



AGENDA

Regional Planning and Highways Committee Agenda

Committee Members

Joseph Muller, Chairman
Barbara Delgleize, Vice Chair
Lisa A. Bartlett
Doug Chaffee
Katrina Foley
Patrick Harper
Mark A. Murphy

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

Monday, August 1, 2022 at 10:30 a.m.

Any person with a disability who requires a modification or accommodation in order to participate in this meeting should contact the OCTA Clerk of the Board 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 or through the OCTA Clerk of the Board's office at 600 South Main Street, Orange, California.

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 audio live streaming of the Board and Committee meeting at: [Board of Directors - Live and Archived Audio](#).

Members of the public may address the Board regarding any item 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, and must be received no later than **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.

Call to Order

Pledge of Allegiance

Director Chaffee

Special Calendar

There are no Special Calendar matters.

Consent Calendar (Items 1 through 9)

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

1. Approval of Minutes

Recommendation

Approve the minutes of the July 1, 2022, Regional Planning and Highways Committee meeting.

2. 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.
- 3. 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 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.

4. 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.

5. 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.

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.



6. **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.

7. **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.

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.



8. 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.
- 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.



9. 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.

- 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

10. **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.

11. **Temporary Policy Change to Address Extraordinary Inflation for Prior Regional Capacity Program and Regional Traffic Signal Synchronization Program Allocations**
Adriann Cordoso/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.



Discussion Items

- 12. 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.

- 13. Public Comments**
- 14. Chief Executive Officer's Report**
- 15. Committee Members' Reports**
- 16. Closed Session**

There are no Closed Session items scheduled.

- 17. Adjournment**

The next regularly scheduled meeting of this Committee will be held at **10:30 a.m. on FRIDAY, September 2, 2022**, at the Orange County Transportation Authority Headquarters, Board Room, 550 South Main Street, Orange, California.



Committee Members Present

Barbara Delgleize, Vice Chair
Lisa A. Bartlett
Patrick Harper
Mark A. Murphy

Staff Present

Darrell E. Johnson, Chief Executive Officer
Jennifer L. Bergener, Deputy Chief Executive Officer
Allison Cheshire, Clerk of the Board Specialist, Senior
Sahara Meisenheimer, Clerk of the Board Specialist
Cassie Trapesonian, Assistant General Counsel
OCTA Staff Members

Committee Members Absent

Joseph Muller, Chairman
Doug Chaffee
Katrina Foley

Call to Order

The July 1, 2022, regular Regional Planning and Highways Committee meeting was called to order by Committee Vice Chair Delgleize at 10:30 a.m.

Pledge of Allegiance

Director Bartlett led the Pledge of Allegiance.

Special Calendar

There were no Special Calendar items.

Consent Calendar (Items 1 through 5)

1. Approval of Minutes

A motion was made by Director Murphy, seconded by Director Harper, and passed by those present, to approve the minutes of the Regional Planning and Highways Committee meeting of June 6, 2022.

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

This item was pulled by Director Bartlett to inquire about graffiti in the project area.

Jeff Mills, Senior Program Manager, responded that graffiti in the area is monitored and addressed as needed.

A motion was made by Director Bartlett, seconded by Director Murphy, and passed by those present, to authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 3.3 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$3,000,000, to provide additional extra maintenance work.



3. Orange County Transportation Authority State and Federal Grant Programs Update and Recommendations

A motion was made by Director Murphy, seconded by Director Harper, and passed by those present, to:

- A. Approve three delay requests, one each from the cities of Costa Mesa, San Clemente, and Santa Ana.
- B. Remove prior conditions for approval and approve programming \$4.365 million in Congestion Mitigation and Air Quality Improvement Program funds through the Bicycle Corridor Improvement Program for four projects in the City of Santa Ana along Bristol Street.
- C. Authorize the Chief Executive Officer to negotiate and execute a cooperative agreement with the City of Santa Ana for \$4.365 million in Congestion Mitigation and Air Quality Improvement Program funds through the Bicycle Corridor Improvement Program for four projects in the City of Santa Ana along Bristol Street.
- D. Authorize staff to make all necessary amendments to the Federal Transportation Improvement Program and execute any required agreements or amendments to facilitate the recommendations above.

4. Comprehensive Transportation Funding Programs Semi-Annual Review – March 2022

A motion was made by Director Murphy, seconded by Director Harper, and passed by those present, to:

- A. Approve requested adjustments to Comprehensive Transportation Funding Programs projects and Local Fair Share and Senior Mobility Program funds.
- B. Due to the unique circumstances created by the coronavirus, approve an exception to the Comprehensive Transportation Funding Programs Guidelines for Environmental Cleanup Program Tier I projects in order for project award delays to be granted.



5. Consultant Selection for Preparation of a Project Study Report/Project Development Support for State Route 57 Northbound between Lambert Road and Tonner Canyon Road

A motion was made by Director Murphy, seconded by Director Harper, and passed by those present, to:

- A. Approve the selection of T.Y. Lin International, as the firm to prepare the project study report/project development support for State Route 57 northbound between Lambert Road and Tonner Canyon Road.

- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-2-2239 between the Orange County Transportation Authority and T.Y. Lin International to prepare the project study report/project development support for State Route 57 northbound between Lambert Road and Tonner Canyon Road.

Regular Calendar

There were no Regular Calendar items.

Discussion Items

6. Public Comments

There were no public comments received.

7. Chief Executive Officer's Report

Darrell E. Johnson, Chief Executive Officer, reported on the following:

State Route 55 (SR-55) Groundbreaking

- Construction is scheduled to begin in late August on the SR-55 Improvement Project.
- This project will improve the freeway with one regular lane and one carpool lane in each direction between Interstate 405 and Interstate 5.
- A groundbreaking is scheduled for Thursday, July 28, next to the freeway in Tustin.

8. Committee Members' Reports

There were no Committee Member's reports.



9. Closed Session

There were no Closed Session items scheduled.

10. Adjournment

The meeting adjourned at 10:36 a.m.

The next regularly scheduled meeting of this Committee will be held at **10:30 a.m. on Monday, August 1, 2022**, at the Orange County Transportation Authority Headquarters, Board Room, 550 South Main Street, Orange, California.


