As construction progressed, additional coordination and effort were required by the consultant to maintain the pace of construction. In addition, project-related challenges, including hidden utilities and soil contamination, arise that require additional effort. As a result, Amendment No. 10 dated September 14, 2020, reflects the increased effort related to most SOVs. For Amendment No. 10, OCTA staff had the option to obtain detail accounting support to justify the increases; however, it was determined that multiple monthly reporting would be required to obtain a possible average of various SOVs. The value for each SOV would still need to be negotiated regardless of the accounting reports and will also vary as unknown project challenges arise. Understanding the detail review effort and possible results associated with the accounting support, it was determined by staff to not request the accounting reports, allow the consultant to propose SOV rates, and negotiate appropriately.

A progress report is required with each invoice to support the cost. Several invoices included a description of the same RFIs, submittals, meetings, and non-conformance reports due to the complexity of certain design and constructability. For a project of this size and complexity, it is common to have multiple reviews, submittals, meetings, etc. for a complex design element or project-related issue. In addition, when a design is modified it may trigger a modification to a previous RFI or submittal. In conclusion, some of the descriptions in the progress reports should have been expanded to clarify the additional effort. Duplicate efforts identified in this audit will be reviewed and costs will be recovered.

As the construction progressed and increased, so did the number of RFIs issued, submittals provided, and meetings attended. It was difficult for the consultant to maintain the pace of the construction; therefore, at the request of OCTA management, the consultant added an engineering manager to manage multiple SOVs to minimize delays to the contractor. The coordination effort by the engineering manager is extensive and varies each month; therefore, the associated cost is not included in the SOV rates. It was determined that the engineering manager may be billed at actual cost which is converted to percent complete towards the administration task.

After further review, staff has determined that the use of SOVs resulted in additional effort to monitor, review, and validate invoices. Furthermore, due to the complexity of the project, the effort required by HNTB for each subtask is not consistent and using SOVs with the same cost rates for inconsistent effort cannot be applied. The upcoming HNTB Amendment No. 12 was presented to the Board for approval on July 25, 2022. After Board

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approval, Amendment No. 12 will be prepared by CAMM to include contractual language that SOVs will no longer be used.

**Duplicate Billing and Compliance with Advance Approval Requirements**

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Internal Audit identified duplicate billings of labor hours and ODCs by the CM, resulting in \$987.63 of overbillings. Internal Audit also noted that one subconsultant is not required to submit timesheets, as required of all other consultants. Additionally, consultants did not obtain the project manager's approval in advance of overtime billed in ten invoices and ODCs not listed in the contract schedule in five invoices, as required by the contract.

**Recommendation 2:**

Internal Audit recommends that management recover the overbillings, require all subconsultants to submit timesheets, and enforce advance approval requirements.

**Management Response (Capital Programs):**

Staff has reviewed and confirmed the overbillings; therefore, costs will be recovered. Missing timesheets will be obtained, and the timesheet requirement will be enforced. Advance approval for overtime work is ongoing and will continue.

**Contract Escalation and Pricing of Amendment Values**

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The CM contract allows for escalation of labor billing rates on an annual basis; however, five new consultant staff were added to the contract and their billing rates were escalated before their hire date or within two to three months after their hire date. Two consultant staff were hired in December 2019 and February 2020, added to the contract at rates based on their salary offers, and their rates were escalated by three percent for the contract year starting December 2019. Another two consultant staff were hired in October 2018, added to the contract at rates based on their salary offers, and their rates were escalated by three percent and seven percent, respectively, for the contract year starting December 2018. The fifth consultant staff was hired in September 2020, added to the contract at a rate based on his salary offer, and his rate was escalated by three percent for the contract year starting December 2020.

In addition, when pricing the value of Amendment 1, a CM subconsultant was allowed an indirect rate higher than the contract rate. In pricing the values of Amendments 8, 10, and 11, a design subconsultant was allowed an indirect rate higher than the one used in the original cost proposal. Another design subconsultant was allowed direct labor rates higher than allowed by escalation in pricing the value of Amendment 10, and one design consultant staff was added without verification of the staff's rate through a payroll register.

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**Recommendation 3:**

Internal Audit recommends that CAMM enhance controls over escalation when adding new staff based on offer letters. CAMM should also ensure that the pricing of amendment values is based on the contract rates or rates used in the original proposal with appropriate escalation.

**Management Response (CAMM):**

Management agrees with the recommendation to enhance controls over escalation when adding new staff based on offer letters and will ensure that the pricing of amendment values is based on contract rates.

As new consultant staff is added to the contract based on an offer letter, CAMM will ensure that the billing rates for such employees are held consistent with OCTA standards for its new employees. New consultant staff added in the first seven months of the contract year will be eligible for agreed-upon escalation in the subsequent contract year. New consultant staff added in months eight to 12 of the contract year or within five months prior to the next annual escalation period, will not be eligible for escalation in the subsequent contract year, and the rate will be held for the subsequent contract period. The new staff will be added to the corresponding contract year based on the start date and labor billing rate identified in the offer letter.

For consultant staff that are being added with varying effective dates, separate amendments may be processed to make sure that the escalation to the billing rates is accurately applied to each staff addition request.

CAMM will ensure that the pricing of amendment values is based on the contract rates or rates used in the original proposal with appropriate escalation. CAMM will conduct refresher training to review the topics related to validating cost proposals with discrepancy in indirect cost rates or labor rates, processing of amendments and use of the automated rate schedules.

**Project Controls Monthly Status Summary Reports**

The Program Management Procedures states that Project Controls will prepare a monthly status report that provides summary data on the status of all projects; however, Project Controls recently changed the frequency of its status summary reporting from monthly to quarterly. As a result, monthly status summary reports were not prepared for the months of August 2021, October 2021, November 2021, January 2022, and February 2022. The audience for these reports includes the project manager, program manager, department director, and the Executive Director of Capital Programs.

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**Recommendation 4:**

Internal Audit recommends that Project Controls resume preparing its monthly status summary reports in accordance with procedures.

**Management Response (Capital Programs):**

Management recognizes that monthly summary reports were not prepared for projects as specified in the Project Management Procedures manual, and instead, quarterly project summary reports were prepared starting in October 2021. This was a temporary decision implemented primarily due to backlogged workload and lack of resources in the Project Controls group. Furthermore, in the assessment to consider only producing quarterly summary updates, it was determined that project cost, SOW, and schedule information for nearly all projects were experiencing relatively little change on a month-to-month basis and quarterly reporting was sufficient at the summary level. More detailed monthly project progress reporting by architectural and engineering consultants continued in accordance with specific contract terms. Progress reports for projects that required monthly monitoring and reporting continued to be prepared monthly. The OC Streetcar project follows FTA guidelines, and the FTA placed the project under a monthly recurring oversight review cycle in August 2021, which requires a substantial monthly project reporting effort. Beginning September 2021 and hence, monthly reports have been prepared for the OC Streetcar project. Going forward, Project Controls will again prepare and distribute monthly or quarterly summary reports for all major capital projects depending on specific projects needs and complexity. Staff is assessing any required revisions to the Project Management Procedures Manual to effect efficient use of project controls resources.

**Contractors' Evidence of Required Insurance**

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The design and CM consultants had not submitted current certificates of insurance (certificates) three months after expiration of the last certificates provided, as reflected in a vendor-provided insurance tracking system. The design consultant's certificate identified policies expiring on January 1, 2022, and the CM's certificate identified policies expiring on December 18, 2021. An initial renewal notification was sent by the vendor to both consultants one month before expiration; however, no additional notifications or follow up had been performed by either the vendor or CAMM. The vendor refuses to commit to timelines for follow-up notifications because the contract does not outline standards for follow up.

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**Recommendation 5:**

Internal Audit recommends that CAMM develop procedures to ensure adequate insurance coverage by consultants throughout the contract term. If CAMM continues to use an outside party as part of the monitoring process, then the contract with the outside party should outline appropriate standards and timelines for follow up activities.

**Management Response (CAMM):**

Management agrees with this recommendation. CAMM will continue to use an outside party to perform insurance certificate tracking services. The insurance document tracking is currently provided by Insurance Tracking Services, Inc. (ITS), a subconsultant to Marsh USA Inc. (Marsh) under Agreement No. C-7-1585. The SOW for the existing contract, which expires June 30, 2022, outlines the general tasks that are required to process insurance certificate reviews and renewals; however, it does not include specified service levels nor performance metrics. This has resulted in extended turnaround times for ITS to upload insurance certificates into their database, as well as to send out renewal notifications to OCTA's consultants and vendors.

The Board has recently approved a new contract with Marsh, who will subcontract the insurance document tracking services similar to the current arrangement. CAMM will ensure that the executed agreement includes defined performance metrics, requiring ITS to send out renewal notifications to the vendor 30 days prior to the insurance certificate expiration date and follow-up requests approximately every 14 days following the initial request for renewal certificate until the updated certificate is received. CAMM will also implement procedures for progressive actions by July 20, 2022, if insurance certificates are not received.

CAMM will also send a notification to all vendors with active contracts reminding them of the process for submission of their insurance documents.



## COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors

**From:** Andrea West, Interim Clerk of the Board *Andrea West*

**Subject:** Fourth Quarter Fiscal Year 2021-22 and Planned Fiscal Year 2022-2023 Capital Action Plan Performance Metrics

### Executive Committee Meeting of August 1, 2022

**Present:** Chairman Murphy, Vice Chairman Hernandez, Directors Bartlett, Do, Hennessey, Jones, and Muller

**Absent:** None

### **Committee Vote**

No action was taken on this receive and file information item.


### **Staff Recommendations**

Receive and file as an information item.



**August 1, 2022**

**To:** Executive Committee

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

**Subject:** Fourth Quarter Fiscal Year 2021-22 and Planned Fiscal Year 2022-23 Capital Action Plan Performance Metrics

### **Overview**

Staff has prepared a quarterly progress report on capital project delivery for the period of April 2022 through June 2022, for review by the Orange County Transportation Authority Board of Directors. This report highlights the Capital Action Plan for project delivery, which is used as a performance metric to assess delivery progress on highway, transit, and rail projects.

### **Recommendation**

Receive and file as an information item.

### **Background**

The Orange County Transportation Authority (OCTA) delivers highway, transit, rail, and facility projects from the beginning of the environmental approval phase through construction completion. Project delivery milestones are planned carefully with consideration of project scope, costs, schedule, and assessment of risks. The milestones reflected in the Capital Action Plan (CAP) are OCTA's planned and budgeted major project delivery commitments.

This report is a quarterly progress report on the CAP performance metrics, which are a snapshot of the planned CAP project delivery milestones in the budgeted fiscal year (FY).

### **Discussion**

OCTA's objective is to deliver projects on schedule and within the approved project budget. Key project cost and schedule commitments are captured in the CAP (Attachment A), which is regularly updated with project status and any new projects. The CAP is categorized into four key project groupings of freeway,



railroad grade separation, and rail and station projects. Schedule milestones are used as performance indicators of progress in project delivery. The CAP performance metrics report provides a FY snapshot of the milestones targeted for delivery in the FY and provides transparency and performance measurement of capital project delivery.

The CAP project costs represent the total cost across all phases of project delivery, including support costs, right-of-way (ROW), and construction capital costs. Baseline costs, if established, are shown in comparison to either the actual or forecast cost. Baseline costs may be shown as to-be-determined (TBD) if project scoping studies and estimates have not been developed or approved and may be updated as delivery progresses, and milestones achieved. Projects identified in the Orange County local transportation sales tax Measure M2 (M2) are identified with the corresponding M2 project logo. The CAP status update is also included in the M2 Quarterly Progress Report.

The CAP summarizes the very complex capital project critical path delivery schedules into eight key milestones.

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 ROW, all agreements executed, and contract constraints cleared.
Advertise for Construction	The date a construction contract is advertised for construction 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.

These delivery milestones reflect progression across the project delivery phases shown below.



Project schedules reflect planned baseline milestone dates in comparison to forecast or actual milestone dates. Milestone dates may be shown as TBD if project scoping or approval documents have not been finalized and approved, or if the delivery schedule has not been negotiated with a partnering agency or consultant implementing the specific phase of a project. Planned milestone dates can be revised to reflect new dates from approved baseline schedule changes. Project schedules are reviewed monthly, and milestone achievements and updated forecast dates are included to reflect project delivery status.

CAP milestones achieved in the fourth quarter FY 2021-22 include:

#### Freeway Projects

- The award contract milestone for the State Route 55 (SR-55) widening from Interstate 405 (I-405) to Interstate 5 (I-5) was achieved. The California Department of Transportation awarded the \$193,587,500 construction contract to Security Paving Company, Inc., of Westlake Village, California. Construction is anticipated to be complete in mid-2026.

The following CAP milestone missed the planned delivery through the fourth quarter of FY 2021-22:

- The begin design milestone for the SR-55 widening from I-5 to State Route 91 was missed. This is the northerly of two segments of SR-55 widening between I-405 and State Route 91. However, final design work is anticipated to commence by August 1, 2022, and final design work is anticipated to be complete in mid-2025.

#### Recap of FY 2020-21 Performance Metrics

The performance metrics snapshot provided at the beginning of FY 2021-22 reflected seven planned major project delivery milestones to be accomplished in the FY (Attachment B). Six of the seven planned milestones were achieved as planned in FY 2021-22.

#### New FY 2022-23 Performance Metrics

The CAP and performance metrics have been updated and there are nine major project delivery milestones planned in FY 2022-23 (Attachment C). While there are not many milestones scheduled for delivery in FY 2022-23, there are many activities underway on major projects, including ongoing final design, ROW acquisition, utility relocation, and construction.

#### FY 2022-23 Cost and Performance Metrics Risks

OC Streetcar construction risks continue to evolve as staff regularly assess project risk and implementation of required changes, which impact the cost and construction schedule. Staff will continue making regular reports to the Board of Directors on the status of construction and expenditures.

Transportation infrastructure construction bids in the region continue to escalate with material, labor, and fuel prices driving construction costs up. Contractors continue to report various material availability shortages, including availability of concrete due to a prolonged regional cement shortage. Staff will continue to monitor market pricing trends and material availability along with the impacts on heavy civil construction in the region.

#### ***Summary***

Capital project delivery continues to progress and is reflected in the CAP. The planned FY 2022-23 performance metrics created from forecast project schedules will be used as a general project delivery performance indicator throughout the FY. Staff will continue to manage project costs and schedules across all project phases to meet project delivery commitments and report quarterly.

***Attachments***

- A. Capital Action Plan, Status Through June 2022
- B. Capital Programs Division, Fiscal Year 2021-22 Performance Metrics Through June 2022
- C. Capital Programs Division, Fiscal Year 2022-23 Performance Metrics Plan

**Prepared by:**















A handwritten signature in blue ink, appearing to read "James G. Beil".

James G. Beil, P.E.  
Executive Director, Capital Programs  
(714) 560-5646

**Capital Action Plan**

Status Through June 2022
















Updated: July 14, 2022

Capital Projects	Cost	Schedule							
	Baseline/Forecast	Plan/Forecast							
	(millions)	Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
<b>Freeway Projects:</b>									
I-5, Pico to San Diego County Line	TBD	Feb-21	Apr-24	TBD	TBD	TBD	TBD	TBD	TBD
	TBD	<b>Feb-21</b>	<b>Apr-24</b>	TBD	TBD	TBD	TBD	TBD	TBD
 I-5, Pico to Vista Hermosa	\$113.0	Jun-09	Dec-11	Jun-11	Oct-13	Feb-14	Oct-14	Dec-14	Aug-18
Project C	\$83.6	<b>Jun-09</b>	<b>Oct-11</b>	<b>Jun-11</b>	<b>Oct-13</b>	<b>May-14</b>	<b>Sep-14</b>	<b>Dec-14</b>	<b>Aug-18</b>
 I-5, Vista Hermosa to Pacific Coast Highway	\$75.6	Jun-09	Dec-11	Jun-11	Feb-13	Jun-13	Oct-13	Dec-13	Mar-17
Project C	\$75.3	<b>Jun-09</b>	<b>Oct-11</b>	<b>Jun-11</b>	<b>May-13</b>	<b>Aug-13</b>	<b>Feb-14</b>	<b>Jun-14</b>	<b>Jul-17</b>
 I-5, Pacific Coast Highway to San Juan Creek Road	\$70.7	Jun-09	Dec-11	Jun-11	Jan-13	May-13	Aug-13	Oct-13	Sep-16
Project C	\$74.3	<b>Jun-09</b>	<b>Oct-11</b>	<b>Jun-11</b>	<b>Jan-13</b>	<b>Apr-13</b>	<b>Aug-13</b>	<b>Dec-13</b>	<b>Jul-18</b>
 I-5, I-5/Ortega Interchange	\$90.9	Sep-05	Jun-09	Jan-09	Nov-11	Mar-12	Jun-12	Aug-12	Sep-15
Project D	\$79.8	<b>Sep-05</b>	<b>Jun-09</b>	<b>Jan-09</b>	<b>Dec-11</b>	<b>Apr-12</b>	<b>Jun-12</b>	<b>Aug-12</b>	<b>Jan-16</b>
 I-5, I-5/Ortega Interchange (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project D	N/A	N/A	N/A	<b>Jan-14</b>	<b>Oct-14</b>	<b>Feb-15</b>	<b>Aug-15</b>	<b>Sep-15</b>	<b>Sep-16</b>
 I-5, SR-73 to Oso Parkway	\$151.9	Sep-11	Jun-14	Mar-15	Jan-18	May-18	Aug-18	Dec-18	Apr-25
Project C & D	\$195.8	<b>Oct-11</b>	<b>May-14</b>	<b>Mar-15</b>	<b>Aug-18</b>	<b>May-19</b>	<b>Aug-19</b>	<b>Dec-19</b>	<b>Sep-24</b>
 I-5, Oso Parkway to Alicia Parkway	\$196.2	Sep-11	Jun-14	Nov-14	Jun-17	Dec-17	Feb-18	Jun-18	Nov-23
Project C & D	\$203.1	<b>Oct-11</b>	<b>May-14</b>	<b>Nov-14</b>	<b>Dec-17</b>	<b>Jun-18</b>	<b>Nov-18</b>	<b>Mar-19</b>	<b>Sep-24</b>
 I-5, Alicia Parkway to El Toro Road	\$133.6	Sep-11	Jun-14	Mar-15	Jun-18	Dec-18	Jan-19	May-19	Oct-24
Project C	\$165.9	<b>Oct-11</b>	<b>May-14</b>	<b>Mar-15</b>	<b>May-19</b>	<b>Apr-20</b>	<b>May-20</b>	<b>Sep-20</b>	<b>Oct-24</b>
 I-5, SR-73 to El Toro Road (Landscape)	TBD	N/A	N/A	TBD	TBD	TBD	TBD	TBD	TBD
Project C	\$12.4	N/A	N/A	Jan-23	Sep-24	Jan-25	Mar-25	May-25	Dec-26
 I-5, I-5/El Toro Road Interchange	TBD	Apr-17	Nov-19	TBD	TBD	TBD	TBD	TBD	TBD
Project D <b>Cost/Schedule Risk</b>	TBD	<b>Apr-17</b>	<b>Dec-24</b>	TBD	TBD	TBD	TBD	TBD	TBD
 I-5, I-405 to Yale Avenue	\$230.5	May-14	Aug-18	Oct-21	TBD	TBD	TBD	TBD	TBD
Project B	\$230.5	<b>May-14</b>	<b>Jan-20</b>	<b>Oct-21</b>	Mar-24	May-25	Dec-25	Feb-26	Sep-29
 I-5, Yale Avenue to SR-55	\$200.4	May-14	Aug-18	May-21	TBD	TBD	TBD	TBD	TBD
Project B <b>Cost/Schedule Risk</b>	\$200.4	<b>May-14</b>	<b>Jan-20</b>	<b>May-21</b>	Jan-24	Mar-25	Jul-25	Oct-25	May-29
 I-5, SR-55 to SR-57	\$38.1	Jul-11	Jun-13	Jun-15	Mar-17	Jul-17	Sep-17	Dec-17	Apr-21
Project A	\$38.9	<b>Jun-11</b>	<b>Apr-15</b>	<b>Jun-15</b>	<b>Jun-17</b>	<b>Dec-17</b>	<b>Mar-18</b>	<b>Nov-18</b>	<b>Jan-21</b>
 SR-55, I-405 to I-5	\$410.9	Feb-11	Nov-13	Sep-17	Apr-20	Dec-20	Apr-21	May-22	Feb-27
Project F <b>Cost/Schedule Risk</b>	\$503.2	<b>May-11</b>	<b>Aug-17</b>	<b>Sep-17</b>	<b>Apr-20</b>	<b>Sep-21</b>	<b>Dec-21</b>	<b>May-22</b>	<b>Feb-27</b>

# Capital Action Plan

Status Through June 2022












Updated: July 14, 2022

Capital Projects	Cost	Schedule							
	Baseline/Forecast	Plan/Forecast							
	(millions)	Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
 SR-55, I-5 to SR-91 Project F	\$131.3 \$131.3	Dec-16 <b>Dec-16</b>	Jan-20 <b>Mar-20</b>	TBD Aug-22	TBD Jul-25	TBD Dec-25	TBD Apr-26	TBD Jul-26	TBD Sep-29
 SR-57 Northbound (NB), Orangewood Avenue to Katella Avenue Project G	\$71.8 \$71.8	Apr-16 <b>Apr-16</b>	Dec-18 <b>Mar-19</b>	Mar-22 <b>Mar-22</b>	TBD Jul-24	TBD Nov-24	TBD Mar-25	TBD Jul-25	TBD Feb-28
 SR-57 (NB), Katella Avenue to Lincoln Avenue Project G	\$78.7 \$38.0	Apr-08 <b>Apr-08</b>	Jul-09 <b>Nov-09</b>	Jul-08 <b>Aug-08</b>	Nov-10 <b>Dec-10</b>	Mar-11 <b>Apr-11</b>	May-11 <b>Jul-11</b>	Aug-11 <b>Oct-11</b>	Sep-14 <b>Apr-15</b>
 SR-57 (NB), Katella Avenue to Lincoln Avenue (Landscape) Project G	N/A N/A	N/A N/A	N/A N/A	N/A <b>May-09</b>	N/A <b>Jul-10</b>	N/A <b>Jun-17</b>	N/A <b>Jul-17</b>	N/A <b>Sep-17</b>	N/A <b>Jun-18</b>
 SR-57 (NB), Orangethorpe Avenue to Yorba Linda Boulevard Project G	\$80.2 \$52.3	Aug-05 <b>Aug-05</b>	Dec-07 <b>Dec-07</b>	Feb-08 <b>Feb-08</b>	Dec-09 <b>Jul-09</b>	Apr-10 <b>Dec-09</b>	Jun-10 <b>May-10</b>	Oct-10 <b>Oct-10</b>	May-14 <b>Nov-14</b>
 SR-57 (NB), Yorba Linda Boulevard to Lambert Road Project G	\$79.3 \$54.1	Aug-05 <b>Aug-05</b>	Dec-07 <b>Dec-07</b>	Feb-08 <b>Feb-08</b>	Dec-09 <b>Jul-09</b>	Apr-10 <b>Mar-10</b>	Jun-10 <b>May-10</b>	Oct-10 <b>Oct-10</b>	Sep-14 <b>May-14</b>
 SR-57 (NB), Orangethorpe Avenue to Lambert Road (Landscape) Project G	N/A N/A	N/A N/A	N/A N/A	N/A <b>Oct-14</b>	N/A <b>Aug-17</b>	N/A <b>Dec-17</b>	N/A <b>Jan-18</b>	N/A <b>Feb-18</b>	N/A <b>Apr-19</b>
 SR-57 (NB), Lambert Road to Tonner Canyon Project G	TBD TBD	TBD Sep-25	TBD May-28	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD
 SR-91 Westbound (WB), I-5 to SR-57 Project H	\$78.1 \$59.2	Jul-07 <b>Jul-07</b>	Apr-10 <b>Jun-10</b>	Oct-09 <b>Mar-10</b>	Feb-12 <b>Apr-12</b>	Jul-12 <b>Aug-12</b>	Aug-12 <b>Oct-12</b>	Nov-12 <b>Jan-13</b>	Apr-16 <b>Jun-16</b>
 SR-91 Westbound (WB), I-5 to SR-57 (Landscape) Project H	N/A N/A	N/A N/A	N/A N/A	N/A <b>Nov-14</b>	N/A <b>Aug-16</b>	N/A <b>Dec-16</b>	N/A <b>Feb-17</b>	N/A <b>Mar-17</b>	N/A <b>Nov-17</b>
 SR-91, SR-55 to Lakeview Avenue (Segment 1) Project I	\$100.9 \$100.9	Jan-15 <b>Jan-15</b>	Oct-18 <b>Jun-20</b>	Mar-20 <b>Mar-20</b>	Jan-23 <b>Jan-23</b>	Aug-23 <b>Aug-23</b>	Oct-23 <b>Oct-23</b>	Feb-24 <b>Feb-24</b>	Sep-27 <b>Sep-27</b>
 SR-91, La Palma Avenue to SR-55 (Segment 2) Project I	\$208.4 \$208.4	Jan-15 <b>Jan-15</b>	Oct-18 <b>Jun-20</b>	Jun-20 <b>Jun-20</b>	Jul-23 <b>Jul-23</b>	Feb-24 <b>Feb-24</b>	Mar-24 <b>Mar-24</b>	Jul-24 <b>Jul-24</b>	Mar-28 <b>Mar-28</b>
 SR-91, Acacia Street to La Palma Avenue (Segment 3) Project I	\$116.2 \$116.2	Jan-15 <b>Jan-15</b>	Oct-18 <b>Jun-20</b>	Nov-20 <b>Nov-20</b>	Apr-24 <b>Apr-24</b>	Nov-24 <b>Nov-24</b>	Jan-25 <b>Jan-25</b>	Apr-25 <b>Apr-25</b>	Sep-28 <b>Sep-28</b>
 SR-91 (WB), Tustin Interchange to SR-55 Project I	\$49.9 \$42.5	Jul-08 <b>Jul-08</b>	Jul-11 <b>May-11</b>	Jul-11 <b>Jun-11</b>	Mar-13 <b>Feb-13</b>	Jul-13 <b>Apr-13</b>	Aug-13 <b>Jun-13</b>	Oct-13 <b>Oct-13</b>	Jul-16 <b>Jul-16</b>
 SR-91, SR-55 to SR-241 Project J	\$128.4 \$79.7	Jul-07 <b>Jul-07</b>	Jul-09 <b>Apr-09</b>	Jun-09 <b>Apr-09</b>	Jan-11 <b>Aug-10</b>	Apr-11 <b>Dec-10</b>	Jun-11 <b>Feb-11</b>	Sep-11 <b>May-11</b>	Dec-12 <b>Mar-13</b>

# Capital Action Plan

Status Through June 2022











Updated: July 14, 2022

Capital Projects	Cost	Schedule							
	Baseline/Forecast	Plan/Forecast							
	(millions)	Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
 SR-91, SR-55 to SR-241 (Landscape) Project J	N/A N/A	N/A N/A	N/A N/A	N/A May-12	N/A Feb-13	N/A Apr-13	N/A Jul-13	N/A Oct-13	N/A Feb-15
 SR-91 Eastbound, SR-241 to SR-71 Project J	\$104.5 \$57.8	Mar-05 Mar-05	Dec-07 Dec-07	Jul-07 Jul-07	Dec-08 Dec-08	Mar-09 May-09	May-09 Jun-09	Jul-09 Aug-09	Nov-10 Jan-11
91 Express Lanes to SR-241 Toll Connector	TBD TBD	N/A Nov-13	N/A Jan-20	N/A Jun-16	N/A Nov-22	N/A Apr-23	N/A Apr-23	N/A Sep-23	N/A Sep-26
 I-405, I-5 to SR-55 Project L	TBD TBD	Dec-14 Dec-14	Jul-18 Aug-18	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD
 I-405, SR-55 to I-605 (Design-Build) Project K	\$2,080.2 \$2,080.2	Mar-09 Mar-09	Mar-13 May-15	Mar-14 Mar-14	Nov-15 Nov-15	Feb-16 Feb-16	Mar-16 Mar-16	Nov-16 Nov-16	Feb-24 Feb-24
I-405/SR-22 HOV Connector	\$195.9 \$120.8	N/A N/A	N/A N/A	Sep-07 Sep-07	Sep-09 Jun-09	Mar-10 Sep-09	May-10 Feb-10	Aug-10 Jun-10	Aug-14 Mar-15
I-405/I-605 HOV Connector	\$260.4 \$172.6	N/A N/A	N/A N/A	Sep-07 Sep-07	Sep-09 Sep-09	Mar-10 Feb-10	May-10 May-10	Oct-10 Oct-10	Jan-15 Mar-15
I-405/SR-22/I-605 HOV Connector (Landscape)	N/A N/A	N/A N/A	N/A N/A	N/A Jun-08	N/A May-09	N/A Feb-16	N/A May-16	N/A Jul-16	N/A Feb-18
 I-605, I-605/Katella Interchange Project M	\$29.0 \$29.0	Aug-16 Aug-16	Nov-18 Oct-18	Dec-20 Dec-20	Mar-23 Apr-23	Jul-23 Nov-23	Nov-23 Mar-24	Feb-24 Jun-24	Nov-25 Mar-26
<b>Grade Separation Projects:</b>									
 Sand Canyon Avenue Railroad Grade Separation Project R	\$55.6 \$61.9	N/A N/A	Sep-03 Sep-03	Jan-04 Jan-04	Jul-10 Jul-10	Jul-10 Jul-10	Oct-10 Oct-10	Feb-11 Feb-11	May-14 Jan-16
 Raymond Avenue Railroad Grade Separation Project O	\$77.2 \$126.2	Feb-09 Feb-09	Nov-09 Nov-09	Mar-10 Mar-10	Aug-12 Dec-12	Nov-12 Jul-13	Feb-13 Oct-13	May-13 Feb-14	Aug-18 May-18
 State College Boulevard Railroad Grade Separation (Fullerton) Project O	\$73.6 \$99.6	Dec-08 Dec-08	Jan-11 Apr-11	Jul-06 Jul-06	Aug-12 Feb-13	Nov-12 May-13	Feb-13 Sep-13	May-13 Feb-14	May-18 Mar-18
 Placentia Avenue Railroad Grade Separation Project O	\$78.2 \$64.5	Jan-01 Jan-01	May-01 May-01	Jan-09 Jan-09	Mar-10 Jun-10	May-10 Jan-11	Mar-11 Mar-11	Jun-11 Jul-11	Nov-14 Dec-14
 Kraemer Boulevard Railroad Grade Separation Project O	\$70.4 \$63.8	Jan-01 Jan-01	Sep-09 Sep-09	Jan-09 Feb-09	Jul-10 Jul-10	Jul-10 Jan-11	Apr-11 Jun-11	Aug-11 Sep-11	Oct-14 Dec-14
 Orangethorpe Avenue Railroad Grade Separation Project O	\$117.4 \$105.9	Jan-01 Jan-01	Sep-09 Sep-09	Feb-09 Feb-09	Dec-11 Oct-11	Dec-11 Apr-12	Feb-12 Sep-12	May-12 Jan-13	Sep-16 Oct-16

# Capital Action Plan

Status Through June 2022

Updated: July 14, 2022

Capital Projects	Cost	Schedule							
	Baseline/Forecast	Plan/Forecast							
	(millions)	Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
 Tustin Avenue/Rose Drive Railroad Grade Separation Project O	\$103.0	Jan-01	Sep-09	Feb-09	Dec-11	Mar-12	May-12	Aug-12	May-16
	\$96.6	<b>Jan-01</b>	<b>Sep-09</b>	<b>Feb-09</b>	<b>Jul-11</b>	<b>Jun-12</b>	<b>Oct-12</b>	<b>Feb-13</b>	<b>Oct-16</b>
 Lakeview Avenue Railroad Grade Separation Project O	\$70.2	Jan-01	Sep-09	Feb-09	Oct-11	Oct-12	Feb-13	May-13	Mar-17
	\$110.7	<b>Jan-01</b>	<b>Sep-09</b>	<b>Feb-09</b>	<b>Jan-13</b>	<b>Apr-13</b>	<b>Sep-13</b>	<b>Nov-13</b>	<b>Jun-17</b>
 17th Street Railroad Grade Separation Project R	TBD	Oct-14	Jun-16	TBD	TBD	TBD	TBD	TBD	TBD
	TBD	<b>Oct-14</b>	<b>Nov-17</b>	TBD	TBD	TBD	TBD	TBD	TBD
<b>Rail and Station Projects:</b>									
 Rail-Highway Grade Crossing Safety Enhancement Project R	\$94.4	Jan-08	Oct-08	Jan-08	Sep-08	Sep-08	Sep-08	Aug-09	Dec-11
	\$90.4	<b>Jan-08</b>	<b>Oct-08</b>	<b>Jan-08</b>	<b>Sep-08</b>	<b>Sep-08</b>	<b>Sep-08</b>	<b>Aug-09</b>	<b>Dec-11</b>
 San Clemente Beach Trail Safety Enhancements Project R	\$6.0	Sep-10	Jul-11	Feb-12	Apr-12	Apr-12	Jul-12	Oct-12	Jan-14
	\$5.0	<b>Sep-10</b>	<b>Jul-11</b>	<b>Feb-12</b>	<b>Jun-12</b>	<b>Jun-12</b>	<b>Oct-12</b>	<b>May-13</b>	<b>Mar-14</b>
San Juan Capistrano Passing Siding	\$25.3	Aug-11	Jan-13	Mar-15	May-16	May-16	Aug-16	Dec-16	Feb-21
	\$33.5	<b>Aug-11</b>	<b>Mar-14</b>	<b>Mar-15</b>	<b>Aug-18</b>	<b>Aug-18</b>	<b>Aug-18</b>	<b>Mar-19</b>	<b>Nov-20</b>
 OC Streetcar Project Project S	\$526.1	Aug-09	Mar-12	Feb-16	Sep-17	Oct-17	Dec-17	Aug-18	Mar-24
	\$526.1	<b>Aug-09</b>	<b>Mar-15</b>	<b>Feb-16</b>	<b>Nov-17</b>	<b>Dec-17</b>	<b>Dec-17</b>	<b>Sep-18</b>	<b>Mar-24</b>
 Placentia Metrolink Station and Parking Structure Project R	\$34.8	Jan-03	May-07	Oct-08	Jan-11	TBD	TBD	TBD	TBD
	\$40.1	<b>Jan-03</b>	<b>May-07</b>	<b>Oct-08</b>	<b>Feb-11</b>	TBD	TBD	TBD	TBD
 Orange County Maintenance Facility Project R	TBD	Apr-20	Apr-22	TBD	TBD	TBD	TBD	TBD	TBD
	TBD	<b>Apr-20</b>	Dec-22	TBD	TBD	TBD	TBD	TBD	TBD
 Irvine Station Improvements Project R	TBD	Jan-22	TBD	TBD	TBD	TBD	TBD	TBD	TBD
	TBD	<b>Jan-22</b>	Apr-24	TBD	TBD	TBD	TBD	TBD	TBD
Anaheim Canyon Station	\$27.9	Jan-16	Dec-16	Mar-19	May-19	May-19	Jul-19	Nov-19	Jan-23
	\$34.2	<b>Jan-16</b>	<b>Jun-17</b>	<b>Mar-18</b>	<b>Oct-20</b>	<b>Oct-20</b>	<b>Oct-20</b>	<b>Mar-21</b>	<b>Jan-23</b>
Orange Station Parking Expansion	\$33.2	Dec-09	Dec-12	Nov-10	Apr-13	Jul-16	Jul-16	Nov-16	Feb-19
	\$30.9	<b>Dec-09</b>	<b>May-16</b>	<b>Nov-10</b>	<b>Apr-16</b>	<b>Jul-16</b>	<b>Jul-16</b>	<b>Jun-17</b>	<b>Feb-19</b>
Fullerton Transportation Center - Elevator Upgrades	\$3.5	N/A	N/A	Jan-12	Dec-13	Dec-13	Jun-14	Sep-14	Mar-17
	\$4.2	N/A	N/A	<b>Jan-12</b>	<b>Dec-13</b>	<b>Dec-13</b>	<b>Aug-14</b>	<b>Apr-15</b>	<b>May-19</b>
Laguna Niguel/Mission Viejo Station ADA Ramps	\$3.5	Jul-13	Jan-14	Jul-13	Aug-14	Aug-14	Sep-14	Jan-15	Apr-17
	\$5.0	<b>Jul-13</b>	<b>Feb-14</b>	<b>Jul-13</b>	<b>Jul-15</b>	<b>Jul-15</b>	<b>Jul-15</b>	<b>Oct-15</b>	<b>Sep-17</b>
 Anaheim Regional Transportation Intermodal Center Project R & T	\$227.4	Apr-09	Feb-11	Jun-09	Feb-12	Feb-12	May-12	Jul-12	Nov-14
	\$232.2	<b>Apr-09</b>	<b>Feb-12</b>	<b>Jun-09</b>	<b>May-12</b>	<b>May-12</b>	<b>May-12</b>	<b>Sep-12</b>	<b>Dec-14</b>



# Capital Action Plan

Status Through June 2022

Updated: July 14, 2022

Capital Projects	Cost		Schedule						
	Baseline/Forecast		Plan/Forecast						
	(millions)		Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract

Note: Costs associated with landscape projects are included in respective freeway projects.

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)

HOV - High-Occupancy Vehicle

ADA - Americans with Disabilities Act

## Capital Programs Division Fiscal Year 2021-22 Performance Metrics Through June 2022

### Begin Environmental

Project Description	FY 22 Qtr 1		FY 22 Qtr 2		FY 22 Qtr 3		FY 22 Qtr 4		FY 22
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
Irvine Station Improvements			X			✓			
Total Forecast/Actual	0	0	1	0	0	1	0	0	1

### Complete Environmental

Project Description	FY 22 Qtr 1		FY 22 Qtr 2		FY 22 Qtr 3		FY 22 Qtr 4		FY 22
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
No "Complete Environmental" Milestones Scheduled for FY 2021-22									
Total Forecast/Actual	0	0	0	0	0	0	0	0	0

### Begin Design

Project Description	FY 22 Qtr 1		FY 22 Qtr 2		FY 22 Qtr 3		FY 22 Qtr 4		FY 22
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
I-5, I-405 to Yale Avenue			X	✓					
SR-57, Orangewood Avenue to Katella Avenue					X	✓			
SR-55, I-5 to SR-91							X		(missed)
Total Forecast/Actual	0	0	1	1	1	1	1	0	3

### Complete Design

Project Description	FY 22 Qtr 1		FY 22 Qtr 2		FY 22 Qtr 3		FY 22 Qtr 4		FY 22
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
No "Complete Design" Milestones Scheduled for FY 2021-22									
Total Forecast/Actual	0	0	0	0	0	0	0	0	0

### Construction Ready


Project Description	FY 22 Qtr 1		FY 22 Qtr 2		FY 22 Qtr 3		FY 22 Qtr 4		FY 22
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
SR-55, I-405 to I-5	X	✓							
Total Forecast/Actual	1	1	0	0	0	0	0	0	1

### Advertise Construction

Project Description	FY 22 Qtr 1		FY 22 Qtr 2		FY 22 Qtr 3		FY 22 Qtr 4		FY 22
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
SR-55, I-405 to I-5			X	✓					
Total Forecast/Actual	0	0	1	1	0	0	0	0	1

## Capital Programs Division Fiscal Year 2021-22 Performance Metrics Through June 2022

### Award Contract

Project Description	FY 22 Qtr 1		FY 22 Qtr 2		FY 22 Qtr 3		FY 22 Qtr 4		FY 22
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
SR-55, I-405 to I-5							X		
Total Forecast/Actual	0	0	0	0	0	0	1	1	1

### Complete Construction

Project Description	FY 22 Qtr 1		FY 22 Qtr 2		FY 22 Qtr 3		FY 22 Qtr 4		FY 22
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
No "Complete Construction" milestones scheduled for FY 2021-22									
Total Forecast/Actual	0	0	0	0	0	0	0	0	0

Totals	1	1	3	2	1	2	2	1	7
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**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, right-of-way certified, all agreements executed, and 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)

I-405 - San Diego Freeway (Interstate 405)


SR-55 - Costa Mesa Freeway (State Route 55)

SR-57 - Orange Freeway (State Route 57)

SR-91 - Riverside Freeway (State Route 91)

FY - fiscal year

X = milestone forecast in quarter

 = milestone accomplished in quarter

## Capital Programs Division Fiscal Year 2022-23 Performance Metrics Plan

### Begin Environmental

Project Description	FY 23 Qtr 1		FY 23 Qtr 2		FY 23 Qtr 3		FY 23 Qtr 4		FY 23
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
No "Begin Environmental" Milestones Scheduled for FY 2022-23									
Total Forecast/Actual	0	0	0	0	0	0	0	0	0

### Complete Environmental

Project Description	FY 23 Qtr 1		FY 23 Qtr 2		FY 23 Qtr 3		FY 23 Qtr 4		FY 23
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
Orange County Maintenance Facility			X						
Total Forecast/Actual	0	0	1	0	0	0	0	0	1

### Begin Design

Project Description	FY 23 Qtr 1		FY 23 Qtr 2		FY 23 Qtr 3		FY 23 Qtr 4		FY 23
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
SR-55, I-5 to SR-91	X								
I-5, SR-73 to El Toro Road Interchange (Landscape)					X				
Total Forecast/Actual	1	0	0	0	1	0	0	0	2

### Complete Design

Project Description	FY 23 Qtr 1		FY 23 Qtr 2		FY 23 Qtr 3		FY 23 Qtr 4		FY 23
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
91 Express lanes to SR-241 Toll Connector			X						
SR-91, SR-55 to Lakeview Avenue (Segment 1)					X				
I-605, I-605/Katella Interchange							X		
Total Forecast/Actual	0	0	1	0	1	0	1	0	3

### Construction Ready

Project Description	FY 23 Qtr 1		FY 23 Qtr 2		FY 23 Qtr 3		FY 23 Qtr 4		FY 23
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
91 Express lanes to SR-241 Toll Connector							X		
Total Forecast/Actual	0	0	0	0	0	0	1	0	1

### Advertise Construction

Project Description	FY 23 Qtr 1		FY 23 Qtr 2		FY 23 Qtr 3		FY 23 Qtr 4		FY 23
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
91 Express lanes to SR-241 Toll Connector							X		
Total Forecast/Actual	0	0	0	0	0	0	1	0	1

### Award Contract

Project Description	FY 23 Qtr 1		FY 23 Qtr 2		FY 23 Qtr 3		FY 23 Qtr 4		FY 23
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
No "Award Contract" Milestones Scheduled for FY 2022-23									
Total Forecast/Actual	0	0	0	0	0	0	0	0	0

# Capital Programs Division

## Fiscal Year 2022-23 Performance Metrics Plan

### Complete Construction

Project Description	FY 23 Qtr 1		FY 23 Qtr 2		FY 23 Qtr 3		FY 23 Qtr 4		FY 23
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
Anaheim Canyon Station					X				
Total Forecast/Actual	0	0	0	0	1	0	0	0	1

Totals	1	0	2	0	3	0	3	0	9
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**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, right-of-way certified, all agreements executed, and 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-91 - Riverside Freeway (State Route 91)

I-605 - San Gabriel River Freeway ( Interstate 605)

SR-241 - Foothill/Eastern Transportation Corridor (State Route 241)

X = milestone forecast in quarter

✔ = milestone accomplished in quarter



COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors

**From:** Andrea West, Interim Clerk of the Board

*Andrea West*

**Subject:** Cooperative Agreement with the California Department of Transportation for the Interstate 5 Improvement Project Between Interstate 405 and Yale Avenue and Authority to Acquire Right-of-Way

Regional Planning and Highways Committee Meeting of August 1, 2022

**Present:** Directors Bartlett, Delgleize, Foley, Harper, Muller, and Murphy  
**Absent:** Director Chaffee

**Committee Vote**

This item was passed by the Members present.


