Orange County Transportation Authority

Board Agenda
Monday, February 10, 2025 at 9:30 a.m.

550 South Main Street, Orange, California

Board Members

Doug Chaffee, Chair
Jamey M. Federico, Vice Chair
Valerie Amezcua
Mike Carroll
Jon Dumitru
Katrina Foley
Patrick Harper
Michael Hennessey
Fred Jung
Stephanie Klopfenstein
Carlos A. Leon
Janet Nguyen
Tam T. Nguyen
Vicente Sarmiento
John Stephens
Mark Tettemer
Donald P. Wagner
Lan Zhou, Ex-Officio

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

Agenda Descriptions

Agenda descriptions are intended to give members of the public a general summary of items of business to be transacted or discussed. The posting of the recommended actions does not indicate what action will be taken. The Board 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 Clerk of the Board’s office at the OCTA Headquarters, 600 South Main Street, Orange, California.

Meeting Access and Public Comments on Agenda Items

Members of the public can either attend in-person or access live streaming of the Board meetings by clicking this link: https://octa.legistar.com/Calendar.aspx

In-Person Comment

Members of the public may attend in-person and address the Board regarding any item within the subject matter jurisdiction of OCTA. Please complete a speaker's card and submit it to the Clerk of the Board and notify the Clerk regarding the agenda item number on which you wish to speak. Speakers will be recognized by the Chair at the time of the agenda item is to be considered by the Board. Comments will be limited to three minutes. The Brown Act prohibits the Board from either discussing or taking action on any non-agendized items.

Written Comment

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

Call to Order

Invocation

Director Carroll

Pledge of Allegiance

Vice Chair Federico

Closed Session

1. Closed Session

Overview

A Closed Session will be held on the following:

Pursuant to Government Code Section 54956.9(d)(1) - Conference with General Counsel - Existing Litigation - Orange County Transportation Authority v. 1560 E. Warner Avenue Limited Partnership, et al., OCSC Case No. 30-2021-01213271.

Special Calendar

Orange County Transportation Authority Special Calendar Matters

2. Presentation of Resolutions of Appreciation for Employees of the Year

Maggie McJilton

Overview

Present Orange County Transportation Authority Resolutions of Appreciation Nos: 2025-001, Felipe Michel, Coach Operator, 2025-002, Rafael Luna, Maintenance, and 2025-003 to Louis Zhao, Administration, as Employees of the Year for 2024.

Consent Calendar (Items 3 through 10)

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

Orange County Transportation Authority Consent Calendar Matters

3. Approval of Minutes

Clerk of the Board

Recommendation(s)

Approve the minutes of the January 27, 2025 Orange County Transportation Authority and affiliated agencies' regular meeting.

Attachments:

Minutes

4. Public Member Appointment to the Board of Directors

Overview

In accordance with AB 710 (Chapter 469, Statues of 2004), Members of the Orange County Transportation Authority Board of Directors representing cities and the County of Orange appoint two public members to the Orange County Transportation Authority Board of Directors. The term of current public member, Director Tam T. Nguyen expires on April 12, 2025. Board of Directors action is necessary to consider the forthcoming expiration and appointment.

Recommendation(s)

Direct the Chief Executive Officer to return to the next Executive Committee meeting to consider the reappointment of Director Tam T. Nguyen for a four-year term as a Public Member to the Board of Directors to commence on April 12, 2025

Attachments:

Transmittal
Staff Report
Attachment A

5. Orange County Transportation Authority Contract Compliance Policies and Procedures

Pia Veesapen/Andrew Oftelie

Overview

The Orange County Transportation Authority has established several policies and procedures to ensure contract compliance and minimize the risk of fraudulent activities throughout all stages of the contract lifecycle. This report outlines the key practices and controls that the Orange County Transportation Authority employs during the pre-award, term of contract performance, and post-contract phases, with a focus on internal processes, oversight mechanisms, and auditing functions.

Recommendation(s)

Receive and file as an information item.

Attachments:

Transmittal
Staff Report

6. Public Transportation Agency Safety Plan - Annual Review and Update
Matthew DesRosier

Overview
The Federal Transit Administration requires that every agency receiving federal funds through Section 5307 Urbanized Area Formula Program must develop a Public Transportation Agency Safety Plan for its transit system. The Board of Directors adopted the Orange County Transportation Authority's Public Transportation Agency Safety Plan on May 11, 2020. Through the required annual program review process, staff is recommending updates for Board of Directors' approval.

Recommendations
A. Adopt newly required Federal Transit Administration 2025 Public Transportation Agency Safety Plan performance measures and targets.

B. Approve the proposed 2025 Public Transportation Agency Safety Plan administrative edits.

Attachments:

Transmittal
Staff Report
Attachment A
Attachment B

7. Competitive Grant Programs - Update and Recommendations
Louis Zhao/Rose Casey

Overview
The Orange County Transportation Authority provides competitive grants to local and non-profit jurisdictions beyond those provided through Measure M2 using various federal, state, and local transportation funding programs. The Orange County Transportation Authority also directly applies for federal, state, and local competitive grant programs to support Orange County Transportation Authority-led projects. Staff has prepared an overview and status update for local jurisdiction projects that have received funds, recent grant pursuits and awards for Orange County Transportation Authority projects, and recommendations for changes to grant terms for local jurisdiction projects.

Recommendation(s)
A. Approve one scope change and extension request from Sally's Fund, Inc. for operating assistance funded through the Enhanced Mobility for Seniors and Disabled Grant Program.

B. Approve $4.687 million in Congestion Mitigation and Air Quality Improvement

program funds for the City of Huntington Beach's Magnolia Street Corridor Complete Streets Improvements Project from the contingency list from the Orange County Complete Streets Program.

C. Authorize staff to request that the Southern California Association of Governments make all necessary amendments to the Federal Transportation Improvement Program to facilitate the recommended actions above.

D. Authorize the Chief Executive Officer to negotiate and execute any required agreements or amendments to facilitate the recommended actions above.

Attachments:

Transmittal
Staff Report
Attachment A
Attachment B
Attachment C
Attachment D
Attachment E

Orange County Local Transportation Authority Consent Calendar Matters

8. Amendment to Agreement for Additional Design Services for State Route 55 Improvement Project Between Interstate 5 and State Route 91

Jeannie Lee/James G. Beil

Overview

On February 14, 2022, the Orange County Transportation Authority Board of Directors authorized an agreement with HDR Engineering, Inc., for the preparation of plans, specifications, and estimates for the State Route 55 Improvement Project between Interstate 5 and State Route 91. An amendment to the existing agreement is required for additional design services.

Recommendation(s)

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Agreement No. C-1-3643 between the Orange County Transportation Authority and HDR Engineering, Inc., in the amount of $1,238,501, for additional design services for the State Route 55 Improvement Project between Interstate 5 and State Route 91. This will increase the maximum cumulative obligation of the agreement to a total contract value of $10,348,602.

Attachments:

Transmittal
Staff Report
Attachment A

9. Second Quarter Fiscal Year 2024-25 Capital Action Plan and Performance Metrics
James G. Beil

Overview
Staff has prepared a quarterly progress report on capital project delivery for the period of October 2024 through December 2024, for review by the Orange County Transportation Authority Board of Directors. This report highlights the Capital Action Plan for project delivery, which is used as a performance metric to assess delivery progress on highway, transit, and rail projects.

Recommendation(s)
Receive and file as an information item.

Attachments:

Transmittal
Staff Report
Attachment A
Attachment B

10. Measure M2 Annual Eligibility Review
Stephanie Mooney/Rose Casey

Overview
The Measure M2 Ordinance No. 3 requires that all local jurisdictions annually satisfy specific eligibility requirements to receive Measure M2 net revenues. The required documentation for the review period ending June 28, 2024, was received and reviewed by Orange County Transportation Authority staff. Board of Directors' approval is requested to find 33 of Orange County's 35 local jurisdictions (excluding the City of Buena Park and the City of Orange) as eligible to continue receiving Measure M2 net revenues.

Recommendation(s)
A. Approve 33 of Orange County's 35 local jurisdictions (excluding the City of Buena Park and the City of Orange) as eligible to continue receiving Measure M2 net revenues.

B. Receive and file the Measure M2 eligibility verification documents submitted by the City of Buena Park and the City of Orange.

Attachments:

Transmittal
Staff Report
Attachment A
Attachment B

Regular Calendar

Orange County Transportation Authority Regular Calendar Matters

11. Coastal Rail Resiliency Study Update

Dan Phu/Rose Casey

Overview

In response to emergency remedial actions that resulted in a nearly yearlong closure of the coastal rail line in south Orange County, Orange County Transportation Authority initiated the Coastal Rail Resiliency Study in fall 2023, focusing on both short- and mid-term solutions to protect the rail line and preserve rail operations. Through this study, staff has developed concepts that would protect the rail line in place for the foreseeable future, which is estimated to be up to 30 years. A separate study, led by the State of California, is anticipated to determine the feasibility of potentially relocating the rail line to an inland alignment. An update on the range of feasible concepts for the Coastal Rail Resiliency Study is discussed herein.

Recommendation(s)

Direct staff to continue collaborating with key stakeholders to refine the range of feasible concepts and actively engage the public to solicit input on these concepts.

Attachments:

Transmittal
Staff Report
Attachment A
Attachment B
Attachment C
Attachment D
Presentation

Orange County Local Transportation Authority Regular Calendar Matters

12. Coastal Rail Stabilization Priority Project Update

Jason Lee/James G. Beil

Overview

On September 9, 2024, staff was directed by the Board of Directors to continue to engage the regulatory agencies to identify opportunities to streamline processes and obtain regulatory permits to immediately implement solutions identified through the Coastal Rail Resiliency Study Assessment. Staff has continued to coordinate with regulatory agencies, and develop and update the Coastal Rail Priority Stabilization Project to proceed into the environmental phase.

Recommendation(s)

Direct staff to advance Reinforcement Areas (Areas 1 through 4) and complete the preliminary engineering/environmental phase to minimize additional rail closures.

Attachments:

Transmittal
Staff Report
Attachment A
Attachment B
Attachment C
Presentation

Discussion Items

13. Update on Measure M2 Project B Interstate 5 Improvement Project Between Interstate 405 and State Route 55
Niall Barrett/James G. Beil

Overview
Staff will provide an update on Measure M2 Project B of the Interstate 5 Improvement Project between Interstate 405 and State Route 55.

Attachments:

Presentation

14. Public Comments

15. Chief Executive Officer's Report

16. Directors' Reports

17. Adjournment
The next regularly scheduled meeting of this Board will be held:

9:30 a.m. on Monday, February 24, 2025
OCTA Headquarters
Board Room
550 South Main Street
Orange, California

Call to Order

The January 27, 2025, regular meeting of the Orange County Transportation Authority (OCTA) Board of Directors and affiliated agencies was called to order by Chair Chaffee at 9:30 a.m. at the OCTA Headquarters, 550 South Main Street, Orange, California.

Directors Present:

Doug Chaffee, Chair
Jamey M. Federico, Vice Chair
Valerie Amezcua
Mike Carroll
Jon Dumitru
Katrina Foley
Patrick Harper
Michael Hennessey
Fred Jung
Stephanie Klopfenstein
Carlos A. Leon
Janet Nguyen
Tam T. Nguyen
Vicente Sarmiento
John Stephens
Mark Tettemer
Donald P. Wagner
Lan Zhou, Ex-Officio

Directors Absent: None

Staff Present:
Darrell E. Johnson, Chief Executive Officer
Jennifer L. Bergener, Deputy Chief Executive Officer
Andrea West, Clerk of the Board
Gina Ramirez, Assistant Clerk of the Board
Sahara Meisenheimer, Clerk of the Board Specialist

Closed Session

1. Closed Session

A Closed Session was held as follows:

Pursuant to Government Code Section 54956.9(d)(1) - Conference with General Counsel - Existing Litigation - Orange County Transportation Authority v. Omar Deen, et al. - OCSC Case No. 30-2021-01214128.

All Board Members were present.

There was no report out on this item.

Special Calendar

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

Resolutions of Appreciation were presented to Manuel Garcia, Coach Operator, Daniel Gonzales, Maintenance, and Ronald Wolf, Administration, as Employees of the Month for January 2025.

3. 2025 Board of Directors and Chief Executive Officer Initiatives and Action Plan

Chair Chaffee and Darrell E. Johnson, Chief Executive Officer, provided a report on this item.

Director Foley requested to add the planning of FIFA to the first quarter milestones and to move the coastal rail objectives from the second quarter to the first quarter milestones. She also asked that the coastal rail objective be more specific on planning aspects.

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

4. Sacramento Advocate Presentation

Moira Topp of Topp Strategies provided an overview of anticipated transportation-related policy and funding discussions by the Administration and the California State Legislature during the first year of the 2025-26 Regular Session.

Consent Calendar (Items 5 through 13)

5. Approval of Minutes

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

A. Approve the minutes of the January 13, 2025 Orange County Transportation Authority and affiliated agencies' regular meeting.

B. Approve a correction to Item # 11 on the October 9, 2023, Orange County Transportation Authority and affiliated agencies' regular meeting minutes to reflect the amended recommendations as voted on by the Board.

Director Sarmiento was not present to vote on this item.

6. Approval of 2025 Orange County Transportation Authority Board Committees and External Agencies' Assignments

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

A. Approve the Chair's assignments for the 2025 Orange County Transportation Authority Board of Directors' committees comprised of the Executive, Finance and Administration, Legislative and Communications, Regional Transportation Planning, State Route 91 Advisory, Transit, and Environmental Oversight committees.

B. Receive the Chair's assignments for the 2025 external agencies comprised of the California Association of Councils of Governments, Los Angeles - San Diego - San Luis Obispo Rail Corridor Agency, Mobile Source Air Pollution Reduction Review Committee, Southern California Association of Governments' Regional Council, Orange County Council of Governments, and the Southern California Regional Rail Authority.

Director Sarmiento was not present to vote on this item.

7. Fiscal Year 2023-24 Single Audit and Agreed-Upon Procedures Reports

A motion was made by Director Hennessey, seconded by Director Amezcua, and declared passed by those present to receive and file the fiscal year 2023-24 Single Audit and agreed-upon procedures reports as information items.

Director Sarmiento was not present to vote on this item.

8. Fiscal Year 2024-25 Internal Audit Plan, Second Quarter Update

A motion was made by Director Hennessey, seconded by Director Amezcua, and declared passed by those present to receive and file the second quarter update to the Orange County Transportation Authority Internal Audit Department Fiscal Year 2024-25 Internal Audit Plan as an information item.

Director Sarmiento was not present to vote on this item.

9. Employee Compensation, Internal Audit Report No. 25-507

A motion was made by Director Hennessey, seconded by Director Amezcua, and declared passed by those present to direct staff to implement two recommendations provided in Employee Compensation, Internal Audit Report No. 25-507.

Director Sarmiento was not present to vote on this item.

10. Fiscal Year 2024-25 First Quarter Budget Status Report

A motion was made by Director Hennessey, seconded by Director Amezcua, and declared passed by those present to approve a budget amendment to the fiscal year 2024-25 405 Express Lanes Budget, reducing it from $57,230,430 to $42,603,879.

Director Sarmiento was not present to vote on this item.

11. Orange County Transportation Authority Investment and Debt Programs Report - November 2024

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

Director Sarmiento was not present to vote on this item.

12. Measure M2 Community-Based Transit Circulators Program Project V Ridership Report

A motion was made by Director Hennessey, seconded by Director Amezcua, and declared passed by those present to receive and file the Project V Ridership Report as an information item.

Director Sarmiento was not present to vote on this item.

13. Cooperative Agreement with the City of Santa Ana for the First Street Multimodal Boulevard Study

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

A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-4-2053 between the Orange County Transportation Authority and the City of Santa Ana, in an amount up to $4,300,000, for the First Street Multimodal Boulevard Study.

C. Authorize staff to make all necessary amendments to the Federal Transportation Improvement Program and execute any necessary agreements to facilitate the recommendations above.

Director Sarmiento was not present to vote on this item.

Regular Calendar

14. OC Streetcar Project Quarterly Update

Jeff Mills, Capital Programs, and Tresa Oliveri, Public Outreach, provided a presentation on this item.

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

Discussion Items

15. Proposed State Route 241/91 Express Connector Update

Kirk Avila, General Manager, Express Lanes, provided a presentation on this item.

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

16. Public Comments

Paul Hyek provided a public comment.

17. Chief Executive Officer's Report

Mr. Johnson, CEO, provided a report on Fitch Ratings reaffirming OCTA's AA+ rating with Stable Outlook for the Measure M Sales Tax Revenue Bonds.

18. Directors' Reports

Director Tam Nguyen commented on the number of milestones this year.

19. Adjournment

The meeting adjourned at 11:26 a.m.

The next regularly scheduled meeting of this Board will be held:
9:30 a.m., on Monday, February 10, 2025
OCTA Headquarters
Board Room
550 South Main Street
Orange, California

COMMITTEE TRANSMITTAL

February 10, 2025

To: Members of the Board of Directors

From: Andrea West, Clerk of the Board

Subject: Public Member Appointment to the Board of Directors

Executive Committee Meeting of February 3, 2025

Present: Chair Chaffee, Vice Chair Federico, Directors Hennessey, Klopfenstein, Tam Nguyen, and Wagner
Absent: None

Committee Vote

This item was passed by the Members present.

Directors Hennessey and Nguyen abstained from this item.

Committee Recommendation(s)

Direct the Chief Executive Officer to return to the next Executive Committee meeting to consider the reappointment of Director Tam T. Nguyen for a four-year term as a Public Member to the Board of Directors to commence on April 12, 2025

February 3, 2025

To: Executive Committee

From: Doug Chaffee, Chair of the Board of Directors

Subject: Public Member Appointment to the Board of Directors

Overview

In accordance with AB 710 (Chapter 469, Statues of 2004), Members of the Orange County Transportation Authority Board of Directors, representing cities and the County of Orange, appoint two public members to the Orange County Transportation Authority Board of Directors. The term of current public member, Director Tam T. Nguyen, expires on April 12, 2025. Board of Directors' action is necessary to consider the forthcoming expiration and appointment.

Recommendation

Direct the Chief Executive Officer to return to the next Executive Committee meeting to consider the reappointment of Director Tam T. Nguyen for a four-year term as a public member to the Board of Directors to commence on April 12, 2025.

Background

The term of office for an Orange County Transportation Authority (OCTA) public member is four years. The qualifications for a public member are as follows:

- A resident of Orange County, and
- Not serving currently or within the last four years as an elected official of a city, county, any agency, or special district within Orange County.

Unlike the process of selecting the city representatives, the process for selecting the two public members is not specifically outlined in OCTA's enabling legislation. As a result, based on the Chair's discretion, the procedure regarding the appointment process has varied over the years depending on whether there is a desire for a reappointment by the sitting public member or a resignation.

The public member appointment requires a majority vote of the 15 voting Board of Directors (Board) representing the County of Orange and the cities in the County.

Discussion

On January 29, 2025, the Clerk of the Board's office received a letter of interest and request to be reappointed to the Board from Director Tam T. Nguyen (Director Nguyen). As noted in the letter (Attachment A), Director Nguyen has served as a public member on the Board since 2021. He has served in various committee and Board leadership positions, and in 2024, he served as the Chair of the Board and has served as a member of the Southern California Regional Rail Authority.

Summary

The term of current public member, Director Tam T. Nguyen, expires on April 12, 2025. Board of Directors' action is necessary to consider the forthcoming expiration and appointment.

Attachment

A. Letter from Director Nguyen to Chair Chaffee, re: Request for Reappointment, dated January 29, 2025

Prepared by:

Andrea West
Clerk of the Board
714-560-5611

ATTACHMENT A

January 29, 2025

Chair Doug Chaffee
Orange County Transportation Authority
550 S. Main Street
Orange, CA 92868

Dear Chair Chaffee,

I am writing to express my sincere interest in being reappointed to serve another term as a Public Member on the Orange County Transportation Authority (OCTA) Board of Directors. It has been an honor to serve OCTA and the residents of Orange County, and I look forward to continuing to contribute to achieving the agency's goals and delivering on our mission of keeping Orange County moving.