ATTEST

Allison Cheshire
Clerk of the Board Specialist, Senior



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

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**

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 **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:



Josue Vaglienty, P.E.
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

Location No.	Temporary Construction Easement	Fee Take	Owner	Assessor's Parcel Number	General Location	Comment
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	
Total	10	4				



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**

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*

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**

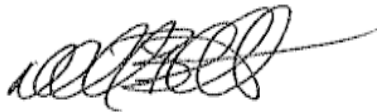
Summary

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:



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**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 ^{1,2}	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
State Highway Project Totals		\$4,002,561	\$508,500		\$77,761	\$336,056	\$182,783	\$119,603		\$1,823,946	\$953,912
Federal Funding Total		\$586,261									
State Funding Total		\$638,442									
Local Funding Total		\$2,777,858									
Total Funding (000's)		\$4,002,561									

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



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*

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*

- 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**

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*

Attachment

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

Prepared by:



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Approved by:



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**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.



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**

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**

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

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**OC 405 Partners
Agreement No. C-5-3843
Contract Change Order Log**

Contract Change Order (CCO) No.	Title	Status	Date Executed	Cost
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

Contract Change Order (CCO) No.	Title	Status	Date Executed	Cost
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

Contract Change Order (CCO) No.	Title	Status	Date Executed	Cost
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

Contract Change Order (CCO) No.	Title	Status	Date Executed	Cost
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

Contract Change Order (CCO) No.	Title	Status	Date Executed	Cost
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

Contract Change Order (CCO) No.	Title	Status	Date Executed	Cost
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

Contract Change Order (CCO) No.	Title	Status	Date Executed	Cost
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

Contract Change Order (CCO) No.	Title	Status	Date Executed	Cost
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



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**

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*

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**

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

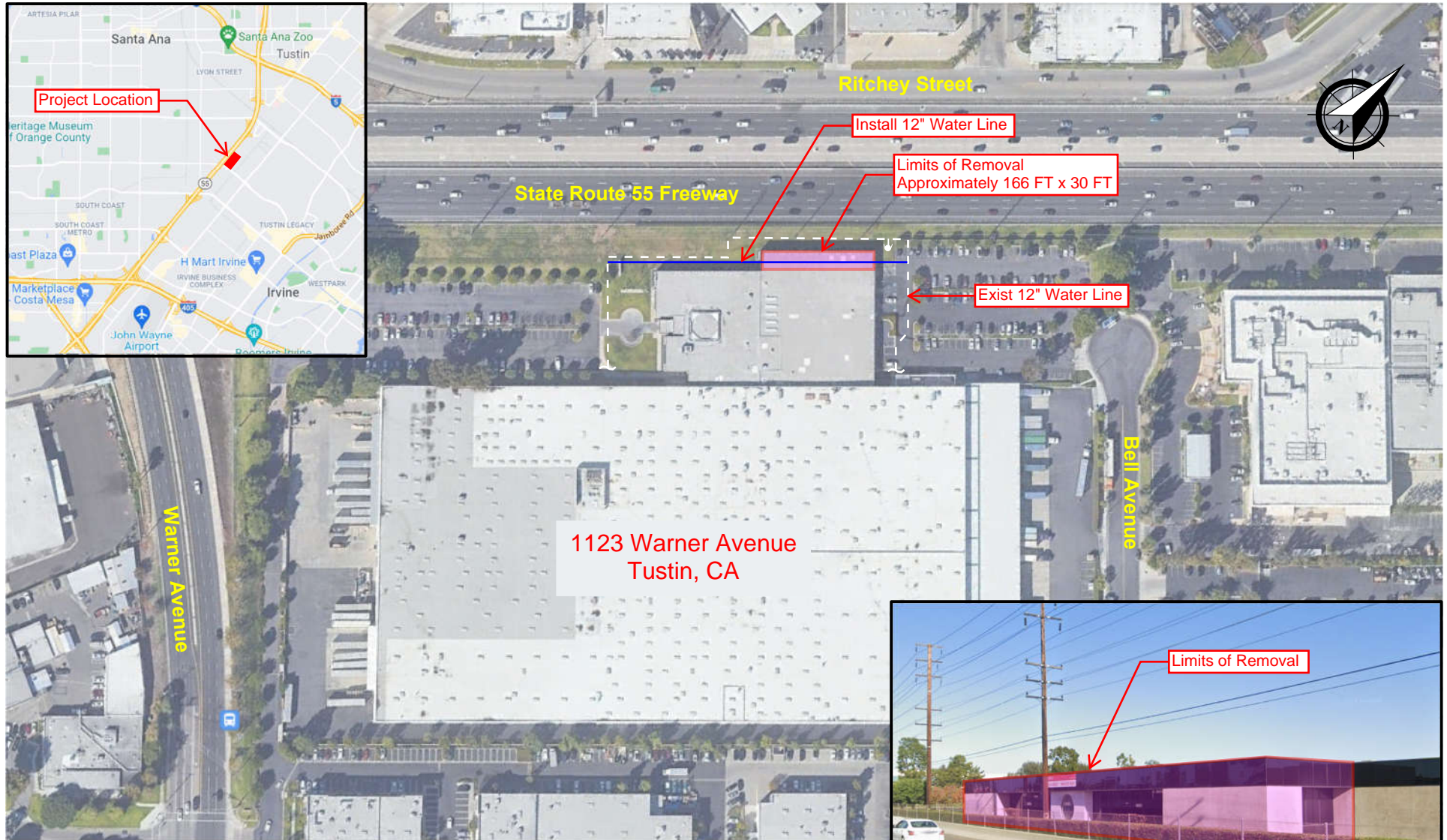
Approved by:



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



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:" line.

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

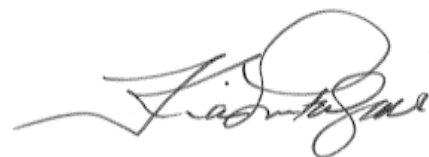
- A. 2023 CTFP Guidelines (Project O and Project P) – Proposed Changes List
- B. Guidelines Excerpt, Comprehensive Transportation Funding Programs Guidelines, 2023 Call for Projects

Prepared by:



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Section Manager III, Measure M Local
Programs
(714) 560-5401

Approved by:



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

2023 CTFP Guidelines (Project O and Project P) – Proposed Changes List				
No.	Chapter	Section	Page No.	Proposed Change
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"> • 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
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

2023 CTFP Guidelines (Project O and Project P) – Proposed Changes List				
No.	Chapter	Section	Page No.	Proposed Change
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"> 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
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

2023 CTFP Guidelines (Project O and Project P) – Proposed Changes List				
No.	Chapter	Section	Page No.	Proposed Change
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

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.