**Committee Recommendations**

- A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-2-2592 between the Orange County Transportation Authority and the California Department of Transportation, at no cost, to perform right-of-way services for the Interstate 5 Improvement Project between Interstate 405 and Yale Avenue.
  
- B. Authorize the Chief Executive Officer to initiate discussions with property owners and utility owners, make offers, and execute agreements for the acquisition of all necessary real property interests and necessary utility relocations.



**August 1, 2022**

**To:** Regional Planning and Highways Committee

**From:** Darrell E. Johnson, Chief Executive Officer  For

**Subject:** Cooperative Agreement with the California Department of Transportation for the Interstate 5 Improvement Project Between Interstate 405 and Yale Avenue and Authority to Acquire Right-of-Way

### **Overview**

The Orange County Transportation Authority proposes to enter into a cooperative agreement with the California Department of Transportation to define roles, responsibilities, and funding obligations for right-of-way support services, right-of-way engineering, right-of-way acquisition, and utility relocation for the Interstate 5 Improvement Project between Interstate 405 and Yale Avenue.

### **Recommendations**

- A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-2-2592 between the Orange County Transportation Authority and the California Department of Transportation, at no cost, to perform right-of-way services for the Interstate 5 Improvement Project between Interstate 405 and Yale Avenue.
- B. Authorize the Chief Executive Officer to initiate discussions with property owners and utility owners, make offers, and execute agreements for the acquisition of all necessary real property interests and necessary utility relocations.

### **Discussion**

The Interstate 5 (I-5) Improvement Project between Interstate 405 (I-405) and State Route 55 (SR-55) (Project) is Project B in the Measure M2 (M2) freeway program and is included in the updated Next 10 Delivery Plan adopted by the Orange County Transportation Authority (OCTA) Board of Directors (Board) in December 2021.

**Cooperative Agreement with the California Department of Transportation for the Interstate 5 Improvement Project Between Interstate 405 and Yale Avenue and Authority to Acquire Right-of-Way**

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*Page 2*

The Project will add one general purpose lane in both directions on the I-5 freeway between I-405 and SR-55. The Project will reestablish existing auxiliary lanes and provide new auxiliary lanes where necessary and provide continuous access to the high-occupancy vehicle lanes. The final environmental document was signed on January 7, 2020, and build alternative 2B was identified as the preferred alternative by the Project development team. The Project is being developed as two separate design and construction projects to enhance the participation and competitive bidding of consultants and contractors, with the following Project limits:

- Segment 1 extends from I-405 to Yale Avenue
- Segment 2 extends from Yale Avenue to SR-55

On June 8, 2020, the Board authorized Cooperative Agreement No. C-0-2317 with the California Department of Transportation (Caltrans) to provide oversight of the plans, specifications, and estimates, and to advertise and award the construction contract for Segment 1 of the Project. An additional cooperative agreement with Caltrans is now needed to initiate the right-of-way (ROW) phase for Segment 1.

OCTA proposes to enter into a cooperative agreement with Caltrans to define the roles and responsibilities of both agencies. OCTA will be the lead agency implementing ROW activities, which shall include property acquisitions, relocation assistance for displacees if necessary, and coordination of utility relocations for the Project. OCTA will also be the lead agency for eminent domain proceedings, which shall include OCTA Board resolutions of necessity if needed. ROW engineering activities for Segment 1 will be performed by OCTA's consultant team. Caltrans will provide oversight of ROW activities at no cost to OCTA.

ROW activities are anticipated to commence in late 2022 before submittal of 65 percent design as final ROW requirements are being determined. The Project is estimated to impact a total of 13 properties, both privately and publicly-owned, and five utility conflicts. The current list of impacted properties has land uses, which include vacant, commercial/industrial, multi-family residential, and public (Attachment A). The real property requirements are comprised of a combination of partial fee acquisitions, permanent easements, utility easements, and temporary construction easements. There are no anticipated full fee acquisitions. The needed property rights are required to implement the Project scope as defined in the final environmental document. Consistent with Recommendation B above and the Project schedule, the Chief Executive Officer (CEO) will initiate discussions with property owners and utility owners upon Board approval of this item.



**Cooperative Agreement with the California Department of Transportation for the Interstate 5 Improvement Project Between Interstate 405 and Yale Avenue and Authority to Acquire Right-of-Way** **Page 3**

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OCTA shall follow the Caltrans Right of Way Manual (RWM) and the OCTA Real Property Policies and Procedures Manual (RPPPM) to handle the acquisition of property rights, in compliance with requirements set by the Uniform Relocation Assistance and Real Property Acquisition Policies Act (Uniform Act). The Uniform Act was enacted by the federal government to ensure real property is acquired, and that displacees are relocated in an equitable, consistent, and equal manner. The Caltrans RWM and OCTA RPPPM also incorporate State of California laws and regulations enacted to provide benefits and safeguards to property owners. Statutory offers for the purchase of property will be made for an amount established as just compensation, which shall be determined through an independent appraisal process. Efforts will be made to reach a negotiated settlement with property owners or businesses; however, when an impasse is reached, as an act of last resort, staff, through a separate Board action, may request the Board to adopt a resolution of necessity to initiate eminent domain proceedings to obtain the necessary interests in real property.

The Project does not intend to require the permanent relocation or displacement of any residences or businesses as a result of property acquisitions. In the event of a need to displace any individual or business as a result of the Project, relocation assistance will be provided in accordance with the Caltrans RWM and OCTA RPPPM.

OCTA and Caltrans staff will continue to evaluate the need for property through the design phase. If any modifications to the ROW requirements are necessary, OCTA staff will appropriately justify and document the need to secure such property to construct the Project in accordance with procedural requirements. Any need for additional ROW requirements will be addressed within the parameters of the California Environmental Quality Act and National Environmental Policy Act.

#### Fiscal Impact

As part of this cooperative agreement, funding for OCTA services for ROW support is included in OCTA's Fiscal Year 2022-23 Budget, Capital Programs Division, Account No. 0017-7514-FB102-1OC, and will be funded through Surface Transportation Block Grant and M2 funds.

**Cooperative Agreement with the California Department of Transportation for the Interstate 5 Improvement Project Between Interstate 405 and Yale Avenue and Authority to Acquire Right-of-Way**

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**Page 4**

**Summary**

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-2-2592 between the Orange County Transportation Authority and the California Department of Transportation to perform right-of-way services for the Interstate 5 Improvement Project between Interstate 405 and Yale Avenue, to provide oversight at no cost, and to certify the right-of-way for the Project. Staff also requests the Board of Directors authorize the Chief Executive Officer to make offers and execute agreements with property owners and utility owners for the acquisition of all necessary interests in real property and necessary utility relocations for the project.

**Attachment**

- A. Interstate 5 Improvement Project Between Interstate 405 and Yale Avenue Right-of-Way Needs Summary

**Prepared by:**



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Senior Project Manager  
(714) 560-5852

**Approved by:**



James G. Beil, P.E.  
Executive Director, Capital Programs  
(714) 560-5646



Pia Veasapen  
Director, Contracts Administration and  
Materials Management  
(714) 560-5619

**Interstate 5 Improvement Project Between Interstate 405 and Yale Avenue Right-of-Way Needs Summary**

I-405 to Yale Avenue (PM 21.3 – 25.8)

Contract No. C-2-2592 - EA 12-OK6711, EFIS 1220000034

<b>Location No.</b>	<b>Temporary Construction Easement</b>	<b>Fee Take</b>	<b>Owner</b>	<b>Assessor's Parcel Number</b>	<b>General Location</b>	<b>Comment</b>
1	1	0	Freeway Technology Park LLC	590-152-06	Along Sound Wall (SW) No. 1.1. south State Route (SR) 133	
2	1	0	Freeway Technology Park LLC	590-152-08	Along SW No. 1.1. south SR-133	
3	0	1	Irvine Company	104-410-74	Along Interstate 5 (I-5) southbound (SB) north of Sand Canyon Avenue	Potentially eliminated through design refinements
4	1	1	Irvine Company	104-410-65	Along I-5 SB north of Sand Canyon Avenue	Potentially eliminated through design refinements
5	1	0	Irvine Company	466-341-10	Along I-5 SB north of Sand Canyon Avenue	Potentially eliminated through design refinements
6	1	0	Irvine Company	466-342-01	Along I-5 SB north of Sand Canyon Avenue	Potentially eliminated through design refinements
7	0	1	Irvine Company	466-342-05	Along I-5 SB north of Sand Canyon Avenue	Potentially eliminated through design refinements
8	1	0	Jeffrey Office Park Owners Association	529-392-51	Adjacent to northbound on-ramp from Jeffrey Road	Also needs a permanent easement
9	1	0	Irvine Company	529-391-06	Along SW No. 3.3. north of Jeffrey Road	Also needs a permanent easement
10	1	0	Irvine Company	529-391-08	Along SW No. 3.3. north of Jeffrey Road	Also needs a permanent easement
11	1	0	Irvine Company	529-381-03	Along SW No. 3.3. north of Jeffrey Road	Also needs a permanent easement
12	0	1	Irvine Company	529-381-08	Along SW No. 3.3. north of Jeffrey Road	
13	1	0	City of Irvine	529-381-07	Along SW No. 3.3. south of Yale Avenue	
<b>Total</b>	<b>10</b>	<b>4</b>				



## COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors

**From:** Andrea West, Interim Clerk of the Board

*Andrea West*

**Subject:** Amendment to Cooperative Agreement with the California Department of Transportation for Preparation of the Project Report and Environmental Document for the Interstate 5/EI Toro Road Interchange Project

### Regional Planning and Highways Committee Meeting of August 1, 2022

**Present:** Directors Bartlett, Delgleize, Foley, Harper, Muller, and Murphy

**Absent:** Director Chaffee

### **Committee Vote**

This item was passed by the Members present.

### **Committee Recommendations**

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Cooperative Agreement No. C-6-1262 between the Orange County Transportation Authority and the California Department of Transportation to provide federal funding, which the California Department of Transportation will draw directly, to complete environmental phase services for preparation of the project report and environmental document for the Interstate 5/EI Toro Road Interchange Project.
- B. Authorize the use of up to \$4,813,000 in additional Surface Transportation Block Grant Program funds for the Interstate 5/EI Toro Road Interchange Project.
- C. Authorize the use of up to \$350,000 in additional Measure M2 funds for public outreach efforts for the Interstate 5/EI Toro Road Interchange Project.
- D. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute or amend all necessary agreements to facilitate the above actions.



### **Committee Discussion**

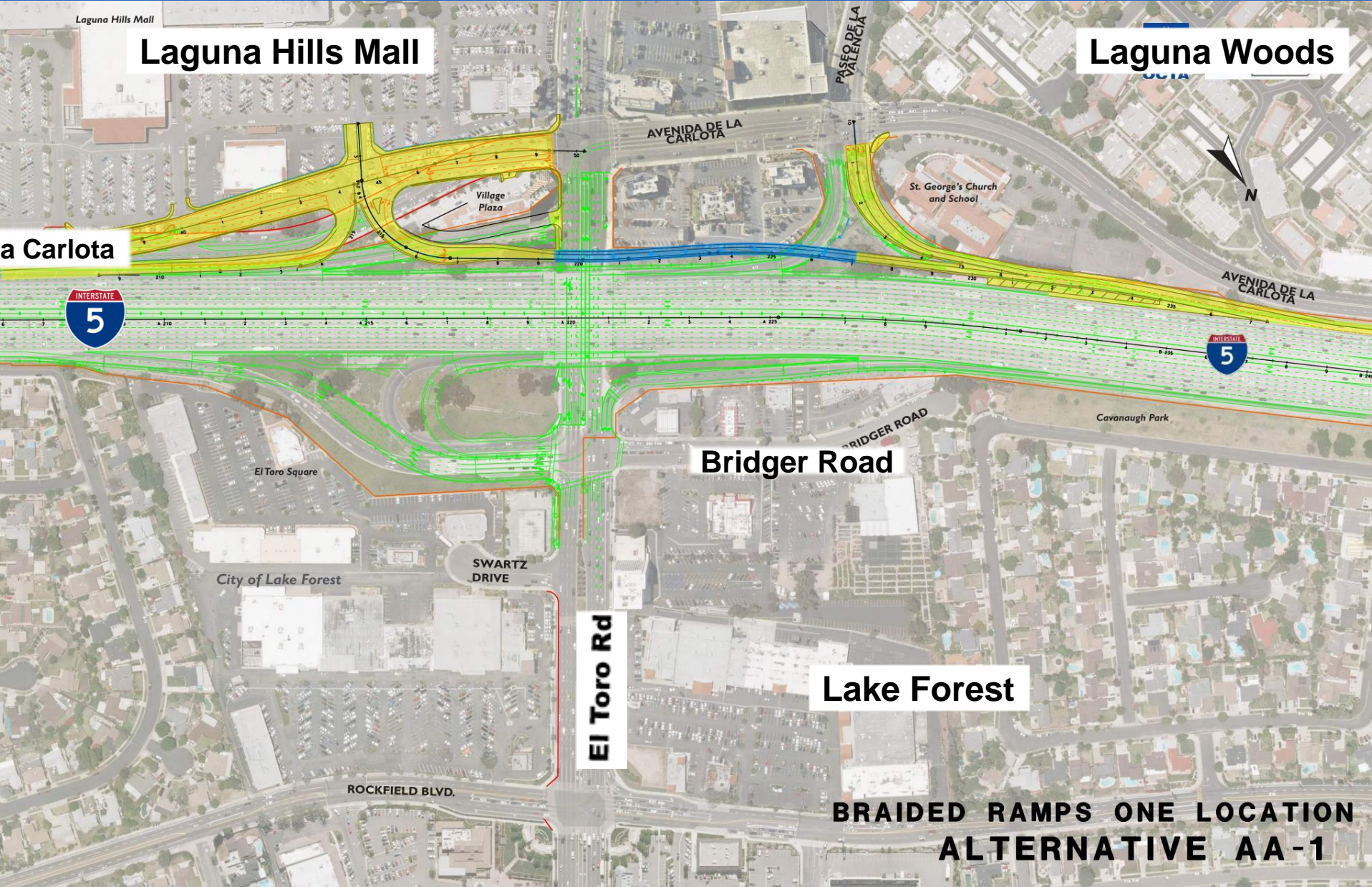
In response to discussion and questions at the Regional Planning and Highways Committee meeting on August 1, 2022, this transmittal includes graphics of the two alternatives, AA-1 and AA-5, that will move forward for evaluation in the environmental phase, as well as additional information on the city council project updates.

Following the Interstate 5/EI Toro Road interchange project update provided to the Orange County Transportation Authority (OCTA) Board of Directors on May 9, 2022, OCTA staff presented the project update to each of the three city councils in May and June. All three city councils received the presentation, asked questions, and provided feedback on the project alternatives. The Laguna Woods City Council took a specific action to strongly object to one of the previous alternatives in the 2019 draft environmental document, alternative 2, the original flyover alternative, that impacts the northeast quadrant of the interchange. With respect to the two new alternatives recommended to move forward as part of this item, AA-1 and AA-5, all three city councils asked questions and provided feedback on project improvements, potential impacts, and cost and schedule. The city councils' comments and feedback on the two new alternatives were acknowledged, and the three city councils were assured that the new alternatives will be fully studied and evaluated during the environmental phase. Based on the recommendation by staff from the three cities and this collective feedback provided by the city councils, staff recommends amending the cooperative agreement with the California Department of Transportation to restart the environmental phase and proceed with a full environmental analysis of the two new alternatives, AA-1 and AA-5.

Attachment



# Assessment Alternative (AA)-1: Braided Ramps One Location



Avenida De La Carlota

Laguna Hills Mall

Laguna Woods

Bridger Road

Lake Forest

El Toro Rd

**BRAIDED RAMPS ONE LOCATION  
ALTERNATIVE AA-1**



# AA-5: Flyover with Roundabout (Close to Rockfield Boulevard)




**FLYOVER WITH ROUNDABOUT CLOSE TO ROCKFIELD BLVD  
ALTERNATIVE AA-5**



**August 1, 2022**

**To:** Regional Planning and Highways Committee

**From:** Darrell E. Johnson, Chief Executive Officer  For

**Subject:** Amendment to Cooperative Agreement with the California Department of Transportation for Preparation of the Project Report and Environmental Document for the Interstate 5/EI Toro Road Interchange Project

### **Overview**

On November 22, 2016, the Orange County Transportation Authority entered into a cooperative agreement with the California Department of Transportation to perform environmental phase services for preparation of the project report and environmental document for the Interstate 5/EI Toro Road Interchange Project.

### **Recommendations**

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Cooperative Agreement No. C-6-1262 between the Orange County Transportation Authority and the California Department of Transportation to provide federal funding, which the California Department of Transportation will draw directly, to complete environmental phase services for preparation of the project report and environmental document for the Interstate 5/EI Toro Road Interchange Project.
- B. Authorize the use of up to \$4,813,000 in additional Surface Transportation Block Grant Program funds for the Interstate 5/EI Toro Road Interchange Project.
- C. Authorize the use of up to \$350,000 in additional Measure M2 funds for public outreach efforts for the Interstate 5/EI Toro Road Interchange Project.
- D. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute or amend all necessary agreements to facilitate the above actions.



***Discussion***

The Interstate 5 (I-5)/El Toro Road Interchange Project (Project) is part of Project D in the Measure M2 (M2) freeway program. In the Next 10 Delivery Plan, adopted by the Orange County Transportation Authority (OCTA) Board of Directors (Board) in December 2021, the project is listed as one of the M2 freeway projects to be environmentally cleared by 2030 and shelf ready for future funding and advancement. The California Department of Transportation (Caltrans) approved the project study report for the Project in early 2015, and environmental work began in May 2017.

The existing I-5/El Toro Road interchange currently experiences congestion during the morning and afternoon peak periods, resulting in unacceptable levels of service. The Project will improve traffic flows and ease congestion within the interchange, accommodate an expected increase in regional traffic, and improve access to and from the I-5 freeway. Proposed improvements at the El Toro Road interchange include improving El Toro Road and other local roads, modifying entrance and exit ramps, and modifying or replacing bridge structures.

Caltrans is the implementing agency for the environmental phase of the Project. Both state and federal environmental approval is required so that the Project is eligible for use of federal funding. Caltrans is the California Environmental Quality Act (CEQA) and National Environmental Policy Act (NEPA) lead agency for the Project and responsible for CEQA/NEPA compliance. Caltrans will determine the type of CEQA/NEPA documentation and will prepare the documentation in accordance with CEQA/NEPA requirements. Project environmental phase work began in May 2017 with the draft environmental document (ED) circulated for public review and comments from April to May 2019. There was no consensus amongst the cities of Laguna Hills, Laguna Woods, and Lake Forest (cities) on a preferred alternative following public review of the two build alternatives presented in the draft ED.

The M2 ordinance, as approved by the voters, requires that specific improvements at this interchange be subject to approved plans developed in cooperation with local jurisdictions and affected communities. Due to the lack of consensus amongst the cities on a preferred alternative, the Caltrans environmental phase work was paused, and OCTA initiated discussions and held meetings between late 2019 and early 2020 with the cities and Caltrans to address the lack of consensus and to discuss proposed alternatives, other options, and next steps. In September 2020, OCTA began an Alternatives Assessment Study to look at potential additional alternatives, in coordination with the cities and Caltrans. Seven alternatives were identified by staff from the

**Amendment to Cooperative Agreement with the California Department of Transportation for Preparation of the Project Report and Environmental Document for the Interstate 5/ El Toro Road Interchange Project** **Page 3**

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three cities through the study effort and were then evaluated. In March 2022, meetings with cities staff and Caltrans produced a consensus on the following two new alternatives to move forward to the environmental phase:

**Alternatives Assessment (AA)-1: Braided Ramps One Location**

This alternative distributes traffic via two sets of hook off- and on- ramps on the southbound side of the I-5 freeway in the City of Laguna Hills. Eastbound traffic travels over El Toro Road, exits the freeway on the south side of El Toro Road, and then connects to El Toro Road to travel east. The impact on the Village at Laguna Hills development is conceptually significantly less as compared to the collector-distributor concept included in the draft ED.

**Alternatives Assessment (AA)-5: Flyover with Roundabout close to Rockfield Boulevard**

This alternative distributes eastbound traffic via a flyover bridge which then connects to a roundabout close to Rockfield Boulevard, providing access to Los Alisos Boulevard and the area south of El Toro Road. This alternative could have significant impacts on the two shopping centers in the southeast quadrant of the interchange.

OCTA staff presented a project update to the three city councils in May and June of this year. The project updates and information about the two new alternatives were received, and feedback was provided by each of the three city councils. Based on this collective feedback, staff recommends moving forward with a full environmental analysis of the two newly proposed alternatives, AA-1 and AA-5, in the environmental phase.

As part of the restarted environmental phase, it is proposed that the CEQA ED be revised from an Initial Study/Mitigated Negative Declaration to an Environmental Impact Report to better align with the requirements of SB 743 (Chapter 386, Statutes of 2013), and address the cities' comments received during the draft ED public comment period, as well as other project considerations. As required by SB 743, Caltrans' traffic and environmental analysis of the build alternatives, including the two new alternatives described above, will study if the Project leads to a measurable and substantial increase in vehicle miles traveled, as well as the potential need for mitigation measures.

OCTA will again lead public outreach for the remainder of the environmental phase. It is envisioned that this will include a comprehensive communications plan, ascertainment of key stakeholders, and updated materials including presentations, postcards, exhibits, fact sheets, noticing documents, etc.

**Amendment to Cooperative Agreement with the California Department of Transportation for Preparation of the Project Report and Environmental Document for the Interstate 5/ El Toro Road Interchange Project** *Page 4*

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Outreach will also include public awareness campaign and community meetings, email marketing, surveys, direct mail, and issues and metrics tracking. Also included are logistics and implementation of public scoping meetings, virtual, and in-person public hearings.

An amendment to the cooperative agreement between OCTA and Caltrans is needed to incorporate the two new alternatives into the environmental phase of the Project. In order to fund this environmental work, staff requests Board approval of the use of \$4,813,000 in federal Surface Transportation Block Grant Program (STBGP) funds to pay for the completion of environmental phase work as part of the federal fiscal year (FY) 2022-23 Obligation Authority Plan. OCTA will designate the STBGP funds to Caltrans, as the implementing agency for the environmental phase, and Caltrans will directly draw \$4,813,000 from the Federal Highway Administration (FHWA). Use of federal funds for M2 freeway projects is consistent with Board-approved Capital Programming Policies, which prioritize all state and federal funds to fulfill commitments to M2 projects. Per policy, STBGP funds are specifically for the M2 freeway program, and local streets and roads projects. The use of STBGP funds for the Project allows OCTA to preserve M2 freeway funds for future M2 freeway projects. In addition, by utilizing federal funds and allowing Caltrans to draw the funds directly, OCTA is able to fund Caltrans' direct effort as the implementing agency at a lower overhead rate than would be required if using local M2 funds. The Capital Funding Program Report includes a summary of how OCTA's capital projects are currently funded, along with the proposed changes in this item, and is provided as Attachment B.

Staff also requests Board approval of \$350,000 in M2 funds for outreach support through the completion of the environmental phase of the Project. These funds will provide for a comprehensive communications plan, ascertainment of key stakeholders, a public awareness campaign, community meetings, emails, and implementation of scoping meetings and metrics tracking.

#### Fiscal Impact

Federal STBGP funds for the Project will flow directly to Caltrans and will not flow through OCTA. Caltrans will directly withdraw \$4,813,000 from FHWA for the Project. Funding for public outreach is included in OCTA's FY 2022-23 Budget, External Affairs Division, Account No. 0017-7519-FD102-0IA, and will be funded through M2 revenue.

**Amendment to Cooperative Agreement with the California Department of Transportation for Preparation of the Project Report and Environmental Document for the Interstate 5/ El Toro Road Interchange Project** **Page 5**

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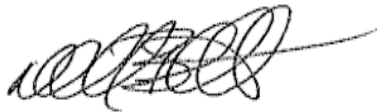
***Summary***

Staff requests Board approval for the Chief Executive Officer to negotiate and execute Amendment No. 1 to Cooperative Agreement No. C-6-1262 between OCTA and Caltrans, to allow for Caltrans' direct draw of federal funds, in the amount of \$4,813,000, the use of an additional \$350,000 in M2 funds for OCTA public outreach efforts, and to authorize staff to process all necessary amendments to the Federal Transportation Improvement Program to complete environmental phase services for preparation of the project report and environmental document for the Project.

***Attachments***

- A. California Department of Transportation, District 12, Cooperative Agreement No. C-6-1262 Fact Sheet
- B. Capital Funding Program Report

**Prepared by:**



Niall Barrett, P.E.  
Program Manager  
(714) 560-5879

**Approved by:**



Rose Casey, P.E.  
Director, Highway Programs  
(714) 560-5729



Pia Veasapen  
Director, Contracts Administration and  
Materials Management  
(714) 560-5619

**California Department of Transportation, District 12  
Cooperative Agreement No. C-6-1262 Fact Sheet**

1. October 10, 2016, Agreement No. C-6-1262, in the amount of \$4,550,000, approved by the Board of Directors (Board).
  - The agreement was executed on November 22, 2016, for the California Department of Transportation (Caltrans) to perform environmental phase services for preparation of project report and environmental document for the Interstate 5/EI Toro Road Interchange Project (Project).
2. August 8, 2022, Amendment No. 1 to Agreement No. C-6-1262, in the amount of \$5,163,000, pending approval by the Board.
  - To reimburse Caltrans with \$4,813,000 in federal funds and \$350,000 in Measure M2 funds for incorporating two newly developed alternatives into the environmental phase of the Project and delivering the final environmental documents.

Total funds committed to Caltrans after approval of Amendment No. 1 to Agreement No. C-6-1262: \$9,713,000.



# Capital Funding Program Report

Pending Approval by OCTA Board of Directors (Board) - August 8, 2022

## State Highway Project

Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
I-5 from SR-55 to SR-57, add one HOV lane each direction	A	\$41,500	\$36,191							\$5,309	
I-5 widening, I-405 to Yale Avenue (Segment 1)	B	\$230,482	\$52,357			\$95,338	\$33,395			\$49,392	
I-5 widening, Yale Avenue to SR-55 (Segment 2)	B	\$41,351	\$32,527							\$8,824	
I-5 widening, Alicia Parkway to El Toro Road (Segment 3)	C	\$181,327	\$49,897		\$4,728		\$9,388			\$117,314	
I-5 widening, Oso Parkway to Alicia Parkway (Segment 2)	C	\$206,695	\$48,676		\$7,921					\$150,098	
I-5 widening, SR-73 to Oso Parkway (Segment 1)	C	\$213,267	\$28,167		\$6,433	\$91,977		\$29,832		\$56,858	
I-5, SR-73 to El Toro Road landscaping/replacement planting	C	\$12,365				\$6,000				\$6,365	
I-5/El Toro Interchange <sup>1,2</sup>	D	\$9,563	\$9,213							\$350	
SR-55 (I-5 to SR-91)	F	\$16,000	\$8,359		\$2,641					\$5,000	
SR-55 widening between I-405 and I-5	F	\$505,720	\$160,500		\$41,900	\$80,000	\$140,000			\$83,320	
SR-57 Orangewood Avenue to Katella Avenue	G	\$9,327	\$2,500		\$3,240					\$3,587	
SR-57 truck climbing lane phase II: Lambert Road to LA County Line	G	\$6,500				\$6,500					
SR-91, Acacia Avenue to La Palma Avenue (Segment 3)	I	\$18,171	\$1,770							\$30	\$16,371
SR-91, La Palma Avenue to SR-55 (Segment 2)	I	\$46,314	\$3,460							\$40	\$42,814
SR-91, SR-55 to Lakeview Avenue (Segment 1)	I	\$15,779	\$1,770							\$30	\$13,979
SR-91, SR-241 to I-15	J	\$41,800									\$41,800
I-405 improvements, SR-73 to I-605	K	\$2,080,234	\$35,000		\$10,648			\$89,771		\$1,315,885	\$628,930
I-405 (I-5 to SR-55)	L	\$8,000	\$8,000								
I-405 s/b aux lane - University Drive to Sand Canyon and Sand Canyon to SR-133	L	\$2,328				\$2,328					
I-605/ Katella Avenue interchange	M	\$32,144	\$17,800							\$14,344	
241/91 Express Lanes (HOT) connector		\$182,298	\$50								\$182,248
I-5 Managed Lane Project from Avenida Pico to San Diego County Line		\$6,978	\$6,978								
SR-74 - Gap closure for 0.9 mile and multimodal improvements		\$53,513			\$250	\$43,913				\$7,200	\$2,150
SR-74 widening, City/County line to Antonio Parkway		\$40,905	\$5,285			\$10,000					\$25,620
<b>State Highway Project Totals</b>		<b>\$4,002,561</b>	<b>\$508,500</b>		<b>\$77,761</b>	<b>\$336,056</b>	<b>\$182,783</b>	<b>\$119,603</b>		<b>\$1,823,946</b>	<b>\$953,912</b>
<b>Federal Funding Total</b>		<b>\$586,261</b>									
<b>State Funding Total</b>		<b>\$638,442</b>									
<b>Local Funding Total</b>		<b>\$2,777,858</b>									
<b>Total Funding (000's)</b>		<b>\$4,002,561</b>									

## State Highway Project Completed

Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
I-5 HOV lane each direction s/o PCH to San Juan Creek Road	C	\$74,300	\$11,326					\$20,789		\$42,185	
I-5 HOV lanes from s/o Avenida Vista Hermosa to s/o PCH	C	\$75,300	\$12,065			\$46,779				\$16,456	
I-5 HOV lanes: s/o Avenida Pico to s/o Vista Hermosa	C	\$83,500	\$26,867		\$1,600	\$43,735				\$11,298	





# Capital Funding Program Report

## Pending Approval by OCTA Board of Directors (Board) - August 1, 2022

### Board Action:

1. Authorize use of \$4.813 million in Surface Transportation Block Grant Program funds for the environmental phase completion.
2. Authorize \$350,000 in Measure M2 funds for outreach support through the completion of the Environmental Phase of the project.

### Acronyms:

Aux - Auxilliary  
CMAQ - Congestion Mitigation Air Quality Improvement Program  
E/B - Eastbound  
E/O - East of  
FTA - Federal Transit Administration  
HOT - High-Occupancy Toll  
HOV - High-Occupancy Vehicle  
I-405 - Interstate 405  
I-5 - Interstate 5  
I-605 - Interstate 605  
LA - Los Angeles  
M Code - Project Codes in Measure M1 and M2  
M1 - Measure M1  
M2 - Measure M2  
N/B - Northbound  
OC - Orange County  
OCTA - Orange County Transportation Authority  
PCH - Pacific Coast Highway  
RSTP - Regional Surface Transportation Program  
S/B - Southbound  
S/O - South of  
SB 1 - Senate Bill 1 (Chapter 5, Statutes of 2017)  
SR-133 - State Route 133  
SR-22 - State Route 22  
SR-241 - State Route 241  
SR-55 - State Route 55  
SR-57 - State Route 57  
SR-71 - State Route 71  
SR-73 - State Route 73  
SR-74 - State Route 74  
SR-91 - State Route 91  
STBG - Surface Transportation Block Grant  
STIP - State Transportation Improvement Program  
W/B - Westbound





## COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors

**From:** Andrea West, Interim Clerk of the Board

*Andrea West*

**Subject:** Amendment to Agreement for Additional Design Services for Interstate 5 Improvement Project Between Yale Avenue and State Route 55

### Regional Planning and Highways Committee Meeting of August 1, 2022

**Present:** Directors Bartlett, Delgleize, Foley, Harper, Muller, and Murphy

**Absent:** Director Chaffee

### **Committee Vote**

This item was passed by the Members present.

### **Committee Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Agreement No. C-0-2371 between the Orange County Transportation Authority and TranSystems Corporation, in the amount of \$984,228, for additional design services for the Interstate 5 Improvement Project between Yale Avenue and State Route 55. This will increase the maximum cumulative obligation of the agreement to a total contract value of \$13,458,941.



**August 1, 2022**

**To:** Regional Planning and Highways Committee *For*

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

**Subject:** Amendment to Agreement for Additional Design Services for Interstate 5 Improvement Project Between Yale Avenue and State Route 55

### **Overview**

On November 9, 2020, the Orange County Transportation Authority Board of Directors authorized an agreement with TranSystems Corporation for the preparation of plans, specifications, and estimates for the Interstate 5 Improvement Project between Yale Avenue and State Route 55. An amendment to the existing agreement is required for additional design services.

### **Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Agreement No. C-0-2371 between the Orange County Transportation Authority and TranSystems Corporation, in the amount of \$984,228, for additional design services for the Interstate 5 Improvement Project between Yale Avenue and State Route 55. This will increase the maximum cumulative obligation of the agreement to a total contract value of \$13,458,941.

### **Discussion**

Interstate 5 (I-5) improvements between Yale Avenue and State Route 55 (SR-55) (Project) is part of Project B in the Measure M2 (M2) freeway program. In the updated Next 10 Delivery Plan, adopted by the Orange County Transportation Authority (OCTA) Board of Directors (Board) in December 2021, the Project is listed as one of the M2 freeway projects to be implemented through construction.

The Project will add one general purpose (GP) lane in both directions on I-5 between Yale Avenue and SR-55. The project will reestablish existing auxiliary lanes and provide new auxiliary lanes where necessary, and provide continuous access to the high-occupancy vehicle (HOV) lanes. The plans, specifications, and estimates (PS&E) for the Project are currently being prepared.

## **Amendment to Agreement for Additional Design Services for Interstate 5 Improvement Project Between Yale Avenue and State Route 55** *Page 2*

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Additional project scope has been identified, which requires further effort to complete the design on schedule. An amendment to the project design contract is recommended for the following additional services:

### **Jamboree Road Northbound (NB) Off-ramp**

At the beginning of the design phase, the California Department of Transportation (Caltrans) requested that an additional lane be added to the Jamboree Road NB off-ramp to accommodate the volume of traffic exiting the freeway, and to reduce the potential for traffic back-up from Jamboree Road onto the I-5 mainline. This fourth lane on the off-ramp will provide additional NB I-5 storage for traffic exiting at Jamboree Road. A traffic analysis, performed using Vissim software, supports the need for an additional lane at this off-ramp.

The additional design services to be provided include the following:

Additional design and preparation of PS&E is needed for roadway, drainage, signage, stage construction/traffic handling, electrical, pavement, pavement delineation, lighting and traffic signal modifications, loop detectors and loop detection cables, associated engineering reports, survey/right-of-way engineering services, and construction support. Additional geotechnical borings, geotechnical design, and materials reports are also needed.

### **Overhead Signage**

Since the project report (PR) for this project was finalized at the end of the environmental phase, changes to Caltrans' design requirements for overhead signage has resulted in the need to replace signage that was to have remained in place. The Project Development Team has successfully reduced the number of signs that would have otherwise been replaced; however, there are approximately 18 that still need to be replaced that were not previously identified, and were therefore not included in the scope of the contract.

As a result of these new overhead signs, additional design services to be provided include the following:

- Roadway design to include new median barrier tapers, additional signage plans, stage construction plans for freeway closures (to install new signage), additional quantity sheets and traffic analysis to estimate projected delays, and queue lengths on interchange ramps due to freeway closures.

## **Amendment to Agreement for Additional Design Services for Interstate 5 Improvement Project Between Yale Avenue and State Route 55** *Page 3*

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- Additional geotechnical borings, foundation reports, updates to the Environmental Revalidation and Environmental Commitments Record, and environmental analysis are also needed due to the addition of the new overhead sign structures.

### Sound Walls

At the beginning of the design phase, a review of the reasonableness and feasibility of the sound walls proposed in the PR was conducted. The review was performed to ensure state and federal requirements are met for the funding and construction of sound walls, with all proposed sound walls having to be both feasible (i.e. provide a minimum of noise attenuation) and reasonable (not exceed a construction cost estimate per benefitted receptor).

As a result of the reasonableness and feasibility analysis, changes to the lengths and limits of sound walls will necessitate a redesign of the sound walls and other nearby facilities as compared to what was identified in the final PR. Based on an updated noise analysis, an overall reduction in the length of sound walls is estimated to save \$5.5 million in construction costs.

### Landscaping Design

Upon further field review of the existing landscaping along this stretch of the I-5, it has been determined that additional landscaping will be required for this project. This section of the I-5 was constructed in the 1950's, widened in the 1980's, and HOV lanes were added in the 1990's. This has resulted in irrigation, landscaping, and hardscaping that has been installed over time, some of it decades old. A more detailed analysis of the existing landscaping shows that much of the landscaping and irrigation has reached the end of useful life. As a result, an increased level of effort will be needed to prepare the landscape design.

Maintaining a patchwork of existing landscaping also becomes problematic during construction as many of these areas are used as lay-down and staging areas by the freeway contractor. Additional landscaping design is needed to replace the existing landscaping that will be removed.

### Fact Sheet for Exceptions to Ramp Metering Policy

As part of the efforts to encourage carpooling and as an effective traffic management strategy, the Caltrans 2016 Ramp Metering Design Manual (manual) sets standards for metering entrance ramps to highways. The manual calls for HOV

**Amendment to Agreement for Additional Design Services for Interstate 5 Improvement Project Between Yale Avenue and State Route 55** **Page 4**

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preferential lanes to be provided wherever ramp meters are installed. The addition of the HOV lane can be eliminated if it is determined that the HOV preferential lane will be under-utilized, or if there is a need for additional queue storage for the GP lanes. Based on traffic analysis, there are nine on-ramps which will not have HOV preferential lanes, necessitating the preparation of an Exceptions to Ramp Metering Policy Fact Sheet, which is reviewed and approved by Caltrans District 12 and Caltrans headquarters.

***Procurement Approach***

This procurement was handled in accordance with OCTA's Board-approved procedures for architectural and engineering services, which conform to both state and federal laws. The original firm-fixed price agreement was executed on May 6, 2021, in the amount of \$12,474,713, for the preparation of the Project PS&E. It has become necessary to amend the existing agreement to include additional design services, as shown in Attachment A.

OCTA staff negotiated the required level of effort with TranSystems Corporation to provide the additional design services as described above. Staff found TranSystems Corporation's price proposal, in the amount of \$984,228, to be fair and reasonable relative to the negotiated level of effort. Proposed Amendment No. 1 to Agreement No. C-0-2371 will increase the total contract value to \$13,458,941.

**Fiscal Impact**

The Project is included in OCTA's Fiscal Year 2022-23 Budget, Capital Programs Division, Account No. 0017-7519-FB103-1OD, and will be funded through M2 revenue.

***Summary***

Staff requests Board of Directors' approval to authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Agreement No. C-0-2371 between the Orange County Transportation Authority and TranSystems Corporation, in the amount of \$984,228, for additional design services for the Interstate 5 Improvement Project between Yale Avenue and State Route 55.

**Amendment to Agreement for Additional Design Services for Interstate 5 Improvement Project Between Yale Avenue and State Route 55** *Page 5*

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***Attachment***

- A. TranSystems Corporation, Agreement No. C-0-2371 Fact Sheet

**Prepared by:**



Niall Barrett, P.E.  
Program Manager  
(714) 560-5879

**Approved by:**



Rose Casey, P.E.  
Director, Highway Programs  
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Pia Veesapen  
Director, Contracts Administration and  
Materials Management  
(714) 560-5619

**TranSystems Corporation  
Agreement No. C-0-2371 Fact Sheet**

1. November 9, 2020, Agreement No. C-0-2371, in the amount of \$12,474,713, approved by the Board of Directors (Board).
  - The agreement was executed on May 6, 2021, for design services for plans, specifications and estimates for Interstate 5 Widening Project between Yale Avenue and State Route 55.
2. August 8, 2022, Amendment No. 1 to Agreement No. C-0-2371, \$984,228, pending approval by the Board.
  - Increase maximum cumulative obligation for additional design services related to Jamboree Road fourth lane off-ramp, overhead signage, sound walls, landscaping work, and California Department of Transportation ramp metering exception fact sheet.