During my time on the Board, I have actively supported initiatives that align with OCTA's vision for sustainable and efficient transportation. I have prioritized fostering collaboration and ensuring that OCTA's projects and services address the diverse needs of our communities.

During my tenure as the Chair of the OCTA Board of Directors last year in working collaboratively with my board colleagues, the CEO and many others, I'm honored to help deliver these transportation solutions for Orange County's taxpayers and other stakeholders:

Delivering a balanced, sustainable and equitable transportation system

- OC Bus ridership surpassed pre-pandemic levels, thanks in part to programs like the Youth Ride Free and college passes
- We expanded city trolleys and shuttles through our local sales tax, providing even more transit solutions that meet community needs
- And the 405 Improvement Project, which celebrated its one-year anniversary in December, successfully delivered time savings for drivers between Costa Mesa and the L.A. County line

Safeguarding our future through fiscal responsibility and environmental sustainability

- We made progress on our coastal rail resiliency efforts to protect the south Orange County rail line
- We awarded $10.6 million in Measure M funding to cities and the county for projects that protect Orange County's water quality
- We approved the purchase of 50 additional zero-emission buses, moving us closer to our goal of a 100% zero-emission fleet by 2040

Focusing on organizational excellence, collaboration and diversity

- We secured a permanent headquarters building a few blocks down the street in Santa Ana, projected to save taxpayers $50 million over the next 30 years
- I'm especially proud of OCTA's incredible work to provide opportunities for diverse businesses through workshops and diverse outreach events, strengthening partnerships

and supporting local communities with 53 diverse business events reaching more than 11,000 small business owners and 93 diverse community events reaching more than 97,000 people in Orange County

Looking ahead, I am eager to build upon OCTA's successes by supporting the 2025 Board and CEO Initiatives of:

- Providing the public with a balanced, sustainable and equitable transportation system
- Ensuring organization resiliency through fiscal and environmental responsibility
- Upholding organizational excellence, diversity and collaboration

I remain dedicated to collaborating with my fellow Board members, OCTA staff, and stakeholders to deliver meaningful, forward-thinking solutions for Orange County residents, workers and visitors.

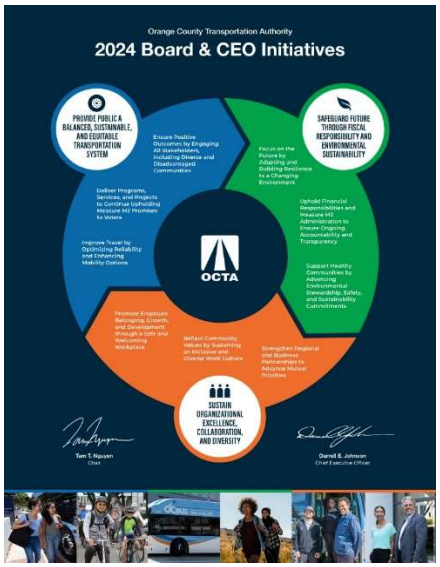
Serving on the OCTA Board is a significant responsibility, and I remain committed to upholding the highest standards of integrity, transparency, and accountability. If reappointed, I will continue to champion innovative policies and initiatives that serve the best interests of our community and ensure the agency's long-term success.

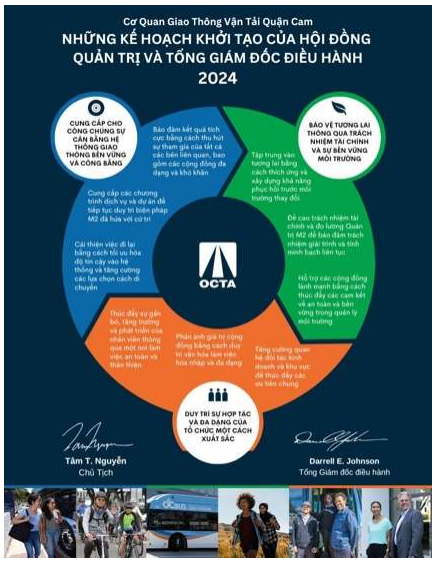
Thank you for considering my reappointment. It would be a privilege to continue serving OCTA in this capacity, and I am excited to contribute further to the organization's critical work.

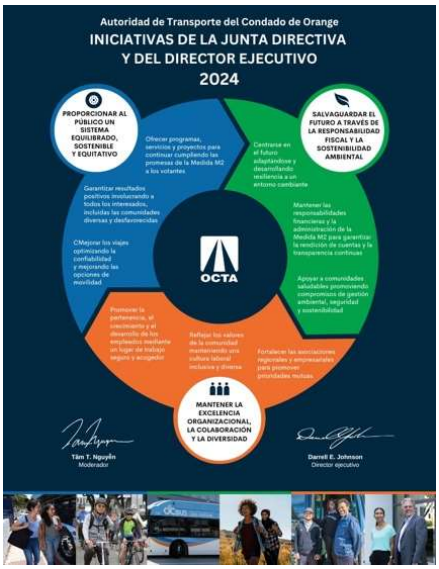
Sincerely,

Tam T. Nguyen

cc: Darrell Johnson (CEO), Jennifer Bergener (Deputy CEO)







COMMITTEE TRANSMITTAL

February 10, 2025

To: Members of the Board of Directors

From: Andrea West, Clerk of the Board

Subject: Orange County Transportation Authority Contract Compliance Policies and Procedures

Executive Committee Meeting of February 3, 2025

Present: Chair Chaffee, Vice Chair Federico, Directors Hennessey, Klopfenstein, Tam Nguyen, and Wagner
Absent: None

Committee Vote

This item was passed by the Members present.

Committee Recommendation(s)

Receive and file as an information item.

OCTA

February 3, 2025

To: Executive Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Orange County Transportation Authority Contract Compliance Policies and Procedures

Overview

The Orange County Transportation Authority has established several policies and procedures to ensure contract compliance and minimize the risk of fraudulent activities throughout all stages of the contract lifecycle. This report outlines the key practices and controls that the Orange County Transportation Authority employs during the pre-award, term of contract performance, and post-contract phases, with a focus on internal processes, oversight mechanisms, and auditing functions.

Recommendation

Receive and file as an information item.

Discussion

The Orange County Transportation Authority (OCTA) is committed to maintaining the highest standards of integrity, transparency, and accountability in all aspects of its contracting processes. To ensure effective contract management and minimize the risk of fraudulent activities, OCTA has established a comprehensive framework of policies, procedures, and oversight mechanisms. These practices span the entire lifecycle of each contract, from pre-award through performance and post-contract review.

This report provides an overview of the key practices and controls that OCTA employs during the pre-award, term of contract performance, and post-contract phases. It highlights the robust internal processes, oversight structures, and auditing functions that ensure contracts are executed in compliance with OCTA's policies and contractual obligations. Special attention is given to the role of transparent and competitive procurement, project management, invoice

validation, and the critical role of both internal and external auditing in maintaining the integrity of OCTA's contracting processes.

Through these mechanisms, OCTA ensures that public resources are used efficiently, ethically, and in full compliance with legal and regulatory requirements.

Pre-Award Phase

OCTA has a centralized procurement department called Contracts Administration and Materials Management (CAMM). This department is responsible for overseeing all contracting activities and adheres strictly to Board of Directors (Board)-approved policies and procedures to ensure transparency and fairness. As part of this structure, all contracts, with the exception of real estate contracts, must go through CAMM. Real estate contracts are managed by the Real Property Department within the Capital Programs Division consistent with the Board-approved Real Property Manual, which prescribes the process for all real estate transactions including legal and Board review. This centralized process ensures that no single individual has the discretion to direct or issue a contract independently, promoting accountability and oversight. Contracts are generally awarded through a competitive process, except in cases of sole source contracts which are allowed and follow a prescribed process outlined in the policies and procedures, where the project manager must demonstrate that no other vendor can reasonably perform the required work. An independent review of the project manager’s sole source justification is conducted by the Director of CAMM. Furthermore, OCTA staff from the Internal Audit Department applies agreed upon procedures to sole source proposals exceeding $50,000 to ensure that proposed rates appear fair and reasonable and determine that an independent cost estimate was prepared by the project manager.

For contracts valued over $5,000, a selection panel is required to ensure multiple stakeholders are involved in the decision-making process. The size of the panel varies, ranging from as few as two people for informal contracts budgeted at $100,000 or less to as many as six or more for larger contracts. A representative from CAMM is included on every panel, ensuring that procurement processes align with OCTA's standards. To further limit the risk of undue influence, there are strict restrictions on panel composition. Specifically, supervisor-subordinate relationships are not permitted, and no more than two individuals from any single department can be on the same panel. If there are two individuals from the same department on the panel, additional stakeholders will be invited to ensure an unbiased evaluation is conducted. This structure enhances fairness and mitigates potential conflicts of interest.

Additionally, any non-public work contract valued over $500,000 requires approval by the Board, providing an additional layer of oversight and ensuring that significant commitments undergo rigorous scrutiny. To safeguard financial prudence, OCTA typically structures contracts to be paid on a reimbursement basis or upon the completion of defined milestones, with minimal exceptions for advance payments. This approach ensures that contractors are paid for completed work, reducing the risk of improper disbursement of funds.

Term of Contract Performance Phase

During this phase, each contract is assigned a designated project manager who is responsible for ensuring that the contractor delivers the services outlined in the scope of work. This individual plays a key role in ensuring that all terms and conditions are met throughout the duration of the project. When a contractor submits an invoice for payment, they are required to attest in writing that the work was completed as specified and that the invoice is true and accurate. This written attestation is essential for verifying the validity of the contractor's claims and ensures that payment is only made for work that has been properly completed.

The project manager is tasked with verifying that the work has been satisfactorily completed before recommending any payment. This may involve inspecting the deliverables, confirming milestones, or cross-referencing with other documentation. Depending on the size of the invoice, additional approvals are often required before the invoice can be sent to the Accounts Payable department for processing. In some cases, invoices may need approval from a department manager or even a division executive director to ensure that the expenditure is justified and aligns with the contract’s terms.

For particularly large contracts, such as those in the Operations Division (Contracted Fixed Route/OC ACCESS) or Capital Programs Division, additional layers of oversight are implemented. In the case of transit contracts, a dedicated group within the Finance and Administration Division separately reviews each invoice to confirm compliance with the contract’s terms and conditions. Similarly, for large Capital Programs Division contracts, the Project Control Department conducts a detailed review of each invoice to ensure that it meets all contractual requirements before payment is authorized.

Once the invoice has passed all internal reviews and approvals, it is sent to Accounts Payable for final processing. The Accounts Payable team conducts a thorough review to ensure that all necessary signatures and approvals have been obtained and that the payment is valid, with available budget funds for disbursement. This comprehensive process ensures that all payments are made in accordance with OCTA’s policies, reducing the risk of errors and ensuring financial accountability.

Post-Contract Phase

During the post-contract phase, OCTA is subject to thorough oversight to ensure compliance with all contractual obligations, particularly when state or federal funds are involved. For contracts that include state or federal funding, OCTA is subject to audits conducted by the respective agencies. For instance, the Federal Transit Administration performs triennial reviews, which often include scrutiny of individual contracts, as well as an examination of OCTA's procurement policies and procedures. This external oversight is designed to ensure that public funds are used appropriately and that OCTA's practices align with regulatory standards.

In addition to external audits, OCTA has a robust Internal Audit function that provides an additional layer of oversight. The Internal Auditor has the authority to review any function within OCTA at any time, ensuring that all operations, including procurement and contract management, are compliant with organizational policies and legal requirements. The Internal Auditor reports directly to the Board, maintaining independence and transparency in the audit process. Every year, the Internal Auditor develops a risk-based audit plan, which is approved by the Board. This plan focuses on areas of higher risk, with larger contracts often being subject to detailed compliance reviews. Once audits are completed, their findings, including any corrective actions taken by OCTA, are presented to the Board, ensuring full accountability.

Moreover, OCTA enforces its Code of Conduct, which all employees are required to acknowledge. This code outlines the ethical standards and expectations for conduct, including policies related to fraud prevention. To further enhance accountability, OCTA has established an anonymous fraud hotline, managed by the Internal Audit Department, where employees, contractors, or the public can report concerns about fraudulent activities. Each complaint submitted through the hotline is thoroughly investigated, ensuring that OCTA maintains a high standard of integrity and transparency in its operations. These combined internal and external review processes help protect OCTA from fraud, mismanagement, and non-compliance, promoting ongoing improvement and accountability throughout the organization.

Summary

The Orange County Transportation Authority's policies and procedures throughout the pre-award, term of contract performance, and post-contract phases are designed to ensure robust contract compliance and mitigate the risk of fraud. Through a combination of centralized procurement, competitive bidding processes, project management, internal and external audit oversight, and a strong ethics program, OCTA is committed to maintaining integrity and accountability in its contracting processes.

Attachment

None.

Prepared by:

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

Approved by:

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

COMMITTEE TRANSMITTAL

February 10, 2025

To: Members of the Board of Directors

From: Andrea West, Clerk of the Board

Subject: Public Transportation Agency Safety Plan - Annual Review and Update

Executive Committee Meeting of February 3, 2025

Present: Chair Chaffee, Vice Chair Federico, Directors Hennessey, Klopfenstein, Tam Nguyen, and Wagner
Absent: None

Committee Vote

This item was passed by the Members present.

Committee Recommendation(s)

A. Adopt newly required Federal Transit Administration 2025 Public Transportation Agency Safety Plan performance measures and targets.

B. Approve the proposed 2025 Public Transportation Agency Safety Plan administrative edits.

February 3, 2025

To: Executive Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Public Transportation Agency Safety Plan - Annual Review and Update

Overview

The Federal Transit Administration requires that every agency receiving federal funds through Section 5307 Urbanized Area Formula Program must develop a Public Transportation Agency Safety Plan for its transit system. The Board of Directors adopted the Orange County Transportation Authority's Public Transportation Agency Safety Plan on May 11, 2020. Through the required annual program review process, staff is recommending updates for Board of Directors' approval.

Recommendations

A. Adopt newly required Federal Transit Administration 2025 Public Transportation Agency Safety Plan performance measures and targets.

B. Approve the proposed 2025 Public Transportation Agency Safety Plan administrative edits.

Background

The Public Transportation Agency Safety Plans (PTASP) regulation, 49 Code of Federal Regulations Part 673, requires operators of public transportation systems to develop an Agency PTASP that includes a comprehensive, collaborative, and systematic approach to managing safety.

The Health, Safety, and Environmental Compliance Department (HSEC) oversees safety compliance programs and the (PTASP) administration by the Orange County Transportation Authority (OCTA). The Board of Directors (Board) adopted OCTA's PTASP on May 11, 2020, and it has been updated annually since that time. The PTASP includes four primary components and 16 subcomponents.

Component 1: Safety Management Policy
Subcomponents:
- Written Statement of Policy
- Process for reporting unsafe conditions/near-miss incidents
- Safety management policy communication
- Authorities, accountabilities, and responsibilities

Component 2: Safety Risk Management
Subcomponents:
- Safety risk management process
- Safety hazard/near-miss incident identification and reporting
- Safety risk assessment
- Safety risk mitigation

Component 3: Safety Assurance
Subcomponents:
- Safety performance monitoring and measurement
- Hazard mitigation monitoring process
- Accident notification, investigation, and reporting
- Internal safety reporting program monitoring
- Management of change
- Continuous improvement

Component 4: Safety Promotion
Subcomponents:
- Safety training program
- Safety communication

OCTA completed the required 2024 plan review and assessed overall safety program compliance, results against safety performance targets, and the action items identified in the 2024 PTASP Appendix A. Staff's proposed 2025 PTASP incorporates the current Code of Federal Regulations (CFR) Part 673 program requirements established by the Federal Transit Administration (FTA) in April 2024.

Discussion

The safety performance data adopted in the 2024 PTASP was comprised of OCTA's National Transit Database (NTD) reportable event criteria including fatalities, injuries, and safety events. Normalization of the data was established using a baseline rate per 100,000 vehicle revenue miles (VRM). To assess system reliability, targets were established against the number of

maintenance/service road calls. Normalization of the data was established using a baseline rate per 100,000 vehicle miles (VM).

Safety performance targets are established for the calendar year using a three-year average of past performance. This approach to developing safety performance targets follows the guidelines established by the FTA.

In 2024, OCTA met all established safety performance targets (actuals) associated with our fixed-route bus service except for two categories - miles between road calls and fatalities. OCTA experienced a non-preventable fatality on January 20, 2024. OCTA also experienced challenges with miles between road calls due to protracted bus procurement, mechanical and technological issues and an aging fleet. Most of these issues have been resolved and although the miles between road calls annual average is slightly below target, in the last few months of 2024, monthly rates were above target levels.

2024 OCTA fixed-route bus service actuals:

	Objective	Metric	Target	Actuals
Bus	Reduce Fatalities	Fatalities per 100,000 VRM	0.00	0.01
	Reduce Injuries	Injuries per 100,000 VRM	0.53	0.22
	Reduce Safety Events	Safety Events per 100,000 VRM	0.93	0.46
	Maintain System Reliability	Miles Between Road Calls	1 per 14,000 VM	13,588

In 2024, OCTA met all established safety performance targets (actuals) associated with our paratransit service except for two categories – injuries and safety events. The annual targets were set at zero for both categories and OCTA experienced one injury and four safety events.

2024 OCTA paratransit service actuals:

	Objective	Metric	Target	Actuals
Paratransit	Reduce Fatalities	Fatalities per 100,000 VRM	0.00	0.00
	Reduce Injuries	Injuries per 100,000 VRM	0.00	0.01
	Reduce Safety Events	Safety Events per 100,000 VRM	0.00	0.06
	Maintain System Reliability	Miles Between Road Calls	1 per 25,000 VM	66,059

The 2024 PTASP had four action items, which are noted on the table below. All but one was met. The inclusion of the OC Streetcar into the 2024 PTASP was not accomplished due to project delays. The OC Streetcar system and mode details are incorporated into the 2025 PTASP and upon approval will be completed.

PTASP/FTA Code	Action Item	Timeline	Responsible Person/Group
673.23	PTASP/SMS Committee to review PTASP renewal	Annually	PTASP/SMS Committee
673.23	Safety Management CEO communication	Quarterly	HSEC/Human Resources/ Operations
673.27	Conduct a safety culture survey to assess improvement	Q4 2024	HSEC/Human Resources
673.23	Submit updated PTASP through the Board to include OC Streetcar system and mode details	Q2 2024	CEO/HSEC/Operations

HSEC, Health, Safety & Environmental Compliance, SMS – Safety Management System, CEO – Chief Executive Officer, Q2 – second quarter, Q4 – fourth quarter

The FTA updated 49 CFR Part 673 program requirements in April 2024 which require OCTA to adopt additional safety performance measures and expand the roles and responsibilities of the Agency's Joint Labor Management Safety Committee. The original four target objectives adopted in 2020 are now expanded to a total of ten in the proposed 2025 PTASP update. As with the previously established safety performance targets, a three-year average of past performance for each of the objectives has been established.