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"> • \$0 - \$5 million • Score at least 50 points • Logical, standalone project • Unallocated balance shifts to Tier II for programming 	<ul style="list-style-type: none"> • \$5+ million request • Score at least 50 points • Logical, standalone project • Unallocated balance shifts to Tier II for programming
Tier II	<ul style="list-style-type: none"> • Balance of unallocated funds from Tier I prioritization • Request can be of any dollar value to compete in Tier II • Multiple segments of the same project cannot be submitted under both categories. 	

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

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

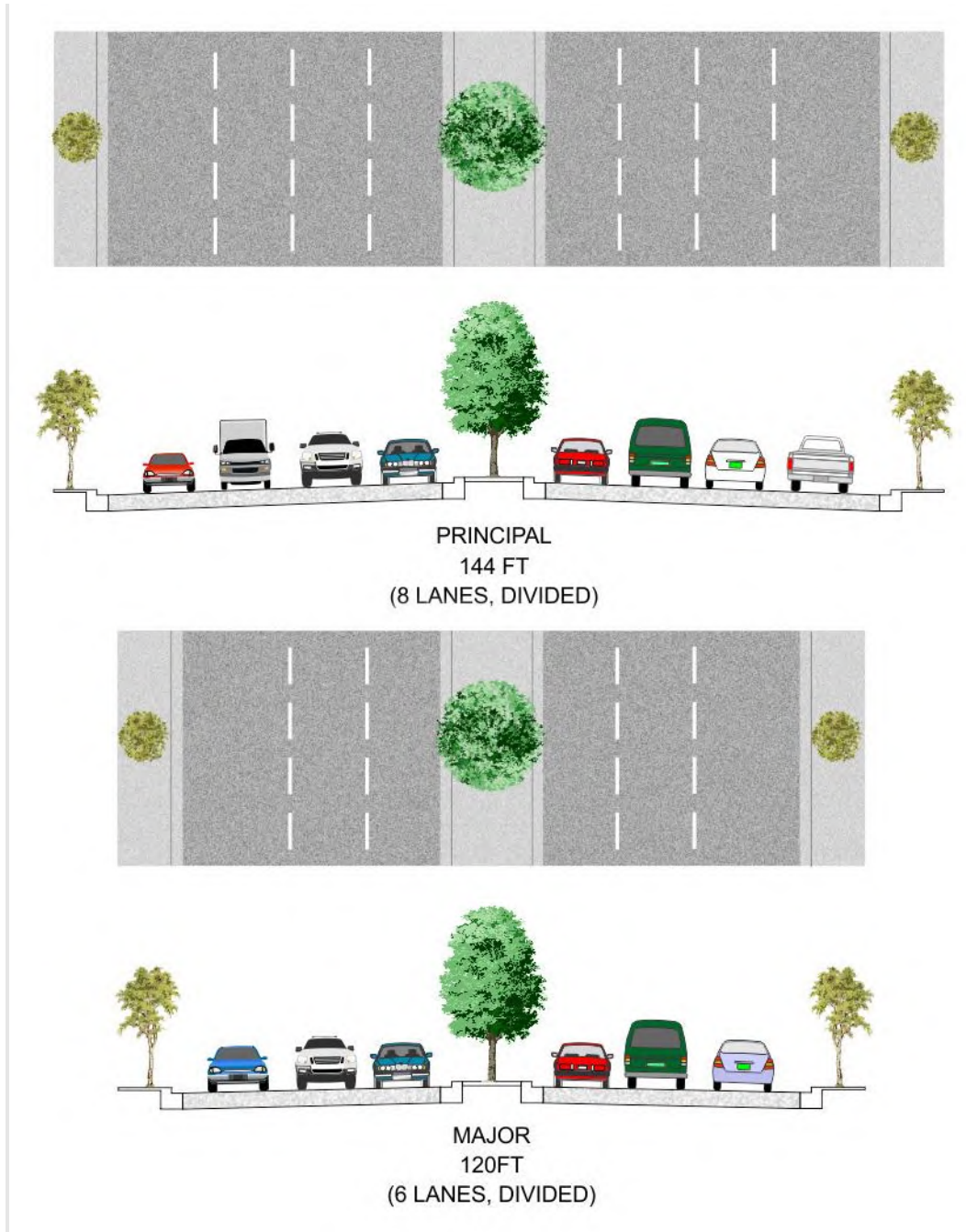
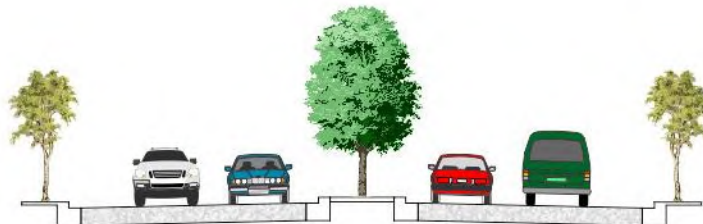
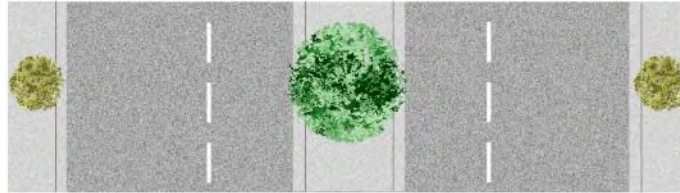
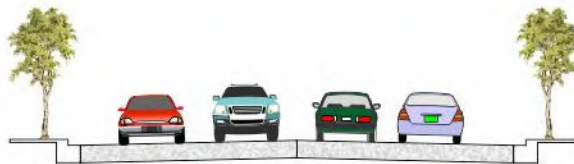
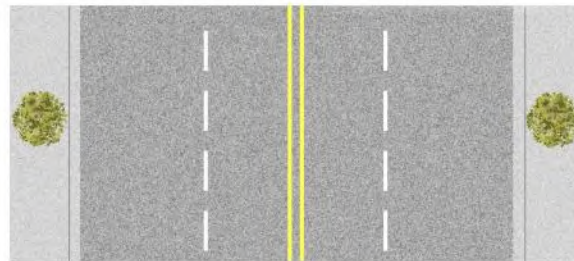