Total funds committed to TranSystems Corporation after approval of Amendment No. 1 to Agreement No. C-0-2371: \$13,458,941.



COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors

**From:** Andrea West, Interim Clerk of the Board

*Andrea West*

**Subject:** Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605

Regional Planning and Highways Committee Meeting of August 1, 2022

**Present:** Directors Bartlett, Delgleize, Foley, Harper, Muller, and Murphy

**Absent:** Director Chaffee

**Committee Vote**

This item was passed by the Members present.

**Committee Recommendation**


Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 133 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$509,431, to provide additional landscaping at various bridges in the City of Westminster.





**August 1, 2022**

**To:** Regional Planning and Highways Committee

**From:** Darrell E. Johnson, Chief Executive Officer  For

**Subject:** Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605

**Overview**

On November 14, 2016, the Orange County Transportation Authority Board of Directors approved Agreement No. C-5-3843 with OC 405 Partners, a joint venture, for the design and construction of the Interstate 405 Improvement Project from State Route 73 to Interstate 605. A contract change order is needed at this time to compensate OC 405 Partners for additional landscaping at various bridges in the City of Westminster.

**Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 133 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$509,431, to provide additional landscaping at various bridges in the City of Westminster.

**Discussion**

The Orange County Transportation Authority (OCTA), in cooperation with the California Department of Transportation (Caltrans), is implementing the Interstate 405 (I-405) Improvement Project from State Route 73 (SR-73) to Interstate 605 (I-605) (Project). The Project will add one general purpose lane from Euclid Street to I-605, consistent with Measure M2 (M2) Project K, and will add an additional lane in each direction that would combine with the existing high-occupancy vehicle lane to provide dual express lanes in each direction on I-405 from SR-73 to I-605, otherwise known as the 405 Express Lanes.

On November 14, 2016, the OCTA Board of Directors (Board) approved Agreement No. C-5-3843 with OC 405 Partners (OC405), a joint venture, for the design and construction of the Project. The contract was executed and Notice to Proceed (NTP) No. 1 was issued to OC405 on January 31, 2017.

**Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605** **Page 2**

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On July 27, 2017, NTP No. 2 was issued to OC405 for the full design and construction of the Project.

The recommended contract change order (CCO) is described in more detail below.

**Additional Landscaping at Various Bridges in the City of Westminster (City)**

In accordance with the contract documents, OC405 is required to install landscaping according to the Project aesthetics and landscaping master plan. In addition, the Project shall comply with Caltrans standards for work within Caltrans right-of-way (ROW) and apply City standards for work outside Caltrans ROW. As the Project progressed and the City provided its review of the landscaping plans, some landscaping was identified by the City within the City's ROW that did not meet City requirements at Beach Boulevard, Bolsa Avenue, Newland Street, Edinger Avenue, McFadden Street, and Goldenwest Street. The planting material was changed, by the City, in these City areas to succulent type ground cover to meet City requirements for low maintenance and drought tolerance, which increased the density and number of plants to be installed. In addition, hardscape was incorporated into the design, including the use of large boulders, mow strips and decomposed granite areas to accommodate City maintenance requirements. To implement the above described changes, additional costs were required to design the plans and to incorporate additional traffic control during construction. OCTA issued OC405 a directive letter to incorporate these requirements. A CCO is now needed, in the amount of \$509,431, for OC405 to comply with this directive.

OC405 did not agree to execute this CCO and prefers to defer analysis of time impacts for this additional work to a later date and believes its costs will be slightly higher than OCTA agreed to. The amount of the CCO is based on staff review of the supporting documents provided by OC405 and an independent cost estimate of the scope of work. The purpose of this unilateral CCO is to compensate OC405 for costs that have been received by OCTA and verified through appropriate documentation.

***Procurement Approach***

The procurement was handled in accordance with the best-value selection process authorized by AB 401 (Chapter 586, Statutes of 2013) for design-build (DB) projects and with OCTA's Board-approved procedures for public works projects, which conform to both federal and state requirements. On November 14, 2016, the Board authorized Agreement No. C-5-3843 with OC405, in the amount of \$1,217,065,000, for the design and construction of the Project through a DB contract.

**Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605** **Page 3**

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Proposed CCO No. 133, in the amount of \$509,431, will provide compensation to OC405 for additional landscaping at various bridges in the City. The CCO will increase the cumulative value of the contract by \$509,431.

Attachment A lists the CCOs that have been executed to date, and the CCOs that are pending execution with OC405.

**Fiscal Impact**

Funding for this work was approved in OCTA's Fiscal Year 2022-23 Budget, Capital Programs Division, account nos. 0017-9084-FK101-0GM and 0037-9017-A9510-0GM, and is funded with a combination of federal, state, and local funds. M2 funds will be used for improvements specific to M2 Project K, and non-M2 funds will be used for improvements specific to the 405 Express Lanes. The costs of CCO 133 are funded from the Project contingency and are not anticipated to increase the total Project estimate of \$2.08 billion.

***Summary***

Staff recommends the Board of Directors authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 133 to Agreement No. C-5-3843 with OC405 Partners, in the amount of \$509,431, to provide additional landscaping at various bridges in the City of Westminster.

***Attachment***

- A. OC 405 Partners, Agreement No. C-5-3843, Contract Change Order Log

**Prepared by:**



Jeff Mills, P.E.  
Senior Program Manager  
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Pia Veesapen  
Director, Contracts Administration and  
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**Approved by:**



James G. Beil, P.E.  
Executive Director, Capital Programs  
(714) 560-5646

**OC 405 Partners  
Agreement No. C-5-3843  
Contract Change Order Log**

<b>Contract Change Order (CCO) No.</b>	<b>Title</b>	<b>Status</b>	<b>Date Executed</b>	<b>Cost</b>
001	Technical Provisions – Execution Version	Approved	6/14/2017	\$0.00
002	Notice to Proceed No. 1 Payment Cap Increase and Substantial Completion Deadline Modifications	Approved	6/21/2017	\$0.00
003	Extra Maintenance Work (Provisional Sum)	Approved	7/28/2017	\$200,000.00
003.1	Amendment to Change Order to Add Additional Funds for Extra Maintenance Work	Approved	10/2/2018	\$200,000.00
003.1.1	Provisional Sum for Extra Maintenance Work-Unilateral	Approved	10/10/2019	\$400,000.00
003.1.2	Supplemental Extra Maintenance Work	Approved	1/16/2020	\$350,000.00
003.1.3	Supplemental Extra Maintenance Work	Approved	8/4/2020	\$350,000.00
003.2	Additional Extra Maintenance Work	Approved	12/22/2020	\$500,000.00
003.2.1	Supplemental Extra Maintenance Work	Approved	3/19/2021	\$500,000.00
003.2.2	Supplemental Extra Maintenance Work	Approved	6/7/2021	\$500,000.00
003.2.3	Supplemental Technical Provisions Section 21.4 - Extra Maintenance Work	Approved	11/15/2021	\$500,000.00
003.2.4	Technical Provisions Section 21.4-Extra Maintenance Work (Provisional Sum)	Approved	3/30/2022	\$200,000.00
003.3	Additional Extra Maintenance Work	Pending		\$3,000,000.00
004	Design-Builder Personnel Changes (Appendices 7 and 23)	Approved	12/20/2017	\$0.00
005	Dispute Review Board (Provisional Sum)	Approved	9/13/2017	\$50,000.00
005.1	Increase in Provisional Sum per Contract Section 19.4 Disputes Board	Approved	7/1/2019	\$50,000.00
006	Allowance for 50 percent of costs of Partnering Facilitation events (Provisional Sum)	Approved	9/13/2017	\$50,000.00
006.1	Partnering per Contract Section 19.1	Approved	7/1/2019	\$50,000.00

<b>Contract Change Order (CCO) No.</b>	<b>Title</b>	<b>Status</b>	<b>Date Executed</b>	<b>Cost</b>
007	Implementation of California Department of Transportation (Caltrans) Guidance on Six-Inch Wide Longitudinal Traffic Lines and Non-Reflective Raised Pavement Markers	Approved	3/15/2018	\$0.00
008	Collection and Disposal of Unknown Hazardous Materials (Provisional Sum)	Approved	9/13/2018	\$100,000.00
008.1	Supplemental Unknown Hazardous Materials	Approved	9/11/2019	\$100,000.00
008.2	Supplemental Unknown Hazardous Materials	Approved	11/25/2019	\$250,000.00
008.2.1	Supplemental Unknown Hazardous Materials	Approved	3/11/2020	\$150,000.00
008.3	Supplemental Unknown Hazardous Materials	Approved	5/4/2020	\$500,000.00
008.3.1	Supplemental for Additional Collection and Disposal of Unknown Hazardous Materials	Approved	11/2/2020	\$500,000.00
008.3.2	Supplemental Collection and Disposal of Unknown Hazardous Materials	Approved	12/7/2021	\$500,000.00
008.3.3	Collection and Disposal of Unknown Hazardous Materials (Provisional Sum)	Approved	8/30/2022	\$400,000.00
009	Repair of Caltrans' Fiber Optic Line	Approved	5/16/2018	\$31,753.69
010	Five Project Funding Identification Signs (Provisional Sum)	Approved	7/2/2018	\$32,644.25
011	Revised Right-of-Way (ROW) Availability Date of Caltrans Parcel No. 102919 Used by Mike Thompson's RV Super Store	Approved	6/28/2018	\$0.00
012	Credit to Orange County Transportation Authority (OCTA) for Elimination of the Street Widening Improvements Along Eastbound Edinger Avenue	Approved	9/13/2018	-\$237,982.39
013	Additional Design and Construction Cost Compensation Related to: City Bridge Width; Construction Changes to Minimize ROW Impacts; Revised Design Concept at Ellis Avenue On-Ramp to Southbound Interstate 405 (I-405); State Route 73 Overhead Sign Structures; Sendero Apartments Left-Turn Pocket on Magnolia Street; Newland Street Waterline Extension; and Signal Improvements at Ellis Avenue/Bushard Street	Approved	2/25/2019	\$8,560,556.00

<b>Contract Change Order (CCO) No.</b>	<b>Title</b>	<b>Status</b>	<b>Date Executed</b>	<b>Cost</b>
013.1	Permanent Traffic Signal at the Intersection of Warner Avenue and Greenleaf Street	Approved	12/5/2019	\$460,327.00
014	Thrust Blocks for the City of Fountain Valley Water Lines	Approved	10/29/2018	\$88,021.00
015	Slater Bridge Construction Shuttle Services	Approved	12/4/2018	\$175,000.00
016	Construction Zone Speed Reduction	Approved	12/3/2018	\$70,000.00
016.1	Additional Speed Reduction Signs	Approved	12/31/2019	\$4,512.00
017	Relocation of Water Lines for the City of Fountain Valley	Approved	3/8/2019	\$800,000.00
018	Enhanced Gawk Screen at Bolsa Chica Road	Approved	1/25/2019	\$56,395.00
019	Brookhurst Street Overhead Sign Location Redesign	Approved	1/25/2019	\$11,484.00
020	Differing Site Conditions - Pavement Thickness at Magnolia	Approved	1/29/2019	\$4,095.00
021	Polymer Fibers in All Concrete Bridge Decks	Approved	3/19/2019	\$1,463,020.00
022	Temporary Construction Easement Reduction at La Quinta	Approved	3/19/2019	\$85,573.00
023	Updated FasTrak Logos (Unilateral)	Approved	2/21/2019	\$20,532.00
024	Express Lanes Channelizers	Approved	3/12/2019	\$122,778.00
025	Stainless Steel Inserts at Fairview Road Overcrossing	Approved	3/12/2019	-\$9,293.00
026	OCTA PlanGrid Software Licenses	Approved	3/28/2019	\$35,994.00
026.1	Supplemental for OCTA PlanGrid Software Licenses	Approved	9/11/2019	\$8,570.00
026.2	Additional PlanGrid Software Licenses	Approved	3/8/2021	\$46,278.00
027	Utility potholing on Milton Avenue	Approved	9/12/2019	\$61,731.87
027.1	Electrical Infrastructure Work at Milton Avenue	Approved	1/16/2020	\$278,282.28
028	Mesa Water District 12-inch Water Line (Conflict Number 1127)	Approved	5/7/2019	\$208,600.00
029	Magnolia Loop Ramp Changeable Message Sign (CMS) Deletion	Approved	5/15/2019	-\$74,319.00

<b>Contract Change Order (CCO) No.</b>	<b>Title</b>	<b>Status</b>	<b>Date Executed</b>	<b>Cost</b>
030	Motel 6 Soundwall (SW-791) Elimination	Approved	5/15/2019	-\$130,000.00
031	Soundwall 956 Reduction	Approved	5/22/2019	-\$30,000.00
033	Edinger Channel Pavement Rehabilitation	Approved	7/30/2019	\$176,465.00
034	Chevron and Crimson Utility Relocation at Goldenwest Crossing	Approved	8/2/2019	\$75,000.00
034.1	Chevron and Crimson Utility Relocation Support	Approved	12/31/2019	\$12,018.00
034.2	Chevron and Crimson Goldenwest Relocation Assistance	Approved	2/18/2020	\$110,000.00
034.3	Chevron and Crimson Goldenwest Relocation Assistance	Approved	8/4/2020	\$10,982.00
034.4	Chevron and Crimson Goldenwest Relocation Assistance	Approved	9/21/2020	\$300,000.00
035	Incompatible Specifications – Adjacent to Continuously Reinforced Concrete Pavement	Approved	6/26/2019	\$2,900,557.00
036	Minor Construction Support for Dry Utilities	Approved	5/11/2020	\$100,000.00
036.1	Minor Construction Support for Dry Utility Relocations (Provisional Sum)	Approved	4/04/2022	\$100,000.00
037	Soundwall 375 Protect in Place	Approved	6/4/2019	\$200,000.00
040	High-Density Polyethylene in Lieu of Reinforced Concrete Pipe	Approved	7/9/2019	-\$7,418.68
041	Emergency Vehicle Preemption Devices at Fairview Road	Approved	7/9/2019	\$44,147.00
042	Executed Utility Agreements (Unilateral)	Approved	11/4/2019	\$0.00
043	Early Partial Removal of Soundwall 328	Approved	9/16/2019	\$14,414.18
044	Field survey for Frontier at Westminster Avenue	Approved	1/7/2020	\$12,908.42
045	Water Line Betterments (Conflict Number 1012 and 6044) at Warner Avenue	Approved	10/12/2019	\$256,244.00
046	Additional Water Lines at Brookhurst Street and Talbert Avenue in the City of Fountain Valley	Approved	12/5/2019	\$389,878.00
047	Additional Water Line Valves for the City of Fountain Valley	Approved	12/5/2019	\$266,828.00



<b>Contract Change Order (CCO) No.</b>	<b>Title</b>	<b>Status</b>	<b>Date Executed</b>	<b>Cost</b>
048	Temporary Construction Easement Reduction at Sit n' Sleep (Caltrans Parcel Number 103026)	Approved	10/17/2019	\$129,243.00
049	Beach Boulevard Lane Widths Reduction (Necessary Basic Configuration Change)	Approved	10/17/2019	\$160,000.00
050	Vibration Sensitive Receptors (McFadden Avenue Overcrossing Abutment 3)	Approved	10/17/2019	\$59,383.87
051	Exercising Water Valves for the City of Fountain Valley	Approved	1/16/2020	\$50,000.00
052	McFadden Avenue Interconnect Between Beach Boulevard and Sugar Drive	Approved	11/14/2019	\$0.00
053	Traffic Signal Modification at Beach Boulevard and McFadden Avenue	Approved	11/14/2019	-\$128,118.00
054	Differing Site Conditions Pavement Against Median K-Rail	Approved	12/31/2019	\$11,133.00
055	LA Fitness at Retaining Wall 717	Approved	12/31/2019	\$8,428.29
056	Additional Speed Reduction Signs and Radar Packages	Approved	12/31/2019	\$148,397.00
057	Archaeological Treatment Plan	Approved	6/4/2020	\$200,000.00
057.1	Archaeological Treatment Plan	Approved	7/9/2020	\$500,000.00
057.1.1	Archaeological and Native American Monitors at Goldenwest Street and Bolsa Avenue (Supplemental)	Approved	8/27/2020	\$500,000.00
057.1.2	Supplemental Environmental Monitoring at Bolsa Avenue Overcrossing	Approved	10/30/2020	\$300,000.00
057.2	Archaeological Treatment Plan and Native American Monitoring	Approved	3/4/2021	\$500,000.00
057.2.1	Additional Archaeological and Native American Monitoring Treatment Plan	Approved	7/12/2021	\$500,000.00
057.2.2	Archaeological and Native American Monitors at Goldenwest Street and Bolsa Avenue (Supplemental) (Unilateral)	Approved	3/23/2022	\$500,000.00
058	Biological Monitoring Naval Weapons Station Seal Beach (Unilateral)	Approved	6/29/2020	\$50,000.00
058.1	Biological Monitor at Naval Weapons Station Seal Beach	Approved	12/10/2021	\$50,000.00
059	Pavement Limits for Beach Boulevard and Edinger Avenue	Approved	2/18/2020	\$33,573.00
060	Heil Pedestrian Overcrossing and Switchback Ramp (Unilateral)	Approved	2/25/2020	\$1,044,927.00
061	Plant Establishment Period	Approved	2/26/2020	\$1,600,000.00

<b>Contract Change Order (CCO) No.</b>	<b>Title</b>	<b>Status</b>	<b>Date Executed</b>	<b>Cost</b>
062	SB 1 (Chapter 5, Statutes of 2017): Diesel Fuel Sales Tax Rate Increase	Approved	3/9/2020	\$1,764,164.64
063	Bracing for Southern California Edison (SCE) Power Poles at Conflict Number 2012	Approved	3/5/2020	\$169,770.00
064	City Sales and Use Tax Increases (Unilateral)	Approved	4/22/2020	\$28,657.00
065	Traffic Studies to Analyze Schedule Mitigation	Approved	4/22/2020	\$70,854.00
066	Combined OCTA-Accepted Extra Work	Approved	5/14/2020	\$18,826.00
067	SCE Conduit at Heil Avenue	Approved	5/14/2020	\$109,219.00
068	Archaeological Monitoring for all Ground Disturbing Activities at Naval Weapons Station Seal Beach	Approved	8/27/2020	\$100,000.00
068.1	Archaeological and Native American Monitors at Naval Weapons Station Seal Beach	Approved	12/10/2021	\$100,000.00
068.2	Lighting Management System Specifications	Approved	5/26/2021	\$75,000.00
068.3	Supplemental Archaeological and Native American Monitors at Naval Weapons Station Seal Beach	Approved	11/18/2021	\$155,000.00
069	Drainage System 757 Access	Approved	5/14/2020	\$60,374.00
070	Amendments to Contract Sections 19.3.4 and 19.5.2 No Cost	Approved	5/19/2020	\$0.00
071	Union Pacific Railroad Flagging Costs	Approved	6/13/2020	\$200,000.00
072	SCE and Frontier Electrical Infrastructure Work at Almond Avenue	Approved	5/19/2020	\$1,843,329.00
072.1	Groundwater Removal/Permit Fees for SCE/Frontier Infrastructure Work at Almond Avenue	Approved	6/7/2021	\$124,878.24
073	Shadow Striping on Portland Cement Concrete Pavement	Approved	4/19/2021	\$200,000.00
074	Combined OCTA-Accepted Extra Work (Proposed Change Orders (PCO) 169 and 122G)	Approved	7/7/2020	\$6,965.39
075	Bushard Street Pile Conflict with Existing Piles	Approved	7/21/2020	\$28,867.00
076	Combined OCTA-Accepted Extra Work (PCOs 180 and 183)	Approved	9/16/2020	\$12,981.02
077	Toll Rate CMS	Approved	9/8/2020	\$146,031.00

<b>Contract Change Order (CCO) No.</b>	<b>Title</b>	<b>Status</b>	<b>Date Executed</b>	<b>Cost</b>
078	Parking Lot Improvements at United States Postal Service Property	Approved	10/27/2020	\$537,436.00
079	Extension of the Third Westbound Lane on Talbert Avenue to Cashew Street	Approved	12/2/2020	\$270,528.00
080	Temporary Bypass Waterline for the Goldenwest Street Bridge Phase 2	Approved	10/30/2020	\$579,604.00
081	Oceanview Channel Damaged Existing Reinforced Concrete Box	Approved	11/5/2020	\$59,806.16
082	Existing Buried Shoring Removal at Bella Terra Near Retaining Wall 895 (Unilateral)	Approved	11/10/2020	\$19,637.23
083	Combined OCTA-Accepted Extra Work No. 4 (PCOs 237 and 258)	Approved	12/23/2020	\$7,963.82
084	Revised K-Rail Placement at Bolsa Chica Boulevard	Approved	12/23/2020	\$74,185.84
085	Modified Pavement Overlay for the City of Fountain Valley	Approved	12/15/2021	\$107,180.00
086	Global Settlement	Approved	12/17/2021	\$157,000,000.00
087	ROW 906 SCE Pole at Sugar Drive	Approved	3/30/2021	\$133,159.89
088	Valves at Corta Bella Apartments	Approved	3/17/2021	\$18,310.07
089	Unavailable Electrical Specifications	Approved	5/12/2021	\$578,348.00
090	Bolsa Chica Boulevard Community Wall	Approved	5/12/2021	\$867,349.00
091	Traffic Signal Equipment at Multiple Intersections	Approved	5/12/2021	\$418,620.00
092	Protect Existing Facilities at Senior Center	Approved	5/12/2021	\$995,000.00
093	Shell Driveway at Brookhurst Street and Talbert Avenue	Approved	4/26/2021	\$4,489.12
094	Shiffer Park Fence Replacement	Approved	4/27/2021	\$54,818.00
094.1	Shiffer Park Tree Removal	Approved	6/16/2021	\$18,000.00
095	Archaeological and Native American Monitoring at Naval Weapons Station in the City of Seal Beach	Approved	6/23/2021	\$25,000.00
095.1	Archaeological and Native American Monitors Frontier Relocation (CN-6008 and CN-4080)	Approved	4/1/2022	\$25,000.00
96	Partial Sound Wall Removal for SCE Relocation at Heil Avenue	Approved	6/7/2021	\$17,148.25
097	Combined OCTA-Accepted Extra Work (PCOs 263 and 274)	Approved	5/26/2021	\$43,898.43

<b>Contract Change Order (CCO) No.</b>	<b>Title</b>	<b>Status</b>	<b>Date Executed</b>	<b>Cost</b>
098	Drainage System 387 and 356 Maintenance Access	Approved	5/26/2021	\$125,000.00
099	State Route 22 and Garden Grove Boulevard Intersection Improvements	Approved	7/12/2021	\$470,000.00
100	Cultural Discoveries at Bixby Channel	Approved	7/7/2021	\$200,000.00
100.1	Bixby Channel Monitoring Inefficiency and Cost Impacts (Supplemental)	Approved	9/14/2021	\$0.00
101	Sit 'n Sleep Overhang Removal	Approved	9/16/2021	\$230,838.00
102	City of Fountain Valley Additional Traffic Signal Cabinet and Controller	Approved	7/1/2021	\$52,252.00
103	Leaking Sewer Line at North Gate Road in the City of Seal Beach	Approved	8/17/2021	\$110,000.00
104	Additional sidewalk at Bushard Street for City of Fountain Valley	Approved	8/16/2021	\$57,462.52
105	Combined OCTA-Accepted Extra Work (PCOs 246, 267, 273, 273B, 276, 276B, and 281-284)	Approved	8/9/2021	\$145,000.00
106	Bridge Lighting on Seven Overcrossing Bridges	Approved	9/29/2021	\$925,000.00
107	Conduit Extensions and Pull Boxes for Future Bridge Lighting on Nine Overcrossing Bridges	Approved	10/18/2021	\$420,000.00
108	Installation of Polymer Blocks at Brookhurst Street	Approved	9/9/2021	\$51,948.00
109	Harbor Northbound On-Ramp Pavement Limits	Approved	9/16/2021	\$410,000.00
110	Talbert Pavement Replacement	Approved	8/23/2021	\$21,000.00
111	99 Cents Only Store Parking Lot Repair	Approved	8/24/2021	\$23,000.00
112	Motel 6 and In-n-Out Driveway Improvements	Approved	9/14/2021	\$92,453.00
113	Corte Bella Apartment Parking Lot Improvements	Approved	9/27/2021	\$28,150.00
114	Ramp Meter Modifications for the Euclid Street Southbound I-405 On-ramp (Unilateral)	Approved	10/18/2021	\$187,910.00
115	Additional Fencing and Landscaping between I-405 and Lampson Avenue	Approved	12/6/2021	\$550,000.00
116	Electronic Toll and Traffic Management Generator Pad Revisions (Unilateral)	Approved	12/28/2021	\$10,437.00
117	Combined OCTA-Accepted Extra Work (PCOs 286, 292, 292B, 292C, 314, 315, 316)	Approved	12/15/2021	\$94,250.00

Contract Change Order (CCO) No.	Title	Status	Date Executed	Cost
118	Combined OCTA-Accepted Extra Work (PCOs 307 and 331)	Approved	12/20/2021	\$16,500.18
119	Lighting for Service Road Undercrossing at the Santa Ana River Trail (Unilateral)	Approved	12/15/2021	\$39,672.00
120	Electrical Facility at Bolsa Avenue Southbound On-Ramp	Approved	12/15/2021	\$4,761.52
121	Sound Wall Restoration at CPN 103264	Approved	1/25/2022	\$88,000.00
122	Buried Shoring at Retaining Wall 551	Approved	12/16/2021	\$5,045.92
123	Contaminated Utility Pipes at Goldenwest Street	Approved	5/2/2022	\$1,755,000.00
124	Additional Landscaping in the City of Fountain Valley	Approved	5/2/2022	\$1,009,585.00
125	Bridge Safety and Aesthetic Fencing Details	Approved	5/2/2022	\$540,767.00
126	Traffic Signal Elimination at Magnolia Street and Slater Avenue	Approved	1/26/2022	-\$357,768.00
127	City of Fountain Valley Waterline Leak at CN 1018 Ward Avenue	Approved	1/26/2022	\$23,825.69
128	Unknown Buried Shoring at East Garden Grove Channel	Approved	2/14/2022	\$15,177.23
129	Temporary Block-out Fence and Temporary Wall Demolition	Approved	6/10/2022	\$32,534.49
131	Buried Concrete in I-405 Median Between Harbor Boulevard and Ward Street	Approved	6/10/2022	\$8,450.16
133	Additional Landscaping at Various Bridges in the City of Westminster	Pending		\$509,431.00

Original Contract Price	\$1,217,065,000.00
Contingency Fund	<u>\$241,959,728.00</u>
Total Contract Allotment	\$1,459,024,728.00

Subtotal Approved CCOs	\$204,180,192.59
Subtotal Pending CCOs	<u>\$3,509,431.00</u>
Total CCOs	\$207,689,623.59

Proposed Revised Contract Price	\$1,424,754,623.59
Remaining Contingency Fund	\$34,270,104.41



COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors

**From:** Andrea West, Interim Clerk of the Board

*Andrea West*

**Subject:** Agreement for Partial Demolition and Reconstruction Services of a Commercial Building for the State Route 55 Improvement Project Between Interstate 5 and Interstate 405

Regional Planning and Highways Committee Meeting of August 1, 2022

**Present:** Directors Bartlett, Delgleize, Foley, Harper, Muller, and Murphy

**Absent:** Director Chaffee

**Committee Vote**

This item was passed by the Members present.

**Committee Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-2-2154 between the Orange County Transportation Authority and Golden Gate Steel, Inc. doing business as Golden Gate Construction, the lowest responsive, responsible bidder, in the amount of \$2,046,700, for partial demolition and reconstruction services of a commercial building for the State Route 55 Improvement Project between Interstate 5 and Interstate 405.



**August 1, 2022**

**To:** Regional Planning and Highways Committee

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

**Subject:** Agreement for Partial Demolition and Reconstruction Services of a Commercial Building for the State Route 55 Improvement Project Between Interstate 5 and Interstate 405

**Overview**

On April 11, 2022, the Orange County Transportation Authority issued an invitation for bids for partial demolition and reconstruction services of a commercial building necessary for the State Route 55 Improvement Project between Interstate 5 and Interstate 405. Bids were received in accordance with the Orange County Transportation Authority's public works procurement procedures. Board of Directors' approval is requested to execute the agreement.

**Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-2-2154 between the Orange County Transportation Authority and Golden Gate Steel, Inc., doing business as Golden Gate Construction, the lowest responsive, responsible bidder, in the amount of \$2,046,700, for partial demolition and reconstruction services of a commercial building for the State Route 55 Improvement Project between Interstate 5 and Interstate 405.

**Discussion**

As part of the State Route 55 Improvement Project between Interstate 5 and Interstate 405 (Project), the freeway widening will impact existing overhead electrical and telecommunication lines owned and operated by Southern California Edison. These overhead lines will be relocated to the east in close proximity to an office building situated on an industrial property located at 1123 Warner Avenue, in the City of Tustin. As part of the Project, a utility easement was acquired to relocate the overhead lines. Contractor services are needed to remove and reconstruct a portion of the building outside of the acquired utility easement to provide sufficient clearance from the new power

**Agreement for Partial Demolition and Reconstruction Services of a Commercial Building for the State Route 55 Improvement Project Between Interstate 5 and Interstate 405** **Page 2**

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lines, in accordance with California Public Utilities Commission General Order 95. The building and features are shown on Attachment A.

***Procurement Approach***

This procurement was handled in accordance with the Orange County Transportation Authority's (OCTA) Board of Directors (Board)-approved procedures for public works projects. These procedures, which conform to both federal and state requirements, require that contracts are awarded to the lowest responsive, responsible bidder after a sealed bidding process.

Invitation for Bids (IFB) 2-2154 was released on April 11, 2022, through OCTA's CAMM NET system. The project was advertised on April 11 and April 18, 2022, in a newspaper of general circulation. A pre-bid conference was held on April 19, 2022 and was attended by ten firms. Six addenda were issued to provide the pre-bid conference registration sheets, respond to bidders' questions, and handle administrative issues related to the IFB. On May 16, 2022, six bids were received and publicly opened.

One bid (lowest bid) was not considered for award since bidder withdrew its bid. The remaining five bids were reviewed by staff from both the Contracts Administration and Materials Management and Real Property departments to ensure compliance with the contract terms and conditions, as well as technical specifications. The list of bidders and bid amounts are presented below:

<u>Firm and Location</u>	<u>Bid Amount</u>
Golden Gate Steel, Inc. doing business as (dba) Golden Gate Construction Norwalk, California	\$2,046,700
Newman Midland Corp Long Beach, California	\$2,156,530
Two Brothers Construction Corp Buena Park, California	\$2,300,000
Kazoni, Inc. dba Kazoni Construction Costa Mesa, California	\$2,381,000
Dalke & Sons Construction, Inc. Riverside, California	\$2,424,680



**Agreement for Partial Demolition and Reconstruction Services of a Commercial Building for the State Route 55 Improvement Project Between Interstate 5 and Interstate 405** *Page 3*

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The engineer's estimate for the work was \$1,375,242. The recommended firm's bid is 49 percent above the engineer's estimate. The engineer's estimate was based on limited available information due to building access restrictions. Prospective bidders were informed that access for construction would be subject to restrictions in place due to ongoing legal matters between the property owner and OCTA. The engineer's estimate did not include costs for fulfilling health and safety requirements and surveying that may have contributed to the estimate being lower than all of the bids. Additionally, uncertainty in economic conditions affecting construction jobs may have contributed to higher bid prices. The bids received were considerably higher than the engineer's estimate but considered competitive. Therefore, the bid submitted by Golden Gate Steel, Inc., dba Golden Gate Construction (Golden Gate Construction) is considered fair and reasonable.

The bidder is a licensed general contractor with an appropriately licensed subcontractor for all asbestos removal services. References noted successful delivery of recent work. The recommended firm's bid met the requirements of the IFB, as well as all federal and state requirements.

State law requires award to the lowest responsive, responsible bidder. As such, staff recommends award to Golden Gate Construction, the lowest, responsive, responsible bidder, in the amount of \$2,046,700, for the partial demolition and reconstruction services of a commercial building.

**Fiscal Impact**

Funding for the Project is approved in OCTA's Fiscal Year 2022-23 Budget, Capital Programs Division, Account No. 0017-FF101-OKU-9081, and is funded with a combination of federal, state, and local funds.

***Summary***

Staff recommends the Board authorize the Chief Executive Officer to negotiate and execute Agreement No. C-2-2154 between OCTA and Golden Gate Construction, the lowest responsive, responsible bidder, in the amount of \$2,046,700, for partial demolition and reconstruction services of a commercial building necessary for the Project.

**Agreement for Partial Demolition and Reconstruction Services Page 4  
of a Commercial Building for the State Route 55 Improvement  
Project Between Interstate 5 and Interstate 405**

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***Attachment***

- A. Project Location Map – Demolition and Reconstruction of a Portion of  
1123 Warner Avenue, Tustin

**Prepared by:**



Joe Gallardo  
Manager, Real Property  
(714) 560-5546



Pia Veasapen  
Director, Contracts Administration and  
Materials Management  
(714) 560-5619

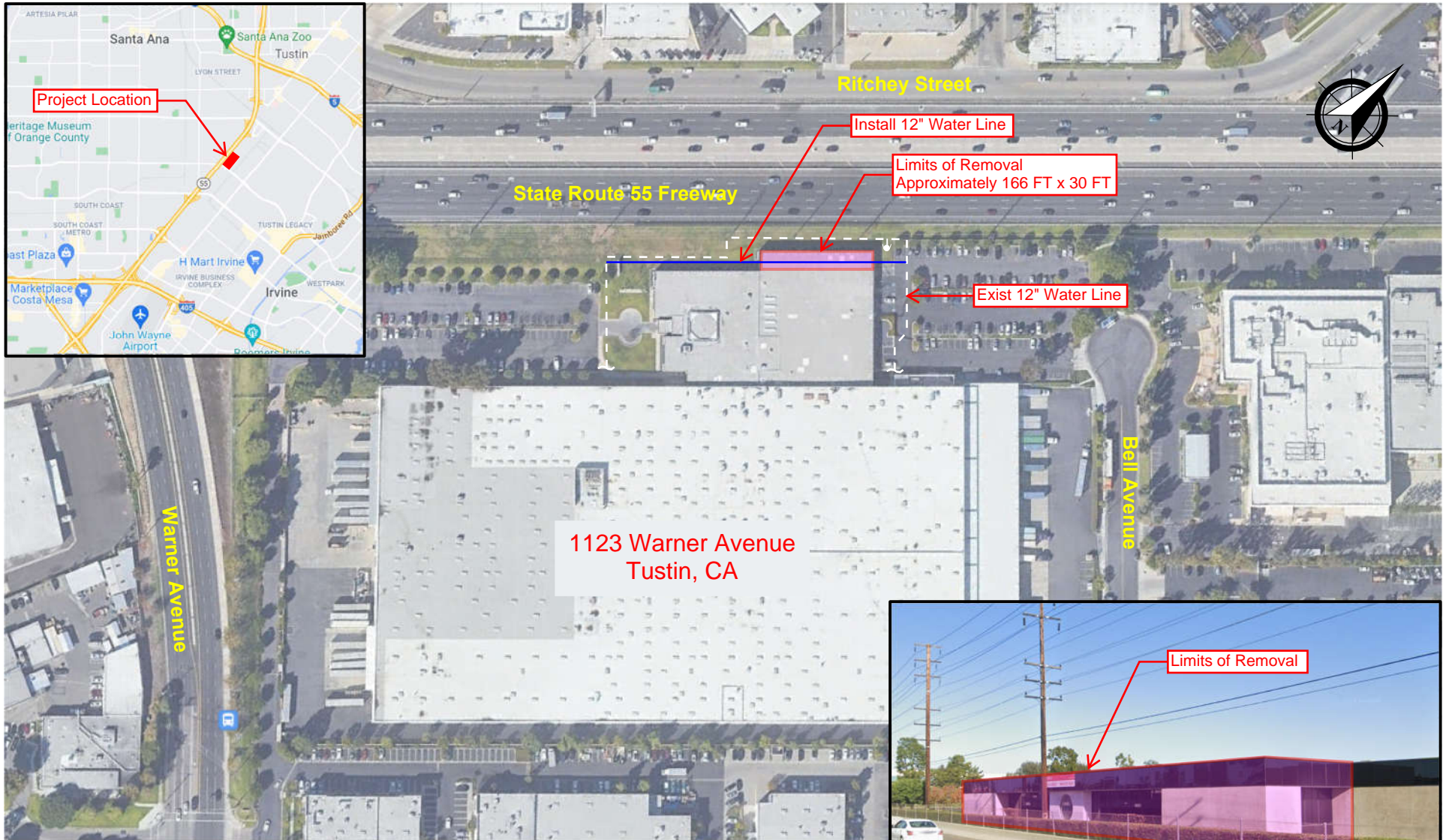
**Approved by:**



James G. Beil, P.E.  
Executive Director, Capital Programs  
(714) 560-5646

# Project Location Map

## Demolition and Reconstruction of a Portion of 1123 Warner Avenue, Tustin



For Illustrative Purposes Only



## COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors

**From:** Andrea West, Interim Clerk of the Board

**Subject:** Temporary Policy Change to Address Extraordinary Inflation for Prior Regional Capacity Program and Regional Traffic Signal Synchronization Program Allocations

Regional Planning and Highways Committee Meeting of August 1, 2022

**Present:** Directors Bartlett, Delgleize, Foley, Harper, Muller, and Murphy

**Absent:** Director Chaffee

### **Committee Vote**

This item was passed by the Members present.

### **Committee Recommendations**

- A. Authorize staff to accept local jurisdictions' reapplication of previously approved (2018, 2019, 2020, 2021) Regional Capacity Program and Regional Traffic Signal Synchronization Program grants for the 2023 call for projects, subject to the limitations described in this report.
  
- B. Authorize staff to apply one time right of way and construction escalation adjustments to previously approved (2018, 2019, 2020, 2021) Regional Capacity Program and Regional Traffic Signal Synchronization Program projects, subject to the limitations described in this report.



**August 1, 2022**

**To:** Regional Planning and Highways Committee

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

**Subject:** Temporary Policy Change to Address Extraordinary Inflation for Prior Regional Capacity Program and Regional Traffic Signal Synchronization Program Allocations

A handwritten signature in blue ink, appearing to read "Darrell Johnson", is written over the "From:" line of the memo.

### **Overview**

The Regional Capacity Program and Regional Traffic Signal Synchronization Programs allocate funds for roadway and signal projects through a competitive process, consistent with the Measure M2 Expenditure Plan. Due to recent extraordinary inflationary pressures, local jurisdictions have requested that the Orange County Transportation Authority provide assistance with advancing project commitments in light of the extraordinary cost escalation environment. Two recommendations to aid the local jurisdictions are presented for the Board of Directors' consideration.

### **Recommendations**

- A. Authorize staff to accept local jurisdictions' reapplication of previously approved (2018, 2019, 2020, 2021) Regional Capacity Program and Regional Traffic Signal Synchronization Program grants for the 2023 call for projects, subject to the limitations described in this report.
- B. Authorize staff to apply one-time right-of-way and construction escalation adjustments to previously approved (2018, 2019, 2020, 2021) Regional Capacity Program and Regional Traffic Signal Synchronization Program projects, subject to the limitations described in this report.

### **Background**

Measure M2 (M2) includes two competitive streets and roads programs known as the Regional Capacity Program (RCP) and the Regional Traffic Signal Synchronization Program (RTSSP). These programs allocate funds through a competitive process and target projects that improve mobility by considering factors such as degree of congestion relief, cost-effectiveness, and project

readiness. The Orange County Transportation Authority (OCTA) annually issues a call for projects (call) for both programs. The call is typically released in August, with grant applications due from local jurisdictions in October. Between November and May of the following year, OCTA staff and the Technical Advisory Committee (TAC) review, evaluate, score, and recommend funding allocations. Once awarded, a project cannot receive additional allocations of M2 funds due to the competitive nature of these programs. As such, M2 funding that is allocated through Comprehensive Transportation Funding Programs (CTFP) calls requires that local jurisdictions commit to covering any project cost overruns that may occur after a project is awarded.

Concurrent with the annual call, OCTA also works with local jurisdictions to consider changes to previously-awarded projects. M2 guidelines allow agencies to change implementation dates, extend completion dates, cancel projects, or shift cost savings between phases to accommodate project delivery challenges. However, the guidelines require local jurisdictions to adhere to their commitment to delivering the projects at the allocated grant amount and providing additional local match funding as needed for project cost increases.

At the May 2022 TAC meeting, the committee requested that OCTA consider ways to help local jurisdictions accommodate considerable cost increases for projects entering right-of-way (ROW) and construction phases. The issue involves projects which had been allocated RCP and RTSSP funding in recent years and have not started due to the coronavirus (COVID-19) pandemic or other factors. Local jurisdictions indicated that they are experiencing extraordinary cost increases in projects due to increases in the cost of materials and labor due to shortages, supply chain issues, and extraordinary inflation.

Currently, the primary option available for a local jurisdiction to address such issues is to cancel the RCP or RTSSP grant awarded to the project and to reapply in the next funding cycle using updated project cost estimates. With respect to inflationary adjustments, OCTA applies escalation adjustments to RCP grants for construction and ROW phases after a project is selected for an allocation. The escalation for years two and three of the call funding cycle is applied based on the Engineering News Record (ENR) Construction Cost Index (CCI) 20-city average rate that is available when the Board of Directors (Board) awards the grants.