Proposed 2025 OCTA fixed-route bus service safety performance targets:

	Objective	Metric	Target
BUS	Reduce Major Events	Per 100K VRM	0.19
	Reduce Collision Events	Per 100K VRM	0.14
	Reduce Pedestrian Collision Events	Per 100K VRM	0.01
	Reduce Vehicular Collisions Events	Per 100K VRM	0.12
	Reduce Injuries	Per 100K VRM	0.35
	Reduce Transit Worker Injuries	Per 100K VRM	0.02
	Reduce Assaults on Transit Workers	Per 100K VRM	0.04
	Reduce Fatalities	Per 100K VRM	0.00
	Reduce Transit Worker Fatalities	Per 100K VRM	0.00
	Maintain System Reliability	Miles Between Road Calls	1 per 14K VM

Proposed 2025 OCTA paratransit service safety performance targets:

	Objective	Metric	Baseline
PARATRANSIT	Reduce Major Events	Per 100K VRM	0.04
	Reduce Collision Events	Per 100K VRM	0.04
	Reduce Pedestrian Collision Events	Per 100K VRM	0.00
	Reduce Vehicular Collisions Events	Per 100K VRM	0.04
	Reduce Injuries	Per 100K VRM	0.05
	Reduce Transit Worker Injuries	Per 100K VRM	0.00
	Reduce Assaults on Transit Workers	Per 100K VRM	0.00
	Reduce Fatalities	Per 100K VRM	0.00
	Reduce Transit Worker Fatalities	Per 100K VRM	0.00
	Maintain System Reliability	Miles Between Road Calls	1 per 25K VM

OCTA's Joint Labor Management Safety Committee has been in place and functional since 2023. The FTA requires the committee to consist of an equal number of labor organizations representing frontline employees and management. One responsibility added to the requirements of the committee is that they must now participate in the establishment of OCTA's annual safety performance targets. OCTA's Joint Labor Management Safety Committee has fulfilled this responsibility and approved the proposed 2025 PTASP.

A summary of all proposed administrative and program edits to the 2025 PTASP are shown below:

Pages Affected	Reason for Change
1	Date Change
11,13	OC Streetcar
18	Removal of Beth McCormick as signatory (retired)
19, 30	Addition of Rose Casey and Kristin Jacinto
20,21	Safety Performance Targets
28	Joint Labor Safety Committee Responsibilities
17,40,50	Joint Labor Management Safety Committee Referenced
49	Appendix A – 2025 Implementation Actions
62	Workplace Violence Policy and Joint Labor Management Safety Committee Policy Referenced

Proposed updates to Appendix A: Implementation actions with estimated action item completion timelines for 2025 are shown below:

PTASP/FTA Code	Action Item	Timeline	Responsible Person/Group
673.23	PTASP/SMS Committee to review PTASP renewal	Annually	PTASP/SMS Committee
673.23	Safety Management CEO communication	Quarterly	HSEC/Human Resources /Operations
673.27	Independent PTASP/SMS assessment utilizing contractor, consultant, or other third-party organization (three-year cycle)	Q4 2025	HSEC
673.25	Complete a formal risk analysis for existing operational hazards	Q4 2025	HSEC/Operations

Summary

Staff is requesting the Board of Directors approve the Orange County Transportation Authority's 2024 annual review and updated 2025 Public Transportation Agency Safety Plan, thereby fulfilling the requirements of the Federal Transit Administration.

Attachments

A. Public Transportation Agency Safety Plan, Annual Review, 2025
B. Public Transportation Agency Safety Plan, 2025, Redlined

Prepared by:

Matthew Desrosier
Department Manager, Health, Safety Environmental Compliance
714-560-5854

Approved by:

Maggie McJilton
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714-560-5824

ATTACHMENT A

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN
ANNUAL REVIEW

2025

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2024 Orange County Transportation Authority
Annual Review

Completion January 2025

1.0 Scope

The Federal Transit Administration published the Public Transportation PTASP (PTASP) regulation, 49 Code of Federal Regulations (CFR) Part 673, on July 19, 2019. Within this regulation, it is required that every agency receiving funds under the Urbanized Area Formula Program is required to develop and implement a PTASP based on Safety Management Systems (SMS) principles and methods. The Board of Directors (Board) adopted the Orange County Transportation Authority's (OCTA) PTASP on May 11, 2020, as required. As part of the regulation, agencies are to conduct an annual review and Board update through the SMS risk-based approach.

2.0 Purpose

Due to the implementation of 49 CFR Part 673, OCTA is required to annually submit the current PTASP to the Board for review and approval, along with an annual safety report. The annual review of the PTASP will be conducted by the Accountable Executive, the Chief Safety Officer, and the SMS Program Manager each calendar year, no later than January 30th. OCTA has completed its first year of program implementation and assessed our overall safety program results against our initial safety performance targets and the action items identified. In addition, some of the processes and tools described in the initial PTASP have changed, which are reflected in the revised 2024 PTASP document.

3.0 PTASP Review Checklist

The PTASP Review Checklist is intended to verify compliance with the written PTASP components and an item that is checked has been verified as compliant. Any item that is not verified as compliant must have a comment that describes the action necessary to achieve compliance.

Plan Development, Approval, and Updates

☐	Checklist Item	PTASP Page Number	Notes
☒	Name(s) and address(es) of the transit agency(ies) that the PTASP applies to.	14	
☒	Mode(s) of transit service covered by the PTASP.	14	
☒	Mode(s) of service provided by the transit agency (directly operated or contracted fixed-route service).	14	
☒	Federal Transit Administration (FTA) funding types. (e.g., 5307, 5337, 5339)	14	
☒	Transit service provided by the transit agency on behalf of another transit agency or entity, including a description of the arrangement(s).	14	
☒	An Accountable Executive who meets requirements in § 673.5 and § 673.23(d)(1).	6, 14	
☒	A Chief Safety Officer or SMS Executive who meets requirements in § 673.5 and § 673.23(d)(2).	6, 14	
☒	Name of the entity that drafted the PTASP (e.g., State Department of Transportation).	16	
☒	The Accountable Executive's signature on the PTASP and date of signature.	16	
☒	The Board or Equivalent Authority's approval of the PTASP and date of approval.	16	
☐	Certification of compliance with 49 CFR Part 673, including the name of the individual or entity that certifies the PTASP and date of certification.	16	*OC Streetcar pending - 2026*
☒	Process and timeline for conducting an annual review and update of the PTASP, including the PTASP version number and other relevant information.	17	
☒	The PTASP addresses all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan.	4	

Safety Performance Targets

☐	Checklist Item	PTASP Page Number	Notes
☒	*Fatalities:* Total number of reportable fatalities and rate per total vehicle revenue miles, by mode.	20-21	
☒	*Injuries:* Total number of reportable injuries and rate per total vehicle revenue miles, by mode.	20-21	
☒	*Safety Events:* Total number of reportable events and rate per total vehicle revenue miles, by mode. (Event, as defined in § 673.5)	20-21	
☒	*System Reliability:* Mean (or average) distance between major mechanical failures, by mode.	20-21	
☒	Performance targets are made available to the State to aid in the planning process.	21	
☒	Performance targets are made available to the Metropolitan Planning Organization(s) (MPO) to aid in the planning process.	21	
☒	Coordination with the State and MPO(s) in the selection of State and MPO safety performance targets, to the maximum extent practicable.	21	

Safety Management Policy

☒	Checklist Item	PTASP Page Number	Notes
☒	Written statement of Safety Management Policy (SMP), including the agency's safety objectives.	23	
☒	Employee safety reporting program, that includes: • A process that allows employees to report safety conditions to senior management; • Protections for employees who report safety conditions to senior management; and • A description of employee behaviors that may result in disciplinary action and therefore are excluded from protection.	24	
☒	Communication of the SMP throughout the agency's organization.	25	
☒	Authorities, accountabilities, and responsibilities necessary for the management of safety, as they relate to the development and management of the transit agency's SMS, for the following individuals: • The Accountable Executive • The Chief Safety Officer or SMS Executive • Agency leadership and executive management • Key staff	25-23	

Safety Risk Management

☒	Checklist Item	PTASP Page Number	Notes
☒	*Safety hazard identification:* Methods or processes to identify hazards and consequences of hazards, which includes data and information provided by an oversight authority and the FTA as sources for hazard identification.	34	
☒	*Safety risk assessment:* Methods or processes to assess the safety risks associated with identified safety hazards. This must include assessment of the likelihood and severity of the consequences of the hazards, including existing mitigations, and prioritization of the hazards based on the safety risk.	35 Appendix B	
☒	*Safety risk mitigation:* Methods or processes to identify mitigations or strategies necessary as a result of the agency's safety risk assessment to reduce the likelihood and severity of the consequences of hazards.	35-36	

Safety Assurance

☒	Checklist Item	PTASP Page Number	Notes
☒	Activities to monitor the transit agency's system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance. (*Safety performance monitoring and measurement*)	40	
☒	Activities to monitor the transit agency's operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended. (*Safety performance monitoring and measurement*)	40-42	
☒	Activities to conduct investigations of safety events, including the identification of causal factors. (*Safety performance monitoring and measurement*)	41	
☒	Activities to monitor information reported through any internal safety reporting programs. (*Safety performance monitoring and measurement*)	39 - 42	
☒	*Management of change:* A process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance. These proposed changes must be evaluated through the agency's Safety Risk Management process.	43	
☒	*Continuous improvement:* A process to assess the transit agency's safety performance. If the agency identifies safety deficiencies as part of its safety performance assessment, the agency must develop and carry out, under the direction of the Accountable Executive, a plan to address the identified safety deficiencies.	44	

Safety Promotion

☒	Checklist Item	PTASP Page Number	Notes
☒	A comprehensive safety training program for all transit agency employees and contractors designated as directly responsible for safety in the agency's public transportation system. This program must include refresher training, as necessary.	45	
☒	Communication of safety and safety performance information throughout the transit agency's organization that conveys, at a minimum: • Information on hazards and safety risks relevant to employees' roles and responsibilities; and • Safety actions taken in response to reports submitted through an employee safety reporting program.	47	
☒	Documentation not included or referenced elsewhere in the PTASP, related to: • The implementation of the transit agency's SMS; • The programs, policies, and procedures that the agency uses to carry out its PTASP; and • Results from SMS processes and activities. *The documents must be maintained for three years after they are created and must be made available upon request by the FTA or other federal entity, or a State Safety Oversight Agency having jurisdiction.*	48 Appendix D	
☒	Definitions of terms used in the PTASP.	6-8	
☒	List of acronyms used in the PTASP.	9-10	

4.0 Safety Performance

2024 OCTA fixed-route bus service actuals.

	Objective	Metric	Target	Actuals
Bus	Reduce Fatalities	Fatalities per 100,000 VRM	0.00	0.01
	Reduce Injuries	Injuries per 100,000 VRM	0.53	0.22
	Reduce Safety Events	Safety Events per 100,000 VRM	0.93	0.46
	Maintain System Reliability	Miles Between Road Calls	1 per 14,000 VM	13,588

2024 OCTA paratransit service actuals.

	Objective	Metric	Target	Actuals
Paratransit	Reduce Fatalities	Fatalities per 100,000 VRM	0.00	0.00
	Reduce Injuries	Injuries per 100,000 VRM	0.00	0.01
	Reduce Safety Events	Safety Events per 100,000 VRM	0.00	0.06
	Maintain System Reliability	Miles Between Road Calls	1 per 25,000 VM	66,059

5.0 Implementation Actions

Appendix A

PTASP/FTA Code	Action Item	Timeline	Responsible Person/Group
673.23	PTASP/SMS Committee to review PTASP renewal	Annually	PTASP/SMS Committee
673.23	Safety Management CEO communication	Quarterly	HSEC/Human Resources/ Operations
673.27	Conduct a safety culture survey to assess improvement	Q4 2024	HSEC/Human Resources
673.23	Submit updated PTASP through the Board to include OC Streetcar system and mode details	Q2 2024	CEO/HSEC/Operations

HSEC, Health, Safety & Environmental Compliance, SMS – Safety Management System, CEO – Chief Executive Officer, Q2 – second quarter, Q4 – fourth quarter

In review of the Appendix A action items list, all items that required action and the allocation of resources were completed on time except one item associated with the incorporation of the OC Streetcar into the 2024 PTASP due to project delays. In total, out of the four established action items, three were achieved. The inclusion of the OC Streetcar system and mode details are incorporated into the 2025 PTASP and upon approval by the Board, the item will be completed.

6.0 Areas of Improvement

1. Safety promotion fosters a positive safety culture and improves safety performance by increasing safety awareness through training and communication. Developing a safety culture requires ongoing safety promotion. The “Good Catch” program acknowledges and encourages employees to report safety concerns and suggest enhancements. Additionally, the Annual National Safety Month held every June champions safety initiatives and serves as a continuous reminder to work safely, featuring month-long activities like table events, communications, and quizzes. In addition, OCTA held the safety culture questionnaire as a measurement of continuous improvement which was included in the 2024 Appendix A goals.

2. The Joint Labor Management Safety Committee has increased in size and participation. It continues to be more involved in OCTA’s continuous improvement strategies.

7.0 Summary

OCTA has not met all established safety performance targets. OCTA must allocate no less than 0.75 percent of its FTA Section 5307 funds to safety-related projects eligible under FTA Section 5307. Projects must target program challenges intended for mitigation of safety performance targets not met.

With newly revised requirements within 49 CFR Part 673, the FTA established ten safety performance measures which require OCTA to incorporate into the 2025 PTASP.

9.0 Annual Review Certification

By signing below, you certify that the annual review has been completed, and the information captured is accurate and reflects compliance to the standard.

1/16/2025

Valerie Steinbeck, PTASP Program Manager

1/16/2025

Matthew DesRosier, Chief Safety Officer

ATTACHMENT B

ORANGE COUNTY TRANSPORTATION AUTHORITY

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

2025

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Appendices

EXECUTIVE SUMMARY

Moving Ahead for Progress in the 21th Century (MAP-21) grants the Federal Transit Administration (FTA) the authority to establish and enforce a comprehensive framework to oversee the safety of public transportation throughout the United States. As a component of this safety oversight framework, recipients of FTA Chapter 53 funding are required to develop and implement a Public Transportation Agency Safety Plan (PTASP), Regulation 49 C.F.R. Part 673 based on Safety Management Systems (SMS) principles and methods.

On July 19, 2018, the FTA published the PTASP final rule, requiring certain operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement SMS. The goal of SMS is to increase the safety of transit systems by proactively identifying, assessing, and controlling risks. Further, Regulation 49 C.F.R. Part 673 puts the FTA and the Orange County Transportation Authority (OCTA) in a position to provide guidance that strengthens the use of safety data to support management decisions, improves the commitment of transit leadership to safety, and fosters a culture of safety promoting awareness and responsiveness to safety risks.

SMS is a comprehensive, collaborative, proactive, and a data-driven approach to managing safety, thus bringing management and labor together to: better control risk, detect and correct safety issues in a timely manner, effectively share and analyze safety data, and precisely measure safety performance.

Our Mission is to develop and deliver transportation solutions to enhance quality of life and keep Orange County moving.

Our Vision is an integrated and balanced transportation system that supports the diverse travel needs and reflects the character of Orange County.

OCTA is a public agency that conducts its business with integrity, in an honest and ethical manner. Our values consist of safety, integrity, customer focus, can-do spirit, communication, and teamwork/partnership. OCTA keeps people moving by reducing freeway congestion, improving safety and efficiency on the County’s local roads, providing bus service and regional multimodal connections, helping people find ways to leave their vehicles home, and providing safe, convenient transportation that is FTA and Americans with Disabilities Act (ADA) compliant to those with special accommodations. These values shape the way we do business and significantly influence who we are and how we want to be viewed by others.

OCTA has taken steps of creating an environment where safety culture is paramount by adopting safety as a core value. Individual efforts alone do not result in the desired outcome. A positive safety culture is achieved only when it develops an aggregate attitude that safety is paramount in all transit services. This type of safety thinking permits individuals to resist complacency, commit to excellence, and take personal accountability. The cumulative effect of these attitudes develops an organizational attitude of self-regulation for safety. It fosters a universal type of safety mindset.

Accordingly, safety culture is both attitudinal, as well as structural, and revolves around the common beliefs and actions of individuals and the organization. It consists not only of identifying safety issues but also resolving them with appropriate actions.

OCTA is committed to safety as a systematic and comprehensive approach to identifying hazards and risks and has adopted the SMS framework by establishing a safety policy, identifying hazards and controlling risks, setting goals, and planning and measuring performance. OCTA uses SMS as a means of agency-wide support for transit safety by establishing a culture where everyone is accountable for safety. The success of these efforts starts with senior executives and labor leadership visibly demonstrating their commitment to safety and leading by example to resolve safety issues.

The implementation of SMS, as described within this document, has been ongoing at OCTA through the execution of multiple activities, including:

- Extensive hazard identification, analysis and resolution;
- Increased internal auditing to ensure our processes are functioning as intended;
- Safety outreach with the community – as good neighbors and partners with emergency management resources in the surrounding communities; and
- Focus on improved safety training for all employees – to ensure that OCTA is as safe as practical with the understanding that safety is everyone's responsibility.

OCTA has developed and adopted this PTASP to comply with FTA regulations. OCTA's Board of Directors (Board), Accountable Executive, and Chief Safety Officer have reviewed and approved the PTASP through (resolution #TBD), assuring its content meets the requirements of Regulation 49 C.F.R. Part 673 through the establishment of a comprehensive SMS framework.

DEFINITIONS

Source: All definitions are official U.S. Department of Transportation, FTA definitions related to the Public Transportation Agency Safety Plan.

Accident: An event that involves any of the following: a loss of life, a report of a serious injury to a person, a collision of public transportation vehicles, a runaway train, an evacuation for life safety reasons, or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.

Accountable Executive: A single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency, responsibility for carrying out the Agency's Transit Asset Management Plan, and control or direction over the human and capital resources needed to develop and maintain both the Agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. § 5329(d), and the Agency's Transit Asset Management Plan in accordance with 49 U.S.C. § 5326.

Change Control: A method of maintaining the consistency and reliability of a system or product's performance, function, and design; and the control of changes made to the system or product throughout its life cycle.

Change Control Committee: A group of staff members that represent various areas of expertise within OCTA. These staff members have been selected to be diverse in expertise and responsibility to ensure that all of OCTA's interests and objectives are met by each project.

Chief Safety Officer: An adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer. A Chief Safety Officer may not serve in other operational or maintenance capacities, unless the Chief Safety Officer is employed by a transit agency that is a small public transportation provider as defined in this part, or a public transportation provider that does not operate a rail fixed-guideway public transportation system.

Core Safety Responsibilities: Responsibilities, accountabilities, and authority of the accountable executive, the key safety officers, and key members of the safety management team.

Desired Safety Outcomes or Goals: Safety outcomes for each risk using the measurable safety performance indicators established.

Document Revision and Control: A description of the regular annual process used to review and update the plan including a timeline for implementation of the process.

Event: Any accident, incident, or occurrence.

Hazard: Any real or potential condition that can cause injury, illness, death, damage to or loss of the facilities equipment, rolling stock, infrastructure, or damage to the environment.

Hazard Probability: Likelihood of a hazard consequence to occur.

Hazard Severity: The effect/damaging result of a hazards consequence.

Incident: An event that involves any of the following: a personal injury that is not a serious injury, one or more injuries requiring medical transport, or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.

Injury: Any damage or harm to persons that requires immediate medical attention away from the scene because of a reportable event. Agencies must report each person transported away from the scene for medical attention as an injury, whether or not the person appears to be injured.

Occurrence: An event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.

Performance Target: A quantifiable level of performance or condition expressed as a value for the measure to be achieved within a time period required by the FTA.

Policy Statement: A statement establishing senior management commitment to continual safety improvement, signed by the executive accountable for the operation of the Agency and the Board.

Prioritized Safety Risks: A description of the most serious safety risks to the public, personnel, and property.

Reportable: An event occurring on transit right-of-way, in a transit revenue facility, in a transit maintenance facility, or involving a transit revenue vehicle, excluding occupational safety events occurring in administrative buildings.

Risk: An assessed probability and severity calculation to classify the overall potential consequences of a hazard.