Exhibit 7-5 *continued* Standard MPAH Cross Sections

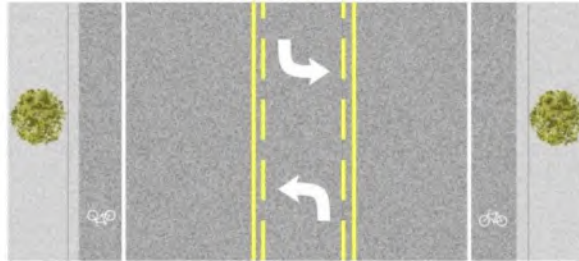


PRIMARY
100 FT
(4 LANES, DIVIDED)



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>				
	A .51 - .60 v/c	B .61 - .70 v/c	C .71 - .80 v/c	D .81 - .90 v/c	E .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 ~~the~~ 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**

Category	Points Possible	Percentage
Facility Usage		3025%
Existing ADT <u>& VMT</u>	15	10 15%
Existing VMT	10	10 %
Current Project Readiness	10	10%
Economic Effectiveness		15%
Cost Benefit	10	10%
Funding Over-Match	5	5%
Facility Importance		2025%
Transportation Significance	10	10%
Operational Efficiency	10 15	10 15%
Benefit		35%
Improvement Characteristics	10	10%
Level of Improvement and Service	25	25%
Total	100	100%

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:
3025			2025		
<u>Existing ADT & VMT</u>		<u>Max Points: 15</u>	<u>Transportation Significance Range</u>		<u>Points</u>
<u>Existing ADT Range</u>		<u>Points</u>	Principal or CMP Route		10
45+	thousand	10	Major		8
40 – 44	thousand	8	Primary		6
35 – 39	thousand	6	Secondary		4
30 – 34	thousand	5	Collector		2
25 – 29	thousand	4	Operational Attributes	Max Points:	
20 – 24	thousand	3	(within the roadway)		10 15
15 – 19	thousand	2	Meets MPAH Confgs.		3 4
10 – 14	thousand	1	Pedestrian Facilities (New)		3 4
<10	thousand	0	Bike Lanes (New)		3 4
<u>VMT Range</u>		<u>Points</u>	Active Transit Route(s)		2
31+	thousand	10	Bus Turnouts		2
26 – 30	thousand	8	Median (Raised)		2
22 – 25	thousand	6	Remove On-Street Parking		2
18 – 21	thousand	5	Safety Improvements		2 3
14 – 17	thousand	4	<u>Active Transportation Focused Plan</u>		
11 – 13	thousand	3	<u>Elements</u>		2
08 – 10	thousand	2	Sustainability Elements		2
04 – 07	thousand	1	Other		2
<4	thousand	0			
<u>Current Project Readiness</u>		<u>Max Points: 10</u>	Benefit Points: 35		
ROW (All Easement and Titles)		5	<u>Improve Characteristics</u>	<u>Points</u>	
Final Design (PS&E)		4	Gap Closure		10
Environmental Approvals		2	New Facility/Extension		8
Preliminary Design (35%)		2	Bridge Crossing		8
ROW (All Offers Issued)		2	Adds Capacity		6
			Improves Traffic Flow		2
<u>Points are additive. Design and ROW limited to highest qualifying designation.</u>			LOS Improvement	Max Points: 25	
Economic Effectiveness Points: 15			Existing LOS Starting Point Range		
<u>Cost Benefit (Total \$/ADT)</u>		<u>Points</u>	(LOS Imp x LOS Starting Pt)	<u>Points</u>	
<u>Range*</u>			1.01+		5
< 49		10	.96 – 1.00		4
50 – 74		9	.91 – .95		3
75 – 99		7	.86 – .90		2
100 – 149		5	.81 – .85		1
150 – 199		4	<.81		0
200 – 249		3	LOS Improvements with Project (exist. Volume)		
250 – 299		2	<u>Existing LOS Starting Point Range</u>	<u>Points</u>	
300 – 349		1	.20+		5
350+		0	.16 – .20		4
Funding Over-Match (local match/project cost) minus minimum local match requirement.			.10 – .15		3
<u>Range*</u>		<u>Points</u>	.05 – .09		2
25+%		5	.01 – .05		1
			<.01		0

Comprehensive Transportation Funding Programs



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**

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

Table 7-4 Intersection Widening Point Breakdown

ICE SCORING CRITERIA

Point Breakdown for Intersection Capacity Enhancement Projects Maximum Points = 100

Facility Usage Points: 25			Facility Importance Points: 30		
ADT Range*			Transportation Significance Range		
		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.			Operational Attributes (within the roadway) Max Points: 20		
Current Project Readiness Max Points: 10			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 Points: 20			Benefit Points: 25		
Cost Benefit (Total \$/ADT) Range*			LOS Improvement Max Points: 25		
		Points	Calculation: LOS Imp x LOS Starting Point		
< 20		10	Existing LOS (Peak Hour) Range		
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
Range*			LOS Reduction w/ Project (existing Volume) Range		
		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 – 05,04		1
00 – 04%		0	<.01		0
Coordination with Contiguous Project Range					
		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**

Category	Points Possible	Percentage
Facility Usage		20%
Existing ADT	10	10%
Current Project Readiness	10	10%
Economic Effectiveness		25%
Cost Benefit	10	10%
Matching Funds	10	10%
Coordination with Freeway Project	5	5%
Facility Importance		25%
Transportation Significance	10	10%
Operational Efficiencies	15	15%
Benefit		30%
Existing LOS	10	10%
LOS Reduction w/ Project	10	10%
Improvement Characteristics	10	10%
Total	100	100%

Table 7-6 Interchange Improvement Point Breakdown

FAST SCORING CRITERIA

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

Facility Usage Points: 20			Facility Importance Points: 25		
ADT Range*			Transportation Significance Range		
		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			Operational Attributes (within the roadway) Max Points: 15		
Current Project Readiness Max Points: 10			Pedestrian Facilities (New) 34		
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
			Active Transportation Focused Plan Elements		2
			Sustainability Elements		2
			Add Traffic Control		1
Points are additive. ROW is the highest qualifying designation.					
Economic Effectiveness Points: 25			Benefit Points: 30		
Cost Benefit (Total \$/ADT) Range*			LOS Improvement Max Points: 20		
		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.			Existing LOS Range		
		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			Improvement Characteristics Max Points: 10		
Coordination with Freeway Mainline Improvements			Improvement Characteristics		
Project Range			Points		
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

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.