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***Discussion***

Staff presented potential options for discussion at the June 2022 Technical Steering Committee (TSC) and TAC meetings. After discussing the issues and M2 requirements, a general agreement was reached on two draft proposals that local jurisdictions can select from to address project challenges and receive the assistance requested.

The first proposal for Board consideration includes potential accommodations for the reapplication process for existing allocations in the 2023 call. The main elements include:

- Submittal of a new grant application reflecting updated project costs\*.
- If the project is selected for funding by the Board:
  - Submittal of a cancellation request for the previously approved grant;
  - Transfer of funds from the canceled allocations to augment the 2023 call cycle funding level;
  - Allowance for the local jurisdiction to proceed with the project immediately following Board approval under specific terms; and
- If the project is not selected for funding, the local jurisdiction retains the previously approved grant.

\*To be eligible for reapplication, the local jurisdiction must not have awarded a contract for construction for RCP projects, issued a notice to proceed for RTSSP implementation, or issued offer letters for ROW for RCP projects. This condition ensures OCTA is adhering to the requirement to augment local funds.

This proposal is consistent with the M2 Ordinance No. 3, requiring allocation of M2 funds to occur based on a countywide competitive process, but requires Board approval for a one-time policy change.

If approved by the Board, OCTA would accept project reapplications in the 2023 call for M2 allocations from the 2018, 2019, 2020, and 2021 calls exclusively. Both the TSC and TAC were supportive of this proposal. More detailed information on the eligibility criteria, timing, and the process are provided in Attachment A.

The second proposal for Board consideration is a process to allow OCTA to adjust the escalation rate applied to existing allocations. This process required more discussion, and comments received at the TSC meeting regarding escalation were incorporated into the draft proposal to apply escalation, which included:

- Require council or Board of Supervisor's approval of a resolution authorizing the local jurisdiction to request an escalation adjustment for construction or ROW phases because escalation adjustments also affect the required local match;
- Allow escalation adjustments in the ROW phase for future acquisitions that have not been issued an offer letter and construction phases that are not under a contract;
- Apply adjustments to allocations programmed through the 2018, 2019, 2020, and 2021 CTFP call cycles;
- Revise escalation adjustments to fiscal year (FY) 2020-21, FY 2021-22, and FY 2022-23 as these years were affected by COVID-19; and
- Use ENR CCI published 20-city average rates.

With Board approval, OCTA would accept requests, accompanied by a council or Board of Supervisors resolution, to adjust construction and limited ROW allocations for escalation. More detailed information on the eligibility criteria, timing, and process is provided in Attachment B. Attachment C provides historical information on the ENR CCI escalation factors for FY 2017-18 to FY 2021-22. The FY 2023 rate of escalation will be based on the published ENR CCI that will be provided as of September 2022.

Staff will return to the Board in December 2022 for consideration of the actual escalation to existing allocations based on requests from local jurisdictions. If local jurisdictions submit escalation requests for all eligible projects, the impact to the RCP and RTSSP could be in the \$5 million to \$9 million range, depending on the number of requests and the September 2022 ENR CCI.

Project cancellations for projects which may receive an allocation as part of the 2023 call would be considered as part of the staff report for RCP and RTSSP projects, which will occur in May/June 2023.



***Summary***

In response to requests from local jurisdictions for assistance with delivering projects during this period of extraordinary cost increases and inflation, staff is requesting Board approval to deviate from existing policy in order to provide a flexible reapplication process and escalation rate adjustments for existing RCP and RTSSP allocations that are yet to get underway.

***Attachments***

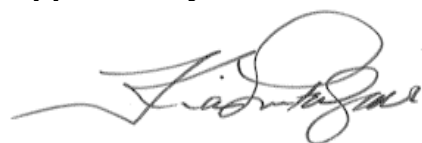
- A. Draft Proposal for Flexible Cancellation of Project Allocations to Reapply and Pre-Award Authority
- B. Draft Proposal to Apply Escalation to Project O Regional Capacity Program and Project P Regional Traffic Signal Synchronization Program Prior Allocation
- C. Construction Cost Index Escalation Factors, Fiscal Years 2017-18 to 2021-22 (As of June 15, 2022)

**Prepared by:**



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## **Draft Proposal for Flexible Cancellation of Project Allocations to Reapply and Pre-Award Authority**

**Issue:** Considering the extraordinary inflationary impacts currently being experienced, local jurisdictions have requested that the Orange County Transportation Authority (OCTA) consider the flexibility for local jurisdictions to apply for Comprehensive Transportation Funding Programs (CTFP) funds in the upcoming call for projects (call) for the same project that was approved in a prior grant cycle. This would allow the local jurisdictions to cancel the prior grant if successful in the new grant cycle or retain the prior grant if not successful in the new grant cycle. Further, local jurisdictions requested that OCTA consider pre-award authority.

**Background:** Currently, if a local jurisdiction wishes to cancel a project phase that has been allocated funds through the CTFP call for Project O Regional Capacity Program (RCP) and Project P Regional Traffic Signal Synchronization Program (RTSSP), and reapply for that phase in a future call, then the agency would typically cancel that project before applications are due in October. This would typically take place as part of the preceding September semi-annual review.

**Draft Proposal:** Under this proposal, OCTA will accept project applications from local jurisdictions that were previously approved in a prior call. The following conditions would apply:

- As part of the new application, the local jurisdiction must agree to a condition that if the project has an existing allocation and submits a new application for funding that is approved by the Board of Directors (Board), the original allocation will be cancelled in its entirety.
- OCTA staff would require that the funds that derive from the cancelled project phase will roll into the 2023 call.
- The application for 2023 call must be a complete application for the full funding request under the terms of the 2023 call guidelines.
- The scope in the application must be generally the same as the original project. In most cases, any expansion of project limits from the original application is not acceptable.
- A project is only eligible to be considered under a new application if the contract has not been awarded for construction phase for RCP projects, a notice to proceed issued for RTSSP projects, or offer letters issued for right-of-way phase. Basically, work cannot be started for the phase that is submitted for consideration of funding in the 2023 call.
- OCTA will allow pre-award authority for projects approved by the Board (typically May) and before the start of the next fiscal year (July). OCTA will not reimburse costs or count toward match secondary contract or internal staff costs that occur prior to Board approval.

## **Draft Proposal for Flexible Cancellation of Project Allocations to Reapply and Pre-Award Authority**

- The estimated timeline would be:
  - August/September 2022– OCTA issues call, subject to Board approval.
  - October 2022 – Applications due, must include the condition statement, must also request pre-award authority (and advancement to award contract) prior to July 1, 2023.
  - February 2023 – Request to cancel project is submitted as part of the March semi-annual review.
  - March 2023 – Technical Steering Committee and Technical Advisory Committee meetings with allocation recommendations, funding target would be increased to incorporate funds from existing projects that will be cancelled.
  - May 2023 – Planned Board action to approve 2023 call allocations. If pre-award authority and advancement are requested, jurisdiction may award a contract immediately following Board approval.
  - May/June 2023 – Staff sends notification to allocated applicants who reapplied for projects through this process that the original project allocation has been cancelled.
- If agreed to, changes will be recommended for the project application form to include the condition statement to cancel existing allocation and a check box for requesting pre-award authority.

**Draft Proposal to Apply Escalation to Project O Regional Capacity Program and Project P Regional Traffic Signal Synchronization Program Prior Allocation**

**Issue:** Considering the extraordinary inflationary impacts currently being experienced, local jurisdictions have requested that the Orange County Transportation Authority (OCTA) consider adjusting Measure M2 (M2) Project O Regional Capacity Program (RCP) and Project P Regional Traffic Signal Synchronization Program (RTSSP) project allocations for inflation based on the actual Engineering News Record (ENR) Construction Cost Index (CCI) as these projects approach the start of right-of-way (ROW) and construction phase work.

**Background:** Escalation is normally applied using the ENR CCI based on the 20-city average at funding allocation to RCP projects that are allocated funds for ROW and construction phase and are programmed in years two and three, consistent with precept 12 and the project cost escalation as described on page 2-4 of Chapter 2 – Project Programming in the Comprehensive Transportation Funding Programs (CTFP) guidelines. This practice of applying escalation at allocation will not change.

**Draft Proposal:** OCTA staff will apply an updated ENR CCI based on the actual 20-city average rate to the original RCP or RTSSP funding allocation from the 2018, 2019, 2020, and 2021 calls for projects (call) for implementation, ROW, and construction, for fiscal years (FY) 2020-21, 2021-22 and an estimate for FY 2022-23 as applicable, subject to the following requirements:

- The request to adjust the allocation for escalation must be made by the local jurisdiction before an initial offer(s) has been made for property for ROW phase or before the local jurisdiction has awarded the construction contract for the RCP or issued a purchase order for RTSSP implementation. This request is expected to be presented to the Board of Directors (Board) in December 2022, in concert with the September 2022 semi-annual review.
- Requests for escalation must be submitted no later than October 14, 2022, with resolutions due no later than November 9, 2022.
- An escalation request can only be made for projects that were allocated RCP and RTSSP funds for implementation, ROW, or construction through the 2018, 2019, 2020, and 2021 CTFP calls.
- The request must include a resolution from the city council or Board of Supervisors that the jurisdiction is:
  - Authorized to request OCTA to apply an escalation adjustment to the original allocation,
  - Has justification due to local jurisdiction-specific reasons,
  - Committing to meeting its original match rate and identifies the additional jurisdictional funding that will be added to the project to ensure the match requirement is met,
  - Notes the original allocation amount and year funds are programmed for ROW and construction, and
  - For ROW, identifies how much of the M2 funding has been committed based on offer letters and how much remains to be escalated.

## **Draft Proposal to Apply Escalation to Project O Regional Capacity Program and Project P Regional Traffic Signal Synchronization Program Prior Allocation**

- OCTA will provide the escalation rate that will be applied for the FY noted above and will be based on the ENR CCI 20-city average as of June for FY 2020-21 and FY 2021-22, and as of September for FY 2021-22 and FY 2022-23.
- OCTA will provide local jurisdictions with a document that identifies the escalation rate that was applied for each call cycle by programming year.
- In order to calculate the escalation rate for project allocations that were already escalated for FY 2020-21, FY 2021-22, and FY 2022-23, OCTA will strip out the escalation for those allocations for those years and then apply the adjusted escalation rate.
- For a ROW phase that is underway, the local jurisdiction must provide how much of the grant funding remains based on parcels for which the local jurisdiction has not already issued an offer letter.
- The match rate will not change, and eligible project costs will be reimbursed consistent with CTFP guidelines and the original match rate. This would require the local jurisdiction to increase local funding at a minimum, proportionate to the updated allocation amount.
- The escalation adjustment will be considered for approval by the Board either as part of the semi-annual review process or concurrent with the September 2022 semi-annual review.
- Once the request for an escalation adjustment has been acknowledged as received by OCTA through an OCTA acknowledgement letter, the local jurisdiction could proceed to contract award or offer letter, or issuance of purchase order, under its own risk that the requested allocation adjustment may not be approved by the Board and the local jurisdiction would be responsible for the cost.
- The initial payment cannot be made to the local jurisdiction until the Board approves the escalation adjustment to the allocation.
- For a ROW phase that has already received an initial payment, the additional funding provided through escalation will be provided in the final payment, if applicable.
- The local jurisdiction can only request an escalation adjustment once per project phase and allocation.
- Escalation adjustments will only be considered if there is sufficient Project O or Project P funding to support the adjustment. It should be noted that the escalation adjustments will reduce the amount of funding that is available for future calls.

**Construction Cost Index Escalation Factors, Fiscal Years 2017-18 to 2021-22  
(As of June 15, 2022)**

	<b>FY 2017-18<sup>1</sup></b>	<b>FY 2018-19<sup>1</sup></b>	<b>FY 2019-20<sup>1</sup></b>	<b>FY 2020-21</b>	<b>FY 2021-22</b>	<b>FY 2022-23</b>
<i>ENR CCI</i>	<i>Jun-18</i>	<i>Jun-19</i>	<i>Jun-20</i>	<i>Jun-21</i>	<i>Jun-22</i>	<i>Sep-22</i>
<b>20 City Average</b>	<b>3.4%</b>	<b>1.8%</b>	<b>1.5%</b>	<b>5.9%</b>	<b>8.4%</b>	<b>TBD</b>

**Escalation - Estimated Eligible Projects**

<b>Call Year</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>Totals</b>
<i>Project O Construction</i>			3	4	7
<i>Project O Right-of-Way</i>	1			1	2
<i>Project P Implementation</i>			3		3
<b>Totals</b>	<b>1</b>		<b>6</b>	<b>5</b>	<b>12</b>

*1 - Historical information provided for information and comparison purposes.  
Projects programmed for in 2022 call received year 1 8.4% escalation. Not included in count.  
ENR CCI at September to be applied for FY 2022-23 to align with escalation request deadline.*

**Acronyms**

CCI - Construction Cost Index  
Call - Call for Projects  
ENR - Engineering News Record  
FY - Fiscal Year  
TBD - To Be Determined



COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors

**From:** Andrea West, Interim Clerk of the Board

*Andrea West*

**Subject:** Release 2023 Annual Call for Projects for Measure M2  
Comprehensive Transportation Funding Programs

Regional Planning and Highways Committee Meeting of August 1, 2022

**Present:** Directors Bartlett, Delgleize, Foley, Harper, Muller, and Murphy

**Absent:** Director Chaffee

**Committee Vote**

This item was passed by the Members present.

**Committee Recommendations**

- A. Approve proposed revisions to the Comprehensive Transportation Funding Programs guidelines.
- B. Authorize staff to issue the 2023 annual call for projects for the Regional Capacity Program.
- C. Authorize staff to issue the 2023 annual call for projects for the Regional Traffic Signal Synchronization Program.



**August 1, 2022**

**To:** Regional Planning and Highways Committee

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

A handwritten signature in blue ink, appearing to read "Darrell E. Johnson", is positioned to the right of the "From:" field.

**Subject:** Release 2023 Annual Call for Projects for Measure M2 Comprehensive Transportation Funding Programs

### **Overview**

The Measure M2 Comprehensive Transportation Funding Programs guidelines provide the mechanism for administration of the annual competitive call for projects for the Measure M2 funding program. The 2023 Regional Capacity Program (Project O) and Regional Traffic Signal Synchronization Program (Project P) call for projects is presented for review and approval.

### **Recommendations**

- A. Approve proposed revisions to the Comprehensive Transportation Funding Programs guidelines.
- B. Authorize staff to issue the 2023 annual call for projects for the Regional Capacity Program.
- C. Authorize staff to issue the 2023 annual call for projects for the Regional Traffic Signal Synchronization Program.

### **Background**

The Regional Capacity Program (RCP) provides Measure M2 (M2) Project O funding for improvements to the Orange County Master Plan of Arterial Highways. The RCP also provides for intersection improvements and other projects to help improve street operations and reduce congestion.

The Regional Traffic Signal Synchronization Program (RTSSP) provides M2 Project P funding for multi-agency, corridor-based signal synchronization throughout Orange County to support efficient operation of existing arterials.

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



The Comprehensive Transportation Funding Programs (CTFP) serves as the mechanism through which Orange County Transportation Authority (OCTA) staff administers the RCP and RTSSP, as well as other competitive transit (projects S, T, and V) and environmental cleanup (Project X) programs.

The CTFP guidelines identify procedures and requirements that local agencies must satisfy in order to apply for M2 funding and how project applications are evaluated. The guidelines also define how local agencies can seek reimbursement once funds are awarded. The guidelines were first approved by the OCTA Board of Directors (Board) on March 22, 2010, and were most recently updated and approved in March 2022.

### ***Discussion***

Recommended updates to the guidelines have been prepared in anticipation of the release of the 2023 annual call for projects (call) for the RCP and RTSSP. Staff comprehensively reviewed the guidelines and worked closely with both the Technical Steering Committee (TSC) and the Technical Advisory Committee (TAC) to determine areas that needed to be adjusted and/or updated. The guidelines were also reviewed and updated, as appropriate, to provide for better consistency and streamlining throughout the document.

The proposed 2023 guidelines have been updated to reflect appropriate deadlines and call cycle dates for the 2023 call. A total funding target of approximately \$45 million is available for Project O and Project P for this call cycle. However, this number may be adjusted based on updated sales tax forecasts that will be included in OCTA's upcoming Comprehensive Business Plan, anticipated for Board review in fall 2022.

In this cycle, staff is recommending several notable changes to the guidelines, which are described below.

#### **RCP – Project O**

The changes that are recommended for the RCP were derived from requests by the local jurisdictions and from lessons learned. These include:

- Revisions to the “Operational Attributes” scoring criteria to emphasize safety improvements and to incentivize incorporation of Active Transportation Program attributes (within the roadway) that are executed as part of an approved local or regional transportation plan; and
- Clarification of eligibility of utility relocations with local agency-demonstrated prior rights.

### RTSSP – Project P

There are several technical and clarifying changes that are recommended for the RTSSP, which were derived from lessons learned and from efforts to emphasize improvements that best align with the updated Traffic Signal Synchronization Master Plan. The most significant of these proposed changes are listed below:

- Revisions to the point spread and modifications to the “Project Characteristics” scoring criteria to emphasize more critical project elements and prioritize faster, cost-effective project delivery;
- Updates to the project improvements categories with clarified scoring and component descriptions in line with the modified “Project Characteristics” scoring;
- Revisions to the “Current Project Status” scoring criteria to allow for greater competition among applications to claim signal retiming points and to incentivize projects for corridors that have not yet implemented signal coordination improvements through the RTSSP; and
- Clarification of ineligibility of regular signal operations and maintenance, specifically related to communication repairs.

For this call cycle, OCTA is not in a position to lead RTSSP projects on behalf of local agencies. OCTA staff is managing previously committed signal synchronization projects and undertaking the Countywide Signal Synchronization Baseline project to synchronize approximately 2,500 traffic signals throughout Orange County.

Attachment A provides a table of all proposed guidelines changes, and Attachment B provides a marked-up version of the guidelines in track changes format. It should be noted that proposed changes that were deemed to be non-substantive (i.e., wording/grammatical, streamlining, and minor clarifications) are generally not described in this report but are shown in the attachments.

The guidelines revisions were presented to the TSC and TAC in June 2022, and both committees, after providing input, approved the recommended changes. Accordingly, these proposed revisions are now being submitted to the Board for final consideration and approval. Authorization is also requested to initiate the 2023 call for the M2 RCP and RTSSP to support local streets and roads improvement projects throughout Orange County.

**Next Steps**

If the Board approves the recommendations noted above, staff will notify the local jurisdictions of the call's initiation timing and any other pertinent information. Staff will offer a workshop for local agencies as an additional resource. The workshop is tentatively scheduled for August 23, 2022. Grant applications will be due to OCTA by October 20, 2022, and based upon selection criteria specified in the 2023 guidelines, projects will be prioritized for TSC, TAC, and Board consideration in spring 2023. Selected projects can be eligible to receive funding as early as July 1, 2023, through fiscal year 2025-26 depending on each project's schedule. Grant allocations for this call will be escalated, consistent with the guidelines, based on inflationary conditions at the time projects are awarded.

**Summary**

M2 provides funding for roadway improvements through the RCP and signal synchronization improvements through the RTSSP. The guidelines serve as the mechanism that OCTA uses to administer these competitive funding sources. Recommended changes to the guidelines were presented and approved by both the TSC and TAC in June 2022, and staff is now seeking Board approval of proposed modifications to the 2023 guidelines and authorization to initiate the 2023 RCP and RTSSP annual call.

**Attachments**

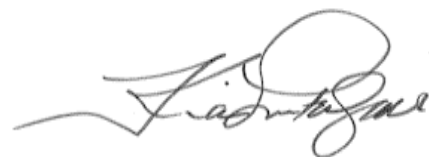
- A. 2023 CTFP Guidelines (Project O and Project P) – Proposed Changes List
- B. Guidelines Excerpt, Comprehensive Transportation Funding Programs Guidelines, 2023 Call for Projects

**Prepared by:**



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<b>2023 CTFP Guidelines (Project O and Project P) – Proposed Changes List</b>				
<b>No.</b>	<b>Chapter</b>	<b>Section</b>	<b>Page No.</b>	<b>Proposed Change</b>
1	Definitions	Definitions	x	Correction of reference to Precept 12
2	Acronyms	Acronyms	xiii	Correction to Capital Improvement Program
3	7	Call/Applications	7-3	Update year of the call from 2022 to 2023, update three-year project programming period, remove funding available information, and correct Program Precepts reference to Section V
4	7	Applications	7-4	Update submittal deadline to Thursday, October 20, 2022. Change number of hardcopy applications submittals required from 3 to 1 printed copy, add requirement of electronic application submittal, and update contact information
5	7	CTFP Application Checklist Guide	7-5 7-6 7-7	Add "Project Description, Scope of Work and Project Limits" to construction phase checklist for ACE (Exhibit 7-1), ICE (Exhibit 7-2), and FAST (Exhibit 7-3)
6	7	Application Review Process	7-13	Update proposed call schedule to the following: <ul style="list-style-type: none"> <li>• Board authorization to issue call: August 8, 2022</li> <li>• Application submittal deadline: October 20, 2022</li> <li>• TSC/TAC Review: February/March 2023</li> <li>• Committee/Board approval: April/May 2023</li> </ul>
7	7	Utility Relocations	7-17	Clarify that: Adjustment of utilities to grade are not eligible for reimbursement unless local agency has prior rights
8	7	Selection Criteria	7-21 7-22	Update submittal deadline for OCTAM modeling request to September 8, 2022
9	7	Selection Criteria/Operational Attributes (within the roadway)	7-23	Clarify that: points are awarded for only one category per project feature. Remove section "Remove On-street Parking" and add section "Elements of Approved Active Transportation Plan/Active Transportation Focused Sections of Other Types of Mobility Plans" describing new project feature of incorporating elements of a city council-approved active transportation plan or if very focused, in an active transportation focused section of other types of approved mobility plans
10	7	New Facilities	7-25	Update submittal deadline for OCTAM modeling request to September 8, 2022

## 2023 CTFP Guidelines (Project O and Project P) – Proposed Changes List

No.	Chapter	Section	Page No.	Proposed Change
11	7	Table 7-1 Street Widening Selection Criteria	7-29	Change maximum points possible for “Existing ADT” and “Existing VMT” to a combined maximum of 15 points and for “Operational Efficiency” from ten to 15 points. Adjust percentage distributions accordingly
12	7	Table 7-2 Street Widening Point Breakdown/ACE	7-30	Change maximum points possible for “Facility Usage” from 30 to 25 points, for “Existing ADT & VMT” to a combined maximum of 15 points, for “Facility Importance” from 20 to 25 points, and for “Operational Attributes (within the roadway)” from 10 to 15 points. Adjust points for “Meets MPAH Configs,” “Pedestrian Facilities (New),” “Bike Lanes (New),” and “Safety Improvements”. Add “Active Transportation Focused Plan Elements.” Remove “Remove On-Street Parking”
13	7	Utility Relocations	7-35	Clarify that: Adjustment of utilities to grade are not eligible for reimbursement unless local agency has prior rights and that new or relocated fire hydrants are not eligible
14	7	Selection Criteria/Operational Attributes (within the roadway)	7-36	Clarify that: Points are awarded for only one category per project feature
15	7	Selection Criteria/Operational Attributes (within the roadway)	7-37	Add section “Elements of Approved Active Transportation Plan/Active Transportation Focused Sections of other Types of Mobility Plans” describing new project feature of incorporating elements of a city council-approved active transportation plan or if very focused, in an active transportation focused section of other types of approved mobility plans
16	7	Selection Criteria/LOS Improvement	7-38	Update submittal deadline for proposed traffic modeling alternative methodology to September 8, 2022
17	7	Table 7-4 Intersection Widening Point Breakdown/ICE	7-42	Adjust points for “Bike Lanes,” “Pedestrian Facilities (New),” and “Safety Improvements.” Add “Active Transportation Focused Plan Elements”
18	7	Table 7-4 Intersection Widening Point Breakdown/ICE	7-42	Minor correction to “LOS Reduction w/ Project” range, 0.1-0.4

<b>2023 CTFP Guidelines (Project O and Project P) – Proposed Changes List</b>				
<b>No.</b>	<b>Chapter</b>	<b>Section</b>	<b>Page No.</b>	<b>Proposed Change</b>
19	7	Utility Relocations	7-45	Clarify that: Adjustment of utilities to grade are not eligible for reimbursement unless local agency has prior rights and that new or relocated fire hydrants are not eligible
20	7	Selection Criteria/Operational Attributes (within the roadway)	7-47	Clarify that: Points are awarded for only one category per project feature
21	7	Selection Criteria/Operational Attributes (within the roadway)	7-48	Add section “Elements of Approved Active Transportation Plan/Active Transportation Focused Sections of other Types of Mobility Plans” describing new project feature of incorporating elements of a city council-approved active transportation plan or if very focused, in an active transportation focused section of other types of approved mobility plans
22	7	Selection Criteria/LOS Improvement	7-48	Update submittal deadline for proposed traffic modeling alternative methodology to September 8, 2022
23	7	Table 7-6 Interchange Improvement Point Breakdown/FAST	7-53	Adjust points for “Pedestrian Facilities (New)” and “Safety Improvements.” Add “Active Transportation Focused Plan Elements”
24	8	Overview	8-1	Update year of the call from 2022 to 2023
25	8	Call for Projects	8-2	Remove funding available information
26	8	Call for Projects	8-2	For contiguous projects clarified language to state "signalized intersections"
27	8	Call for Projects	8-3	In section on reapplying - replace "or commitment to operate signal synchronization beyond the three-year grant period is completed, whichever ends later" with "is completed"
28	8	Applications	8-3	Update submittal deadline to Thursday, October 20, 2022, and update number of hardcopy applications submittals required from three to one copy
29	8	Applications	8-4	Updated contact information

## 2023 CTFP Guidelines (Project O and Project P) – Proposed Changes List

No.	Chapter	Section	Page No.	Proposed Change
30	8	Lead Agency/ OCTA Lead	8-6	Add under OCTA Lead “Not available for 2023 Call for Projects.” Staff is not offering to lead projects due to Countywide Signal Synchronization Baseline Project
31	8	OCFundtracker Application Components	8-6	Remove “Maintenance of Effort”
32	8	OCFundtracker Application Components	8-6	Remove duplicate listing of “Project Scale”
33	8	Application Review and Program Adoption	8-7	Update proposed call schedule to the following: <ul style="list-style-type: none"> <li>Board authorization to issue call: August 8, 2022</li> <li>Application submittal deadline: October 20, 2022</li> <li>TSC/TAC Review: February/March 2023</li> <li>Committee/Board approval: April/May 2023</li> </ul>
34	8	Ineligible Expenditures	8-9	Clarify that: Ineligible regular signal operation and maintenance expenses include “communication repairs”
35	8	Selection Criteria	8-10	Change Transportation Significance maximum score from 30 to 25 points
36	8	Selection Criteria/ Project Characteristics	8-10 8-11	Change project characteristics scoring methodology to award points based on project’s cumulative average improvement score
37	8	Table/Eligible Improvements	8-11	Clarify Project P Project Characteristics criteria description to specify that the eligible improvements and requirements in this category only apply to signalized intersections included in the application
38	8	Table/Eligible Improvements	8-12	Add Eligible Improvements Table in line with reorganized project characteristics and point breakdown
39	8	Selection Criteria/ Project Characteristics	8-13	Add section “Signal Timing (No Capital). Improvements in this category can only be selected if the entire project is a timing only project without any field improvements”

## 2023 CTFP Guidelines (Project O and Project P) – Proposed Changes List

No.	Chapter	Section	Page No.	Proposed Change
40	8	Selection Criteria/ Project Characteristics	8-13	Peer-to-Peer program on traffic control devices add “that have existing connectivity”
41	8	Selection Criteria/ Project Characteristics	8-13	Remove “Bluetooth and/or connected vehicle roadside units for at least three (3) signals on the projects...”
42	8	Selection Criteria/ Project Characteristics	8-13	Add section "Signal Communication. Scores for this improvement category varies depending on the type of improvement coupled with the existing status of the signal, whether online or offline..."
43	8	Selection Criteria/ Project Characteristics	8-13	Remove "Replacement fiber optic or copper cabling for network communication. Fiber optic is the preferred medium and includes pull boxes, network switches, and distribution systems"
44	8	Selection Criteria/ Project Characteristics	8-14	Add section "Field Elements". This improvement category is focused on the field equipment/devices that will ensure the signals are enhanced to support advanced signal operations. Scores for this improvement category will vary depending on the existing lifespan of equipment/devices being upgraded. It is the applicant agency’s responsibility to ensure the appropriate score is assigned and OCTA may request for supporting documentation"
45	8	Selection Criteria/ Project Characteristics	8-15	Relocate bulleted items for automated traffic signal performance measures, intelligent cameras, detection system, installation of new and/or improved traffic control devices, new or upgraded communication systems, and intersection/field system modernization under “Field Elements”
46	8	Selection Criteria/ Project Characteristics	8-16	Relocate and clarify meaning of "Minor Signal Operational Improvements" by adding “Scores for this improvement category will vary depending on the existing lifespan. It is the applicant agency’s responsibility to ensure the appropriate score is assigned and OCTA may request for supporting documentation"
47	8	Selection Criteria/ Project Characteristics	8-16	Relocate "Emergency Vehicle Preempt (EVP) intersection control equipment only" to under “Field Elements”



## 2023 CTFP Guidelines (Project O and Project P) – Proposed Changes List

No.	Chapter	Section	Page No.	Proposed Change
48	8	Selection Criteria/ Project Characteristics	8-17	Expand section Traffic Management Center Traffic Operations Centers (TOC) to include "Scores for this improvement category will vary depending on the existing lifespan of equipment or software being upgraded. It is the applicant agency's responsibility to ensure the appropriate score is assigned and OCTA may request for supporting documentation"
49	8	Selection Criteria/ Project Characteristics	8-17	Add description of California Department of Transportation section
50	8	Selection Criteria/ Project Characteristics	8-18	Add "Each project intersection that has proposed improvements will receive an average score per the specific improvements noted above and the project's score will be an average of all intersection averages"
51	8	Selection Criteria/ Project Characteristics	8-18	Remove "Note: that only one feature can be selected for any qualifying improvement; for example, an implementation of a new video detection system that can distinguish bicycles can be selected for points under the "Separate Bicycle/ADA Pedestrian Detection" or "New/Upgraded Detection", but not both
52	8	Selection Criteria/ Maintenance of Effort	8-18	Remove "Maintenance of Effort" section
53	8	Selection Criteria/ Current Project Status	8-18	Under Current Project Status add "(RTSSP of Measure M Signal Improvement Program)..."
54	8	Selection Criteria/ Current Project Status	8-18	Under Current Project Status add "OR at least 75 percent of the corridor (on MPAH) has never been funded"
55	8	Table 8-1 Point Breakdown	8-20	Change maximum points possible for "Transportation Significance" from 30 to 25 points. Adjusted point distribution for "Vehicle Miles Traveled"
56	8	Table 8-1 Point Breakdown	8-20	Change maximum points possible for "Project Characteristics" from ten to 20 points. Replace "Project Features" with "Project Average Improvement Score Range" and associated point spread
57	8	Table 8-1 Point Breakdown	8-20	Remove "Maintenance of Effort" category

<b>2023 CTFP Guidelines (Project O and Project P) – Proposed Changes List</b>				
<b>No.</b>	<b>Chapter</b>	<b>Section</b>	<b>Page No.</b>	<b>Proposed Change</b>
58	8	Table 8-1 Point Breakdown	8-20	Under “Current Project Status,” add “Timing 75 percent of new eligible project”
59	8	Data Compatibility	8-24	Second paragraph, add “or later” after “Synchro version 10”
60	8	Project P – Application Checklist	8-26	Exhibit 8-1, Remove Maintenance of Effort and add language to match sections and items indicated in the revised Supplemental Application

**Acronyms**

- ACE – Arterial Capacity Enhancement
- ADA – Americans with Disabilities Act
- ADT – Average Daily Traffic
- Board – Board of Directors
- Call – Call for Projects
- CTFP – Comprehensive Transportation Funding Programs
- FAST – Freeway Arterial/Street Transitions
- ICE – Intersection Capacity Enhancement
- LOS – Level of Service
- MPAH – Master Plan of Arterial Highways
- OCTA – Orange County Transportation Authority
- OCTAM – Orange County Transportation Analysis Model
- TAC – Technical Advisory Committee
- TSC – Technical Steering Committee
- VMT – Vehicle Miles Traveled

# GUIDELINES EXCERPT COMPREHENSIVE TRANSPORTATION FUNDING PROGRAMS GUIDELINES

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## 2023 CALL FOR PROJECTS

Orange County Transportation Authority



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## III. Definitions

1. The term "agency," "agencies," "local agency" or any form thereof shall be described in Precept 2.
2. "Competitive funds" refers to funding grants received through the Comprehensive Transportation Funding Programs (CTFP).
3. The term "complete project" is inclusive of acquiring environmental documents, preliminary engineering, Right-of-Way (ROW) acquisition, construction, and construction engineering.
4. The term "cost overrun" in reference to projects awarded through the CTFP shall refer to any and all costs beyond the original estimate that are necessary to complete the approved project scope.
5. The term "encumbrance" or any variation thereof shall mean the execution of a contract or other action (e.g. city council award of a primary contract or issuance of a purchase order and Notice to Proceed (NTP)) to be funded by Net Revenues.
6. The term "escalation" or "escalate" is the inflationary adjustment, as determined by the Engineering News Record (ENR) Construction Cost Index (CCI) 20-city average, added to the application funding request (current year basis) for ROW and construction phases (see Precept 132).
7. The term "environmental mitigation" is referred to as environmental clean-up/preservation measures made as part of that project's environmental clearance.
8. For the purpose of these guidelines, the terms "excess right-of-way" and "surplus right-of-way" shall interchangeably refer to ROW acquired for a specific transportation purpose that is not needed for that purpose. ROW designation shall be acknowledged by applicant to OCTA within sixty calendar days of designation. Furthermore, surplus property plan must also be provided to OCTA at time of designation.
9. The term "Fast Track" shall refer to projects that apply for both planning and implementation phase funding in a single competitive application/call for projects.
10. The term "Fully Burdened Labor Rates" include Work Force Labor Rate (WFLR) plus overhead (see Chapter 9).
11. The term "funding grant," "grant," "project funding," "competitive funds," "project programming" shall refer to the total amount of funds approved by the Board through the CTFP competitive process.
12. The term "Gap Closure" shall refer to the construction of a roadway to its full MPAH build-out for the purpose of connecting two existing ends of that roadway by filling

- in a missing segment or for completing the terminus of an MPAH roadway. This applies to increased roadway capacity only as it relates to vehicular traffic.
13. The term “implementing agency” is the agency responsible for managing the scope, cost and schedule of the proposed project as defined in the grant application.
  14. The term “lead agency” shall refer to the agency responsible for the submission of the grant application.
  15. The term “Master Funding Agreements” or any form thereof shall refer to cooperative funding agreements described in Precept 4.
  16. The term “match rate”, “local match”, “local matching funds”, or any variation thereof, refers to the match funding that an agency is pledging through the competitive process and disposed of through procedures in Chapter 9.
  17. A “micro-purchase” is any purchase that does not exceed \$2,500. For the purposes of proof of payment, only an invoice is required.
  18. The term “obligate” or any variation thereof shall refer to the process of encumbering funds.
  19. “OCFundtracker” refers to the online grant application and payment system used by OCTA to administer the competitive programs awarded through the CTFP. Refer to <https://ocfundtracker.octa.net/>.
  20. “Primary Implementation (PI) Report” refers to the report required at the end of the PI phase. It is a technical report that documents the work completed during the PI phase, which contains the Before and After Study. This is a separate report from the project final report required by the M2 Ordinance, Attachment B, Section III.A.9.
  21. “Operations and Maintenance (O&M) Report” refers to the report required at the conclusion of O&M phase. It is a technical report that documents the work completed during O&M phase. This is a separate report from the project final report required by the M2 Ordinance, Attachment B, Section III.A.9.
  22. The term “project phase” or any form thereof shall refer to the three distinct project phases (engineering, right-of-way, and construction) OCTA funds through the CTFP. Additionally, the “engineering phase” shall include the preparation of environmental documents, preliminary engineering, and ROW engineering. The “ROW phase” shall include ROW acquisition, utility relocation and adjustment to private property as contained in the ROW agreements, private improvements taken, Temporary Construction Easements (TCE), severance damages, relocation costs that are the legal obligation of the agency, as well as loss of good will, fixtures and equipment including legal cost. The “construction phase” shall include

- construction and construction engineering. A fourth phase defined as “Operations & Maintenance” applies to select programs and is described more fully in the applicable program chapter.
23. Programming for RCP (Project O) follows a sequential process related to Planning and Implementation elements as described more fully in Chapter 2. The Planning step includes environmental evaluation, planning and engineering activities. The Implementation step includes ROW and construction activities.
  24. The term “project phase completion” refers to the date that the local agency has paid the final contractor/consultant invoice (including retention) for work performed and any pending litigation has been adjudicated for the engineering phase or for the ROW phase, and all liens/claims have been settled for the construction phase. The date of project phase completion will begin the 180-day requirement for the submission of a project final report as required by the M2 Ordinance, Attachment B, Section III.A.9.
  25. The term “Public-Private Partnerships” is defined as direct financial contributions, sponsorships or ROW dedications for eligible program activities.
  26. The term “reasonable” in reference to project phase costs shall refer to a cost that, in its nature and amount, does not exceed that which would normally be incurred under the circumstances prevailing at the time the decision was made to incur the cost. Factors that influence the reasonableness of costs: whether the cost is of a type generally recognized as ordinary and necessary for the completion of the work effort and market prices for comparable goods or services.
  27. The term “savings” or “project savings” in reference to projects awarded through the CTFP are any grant funds remaining on a particular project phase after all eligible items within the approved project scope have been reimbursed.
  28. “Sustainability”, as it applies to capacity enhancing infrastructure projects, refers to project elements that support environmental benefits such as use of renewable or recycled resources.
  29. The term “Work Force Labor Rates (WFLR)” include direct salaries plus direct fringe benefits.
  30. The term “offset intersection” or “offset signal” refers to traffic signalized intersections within 2,700 feet from either direction of the project corridor. (Project P Only)

## IV. Acronyms

AADT – Average Annual Daily Traffic

ACE – Arterial Capacity Enhancements

ADA – Americans with Disabilities Act of 1990

ADT – Average Daily Trips

A/E – Architectural/Engineering

APIRI – Applications Programming Interface with Referenced Implementations

ATC – Advanced Transportation Controller

ATMS – Advanced Transportation Management System

BMP – Best Management Practices

B/RVH – Boardings Divided by the Revenue Vehicle Hours

C2C – Center-to-Center Communication

CASQA – California Stormwater Quality Association

CAPPM – Cost Accounting Policies and Procedures Manual

CCI – Construction Cost Index

CCTV – Closed Circuit Television

CDS – Continuous Deflection Separator

CFS – Climate Forecast System

CE – Categorical Exclusion

CEQA – California Environmental Quality Act

CIP – Capital Improvement ~~Plan~~Program

CPI – Catchment Prioritization Index

CSPI – Corridor System Performance Index

CTC – California Transportation Commission

CTFP – Comprehensive Transportation Funding Programs

ECAC – Environmental Cleanup Allocation Committee

ECP – Environmental Cleanup Program

EIR – Environmental Impact Report

ENR – Engineering News Record

EVP – Emergency Vehicle Preempt  
FAST – Freeway Arterial/Streets Transition  
FTA – Federal Transit Administration  
FY – Fiscal Year  
GIS – Geographic Information System  
GSRD – Gross Solid Removal Device  
HAWK – High-Intensity Activated Crosswalk Signaling Systems  
ICE – Intersection Capacity Enhancements  
ICU – Intersection Capacity Utilization  
ID – Identification  
IRWMP – Integrated Regional Water Management Plan  
ITS – Intelligent Transportation System  
LFS – Local Fair Share  
LID – Low-Impact Development  
LOS – Level of Service  
M2 – Measure M2  
MG/yr – Megagrams per Year  
MPAH – Master Plan of Arterial Highways  
MUTCD – Manual on Uniform Traffic Control Devices  
ND – Negative Declaration  
NDS – National Data & Surveying Services  
NEPA – National Environmental Policy Act  
NTP – Notice to Proceed  
O&M – Operations and Maintenance  
OCTA – Orange County Transportation Authority  
OCTAM – Orange County Transportation Analysis Model  
PA/ED – Project Approvals/Environmental Documentation  
PCI – Pavement Condition Index  
PI – Primary Implementation

PSR – Project Study Report  
PS&E – Plan, Specification and Estimate  
PUC – Public Utilities Commission  
RCP – Regional Capacity Program  
RGSP – Regional Grade Separation Program  
RTSSP – Regional Traffic Signal Synchronization Program  
ROADS – Roadway Operations and Analysis Database System  
ROW – Right-of-Way  
RVH – Revenue Vehicle Hours  
SAR – Semi-Annual Review  
SBPAT – Structural BMP Prioritization Analysis Tool  
SLPP – State-Local Partnership Program  
TAC – Technical Advisory Committee  
TCE – Temporary Construction Easement  
TCIF – Trade Corridors Improvement Funds  
TDA – Transportation Development Act  
TMC – Traffic Management Center  
TOC – Traffic Operations Center  
TPC – Total Project Cost  
TPI – Transportation Priority Index  
TSC – Technical Steering Committee  
TSP – Transit Signal Priority  
UPS – Uninterruptible Power Supply  
UTDF – Universal Traffic Data Format  
v/c – Volume/Capacity  
VMT – Vehicle Miles Traveled  
WFLR – Work Force Labor Rates  
WQLRI – Water Quality Load Reduction Index

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## Chapter 7 – Regional Capacity Program (Project O)

### Overview

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

Although each improvement category described in this chapter has specific eligible activities, the use of RCP funding is restricted to and must be consistent with the provisions outlined in Article XIX and the California State Controller’s [Guidelines Relating to Gas Tax Expenditures](#) (March 2019). These Guidelines are available at the following link: [https://sco.ca.gov/Files-AUD/gas\\_tax\\_guidelines31219.pdf](https://sco.ca.gov/Files-AUD/gas_tax_guidelines31219.pdf).