Risk Control Strategies and Actions for Prioritized Safety Risks: A description of risk control strategies and actions the Agency will undertake to minimize exposure of the public, personnel, and property to hazards, including a schedule for implementing the risk control strategies and the primary entity responsible for each strategy.

Safety Assurance: A list of defined safety performance indicators for each priority risk and associated targets the Agency will use to determine if it is achieving the specified safety goals.

Safety Culture: The product of individual and group values, attitudes, competencies, and patterns of behavior that determine commitment to safety management. Four attributes of a positive safety culture:

***Reporting*:** Encouraging employees to divulge information about hazards that they encounter.
***Just*:** Rewarding employees for providing essential safety-related information. Participation in Safety Incentive Programs throughout the year gives employees the opportunity to be rewarded for continuous safety improvement participation. Employees may be held accountable for deliberate violations of the rules. Disciplinary measures shall be conducted in accordance with established policies outlined in the OCTA Disciplinary Action Policy.
Flexible: Adapting to changing demands and reacting to events.
Learning: Willing to change based on safety indicators and hazards uncovered through assessments, audits, data, and incidents.

Safety Performance Target: A performance target related to safety management activities.

Safety Risk Management Approach: The formal processes the agency uses to identify hazards, analyze, and assess safety risks, and develop, implement and evaluate risk controls.

Safety Training Program: A comprehensive safety training program for agency staff that ensures staff are trained and competent to perform their safety duties.

Serious Injury: Any injury which: (1) Requires hospitalization for more than 48 hours, commencing within seven days from the date the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second or third degree burns, or any burns affecting more than five percent of the body surface.

Source: National Transit Database (NTD) Safety and Security Reporting Manual

Fatality: A death or suicide confirmed within 30 days of a reported event. Does not include deaths in or on transit property that are a result of illness or other natural causes; a death due to collision (including suicides), fire, hazardous material spill, acts of God, system or personal security event (including suicides), and Other safety events.

Source: National Public Transportation Plan Performance Measures

Fatalities: Total number of reportable fatalities and rate per total vehicle revenue miles by mode.

Injuries: Total number of reportable injuries and rate per total vehicle revenue miles by mode.

Safety Events: Total number of reportable events and rate per total vehicle revenue miles by mode.

Other Safety Events: Include but are not limited to slips, trips, falls, smoke, power failure, maintenance-related issues, or electric shock. To be reported as a major event, these events must **either** meet the fatality, evacuation, or property damage threshold **or** result in two or more injured persons. Other safety events that cause only one person to be immediately transported from the scene for medical attention, and that do not trigger any other reporting threshold, are reported on the Non-Major Monthly Summary Report form. The FTA includes other safety events that occur

in a transit maintenance facility and meet a reporting threshold but continues to exclude occupational safety events occurring in administrative buildings.

Note: *Definitions from the U.S. Department of Transportation, FTA should be applied uniformly across the entire agency, to ensure safety performance measures are accurate agency-wide and SMS is applied systematically.*

ACRONYMS

ADA	Americans with Disabilities Act
ART	Annual Required Training
BSSPP	Bus System Safety Program Plan
CAP	Corrective Action Plan
CEO	Chief Executive Officer
CFR	Code of Federal Regulations
CCP	Change Control Plan
COOP	Continuity of Operations Plan
CPUC	California Public Utilities Commission
CSO	Chief Safety Officer
EOC	Emergency Operations Center
FAST	Fixing America's Surface Transportation Act
FTA	Federal Transportation Administration
HR	Human Resources
HSEC	Health, Safety and Environmental Compliance Department
IIPP	Injury and Illness Prevention Program
LMS	Learning Management System
MAP-21	Moving Ahead for Progress in the 21st Century
MPO	Metropolitan Planning Organization
NPTSP	National Public Transportation Safety Plan
NTD	National Transit Database
NTSB	National Transportation Safety Board
OC	Orange County
OCTA	Orange County Transportation Authority
OHA	Operating Hazard Analysis
OSHA	Occupational Health and Safety Administration
PACE	People and Community Engagement Division
PHA	Preliminary Hazard Analysis
PTASP	Public Transportation Agency Safety Plan
Ri2	Routes Issues and Information Reporting Program
SCAG	Southern California Association of Governments
SCOT	Student Coach Operator Training
SMS	Safety Management System
SRM	Safety Risk Management
SOP	Standard Operating Procedure
SSCP	Safety and Security Certification Plan

SSEPP	Security Emergency Preparedness Plan
SSHA	Sub-System Hazard Analysis
SSOA	State Safety Oversight Agency
SSO	State Safety Oversight
TAM	Transit Asset Management
USC	United States Code

1. INTRODUCTION

OCTA was created in 1991, consolidating the functions of seven separate transportation agencies, including the Orange County Transportation Commission, the Orange County Transit District, the Consolidated Transportation Services Agency, the Orange County Local Transportation Authority, the Orange County Service Authority for Freeway Emergencies, the Orange County Congestion Management Agency, and the Orange County Service Authority for Abandoned Vehicles. OCTA is served by 17 Board Members.

OCTA's 17-member Board consists of five County Supervisors, ten city members, and two public members. The District Director of the California Department of Transportation, District 12, serves as an ex-officio member. Board of Supervisors are elected by Supervisorial Districts to a four-year term. City members are appointed by the Orange County City Selection Committee to a two-year term. Public members are appointed by the Board to a four-year term. Ex-officio member, California Department of Transportation District 12, District Director, is appointed by the Governor to a four-year term Public Utilities Code Sec. 130052(d).

The Chief Executive Officer (CEO) reports directly to the Board; the Deputy CEO reports to the CEO and is tasked with the duties of "Acting CEO" in the absence of the CEO. The Deputy CEO is also tasked with reporting to the Board in the CEO's absence. The CEO is responsible for the daily management of all systems operated by OCTA and ensures federal, state, local, and agency safety requirements are being met.

Facilities and Bus Facilities:

OCTA owns and maintains five maintenance and operating bases, nine transportation centers, one administration location that supports the bus bases and transportation centers, and one rail maintenance service facility. Additionally, there are support facilities, terminals, park-and-ride terminals, employee parking lots, surplus properties, communications, and other miscellaneous locations. The facilities are comprised of 47 buildings and structures totaling over 400,000 square feet. The structures are situated on 80 acres of property throughout Orange County with an initial capital cost of more than $50 million dollars.

The primary physical elements of the OCTA bus system are facilities and buses. The five maintenance and operating bases operate 24 hours per day, seven days a week, 365 days a year. The five bases are as follows:

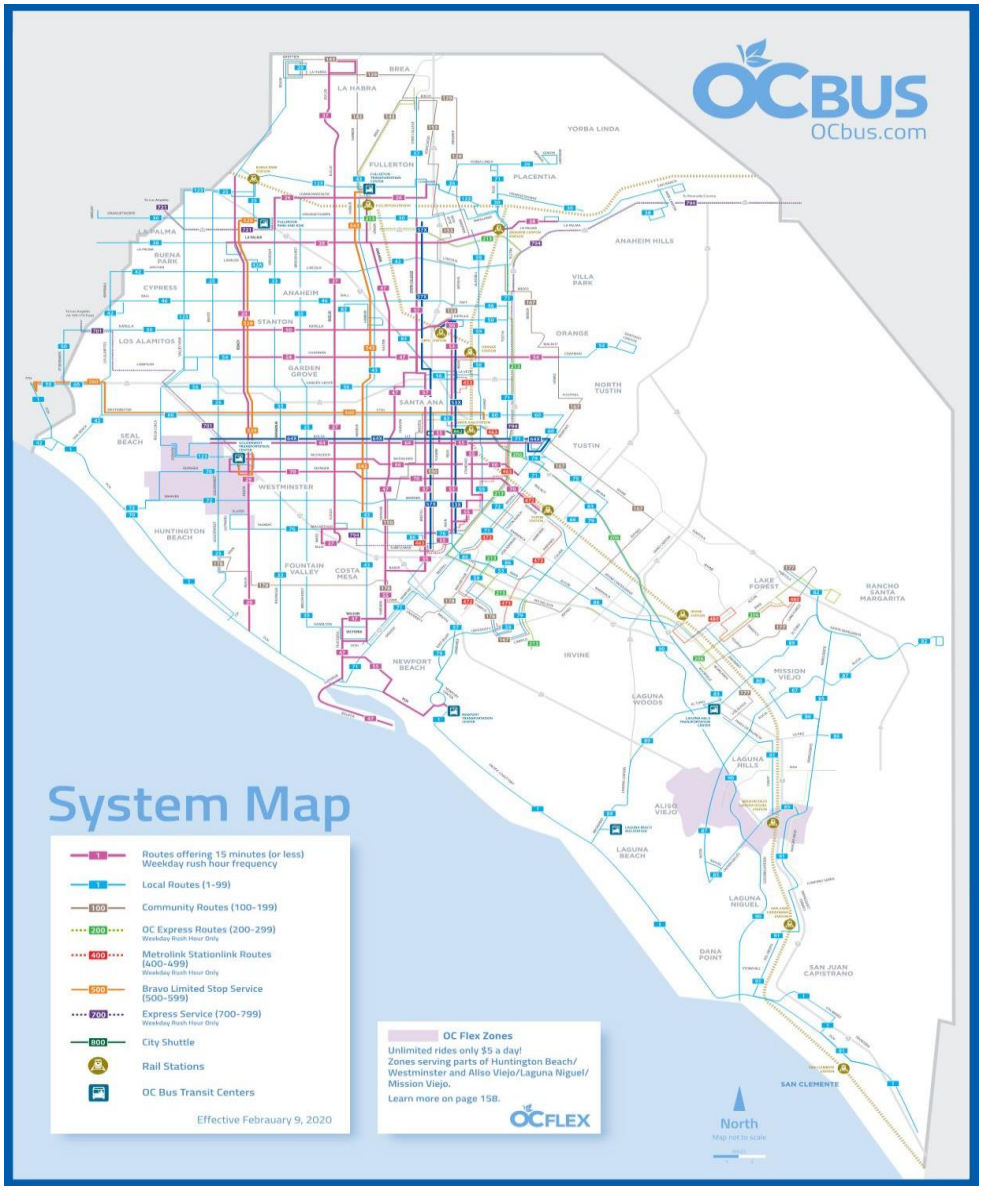
- Base 1-Santa Ana;
- Base 2-Irvine Construction Circle (Paratransit);
- Base 4-Garden Grove;
- Base 6-Anaheim (Contracted Fixed Route); and
- Base 7-Irvine Sand Canyon (Contracted Fixed Route).

Bus Service and System Description

OCTA's bus system operates 58 routes that serve over 5,000 bus stops which operate over a 798 square-mile area, in 34 cities and unincorporated areas. OCTA routes include local and community routes which travel between cities, express routes which travel on freeways, OC Flex on-demand service, and Stationlink service that connects Orange County Metrolink stations with major employment centers. Figure 1 depicts the OCTA system map.

Figure 1

THE OCTA SYSTEM MAP



OC Streetcar Service and System Description

The OC Streetcar is a 4.15-route-mile (8.3-track-mile) modern streetcar line that connects the Santa Ana Regional Transportation Center (SARTC) to Downtown Santa Ana and a new transportation hub located near the intersection of Harbor Boulevard and Westminster Avenue in the City of Garden Grove. The OC Streetcar will also serve the City of Santa Ana, the fourth most densely populated City with a population of over 300,000 in the country.

2. TRANSIT AGENCY INFORMATION

Transit Agency Name **Transit Agency Address** **Name and Title of Accountable Executive**	Orange County Transportation Authority- OCTA 550 South Main Street Orange, CA 92868 Darrell E. Johnson, OCTA Chief Executive Officer		
Name of Chief Safety Officer or SMS Executive	Matthew DesRosier		
Mode(s) of Service Covered by This Plan	Bus and Paratransit: Directly Operated and Contracted.	List all FTA Funding Types	5307, 5309, 5310, 5337, and 5339
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	Commuter Bus, Bus, Vanpool, Demand Response, Demand Response Taxi, and Paratransit services, Streetcar		
Does the agency provide transit services on behalf of another agency or entity?	Yes [x] No [ ] Description of Arrangements: OCTA operates fixed-route service for the Irvine iShuttle; and operates ADA service the Laguna Beach Trolley, Anaheim Transit Network, iShuttle, and Project V community shuttles.		
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided	**N/A**		

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3. PLAN DEVELOPMENT, APPROVAL, AND UPDATES

Name of Entity That Drafted This Plan	Orange County Transportation Authority	
	Signature of Accountable Executive	**Date of Signature**
Signature by Accountable Executive		
Approval by the Board or an Equivalent Authority	**Name of Individual/Entity That Approved This Plan**	**Date of Approval**
	OCTA Board	
	Relevant Documentation (title and location)	
	Name of Individual Entity That Certified This Plan	**Date of Certification**
	Matthew DesRosier (CSO)	

Version Number and Updates - Record history of successive versions of this plan.

Version Number	Section/Pages Affected	Reason for Change	Date Issued
2	19, 33, 37, 40, 45, 52, 56, 61	Appendix A, OTS Process, Configuration Process Updates	06/30/2021
3	16, 17, 19, 47	Annual Review, Managements Commitment, adjust MBR Data Appendix A	2/15/2023
4	1	Date Change	11/22/2024
4	11, 13	OC Streetcar	11/22/2024
4	18	Removal of Beth McCormick as signatory (retired)	11/22/2024
4	19	Addition of Rose Casey and Kristin Jacinto	1/10/2025
4	20, 21	Safety Performance Targets	1/16/2025
4	28	Joint Labor Safety Committee Responsibilities	11/22/2024
4	17, 40, 50	Joint Labor Management Safety Committee Referenced	11/22/2024
4	49	Appendix A – 2025 Implementation Actions	11/22/2024
4	62	Workplace Violence Policy and Joint Labor Management Safety Committee Policy Referenced	11/22/2024

Annual Review and Update of the Public Transportation Agency Safety Plan

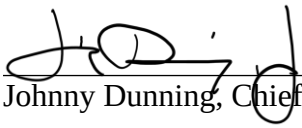
Due to the implementation of 49 CFR Part 673, OCTA is required to annually submit the current PTASP to the Board for review and approval, along with an annual performance report. The annual review of the PTASP will be conducted by the Accountable Executive, the Chief Safety Officer and the SMS Program Manager each calendar year, no later than January 15. No proposed change will be incorporated into the PTASP until it has been reviewed by the Joint Labor Management Safety Committee and approved by the CEO and the Board. Annual review and updating of the PTASP will consist of the CEO signing and dating this document and submitting it to the Board for review. All changes to the PTASP are recorded in the PTASP Activity Log; displaying the version number, section/pages affected, the reason for change and the date of the change.

Necessary updates outside the annual update will be bulletins, which will be incorporated in the body of the PTASP each year for approval. Any division Executive Director or other official may submit a proposed change at any time for review and adoption. Proposed changes are submitted to the Chief Safety Officer and a determination is made whether to convene a special SMS/PTASP Committee meeting, or to include the matter on the agenda for the regular SMS/PTASP Committee monthly meeting.

Management / Executive Commitment

The individuals signing this PTASP, attest all items and conditions contained in this plan are understood, accepted, recommended, and supported; they are committed to the implementation of this PTASP and achieving intended objectives.

Jennifer L Bergener, Deputy Chief Executive Officer, — 4/27/2020 Date



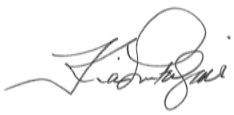
Johnny Dunning, Chief Operations Officer — 11/17/2022 Date

Andrew Oftelie, Chief Financial Officer — 4/24/2020 Date

Maggie McJilton, Executive Director, Workforce Development — 4/24/2020 Date

Jim Beil, Executive Director, Capital Programs — 4/24/2020 Date

Maggie McJilton, Executive Director, External Affairs — 4/24/2020 Date



Kia Mortazavi, Executive Director, Planning — 4/27/2020 Date

Rose Casey, Executive Director, Planning

1/10/2025
Date

Kristin Jacinto, Executive Director, Government Relations

1/10/2025
Date

Matt DesRosier, Manager, Health, Safety & Environ. Compliance, Chief Safety Officer

4/24/2020
Date

4. SAFETY PERFORMANCE TARGETS

Safety Performance Management is a critical tool that supports OCTA in identifying safety concerns and monitoring progress in safety improvements. OCTA has developed the following Safety Performance Targets to focus on its commitment to safety and meet federal requirements.

NTD	Objective	Metric/Rate	Target
BUS	Reduce Major Events	Per 100K VRM	0.19
	Reduce Collision Events	Per 100K VRM	0.14
	Reduce Pedestrians Collisions Events	Per 100K VRM	0.01
	Reduce Vehicular Collisions Events	Per 100K VRM	0.12
	Reduce Injuries	Per 100K VRM	0.35
	Reduce Transit Worker Injuries	Per 100K VRM	0.02
	Reduce Assaults on Transit Workers	Per 100K VRM	0.04
	Reduce Fatalities	Per 100K VRM	0.00
	Transit Worker Fatalities	Per 100K VRM	0.00
	Maintain System Reliability	Miles between Road Calls	1 per 14K VM

** Safety Performance Targets are based on a three-year rolling average of the data submitted to the NTD; For all modes of public transportation; OCTA must allocate no less than 0.75 percent of its section 5307 funds to safety-related projects eligible under section 5307 if there is a failure to meet targets.*

** Safety Performance Targets are calculated on a calendar year basis.*

NTD	Objective	Metric/Rate	Target
PARATRANSIT	Reduce Major Events	Per 100K VRM	0.04
	Reduce Collision Events	Per 100K VRM	0.04
	Reduce Pedestrian Collision Events	Per 100K VRM	0.00
	Reduce Vehicular Collisions Events	Per 100K VRM	0.04
	Reduce Injuries	Per 100K VRM	0.05
	Reduce Transit Worker Injuries	Per 100K VRM	0.00
	Reduce Assaults on Transit Workers	Per 100K VRM	0.00
	Reduce Fatalities	Per 100K VRM	0.00
	Transit Worker Fatalities	Per 100K VRM	0.00
	Maintain System Reliability	Miles between Road Calls	1 per 25K VM

** Safety Performance Targets are based on a three-year rolling average of the data submitted to the National Transit Database (NTD); For all modes of public transportation; OCTA must allocate no less than 0.75 percent of its section 5307 funds to safety-related projects eligible under section 5307 if there is a failure to meet targets.*

** Safety Performance Targets are calculated on a calendar year basis.*

Safety Performance Target Coordination Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets		
OCTA will foster agency-wide support for transit safety and will provide copies of their PTASP and additional information as requested to Southern California Association of Governments (SCAG) and California Public Utilities Commission (CPUC). Additionally, OCTA will evaluate agency Safety Performance Targets annually; the updated targets will be shared with the SCAG, and CPUC.		
Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	CPUC	
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted
	SCAG	

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5. SAFETY MANAGEMENT POLICY (673.23)

5.1 Safety Management Policy Statement- 673.23 (a)

OCTA is committed to developing, implementing, maintaining, and constantly improving processes to make sure all transit service delivery activities take place under a balanced allocation of organizational resources, aimed at achieving the highest level of safety performance and meeting standards. All levels of management and employees are accountable for the delivery of the highest level of safety performance, starting with the OCTA CEO.

OCTA managers, personnel, and outside contractors are responsible for promoting the safety of customers, employees, property, and the public who encounter OCTA's transit services. Every employee must practice workplace safety, use equipment, tools and materials properly, and be trained in the work rules and procedures for their area of responsibility, including contingency plans for abnormal and emergency conditions. Each employee and contractor shall take an active part in the hazard identification and reporting process.