Eligible Improvements		Score Based on Status	
Signal Timing (No Capital)		Online	Offline
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
Signal Communication		No Time Source	Time Source
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
Field Elements		None/5+ Years	Within 5 years
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
Minor Signal Operational Improvements		None/5+ Years	Within 5 years
Channelization		40	20
Signal phasing improvement		50	25
TMC/TOC		None/10+ Years	Within 10 years
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>Transportation Significance Points: 3025</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>< 50%</td> <td>0</td> </tr> </tbody> </table> <p style="text-align: center;">AND</p> <table border="1"> <thead> <tr> <th>Vehicle Miles Traveled (VMT)</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>250+ thousand</td> <td>20 15</td> </tr> <tr> <td>200 - 249 thousand</td> <td>15 10</td> </tr> <tr> <td>150 - 199 thousand</td> <td>10 6</td> </tr> <tr> <td>100 - 149 thousand</td> <td>6 3</td> </tr> <tr> <td>50 - 99 thousand</td> <td>3 1</td> </tr> <tr> <td>0 - 49 thousand</td> <td>1</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	Vehicle Miles Traveled (VMT)	Points	250+ thousand	20 15	200 - 249 thousand	15 10	150 - 199 thousand	10 6	100 - 149 thousand	6 3	50 - 99 thousand	3 1	0 - 49 thousand	1	<p>Project Scale Points: 20</p> <table border="1"> <thead> <tr> <th>Number of Signals on Main Corridor Coordinated by Project</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>< 10</td> <td>0</td> </tr> </tbody> </table> <p style="text-align: center;">AND</p> <table border="1"> <thead> <tr> <th>Percent of Main Corridor Signals Being Retimed</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>< 50%</td> <td>0</td> </tr> </tbody> </table> <p>Calculation: Number of signals in project divided by total signals in full corridor length.</p>	Number of Signals on Main Corridor Coordinated by Project	Points	50+	10	40 - 49	8	30 - 39	6	20 - 29	4	10 - 19	2	< 10	0	Percent of Main Corridor Signals Being Retimed	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>RTSSP Online Application – submitted through OCFundTracker</p> <ul style="list-style-type: none"> a. Transportation Significance b. Benefit Cost Ratio c. Project Characteristics d. Maintenance of Effort e-d. Project Scale f-e. Number of Jurisdictions g-f. Current Project Status g. Funding Over-Match h. <u>Cabinet photos, equipment specifications, as-built drawings, cabinet drawings, etc.</u> 	Online
<p>Section 1: Key Technical Information</p> <ul style="list-style-type: none"> a. Name of Project Corridor/Grid/Route b. Project Limits c. Project Length d. Number of Signalized Intersections Along Corridor e. Participating Agencies/Traffic Forum Members f. Lead Agency g. Designation of the corridor to synchronize h. Project start and end date i. Previous funding j. Contact Information k. Signalized intersections that are part of the project <u>l. Offset signalized intersections that are part of the project</u> <u>m. Project Map Depicting the Project Limits</u> 	
<p>Section 2: Regional Significance</p>	
<p>Section 3: Acknowledgement of Required Tasks</p>	
<p>Section 4: Funding Needs/Costs for Proposed Project by Task</p> <ul style="list-style-type: none"> a. Summary of Project Cost b. Summary of Cost by Agency c. Table I: Agency Improvement Preferences <u>c. Table II: Description of Work by Intersection Summary of Intersection Improvement Costs</u> 	
<p>Section 5: Detailed Local Match Commitment</p>	
<p>Section 6: Project Schedule for the 3 Year Grant Period by Task</p> <ul style="list-style-type: none"> a. Project State and End Dates b. Project Schedule by Task <u>b. Agency Commitment of Extended Monitoring and Maintenance</u> 	
<p>Appendices</p> <ul style="list-style-type: none"> <u>a. Calculations and Estimated Points</u> <u>b. Agency Improvement Calculations</u> <u>c. Vehicle Miles Traveled (VMT)</u> a-d. Agency Resolutions and Letters of Support b. Vehicle Miles Traveled (VMT) c. Calculations and Estimated Points <u>e. Additional Information (Optional)</u> 	

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



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:



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Project Manager III
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Approved by:



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



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



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 of the memo.

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

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

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**

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

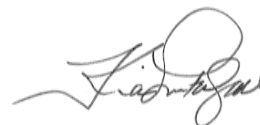
- A. Orange County Transportation Authority Regional Traffic Signal Synchronization Program Project Summary Call for Projects 2019 – 2022
- B. DKS Associates, Agreement No. C-9-1513 Fact Sheet
- C. AGA Engineers, Inc., Agreement No. C-9-1810 Fact Sheet
- D. KOA Corporation, Agreement No. C-9-1811 Fact Sheet
- E. Iteris, Inc., Agreement No. C-9-1812 Fact Sheet

Prepared by:



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**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.