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

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

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

Also included under the RCP is the Regional Grade Separation Program (RGSP), which is meant to address vehicle delays and safety issues related to at-grade rail crossings. Seven rail crossing projects along the MPAH network were identified by the California Transportation Commission (CTC) to receive TCIF. TCIF allocations required an additional local funding commitment. The RGSP captures these prior funding commitments. Future calls for projects for grade separations are not anticipated.



## Funding Estimates

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

## Programming Approach

Programming decisions are based upon project prioritization ranking, feasibility and readiness. Each round of funding has resulted in a diverse range of activities, cost and competitive score. Funding applications may seek financial assistance for planning, engineering, ROW, construction or a combination of these activities. Effective grant programs include a combination of project development as well as implementation projects. In order to ensure continued distribution of funding opportunities between small and large-scale projects, a tiered funding approach will be used.

Typically, OCTA has made approximately \$32 million available for each RCP (Project O) programming cycle. Category 1 projects are limited to those projects requesting \$5 million or less. Category 2 projects are defined as those requesting more than \$5 million in Measure M2 funds.

**Tiered Funding Approach:** The two-tiered funding (Tier 1 and Tier 2) approach will only be applicable to the RCP. This approach is proposed to prioritize high scoring projects while providing a balanced program with funding availability for small and large projects. The first tier is for projects scoring 50 points or higher, and the second tier is for all projects after first satisfying the Tier I ranking. Within Tier 1, two categories would be established with 60 percent (60%) (Category 1) of the M2 funds available for smaller projects (requesting \$5 million or less), and 40 percent (40%) (Category 2) of the M2 funds available for larger projects (requesting \$5 million or more). This approach is intended to broaden the distribution of M2 funds to higher scoring/lower cost projects and retain the ability to fund larger projects without placing formal funding caps on allocations. Any M2 funds not programmed in Tier I will be designated for Tier 2 allocation. A funding split between small and large projects is not recommended for Tier 2.

Applications may be for any project phase provided it represents a meaningful, logical terminus and is consistent with scoping from a previously funded project if applicable (i.e., if engineering was previously funded, the ROW and/or construction request must be for the same project scope).

	Category 1 (60%)	Category 2 (40%)
Tier I >=50	<ul style="list-style-type: none"> <li>• \$0 - \$5 million</li> <li>• Score at least 50 points</li> <li>• Logical, standalone project</li> <li>• Unallocated balance shifts to Tier II for programming</li> </ul>	<ul style="list-style-type: none"> <li>• \$5+ million request</li> <li>• Score at least 50 points</li> <li>• Logical, standalone project</li> <li>• Unallocated balance shifts to Tier II for programming</li> </ul>
Tier II	<ul style="list-style-type: none"> <li>• Balance of unallocated funds from Tier I prioritization</li> <li>• Request can be of any dollar value to compete in Tier II</li> <li>• Multiple segments of the same project cannot be submitted under both categories.</li> </ul>	

## 2023 Call for Projects

~~Contingent on OCTA Board approval, the 2022 Call for Projects (call) for the RCP (Project O) and Regional Traffic Signal Synchronization Program (Project P), will make approximately \$xx million in M2 funds available to support street and roads and signal synchronization improvements across Orange County. The target for this program is \$xx million, but recommendations for Project O may be higher or lower depending on the projects submitted.~~

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

For this call, OCTA shall program projects for a three-year period (FY 23/24 – 25/26), based upon the current estimate of available funds. For specifics on the funding policies that apply to this call, refer to the Program Precepts as found in Section IV of these guidelines.

## Applications

In order for OCTA to consider a project for funding, applications will be prepared by the lead agency. A separate application package must be completed for each individual project. Multiple variations of the same project (i.e. with different local match rates) will not be considered. If funding is requested under multiple program components for a

single project (i.e. arterials and intersections) a separate application must be prepared for each request. OCTA shall require agencies to submit both online and hardcopy applications for the 2023 call for projects by **5:00 p.m. on Thursday, October 20, 2022. Late and/or incomplete submittals will not be accepted.**

Since each funding program has slightly different application requirements, an "Internal Application Checklist Guide" has been provided for the three programs under the RCP (Exhibits 7-1, 7-2, and 7-3). The checklist guide identifies the basic forms and documentation required for each of the program components. In addition, items required at the time of project submittal are differentiated from supplemental items due later. The appropriate **checklist must be provided as a cover sheet for each application submitted.** For any items that are required for the candidate project or program that are missing or incomplete, an explanation should be included in a cover letter with the application. In addition to this checklist guide, please review the **Attachments/Additional Information** section of each program component for a description of supplementary documentation which may be required to support your agency's project application in specific cases.

Additionally, **threeone (1) unbound hardcopy and one electronic copy on a USB, thumb drive, memory stick, or via electronic file upload and/or email** of the application and any supporting documentation must be submitted to OCTA by the application deadline. Please note, hardcopies of the supporting plans, drawings and/or specifications are to be in a minimum size of 11 x 17 inches.

Hardcopy applications should be mailed to:

OCTA

Attention: ~~Joseph Alcock~~ Adrian Salazar

600 S. Main Street

P.O. Box 14184 Orange, CA 92863-1584

Hardcopy applications can be hand delivered to:

600 S. Main Street

Orange, CA 92868

**Electronic application copies can be sent via email to: [asalazar@octa.net](mailto:asalazar@octa.net)**

## Exhibit 7-1

### Arterial Capacity Enhancement (ACE)

#### CTFP Application Checklist Guide

##### **Planning – Environmental & Engineering**

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

##### **Right-of-Way**

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

##### **Construction**

- CTFP Online Application – submitted through OCFundtracker
- [Project Description, Scope of Work and Project Limits](#)
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report \*
- Approved Project Construction Plans\*
- ADT and LOS Calculations

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

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

## Exhibit 7-2

### Intersection Capacity Enhancement (ICE)

#### CTFP Application Checklist Guide

##### **Planning – Environmental & Engineering**

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

##### **Right-of-Way**

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

##### **Construction**

- CTFP Online Application – submitted through OCFundtracker
- [Project Description, Scope of Work and Project Limits](#)
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report \*
- Approved Project Construction Plans\*

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

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

## Exhibit 7-3

### Freeway Arterial/Streets Transition (FAST)

#### CTFP Application Checklist Guide

##### **Planning – Environmental & Engineering**

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

##### **Right-of-Way**

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

##### **Construction**

- CTFP Online Application – submitted through OCFundtracker
- [Project Description, Scope of Work and Project Limits](#)
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report\*
- Approved Project Construction Plans\*
- Appropriate agreements between Caltrans and the project lead agency need to be in draft form and/or in place.

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

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

## Attachments

### OCFundtracker Application

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

### "Project Cost Estimate" Form

Include a separate attachment listing all expenditures and costs for the project. Accurate unit prices and a detailed description of work, including design, will be critical when the candidate project is reviewed. For example, design applications should include major tasks that will be performed. ROW cost estimate should include parcel information (including project area needed), improvements taken, severance damages, ROW engineering, appraisal and legal costs. Construction should include a listing of all bid items including a maximum 10 percent (10%) allowance for contingencies and a maximum 15 percent (15%) allowance for construction engineering/project management. The anticipated disbursement of costs (e.g., Agency, Other, Non-Eligible) must also be completed. Agencies should reference the program from which funding is expected to be allocated when completing this portion of the form. Each of the funding programs described in these guidelines may have differing matching fund requirements.

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

### "Sample Resolution" Form

A resolution or minute action must be approved by the local jurisdiction's governing body prior to the Board approval of grant funds. A sample resolution is included as Exhibit 7-4. Local agencies, at a minimum, must include items a-h. The mechanism selected shall serve as a formal request for CTFP funds and states that matching funds will be provided by the agency, if necessary. All project requests must be included in this action. **If a draft copy of the resolution is provided, the local jurisdiction must also provide the date the resolution will be finalized by the local jurisdiction's governing body.**

### ROW Acquisition/Disposal Plan

For all projects requesting ROW phase funding, a detailed plan for acquisition/disposal of excess right-of-way, along with any reasonable labor costs expected, must be included. The ROW acquisition/disposal plan and labor cost estimate must be submitted using the



“ROW acquisition/disposal plan” form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.

## Project Summary Information

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

## Pavement Management Supporting Documentation

The M2 Ordinance provides for a 10 percent (10%) reduction in the required local match if the agency can either:

- a. Show measurable improvement of paved road conditions during the previous reporting period defined as an overall weighted (by area) average system improvement of one Pavement Condition Index (PCI) point with no reduction in the overall weighted (by area) average PCI in the MPAH or local street categories;

or

- b. Road pavement conditions during the previous reporting period within the highest 20% of the scale for road pavement conditions in conformance with OCTA Ordinance No. 3, defined as a PCI of 75 or higher, otherwise defined as in “good condition”.

If an agency is electing to take the 10 percent (10%) local match reduction, **supporting documentation indicating either the PCI improvement or PCI scale must be provided.**

## Additional Information

The following documentation should be included with your completed project application:

If a project includes more than one jurisdiction and is being submitted as a joint application, one agency shall act as lead agency and must provide a resolution of support from the other agency.

1. Letters of support for the candidate project (optional).
2. Geotechnical\materials reports for all applicable candidate projects (e.g., widening, intersection improvement, new roadway). The reports should contain sufficient detail for an accurate assessment of improvements needed and costs, since funding will be jeopardized if a project is unable to meet proposed schedule and costs.



3. Preliminary plans, if available for the project. The plans (1"=40' preferred) should be included in hard copy attachments at a minimum size of 11 x 17 inches and include:
  - a. Existing and proposed ROW (include plat maps and legal descriptions for proposed acquisitions).
  - b. Agency boundaries, dimensions and station numbers.
  - c. Existing and proposed project features such as: pavement width and edge of pavement, curb, gutter and sidewalk, raised median, driveway reconstruction, signal pole locations, etc.
  - d. Typical cross sections.
  - e. Proposed striping.
  - f. Structural sections per the materials report.
  - g. Proposed traffic signals, storm drains, bridges, railroad crossing improvements, safety lighting, etc.
  - h. If requesting funds for traffic signals, include a traffic signal warrant(s) prepared by the City Traffic Engineer or City Engineer.
  - i. If the project includes construction, relocation, alteration or widening of any railroad crossing or facility, include a copy of the letter of intent sent to the railroad, a copy of which must be sent to the Public Utilities Commission (PUC). Any project including work of interest to a railroad will not be considered for eligibility until the railroad and PUC have been notified.
  - j. If the project is proposed as a staged project and additional funds will be necessary in subsequent calls for projects, the preliminary project statement should be accompanied with a complete preliminary estimate and schedule for the completion of the entire project.
  - k. If the project is proposed as a safety improvement, provide justifying accident data for the past three years and show the expected decrease in intersection or mid-block accident rate.
4. Current 24-hour traffic counts (taken for a typical mid-week period within the preceding 12-month period) for the proposed segment. Projects submitted without "current counts" will be considered incomplete and non-responsive.

**Exhibit 7-4**

**Sample Resolution for Candidate Orange County  
Comprehensive Transportation Programs Projects**

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

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

- (a) WHEREAS, the City of \_\_\_\_\_ desires to implement the transportation improvements listed below; and
- (b) WHEREAS, the City of \_\_\_\_\_ has been declared by the Orange County Transportation Authority to meet the eligibility requirements to receive M2 "Fair Share" funds; and
- (c) WHEREAS, the City's Circulation Element is consistent with the County of Orange Master Plan of Arterial Highways; and
- (d) WHEREAS, the City of \_\_\_\_\_ will not use M2 funds to supplant Developer Fees or other commitments;
- (e) WHEREAS, the City/County must include all projects funded by Net Revenues in the seven-year Capital Improvement Program as part of the Measure M2 Ordinance eligibility requirement.
- (f) WHEREAS, the City of \_\_\_\_\_ will provide a minimum in \_\_% in matching funds for the \_\_\_\_\_ project as required by the Orange County Comprehensive Transportation Funding Programs Guidelines; and
- (g) WHEREAS, the Orange County Transportation Authority intends to allocate funds for transportation improvement projects, if approved, within the incorporated cities and the County; and
- (h) WHEREAS, the City/County authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the Orange County Transportation Authority Board of Directors, if necessary.

NOW, THEREFORE, BE IT RESOLVED THAT:

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

ADOPTED BY THE CITY COUNCIL on \_\_\_\_\_, 20\_\_\_\_.

SIGNED AND APPROVED on \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
City Clerk

\_\_\_\_\_  
Mayor

\*Required language a-h

## Application Review Process

OCTA staff will conduct a preliminary review of all applications for completeness and accuracy, request supplemental information (i.e., plans, aerial/strip maps, CEQA forms) for projects that appear to rank well during initial staff evaluations, and prepare a recommended program for the TSC. In addition, OCTA may hire a consultant(s) to verify information within individual applications such as, but not limited to, project scope, cost estimates, ADT and LOS. These applications will be selected through a random process.

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

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

Applications will be reviewed by OCTA for consistency, accuracy and concurrence. Applications determined complete in accordance with the program requirements will be

scored, ranked and submitted to the TSC, TAC and Board for consideration and funding approval.

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

Board authorization to issue call: August 8, 2022

Application submittal deadline: October 20, 2022

TSC/TAC Review: February/March 2023

Committee/Board approval: April/May 2023

## Funding

M2 RCP (Project O) funding will be used for this call.

The CTFP Guidelines include a provision that allows applicants to request ROW and/or construction funding prior to completion of the planning phase (including final design) provided that the phase is underway, substantially complete and the agency will complete the activities within six months of the start of the new phase programmed year. **A thorough review of eligible activities is not always possible during the call for projects evaluation period. As a result, it is possible that cost elements contained within an application and included in a funding recommendation may ultimately be deemed ineligible for program participation. The applicant is responsible for ensuring projects are implemented according to eligible activities contained within the program guidelines.**

## Arterial Capacity Enhancements (ACE)

### Overview

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

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

### Objectives

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

### Project Participation Categories

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

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

### Eligible Activities

- Planning, environmental clearance
- Design
- ROW acquisition
- Construction (including curb-to-curb, lighting, drainage, etc.)

## Potentially Eligible Items

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs.

### **Application review and approval does not guarantee the eligibility of all items.**

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

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

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

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

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

Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). Rough grading can be considered eligible, so long as it supports MPAH improvement(s) within the ROW and does not supplant developer (or any other project obligations). Any proposed rough grading outside of the MPAH ROW, will be evaluated by OCTA on a case-by-case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).

## Utility Relocations

The expenses associated with the relocation of utilities are eligible for RCP reimbursement only when all conditions listed below have been met:

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

Liability can be determined by property rights, franchise rights/agreements, state and local statutes/ordinances, permits, a finding by the local agency's counsel, or other recorded legal document. Documentation providing proof of the local agency's liability for the costs of utility relocation must be submitted with an initial payment request (see Chapter 9). Utilities funded through enterprise funds shall not be eligible for reimbursement.



If a relocation is eligible to be reimbursed, and to be performed by the utility owner or by the utility owner's contractor, the work should be included in the ROW phase costs and clearly identified in the project application submittal. For eligible relocations to be performed during the construction phase by the local agency's contractor, the work should be included in the plans and specifications similar to other construction activities. Adjustment of existing utilities to grade (e.g. water valves, manhole frames and covers), due to new roadway cross sections are either eligible or not eligible in the construction phase subject to the limitations previously described (e.g. prior rights). New or relocated fire hydrants are ineligible.

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

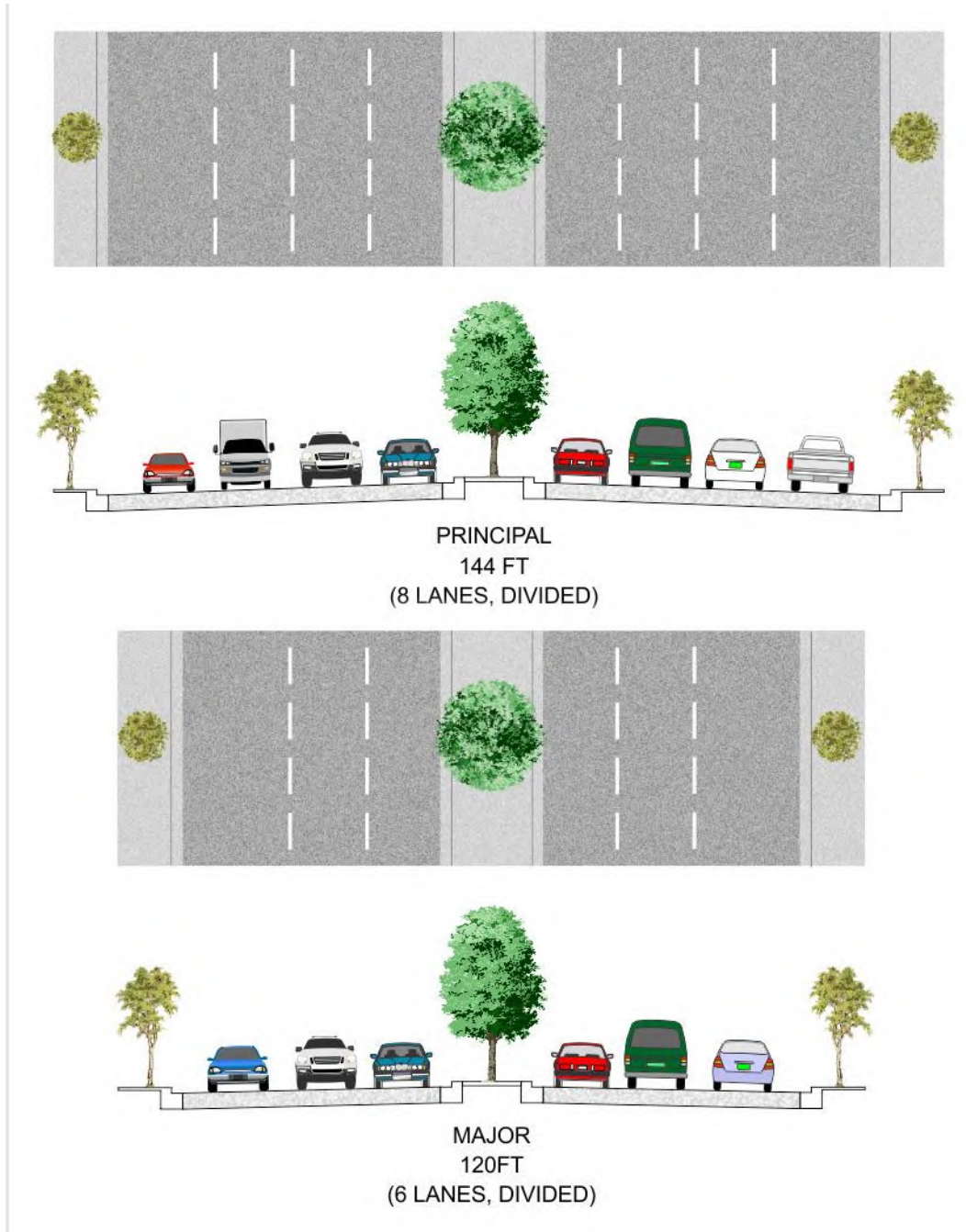
## Ineligible Expenditures

Items that are not eligible under the ACE Program are:

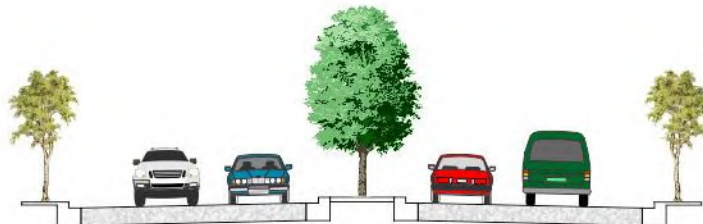
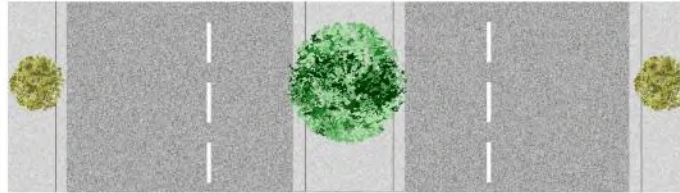
- Grading outside of the roadway ROW not related to a TCE or ROW agreement is generally considered ineligible but can be evaluated by OCTA on a case by case basis, but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).
- Rehabilitation (unless performed as component of capacity enhancement project)
- Reconstruction (unless performed as component of capacity enhancement project)
- Grade Separation Projects
- Enhanced landscaping, aesthetics and gateway treatments (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape)
- ROW acquisition and construction costs for improvements greater than the typical ROW width for the applicable MPAH Roadway Classification. (See standard MPAH cross sections in Exhibit 7-5) Where full parcel acquisitions are necessary to meet typical ROW requirements for the MPAH classification, any excess parcels shall be disposed of in accordance with the provisions of these guidelines, State statutes as outlined in Article XIX and the California State Controllers Guidelines Relating to Gas Tax Expenditures.
- Utility Betterments
- Construction of new utilities



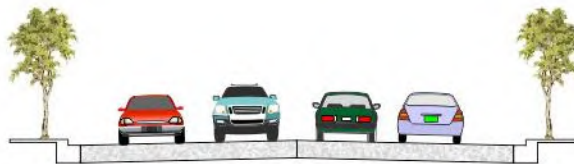
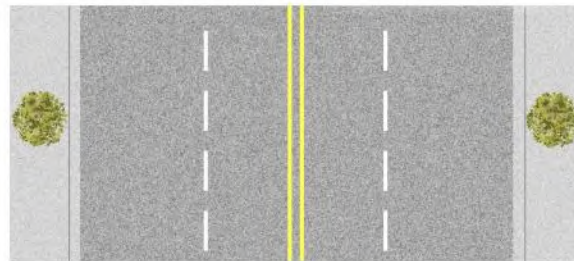
## Exhibit 7-5 Standard MPAH Cross Sections



## Exhibit 7-5 *continued* Standard MPAH Cross Sections

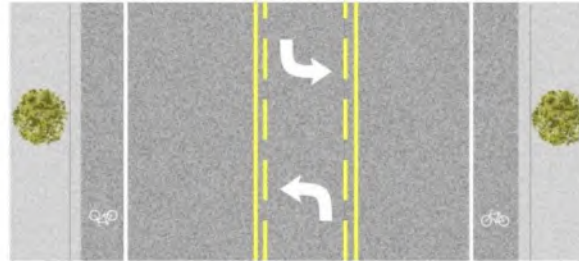


PRIMARY  
100 FT  
(4 LANES, DIVIDED)



SECONDARY  
80 FT  
(4 LANES, UNDIVIDED)

## Exhibit 7-5 *continued* Standard MPAH Cross Sections



DIVIDED COLLECTOR  
80 FT  
(2 LANES, DIVIDED)



COLLECTOR  
56 FT  
(2 LANES, UNDIVIDED)

## Master Plan of Arterial Highway Capacities

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

<u>Type of Arterial</u>	<u>Level of Service (LOS)</u>				
	<b>A</b>	<b>B</b>	<b>C</b>	<b>D</b>	<b>E</b>
	.51 - .60 v/c	.61 - .70 v/c	.71 - .80 v/c	.81 - .90 v/c	.91 - 1.00 v/c
8 Lanes Divided	45,000	52,500	60,000	67,500	75,000
6 Lanes Divided	33,900	39,400	45,000	50,600	56,300
4 Lanes Divided	22,500	26,300	30,000	33,800	37,500
4 Lanes (Undivided)	15,000	17,500	20,000	22,500	25,000
2 Lanes Divided	9,000	12,000	15,000	20,000	22,000
2 Lanes (Undivided)	7,500	8,800	10,000	11,300	12,500

*Note: Values are maximum Average Daily Traffic*

## Selection Criteria

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

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts for the proposed segment for comparison purposes. The agency must submit the project’s projected ADT, current ADT, the delta, and justification of the increase. Regarding “current” counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. Projects submitted without “current counts” will be considered incomplete and non-responsive. Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the 36 months preceding the release date of the current call. **Note:** New facilities must be modeled through OCTAM and requests should be submitted to OCTA a minimum of six (6) weeks prior to application submittal deadline. **The OCTAM modeling request**

**deadline is September 8, 2022 for the 2023 Call for Projects.** If modeling requests are not submitted six (6) weeks prior to the application submittal deadline, the application will not be considered. For agencies where event, weekend, or seasonal traffic presents a significant issue, Average Annual Daily Traffic (AADT) counts can be used, provided the agency gives sufficient justification for the use of AADT.

VMT: Centerline length of segment proposed for improvement multiplied by the existing ADT for the proposed segment length. Measurement must be taken proximate to capacity increase. VMT for improvements covering multiple discrete count segments are calculated on a weighted average basis.

Current Project Readiness: This category is additive. Points are earned for the highest qualifying designation at the time applications are submitted. Local agency should select the most current phase of the project.

- Environmental Approvals – applies where all environmental clearances have been obtained on the project.
- Preliminary design (35 percent (35%) level) – will require certification from the City Engineer and is subject to verification.
- Final Design (PS&E) – applies where the jurisdiction’s City Engineer or other authorized person has approved the final design.
- ROW (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication or orders of immediate possession have been received by the jurisdiction. Documentation of ROW possession will be required with application submittal.
- ROW (all easements and titles) – applies where no ROW is needed for the project or where all ROW has been acquired/dedicated.

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

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

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

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



project. Only one feature can be selected for any qualifying category. For example, installation of a bike lane that is identified in an adopted ATP plan can be awarded points under "Bike Lanes" or "Active Transportation Focused Plan Elements," but not both.

- Pedestrian Facilities: Placement of a new sidewalk where **none currently exists** along an entire segment of proposed project.
- Meets MPAH configuration: Improvement of roadway to full MPAH standard for the segment classification.
- Active Transit Route(s): Segments served by fixed route public transit service.
- Bus Turnouts: Construction of bus turnouts.
- Bike Lanes: Installation of new bike lanes
- Median (Raised): Installation of a mid-block raised median where none exists today. Can be provided in conjunction with meeting MPAH standards.
- Safety Improvements: Project features that increase the safety of pedestrians. These elements can include the new installation of ~~;~~ median barriers, curb extensions, residential traffic diverters, pedestrian crossing islands, pedestrian activated signals, crosswalk enhancements, safety signage, and the addition, modification, or improvement of existing pedestrian signals. Other elements of safety may be considered on a case by case basis.
- Elements of Approved Active Transportation Plan/Active Transportation Focused Sections of other Types of Mobility Plans: Incorporate project features that are approved in an active transportation plan or if very focused, in active transportation focused sections of other types of plans that improve mobility. These elements can include bike infrastructure and pedestrian elements. Other elements of an active transportation plan may be considered on a case by case basis. Documentation of approved plan will be required with application submittal and assignment of points for active transportation focused sections of other types of plans will be considered on a case by case basis.
- ~~Remove On-street Parking: Elimination of on-street parking in conjunction with roadway widening project. Can be provided in conjunction with meeting MPAH standards and installation of new bike lanes. Points are awarded at construction phase only.~~
- Sustainability Elements: Includes the use of multiple complete street elements, the installation of solar lighting within the roadway cross section, or water conservation elements that reduce water consumption, compared to current usage within project limits; such as the replacement of existing landscaping with hardscape and/or "California Native" drought tolerant type landscaping; the replacement of existing sprinklers with drip irrigation systems; the installation of new "grey" or recycled water systems where such does not currently exist. Other elements of

sustainability may be considered on a case by case basis. Points are awarded at construction phase only.

- Other (e.g. Golf cart paths in conformance with California Vehicle Code and which are demonstrated to remove vehicle trips from roadway).

Improvement Characteristics: Select one characteristic which best describes the project:

- Gap Closures: the construction of a roadway to its full MPAH build-out for the purpose of connecting two existing ends of that roadway by filling in a missing segment or for completing the terminus of an MPAH roadway. This applies to increased roadway capacity only as it relates to vehicular traffic.
- New Facility/Extensions: Construction of new roadways.
- Bridge crossing: Widening of bridge crossing within the project limits to full MPAH width. Widening beyond MPAH shall not qualify for Project O funding.
- Adds capacity: Addition of through traffic lanes.
- Improves traffic flow: Installation of a median, restricting cross street traffic, adding midblock turn lanes, or elimination of driveways.

LOS Improvement: This category is a product of the existing or projected LOS based upon volume/capacity– or v/c -- and LOS improvement “with project”. **Projects must meet a minimum existing or projected LOS of “D” (.81 v/c) “without project” condition to qualify for priority consideration for funding.** Existing LOS is determined using current 24-hour traffic counts for the proposed segment. However, for projects where traffic volumes follow unconventional patterns, unidirectional volumes may be proposed as an acceptable alternate methodology for determining LOS. If unidirectional volumes are used for LOS calculations, ADT for the proposed direction of improvement shall serve as the basis for ADT, cost benefit and vehicle miles travelled (VMT) scoring categories. Projects that do not meet the minimum LOS “D” can be submitted but are not guaranteed consideration as part of the competitive process.

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

## Application Process

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

Complete application

- Funding needs by phase and fiscal year
- Local committed match funding source, confirmed through city council resolution or minute order
- Supporting technical information (including current traffic counts)
- Project development and implementation schedule
- ROW status and detailed plan for acquisition/disposal of excess right-of-way. The ROW acquisition/disposal plan must be submitted using the "ROW acquisition/disposal plan" form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.
- Any additional information deemed relevant by the applicant.
- Grants subject to Master Funding Agreement

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

## Minimum Eligibility Requirements

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

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

## New Facilities

New facilities must be modeled through OCTAM. A local agency planning on submitting a request for funding for a new facility must submit a modeling request a minimum of six (6) weeks prior to the application submittal deadline. If modeling requests are not submitted six (6) weeks prior to the application submittal deadline, the application associated with the related project will not be considered. Any request for modeling **must be submitted to OCTA no later than September 8, 2022** for the 2023 Call for Projects.

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

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



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

## Matching Funds

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

## Other Application Materials

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

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

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

as applicable. The applicant will be asked for additional detailed information if necessary, to adequately evaluate the project application.

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

## Reimbursements

This program is administered on a reimbursement basis for capital improvements, planning, design, and ROW acquisition. Reimbursements will be disbursed upon review and approval of an acceptable initial payment submittal, final report, and consistency with Master Funding Agreement or cooperative agreement if federal funds are awarded. The reimbursement process is more fully described in Chapter 9 of this manual.

## Project Cancellation

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

Cancelled projects will be eligible to reapply upon resolution of issues that led to original project termination. Agencies can resubmit an application for funding consideration once either the cancellation of the existing funding grant has been approved by the OCTA Board or is in the process of approval through the semi-annual review. In the event the OCTA Board does not approve the cancellation, the lead agency will be required to withdraw the application.

## Audits

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

the normal annual process or on a schedule to be determined by the Board (see Chapter 10).

Proceeds from the sale of excess ROW acquired with program funding must be paid back to the project fund as described in Chapter 9 and the Master Funding Agreement.

**Table 7-1  
Regional Capacity Program  
Street Widening Selection Criteria**

<b>Category</b>	<b>Points Possible</b>	<b>Percentage</b>
<b>Facility Usage</b>		<b><del>30</del>25%</b>
Existing ADT <u>&amp; VMT</u>	<del>15</del>	<del>10</del> 15%
<del>Existing VMT</del>	<del>10</del>	<del>10</del> %
Current Project Readiness	10	10%
<b>Economic Effectiveness</b>		<b>15%</b>
Cost Benefit	10	10%
Funding Over-Match	5	5%
<b>Facility Importance</b>		<b><del>20</del>25%</b>
Transportation Significance	10	10%
Operational Efficiency	<del>10</del> 15	<del>10</del> 15%
<b>Benefit</b>		<b>35%</b>
Improvement Characteristics	10	10%
Level of Improvement and Service	25	25%
<b>Total</b>	<b>100</b>	<b>100%</b>

## Table 7-2 Street Widening Point Breakdown

### ACE SCORING CRITERIA Point Breakdown for Arterial Capacity Enhancement Projects Maximum Points = 100

Facility Usage		Points:	Facility Importance		Points:
<b>3025</b>			<b>2025</b>		
<u>Existing ADT &amp; VMT</u>		<u>Max Points: 15</u>	<u>Transportation Significance Range</u>		<u>Points</u>
<u>Existing ADT Range</u>		<u>Points</u>	<u>Principal or CMP Route</u>		<u>10</u>
45+	thousand	10	<u>Major</u>		<u>8</u>
40 – 44	thousand	8	<u>Primary</u>		<u>6</u>
35 – 39	thousand	6	<u>Secondary</u>		<u>4</u>
30 – 34	thousand	5	<u>Collector</u>		<u>2</u>
25 – 29	thousand	4	<u>Operational Attributes</u>		<u>Max Points:</u>
20 – 24	thousand	3	<u>(within the roadway)</u>		<u><del>10</del>15</u>
15 – 19	thousand	2	<u>Meets MPAH Configs.</u>		<u><del>3</del>4</u>
10 – 14	thousand	1	<u>Pedestrian Facilities (New)</u>		<u><del>3</del>4</u>
<10	thousand	0	<u>Bike Lanes (New)</u>		<u><del>3</del>4</u>
<u>VMT Range</u>		<u>Points</u>	<u>Active Transit Route(s)</u>		<u>2</u>
31+	thousand	10	<u>Bus Turnouts</u>		<u>2</u>
26 – 30	thousand	8	<u>Median (Raised)</u>		<u>2</u>
22 – 25	thousand	6	<u>Remove On-Street Parking</u>		<u>2</u>
18 – 21	thousand	5	<u>Safety Improvements</u>		<u><del>2</del>3</u>
14 – 17	thousand	4	<u>Active Transportation Focused Plan</u>		
11 – 13	thousand	3	<u>Elements</u>		<u>2</u>
08 – 10	thousand	2	<u>Sustainability Elements</u>		<u>2</u>
04 – 07	thousand	1	<u>Other</u>		<u>2</u>
<4	thousand	0			
<u>Current Project Readiness</u>		<u>Max Points: 10</u>	<b>Benefit</b>		<b>Points: 35</b>
<u>ROW (All Easement and Titles)</u>		<u>5</u>	<u>Improve Characteristics</u>		<u>Points</u>
<u>Final Design (PS&amp;E)</u>		<u>4</u>	<u>Gap Closure</u>		<u>10</u>
<u>Environmental Approvals</u>		<u>2</u>	<u>New Facility/Extension</u>		<u>8</u>
<u>Preliminary Design (35%)</u>		<u>2</u>	<u>Bridge Crossing</u>		<u>8</u>
<u>ROW (All Offers Issued)</u>		<u>2</u>	<u>Adds Capacity</u>		<u>6</u>
			<u>Improves Traffic Flow</u>		<u>2</u>
<u>Points are additive. Design and ROW limited to highest qualifying designation.</u>			<u>LOS Improvement</u>		<u>Max Points: 25</u>
<b>Economic Effectiveness</b>		<b>Points: 15</b>	<u>Existing LOS Starting Point Range</u>		<u>Points</u>
<u>Cost Benefit (Total \$/ADT)</u>			<u>(LOS Imp x LOS Starting Pt)</u>		
<u>Range*</u>		<u>Points</u>	<u>1.01+</u>		<u>5</u>
< 49		10	<u>.96 – 1.00</u>		<u>4</u>
50 – 74		9	<u>.91 – .95</u>		<u>3</u>
75 – 99		7	<u>.86 – .90</u>		<u>2</u>
100 – 149		5	<u>.81 – .85</u>		<u>1</u>
150 – 199		4	<u>&lt;.81</u>		<u>0</u>
200 – 249		3	<u>LOS Improvements with Project (exist. Volume)</u>		
250 – 299		2	<u>Existing LOS Starting Point Range</u>		<u>Points</u>
300 – 349		1	<u>.20+</u>		<u>5</u>
350+		0	<u>.16 – .20</u>		<u>4</u>
<u>Funding Over-Match (local match/project cost) minus minimum local match requirement.</u>			<u>.10 – .15</u>		<u>3</u>
<u>Range*</u>		<u>Points</u>	<u>.05 – .09</u>		<u>2</u>
25+%		5	<u>.01 – .05</u>		<u>1</u>
			<u>&lt;.01</u>		<u>0</u>

# Comprehensive Transportation Funding Programs



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20 – 24%	4
15 – 19%	3
10 – 14%	2
05 – 09%	1
00 – 04%	0

\*Range refers to % points above agency minimum requirement.

## Intersection Capacity Enhancements (ICE)

### Overview

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

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

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

### Objectives

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

### Project Participation Categories

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

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

### Eligible Activities

- Planning, environmental clearance
- Design (plans, specifications, and estimates)
- ROW acquisition
- Construction (including bus turnouts, curb ramps, median, and striping)

## Potentially Eligible Items

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs.

### **Application review and approval does not guarantee the eligibility of all items.**

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

## Ineligible Items

- Grading outside of the roadway ROW not related to a TCE or ROW agreement is generally assumed to be ineligible but can be evaluated by OCTA on a case by case basis, but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).
- ROW acquisition greater than the typical ROW width for the applicable MPAH Roadway Classification. Additional turn lanes not exceeding 12 feet in width needed to maintain an intersection LOS D requiring ROW in excess of the typical ROW width for the applicable MPAH classification shall be fully eligible. Where full parcel acquisitions are necessary to meet typical ROW requirements for the MPAH classification any excess parcels shall be disposed of in accordance with State



statutes and the acquisition/disposal plan submitted in accordance with these guidelines.

- Enhanced landscaping and aesthetic improvements (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape).

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

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

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

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

Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). Rough grading can be considered eligible, so long as it supports MPAH improvement(s) within the ROW and does not supplant developer (or any other project obligations). Any proposed rough grading outside of the MPAH ROW, will be evaluated by OCTA on a case-by-case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).

## Utility Relocations

The expenses associated with the relocation of utilities are eligible for RCP reimbursement only when all conditions listed below have been met:

- The relocation is made necessary due to conflict with proposed improvements.
- The facility to be relocated is within the project right-of-way.

- It has been determined that the local agency is legally liable for either a portion of or all of the relocation costs.

Liability can be determined by property rights, franchise rights/agreements, state and local statutes/ordinances, permits, a finding by the local agency's counsel, or other recorded legal document. Documentation providing proof of the local agency's liability for the costs of utility relocation must be submitted with an initial payment request (see Chapter 9). Utilities funded through enterprise funds shall not be eligible for reimbursement.

If a relocation is eligible to be reimbursed, and to be performed by the utility owner or by the utility owner's contractor, the work should be included in the ROW phase costs and clearly identified in the project application submittal. For eligible relocations to be performed during the construction phase by the local agency's contractor, the work should be included in the plans and specifications similar to other construction activities. Adjustment of existing utilities to grade (e.g. water valves, manhole frames and covers), due to new roadway cross sections are either eligible or ~~generally not~~ eligible in the construction phase subject to the limitations previously described (e.g. prior rights). New or relocated fire hydrants are ineligible.

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

## Selection Criteria

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

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts for the proposed segment for comparison purposes. The agency must submit the project's projected ADT, current ADT, the delta, and justification of the increase. Regarding "current" counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the preceding 36 months. Project applications without "current" counts will be deemed incomplete and non-responsive. Average ADT for the east and west legs of the intersection will be added to the average ADT for the north and south legs.

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

Current Project Readiness: This category is additive. Points are earned for each satisfied readiness stage at the time applications are submitted. Local agency should select the most current phase of the project.

- Environmental Approvals – applies where all environmental clearances have been obtained on the project.
- Preliminary design (35 percent (35%) level) – will require certification from the City Engineer and is subject to verification.
- Final Design (PS&E) – applies where the jurisdiction’s City Engineer or other authorized person has approved the final design.
- ROW (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication or orders of immediate possession have been received by the jurisdiction. Documentation of ROW possession will be required with application submittal.
- ROW (all easements and titles) – applies where no ROW is needed for the project or where all ROW has been acquired/dedicated.

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

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

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

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

Operational Attributes (within the roadway): This category is additive. Each category must be a new feature added as a part of the proposed project. Only one feature can be selected for any qualifying category. For example, installation of a bike lane that is identified in an adopted ATP plan can be awarded points under "Bike Lanes" or "Active Transportation Focused Plan Elements," but not both.

- Bike Lanes: Extension of bike lanes through intersection
- Bus Turnouts: Construction of a bus turnout as a new feature.
- Lowers density: Addition of through travel lanes.
- Channels traffic: Addition and/or extension of turn pockets (other than free right turn).
- Free right turn: installation of new free right or conversion of an existing right turn to free right
- Protected/permissive left turn: Convert from protected to protected/permissive
- Pedestrian Facilities: Placement of a new sidewalk if none currently exists.
- Grade separations: Street to street grade separations and do not apply to rail grade separation projects which are covered by the grade separation program category.
- Safety Improvements: Project features that increase the safety of pedestrians. These elements can include the new installation of: median barriers, curb extensions, residential traffic diverters, pedestrian crossing islands, pedestrian activated signals, crosswalk enhancements, safety signage, and the addition, modification, or improvement of existing pedestrian signals. Other elements of safety may be considered on a case by case basis.
- Elements of Approved Active Transportation Plan/Active Transportation Focused Sections of other Types of Mobility Plans: Incorporate project features that are approved in an active transportation plan or if very focused, in active transportation focused sections of other types of plans that improve mobility. These elements can include bike infrastructure and pedestrian elements. Other elements of an active transportation plan may be considered on a case by case basis. Documentation of approved plan will be required with application submittal and assignment of points for active transportation focused sections of other types of plans will be considered on a case by case basis.
- Sustainability Elements: Includes the use of multiple complete street elements, the installation of solar lighting within the roadway cross section, or water conservation elements that reduce water consumption, compared to current usage within project limits; such as the replacement of existing landscaping with hardscape and/or "California Native" drought tolerant type landscaping; the replacement of existing sprinklers with drip irrigation systems; the installation of new "grey" or recycled water systems where such does not currently exist. Other elements of sustainability may be considered on a case by case basis. Points are awarded at construction phase only.