OCTA is committed to:

- Support the management of safety through the provision of appropriate resources to result in an organizational culture that fosters safe practices, encourages effective employee safety reporting and communication, and actively manages safety with the same attention to results as paid to other management systems of the organization;

- Integrate the management of safety as a primary responsibility of all managers and employees;

- Clearly define for all staff, managers, and employees alike, their accountability and responsibility for the delivery of the organization's safety performance and the overall performance of OCTA's safety management system;

- Establish and operate hazard identification and analysis, and safety risk evaluation activities, including an employee safety reporting program as a fundamental source for safety concerns and hazard identification. Eliminate or mitigate safety risks and hazardous consequences resulting from OCTA's operations or activities to a level that is acceptable and consistent with safety performance;

- Ensure no action will be taken against any employee who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures;

- Comply with, and wherever possible exceed, legislative and regulatory requirements and standards;

- Ensure sufficiently skilled and trained PACE staff are available to implement safety management processes;

- Ensure all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are allocated only tasks commensurate with their skills;

- Establish and measure OCTA's safety performance against realistic and data-driven safety performance indicators and safety performance targets;

- Continually improve OCTA's safety performance through management processes that ensure appropriate safety management action is taken and is effective; and

- Ensure externally supplied systems and services to support OCTA's operations are delivered to meet OCTA's safety performance standards.

5.2 Process for Reporting Unsafe Conditions-673.23(b)

Employees are required to embrace OCTA's safety goals and objectives and encouraged to report safety concerns, issues, or hazards. OCTA's employees have a duty to report any unsafe condition to their supervisor, manager, union steward, safety committee member, safety staff, the Accountable Executive, or the SMS Program Manager. The safety staff works with managers and employees to facilitate the reporting of hazards using email, telephone, and in-person reporting. Moreover, employees may report safety concerns, issues, or hazards through the safety department intranet page, Routes Issues and Information Reporting Program (Ri2), and Ethicspoint, OCTA's ethics hotline.

OCTA Health, Safety & Environmental Compliance Intranet Page

OCTA intranet homepage provides employees with links to the intranet pages for each division in the agency. By selecting "Organization" on the main menu bar and then scrolling to appropriate division, employees have access to the that division's intranet page. On the Health, Safety and Environmental Compliance page, employees may use the "Big Red Button" to submit a safety concern or get access to safety policies and information. The reporting of unsafe conditions through the "Big Red Button" are managed by the CSO and is a closed loop process that is resolved within 14 business days.

Ri2 affords OCTA employees the ability to enter information related to safety concerns, issues, or hazards into an electronic reporting forum. OCTA responds to Ri2 submissions and typically resolves the report within 14 business days. During the resolution process employees have the ability to log in and check the progress or status of their Ri2 submission.

OCTA's Ethicspoint number is available for any employee, outside contractor, or member of the public to anonymously report any safety hazards, suspected fraud, waste, abuse, illegal or unethical behavior. The report is confidential. Reports to Ethicspoint will be administered by Internal Audit for review and investigation by the appropriate department.

OCTA is committed to fair treatment of all its employees and recognizes its responsibility under state and federal law to protect from punishment and harassment any person who reports an issue, whether the allegation is found to have merit. OCTA shall not take any action or threaten any action against any employee as a reprisal for making a report unless the report was made, or the information was disclosed with the knowledge that it was false or with willful disregard for its truth or falsity. Policy violations will be managed through OCTA's Human Resources Department.

5.3 Safety Management Policy Communication-673.23(c)

OCTA staff are informed of their responsibilities related to safety and SMS during onboarding, within their individual job descriptions, and receive an annual performance evaluation that includes safety-related evaluation criteria. Additionally, each employee is required to acknowledge through signature that they have received a written copy of OCTA's Safety Management Policy Statement. Signed copies will be filed within individual employee files. OCTA will provide additional safety information via the Intranet, newsletters, safety bulletins, and audio-visual monitors in break rooms.

5.4 Authorities, Accountabilities, and Responsibilities-673.23(d)

The purpose of the PTASP is to: maintain a formal Safety Program and establish a coordinated safety effort responsive to the needs of the operating and support departments, make sure all personnel and contractors are working toward the common goal of minimizing the occurrence of customer and employee incidents by providing safe revenue service to our customers and a safe work environment for our employees.

Board of Directors

The 17-member Board receives staff reports and considers staff recommendations that have the potential to impact operational safety. The Board makes policy-level decisions and follows established protocol for voting on actions that guide OCTA's operations. OCTA Board Members also serve on smaller committees, which are intended to provide more detailed information and specifically focus on different functional areas of OCTA. The various Board committees that review and recommend actions that have potential safety and environmental impacts include the Executive Committee, which safety related items are brought before, the Legislative and Communications Committee, the Regional Transportation Planning Committee, and the Transit Committee.

Executive Staff

Executive staff refers to the CEO, Deputy CEO, Chief Financial Officer, Chief Operating Officer, Division Executive Directors, and Division Directors. The CEO is the OCTA Accountable Executive and reports directly to the Board; the Deputy CEO reports to the CEO and is tasked with the duties of "Acting CEO" in the absence of the CEO. The Deputy CEO is also tasked with reporting to the Board in the CEO's absence. The CEO is responsible for the daily management of all systems operated by OCTA and ensures federal, state, local, and agency safety requirements are being met. The CSO and executive staff direct the utilization of available resources as

necessary to achieve safety goals and objectives. This management level exercises approval authority for major system modifications and facilitates coordination of safety efforts.

Divisions/Departments

People and Community Engagement (PACE) Division – Led by the Executive Director of PACE, is responsible for planning, directing, and evaluating the effectiveness of all the PACE Division systems, policies and practices, as well as related administrative functions. PACE includes the Marketing and Public Outreach Departments, which are responsible for the marketing and public outreach programs in support of OCTA projects, services, and initiatives. Additionally, PACE includes the Human Resources Department, which includes Labor and Employee Relations, EEO/Affirmative Action, ADA general program and Title VI, Learning and Development Department, Risk Management Department, and Health, Safety, and Environmental Compliance Department.

Operations Division – Led by the Chief Operating Officer, is responsible for all operational functions in the authority: bus, streetcar, rail, on-demand services and mobility paratransit. Operations provides highly complex and responsible direction for multiple transit departments and administrative programs. Operations is also responsible for creating policy and strategic direction as well as planning to the operational functions of the agency.

Planning Division – Led by the Executive Director of Planning, is responsible for ensuring the coordination of activities and integration of effort. Oversees, evaluates, and manages the work of agency staff and contractors conducting the strategic planning, policy development, environmental studies, design, and community relations activities to deliver highly complex multimodal transportation planning. Planning is also responsible for creating policy and strategic direction as well as planning, directing, and evaluating the effectiveness of all Planning Division's systems, policies and practices, and related functions.

Finance & Administration Division – Led by the Chief Financial Officer, is responsible for the direction of the overall programs/activities of the Treasury Department, Contracts Administration and Materials Management, Accounting and Financial Reporting, Financial Planning and Analysis, General Services, and leads the Finance and Information Systems.

Capital Programs Division – Led by the Executive Director of Capital Programs, is responsible for the oversight, evaluation, and management of the division's activities to deliver highly complex multimodal transportation rail, high-speed rail, and highway programs. The division is also responsible for creating policy and strategic direction as well as planning, directing, delivering, and evaluating the effectiveness of all division systems, policies and practices, and related functions.

Government Relations Division – Led by the Executive Director of Government Relations, is comprised of State and Federal Relations, a Grants section, and the Regional Initiatives Department. The Government Relations Division is responsible for monitoring, analyzing, and responding to government actions and decisions that affect how OCTA receives funding, plans for

projects, and delivers services. Government Relations also maintains an active presence at all levels of government to ensure OCTA's interests are well represented in these various forums.

Staff Positions

Directors, Managers Roles, and Responsibilities
All directors and managers are accountable and responsible for:

- Implementing the safety risk management, safety assurance, and safety training and communication protocols of their department;
- Safety performance within their functional areas;
- Ensuring procedures are consistent with the SMS;
- Determining and implementing countermeasures required to counteract safety risks and manage issues that negatively impact OCTA safety performance;
- Ensuring that all employees are trained in SMS;
- Supporting and requiring employees within their department to participate in safety training activities;
- Integrating SRM into existing processes;
- Requiring that all relevant safety information is communicated and used in decision-making;
- Providing information to the CEO, Chief Operating Officer, Executive Directors, and HSEC, as appropriate;
- Ensuring that all system changes are coordinated with HSEC and documented; and
- Cooperating with and providing support for evaluations and audits conducted by HSEC.

Supervisor Roles and Responsibilities
Supervisors are accountable and responsible for:

- The safety performance of all personnel and equipment under their supervision;
- Implementing and maintaining safety-related control measures/mitigations;
- Familiarizing employees with the safety requirements and hazards associated with the work to be performed;
- Responding to identified hazards that may impact safety performance;
- Reporting all mishaps and incidents to HSEC;
- Sharing lessons learned from incidents; and
- Implementing and adhering to SMS procedures and processes within their span of control.

Employee Responsibilities
All OCTA employees are responsible for:

- Becoming familiar with the safety procedures for their assigned work activity;
- Performing their work safely;
- Following procedures and rules;
- Calling attention to hazards that may impact safety performance; and
- Reporting mishaps and incidents to their supervisor, in accordance with established requirements for the protection of themselves, co-workers, customers, facilities, and equipment.

Joint Labor Management Safety Committee

The Committee must consist of an equal number of frontline employee representatives, selected by a labor organization representing the plurality of the frontline workforce or, a contractor to the recipient, to the extent frontline employees are represented by labor organizations, and management representatives.

The Safety Committee is responsible for:

- Identifying and recommending risk-based mitigations or strategies necessary to reduce the likelihood and severity of consequences identified through the agency's safety risk assessment;
- Identifying mitigations or strategies that may be ineffective, inappropriate, or were not implemented as intended; and
- Identifying safety deficiencies for purposes of continuous improvement.
- Setting annual safety performance targets for the safety risk reduction program
- Reviewing and approving any updates of the PTASP.

Contractors

OCTA is responsible for facilitating communication between internal stakeholders and outside contractors. All contractors are responsible for compliance with this PTASP and 49 CFR Part 673. The contractor is responsible for collecting, reviewing for accuracy, and submitting contract/performance-related information and data to OCTA Operations Management monthly. The contractor is required to comply with all OCTA SMS policies and procedures, reporting and submission requirements, including those required for Hazard Identification and Analysis, the NTD submission, and preparing all required data for OCTA to report. OCTA's SMS Program Manager will receive SMS data from OCTA contractors, per the agreed upon schedule; monitor and measure the contractor's safety performance through the data provided and report to the Chief Safety Officer and the PTASP SMS Committee quarterly.

Additionally, the contractor must provide OCTA access to all work, materials, payroll, and other data, records, and accounts maintained by the contractor for auditing purposes. Any audit findings requiring corrective action must be corrected by the contractor and checked by OCTA to ensure they have been corrected.

Contractors are required to provide training to employees on a scheduled basis, to include refresher training. The Contractor is required to make sure that their staff receives training applicable to requirements of jobs performed. Training is related to knowledge and operation of equipment, dealing with the public, sensitivity to persons with disabilities, knowledge of various kinds of disabilities, rules and procedures of OCTA services, and other areas of knowledge and proficiency which, shall enable personnel to perform their jobs and meet the requirements of the contract. OCTA reserves the right to audit training activities at its discretion.

Lines of Authority for Safety:

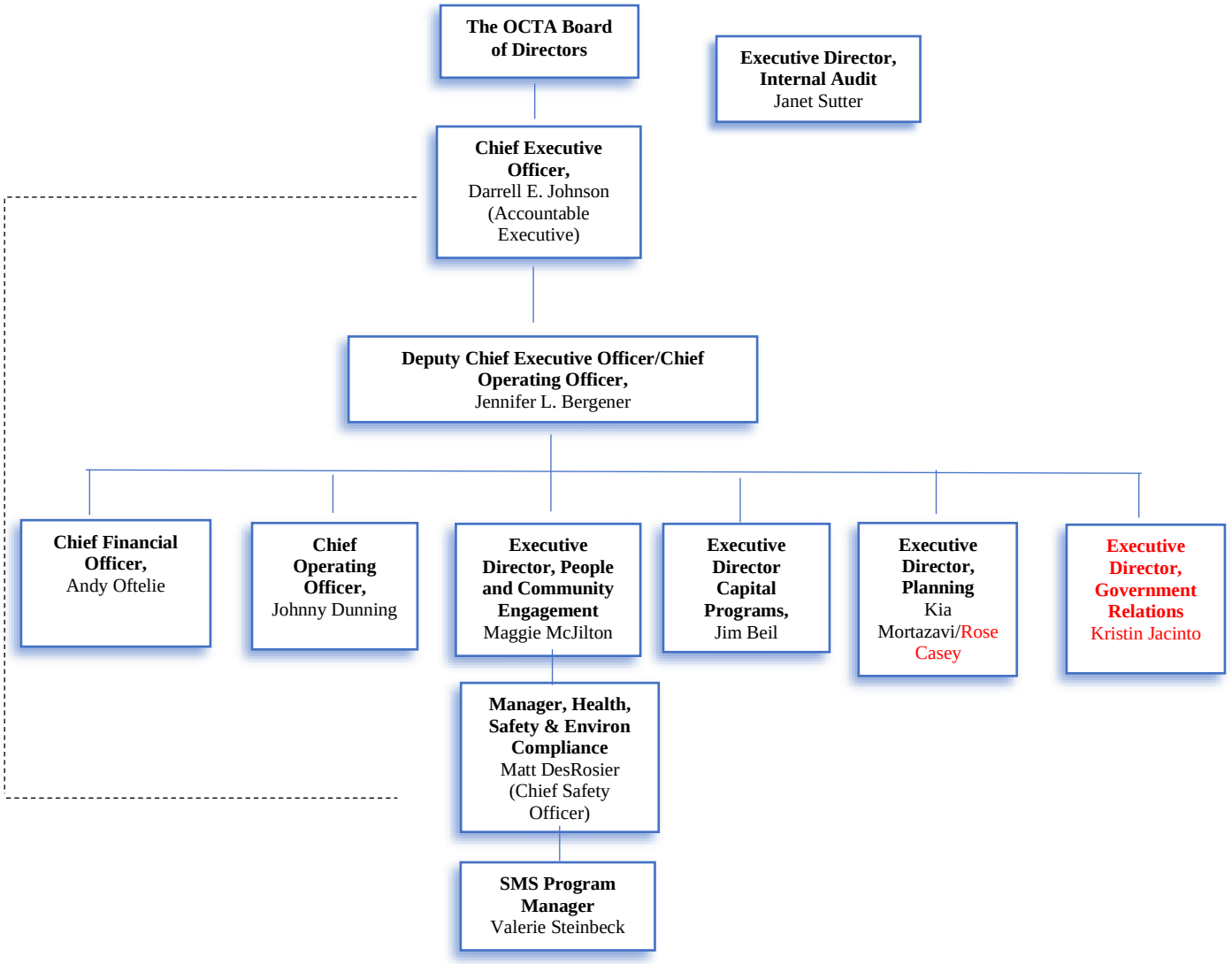
The Health, Safety, & Environmental Department, led by the Health, Safety, & Environmental Compliance Manager/CSO, reports directly to the CEO through a dotted line and reports

administratively daily to the Executive Director of PACE. The Health, Safety, & Environmental Compliance Manager/CSO, is responsible for the development, implementation and administration of environmental, health, safety and sustainability policies, procedures, and programs designed to ensure regulatory compliance, minimize hazards and promote a culture of safety and sustainability. Provides leadership, technical expertise and strategic planning for implementing employee safety programs, fleet and construction safety, wellness, and environmental compliance. Assists all departments in maintaining a safe and secure environment by providing guidance in identifying and evaluating hazards and vulnerabilities and minimizing the hazardous conditions and/or vulnerabilities to their lowest achievable level.

The CSO oversees SMS, the SMS Program Manager, and is the chair of the SMS/PTASP Committee. The HSEC Department consists of the CSO, SMS Program Manager, and safety staff to achieve its safety responsibilities as outlined in this document.

Figure 2

Executive Management Reporting



Chief Safety Officer (CSO)

The CSO takes a proactive approach by performing the following activities:

- Manages and implements the Public Transit Agency Safety Plan, as well as answers any questions regarding the Agency's Transit Safety Plan;
- Chairs the SMS/PTASP Committee meetings;
- Leads OCTA in the implementation of the Safety Management System throughout the Agency;
- Participates in formal meetings with the FTA, CEO and other OCTA management on safety issues;
- Reports safety performance measures/targets to the MPO; and
- Develops and implements safety policies, procedures, and programs risk identification, evaluation, control, funding, and administration.

SMS Program Manager

Assists the CSO in all functions and takes the lead in the following safety functions:

- Co-chairs the SMS/PTASP Committee meetings;
- Promotes and coordinates the Safety Management System methodology within the Agency;
- Participates in formal meetings with the FTA, CEO, and other management on safety issues;
- Investigates employee and vehicle accidents, incidents, and injuries; assists in developing programs to reduce injuries;
- Serves as OCTA's main contact with other agencies related to safety programs and procedures and prepares case records, documents, and data required by such agencies;
- Compiles and analyzes safety statistics; produces reports, records, documents, and manifests; accesses and updates database files;
- Coordinates staff safety meetings and attends meetings, conferences and group functions related to safety;
- Conducts training sessions relating to safety;
- Identifies health and safety concerns, analyzes reports and information, develops programs for accident/injury prevention, and submits recommendations to reduce frequency of accidents;
- Identifies safety concerns and issues, and participates in the design and implementation of safety policies and procedures;
- Performs hazard analyses as necessary;
- Tracks hazards and corrective actions; and
- Performs other job-related duties, as directed.

To ensure transit operations are conducted in the safest manner possible, all appropriate personnel have been assigned Safety and SMS related responsibilities, Table 1: Safety Roles and SMS Responsibilities. In addition, within OCTA, each department/function provides distinct roles and carries out specific responsibilities to ensure the safety of passengers, employees, local responders, and the community served.