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:

Jeff Mills, P.E.
Senior Program Manager
(714) 560-5925

Approved by:

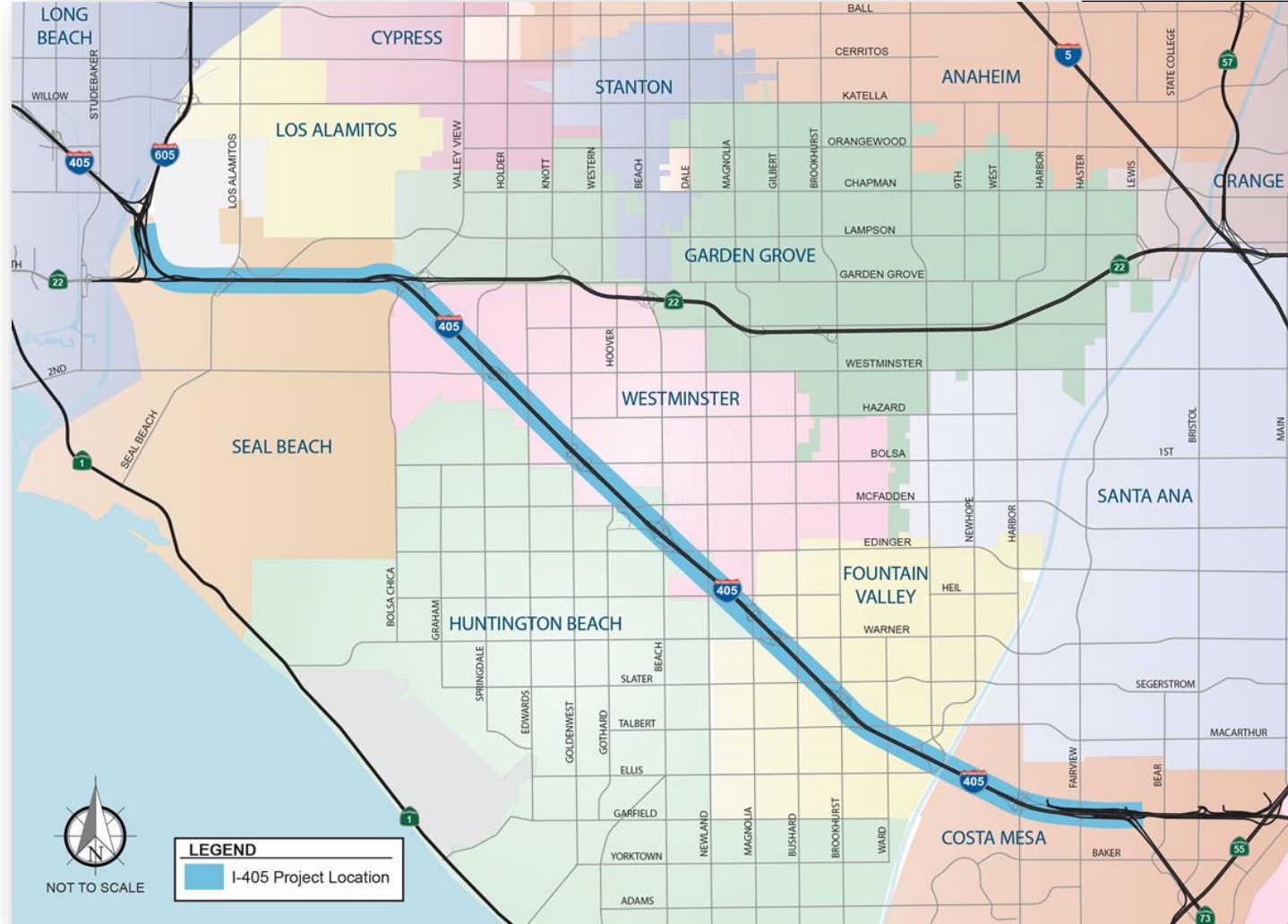
James G. Beil, P.E.
Executive Director, Capital Programs
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Interstate 405 Improvement Project Update



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



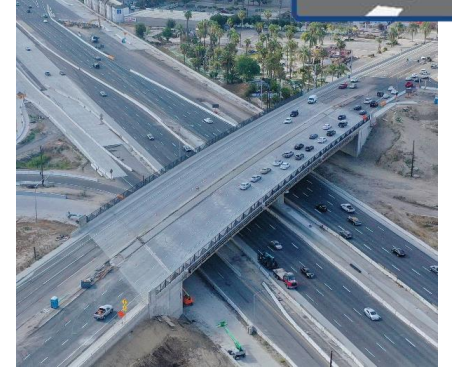
Talbert Avenue



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

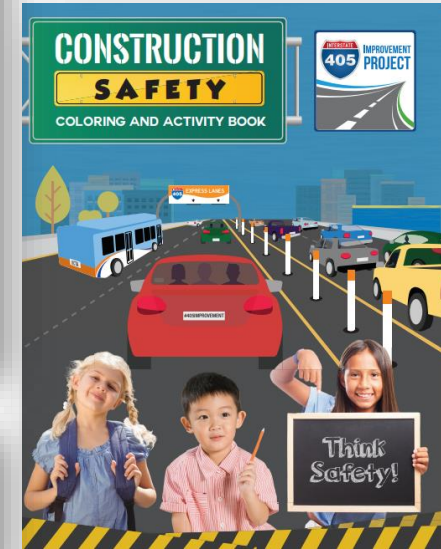


Category	April – June 2022	January – March 2022
Public comments, questions	261	274
Location-based advertising	403,332 impressions	606,361 impressions
Construction alerts	157 (52% average open rate)	140 (42% average open rate)
Web page views	22,688	17,702
Interactive map users	7,524	4,790
Social media 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





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.

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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Approved by:



Kia Mortazavi
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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)**

	FY 2017-18¹	FY 2018-19¹	FY 2019-20¹	FY 2020-21	FY 2021-22	FY 2022-23
<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>
20 City Average	3.4%	1.8%	1.5%	5.9%	8.4%	TBD

Escalation - Estimated Eligible Projects

Call Year	2018	2019	2020	2021	Totals
<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
Totals	1		6	5	12