LOS Improvement: This category is a product of the existing or projected LOS based upon v/c and LOS improvement "with project" using ICU calculation with 1,700 vehicles per lane per hour and a .05 clearance interval. Calculations will be based upon "current" arterial link and turning movement counts projected to opening year. **Projects must**

**meet a minimum existing or projected LOS of "D" (.81 v/c) to qualify for priority consideration for funding.** Existing LOS is determined using peak hour traffic counts/turning movements AM/PM peak periods for the proposed segment utilizing ICU methodology and using 1,700 vehicles per lane/per hour and a .05 clearance interval.

For projects where traffic volumes follow unconventional patterns (e.g. unidirectional congestion, large disparity between AM and PM peaks, etc.) HCM 2010 may be proposed as an alternate methodology for determining LOS. HCM calculations must use SYNCHRO and be supported with complete calculation documentation using standard industry approaches and current signal timing plans. If an alternative methodology is proposed, all analysis **must be submitted to OCTA for review no later than September 8, 2023** for the 2023 Call for Projects. OCTA will contract with an independent third-party firm to review the technical analysis. The cost for the review will be charged to the applicant.

Projects that do not meet the minimum LOS "D" can be submitted but are not guaranteed consideration as part of the competitive process.

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

## Application Process

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

### Complete application

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

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

## Minimum Eligibility Requirements

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

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

## Matching Funds

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

## Other Application Materials

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

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

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



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

## Reimbursements

This program is administered on a reimbursement basis for capital improvements, planning, design, and ROW acquisition. Reimbursements will be disbursed upon review and approval of an acceptable initial payment submittal, final report and consistency with Master Funding Agreement or cooperative agreement. The reimbursement process is more fully described in Chapter 9 of this manual.

## Project Cancellation

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

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

## Audits

All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall grant, and/or other sanctions to be determined. Audits shall be conducted by OCTA's Internal Audit department or other authorized agent either through the normal annual process or on a schedule to be determined by the Board (see Chapter 10).

Proceeds from the sale of excess ROW acquired with program funding must be paid back to the project fund as described in Chapter 9 and the Master Funding Agreement.

**Table 7-3  
Regional Capacity Program  
Intersection Improvement Selection Criteria**

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



## Table 7-4 Intersection Widening Point Breakdown

### ICE SCORING CRITERIA

#### Point Breakdown for Intersection Capacity Enhancement Projects Maximum Points = 100

Facility Usage <span style="float: right;">Points: 25</span>			Facility Importance <span style="float: right;">Points: 30</span>		
<b>ADT Range*</b>			<b>Transportation Significance Range</b>		
		Points			Points
60+	thousand	15	Principal or CMP Route		10
55 – 59	thousand	13	Major		8
50 – 54	thousand	11	Primary		6
45 – 49	thousand	9	Secondary		4
40 – 44	thousand	7	Collector		2
35 – 39	thousand	5			
30 – 34	thousand	3			
25 – 29	thousand	1			
*AVG ADT for east and west legs plus AVG ADT for north and south legs of intersection.			<b>Operational Attributes (within the roadway) <span style="float: right;">Max Points: 20</span></b>		
<b>Current Project Readiness <span style="float: right;">Max Points: 10</span></b>			Grade Separations		10
ROW (All Easement and Titles)		5	Bike Lanes		45
Final Design (PS&E)		4	Pedestrian Facilities (New)		45
Environmental Approvals		2	Bus Turnouts		4
Preliminary Design (35%)		2	Free Right		4
ROW (All Offers Issued)		2	Lowers Density		3
Points are additive. Design and ROW limited to highest qualifying designation.			Channels Traffic		3
			Protected/Permissive Left Turn		2
			Safety Improvements		23
			<u>Active Transportation Focused Plan Elements</u>		2
			Sustainability Elements		2
Economic Effectiveness <span style="float: right;">Points: 20</span>			Benefit <span style="float: right;">Points: 25</span>		
<b>Cost Benefit (Total \$/ADT) Range*</b>			<b>LOS Improvement <span style="float: right;">Max Points: 25</span></b>		
		Points	Calculation: LOS Imp x LOS Starting Point		
< 20		10	<b>Existing LOS (Peak Hour) Range</b>		
21 – 30		9			Points
31 – 50		7	1.01+		5
51 – 75		5	.96 – 1.00		4
76 – 100		3	.91 – .95		3
>100		1	.86 – .90		2
* = Total Cost/Average ADT			.81 – .85		1
Funding Over-Match (local match/project cost) minus minimum local match requirement.			<.81		0
<b>Range*</b>			<b>LOS Reduction w/ Project (existing Volume) Range</b>		
		Points			Points
25+%		5	.20+		5
20 – 24%		4	.16 – .20		4
15 – 19%		3	.10 – .15		3
10 – 14%		2	.05 – .09		2
05 – 09%		1	.01 – <del>05,04</del>		1
00 – 04%		0	<.01		0
<b>Coordination with Contiguous Project Range</b>					
		Points			
Yes		5			
No		0			
Coordination with ACE Project with similar implementation schedule.					

## Freeway Arterial/Streets Transitions (FAST)

### Overview

The MPAH serves as the backbone of Orange County's arterial street network. Current and future needs at existing interchanges along MPAH highways and freeways will need to be addressed in order to improve connectivity between freeways and MPAH arterials. The interchange improvement program complements roadway improvement initiatives underway as well, and supplements development mitigation opportunities.

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

### Objectives

- Improve transition to and from Orange County freeways with emphasis on MPAH performance
- Provide timely investment of M2 revenues

### Project Participation Categories

The FAST category provides capital improvement funding (including planning, design, ROW acquisition and construction) for interchange improvements on the MPAH network for the following:

- MPAH facility interchange connections to Orange County freeways (including on-ramp, off-ramp and arterial improvements)

### Eligible Activities

- Planning, environmental clearance
- Design
- ROW acquisition
- Construction (including ramps, intersection and structural improvements/reconstruction incidental to project)
- Signal equipment (as incidental component of the program)

### Potentially Eligible Items

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs.

**Application review and approval does not guarantee the eligibility of all items.**

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

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

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

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

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

Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). Rough grading can be considered eligible, so long as it supports MPAH improvement(s) within the ROW and does not supplant developer (or any other project obligations). Any proposed rough grading outside of the MPAH ROW, will be evaluated by OCTA on a case-by-case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).

## Utility Relocations

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

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

Liability can be determined by property rights, franchise rights/agreements, state and local statutes/ordinances, permits, a finding by the local agency's counsel, or other recorded legal document. Documentation providing proof of the local agency's liability for the costs of utility relocation must be submitted with an initial payment request (see Chapter 9). Utilities funded through enterprise funds shall not be eligible for reimbursement.

If a relocation is eligible to be reimbursed, and to be performed by the utility owner or by the utility owner's contractor, the work should be included in the ROW phase costs and clearly identified in the project application submittal. For eligible relocations to be performed during the construction phase by the local agency's contractor, the work should be included in the plans and specifications similar to other construction activities. Adjustment of existing utilities to grade (e.g. water valves, manhole frames and covers), due to new roadway cross sections are either eligible or generally not eligible in the construction phase subject to the limitations previously described (e.g. prior rights). New or relocated fire hydrants are ineligible.

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

## Ineligible Projects

- Seismic retrofit projects (unless combined with eligible capacity enhancements)

- Grading outside of the roadway ROW not related to a TCE or ROW agreement is generally assumed to be ineligible but can be evaluated by OCTA on a case by case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).
- Enhanced landscaping, aesthetics and gateway treatments (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape).

## Selection Criteria

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

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts and ramp volumes projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts for the proposed segment for comparison purposes. The agency must submit the project's projected ADT, current ADT, the delta, and justification of the increase. Regarding "current" counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the preceding 36 months. Project applications without "current" counts will be deemed incomplete and non-responsive. Average ramp intersection volume for each interchange ramp will be used for the current counts. New facilities will rely on projected ramp volume based upon Caltrans approved projection.

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

Current Project Readiness: This category is additive. Points are earned for each satisfied readiness stage at the time applications are submitted. Local agency should select the most current phase of the project.

- Environmental Approvals – applies where all environmental clearances have been obtained on the project.
- Preliminary design (35 percent (35%) level) – will require certification from the City Engineer and is subject to verification.
- Final Design (PS&E) – applies where the jurisdiction's City Engineer or other authorized person has approved the final design.
- ROW (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication or orders of immediate

possession have been received by the jurisdiction. Documentation of ROW possession will be required with application submittal.

- ROW (all easements and titles) – applies where no ROW is needed for the project or where all ROW has been acquired/dedicated.

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

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

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

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

**Operational Attributes (within the roadway):** This category is additive. Each category, except Active Transit Routes, must be a new feature added as a part of the proposed project. Only one feature can be selected for any qualifying category. For example, installation of a bike lane that is identified in an adopted ATP plan can be awarded points under "Bike Lanes" or "Active Transportation Focused Plan Elements," but not both.

- Eliminate left turn conflicts: Ramp intersection reconfiguration which does not permit left turns onto ramps.
- Coordinated signal: Ramp intersections within a coordinated corridor where coordination did not previously exist.
- Add turn lanes: Increase in number of turn lanes on arterial.
- Add traffic control: Signalization of ramp intersection.
- Enhanced ramp storage: Extension or widening of existing ramp to improve off-street storage capacity.
- Pedestrian facilities: Add crosswalk and/or sidewalk to ramp or bridge crossing within context of interchange improvements.
- Active Transit Route: facility contains a currently active OCTA transit route
- Safety Improvements: Project features that increase the safety of pedestrians. These elements can include the new installation of: intersection median barriers, curb extensions, pedestrian crossing islands, crosswalk enhancements, safety signage, and the addition, modification, or improvement of existing pedestrian signals. Other elements of safety may be considered on a case by case basis.



- Elements of Approved Active Transportation Plan/Active Transportation Focused Sections of other Types of Mobility Plans: Incorporate project features that are approved in an active transportation plan or if very focused, in active transportation focused sections of other types of plans that improve mobility. These elements can include bike infrastructure and pedestrian elements. Other elements of an active transportation plan may be considered on a case by case basis. Documentation of approved plan will be required with application submittal and assignment of points for active transportation focused sections of other types of plans will be considered on a case by case basis.
- Sustainability Elements: Includes the use of multiple complete street elements, the installation of solar lighting within the roadway cross section, or water conservation elements that reduce water consumption, compared to current usage within project limits; such as the replacement of existing landscaping with hardscape and/or "California Native" drought tolerant type landscaping; the replacement of existing sprinklers with drip irrigation systems; the installation of new "grey" or recycled water systems where such does not currently exist. Other elements of sustainability may be considered on a case by case basis. Points are awarded at construction phase only.

LOS Improvement: This category is a product of the existing or projected LOS based upon v/c and LOS improvement "with project" for arterial based improvements and ICU for intersection-based improvements. **Projects must meet a minimum existing or projected LOS of "D" (.81 v/c) to qualify for priority consideration for funding.** Existing LOS is determined using current 24-hour traffic counts for arterials and peak hour turning movements at intersections for the proposed segment. However, for projects where traffic volumes follow unconventional patterns (e.g. unidirectional congestion, large disparity between AM and PM peaks, etc.) alternate methodologies for determining LOS can be proposed. If HCM 2010 is proposed for intersections as an alternative methodology, all analysis **must be submitted to OCTA no later than September 8, 2022** and the cost for independent review shall be reimbursed by the applicant. Projects that do not meet the minimum LOS "D" can be submitted but are not guaranteed consideration as part of the competitive process.

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

Improvement Characteristics: Select the attribute that best fits your project definition.

- New facility: New interchange where none exists.
- Partial facility: New interchange which does not provide full access.

- Interchange reconstruction: improvement of existing interchange to provide additional arterial capacity (widening of overcrossing or undercrossing).
- Ramp reconfiguration: Widening of ramp or arterial to improve turning movements or other operational efficiencies.
- Ramp metering: Installation of metering on ramp.

## Application Process

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

### Complete application

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

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

## Minimum Eligibility Requirements

Projects must have an existing or projected LOS "D" (.81 v/c) or worse to qualify for priority consideration for funding in this program. Worst peak hour period is used for this evaluation and eligibility purposes.

## Matching Funds

Local agencies are required to provide local match funding for each phase of the project. As prescribed by the M2 Ordinance, a 50 percent (50%) minimum local match is required. A lower local match may be permitted if certain eligibility criteria are met. The amount pledged during the application process is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project. Actual project contributions by the local agency are dependent on final project costs and



may not be equal to the committed match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures do not contribute to the local match rate.

## Reimbursements

This program is administered on a reimbursement basis for capital improvements, planning, design, and ROW acquisition. Reimbursements will be disbursed upon review and approval of an acceptable initial payment submittal, final report and consistency with Master Funding Agreement. The reimbursement process is described in Chapter 9.

## Caltrans Coordination

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

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

**Agencies submitting projects for this program must have confirmation from Caltrans that the proposed improvement is consistent with other freeway improvements as evidenced by an agreement or other formal document.**

Applications should be submitted so that interchange projects are done in conjunction with construction of other freeway improvements whenever possible. However, if the interchange project can be done in advance of the freeway project, verification and/or supporting documentation must be submitted showing the interchange improvement has merit for advanced construction and that it will be compatible with the freeway design and operation. Additionally, the interchange improvements should take into account the ultimate freeway improvements if the interchange is to be improved in advance.

## Project Cancellation

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

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

## Audits

All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall grant, and/or other sanctions to be determined. Audits shall be conducted by OCTA's Internal Audit department or other authorized agent either through the normal annual process or on a schedule to be determined by the Board (see Chapter 10).

Proceeds from the sale of excess ROW acquired with program funding must be paid back to the project fund as described in Chapter 9 and Master Funding Agreement.

## Other Application Materials

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

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

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

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

**Table 7-5  
Freeway/Arterial Street Transitions  
Interchange Improvement Selection Criteria**

<b>Category</b>	<b>Points Possible</b>	<b>Percentage</b>
<b>Facility Usage</b>		<b>20%</b>
Existing ADT	10	10%
Current Project Readiness	10	10%
<b>Economic Effectiveness</b>		<b>25%</b>
Cost Benefit	10	10%
Matching Funds	10	10%
Coordination with Freeway Project	5	5%
<b>Facility Importance</b>		<b>25%</b>
Transportation Significance	10	10%
Operational Efficiencies	15	15%
<b>Benefit</b>		<b>30%</b>
Existing LOS	10	10%
LOS Reduction w/ Project	10	10%
Improvement Characteristics	10	10%
<b>Total</b>	<b>100</b>	<b>100%</b>

## Table 7-6 Interchange Improvement Point Breakdown

### FAST SCORING CRITERIA

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

Facility Usage <span style="float: right;">Points: 20</span>			Facility Importance <span style="float: right;">Points: 25</span>		
<b>ADT Range*</b>			<b>Transportation Significance Range</b>		
		Points			Points
55+	thousand	10	Principal or CMP Route		10
50 – 54	thousand	9	Major		8
45 – 49	thousand	8	Primary		6
40 – 44	thousand	6	Secondary		4
35 – 39	thousand	4	Collector		2
30 – 34	thousand	3			
25 – 29	thousand	2			
20 – 24	thousand	1			
<10 – 19	thousand	0			
*Arterial plus daily ramp exit volume			<b>Operational Attributes (within the roadway) <span style="float: right;">Max Points: 15</span></b>		
<b>Current Project Readiness <span style="float: right;">Max Points: 10</span></b>			Pedestrian Facilities (New) <span style="float: right;">34</span>		
ROW (All Easement and Titles)		6	Eliminate Left Turn Conflict		3
ROW (All Offers Issued)		4	Add Turn Lanes		3
Final Design (PS&E)		4	Enhanced Ramp Storage		3
PA/ED		2	Coordinated Signal		2
Project Study Report or Equiv.		1	Safety Improvements		23
			<b>Active Transportation Focused Plan Elements</b>		2
			Sustainability Elements		2
			Add Traffic Control		1
Points are additive. ROW is the highest qualifying designation.					
Economic Effectiveness <span style="float: right;">Points: 25</span>			Benefit <span style="float: right;">Points: 30</span>		
<b>Cost Benefit (Total \$/ADT) Range*</b>			<b>LOS Improvement <span style="float: right;">Max Points: 20</span></b>		
		Points	Calculation: Avg. LOS Imp + Avg. LOS Starting Point		
< 20		10	LOS Reduction w/ Project (existing Volume) Range		
20 – 39		8			Points
40 – 79		6	.20+		10
80 – 159		4	.16 – .19		8
160 – 319		2	.10 – .15		6
320 – 640		1	.05 – .09		4
>640		0	<.05		2
Funding Over-Match (local match/project cost) minus minimum local match requirement.			<b>Existing LOS Range</b>		
		Points			Points
30+%		10	1.06+		10
25 – 29%		8	1.01 – 1.05		8
20 – 24%		6	0.96 – 1.00		6
15 – 19%		4	0.91 – 0.95		4
10 – 14%		2	0.86 – 0.90		2
00 – 09%		1	0.81 – 0.85		1
Range refers to % points above agency minimum requirement			<b>Improvement Characteristics <span style="float: right;">Max Points: 10</span></b>		
Coordination with Freeway Mainline Improvements			<b>Improvement Characteristics</b>		
<b>Project Range</b>			<b>Points</b>		
Yes		5	New Facility (Full Interchange)		10
No		0	New Facility (Partial Interchange)		8
			Interchange Reconstruction		6
			Ramp Reconfiguration		4
			Ramp Metering		2

## Regional Grade Separation Program (RGSP)

### Background

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

Future calls for projects for grade separations are not anticipated.

## Chapter 8 – Regional Traffic Signal Synchronization Program (Project P)

### Overview

The RTSSP (Project P) includes competitive funding for the coordination of traffic signals across jurisdictional boundaries including project based operational and maintenance funding. OCTA will provide funding priority to programs and projects, which are multi-jurisdictional in nature.

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

- Regional signal synchronization network
- Priority corridors for accelerated signal synchronization
- Definition of Traffic Forums
- Model agreements presenting roles and responsibilities for Project P
- Signal synchronization regional assessment every three years
  - NOTE: For Call for Projects 2023, Priority Corridors are an eligible inclusion, but no additional points will be awarded. A Priority Corridor is on the Signal Synchronization Network.

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

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

- Funding guidelines for the competitive call for projects
- 2023 Call for Projects

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

## Objectives

- Synchronize traffic signals across jurisdictions
  - Monitor and regularly improve the synchronization.
  - Synchronize signals on a corridor, intersecting crossing arterial and/or route basis reflecting existing traffic patterns in contiguous zones or road segments that have common operations.

## 2023 Call for Projects

~~Contingent on OCTA Board approval, the 2022 Call for Projects (call) for the RCP (Project O) and Regional Traffic Signal Synchronization Program (Project P), will make approximately \$xx million in M2 funds available to support street and roads and signal synchronization improvements across Orange County. The target for this program is \$x million, but recommendations for Project P may be higher or lower depending on the projects submitted.~~

The following information provides an overview of the 2023 RTSSP (Project P) Call for Projects:

1. Projects must result in new, optimized, and field-implemented coordination timing.
2. Project shall be a single contiguous corridor or set of contiguous corridors related to each other. Multiple corridors and related systems of corridors that form a “grid” may be submitted as a single optimized timing project. However, the total number of corridors per project will be limited to three (3) and the total number of signalized intersections between these corridors are limited to fifty (50).
3. Projects selected will be programmed after July 1 of the programmed year (July 1 – June 30).
4. Project delays resulting in a time extension request will fall within the process outlined in the CTFP Guidelines.
5. Projects are funded for a grant period of three (3) years and are divided into two phases:
  - a. Primary Implementation (PI) – includes the required implementation of optimized signal timing as well as any signal improvements proposed as part of a project. A report is required at the conclusion of this phase to document work completed during the PI phase. This PI Report shall be submitted with the final report.
  - b. Ongoing Operations and Maintenance (O&M) – includes the required monitoring and improving optimized signal timing in addition to any optional communications and/or detection support. O&M will begin after the optimized signal timing is implemented and be required for the remainder of the project (typically 2 Years). A O&M Report is required at the conclusion of this phase to document work completed during the O&M phase and shall be submitted with the final report.

6. Projects shall include a Before and After Study. This study shall collect morning, mid-day, and evening peak periods using travel times, average speeds, green lights to red lights, stops per mile, and the derived corridor synchronization performance index (CSPI) metric. This information shall be collected both before and after signal timing changes have been implemented and approved by all agencies. The study shall compare the information collected both before and after the timing changes. Comparisons should identify the absolute and percent differences for the entire corridor, by segment, direction, and time period. Segments will be defined by major traffic movements as observed during the project (e.g. commuting segments between freeways, pedestrian-friendly segments in a downtown area, etc.). The Before and After study shall also include field inventory, count data, modeling data, and Greenhouse Gas calculations. The Before and After Study shall be submitted as part of the PI Report.
7. Any corridor or portion of a corridor funded through this call cannot re-apply for funding until the three-year grant period ~~is completed or commitment to operate signal synchronization beyond the three-year grant period is completed, whichever ends later~~ and a final report has been submitted to OCTA.
8. This chapter identifies the selection criteria for projects, eligible activities, minimum project requirements, data compatibility required as part of any funded project, and other key information.

Additional details of the specific program's intent, eligible project expenditures, ineligible project expenditures, and additional information that may be needed when applying for funds are included in this chapter. Each section should be read thoroughly before applying for funding. Applications should be prepared for the program that best fits the proposed project.

For specifics on the funding policies that apply to this call, refer to the Program Precepts as found in Section IV of these guidelines.

## Applications

In order for OCTA to consider a project for funding, applications will be prepared by the local agency responsible for the project application. OCTA shall require agencies to submit applications for the call for projects by **5:00 p.m. on Thursday, October 20, 2022**. Late and/or incomplete submittals will not be reviewed or considered. The local agency responsible for the project application must submit the application and any supporting documentation via OCFundtracker as outlined below.

A separate application package must be completed for each individual project and uploaded to OCFundtracker. ~~Three~~ **One (1) unbound printed hardcopy and one electronic copy on a USB, thumb drive, memory stick, or via electronic file upload and/or email** of each complete application shall also be mailed or delivered to:



Orange County Transportation Authority  
550 South Main Street  
P.O. Box 14184  
Orange, California 92863-1584  
Attn: ~~Joseph Alcock~~ Adrian Salazar  
Email: [-asalazar@octa.net](mailto:-asalazar@octa.net)

## Application Process

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

- Funding needs by phase and fiscal year
- Percent match rate including funds type, source, and description (minimum 20 percent (20%))
- Lead agency (default – local agency)
- Lead and supporting agencies' contact information
- Supporting technical information
- Project development and implementation schedule
- Environmental clearances and other permits
- Any additional information deemed relevant by the applicant
- Complete photographic field review (including cabinet interiors and communication facilities) for all projects that exceed one million dollars in capital improvements. Original photos shall be uploaded to OCFundtracker or included with electronic copy of application.

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

An application should be submitted for a single corridor or route corridor project. Multiple corridors that form a "grid" may be submitted as separate or single project(s). However, the total number of corridors per route or grid corridor projects will be limited to three (3) and the total number of intersections between these corridors are limited to fifty (50). A single corridor project not proposed as a connected route or grid project may be submitted and is not subject to the 50-intersection limit. The following instructions should be used in developing project applications.

Applications will be reviewed by OCTA for consistency, accuracy, and concurrence. Once applications have been completed in accordance with the Program requirements, the

projects will be scored, ranked, and submitted to the TSC, TAC, and the Board for consideration and funding approval. OCTA reserves the right to evaluate submitted project costs for reasonableness as part of the review and selection process and suggest potential revisions to make the cost more appropriate. Grants will be subject to funding agreements with OCTA.

## Other Application Materials

Supporting documentation is required to fully consider each project application. A Supplemental Application (available on the OCTA website and OCFundtracker) is required to be completed for each project application and included in the electronic submittal. **Any Supplemental Application not submitted in the 2023 format will NOT be considered.** The template is distributed with other application materials at the issuance of the Call for Projects. In addition to the funding plan described above, local agencies will be required to submit additional materials.

Lead Agency: Eligible jurisdictions consistent with Measure M2 ordinance definitions and requirements.

Participating Agencies: All participating agencies must be identified and adopted City Council resolutions or Minute Order actions authorizing the participating agency's support of the project under the lead agency must be included. If the application claims Caltrans as a participant, then it shall contain a letter of support from Caltrans for the specific project and letters of support from all applicable agencies pledging to sign a cooperative agreement with Caltrans at the start of the project. The lead agency shall also pledge this commitment in the cover letter of the application. The required Caltrans fee will be a line item in the improvements list. The applicable agencies will be required to cover the required 20% match for the Caltrans line items. All agencies that have a Caltrans intersection/ramp in their jurisdiction are required to sign a cooperative agreement with Caltrans in order for the entire project to claim Caltrans as a participant.

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

## Lead Agency

This Program is administered through a single lead agency: See Lead Agency definition above.

Local Agency Lead: Only the lead agency will receive payments in accordance with the CTFP Guidelines regarding payment for costs related to project for optimized signal timing development, capital improvements, planning, and related design. Payments will be disbursed consistent with Chapter 9. The lead agency is responsible for reimbursing other agencies as part of the effort. Additionally, the lead agency is also responsible for ensuring that all agencies participating in the project provide the local match proposed in the project application.

OCTA Lead (~~NOT AVAILABLE FOR 2023 CALL FOR PROJECTS~~): OCTA may, at the request of the involved local agencies, act as the lead agency for RTSSP projects. If the involved local agencies would like OCTA to implement a project on the signal synchronization network, the local agency shall work cooperatively with OCTA to develop the scope of work and cost elements of the project. For example, accounting for OCTA's administrative and project management efforts by incorporating an additional 10 percent of the total project cost when calculating the Cost Benefit of the project. The lead local agency shall contact OCTA with **a written request at least four weeks prior to deadline for submittal of the project grant application**. Applications must be prepared by a designated local agency acting in a lead capacity during grant preparation. Applications must include a complete photographic field review (as outlined above) when submitted. The application will be scored using the criteria outlined in the following sections. Based on local agency interest and OCTA resource availability, a limited number of projects can be developed and implemented by OCTA.

If any projects that are designated as OCTA led are awarded funding, OCTA will then be responsible for implementation of the project, including optimized signal timing development, capital improvements, planning, and related design. OCTA will implement the project based on the cost estimates developed in the application. Project elements may be modified based on final costs with the agreement of all participating agencies. OCTA will be responsible for ensuring that all agencies participating in the project provide the local match as identified in the project application (minimum 20 percent (20%)).

## OCFundtracker Application Components

Final applications MUST be submitted via OCFundtracker and in hard copy format. Selection criteria must be inputted as part of the OCFundtracker online application and includes the following categories of information:

Transportation Significance, Cost Benefit, Project Characteristics, ~~Maintenance of Effort~~, Project Scale, ~~Project Scale~~, Number of Local Agencies, Current Project Status, and Funding Match Rate.

## Application Review and Program Adoption

OCTA staff will conduct a preliminary review of all applications for completeness and accuracy, may request supplemental information for projects during initial staff evaluations, and prepare a recommended program of projects for the TSC. In addition, OCTA may hire a consultant(s) to verify information within individual applications including, but not limited to, project scope, cost estimates, vehicle miles traveled, and average daily traffic.

Final programming recommendations will be provided to the TSC and TAC for approval. Recommendations will be presented to the Board, who will approve projects for funding under the CTFP.

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

Board authorization to issue call: August 8, 2022

Application submittal deadline: October 20, 2022

TSC/TAC Review: February/March 2023

Committee/Board approval: April/May 2023

## Checklist Guide

The "Project P Regional Traffic Signal Synchronization Program Application Checklist" has been provided for the RTSSP (Exhibit 8-1). The checklist identifies the basic documentation required for the program. In addition to items required at the time of project submittal, additional items that are not specified may be requested later. The checklist should be provided as a table of contents for **each** application submitted. For any items that are required for the candidate project or program that are missing or incomplete, an explanation should be included in a cover letter with the application.

## Sample Resolution Form

A resolution or minute action must be approved by the local agency's governing body. A sample resolution is included as Exhibit 8-2. Local agencies, at a minimum, must include items a-h from the sample resolution. The mechanism selected shall serve as a formal request for RTSSP funds and will state that matching funds will be provided by the agency, if necessary. All project requests (i.e., multiple corridors proposed for RTSSP funds) must be included in this action.

## Project Definition

Local agencies are required to submit complete projects that, at minimum, result in field-implemented coordinated timing. Project tasks that are eligible for funding can consist of

design, engineering, construction, and construction management. Partial projects that include design improvements, but do not field implement the improvements are ineligible.

Projects must consist of a corridor along the priority corridor network, signal synchronization network, or the MPAH. Projects previously awarded RTSSP funding must be complete with a Final Report submitted to OCTA. Projects can be the full length of the corridor or a segment that complies with the project requirements identified later in the chapter.

Applicant agency and owning agency must demonstrate through simulation, or actual vehicle counts showing Origin – Destination that proposed linked corridors do form a route. A “grid” project shall consist of one main corridor that is specifically identified in the application with a maximum of two crossing corridors to make a grid. Grid projects shall also be multijurisdictional with a minimum of two local agencies, excluding Caltrans. For a grid project, applicant agency and owning agency must demonstrate through simulation or actual vehicle counts the following:

- Show that timing changes on the main corridor will greatly impact the crossing corridor(s)
- Crossing corridors shall have closely spaced signals in close proximity to the main corridor with timing changes along these crossings impacting the operation of the main corridor

All corridors in the grid shall individually meet the Minimum Eligibility Requirements and, as part of the project, travel time studies shall also be collected along all corridors making the grid.

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

## Eligible Activities

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

- Developing and implementing new signal synchronization timing parameters based on current travel patterns, and federal and state traffic signal timing mandates and guidance, including but not limited to the Manual on Uniform Traffic Control Devices (MUTCD)
- Monitor, maintain (minimum quarterly/maximum monthly) and/or regularly improve the newly implemented signal synchronization timing and parameters for the remainder of the project

- “Before” and “after” studies for the project comparing travel times, average speeds, ratio of green lights passed to red lights stopped (greens per red), average stops per mile, and emissions of greenhouse gases

In addition to developing optimized signal timing, a project may include other improvements, as long as they contribute to the goal of multi-agency signal synchronization of corridors throughout Orange County. These improvements are restricted to the signal synchronization project limits but may include synchronization with traffic signalized intersections within 2,700 feet from either direction of the project corridor. These offset signals; however, will not be counted towards the total number of signals on the project (for implementation of timing plans only). All improvements must be designed to enhance the specific project. Expenditures related to the design of systems, permitting, and environmental clearance are eligible for funding.

Caltrans encroachment permits and agency to Caltrans Cooperative Agreement fees are eligible activities. This includes Caltrans labor, such as expenses for reviewing signal timing plans, providing signal timing parameters, and providing existing timing sheets, etc. Applicant must specify how to handle Caltrans intersections on projects.

## Ineligible Expenditures

- Isolated traffic signal improvements
- Traffic hardware (pole, mast arms, lights, electrical, signs, etc.)
- Regular signal operation and maintenance (such as replacement of light bulbs or communication repairs)
- Field display equipment (Traffic signal heads other than pedestrian countdown, or special bicycle, or Transit Vehicle signal heads)
- Feasibility studies
- Relocation of utilities except for electrical service requirements
- Right-of-way
- Rewiring of complete intersection because of age or isolated mitigation

## Funding Estimates

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

The RTSSP targets over 2,000 intersections across Orange County for coordinated operations. Because of the limited amount of funds available for the RTSSP, project cap of \$75,000 per signal or \$250,000 per project corridor mile included as part of each



project (whichever is higher) has been established for this call for projects. Note that any offset signals will not be counted towards the total number of signals on the project.

## Selection Criteria

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

Transportation Significance: Points are awarded for projects that include offset signals along the project corridor, route, or grid. These offset signals do not count towards the project cap; however, are in relatively close proximity to affect the operation of the corridor(s). The applicant shall identify the number of offset signals on the corridor and the percentage of those offset signals that will be included in the project.

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

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

VMT should be calculated by the smallest segmentation on which the city typically collects ADT data. ADT must be based upon actual count information taken within 36 months preceding the application date and include 24-hour, midweek, bi-directional counts for each segment. All supporting data shall be organized in order in which they appear for the calculation of the VMT. Data from the OCTA Traffic Flow Map may not be used. Furthermore, outdated and/or non-compliant counts may result in project ineligibility. (maximum: ~~2530~~ points).

Cost Benefit: Total project cost divided by Existing VMT. If the applicant is electing OCTA to be the lead agency, the total project cost in this calculation must also include an additional 10% of the total project for OCTA administrative and project management efforts. This additional 10% is used to determine the project effectiveness only and is not counted towards the overall project budget cap. (maximum: 10 points).

Project Characteristics: Points are awarded based on the project's average improvement score. Eligible improvements for each intersection are assigned an improvement score based on factors, such as priority for overall signal operations and existing conditions. Intersection improvement scores are then averaged together, and the average project score is used in the point breakdown table in the Project Characteristics. For instance, a maximum ~~points score of 50 is~~are awarded to projects that are timing only without any capital improvements or points average scores accumulate if a signal synchronization

project is combined with eligible improvements. The following improvements and requirements only apply to signalized intersections that are part of the application.



<b>Eligible Improvements</b>		<b>Score Based on Status</b>	
<b>Signal Timing (No Capital)</b>		<b>Online</b>	<b>Offline</b>
Timing Only		50	30
Timing + Traffic Responsive (license only)		50	15
Timing + Peer-to-Peer (configuration only)		50	40
Timing + Traffic Adaptive (license only)		40	1
<b>Signal Communication</b>		<b>No Time Source</b>	<b>Time Source</b>
Above ground (e.g. wireless, cellular, etc.)		50	30
Fiber Optic underground		25	15
All other (e.g. copper, aerial fiber, GPS, etc.)		5	1
<b>Field Elements</b>		<b>None/5+ Years</b>	<b>Within 5 years</b>
ATC signal controller		50	10
Signal cabinet on existing foundation		30	10
Signal cabinet on new foundation		15	5
BBS/USP (attached)		20	10
BBS/UPS on existing foundation		10	5
BBS/UPS on new foundation		5	1
CCTV		30	10
Vehicle detection (ATSPM inputs + counts)		50	30
Vehicle detection (ATSPM inputs)		40	20
Vehicle detection + bicycle detection		30	15
Vehicle detection		30	15
Bicycle detection		30	15
Pedestrian detection (audible)		50	30
Pedestrian detection		30	15
Active transportation/pedestrian safety		50	30
Transit Signal Priority		30	10
EVP (hybrid or GPS)		40	10
EVP (infrared)		30	10
Speed feedback signs (existing post)		40	10
Speed feedback signs (new post)		20	10
Corridor Performance Monitoring		40	10
<b>Minor Signal Operational Improvements</b>		<b>None/5+ Years</b>	<b>Within 5 years</b>
Channelization		40	20
Signal phasing improvement		50	25
<b>TMC/TOC</b>		<b>None/10+ Years</b>	<b>Within 10 years</b>
Central System (server, licenses, workstations)		40	20

<u>Eligible Improvements</u>		<u>Score Based on Status</u>	
	<u>Display (video wall, VMS, etc.)</u>	<u>30</u>	<u>10</u>
	<u>UPS</u>	<u>20</u>	<u>5</u>
<u>Caltrans</u>		<u>Participation</u>	<u>No Participation</u>
	<u>Cooperative Agreement</u>	<u>50</u>	<u>25</u>

Signal Timing (No Capital). Improvements in this category can only be selected if the entire project is a timing only project without any field improvements.

Scores for this improvement category Real-time traffic actuated operations and demonstration projects can be claimed for any one of the following (4 points) depending on the status of the signal, whether is it online (connected to a central system and active) or offline (either connected and not active or not connected to a central system):

- Traffic Responsive only if all signals, in at least one agency on the project, are included in the system.
- Peer-to-Peer program on traffic control devices that have existing connectivity.
- Adaptive traffic signal systems only if all signals, in at least one agency on the project, are included in the system.
- ~~Bluetooth and/or connected vehicle roadside units for at least three (3) signals on the project. If implemented, these items will require a data sharing agreement with OCTA.~~

Signal Communication. Scores for this improvement category varies depending on the type of improvement coupled with the existing status of the signal, whether there is an existing reliable time source (e.g. GPS, master controller, direct connection to central system, etc.) that will keep the signal in synchronization along the corridor:

- Above ground communication installations, such as wireless radios and cellular devices, that are quick to build is the preferred medium to ensure all signals are online and operating. This should not include any construction between signalized intersections.
- New or upgraded fiber optic communication systems (2 points)
  - New contemporary communication system improvements (e.g. Ethernet) including all conduits, pull boxes, fiber optic and/or copper cabling (not to exceed 120 strands), network switches and distribution systems. These systems should be sufficiently sized for the needs/capacity of the Intelligent Transportation System (ITS) network. Excess capacity is deemed non-participating and also, cannot be used as part of the required project match.
  - ~~Replacement fiber optic or copper cabling for network communication. Fiber optic is the preferred medium and includes pull boxes, network switches, and distribution systems.~~
  - Software and hardware for system traffic control.

- Control and monitoring interconnect conduit (including upgrades or replacement of existing systems).
- Communication closure systems of conduit, cable, and associated equipment that are outside of project limits but complete a designated communications link to an existing network for the Advanced Transportation Management System (ATMS) for an agency or agencies. Only communication links that are installed from a central location and/or communications hub to the project corridor that does not currently have a fiber connection to a central location are eligible.
- All other communication mediums, such as GPS clocks, copper twisted pair or aerial interconnect between signalized intersections, are eligible to ensure signals are online and in operation but are not encouraged.

Field Elements. This improvement category is focused on the field equipment/devices that will ensure the signals are enhanced to support advanced signal operations. Scores for this improvement category will vary depending on the existing lifespan of equipment/devices being upgraded. It is the applicant agency's responsibility to ensure the appropriate score is assigned and OCTA may request for supporting documentation.

- Traffic signal controller replacement of antiquated units with Advanced Transportation controller (ATC) units. ATC shall comply with latest industry standards.
- Controller cabinet (assemblies) replacements that can be shown to enhance signal synchronization.
- Traffic signal Battery Backup System (BBS) or Uninterruptible Power Supply (UPS) that includes cabinet, batteries, and necessary configurations.
- Closed Circuit Television (CCTV). Intelligent cameras that include analytics, such as automated continuous counts are the preferred solution. If implemented, these cameras may require a data sharing agreement with OCTA in the future.
- Vehicle Detection System (VDS)
  - The ideal implementation for signal operations is a detection system that will increase the number of inputs, including separate bicycle and pedestrian detection inputs, into the signal controller for the purpose of signal performance measures, such as Automated Traffic Signal Performance Measures (ATSPM). Additionally, inputs that are specifically set for capture turning movement counts at the intersection.
  - Inductive loops, video detection, radar, sonar, thermal, hybrids thereof, and other types of vehicle detection systems that can distinguish bicycles. This includes implementing a separate bicycle minimum and/or clearance parameter in the traffic signal controller.