Table 1

Safety Task Roles and Responsibilities

SAFETY TASKS	SSO	Accountable Executive / Executive Dept.	Operations Management	Safety	Security and EP	Finance / CAMM	TTS / Engineering	PACE / Risk Management	Planning & Development	Internal Audit	D-Daily M-Monthly Q-Quarterly Y-Yearly AR-As Required
Safety Management Policy Statement	A	P	P	P	S	S	S	S	S	S	AR
Develop PTASP	A	P	P	P	RC	RC	RC	RC	RC	RC	AR
Update PTASP	A	P	P	P	RC	RC	RC	RC	RC	RC	AR
Liaison with SSO	N/A	S	S	P	S	S	S	S	S	S	AR
External PTASP Assessment	P	S	S	P	S	S	S	S	S	S	AR
Conduct Internal Safety Assessment/Audits	A	A	S	P	S	S	S	S	S	P	Y
Internal Safety Reporting and Program Monitoring	A	S	S	P	S	S	S	S	S	S	AR
Safety/Security Certification	RC	A	P	P	P	S	P	S	S	S	AR
Develop Emergency Response Plans	A	A	S	S	P	S	S	S	S	S	Y
Safety Hazard, Near-Miss, and Incident Identification and Reporting	RC	P	P	P	P	P	P	P	P	P	AR
Collect and Analyze all Safety Data and Measurements	RC	S	P	P	S	S	S	S	S	S	AR
Collect and Analyze all Security Data and Measurements	RC	S	P	S	P	S	S	S	S	S	D
Maintain Database of Safety Statistics, Measurements, Trends	RC	S	P	P	S	S	S	S	S	S	D
Maintain Database of Security Statistics, Measurements, Trends	RC	S	P	S	P	S	S	S	S	S	D
Issue Accident/Incident Statistics and Reports	A	S	S	P	P	S	S	S	S	S	D
Review Passenger Accident Trends	RC	S	P	S	S	S	S	S	S	S	M
Conduct Accident/Incident Investigations	A	A	P	P	P	S	S	S	S	S	AR
Report Required Threshold Accidents to Outside Agencies (SSO, FTA)	A	A	P	P	S	S	S	S	S	S	AR

SAFETY TASKS	SSO	Accountable Executive / Executive Dept.	Operations Management	Safety	Security and EP	Finance / CAMM	TTS / Engineering	PACE / Risk Management	Planning & Development	Internal Audit	D-Daily M-Monthly Q-Quarterly Y-Yearly AR-As Required
Safety Risk Assessments	RC	A	P	P	P	P	P	S	P	S	AR
Hazard/Risk Management and Mitigations	A	S	P	P	P	S	P	S	P	S	AR
Design Reviews	RC	S	P	P	P	S	P	S	P	S	AR
Change Control	N/A	S	P	S	S	S	P	S	S	S	AR
Safety Training Program	RC	A	P	P	S	S	S	S	S	S	AR
Security Training Program	RC	A	P	S	P	S	S	S	S	S	AR
Safety Communication	RC	S	P	P	P	S	P	S	S	S	AR
Occupational Safety and Health Program Compliance	RC	P	P	P	S	S	S	S	S	S	AR
Security and Emergency Response Program Compliance	RC	P	P	P	P	S	S	S	S	S	AR
Maintain Accident Record Keeping, Employee Injury Reporting Forms, and Related Data	RC	S	S	P	S	S	S	S	S	S	AR
Provide Claims Administration and Investigation	RC	S	S	S	S	S	S	P	S	S	D
Corrective Action Plans	A	S	P	P	P	S	P	S	S	S	D
Contractor Oversight and Compliance Assurance	RC	S	S	P	S	S	S	S	S	S	AR
PTASP Documentation Control	RC	S	S	P	S	S	S	S	S	S	AR

Legend:

A	**Approval**	The identified participant(s) is (are) responsible for approval of specified documentation
P	**Primary Task Responsibility**	The identified participant(s) is (are) responsible for the preparation of the specified documentation.
S	**Secondary or Support Task Responsibility**	The identified participant(s) is (are) to provide the necessary support to accomplish and document the task.
RC	**Review and Comment Responsibility**	The identified participant(s) may review and provide comments on the task or requirement.

6. SAFETY RISK MANAGEMENT (673.25)

6.1 Safety Risk Management Process 673.25(a)

Safety Risk Management promotes the identification of hazards before they escalate into accidents or incidents, assesses safety risk, and establishes necessary mitigations. The Safety Risk Management process is comprised of the following activities: safety hazard identification, safety risk assessment, and safety risk mitigation.

6.2 Safety Hazard Identification 673.25(b)

Hazard identification and resolution is a core element of the PTASP/SMS emphasizing timely correction of unsafe conditions, anticipated and reconciled before serious accident, injury, or damage occurs. OCTA has the following hazard identification sources in place:

- Employee safety reporting;
- Safety observations;
- Inspections;
- Internal audits;
- Internal safety investigations;
- Accident reports;
- Compliance programs;
- PTASP/SMS committee reviews;
- SMS data/Industry data;
- State and federal government sources (including CPUC and FTA); and
- Public feedback/complaints.

The objective of hazard identification and analysis is to identify and define as many hazardous conditions as possible and enter them into the Hazard Resolution process before those conditions or associated actions cause or contribute to an accident. Hazard identification is accomplished through on-site hazard identification, hazard reporting, and/or as each Department or Base Manager collects and analyzes data to monitor trends. Departmental and Base Managers are responsible for investigating hazards and resolving such hazards within their departments utilizing the Hazard Management Process- Identification/Analysis delineated in Appendix B. When hazards cannot be resolved within the department, the Safety Department, CSO, and Accountable Executive are consulted for resolution.

Data gathered within each department is used to set the agenda for PTASP/SMS Committee meetings, where hazard data is discussed, evaluated, and disseminated to each representative departmental manager for use interdepartmentally and agency wide. The SMS Program Manager is responsible for preparing monthly data and trend analysis reports which are reviewed at monthly PTASP/SMS Committee meetings. The monthly report(s) are distributed throughout OCTA as part of Safety Promotion/Communication strategies.

OCTA documents hazards that develop through multiple sources, such as: employee reporting, accidents, incidents, and leading or lagging indicators. OCTA also evaluates hazards to determine if multiple events occurred leading up to an event. This ensures each possible cause is evaluated and documented for trending purposes.

6.3 Safety Risk Assessment 673.25(c)

OCTA's Hazard Analysis Process establishes processes to assess the safety risks associated with identified hazards. The process assesses the safety risk based upon predicted probability and severity of a hazard's potential consequences.

The probability that a hazard will occur during the planned life expectancy of the system element, subsystem, or component can be described subjectively in potential occurrences per unit of time, event, population, items, or activity. Supporting rationale for assigning a hazard probability is documented in hazard analysis reports.

The severity of a hazard is defined to provide a qualitative measure of the worst credible mishap resulting from operational risks, personnel error, environmental conditions, design inadequacies, and procedural deficiencies for a system, subsystem, or component failure or malfunction.

Safety Risk Assessment Request Process

The process allows OCTA employees to submit safety concerns, as a non-punitive safety reporting system. Hazards that are deemed by Operations and/or HSEC to be an immediate threat to safety, for example poor footing in walk areas, are expected to be immediately corrected. The process is as follows:

1. Employee reports hazard to supervisor/manager, safety committee member or union steward or employee can enter a request through the safety department intranet site, Ri2, or the Ethicspoint.
2. Report entry and tracking into ORIGAMI.
    a. Once entered into the database, a tracking number is assigned, and a notification is sent to the requestor via email.
    b. Primary safety staff notified via email, review for complete information, and route assignments; post updates as progress is made.
3. Review of issues – issues reviewed by safety and other experts as needed.
4. Conclusions and actions to be taken – conclusions of the review guide follow-up actions to be taken.
5. Response to the requestor – primary safety staff sends written report to conclusions and actions taken, once determined and completed.

6.4 Safety Risk Mitigation 673.25(d)

Hazards which cannot be eliminated are mitigated through engineering controls, administrative controls, or personal protective equipment. Hazards that pose an imminent danger are expected to be immediately mitigated through the organization's stop work authority.

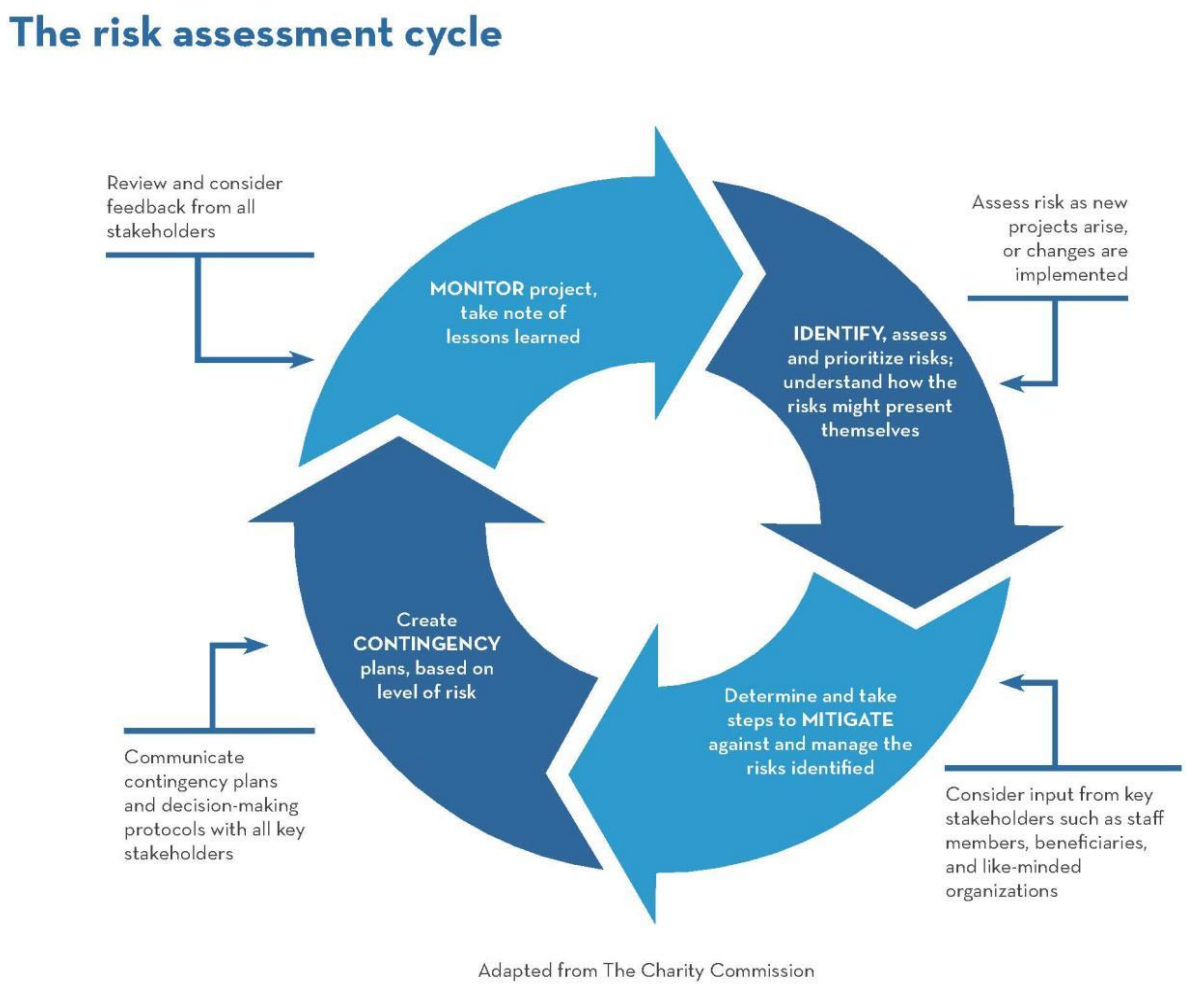
The Accountable Executive and the CSO have authority to implement operational changes that have safety implications. Accordingly, all hazard identification and analysis proceedings should result in the issuance of a report by the SMS Program Manager to the CSO. The report includes all pertinent data developed by the PTASP/SMS Committee on the identified hazard and risk evaluation process. A recommendation achieved by consensus of the Committee is included, regardless of whether the recommendation is for a change in existing conditions or procedures, or for retention of the existing condition/risk. Any disagreement on the matter, or suggested negative ramifications of the recommendation, must also be included for review and consideration by the Accountable Executive.

The PTASP/SMS Committee Chair (CSO) discusses reports with the Accountable Executive; if required, the CSO will direct the SMS Program Manager to prepare a report based on the Accountable Executive's response to the recommendation, including all necessary data pertaining to the decision. If deemed necessary, the appropriate department will be directed to arrange any necessary field testing, pilot program, or controlled environment for developing additional information. Such testing may be requested by the Accountable Executive, CSO or the PTASP/SMS Committee and documented.

Hazards identified within the system are evaluated by appropriate staff and eliminated or mitigated to an acceptable level. The Hazard Analysis Process has been developed to ensure the optimum level of safety is achieved through the expeditious resolution of hazards. In the event the hazard has been categorized as UNACCEPTABLE, the CSO is responsible for maintaining the necessary information, notifications, and Corrective Action Plans. Figure 3, Risk Assessment Flow Diagram displays the risk assessment cycle.

Figure 3

Risk Assessment Flow Diagram



6.5 Emergency Preparedness

Integration with Public Safety and Emergency Management

Effective emergency preparedness, response, coordination, and training are essential elements to minimize loss resulting from an emergency or disastrous event. The objective of emergency preparedness and planning is to ensure a fast efficient response to emergencies or disasters in a manner that minimizes risk to the safety and health of passengers, employees, and emergency response personnel, the community, and property.

Responsibilities for Emergency Preparedness

Responsibility of emergency preparedness planning, coordination, and training resides with OCTA management; however, the Security and Emergency Preparedness Department is responsible for providing a safe and secure environment with an "All Hazards" approach based on preparedness, protection, response, and recovery.

The primary OCTA EOC is located at the OCTA Administration Building, 600 South Main Street, Orange, CA 92868. OCTA's alternate EOC is located at the Garden Grove Annex.

The purpose of the EOC is to provide a facility from which the organization's response to an emergency can be coordinated effectively and to bring together all relevant information about the emergency in one place; organize that information into a useful format; and facilitate the coordination of resources needed to mitigate the effects of the emergency. The EOC will provide a single focal point for centralized activities, which include:

- Management of information;
- Decision making;
- Resource support; and
- Resource application.

Transit Operations and local managers, supported by the Security and Emergency Preparedness Department, are responsible for training employees in emergency management, emergency resources (e.g., telephone numbers, local vendors, location and inventory of emergency supplies, etc.), and response protocols of local agencies.

OCTA's Security and Emergency Preparedness Department develops, implements, and administers agency-wide security and emergency management programs and procedures for all the Agency's multimodal operations and activities in accordance with federal, state, and local regulations, industry standards and the Agency's policies, including but not limited to:

- Emergency Operation Plan;
- System Security and Emergency Preparedness Plan (SSEPP)*; and
- Continuity of Operations Plan*.

Sensitive Security Information is available upon request and appropriate processing.

The Security and Emergency Preparedness Department also improves emergency preparedness by evaluating responses to actual events. After action reviews are conducted for every emergency response. For major events where there are multiple injuries, property damage, or service disruption, formal review meetings are conducted and documented.

Emergency Exercises

The Security and Emergency Preparedness Department is responsible for organizing and oversight of the annual emergency preparedness drill. Exercise planning is a continuous process with

preliminary plans for subsequent activities established as each exercise is planned and conducted. Recommendations and primary safety goals and objectives that OCTA wants to convey to the emergency response agencies are presented to the Security and Emergency Preparedness Department which determines the drill scenario and location each year.

The execution of these activities will function as part of OCTA's Safety Review Process and will serve to evaluate the emergency response capabilities and procedures of all involved parties. Scenarios are acted out to demonstrate, inform, and train OCTA personnel and emergency responders of their individual roles and responsibilities. Findings generated through these activities are documented, and corrective actions generated because of exercises will be developed and tracked through Corrective Action Plan (CAP) completion.

7. SAFETY ASSURANCE (673.27)

The Safety Assurance component describes how OCTA implements mitigations that are prudent and effective in addressing potential risk of identified hazards. Organizationally, safety related data is collected, analyzed by the SMS Program Manager, and transmitted to the SMS/PTASP Committee for the purpose of review, trending, and use by the Agency to support the review of safety objectives and goals.

7.1 Safety Performance Monitoring and Measurement 673.27 (b)(1)

Each OCTA department generates its own performance data used for detection of trends or problems prior to the development of major safety concerns. It is the task of OCTA's SMS Program Manager to monitor and measure the safety performance of the agency's operations through data provided from all OCTA departments and to report to the CSO and the PTASP SMS Committee quarterly.

ORIGAMI is an electronic tool used to track and monitor safety data and objective performance. ORIGAMI is a database that tracks an occurrence or condition, identifies the responsible party, and tracks an item's corrective/preventive actions to closure.

Selected data is accumulated and analyzed for ongoing trending and performance measurements, including fatalities, injuries to passengers and/or OCTA personnel, system reliability, and other safety related events. The SMS Program Manager reports the results of such data quarterly at the SMS/PTASP Committee meeting and Joint Labor Management Safety Committee.

7.2 Hazard Mitigation Monitoring Process 673.27 (b)(2)

Monitoring and measurement establishes a baseline for a system, comparing the difference between the criteria and condition at a specific point in time. Once a baseline or goal is established through monitoring and measurement, data can be used as criteria in evaluating operations to reduce risk and hazard and overall safety objective/goal achievement. Ongoing monitoring is built into OCTA's operations, performed continually, and responsive to change. Ongoing monitoring includes regular management and supervisory activities, comparisons, reconciliations, and other routine actions.

OCTA's Operations Management and the Safety Department perform base safety inspections, record the walk, and document any observations.

OCTA, under the regulatory requirements established by the California Occupational Health and Safety Administration (Cal/OSHA), also utilizes an Injury and Illness Prevention Program (IIPP) to establish methods and processes to identify and eliminate unsafe conditions or practices and control workspace safety hazards. All other local, state, and federal regulations that govern safety compliance outside the jurisdiction of the FTA support the SMS efforts.

Safety Certification

Safety Certification is the process of verifying that safety requirements are included as early as the planning phase through the life of a project, ensuring the safety of customers, employees, emergency responders, and the public to aid in establishing a proactive approach towards hazard mitigation.

OCTA requires the Safety Certification process to be performed for major projects, rehabilitating, or modifying existing systems, or to replace vehicles and equipment. Once the need for Safety Certification is identified, the process becomes part of the project, beginning with the preparation of the project specification and the design contracts. Safety objectives are considered during all activities of a project. Safety objectives include but are not limited to:

- Establish a formalized process that is sufficiently documented to verify compliance with safety requirements;
- Ensure safety is an integral part of the design, procurement, construction, testing, and operations;
- Ensure safety decisions are made by appropriate Project Managers, committees, and responsible contractors;
- Ensure any safety hazards and vulnerabilities that become apparent during reviews, audits, inspections, or system testing are resolved, either by redesign, use of safety/warning devices, or by implementation and enforcement of special procedures; and
- Ensure affected outside response agencies, including fire and police departments, are prepared to respond.

7.3 Accident Notification, Investigation, and Reporting 673.27 (b)(3)

Effective accident/incident investigation and reporting is key to identifying and eliminating hazards to prevent reoccurrence. To minimize and control the threat to life, health, and property, it is essential all appropriate parties be notified of an accident/incident as quickly as possible to ensure a timely response to the scene. Accident/incident reporting and investigation shall be conducted to ensure all accidents/incidents are investigated objectively with the goal of determining causal factors and contributing causal factors.

OCTA's Incident and Injury Investigation Policy provides investigation criteria and guidelines for incidents that result in property damage, occupational injuries, environmental damage, or similar unforeseen harmful events. OCTA has an accident notification system (NOTO), Everbridge, which sends email notification to key organizational personnel, including the Safety Department, regarding an incident or passenger/employee injury. When Central Communications gets a call notifying them of an incident or injury; Central Communications logs the call, generates an occurrence in ORIGAMI and develops and distributes a NOTO. If necessary, in the event of an incident or injury, Emergency Response agencies will be dispatched immediately.

In the event of an accident/incident, a Field Supervisor has the responsibility to respond to the occurrence. The Field Supervisor will then report to his/her supervisor, who is responsible for notifying and updating the base management and Central Communications during the response

efforts. The report from the accident/incident or investigation is submitted to Base Management for review through ORIGAMI. The reporting structure/responsibilities for accidents/incidence is outlined in OCTA's Employee Safety Responsibilities Matrix.

If during an onsite investigation/inspection, a concern arises that constitutes an immediate threat to safety, OCTA staff and management will halt the operation through "stop work authority" and respond immediately to reduce the safety hazard to an appropriate level using the safety risk mitigation processes. Any issues or findings are provided to the CSO and SMS Program Manager in writing for tracking safety performance and for inclusion in the quarterly SMS/PTASP Committee meeting report.

Corrective Action Resulting from Accident Investigation

Corrective Action Plans for accidents and incidents will follow the same procedures delineated in the Safety Risk Management section.

7.4 Drug and Alcohol Policy

OCTA has implemented the FTA regulations as set forth in 49 CFR Part 655 and require testing for prohibited substances in the case of transit accidents. OCTA's process for conducting such testing is delineated in the OCTA Drug and Alcohol Policy Manual.

7.5 Internal Safety Reporting Program Monitoring 673.27 (b)(4)

OCTA currently records and reports safety data from operations and facilities to the CSO and SMS Program Manager; the data is recorded and reported to the SMS/PTASP Committee. The SMS Program Manager monitors the safety data for performance measurement and trending. Further, in accordance with the FTA NTD Safety and Security Policy Manual, the OCTA data is recorded and reported in accordance with federal regulations.