*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



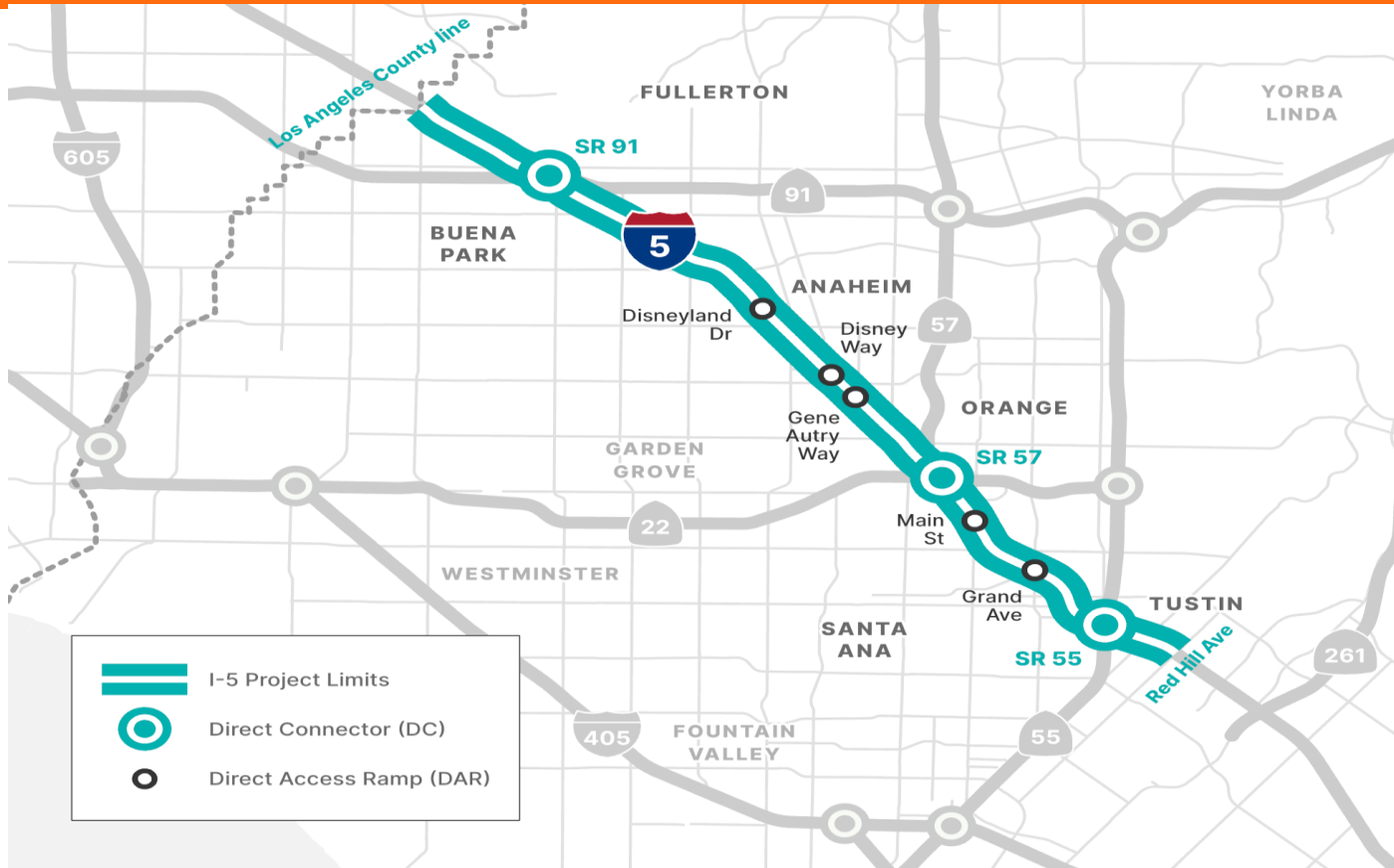
Caltrans District 12 Interstate 5 Managed Lanes Project Update

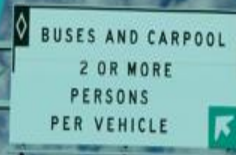
Chris Flynn
Caltrans District 12
Deputy District Director
Division of Environmental Analysis





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.