- Installation of new and/or improved traffic control devices to improve the accessibility, mobility, and safety of the facility for pedestrians and bicyclists. Americans with Disabilities Act (ADA) compliant pedestrian signals include, but not limited to, tactile and audible buttons in countdown signal heads.
- Active Transportation/Pedestrian Safety related elements
  - High-Intensity Activated crosswalk signaling systems (HAWK) Pedestrian detection modules Bicycle detection modules.
  - Rectangular Rapid Flashing Beacon Systems (RRFB) including striping, legends, and signage.
- Transit Signal Priority (TSP) intersection control equipment only.
- Emergency Vehicle Preempt (EVP) intersection control equipment only.
- Corridor Performance Monitoring implementations, such as Bluetooth and/or connected vehicle roadside units for signals on the project. If implemented, these items will require a data sharing agreement with OCTA.
- ~~Automated Traffic Signal Performance Measures (ATSPM) system can only be claimed (4 points) if all signals, in at least one agency on the project, are included in the system, which will also be used during the O&M phase of the project. If implemented, these items will require a data sharing agreement with OCTA.~~
- ~~Intelligent cameras that include analytics, such as automated continuous counts and other metrics can only be claimed (3 points) if a minimum of three (3) implementations are included on the project. Furthermore, confirmation that an analytics module or camera with built-in analytics will be purchased for this category to receive points. If implemented, these cameras will require a data sharing agreement with OCTA.~~
- ~~Detection system that will increase the number of inputs into the signal controller for the purpose of signal performance measures (e.g. ATSPM) and traffic counts can only be claimed (3 points) if a minimum of three (3) implementations are included on the project.~~
- ~~Installation of new and/or improved traffic control devices to improve the accessibility, mobility, and safety of the facility for pedestrians and bicyclists can be claimed (3 points) if a minimum of three (3) implementations are included on the project. This can include:~~
  - ~~Inductive loops, video detection, radar, sonar, thermal, hybrids thereof, and other types of detection systems that can distinguish bicycles. This includes implementing a separate bicycle minimum and/or clearance parameter in the traffic signal controller.~~
  - ~~ADA compliant Pedestrian Signals including, but not limited to, tactile and audible buttons in countdown signal heads.~~
    - ~~New or upgraded communication systems (2 points)~~

- ~~New contemporary communication system improvements (e.g. Ethernet) including all conduits, pull boxes, fiber optic and/or copper cabling (not to exceed 120 strands), network switches and distribution systems. These systems should be sufficiently sized for the needs/capacity of the Intelligent Transportation System (ITS) network. Excess capacity is deemed non-participating and also, cannot be used as part of the required project match.~~
  - ~~Replacement fiber optic or copper cabling for network communication. Fiber optic is the preferred medium and includes pull boxes, network switches, and distribution systems.~~
  - ~~Software and hardware for system traffic control~~
  - ~~Control and monitoring interconnect conduit (including upgrades or replacement of existing systems).~~
  - ~~Communication closure systems of conduit, cable, and associated equipment that are outside of project limits but complete a designated communications link to an existing network for the Advanced Transportation Management System (ATMS) for an agency or agencies. Only communication links that are installed from a central location and/or communications hub to the project corridor that does not currently have a fiber connection to a central location are eligible.~~
    - ~~Intersection/field system modernization and replacement (2 points)~~
  - ~~Traffic signal controller replacement of antiquated units with Advanced Transportation controller (ATC) units. ATC shall comply with latest industry standards.~~
  - ~~Controller cabinet (assemblies) replacements that can be shown to enhance signal synchronization.~~
  - ~~Closed Circuit Television (CCTV).~~
  - ~~Uninterruptible Power Supply (UPS) for ATMS and intersection field equipment. For ATMS, UPS shall solely provide electrical power for ATMS Server(s), one dedicated workstation (console terminal) and related communications devices. UPS for ATMS is not intended to provide power to entire TMC and approval of request for UPS is at the sole discretion of OCTA.~~
  - ~~Active Transportation/Pedestrian Safety related elements~~
    - ~~High Intensity Activated crosswalk signaling systems (HAWK) Pedestrian detection modules Bicycle detection modules.~~
    - ~~Rectangular Rapid Flashing Beacon Systems (RRFB) including striping, legends, and signage.~~
- Minor Signal Operational Improvements. Scores for this improvement category will vary depending on the existing lifespan. It is the applicant agency's responsibility to ensure the appropriate score is assigned and OCTA may request for supporting documentation. (2 points)
- ~~Emergency Vehicle Preempt (EVP) intersection control equipment only~~

- ~~Transit Signal Priority (TSP) intersection control equipment only~~
- Channelization (signing, striping, raised pavement markers, in lane flashing guidance or warning marking systems, and legends) improvements required for traffic signal phasing.
- Traffic signal phasing improvements that will improve traffic flow and system performance including protected permissive left turn phasing and shared pedestrian phasing, excluding display equipment and other ineligible activities as mentioned in these guidelines.

Traffic Management Center (TMC)/Traffic Operations Centers (TOC). Scores for this improvement category will vary depending on the existing lifespan of equipment or software being upgraded. It is the applicant agency's responsibility to ensure the appropriate score is assigned and OCTA may request for supporting documentation. and motorist information (1 point)

- Central system
  - New TMCs or TOCs, such as a new Advanced Traffic Management System (ATMS), (any project funded under this category should plan for center-to-center communication (C2C) with nearby agencies and/or OCTA).
  - Upgrades to existing TMCs or TOCs (any project funded under this category should plan for C2C with nearby agencies and/or OCTA).
  - Motorist information systems (up to 10 percent (10%) of total project costs for PI phase only).
  - Automated Traffic Signal Performance Measures (ATSPM) system can only be implemented if all signals, in at least one agency on the project, are included in the system, which will also be used during the O&M phase of the project. If implemented, these items will require a data sharing agreement with OCTA.
- Video display equipment, including wall monitors, screens, mounting cabinets, and optical engines (up to 10 percent (10%) of total construction costs for PI phase only).
- Uninterruptible Power Supply (UPS) for ATMS shall solely provide electrical power for ATMS Server(s), one dedicated workstation (console terminal) and related communications devices. UPS for ATMS is not intended to provide power to entire TMC and approval of request for UPS is at the sole discretion of OCTA.

Caltrans. Scores for this category will depend on the commitment of a cooperative agreement with Caltrans that results in active Caltrans participation and inclusion of Caltrans as a partnering agency. The associated timing fee is an eligible expense. Note that if a cooperative agreement with Caltrans will not be executed, the participating agencies will still be responsible for modeling any Caltrans signalized intersections within the project limits.



Each project intersection that has proposed improvements will receive an average score per the specific improvements noted above and the project's score will be an average of all intersection averages

~~Note: that only one feature can be selected for any qualifying improvement; for example, an implementation of a new video detection system that can distinguish bicycles can be selected for points under the "Separate Bicycle/ADA Pedestrian Detection" or "New/Upgraded Detection", but not both. (maximum: 20 points).~~

~~Maintenance of Effort: Points are earned for a commitment to operate the project signal synchronization timing for a defined period of time beyond the three-year grant period. Note that the project will not be eligible for funding until after the completion of all maintenance commitments. (maximum: 5 points)~~

Project Scale: Points are earned for including more intersections along signal synchronization network. For a grid, the number of signals and percent of signals being retimed will only be calculated for the corridor that is designated as the Main Corridor (maximum: 20 points).

Note: Due to the length of Pacific Coast Highway (PCH) and the fact that broad portions of it are a Caltrans' owned facility, for CTFP project scoring purposes only, the "Percent of Main Corridor Being Retimed" scoring criteria (identified in Table 8-1) can be divided into the four following segments.

1. San Gabriel River (Los Angeles County Line) to North of Goldenwest Street
2. Goldenwest Street to School/State Park
3. South of School State Park to Doheny Park Road
4. South of Doheny Park Road to County Line

If an application is proposed to span two or more segments of PCH the "Percent of Main Corridor Being Retimed" calculation will be based upon the number of signals in the project application divided by total number of signals in the applicable segments.

Number of Local Agencies: Points are earned for including multiple local agencies as part of the project. (maximum: 10 points).

Current Project Status: Points are earned based on the current status of the project development. Points for re-timing of a corridor can be claimed only if at least 75% of the previous project (RTSSP or Measure M Signal Improvement Program) is part of the new application OR at least 75% of the corridor (on MPAH) has never been funded. Points can also be claimed for applicants who provide evidence that they can complete primary implementation within twelve months. Agencies that receive points for this category **cannot request delays or time extensions throughout the life of the project.**

Note: Applications that designate OCTA as the lead agency are not eligible to claim implementation within 12 months (maximum ~~for category~~: 10 points).

Funding Rate: The percentages shown in Table 8-1 apply to overall match rates. M2 requires a 20 percent (20%) local match for RTSSP projects. Project match rates above 20 percent (20%) are limited to dollar match only. (maximum: 5 points).



## Table 8-1 Point Breakdown

### RTSSP SCORING CRITERIA Point Breakdown for Regional Traffic Signal Synchronization Program Projects Maximum Points = 100

<p><b>Transportation Significance</b> <b>Points:</b> <del>30</del><b>25</b></p> <table border="1"> <thead> <tr> <th>Inclusion of offset signals within 2700'</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>90% or above</td> <td>10</td> </tr> <tr> <td>50 – 89%</td> <td>5</td> </tr> <tr> <td>&lt; 50%</td> <td>0</td> </tr> </tbody> </table> <p style="text-align: center;"><b>AND</b></p> <p>Vehicle Miles Traveled (VMT)</p> <table border="1"> <thead> <tr> <th>Range</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>250+ thousand</td> <td><del>20</del> <b>15</b></td> </tr> <tr> <td>200 - 249 thousand</td> <td><del>15</del> <b>10</b></td> </tr> <tr> <td>150 - 199 thousand</td> <td><del>10</del> <b>6</b></td> </tr> <tr> <td>100 - 149 thousand</td> <td><del>6</del> <b>3</b></td> </tr> <tr> <td>50 - 99 thousand</td> <td><del>3</del> <b>1</b></td> </tr> <tr> <td><del>0 - 49 thousand</del></td> <td><del>1</del></td> </tr> </tbody> </table> <p>Calculation: ADT x segment length (Applies only to coordinated segments of project)</p>	Inclusion of offset signals within 2700'	Points	90% or above	10	50 – 89%	5	< 50%	0	Range	Points	250+ thousand	<del>20</del> <b>15</b>	200 - 249 thousand	<del>15</del> <b>10</b>	150 - 199 thousand	<del>10</del> <b>6</b>	100 - 149 thousand	<del>6</del> <b>3</b>	50 - 99 thousand	<del>3</del> <b>1</b>	<del>0 - 49 thousand</del>	<del>1</del>	<p><b>Project Scale</b> <b>Points: 20</b></p> <p>Number of Signals on Main Corridor Coordinated by Project</p> <table border="1"> <thead> <tr> <th>Range</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>50+</td> <td>10</td> </tr> <tr> <td>40 - 49</td> <td>8</td> </tr> <tr> <td>30 - 39</td> <td>6</td> </tr> <tr> <td>20 - 29</td> <td>4</td> </tr> <tr> <td>10 - 19</td> <td>2</td> </tr> <tr> <td>&lt; 10</td> <td>0</td> </tr> </tbody> </table> <p style="text-align: center;"><b>AND</b></p> <p>Percent of Main Corridor Signals Being Retimed</p> <table border="1"> <thead> <tr> <th>Range</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>90% or above</td> <td>10</td> </tr> <tr> <td>80 - 89%</td> <td>8</td> </tr> <tr> <td>70 - 79%</td> <td>6</td> </tr> <tr> <td>60 - 69%</td> <td>4</td> </tr> <tr> <td>50 - 59%</td> <td>2</td> </tr> <tr> <td>&lt; 50%</td> <td>0</td> </tr> </tbody> </table> <p>Calculation: Number of signals in project divided by total signals in full corridor length.</p>	Range	Points	50+	10	40 - 49	8	30 - 39	6	20 - 29	4	10 - 19	2	< 10	0	Range	Points	90% or above	10	80 - 89%	8	70 - 79%	6	60 - 69%	4	50 - 59%	2	< 50%	0
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## Minimum Eligibility Requirements

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

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

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

or

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

or

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

or

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

## Matching Funds

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

“In-kind match” is defined as those actions that local agencies will do in support of the project including staffing commitment and/or new signal system investment related to improved signal synchronization. Examples of staffing commitment include, but are not limited to, implementation of intersection or system timing parameters, review of timing documentation, meeting participation, conducting or assisting in before/after studies, and other similar efforts that directly enhance the signal synchronization project. Project

match beyond 20 percent (20%) is limited to cash match only. Please note, overmatch is subject to the same audit and requirements as in-kind match.

Administrative staff time for documentation of in-kind services is ineligible. Staff time charged to a project is limited to the caps as described in these guidelines. Allowable signal system investment would be improvements that are “eligible activities” per the funding guidelines, which can be shown to improve signal synchronization and would not include any prior investments made by the agency. For OCTA-led projects, match for equipment shall be in cash except when an agency elects to purchase equipment per the application.

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

- Staffing commitment
  - Staff position
  - Number of hours
  - Hourly (fully burdened) rate
  - Total cost
- New signal system investment (limited to eligible activities)
  - Cost of any signal system investment
  - Benefit to project

O&M activities will be permitted in-kind match only for local agency oversight functions. Contract activities will require cash match. Local agency contributions identified as cash match in the application cannot be converted into in-kind match.

OCTA staff will review in detail the presented cash and in-kind match by local agency for reasonableness.

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

- Primary Implementation (PI) (12 months)
  - Project Administration - Each local agency traffic engineer or equivalent participates in approximately 10-15 hours per month of project administration (meetings, review of reports, minutes, and other administration).

- Signal Synchronization Timing - Each local agency traffic engineer or equivalent reviews consultant developed draft and final timing plans for intersections within the local agency, approximately 2-4 hours per local agency intersection.
- Before and After Study - Each local agency traffic engineer or equivalent reviews consultant developed draft and final project Before and After Study, approximately 2-5 hours per local agency.
- Engineering design/review - Each local agency traffic engineer or equivalent reviews consultant developed engineer design within the local agency, approximately 2-4 hours per affected local agency intersection.
- System integration - Each local agency traffic engineer or equivalent provides support for this function (hours vary depending on improvements).
- Construction management - Each local agency traffic engineer or equivalent provides construction management support including inspection (hour vary depending on improvements).
- Ongoing O&M (24 months) - Each local agency's traffic engineer or equivalent participates in continued project level meetings of 2-5 hours per local agency per month to review consultant traffic engineering progress. In addition, each local agency's traffic engineer or equivalent reviews consultant developed draft and O&M Report.

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

Participating agencies pledging in-kind services shall be responsible for keeping track of said hours and/or improvements. For OCTA-led projects, an in-kind services match report will be requested throughout the project to ensure agencies meet their promised in-kind match. All submissions shall include backup documentations, such as accounting/payroll detailed summaries, third-party invoices (consultant, contractor, and equipment) and are subject to Audit.

## **Project Cancellation**

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

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

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

## Project Extensions

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

## Audits

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

## Data Compatibility

All count data, including average daily traffic (ADT) and intersection turning movement (ITM), collected as part of any funded project shall be provided to OCTA Microsoft Excel format. Any data files containing numeric intersection or node identifiers shall use the same node identification (ID) numbers as is stored and maintained by OCTA. OCTA will provide a listing of intersections and corresponding unique node ID numbers upon request. Each count data filename shall describe the year the counts were collected, agency, type of count file, intersection name, and OCTA node ID number. As an example, a turning movement count file recently collected for the intersection of Harbor Boulevard and Wilson Street in the City of Costa Mesa would be given the filename 2020\_CostaMesa\_ITM\_Harbor-Wilson\_4534.xls.

All traffic signal synchronization data collected and compiled as part of any funded project for both existing (before) and final optimized (after) conditions shall be provided to OCTA in Synchro version 10 or later format. This data shall include validated network layout, node, link, lane, volume, timing, and phase data for all coordinated times. The nodes for these files shall also correspond to the OCTA node ID numbers.

## Project Summary Information

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

## Exhibit 8-1

### Project P – Regional Traffic Signal Synchronization Program Application Checklist

Project P Application Checklist	Page
<p><b>RTSSP Online Application – submitted through OCFundTracker</b></p> <ul style="list-style-type: none"> <li>a. Transportation Significance</li> <li>b. Benefit Cost Ratio</li> <li>c. Project Characteristics</li> <li><del>d. Maintenance of Effort</del></li> <li><del>e-d. Project Scale</del></li> <li><del>f-e. Number of Jurisdictions</del></li> <li><del>g-f. Current Project Status</del></li> <li><del>g. Funding Over-Match</del></li> <li>h. <u>Cabinet photos, equipment specifications, as-built drawings, cabinet drawings, etc.</u></li> </ul>	Online
<p><b>Section 1: Key Technical Information</b></p> <ul style="list-style-type: none"> <li>a. Name of Project Corridor/Grid/Route</li> <li>b. Project Limits</li> <li>c. Project Length</li> <li>d. Number of Signalized Intersections Along Corridor</li> <li>e. Participating Agencies/Traffic Forum Members</li> <li>f. Lead Agency</li> <li>g. Designation of the corridor to synchronize</li> <li>h. Project start and end date</li> <li>i. Previous funding</li> <li>j. Contact Information</li> <li>k. Signalized intersections that are part of the project</li> <li><u>l. Offset signalized intersections that are part of the project</u></li> <li><u>m. Project Map Depicting the Project Limits</u></li> </ul>	
<p><b>Section 2: Regional Significance</b></p>	
<p><b>Section 3: Acknowledgement of Required Tasks</b></p>	
<p><b>Section 4: Funding Needs/Costs for Proposed Project by Task</b></p> <ul style="list-style-type: none"> <li>a. Summary of Project Cost</li> <li>b. Summary of Cost by Agency</li> <li><del>c. Table I: Agency Improvement Preferences</del></li> <li><u>c. Table II: Description of Work by Intersection Summary of Intersection Improvement Costs</u></li> </ul>	
<p><b>Section 5: Detailed Local Match Commitment</b></p>	
<p><b>Section 6: Project Schedule for the 3 Year Grant Period by Task</b></p> <ul style="list-style-type: none"> <li>a. Project State and End Dates</li> <li><del>b. Project Schedule by Task</del></li> <li><u>b. Agency Commitment of Extended Monitoring and Maintenance</u></li> </ul>	
<p><b>Appendices</b></p> <ul style="list-style-type: none"> <li><u>a. Calculations and Estimated Points</u></li> <li><u>b. Agency Improvement Calculations</u></li> <li><u>c. Vehicle Miles Traveled (VMT)</u></li> <li><del>a-d. Agency Resolutions and Letters of Support</del></li> <li><del>b. Vehicle Miles Traveled (VMT)</del></li> <li><del>c. Calculations and Estimated Points</del></li> <li><u>e. Additional Information (Optional)</u></li> </ul>	

## Exhibit 8-2

### Sample Resolution for Orange County Regional Traffic Signal Synchronization Program Projects

A resolution of the \_\_\_\_\_ City Council approving the submittal of \_\_\_\_\_ improvement project(s) to the Orange County Transportation Authority for funding under the competitive Measure M2 Regional Traffic Signal Synchronization Program.

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

- a) WHEREAS, the Measure M2 Regional Traffic Signal Synchronization Program targets over 2,000 signalized intersections across Orange County to maintain traffic signal synchronization, improve traffic flow, and reduce congestion across jurisdictions; and
- b) WHEREAS, the City of \_\_\_\_\_ has been declared by the Orange County Transportation Authority to meet the eligibility requirements to receive revenues as part of Measure M2;
  - c) WHEREAS, the CITY must include all projects funded by Net Revenues in the seven-year Capital Improvement Program as part of the Renewed Measure M Ordinance eligibility requirement.
- d) WHEREAS, the CITY authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the Orange County Transportation Authority Board of Directors, if necessary.
- e) WHEREAS, the City of \_\_\_\_\_ has currently adopted a Local Signal Synchronization Plan consistent with the Regional Traffic Signal Synchronization Master Plan as a key component of local agencies' efforts to synchronizing traffic signals across local agencies' boundaries; and
  - f) WHEREAS, the City of \_\_\_\_\_ will provide matching funds for each project as required by the Comprehensive Transportation Funding Programs Procedures Manual; and
- g) WHEREAS, the City of \_\_\_\_\_ will not use Renewed Measure M funds to supplant Developer Fees or other commitments; and
- h) WHEREAS, the City of \_\_\_\_\_ desires to implement multi-jurisdictional signal synchronization listed below; and

NOW, THEREFORE, BE IT RESOLVED THAT:

The City Council of the City of \_\_\_\_\_ hereby requests the Orange County Transportation Authority allocate funds in the amounts specified in the City's application to said City from the Regional Traffic Signal Synchronization Program. Said funds, if approved, shall be matched by funds from said City as required and shall be used as supplemental funding to aid the City in signal synchronization along the following street(s):

\*Required language a-h





COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors

**From:** Andrea West, Interim Clerk of the Board

*Andrea West*

**Subject:** Cooperative Agreements for Regional Traffic Signal Synchronization Program Projects

Regional Planning and Highways Committee Meeting of August 1, 2022

**Present:** Directors Bartlett, Delgleize, Foley, Harper, Muller, and Murphy

**Absent:** Director Chaffee

**Committee Vote**

This item was passed by the Members present.


**Committee Recommendations**

- A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-2-2632 between the Orange County Transportation Authority and the cities of Irvine, Laguna Hills, and Lake Forest for the Bake Parkway and Rockfield Boulevard Regional Traffic Signal Synchronization Program Project, with local agency in kind services and cash matching funds totaling \$626,686.
- B. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-2-2633 between the Orange County Transportation Authority and the cities of Dana Point, Laguna Niguel, Mission Viejo, and the County of Orange for the Crown Valley Parkway Regional Traffic Signal Synchronization Program Project, with local agency in kind services and cash matching funds totaling \$587,318.
- C. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-2-2634 between the Orange County Transportation Authority and the cities of Dana Point, Laguna Hills, and Laguna Niguel for the Moulton Parkway Regional Traffic Signal Synchronization Program Project, with local agency in kind services and cash matching funds totaling \$662,913.



**August 1, 2022**

**To:** Regional Planning and Highways Committee

**From:** Darrell E. Johnson, Chief Executive Officer  For

**Subject:** Cooperative Agreements for Regional Traffic Signal Synchronization Program Projects

### **Overview**

On May 9, 2022, the Orange County Transportation Authority Board of Directors awarded Measure M2 Regional Traffic Signal Synchronization Program funds to five projects as part of the 2022 call for projects. Through the application process, the responsible local agencies requested the Orange County Transportation Authority to oversee the implementation of three of the five projects, Bake Parkway and Rockfield Boulevard, Crown Valley Parkway, and Moulton Parkway. Cooperative agreements are necessary for each of these projects to specify the roles and required amount of the local agency matching funds as specified in the applications.

### **Recommendations**

- A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-2-2632 between the Orange County Transportation Authority and the cities of Irvine, Laguna Hills, and Lake Forest for the Bake Parkway and Rockfield Boulevard Regional Traffic Signal Synchronization Program Project, with local agency in-kind services and cash-matching funds totaling \$626,686.
- B. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-2-2633 between the Orange County Transportation Authority and the cities of Dana Point, Laguna Niguel, Mission Viejo, and the County of Orange for the Crown Valley Parkway Regional Traffic Signal Synchronization Program Project, with local agency in-kind services and cash-matching funds totaling \$587,318.
- C. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-2-2634 between the Orange County Transportation Authority and the cities of Dana Point, Laguna Hills, and Laguna Niguel for the Moulton Parkway Regional Traffic Signal

Synchronization Program Project, with local agency in-kind services and cash-matching funds totaling \$662,913.

***Discussion***

The Orange County Transportation Authority (OCTA) will serve as the lead agency for three Regional Traffic Signal Synchronization Program (RTSSP) projects: Bake Parkway and Rockfield Boulevard, Crown Valley Parkway, and Moulton Parkway. As the project lead, OCTA will manage and administer the implementation of the project's scope of work to facilitate consensus amongst the multiple participating agencies and alleviate any local agency staffing resource limitations. OCTA has successfully served as lead agency for prior RTSSP projects and uses professional services funded by RTSSP to accomplish this service. As authorized by the Board of Directors on May 9, 2022, these three projects are planned to begin in fiscal year (FY) 2022-23 with completion in 2026. Each project will be divided into two separate phases of primary implementation, lasting approximately one year, followed by an ongoing operations and maintenance phase of 24 months.

Cooperative agreements are required for each of these projects to outline the roles and designated responsibilities of OCTA, the partnering agencies regarding the implementation of the projects, and to specify the amount and type of each local agency's match as identified in the application. A minimum of 20 percent local match is required per the requirements of the RTSSP as specified in the 2022 Comprehensive Transportation Funding guidelines (Chapter 8, Page 4), and consistent with the Measure M2 (M2) Ordinance. The following is a summary of each project's limits, number of signalized intersections (signals), number of agencies included in the project, and estimated cost:

- Bake Parkway and Rockfield Boulevard (Lake Forest Drive to Rue de Fortuna): The corridor is approximately 8.9 miles and includes 33 traffic signals. The corridor passes through the cities of Irvine, Laguna Hills, and Lake Forest. The project cost is estimated at \$3,133,426, with local agency in-kind services and cash match totaling \$626,686.
- Crown Valley Parkway (Antonio Parkway to Pacific Coast Highway): The corridor is approximately 9.2 miles and includes 30 traffic signals. The corridor passes through cities of Dana Point, Laguna Niguel, Mission Viejo, and the County of Orange. The project cost is estimated at \$2,936,591, with local agency in-kind services and cash match totaling \$587,318.
- Moulton Parkway (Glenwood Drive to Pacific Coast Highway): The corridor is approximately 10 miles and includes 34 traffic signals. The corridor passes through the cities of Dana Point, Laguna Hills, and

Laguna Niguel. The project cost is estimated at \$3,314,566, with local agency in-kind services and cash match totaling \$662,913.

**Fiscal Impact**

The total cost of implementing the three RTSSP projects is \$9,384,583. The funding for these three projects will come from M2 Project P, included in the OCTA FY 2022-23 Budget, Account No. 0017-7519-SP001-P57, with matching funds provided by the local agencies through in-kind services and cash for a total amount of \$1,876,917.

**Summary**

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute three cooperative agreements between the Orange County Transportation Authority and the respective cities for the required local matching funds in the amounts of \$626,686 for Bake Parkway and Rockfield Boulevard, \$587,318 for Crown Valley Parkway, and \$662,913 for Moulton Parkway, and to define roles, duties, governance, and fiscal responsibilities for the Regional Traffic Signal Synchronization Program projects.

**Attachment**

None.

**Approved by:**



Alicia Yang  
Project Manager III  
(714) 560-5362

**Approved by:**



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



Pia Veasapen  
Director, Contracts Administration and  
Materials Management  
(714) 560-5619



COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors

**From:** Andrea West, Interim Clerk of the Board

*Andrea West*

**Subject:** Request to Exercise Option Term 1 for On-Call Traffic Engineering and Intelligent Transportation Systems Services Agreements

Regional Planning and Highways Committee Meeting of August 1, 2022

**Present:** Directors Bartlett, Delgleize, Foley, Harper, Muller, and Murphy

**Absent:** Director Chaffee

**Committee Vote**

This item was passed by the Members present.

**Committee Recommendations**

- A. Authorize the Chief Executive Officer to execute Option Term 1 for the following firms to continue to provide on-call traffic engineering services for the Regional Traffic Signal Synchronization Program (Project P): DKS Associates (Agreement No. C-9-1513), AGA Engineers, Inc. (Agreement No. C-9-1810), KOA Corporation (Agreement No. C-9-1811), and Iteris, Inc. (Agreement No. C-9-1812), extending the term of the agreements by one year from their current respective end dates.
  
- B. Authorize the Chief Executive Officer to negotiate and execute amendments between the Orange County Transportation Authority and the following consultants for on-call traffic engineering and intelligent transportation systems services agreements: with DKS Associates (Agreement No. C-9-1513), AGA Engineers, Inc. (Agreement No. C-9-1810), KOA Corporation (Agreement No. C 9 1811), and Iteris, Inc. (Agreement No. C 9 1812), in a shared amount of \$9,384,583. This will increase the maximum obligation for all the on-call firms for a total combined aggregate contract value of \$25,260,008.



**August 1, 2022**

**To:** Regional Planning and Highways Committee

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

A handwritten signature in blue ink, appearing to read "Darrell E. Johnson", is written over the "From:" line.

**Subject:** Request to Exercise Option Term 1 for On-Call Traffic Engineering and Intelligent Transportation Systems Services Agreements

**Overview**

On January 13, 2020, the Orange County Transportation Authority Board of Directors approved agreements with four traffic engineering firms to provide consultant services for on-call traffic engineering and intelligent transportation systems services for the Measure M2 Regional Traffic Signal Synchronization Program for five years with two, one-year option terms. Amendments to the existing agreements are necessary for additional on-call services to implement recommendations approved as part of the 2022 Comprehensive Transportation Funding Program competitive call for projects.

**Recommendations**

- A. Authorize the Chief Executive Officer to execute Option Term 1 for the following firms to continue to provide on-call traffic engineering services for the Regional Traffic Signal Synchronization Program (Project P): DKS Associates (Agreement No. C-9-1513), AGA Engineers, Inc. (Agreement No. C-9-1810), KOA Corporation (Agreement No. C-9-1811), and Iteris, Inc. (Agreement No. C-9-1812), extending the term of the agreements by one year from their current respective end dates.
  
- B. Authorize the Chief Executive Officer to negotiate and execute amendments between the Orange County Transportation Authority and the following consultants for on-call traffic engineering and intelligent transportation systems services agreements: with DKS Associates (Agreement No. C-9-1513), AGA Engineers, Inc. (Agreement No. C-9-1810), KOA Corporation (Agreement No. C-9-1811), and Iteris, Inc. (Agreement No. C-9-1812), in a shared amount of \$9,384,583. This will increase the maximum obligation for all the on-call firms for a total combined aggregate contract value of \$25,260,008.

## **Request to Exercise Option Term 1 for On-Call Traffic Page 2 Engineering and Intelligent Transportation Systems Services Agreements**

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### ***Discussion***

On January 13, 2020, the Orange County Transportation Authority (OCTA) Board of Directors (Board) approved a bench of four pre-qualified consultants to provide on-call traffic engineering support to OCTA through 2025. The consultants' scope of services supports OCTA's efforts in implementing multi-jurisdictional signal synchronization projects as part of the Measure M2 (M2) Regional Traffic Signal Synchronization Program (RTSSP). These services will support the implementation of projects from three competitive calls for projects (call) in 2019, 2021, and 2022. A summary of projects from the 2019 through 2022 calls is included in Attachment A. There were no OCTA-led projects in 2020.

All RTSSP projects are designed to span over a minimum of three years. Approximately one year is allowed for data collection, design, analysis, and the implementation of new optimized coordination/synchronization timing. This is coupled with the installation of the required control and communications infrastructure (primary implementation {PI} phase). Immediately following is two years of maintenance of the communications and detection systems and monitoring of the new signal timing installed in the PI phase, known as the ongoing maintenance and monitoring phase.

The projects are assigned to one of the pre-approved consultants through a negotiated contract task order (CTO) on a rotational basis. The initial rotational sequence was determined by the relative scoring of the four consultants during the procurement process. Each CTO has a duration of three years to complete the project. The initial term of the contract was meant to cover projects in calls 2019, 2020, and 2021, but OCTA did not lead any projects in the 2020 call. Thus, a request to execute the first option term is requested to accommodate the CTO terms for the 2022 call.

The 2022 call was approved by the Board on May 9, 2022. The call funded five regionally significant projects with a total project cost of \$20,207,666. Three applications totaling \$9,384,583, requested that OCTA administer and implement the projects. These three corridors collectively target 97 signalized intersections, span 28.1 miles, and will improve traffic flow by optimizing signal timing on these high-volume corridors. Table 1 shows the three corridors and their respective details.

**Request to Exercise Option Term 1 for On-Call Traffic Engineering and Intelligent Transportation Systems Services Agreements Page 3**

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Table 1

2022 Call – OCTA-Administered Project Corridors			
Project Corridors	Project Intersections	Project Miles	Participating Agencies
Bake Parkway and Rockfield Boulevard	33	8.9	3
Crown Valley Parkway	30	9.2	4
Moulton Parkway	34	10.0	3
Total	97	28.1	-

***Procurement Approach***

The original procurement was handled in accordance with OCTA’s Board-approved procedures for architectural and engineering services that conform to both federal and state laws. On January 13, 2020, the Board approved the agreements with DKS Associates, AGA Engineers, Inc., KOA Corporation, and Iteris, Inc., for an initial term of five years, with two, one-year option terms. The total maximum cumulative payment obligation of the initial term was \$5,328,000.

On September 27, 2021, the Board approved an amendment to increase the maximum combined obligation for the on-call firms from \$5,328,000 to \$15,875,425 to support the 2021 call.

For the implementation of the projects approved as part of the Project P 2022 call, amendments to each of the four on-call consultants’ agreements is requested to increase the maximum obligation in the amount of \$9,384,583, resulting in a total combined aggregate contract value of \$25,260,008 for the implementation of Project P projects administered by OCTA.

Not all firms on the on-call traffic engineering bench will be assigned a signal synchronization project as part of the 2022 call. However, the master agreement will be amended for all four firms to ensure that adequate capacity among the consultants exists to perform the work and that project price negotiations are met.

**Fiscal Impact**

Funds for this project are included in OCTA’s Fiscal Year 2022-23 Budget, Account No. 0017-7519-SP001-P57, and are funded through M2. These funds will be utilized to fund 80 percent of the cost for these projects. The participating agencies on each respective project are responsible for the required 20 percent of matching funds.



**Request to Exercise Option Term 1 for On-Call Traffic Page 4  
Engineering and Intelligent Transportation Systems Services  
Agreements**

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***Summary***

Staff requests the Board of Directors authorize the Chief Executive Officer to negotiate and execute Option Term 1 and amendments between the Orange County Transportation Authority and consultant agreements for on-call traffic engineering and intelligent transportation systems services: Agreement No. C-9-1513 with DKS Associates, Agreement No. C-9-1810 with AGA Engineers, Inc., Agreement No. C-9-1811 with KOA Corporation, and Agreement No. C-9-1812 with Iteris, Inc. in the total amount of \$9,384,583, for a total combined aggregate contract value of \$25,260,008 to implement projects in support of the Measure M2 Regional Transportation Signal Synchronization Program.

***Attachments***

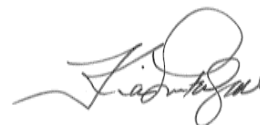
- A. Orange County Transportation Authority Regional Traffic Signal Synchronization Program Project Summary Call for Projects 2019 – 2022
- B. DKS Associates, Agreement No. C-9-1513 Fact Sheet
- C. AGA Engineers, Inc., Agreement No. C-9-1810 Fact Sheet
- D. KOA Corporation, Agreement No. C-9-1811 Fact Sheet
- E. Iteris, Inc., Agreement No. C-9-1812 Fact Sheet

**Prepared by:**



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Project Manager  
Regional Modeling – Traffic Operations  
(714) 560-5362

**Approved by:**



Kia Mortazavi  
Executive Director, Planning  
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Pia Veasapen  
Director, Contracts Administration and  
Materials Management  
(714) 560-5619

**Orange County Transportation Authority  
Regional Traffic Signal Synchronization Program Project Summary  
Call for Projects 2019 - 2022**

The 2019 call for projects (call) for Project P was approved by the Board of Directors (Board) on June 11, 2019. Three of five projects approved for funding are being administered and implemented by the Orange County Transportation Authority (OCTA). These three projects target 78 signals and total 19.2 miles. A contract task order (CTO) for each respective project, as part of the initial term of the on-call traffic engineering services contracts, was issued to three of the four respective consultants as shown in Table 1. All three projects are currently in the primary implementation (PI) phase.

Table 1

OCTA-Administered Project Corridors – 2019 Call				
Arterials	Project Intersections	Project Miles	Participating Agencies	CTO Consultant
Aliso Creek Road	23	5.0	2	KOA Corporation
Lake Forest Drive	27	7.5	3	Albert Grover & Associates
Red Hill Avenue	28	6.7	3	DKS Associates

There were no OCTA-led projects for the 2020 call.

The 2021 call was approved by the Board on May 10, 2021, funding three regionally significant projects. Applicant agencies requested that OCTA lead all three of these projects. These three corridors target 136 signalized intersections spanning a total of 33.5 miles. The projects will improve traffic flow by optimizing travel times on these high-volume corridors. The CTOs were issued after the Board approved the amendment on September 9, 2021, to increase the maximum obligation of the on-call traffic engineering services contracts. Table 2 shows the three corridors and the respective details.

Table 2

OCTA-Administered Project Corridors – 2021 Call			
Arterials	Project Intersections	Project Miles	Participating Agencies
First Street / Bolsa Avenue	55	13.1	5
Alton Parkway	50	12.8	2
Portola Parkway / Santa Margarita Parkway	31	7.6	3

The 2022 call was approved by the Board on May 9, 2022, funding five regionally significant projects. Applicant agencies requested that OCTA lead three of these projects. These three corridors target 97 signalized intersections spanning a total of 28.1 miles. The projects will improve traffic flow by optimizing travel times on these high-volume corridors. The CTOs will be issued, pending the approval of the option term and amendment to increase the maximum obligation of the on-call traffic engineering services contracts. Table 3 shows the three corridors and the respective details.

Table 3

OCTA-Administered Project Corridors – 2022 Call			
Arterials	Project Intersections	Project Miles	Participating Agencies
Bake Parkway and Rockfield Boulevard	33	8.9	3
Crown Valley Parkway	30	9.2	4
Moulton Parkway / Golden Lantern	34	10.0	3

**DKS Associates, Inc.  
Agreement No. C-9-1513 Fact Sheet**

1. January 13, 2020, Agreement No. C-9-1513, aggregate amount of \$5,328,000 (shared among DKS Associates, Inc., AGA Engineers, Inc., KOA Corporation, and Iteris, Inc.) approved by the Board of Directors (Board).
  - To provide on-call traffic engineering and intelligent transportation systems (ITS) services, effective May 24, 2020, through March 31, 2025, with two, one-year option terms.
2. December 22, 2020, Amendment No. 1 to Agreement No. C-9-1513, \$0, approved by the Contracts Administration and Materials Management (CAMM) Department.
  - Add other direct costs for travel.
3. August 9, 2021, Amendment No. 2 to Agreement No. C-9-1513, \$0, approved by the CAMM Department.
  - Modify key personnel and other labor charges.
4. September 27, 2021, Amendment No. 3 to Agreement No. C-9-1513, \$10,547,425 (shared among DKS Associates, Inc., AGA Engineers, Inc., KOA Corporation, and Iteris, Inc.) approved by the Board.
  - Provide additional on-call traffic engineering and ITS services.
5. April 12, 2022, Amendment No. 4 to Agreement No. C-9-1513, \$0, approved by the CAMM Department.
  - Modify other labor charges and other direct costs.
6. August 8, 2022, Amendment No. 5 to Agreement No. C-9-1513, \$9,384,583 (shared among DKS Associates, Inc., AGA Engineers, Inc., KOA Corporation, and Iteris, Inc.) pending Board approval.
  - To provide additional on-call traffic engineering and ITS services.

Total combined maximum obligation of \$25,260,008 shared among DKS Associates, Inc., AGA Engineers, Inc., KOA Corporation, and Iteris, Inc.

**AGA Engineers, Inc.  
Agreement No. C-9-1810 Fact Sheet**

1. January 13, 2020, Agreement No. C-9-1810, aggregate amount of \$5,328,000 (shared among DKS Associates, Inc., AGA Engineers, Inc., KOA Corporation, and Iteris, Inc.) approved by the Board of Directors (Board).
  - To provide on-call traffic engineering and intelligent transportation systems (ITS) services effective June 19, 2020, through April 14, 2025, with two, one-year option terms.
2. September 14, 2020, Amendment No. 1 to Agreement No. C-9-1810, \$0, approved by the Contracts Administration and Materials Management (CAMM) Department.
  - To assign agreement to AGA Engineers, Inc., and reflect consultant's new name.
3. September 27, 2021, Amendment No. 2 to Agreement No. C-9-1810, \$10,547,425 (shared among DKS Associates, Inc., AGA Engineers, Inc., KOA Corporation, and Iteris, Inc.) approved by the Board.
  - To provide additional on-call traffic engineering and ITS services.
4. April 15, 2022, Amendment No. 3 to Agreement No. C-9-1810, \$0, approved by the CAMM Department.
  - Modify other labor charges and other direct costs and reflect a change in subconsultant name.
5. August 8, 2022, Amendment No. 4 to Agreement No. C-9-1810, \$9,384,583 (shared among DKS Associates, AGA Engineers, Inc., KOA Corporation, and Iteris, Inc.) pending Board approval.
  - To provide additional on-call traffic engineering and ITS services.

Total combined maximum obligation of \$25,260,008 shared among DKS Associates, Inc., AGA Engineers, Inc., KOA Corporation, and Iteris, Inc.

**KOA Corporation  
Agreement No. C-9-1811 Fact Sheet**

1. January 13, 2020, Agreement No. C-9-1811, aggregate amount of \$5,328,000 (shared among DKS Associates, Inc.; AGA Engineers, Inc.; KOA Corporation; and Iteris, Inc.) approved by the Board of Directors (Board).
  - To provide on-call traffic engineering and intelligent transportation systems (ITS) services effective August 28, 2020, through August 31, 2025, with two, one-year option terms.
2. April 1, 2021, Amendment No. 1 to Agreement No. C-9-1811, \$0, approved by the Contracts Administration and Materials Management (CAMM) Department.
  - Staff and other direct costs modifications for prime and subconsultant.
3. September 27, 2021, Amendment No. 2 to Agreement No. C-9-1811, \$10,547,425 (shared among DKS Associates, Inc., AGA Engineers, Inc., KOA Corporation, and Iteris, Inc.) approved by the Board.
  - To provide additional on-call traffic engineering and ITS services.
4. April 12, 2022, Amendment No. 3 to Agreement No. C-9-1811, \$0, approved by the CAMM Department.
  - Modify key personnel and other labor charges.
5. August 8, 2022, Amendment No. 4 to Agreement No. C-9-1811, \$9,384,583 (shared among DKS Associates, AGA Engineers, Inc., KOA Corporation, and Iteris, Inc.) pending Board approval.
  - To provide additional on-call traffic engineering and ITS services.

Total combined maximum obligation of \$25,260,008 shared among DKS Associates, Inc., AGA Engineers, Inc., KOA Corporation, and Iteris, Inc.

**Iteris, Inc.  
Agreement No. C-9-1812 Fact Sheet**

1. January 13, 2020, Agreement No. C-9-1812, aggregate amount of \$5,328,000 (shared among DKS Associates, Inc., AGA Engineers, Inc., KOA Corporation, and Iteris, Inc.) approved by the Board of Directors (Board).
  - To provide on-call traffic engineering and intelligent transportation systems (ITS) services effective March 9, 2021, through December 14, 2025, with two, one-year option terms.
2. September 27, 2021, Amendment No. 1 to Agreement No. C-9-1812, \$10,547,425 (shared among DKS Associates, Inc., AGA Engineers, Inc., KOA Corporation, and Iteris, Inc.) approved by the Board.
  - To provide additional on-call traffic engineering and ITS services.
3. March 9, 2022, Amendment No. 2 to Agreement No. C-9-1812, \$0, approved by the Contracts Administration and Materials Management (Camm) Department.
  - Modify key personnel.
  - Modify Schedule II – Other Direct Costs Schedule for Prime Consultant for the Traffic Counts to update the National Data & Surveying Services rate sheet to include bicycle counts.
4. August 8, 2022, Amendment No. 3 to Agreement No. C-9-1812, \$9,384,583 (shared among DKS Associates, AGA Engineers, Inc., KOA Corporation, and Iteris, Inc.) pending Board approval.
  - To provide additional on-call traffic engineering and ITS services.