Internal Safety Audits

OCTA's current internal audit process is a proactive approach that verifies safety programs have been developed, implemented, and are effective. The internal audit process assesses the effectiveness of safety programs, identifies process deficiencies, identifies potential hazards in the operational system, identifies weaknesses in system safety programs, verifies prior corrective actions are being tracked for closure and evaluates their effectiveness, recommends system safety improvements, provides management with an assessment of the system safety program, and assures continuing evaluation of safety-related programs, issues, awareness, and reporting. OCTA's SMS practices and processes may be evaluated in whole or in part, during regularly scheduled internal audits and according to OCTA's Board-approved audit plan.

OCTA will conduct its own independent audit of the PTASP and SMS practices according to the SSOA schedule and requirements, using adequately trained SMS staff, consultants, or contractors. OCTA will also participate in the FTA triennial reviews, providing trained and knowledgeable

staff and/or consultants in SMS, OCTA's operational processes, and appropriate documentation of such processes, as requested by reviewers.

7.6 Change Control 673.27 (c)

Stimuli for system changes and modifications originate both internally and externally and those changes may introduce new hazards and safety risks into transit operations. In either case, appropriate staff are assigned responsibility for managing and implementing the change and evaluating the change through the Safety Risk Management Process. This process demands coordination and cooperation within and between OCTA divisions, departments, and relevant outside agencies and organizations.

OCTA is establishing a process where all proposed changes will flow through the Change Control Committee and this process will be in accordance with OCTA's Change Control Policy.

The Change Control Policy sets up a Change Control Committee that meets monthly, or as needed, to evaluate proposed and/or potential changes affecting OCTA systems; these changes include those affecting system reliability, system maintainability, system upgrades, system expansions, ability to share information with other systems, and the ability to integrate with other systems. The Change Control Committee discusses project status, planned future projects, new business and assignments, safety impacts, potential hazards, and other relevant topics. The Change Control process accommodates changes and ensures documents, records, and data remain concise and valid.

It is important that safety requirements are included as early as the planning phase through the life of a project, ensuring the safety of customers, employees, emergency responders, and the public is considered. Safety objectives are incorporated into all projects in accordance with the Change Control Policy.

7.7 Continuous Improvement 673.27(d)

Evaluation of the SMS is necessary to ensure it effectively and efficiently allows OCTA to meet safety objectives and performance targets. OCTA uses the data and information collected from the subcomponents in this Safety Assurance section while conducting safety performance monitoring to address any identified deficits in SMS organizational structures, processes, and resources in a timely manner. OCTA strives for continuous improvement and recognizes this is a dynamic process and significant efforts within Safety Assurance and Safety Promotion are required to improve systems and practices to comply with SMS standards.

Data Analysis and Tracking

Safety-related data is collected, compiled, organized, stored, and maintained by individual departments, the data is then reported to, and analyzed by, the SMS Program Manager. Further, the information gathered during this process is reported to the PSMS/PTASP Committee by the SMS Program Manager and used by OCTA to identify hazards through trend analysis. If a trend is identified through the analysis, the trend is further investigated to determine the causes and

tracked through resolution by the responsible department and the SMS Program Manager. Moreover, tracking of hazard–related data is used to identify trends; trends are further analyzed and/or investigated to determine causal factors. Identified hazards are categorized with corrective action recommendations. Corrective actions are tracked within the responsible department to closure using a hazard tracking log and reported to the SMS Program Manager.

Procurement Risk Mitigation

OCTA's Procurement Policy describes procedures to guide staff members, potential vendors, contractors, and suppliers with respect to procurement activities taken on behalf of OCTA, recognizing safety and asset protection as core business values.

Equipment, materials, and professional services for use by OCTA are procured based on safety and industry specifications provided by the user department. `OCTA policies and procedures require management authorization for all purchases. Requisitions are reviewed by the associated management of the requesting department for safety specifications and efficient and effective usefulness. Larger purchases require a contract developed under supervision of an associate manager and are subject to approval by the Board. This ensures all essential specification requirements, applicable standards, and restrictions are included in the contract terms. Purchasing personnel are not authorized to modify the specifications or grant exceptions.

In its effort to ensure the procurement process considers and evaluates the safety aspects of services, equipment, and other materials obtained, OCTA includes safety specification requirements in all technical specifications and contracts. The Procurement Department requires all safety-related purchase requests be reviewed and approved by the Project/Procurement Manager in consultation with the Safety Department.

Transit Asset Management (TAM)

TAM is a business model used to guide the prioritization of funding based on the condition of assets. TAM defines State of Good Repair as the condition of an asset to operate at full performance level: able to perform its designated function, does not pose an unacceptable safety risk, and its lifecycle investments have not been met or recovered. OCTA has adopted TAM as the official, institutional approach in managing infrastructure assets, making capital investment and operational expenditure decisions, and considers the results of its condition assessments while performing safety risk management and safety assurance activities. TAM data is provided to the SMS Program Manager for inclusion in the monthly SMS/PTASP Committee meeting agenda.

8. SAFETY PROMOTION (673.29)

Safety Promotion fosters a positive safety culture and improves safety performance by increasing safety awareness through training and communication. Appropriate training for all employees regardless of their position within OCTA provides knowledge for a successful SMS. Through communication of lessons learned and safety performance data, employees are made aware of safety priorities and concerns as they relate to their individual job tasks and the entire OCTA organization. Developing a safety culture requires regular training and ongoing promotion. The activities below must be continually implemented, reviewed, and updated.

8.1 Safety Training Program 673.29 (a)

With the implementation of the PTASP and SMS, OCTA has adopted a training program to ensure all employees are aware of the PTASP and SMS responsibilities. New employees will be trained while attending new employee orientation/onboarding and current employees will undergo SMS/PTASP familiarization training. All employees will sign-off verifying they have been trained in the SMS process and understand their role and responsibility.

Employees at all levels of the Agency need to understand 1) what SMS is, 2) how it supports OCTA's mission, and 3) what their specific individual SMS responsibilities are. OCTA has developed criteria to identify and provide skills training related to safe job performance to include initial and refresher training for all relevant job functions. Training includes measures for ensuring employees are competent to perform their safety-related duties.

OCTA has robust safety training programs including, but not limited to, the following:

- Student Coach Operator Training (SCOT)
- Operations new-hire training
- Annual Required Training (ART)
- CAL/OSHA required training
- OCTA CORE 11 Safety Training
- Retraining based on performance deficits
- Maintenance new hire and ongoing training
- Maintenance tailgate meetings
- Safety Spotlights

Employees receive training related to the employee safety-reporting program during initial orientation training and are encouraged to use the identified mechanisms to report safety hazards, near misses, concerns, and issues. Bus operator and vehicle maintenance employee training programs provide opportunities for delivering SMS related training. OCTA's six-week formal new-hire bus operator training program curriculum includes classroom and behind-the-wheel training. Operator and mechanic training include an eight-hour ART program to meet the requirements of a commercial driver's license. Maintenance employees receive extensive training at hire and aggressive ongoing skills development training and refresher training on safety-related topics.

All SMS/PTASP safety-related classroom and on-the-job-training are appropriately documented within individual employee safety training records and can be accessed through the Learning Management System (LMS) and Records Management. Training documentation for operators and mechanics is kept within the individual departments and mandatory administrative training is documented through Halogen LMS software. All training records can be accessed upon request.

OCTA evaluates the effectiveness of its safety-related training through departmental inspections, compliance assessments, and audits. All formal training processes shall be reviewed and audited periodically, when an accident investigation lists training as contributory, when training becomes suspect during any hazard analysis process, or when summary student test scores indicate low instructional effectiveness. All training classes, training manuals, and lesson plans are subject to review and audit.

Safety-related training curriculum for all employees is updated to reflect new techniques, technologies, and results of investigations, corrective actions, and regulatory changes. OCTA provides training to employees on new equipment, technologies, and regulatory changes as necessary.

Emergency Response Planning, Coordination, and Training

The Security and Emergency Preparedness Department is responsible for providing a safe and secure environment with an "All-Hazards" approach based on preparedness, protection, response, and recovery. The Department ensures OCTA is compliant with required employee training in the National Incident Management System and the 9/11 Commission Act.

Operations managers are responsible for training employees on evacuation procedures, facility emergency management organization, emergency resources, response protocols of local response agencies, and the SMS.

Contractor Safety

Contractors are required to comply with all applicable State and Federal Regulations and those established by OCTA. Each contractor is responsible for and shall comply with all safety, fire, security policies, procedures, and safe work practices, as well as any other appropriate safety procedures specified in the contract. OCTA reserves the right to audit training activities at its discretion.

8.2 Safety Communication 673.29 (b)

OCTA has developed quantifiable goals to ensure performance can be tracked, evaluated, and measured for continued improvement and success. OCTA has established effective safety communication activities to ensure all employees and contractors are aware of the following goals and responsibilities:

- Continue growth and development of all OCTA SOPs, Policies, and Plans on an annual basis to ensure they reflect the current operating environment;
- Continue to grow SMS, allowing OCTA to systematically identify safety hazards, mitigate risk and reduce fatalities and injuries resulting from transit operations;
- Reduce the injury incidence rate by minimizing exposure to unsafe conditions and reducing hazardous employee behavior;
- Provide a safe and efficient transit operation by ensuring that all vehicles, equipment, and facilities are regularly inspected, maintained and serviced as needed; and
- Achieve 100 percent of scheduled routine inspections, preventive, and regular maintenance work is completed on time, and essential repairs are addressed in a designated time.

Further, OCTA ensures employees and contractors are mindful of SMS responsibilities, processes, activities, and tools relevant to their responsibilities through the following communication platforms:

- Employee safety reporting;
- Safety meetings;
- Union meetings;
- Coach operator quarterly meetings with supervisors and managers;
- OCTA Intranet; newsletters, safety bulletins, audio-visual monitors in break rooms;
- Signage;
- Operator log-in messages;
- Text message alerts;
- Radio supervisor communication with operators;
- One-on-one communication between supervisors and frontline employees;
- Daily Maintenance Tailgate meetings;
- Meetings with contractors;
- Committee meetings;
- Safety emails and notifications;
- Safety captains;
- Base television displays and bulletin boards;
- Safety campaigns;
- Intranet postings.

As part of the SMS program, the SMS Program Manager collects data to provide performance reports and trend analysis to the SMS/PTASP Committee, to include: the types of safety actions taken, why safety procedures have been introduced or changed, and information related to significant accident and incident investigation outcomes. OCTA communicates employees' responsibilities in OCTA Staff Safety Roles and SMS Responsibilities Matrix, Appendix B.

8.3 SMS Documentation and Records 673.11 (c), 673.31

OCTA must at a minimum, maintain documents that set forth its PTASP, including those related to the implementation of its SMS, and results from SMS processes and activities. As part of 673.31 (d), OCTA will maintain all documentation regarding SMS and PTASP, including results. The documentation will be available upon request by the FTA or other federal entity having jurisdiction and to auditors. OCTA's SMS documentation will be maintained for three years, in accordance with FTA requirements and OCTA's Records Management.

OCTA has set up a SharePoint site application for all PTASP/SMS recordkeeping. The SharePoint site application allows for ease of document review, sharing, control, and archiving PTASP/SMS documents between authorized/applicable personnel. Documents on the SharePoint site may include but are not limited to: Draft and Final PTASP, meeting agendas, meeting minutes, audit reports, Emergency Management Plan, PTASP-related correspondence, data reports, hazard analyses, corrective action logs, training, etc.

APPENDIX A
IMPLEMENTATION ACTIONS

2025 IMPLEMENTATION ACTIONS

PTASP/FTA Code	Action Item	Timeline	Responsible Person / Group
673.23	Review and update PTASP	Annually	HSEC/ Joint Labor Management Safety Committee
673.23	Safety Management CEO communication	Quarterly	HSEC/Human Resources /Operations
673.27	Independent PTASP/SMS assessment utilizing contractor, consultant, or other third-party organization (three-year cycle)	Q4 2025	HSEC
673.25	Complete a formal risk analysis for existing operational hazards	Q4 2025	HSEC / Operations

HSEC-HEALTH, SAFETY & ENVIRONMENTAL COMPLIANCE, SMS – SAFETY MANAGEMENT SYSTEM, CEO – CHIEF EXECUTIVE OFFICER, Q2 –SECOND QUARTER, Q4 –FOURTH QUARTER

APPENDIX B
HAZARD MANAGEMENT PROCESS-IDENTIFICATION/ANALYSIS

OCTA facilities require System Safety to be effective in helping identify and minimize hazards, in a mature operational environment. Hazardous conditions are identified, investigated, and resolved to an acceptable level. This Hazard Identification/Analysis document, and the associated system safety tasks, provide for a method of identifying, analyzing, assessing, and resolving conditions or circumstances that are deemed to present a threat to the safe operation of OCTA transit system.

This Hazard Analysis document incorporates proven methods of tests and inspections employed by each OCTA division and department, enabling the examination of all aspects of operation and review of their interdisciplinary ramifications. This provides management with hazard and risk visibility and the causes and effects of potential accidents. In addition, continual monitoring verifies the total system, including but not limited to patrons, the public, employees, contractors, equipment, and the environment; OCTA maintains an acceptable level of safety, and that potential hazards do not exist in operational areas previously determined to be safe.

Hazard identification and resolution is a core element of the PTASP and this Hazard Identification/Analysis document, emphasizing timely correction of unsafe conditions, anticipated and reconciled before serious accident, injury, or damage occurs. To ensure it provides as safe and reliable transportation services as possible, OCTA has established a process by which hazards are identified, analyzed for potential impact on the operating system, and resolved in a manner acceptable to OCTA's management and applicable regulatory agencies.

OCTA management, staff, contractors, and suppliers are required to implement high standards of safety and system assurance throughout the design, construction, testing, and operational phases of OCTA's projects. Hazards, which cannot be eliminated in the design, are to be controlled by safety devices, warning devices, training, and/or written procedures to prevent mishaps. Most hazards are identified in the field, reported, and entered in reports. These hazards are addressed by the responsible departments through routine corrective measures and do not require special attention.

Hazard Identification

Hazard identification is accomplished as Department Managers collect and analyze data to monitor trends. Unless additional resources are requested, the Department Manager investigates and resolves all hazards within their department. OCTA Department Managers review reports daily from the previous days' operation. Immediate corrective action is initiated when appropriate; otherwise, data is evaluated and used to set the agenda for the next PTASP/SMS Committee meeting and the Joint Labor Management Safety Committee. The SMS Program Manager prepares a trend analysis report for PTASP/SMS meeting. Trend analysis reports are reviewed at PTASP/SMS Committee meetings. Additionally, each Department Manager reviews departmental reports and shift change briefings for the previous operational period and makes a similar evaluation for their department.

OCTA documents hazards that develop through multiple sources, such as: accidents, incidents, and leading indicators. OCTA also evaluates hazards to determine if multiple events occurred leading up to an event. This ensures each possible cause is evaluated and documented for trending purposes. To address hazards resulting from system extensions or modifications, operational and other changes, safety analyses included in design and procurement contracts will provide for:

- Identification of potential hazards;
- Assessment of the severity and probability of occurrence of each potential hazard;
- Timely awareness of hazards for those who must resolve them; and
- Tractability and control of hazards through all phases of a project's life cycle.

Hazard Investigation and Reporting

Hazards which are not resolved at the operating, maintenance, or other front-line department level are appropriately investigated by the CSO, assisted by the responsible Operations Department. Investigation findings are documented and reported to the CSO for resolution.

Safety Risk Assessment

Hazard severity categories are defined to provide a qualitative measure of the worst credible mishap resulting from personnel error, environmental conditions, design inadequacies, and procedural deficiencies for a system, subsystem, or component failure or malfunction. The probability a hazard will occur during the planned life expectancy of the system element, subsystem, or component can be described subjectively in potential occurrences per unit of time, event, population, items, or activity. A qualitative hazard probability may be derived from research, analysis, and evaluation of historical safety data from the same or similar systems. Supporting rationale for assigning a hazard probability are documented in hazard analysis reports.

The objective of hazard identification and analysis is to identify and define as many hazardous conditions as possible and enter them into the Hazard Resolution process before those conditions or associated actions cause or contribute to an accident. Although it is virtually impossible to identify every hazard, there are two basic time-tested methods for orderly identification of hazards: inductive and deductive. The inductive hazard identification method consists of an analysis of system components to identify their respective failure modes and the effects they will have on the total system. This method assumes the failure of single elements or events and, through analysis, determines the potential consequential effects on the system or subsystem. The techniques commonly used for inductive hazard identification include:

Preliminary Hazard Analysis (PHA) – A semi-quantitative analysis performed to identify potential hazards and accidental events that may lead to an accident, rank the identified accidental events according to their severity, and identify required hazard controls and follow-up actions.

Sub-System Hazard Analysis (SSHA) – A safety analysis tool for identifying hazards, their associating causal factors, effects, level of risk, and mitigation design measures.

Operating Hazard Analysis (OHA) - Performed to determine all applicable operational safety requirements for personnel, procedures, and equipment throughout all phases of the system life cycle. Engineering data, procedures, and instructions developed from other safety analyses, the engineering design, and initial test programs are all used to support this analysis. Operating hazards are generally resolved in preparation for operations by way of training, developing operating procedures, and developing emergency operating procedures.

These types of hazard analyses may also be utilized by OCTA during major capital projects, system modifications, system changes that require Safety / Security Certification, or as determined by the CSO.

The deductive hazard identification method involves defining an undesired effect or event and then deducing the possible conditions or system component faults (or combinations thereof) which are necessary to cause the undesired effect or event.

Hazard Analysis Methodology

The hazard analysis methodology has two steps: evaluating hazard severity (categorizing the hazard) and evaluating hazard probability.

Hazard Severity

OCTA assigns a hazard severity rating based on the definitions in MIL-STD-882E. It is a subjective determination of the worst case that could be anticipated to result from design inadequacies, human error, component failure or malfunction. The ratings are:

Category 4, Catastrophic - Operating conditions are such that design deficiencies, human error, element, subsystem or component failure or procedural deficiencies may cause death or major system loss and require immediate termination of the unsafe activity or operation.

Category 3, Critical - Operating conditions are such that design deficiencies, human error, element, subsystem or component failure or procedural deficiencies may cause severe injury, severe occupational illness or major system damage and require immediate corrective action.

Category 2, Marginal - Operating conditions are such that they may result in minor injury, occupational illness or system damage and are such that human error, subsystem or component failures can be counteracted or controlled.

Category 1, Negligible - Operating conditions are such that human error, subsystem or component failure or procedural deficiencies will result in less than minor injury, occupational illness or system damage.

Hazard severity categories are defined to provide a qualitative measure of the worst credible mishap resulting from personnel error, environmental conditions, design inadequacies, and procedural deficiencies for a system, subsystem or component failure or malfunction. It reflects

the principle that not all hazards pose an equal amount of risk to personnel safety. ***Hazard Severity Index***

HAZARD SEVERITY		
Category	Severity	Characteristics
4	Catastrophic	Death or system loss
3	Critical	Severe injury, severe occupational illness or major system damage
2	Marginal	Minor injury, minor occupational illness or minor system damage
1	Negligible	Less than minor injury, occupational illness or system damage

Hazard Probability

The probability that a hazard will occur during the planned life expectancy of the system element, subsystem, or component can be described subjectively in potential occurrences per unit time, event, population, items, or activity. A qualitative hazard probability may be derived from research, analysis, and evaluation of historical safety data from the same or similar system. OCTA assigns a probability rating to a particular event or a specific hazard occurring during the planned life expectancy of the operating system. Supporting rationale for assigning a hazard probability is documented in hazard analysis reports.