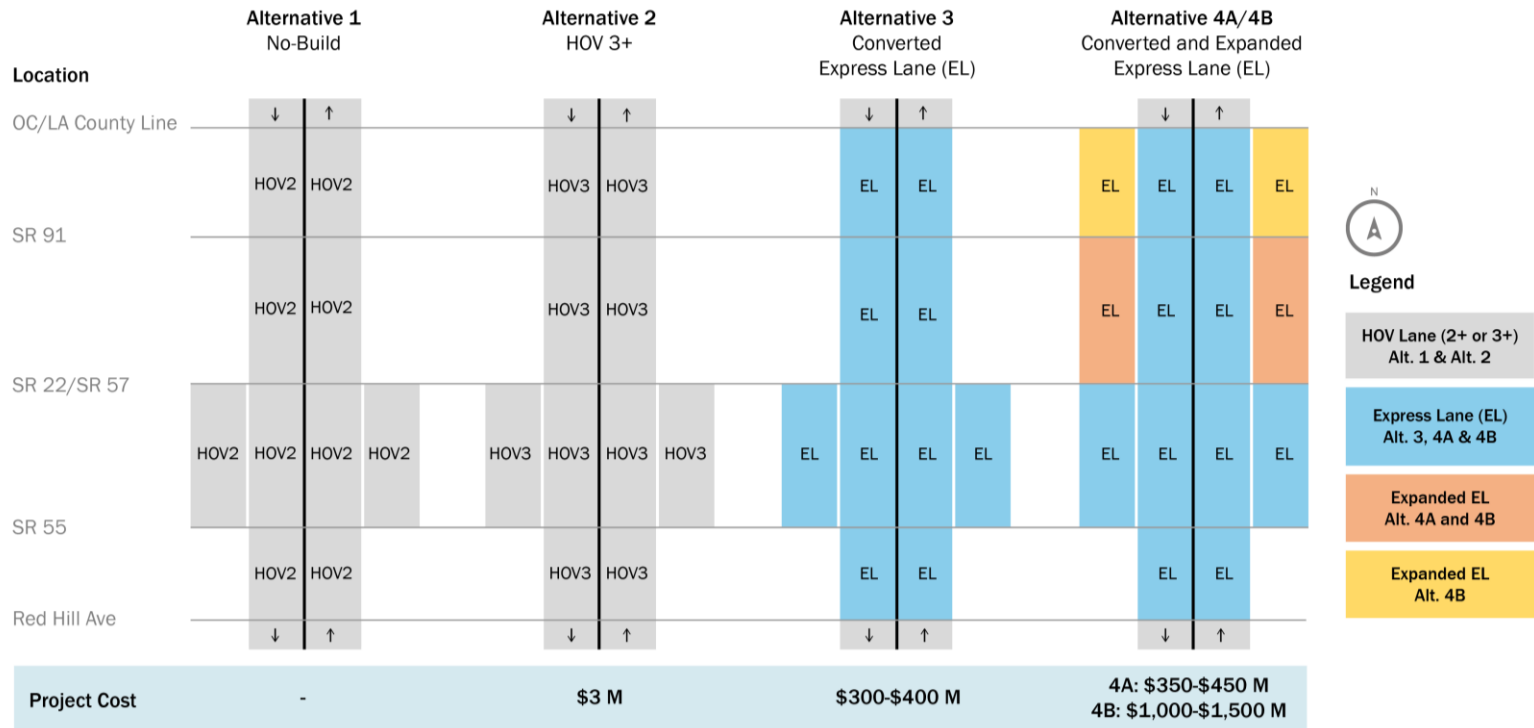


OC HOV Lane Degradation from 2013 to 2017



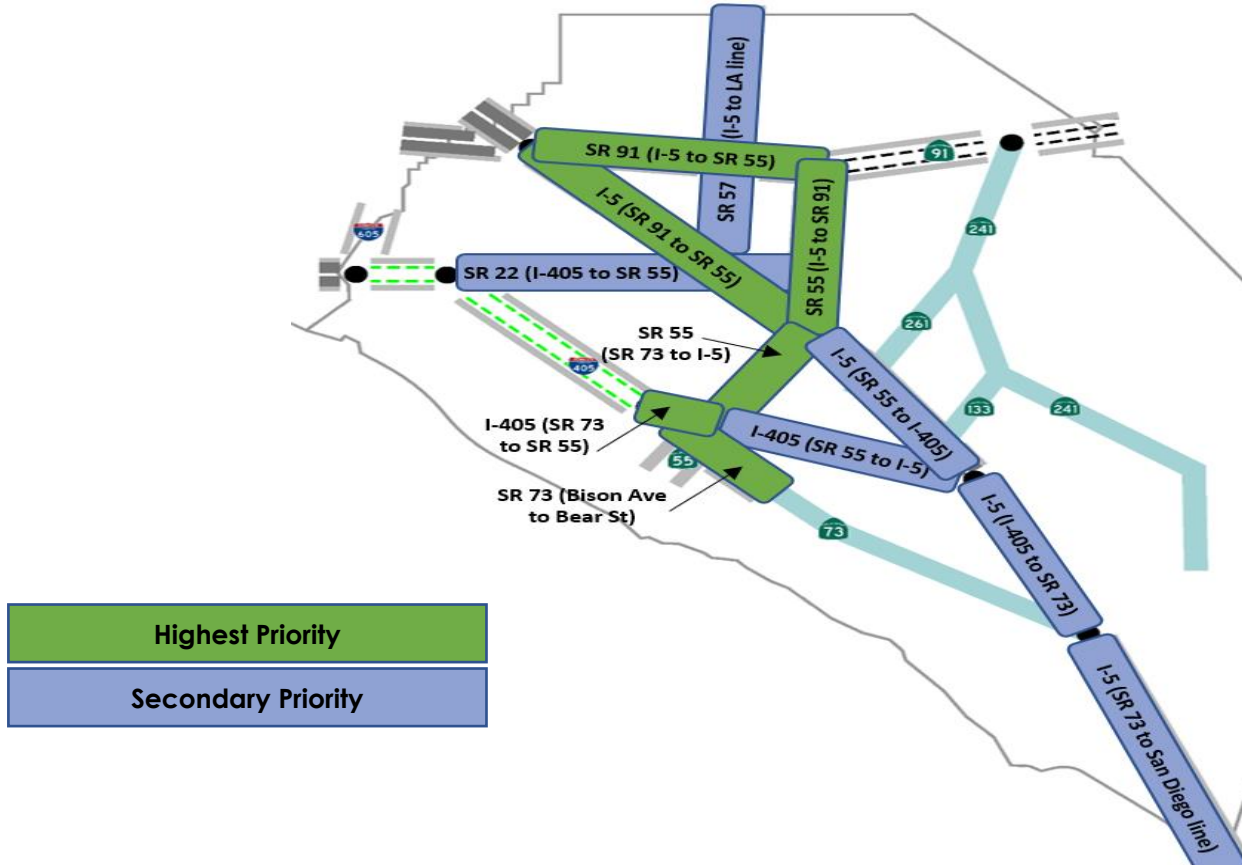


Project Alternatives





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

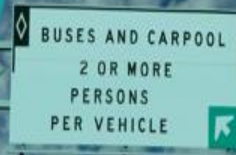




Project Timeline

- **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

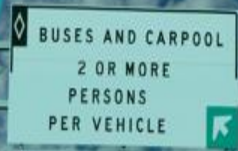




Partners and Outreach

- 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



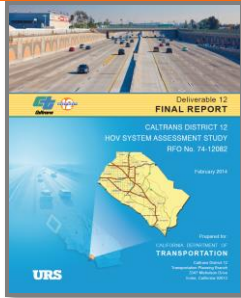


Questions





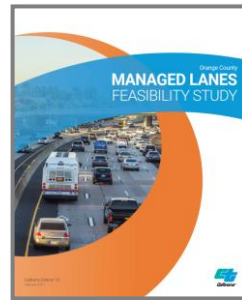
Background Studies



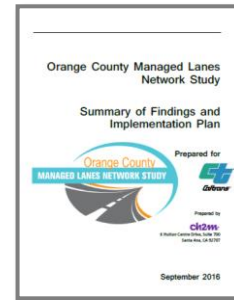
HOV System Assessment Study



DD-43-R1



Orange County MLFS



Orange County MLNS



I-5 ML PSR Kickoff



I-5 ML PSR Final Approval

2011

2014

2015

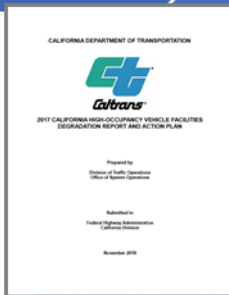
2016

2017

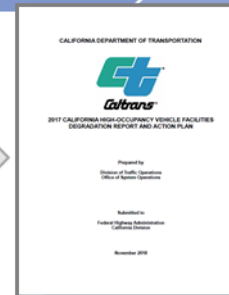
2018

2019

Annual HOV Degradation Report and Action Plan



2011 HOV Degradation Report



2017 HOV Degradation Report