Total combined maximum obligation of \$25,260,008 shared among DKS Associates, Inc., AGA Engineers, Inc., KOA Corporation, and Iteris, Inc.



COMMITTEE TRANSMITTAL

**August 8, 2022**

**To:** Members of the Board of Directors

**From:** Andrea West, Interim Clerk of the Board

*Andrea West*

**Subject:** Interstate 405 Improvement Project Update

Regional Planning and Highways Committee Meeting of August 1, 2022

**Present:** Directors Bartlett, Delgleize, Foley, Harper, Muller, and Murphy

**Absent:** Director Chaffee

**Committee Vote**

No action was taken on this item.

**Staff Recommendation**

Receive and file as an information item.





**August 1, 2022**

**To:** Regional Planning and Highways Committee  
**From:** Darrell E. Johnson, Chief Executive Officer  
**Subject:** Interstate 405 Improvement Project Update

**Overview**

The Orange County Transportation Authority is currently underway with the implementation of the Interstate 405 Improvement Project. This report provides a project update.

**Recommendation**

Receive and file as an information item.

**Background**

The Orange County Transportation Authority (OCTA), in cooperation with the California Department of Transportation and the cities of Costa Mesa, Fountain Valley, Huntington Beach, Seal Beach, and Westminster, is implementing the Interstate 405 (I-405) Improvement Project between State Route 73 (SR-73) and Interstate 605 (I-605) (Project). The Project will add one general purpose lane in each direction from Euclid Street to I-605, consistent with Measure M2 Project K, and will add an additional lane in each direction that will combine with the existing high-occupancy vehicle lane to provide dual express lanes in each direction of I-405 from SR-73 to I-605, otherwise known as the 405 Express Lanes.

On November 14, 2016, the OCTA Board of Directors (Board) awarded the design-build (DB) contract to OC 405 Partners (OC405), a joint venture. OCTA executed the DB contract with OC405 and issued Notice to Proceed (NTP) No. 1 on January 31, 2017. NTP No. 1 was a limited NTP for mobilization, design, and administrative activities. On July 26, 2017, the Transportation Infrastructure Finance and Innovation Act (TIFIA) loan agreement was executed between OCTA and the United States Department of Transportation (USDOT). On July 27, 2017, OCTA issued NTP No. 2 to OC405. NTP No. 2 was a full NTP for all activities, including construction.

***Discussion***

The Project is over 80 percent complete from a DB perspective. A number of activities are ongoing as construction work continues to advance. The following provides a more detailed status of Project activities.

**Financing and TIFIA Loan**

In July 2017, OCTA executed a TIFIA loan agreement with the USDOT's Build America Bureau (Bureau) for up to approximately \$629 million. In October 2020, OCTA staff received Board approval to pursue a reset of the interest rate on the TIFIA loan. After approximately one year of working with the Bureau, OCTA successfully executed a new TIFIA loan agreement with the Bureau on September 9, 2021, establishing OCTA as the first agency to close a rate reset loan for a TIFIA loan that had been drawn upon. As part of the new TIFIA loan, the interest rate was reset from 2.91 percent to 1.95 percent. The lower interest rate will result in a net present value savings of approximately \$158 million.

**Tolling Contracts**

In early 2018, the Board selected Kapsch TrafficCom USA, Inc., (Kapsch) to provide toll lanes system integration services for design, installation, operation, and maintenance of the electronic toll and traffic management (ETTM) system on both the 405 and 91 Express Lanes. Kapsch is currently under contract and is working closely with the design-builder to deliver fully functional express lanes upon opening in late 2023. Kapsch has received approval for the ETTM infrastructure final design to be used for the 405 Express Lanes, including equipment types and configurations. Kapsch continues to review the design-builder's plans and construction activities and has provided input on requirements for the Toll Operations Center (TOC) improvements. The TOC will be located at OCTA's Santa Ana Bus Base and will be staffed by Kapsch for 405 Express Lanes operations. The TOC improvements at the Santa Ana Bus Base are anticipated to be complete in the next few months, which will allow time for Kapsch to occupy the TOC and prepare for installation and testing of the 405 Express Lanes.

In late 2021, the Board selected WSP USA Services, Inc., (WSP) to provide back-office system and customer service center operations for the 405 Express Lanes. The agreement was executed in January 2022, and WSP has initiated early activities, including schedule development and coordination of tenant improvements required for the 405 Express Lanes Customer Service and Operations Center (CSOC). Additionally, WSP has begun the development of preliminary project documentation and held multiple workshops with OCTA staff to review the functional requirements of the back-office system. These workshops will continue over the next several months.

Also in late 2021, the Board authorized the Chief Executive Officer to negotiate and execute a lease with C.J. Segerstrom & Sons for the 405 Express Lanes CSOC. The lease was executed in February 2022. The CSOC will house both a customer service walk-up center, as well as the call center and other support for the 405 Express Lanes. This location is separate from the TOC location as it needs to be readily accessible to the public for customer and motorist service purposes. Space planning and design have been completed and tenant improvements are set to commence in August 2022.

In June 2022, a request for proposals was issued for marketing services for both the 405 and 91 Express Lanes. Marketing services for the 405 Express Lanes will include development of the 405 Express Lanes brand and implementation of branding awareness campaigns, in addition to other marketing and creative design developments. It is anticipated the agreement will be executed in fall 2022, after seeking Board approval.

### Design

The final design is substantially complete at this time. The DB process allows for design refinements and that process will continue throughout the remainder of construction.

### Right-of-Way (ROW) Acquisition

Construction of the Project impacts 288 properties, including 179 residential properties, 71 commercial/industrial properties, 37 public properties, and one railroad property. There are 287 properties identified as partial acquisitions and one property identified as a full acquisition at the owner's request. The ROW required to construct the Project is comprised of a combination of fee acquisitions, permanent easements, temporary construction easements, permanent and temporary ground lease reductions, and access control rights. This ROW is required for roadway and bridge construction, soundwalls and retaining walls, drainage systems, and for the installation of above ground and underground facilities, including electrical, telecommunication, water, sewer, gas, and storm drain systems.

The ROW acquisition program is on schedule. Since July 2020, OCTA has had possession of the required property rights for all 288 property impacts, which retired a significant risk to OCTA. The overall ROW process continues as OCTA works with certain property owners to finalize remaining agreements on costs related to certain acquisitions. As this is a DB project, minor additional ROW needs may become necessary in the future as construction continues. Of the 288 total properties impacted, 288 offers were presented and the ROW is in OCTA's possession for construction. There were 60 resolutions of necessity (RON) approved by the Board and no additional RONS are anticipated.

### Utility Relocations

There are currently 137 utilities that require relocation to accommodate the Project. OCTA has been coordinating with 24 impacted utility owners to identify and resolve conflicts and relocation issues. To date, OCTA has executed 90 percent of the necessary utility relocation agreements and is in the process of finalizing the remaining utility agreements. There are a handful of remaining potential utility relocation risks, including Southern California Edison (SCE) facilities as well as a Southern California Gas (SCG) pipeline, for which staff continues to develop and implement mitigation plans, as utilities are a shared risk between OCTA and OC405. Many critical utility relocations that had previously been considered to pose some risk, such as facilities owned by Frontier Communications, Chevron USA, Crimson Pipeline, SCG, and SCE have been successfully completed. OCTA continues to take an active role in coordinating utility relocations with both OC405 and utility owners, including coordinating construction schedules to ensure that utility construction activities are completed in a timely manner to mitigate any potential risks to the Project schedule.

### Roadway and Wall Construction

OC405 began construction in March 2018. Initial construction activities included restriping portions of the freeway and setting up concrete barriers on the outside of the freeway to protect work areas for activities, such as tree removals and grading. These initial construction activities are complete. Clearing and grubbing, including tree and ground cover removal, and rough grading activities are also substantially complete at this time.

Significant roadway construction activities, including installation of drainage systems, retaining walls and soundwalls, and paving operations began in earnest in 2019, and will continue through the end of the Project. Construction has been initiated on all Orange County Flood Control District facilities which require improvements associated with the Project, including Bixby, East Garden Grove Wintersburg, Fountain Valley, Gisler, Greenville Banning, Milan, Montecito, Newland, Ocean View, and Santa Ana River channels. Work on these flood control facilities is at various stages of construction and is anticipated to be substantially complete by the end of 2022. Additionally, approximately 90 percent of the retaining walls and soundwalls needed for the Project are currently complete. Paving operations are approximately 70 percent complete with significant paving continuing in 2022. Lastly, approximately 80 percent of the ramps being reconstructed as part of the Project are complete.

### Bridge Construction

Bridges that are being replaced as part of the Project are being reconstructed in either one or two stages. Bridges being built in one stage are closed to traffic on both sides of I-405 during demolition and reconstruction of that bridge, and traffic is detoured to other adjacent bridges crossing the freeway. The first one-stage bridge completed was the Slater Avenue bridge, which opened to traffic in fall 2019. Opening the Slater Avenue bridge allowed for demolition and construction activities to commence on Bushard Street and Talbert Avenue. The Bushard Street bridge was completed and opened to traffic in October 2020, and the Talbert Avenue bridge construction was completed and opened to traffic in April 2021. After the opening of the Talbert Avenue bridge, demolition and construction activities were able to commence on Ward Street, which is anticipated to open to traffic late this year. Further north within the Project limits, the McFadden Avenue bridge was opened to traffic in October 2020 and the Edinger Avenue bridge was also opened to traffic in December 2021. Opening of the Edinger Avenue bridge allowed for demolition and construction activities to recently commence on the Newland Street bridge, which was the last full bridge to be demolished as part of the Project. Lastly, the Edwards Street bridge was opened to traffic in September 2021. Opening the Edwards Street bridge allowed for demolition and construction activities to commence on Springdale Street.

Bushard Street, Edinger Avenue, Edwards Street, McFadden Avenue, Newland Street, Slater Avenue, Springdale Street, Talbert Avenue, and Ward Street are all one-stage bridges.

Bridges being built in two stages maintain traffic on a portion of the bridge while the new bridge is being constructed. Significant bridge construction progressed at the two-stage bridges at the Bolsa Avenue, Brookhurst Street, Fairview Road, Goldenwest Street, Warner Avenue, and Westminster Boulevard bridges. The Magnolia Street bridge was the first two-stage bridge to be fully opened to traffic in May 2021. Opening the Magnolia Street bridge allowed for demolition and construction activities to commence on the Warner Avenue bridge. The Bolsa Chica Road bridge was the second two-stage bridge to be fully opened to traffic in December 2021. The Fairview Road bridge also fully opened to traffic recently in May. The first halves of the new Bolsa Avenue, Goldenwest Street, and Westminster Boulevard bridges opened last year, and the full bridges are anticipated to be opened later this year, with the exception of the Bolsa Avenue bridge which will open in early 2023. The last two-stage bridge to start construction was at Brookhurst Street. The first half of the Brookhurst Street bridge was opened to traffic in February and construction continues on the second half of the new bridge.

Lastly, the Heil pedestrian overcrossing bridge was demolished in late 2020, and the new pedestrian overcrossing is anticipated to open in the next few months. Following is a tabular summary of the anticipated openings of the Project's 18 bridges that cross over the freeway and require replacement:

Overcrossing Bridge	Number of Stages	Anticipated Opening Date		
		Open	2022	2023
Bolsa Chica Road	Two	X		
Springdale Street	One			X
Westminster Boulevard	Two		X	
Edwards Street	One	X		
Goldenwest Street	Two		X	
Bolsa Avenue	Two			X
McFadden Avenue	One	X		
Edinger Avenue	One	X		
Newland Street	One			X
Heil Avenue (pedestrian)	One		X	
Magnolia Street	Two	X		
Warner Avenue	One			X
Bushard Street	One	X		
Slater Avenue	One	X		
Brookhurst Street	Two			X
Talbert Avenue	One	X		
Ward Street	One		X	
Fairview Road	Two	X		
Total		9	4	5

In addition to the bridge replacements noted above, the widening of four existing freeway bridges and construction of three new on-ramp bridges continued over Beach Boulevard, Bolsa overhead railroad crossing, Harbor Boulevard, Santa Ana River, and an old United States Navy railroad crossing. Lastly, the construction of the new connector between the medians of I-405 and SR-73 that will connect the 405 Express Lanes to SR-73 commenced last year.

Looking ahead, the remainder of 2022 will remain busy related to bridge, wall, and pavement construction.

**Project Challenges**

As would be expected on a project of this magnitude, certain challenges have been encountered, including the following:

- Oversight and approvals from many different agencies and third parties
- Cost and availability of construction resources and materials in this active construction market

- Dispute resolution and change management
- Minimizing impacts and disruptions to the public
- Timely performance of third-party utility work
- Project schedule impacts and mitigations

Additionally, in September 2019, there was a discovery of archaeological resources within the Project site. Additional discoveries have impacted construction intermittently since that time. OCTA continues to follow established state procedures for this type of discovery, and is working with the responsible parties to ensure appropriate and respectful procedures are followed. This discovery and subsequent discoveries have impacted construction at a specific location; however, construction at that location has since resumed.

OCTA has worked closely with its partners and OC405 to mitigate schedule delays when identified. Significant schedule mitigations have been implemented during the course of construction. These include expediting construction of several key bridges and extended overnight and daytime freeway lane closures to take advantage of the significantly reduced traffic volumes on the freeway at certain times in the past two years related to the coronavirus (COVID-19) pandemic. The objectives of the schedule mitigations are to minimize schedule delay impacts while balancing the minimization of traffic impacts.

#### Risks Remaining

Many of the Project risks that were realized during the design phase and the first 80 percent of construction have since been retired. However, there are risks for the remaining construction moving forward. The COVID-19 pandemic continues to be a risk as the effects and duration of the pandemic remain unknown. OCTA, its partners, and OC405 remain vigilant in taking the appropriate safety measures to minimize impacts to the workforce and construction progress. Additional archaeological discoveries also continue to be a risk as excavation in certain areas of the Project will continue to take place this year. OCTA has taken a proactive approach with the appropriate stakeholders to minimize impacts if there are future discoveries. The timely relocation of utilities is always a risk and the team will remain very focused on these efforts. Construction labor and materials availability is a risk that has been increasing recently. From a tolling standpoint, the coordination near the end of the Project when Kapsch will be installing and testing the tolling equipment, concurrent with the completion of construction by OC405, is key to remaining on schedule. Coordination efforts to plan for this timeframe at the end of the Project are ongoing and have been effective to date. Lastly, WSP's development of the tolling back office system is also key to remaining on schedule for opening the 405 Express Lanes in late 2023.

### Project Cost and Schedule

The overall Project cost is \$2,080,234,000. The Project milestones for substantial completion and opening of the 405 Express Lanes remain on schedule and are planned for late 2023.

### Public Outreach

During the second quarter of 2022, the Outreach team hosted a booth at Fountain Valley Summerfest. This event drew thousands of attendees and the Project team developed and distributed collateral in English, Spanish, and Vietnamese, and invited visitors to follow us on social media and take photos in a photo booth to kick off summer. This effort resulted in about 50 people following and liking the Project on our social media accounts.

The Outreach team conducted virtual meetings with the Leisure World community in the City of Seal Beach regarding construction activities adjacent to the community, and with emergency service providers and city partners regarding an extended full freeway closure in the City of Costa Mesa. Virtual meeting participation continues to exceed that of historical in-person meetings and community members have consistently indicated through polling during meetings that they would like to receive major construction updates virtually. The team will continue to hold virtual meetings with key stakeholders to maximize outreach efforts and look for opportunities for in-person meetings as appropriate.

The Outreach team responded to more than 260 comments and questions from the public in the second quarter. These calls and emails typically focus on construction activities, schedule questions, upcoming closures and detours, and maintenance inquiries.

The team continues to utilize both print and a variety of electronic communication methods to share major activities, closures and detours, as well as highlight key Project milestones. Approximately 31,500 flyers were distributed to residences and businesses, and more than 157 email alerts were sent, with a 52 percent average open rate, which is above the industry average. These notifications were sent to alert the community of activities such as pile driving, paving, ramp reconstruction, and soundwall work, as well as bridge openings.

Other digital tools such as social media and location-based advertising on mobile devices and tablets continue to be useful, cost-effective methods for communicating major Project activities. During the second quarter, the team reached more than 350,000 Facebook, Instagram, and Twitter users combined. The location-based advertising campaigns resulted in approximately 400,000 impressions, about the same as the previous three-month period.



All of these efforts continue to drive traffic to the Project website. The website hosts a variety of resources including the Project map, which allows readers to learn about key activities at every major interchange along the Project corridor, as well as closures and detours. This same information is provided in the navigation app, Waze.

Use of the Project map jumped nearly 60 percent over the first quarter of 2022, with more than 7,500 users. In addition, the website saw a nearly 30 percent increase in traffic from the previous quarter, with more than 22,600 views.

Meanwhile, the video series highlighting Project benefits and accomplishments, launched in spring 2022, has reached more than 35,750 viewers to date, and continues to be a successful way to promote the Project in the community.

Looking to the fall, the team anticipates continuing to host virtual meetings and stakeholder briefings, as well as participating in in-person community events such as National Night Out and the Rossmoor Winter Festival, where the team will share the status of activities at several bridges and ramps, as well as how to receive Project updates.

**Summary**

Construction continues to advance. Currently, utility relocations, tolling elements, public outreach, and other activities are in process to continue the construction phase of the Project.

**Attachment**

None.

**Prepared by:**

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Senior Program Manager  
(714) 560-5925

**Approved by:**

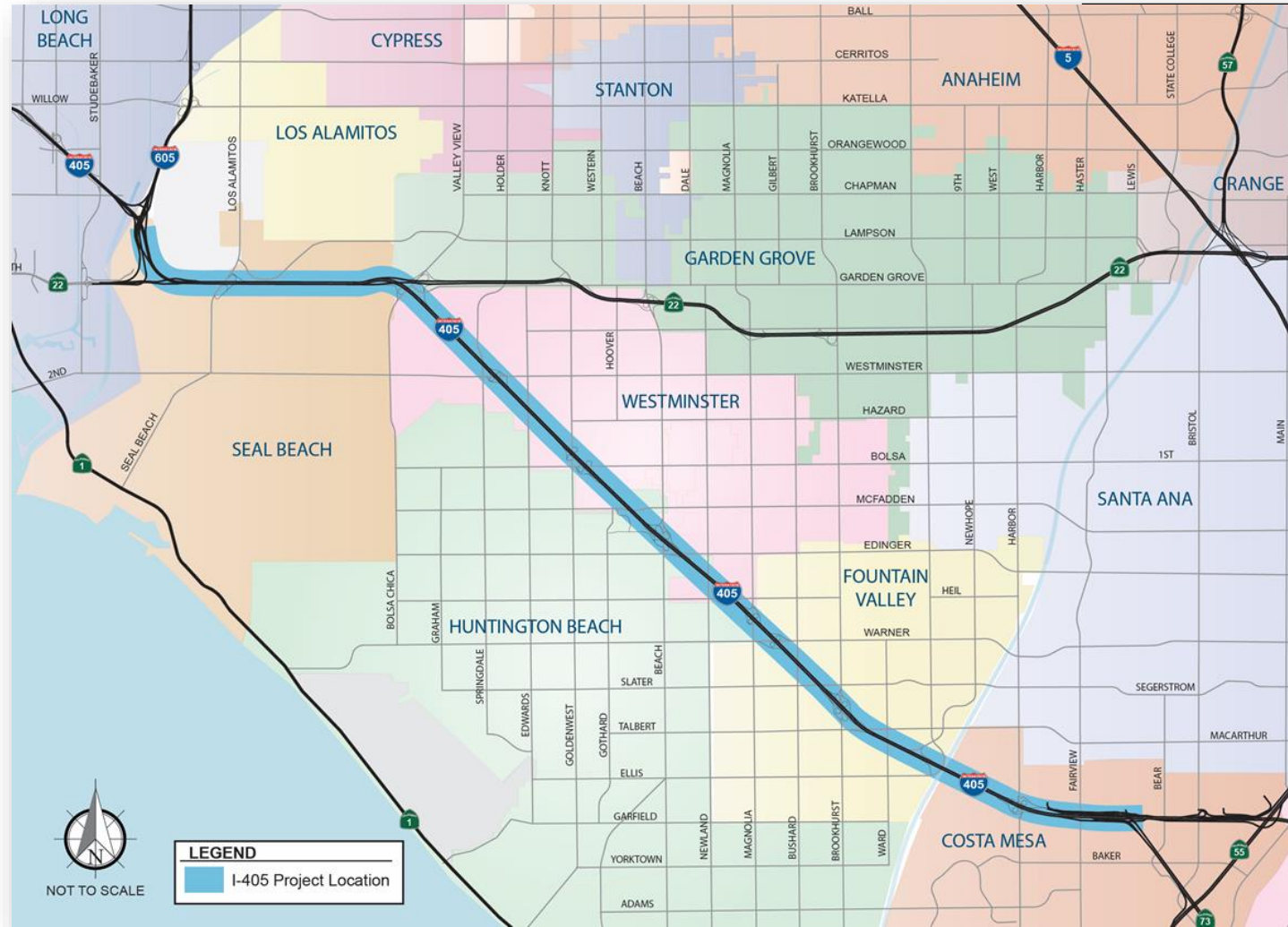
James G. Beil, P.E.  
Executive Director, Capital Programs  
(714) 560-5646



# Interstate 405 Improvement Project Update



# Project Location and Key Features



# Background



Milestone	Completion Date
Environmental clearance	May 2015
Orange County Transportation Authority Board of Directors awards design-build contract to OC 405 Partners (OC405)	November 2016
Notice to Proceed (NTP) No. 1 issued	January 2017
TIFIA* loan executed	July 2017
NTP No. 2 issued	July 2017
Construction began	March 2018
Anticipated substantial completion	Late 2023

\* Transportation Infrastructure Finance and Innovation Act



# Design-Build Project Update



## General

- Over 80 percent complete with Interstate 405 Improvement Project
- Substantially complete with both design and right-of-way possession

## Construction

- Nine of 18 bridge replacements complete (all remaining bridges under construction)
- Approximately 90 percent of walls complete
- Approximately 80 percent of ramps complete
- Approximately 70 percent of paving complete

# 405 Express Lanes Update



- Toll Lane Systems Integrator
  - Selected Kapsch TrafficCom USA, Inc., (Kapsch) in 2018 to provide services for in-lane systems, electronic message signs, corridor cameras, traffic operations center staffing, etc.
  - Kapsch currently working with OC405 to design system and coordinate needs
- Back-Office System and Customer Service Center Vendor and Location
  - Agreement executed with WSP USA Services, Inc. in January 2022
  - Lease executed for customer service center site location in February 2022
- Traffic Operations Center
  - Utilizing Santa Ana Bus Base location and build out recently completed
- Marketing Services Procurement
  - Marketing request for proposals recently released

# Construction Update



**Fairview Road**



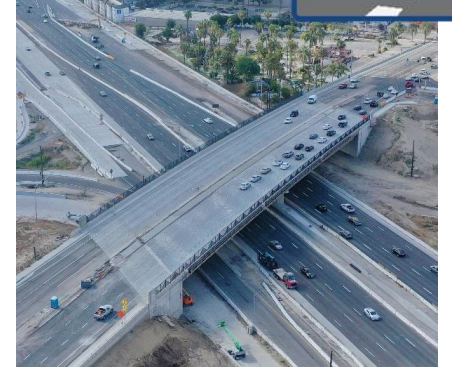
**Talbert Avenue**



**Slater Avenue**



**Bushard Street**



**Magnolia Street**



**Edinger Avenue**



**McFadden Avenue**



**Edwards Street**



**Bolsa Chica Road**

**Nine bridge replacements complete and open to traffic**



# Construction Update



**Interstate 405 (I-405)/State Route 73 (SR-73) median connector**



# Construction Update



**Ward Street bridge construction**



**Warner Avenue bridge construction**



# Construction Update



**Heil Avenue (pedestrian) bridge construction**



**Beach Boulevard construction**



# Construction Update



**Bolsa Avenue bridge construction**



**Goldenwest Street bridge construction**



# Construction Update



**Westminster Boulevard bridge construction**



# Bridge Construction Map



# Status of 18 Bridge Replacements



Overcrossing Bridge	Number of Stages	Anticipated Opening Date		
		Open	2022	2023
Bolsa Chica Road	Two	X		
Springdale Street	One			X
Westminster Boulevard	Two		X	
Edwards Street	One	X		
Goldenwest Street	Two		X	
Bolsa Avenue	Two			X
McFadden Avenue	One	X		
Edinger Avenue	One	X		
Newland Street	One			X
Heil Avenue (Pedestrian)	One		X	
Magnolia Street	Two	X		
Warner Avenue	One			X
Bushard Street	One	X		
Slater Avenue	One	X		
Brookhurst Street	Two			X
Talbert Avenue	One	X		
Ward Street	One		X	
Fairview Road	Two	X		

# Major Risks Remaining



## Design-build risks:

- Archaeological resources
- Coronavirus
- Utility relocation delays
- Design-builder labor/material availability and cost escalation/pressure

## Tolling risks:

- Design-builder/toll lanes system integrator coordination and equipment installation
- Tolling vendor delivery of back-office system services

# Outreach Metrics



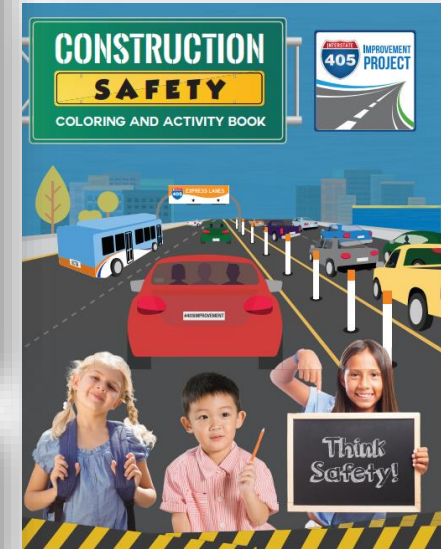
Category	April – June 2022	January – March 2022
Public comments, questions	261	274
Location-based advertising	403,332 impressions	606,361 impressions
Construction alerts	157 (52% average open rate)	140 (42% average open rate)
Web page views	22,688	17,702
Interactive map users	7,524	4,790
Social media reach	354,826	374,274
Flyers	31,470	53,250



# Upcoming Outreach



- Fall community events
  - National Night Out
  - Rossmoor Winter Festival
- Major activity notifications
  - I-405/SR-73 connector activities
  - Paving activities
  - Extended ramp closures
- Bridge openings
  - Ward Street
- Diverse communities
  - Briefings with community-based organizations





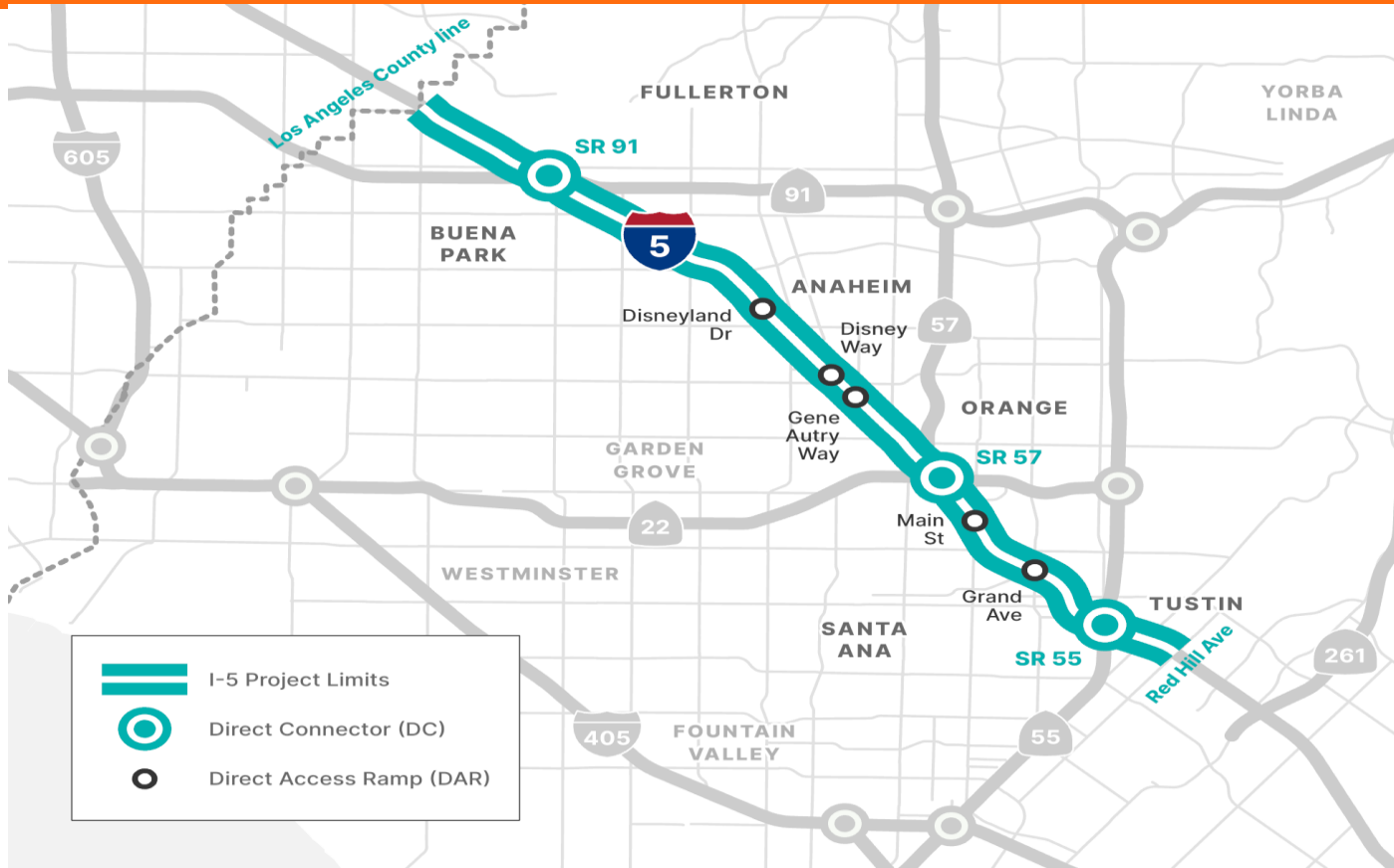
# Caltrans District 12 Interstate 5 Managed Lanes Project Update

Chris Flynn  
Caltrans District 12  
Deputy District Director  
Division of Environmental Analysis





# I-5 Managed Lanes Project Limits





# Purpose & Need

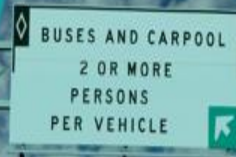
- The **purpose** of this project is to improve the overall movement of people and goods along this section of the I-5 by:
  - Improving managed lanes network operations
  - Improving mobility and trip reliability
  - Maximizing person throughput by facilitating efficient movement of bus and rideshare users
  - Applying technology to help manage traffic demand
- The **need** for the project is to address:
  - HOV degradation
  - Demand that exceeds existing capacity
  - Operational deficiencies
- The current PA&ED phase is funded by the State Highway Operation and Protection Program, (SHOPP), and the State Transportation Improvement Program (STIP)



*Investing in road, freeway, and bridge improvements across California to enhance transit and safety.*







# OC HOV Lane Degradation from 2013 to 2017



2013

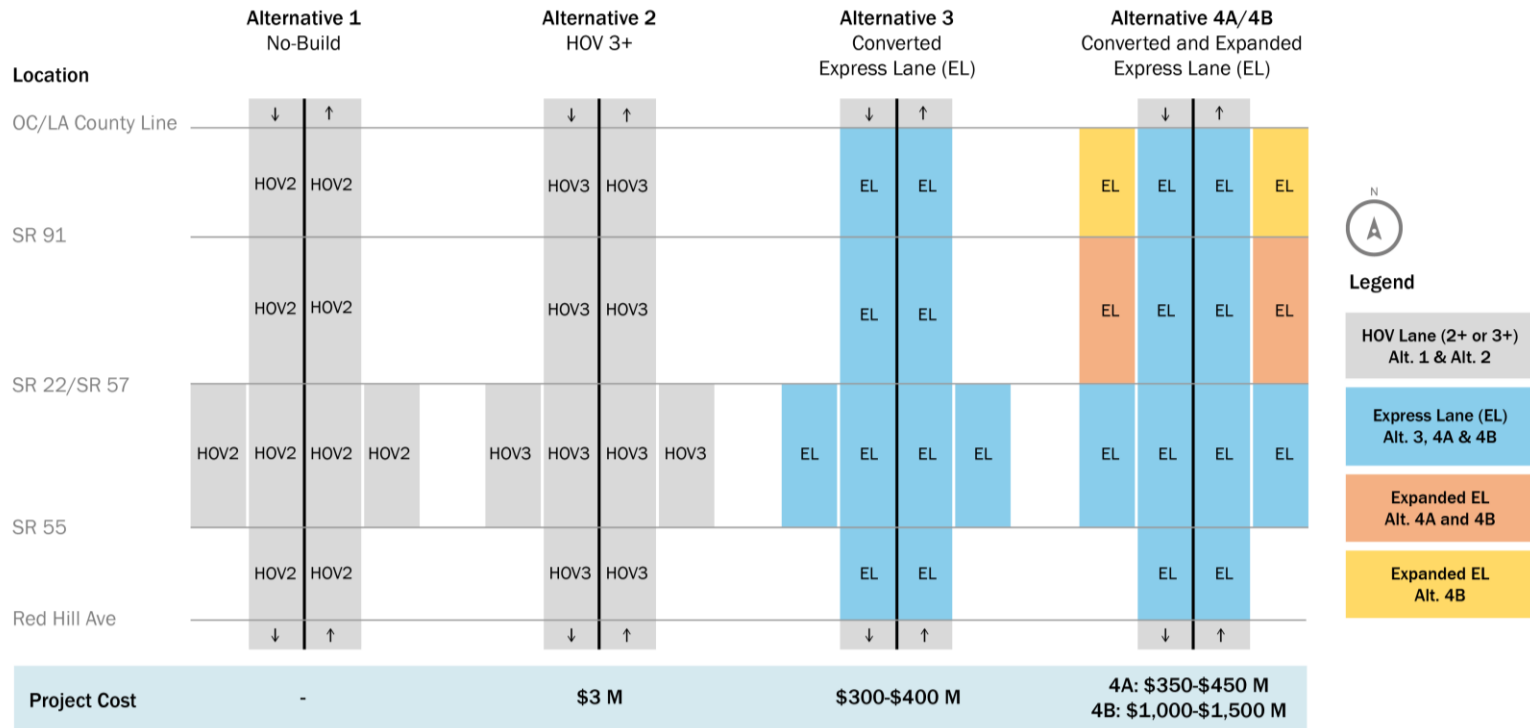


2017



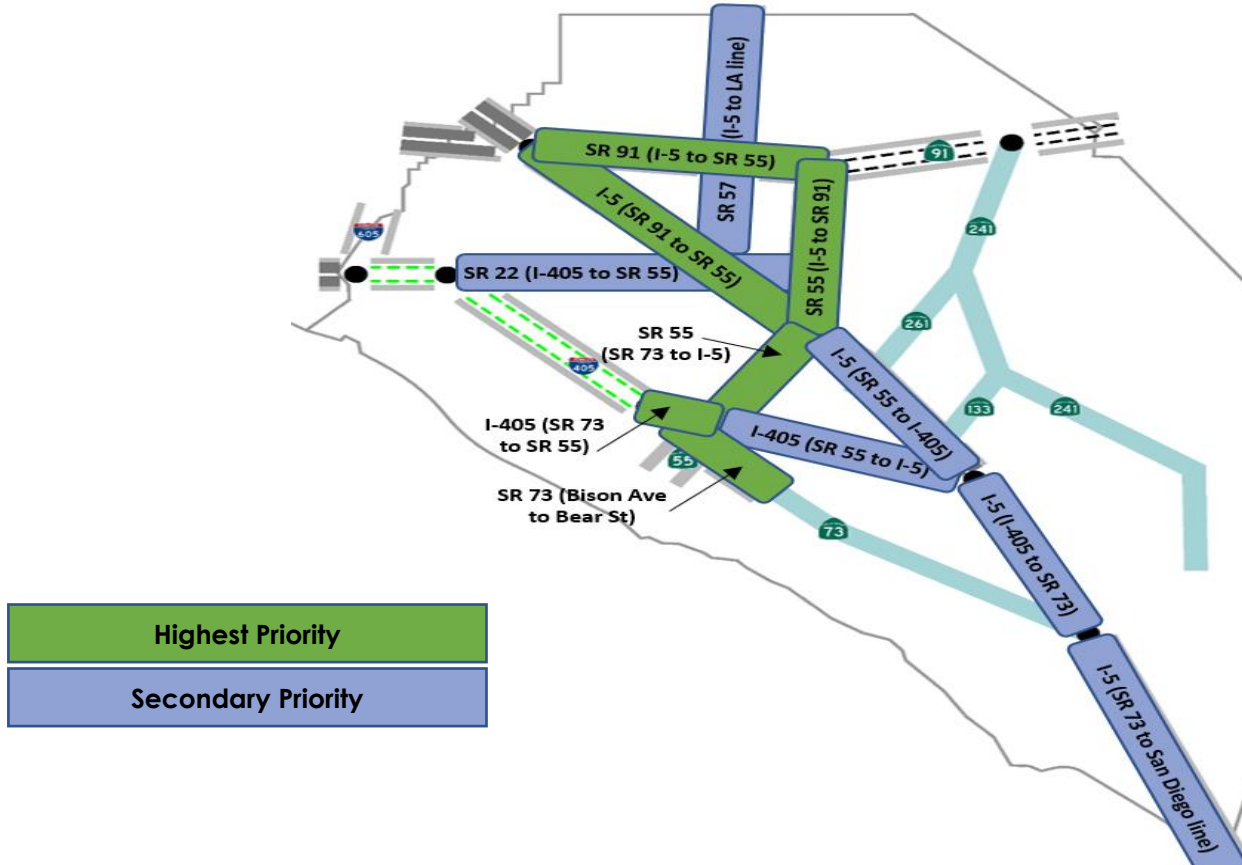


# Project Alternatives





# Express Lane Implementation Priority



Highest Priority
Secondary Priority







## Express Lane Benefits

7

- ✓ Comply with Federal regulations
- ✓ Support economic vitality
- ✓ Increase people throughput & maximize system productivity
- ✓ Provide reliable travel time & travel choice
- ✓ Enhance transit/carpooling & improve sustainability







# Project Timeline

- **Spring 2022 (May 9 – June 8)** – Public Scoping Phase
- **Summer 2022** – Define and develop build alternatives
- **Summer through Winter 2022** – Conduct technical studies
- **Summer 2023** – Circulation of Draft Project Report and Environmental Document; Public hearing/public comment
- **Fall/Winter 2023** – Response to public comments; Final Project Report and Environmental Document; Caltrans selects preferred alternative
- **Winter 2023** – Design-Build Delivery Method
- **2026** – Construction

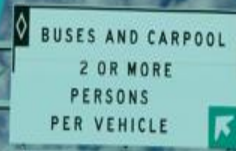




## Partners and Outreach

- Federal Highway Administration **(FHWA)**
- Southern California Association of Governments **(SCAG)**
- Orange County Transportation Authority **(OCTA)**
- Transportation Corridor Agencies **(TCA)**
- Los Angeles County Metropolitan Transportation Authority **(LA Metro)**
- California Highway Patrol **(CHP)**
- Caltrans HQ, D-7, D-8, and D-11
- Business Community
- County of Orange
- Local Cities (Anaheim, Santa Ana, Orange, Buena Park, Fullerton, Tustin)
- General Public Open Houses



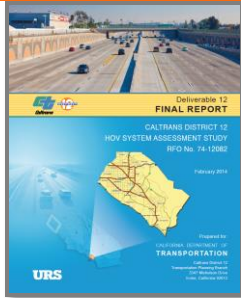


## Questions





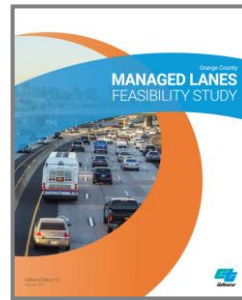
# Background Studies



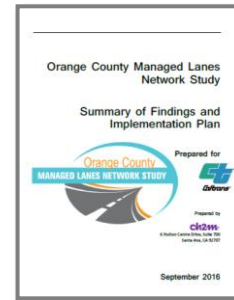
HOV System Assessment Study



DD-43-R1



Orange County MLFS



Orange County MLNS



I-5 ML PSR Kickoff

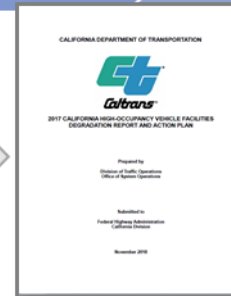


I-5 ML PSR Final Approval



2011 HOV Degradation Report

Annual HOV Degradation Report and Action Plan



2017 HOV Degradation Report





**MATERIALS WILL BE PROVIDED UNDER  
SEPARATE COVER PRIOR TO THE  
August 8, 2022  
BOARD OF DIRECTORS MEETING.**