Hazard Probability Index

HAZARD PROBABILITY			
Description	Level	Specific Individual Event	Fleet/ Inventory
Frequent	6	Likely to occur frequently	Continuously experienced
Probable	5	Will occur several times in the system's lifecycle	Will occur frequently
Occasional	4	Likely to occur sometime in the system's lifecycle	Will occur several times
Remote	3	Unlikely, but possible to occur in the system's lifecycle	Unlikely, but can be expected to occur
Improbable	2	So unlikely it can be assumed occurrence may not be experienced	Unlikely to occur but possible
Eliminated	1	Eliminated	

Hazard Categorization (Identified by Hazard Risk Index)

Through the established process, OCTA will assess the level of risk for each identified hazard to determine what action(s) must be taken to correct or document the hazard risk. This risk assessment system is incorporated into the formal analysis which enables the CSO and CEO, if concurrence is necessary, to understand the amount of risk involved in accepting the hazard in relation to the cost (schedule, dollars, operations, etc.) to reduce the hazard to an acceptable level.

The Hazard Risk assesses the risk based upon hazard category and probability and the criteria for defining further actions based upon the index.

OCTA applies its collective, deductive reasoning and/or may utilize a method represented by MIL-STD-882E. The information is compiled, and any necessary statistics or trend information is entered into the permanent file.

Hazard Risk Index

HAZARD RISK INDEX				
Frequency of Occurrence	Negligible	Marginal	Critical	Catastrophic
6	6	12	18	24
5	5	10	15	20
4	4	8	12	16
3	3	6	9	12
2	2	4	6	8
1	1	2	3	4

Probability

Severity

When the Hazard Severity Index is combined with the Hazard Probability Index, the result is the Hazard Risk Index. Each Hazard Risk Index requires a specific level of action. Actions will be taken to eliminate identified hazards or reduce the associated risk. A hazard with a risk index of "Unacceptable" is not permitted and must be redesigned or modified to eliminate or minimize and control the hazard to a more acceptable level.

Hazard Acceptance Criteria

HAZARD ACCEPTANCE CRITERIA		
Hazard Risk Index	Decision Authority	Special Conditions
10 - 24	Unacceptable	Requires review by CSO and Executive Director
4-9	Undesirable	Requires review by CSO and Executive Director
2-3	Acceptable with Review	Requires review by CSO
1	Acceptable	Determination made by Manager; no review required

Hazard Control and Elimination

Before implementation of any corrective action, system safety analyses establish a hazard severity category (1 through 4) and a probability ranking (1 through 6) which are combined to form a Risk Index, reflecting both severity and probability of occurrence for each identified hazard. The range of possible Risk Indices is shown in the above Sample Hazard Evaluation, Analysis, and Resolution Matrix.

Hazard Risk Indices

Risk assessment criteria will be applied to the identified hazards based on their estimated severity and probability of occurrence to determine acceptance of the risk or the need for corrective action to further reduce the risk.

Action will be taken to eliminate identified hazards or reduce the associated risk. Catastrophic and critical hazards will be eliminated, or their associated risk reduced to an acceptable level. If this is impossible or impractical, alternatives will be recommended for the appropriate decision-making Hazard Resolution and Control.

OCTA shall use the Hazard Resolution and Control process as described below. The process involves the analysis and corrective action taken to reduce the risk associated with an identified hazard to the lowest practical level. The order of precedence resolving identified hazards is as follows:

- **Design for Minimum Risk**. Design new facilities and equipment to eliminate hazards. If an identified hazard cannot be eliminated, its associated risks must be reduced to an acceptable level (see Risk Assessment Criteria) through the design selection.

- **Utilization of Safety Devices**. If an identified hazard cannot be eliminated, or its associated risk cannot be reduced through design selection, that risk must be reduced to an acceptable level using protective safety features or devices. Provision is made, and procedure is issued for periodic inspection and functional checks of safety devices.

- **Warning Devices**. When neither design nor safety devices can effectively eliminate identified hazards or reduce risk to an acceptable level, warning devices are used to detect the condition and produce an adequate warning signal to alert individuals to the hazard. Warning devices are standardized to minimize the probability of incorrect reaction of personnel to these warning signals.

- **Develop Special Procedures and Training**. When it is impossible or impractical to eliminate hazards through design selection or adequately reduce its associated risks through safety or warning devices, then approved procedures and special training programs are used. Procedures may include the use of personal protective equipment. Precautionary notations and warning signs are standardized. OCTA employees who perform critical tasks require certification of personal proficiency.

Warning, caution, and other forms of written advisories cannot be used as the only method of risk reduction for UN (Catastrophic) and UD/WR(Critical) hazards.

Facility and system contract documents require that contractors/suppliers solve hazards in accordance with this list, in order of precedence. Specifications include the requirement for contractors/suppliers who provide system, subsystem, or equipment during construction to establish and maintain a safety program. These programs, at a minimum, define objectives, tasks, procedures, schedules, and data submittal for the safety activities that are performed by the contractor/supplier. The safety program and supporting documentation are subject to review and approval by OCTA.

Hazards identified within the system are evaluated by the Safety Committee, appropriate staff, and eliminated and controlled to a level acceptable to OCTA. As part of the hazard resolution process, reports summarizing the status of safety issues and concerns are prepared and distributed to OCTA's management and other project participants for review and comment.

The Accountable Executive or CSO has authority to implement any change that has system safety implications. Accordingly, all hazard identification and analysis proceedings result in the issuance of a report by Safety to the Accountable Executive. The report is prepared by Safety and includes all pertinent data developed on the identified hazard. A recommendation achieved by consensus must be included, regardless of whether this recommendation is for a change in existing conditions or procedures, or for retention of the status quo. Any disagreement on the matter, or suggested negative ramifications of the recommendation, must also be included, to present as much information as possible to the Accountable Executive.

Hazards identified within the system are to be evaluated by appropriate staff and eliminated or controlled to an acceptable level. The following schedule has been developed to ensure the optimum level of safety is achieved through the expeditious resolution of hazards. All hazard levels

are reviewed by appropriate staff. In the event the hazard has been categorized as UNACCEPTABLE, the CSO is responsible for maintaining the necessary information, notifications and Corrective Action Plans.

HAZARD RESOLUTION SCHEDULE	
Criterion	**Resolution Timetable**
Unacceptable	Must be eliminated as soon as possible; there is no other option
Undesirable	Must be resolved in 30 working days
Acceptable with review	Must be resolved in 30 working days
Acceptable	Notification within 30 working days
Eliminated	No notification required

Hazard Tracking

OCTA will utilize a hazard tracking log which consists of the following information and is maintained by the CSO:

- Assigned hazard number;
- Date hazard identified;
- Hazard title;
- Hazard description;
- Sources from which it was identified;
- The element of OCTA's operation affected by the hazard;
- Initial hazard classification;
- Current hazard classification; and
- Corrective action plan.

The hazard tracking log is updated monthly or as requested. All captured data is analyzed for the identification of developing trends to ensure future safety risks/hazards can be mitigated and/or eliminated.

APPENDIX C

PTASP RELATIONSHIP TO OTHER FEDERAL REGULATIONS

Public Transportation Safety Program Rule- 49 U.S.C. § 5329

The Public Transportation Safety Program Rule establishes substantive and procedural rules for FTA's administration of the Public Transportation Safety Program authorized by 49 U.S.C. § 5329. The rule establishes FTA's SMS approach to the development and implementation of the Safety Program. Further, it sets rules of practice for the FTA's enforcement authority and describes the contents of a National Public Transportation Safety Plan.

National Public Transportation Safety Plan (NPTSP)- section 5329(b)

Through the NPTSP, the FTA has adopted the principles and methods of SMS as the basis for enhancing the safety of public transportation in the United States. The NPTSP is a policy document, communications tool, and a repository of standards, guidance, best practices, tolls, technical assistance, and other resources.

OCTA's PTASP was written in accordance with the Public Transportation Safety Program Rule and the NPTSP was a core document in outlining OCTA's SMS.

Public Transportation Agency Safety Plan (PTASP) Rule- 49 CFR Part 673

The FTA published a final rule for the PTASP as authorized by the Moving Ahead for Progress in the 21st Century Act (MAP–21). This final rule requires states and certain operators of public transportation systems that receive federal financial assistance under Urbanized Area Formula Program (49 U.S.C. § 5307) to develop safety plans that include the processes and procedures to implement SMSs. Transit operators must certify they have a safety plan, meeting the requirements of the rule, in place by July 20, 2020. OCTA is on schedule to meet the July 20, 2020, deadline and, to remain compliant, will review and revise the Plan annually and have it certified by the Board.

The safety plan requirements for rail transit agencies under FTA's original State Safety Oversight Rule (49 C.F.R. Part 659) implemented system safety through 21 specific requirements for System Safety Program Plans (SSPPs). The major focus of system safety is to integrate risk management into the overall system engineering process rather than addressing hazards as day-to-day operational considerations. The PTASP replaces the current OCTA BSSPP. Once the OC Streetcar is in operation in 2022, OCTA will be fully responsible to the requirements and for having related practices reviewed by the appropriate State Safety Oversight program.

State Safety Oversight (SSO) Rule- 49 CFR Part 674

On March 16, 2016, the FTA issued a final rule for SSO to oversee the safety of rail fixed guideway public transportation systems, and entities that own or operate rail fixed-guideway public transportation systems with Federal financial assistance authorized under 49 U.S.C. Chapter 53.

The State Safety Oversight Agency (SSOA) has authority to review, approve, oversee, and enforce the Public Transportation Agency Safety Plan for a rail fixed-guideway public transportation system required by 49 U.S.C. 5329(d). The SSOA has investigative and enforcement authority with respect to the safety of all rail fixed-guideway public transportation systems within the State.

Once the OC Streetcar initiates revenue operations, at least once every three years, the SSOA will audit OCTA's compliance with the PTASP required by 49 U.S.C. 5329(d). At least once a year, the SSOA reports the status of the safety of each rail fixed guideway public transportation system to the Governor, the FTA, and the Board, or equivalent entity, of the rail fixed guideway public transportation system. The FTA will audit each state's compliance at least triennially, consistent with 49 U.S.C. 5329(e)(9).

Transit Asset Management (TAM) Rule- 49 CFR Part 625

Through the implementation of its TAM Plan, required under 49 C.F.R. Part 625, OCTA can consider the results of its condition assessments while performing safety risk management and safety assurance activities. The PTASP final rule applies to only Section 5307 recipients and sub-recipients, and the TAM rule applies to all operators of public transit. However, the two plans can support one another by providing useful data for agency use and NTD reporting.

The results of TAM condition assessments, and subsequent SMS analysis can help prioritize a transit agency's TAM Plan elements. Condition assessments help identify potential safety issues, which could undergo a safety risk assessment as part of Safety Risk Management (SRM). Further, TAM data and analysis can also be used for performance monitoring and measurement as part of Safety Assurance. Results of safety risk assessments and safety performance monitoring and measurement can guide the prioritization of an asset for repair or replacement. OCTA is responsible for both the TAM Plan and the PTASP and can benefit by coordinating efforts and data.

Public Transportation Safety Certification Training Program Rule- 49 CFR Part 672

The Safety Certification Training Program establishes a curriculum and minimum competencies for Federal, SSOA personnel and contractors who conduct safety audits and examinations of rail fixed-guideway public transportation systems, and for designated transit agency personnel and contractors who are directly responsible for safety oversight of a recipient's rail fixed-guideway public transportation systems. The final rule for the Safety Certification Training Program replaces an interim program which became effective on May 28, 2015. OCTA should continue to educate individuals whom are directly responsible for SMS or are directly responsible for safety oversight to ensure compliance.

National Transit Database (NTD) Rule 49 U.S.C 5335(a)

Transit agencies receiving funding from the Urbanized Area Formula Program (5307) or Rural Formula Program (5311) are required to submit data to the NTD in uniform categories. OCTA submits reports to NTD each fiscal year. The PTASP rule and NTD reporting rule are related, as both rules require OCTA to track data based on the same data points, fatalities, injuries and safety events per total revenue vehicle mile by mode, with the additional requirement of mean distance between major mechanical failures.

The following table is a summary of FTA safety regulations, which impact the PTASP, requiring OCTA compliance.

FTA SAFETY REGULATIONS

Regulation	Overview
Public Transportation Safety Program Rule CFR Part 670	Establishes the procedural rules for enforcement of FTA's safety programs.
National Public Transportation Safety Plan 49 U.S.C. 5329	Manages the safety risks and safety hazards within public transportation systems.
Public Transportation Agency Safety Plan 49 CFR Part 673	Requires transit agencies to develop and implement safety plans based on SMS principles, performance targets.
State Safety Oversight 49 CFR Part 674	Strengthens state oversight of rail transit systems.
Transit Asset Management 49 CFR 625	TAM Plan establishes state of good repair performance measures and targets NTD reporting.
Public Transportation Safety Certification Training Program 49 CFR Part 672	Establishes training curriculum to ensure basic level of safety-related competency for rail transit system auditing and oversight.
National Transit Database 49 U.S.C. 5335(a)	Reporting system, using uniform categories to accumulate public transportation financial, operating, and asset condition.

Source: https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/regulations-and-guidance

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APPENDIX D

REFERENCED AND RELATED DOCUMENTS

Change Control Policy
Continuity of Operations Plan (COOP)
Drug and Alcohol Policy
Drug and Alcohol Policy Manual
Ethicspoint Policy
Emergency Operation Plan (EOP)
Hazard Identification/Analysis
Injury and Illness Prevention Program
Internal Audit Policy
Joint Labor Management Safety Committee Policy
NTD Reporting Policy
Procurement Policy
Records Management Policy
System Security and Emergency Preparedness Plan (SSEPP)
Safety Review Process
Safety Captain's Committee Policy
Transit Asset Management Plan
Workplace Violence Policy

COMMITTEE TRANSMITTAL

February 10, 2025

To: Members of the Board of Directors

From: Andrea West, Clerk of the Board

Subject: Competitive Grant Programs - Update and Recommendations

Regional Transportation Planning Committee Meeting of February 3, 2025

Present: Directors Carroll, Dumitru, Federico, Foley, Harper, Klopfenstein, and Stephens
Absent: None

Committee Vote

This item was passed by the Members present.

Director Foley was not present to vote on this item.

Committee Recommendation(s)

A. Approve one scope change and extension request from Sally's Fund, Inc. for operating assistance funded through the Enhanced Mobility for Seniors and Disabled Grant Program.

B. Approve $4.687 million in Congestion Mitigation and Air Quality Improvement program funds for the City of Huntington Beach's Magnolia Street Corridor Complete Streets Improvements Project from the contingency list from the Orange County Complete Streets Program.

C. Authorize staff to request that the Southern California Association of Governments make all necessary amendments to the Federal Transportation Improvement Program to facilitate the recommended actions above.

D. Authorize the Chief Executive Officer to negotiate and execute any required agreements or amendments to facilitate the recommended actions above.

February 3, 2025

To: Regional Transportation Planning Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Competitive Grant Programs – Update and Recommendations

Overview

The Orange County Transportation Authority provides competitive grants to local and non-profit jurisdictions beyond those provided through Measure M2 using various federal, state, and local transportation funding programs. The Orange County Transportation Authority also directly applies for federal, state, and local competitive grant programs to support Orange County Transportation Authority-led projects. Staff has prepared an overview and status update for local jurisdiction projects that have received funds, recent grant pursuits and awards for Orange County Transportation Authority projects, and recommendations for changes to grant terms for local jurisdiction projects.

Recommendations

A. Approve one scope change and extension request from Sally's Fund, Inc. for operating assistance funded through the Enhanced Mobility for Seniors and Disabled Grant Program.

B. Approve $4.687 million in Congestion Mitigation and Air Quality Improvement program funds for the City of Huntington Beach's Magnolia Street Corridor Complete Streets Improvements Project from the contingency list from the Orange County Complete Streets Program.

C. Authorize staff to request that the Southern California Association of Governments make all necessary amendments to the Federal Transportation Improvement Program to facilitate the recommended actions above.

D. Authorize the Chief Executive Officer to negotiate and execute any required agreements or amendments to facilitate the recommended actions above.

Background

The Orange County Transportation Authority (OCTA) issues periodic calls for projects (call) using non-Measure M2 (M2) federal, state, and local funds to help local jurisdictions and non-profits meet a variety of transportation needs. The calls include the Orange County Complete Streets Program (OCCSP), Enhanced Mobility for Seniors and Individuals with Disabilities (EMSD) Program, Pavement Management Relief Funding (PMRF) Program, Bicycle Corridor Improvement Program (BCIP), and Arterial Pavement Management (APM) Program. Complete Streets calls including the OCCSP, which replaced the BCIP, occur every two years. Similarly, the EMSD is also a regular call every two to three years. The calls addressing pavement management, PMRF and APM are ad hoc but have typically occurred using one-time state or federal funding at least every three to four years. Each program has a primary focus or goal, as noted in the table below.

OCTA Program	Primary Program Goal	Program Fund Source
OCCSP	Support development of accessible and safe streets that accommodate a variety of transportation modes	Federal Surface Transportation Block Grant Program (STBG) and/or Congestion Mitigation Air Quality Improvement Program (CMAQ)
EMSD	Support services provided to seniors and individuals with disabilities	Non-Measure M2 local transit funds
PMRF	Support pavement management needs	Federal Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA) Highway Infrastructure Program funds and State Highway Account funds
BCIP	Support the development of Orange County's bicycle network	Federal Congestion Mitigation and Air Quality Program (CMAQ) funds
APM	Support pavement management needs – replaced by PMRF	Federal STBG funds

In addition to these directly issued calls, OCTA also supports local jurisdictions when they are pursuing federal and state earmarks or grants from state and federal sources such as the Active Transportation Program regional component through the Southern California Association of Governments (SCAG) and the California Transportation Commission. There are instances where OCTA may partner with local jurisdictions to seek external funds for which combining multiple projects into a single application increases the chances of being awarded.

OCTA directly competes in federal, state, and local transportation funding opportunities through various discretionary funding programs to support Board of Director's (Board) approved priority planning, capital, and operating needs. Securing funding through these programs is consistent with the programming policies and helps preserve M2 and more flexible local funding sources, allowing OCTA to advance a greater number of priority projects. Current key projects include the Coastal Rail Infrastructure Resiliency, the transition to Zero-Emission Bus, Olympic Readiness projects, Metrolink Locomotive Replacement, Track and Structures, Metrolink Operations, OC Connect Garden Grove to Santa Ana Rails to Trails, and OC Loop. Identifying priority projects in advance of funding opportunities and securing Board approval positions OCTA to readily pursue new funding opportunities as they are made available. Every discretionary grant award is presented to the Board for formal acceptance.

Discussion

Since 2010, the Board has approved providing $322.5 million in non-Measure M2 local, state, and federal funds to Orange County local jurisdictions and non-profits through 11 calls. This has supported 260 transportation projects including active transportation, street rehabilitation, mobility options for seniors and individuals with disabilities, and streets and roads enhancement/landscaping activities. As of drafting this report, 171 projects which have received $89.7 million are considered fully complete and closed out. The specific status of these completed projects are no longer tracked in the report. The table below only reflects the status of active projects and their respective phases of work. Currently, there are 88 active projects tied to $120.9 million in awarded funds which support a total of 138 phases of work through the OCCSP, EMSD, PMRF, BCIP, and APM funding programs.

A summary of the current awarded project phases is provided in the table below, and additional details on the status of active projects are provided in Attachment A. The proposed project amendments and recommendations are consistent with all current programming requirements; however, staff will continue to closely monitor and seek additional guidance on any implications following the Presidential Executive Orders impacting transportation funding programs. Recognizing the uncertainty with these potential impacts, any changes to these recommendations will be brought back to the Board for consideration.

Phase of Work/ Status	CAP	OPS	PLAN	ENV	DES	ROW	CON	Total Phases
Planned	14	13	2	13	14	6	30	92
Started	5	7	0	1	3	1	29	46
Completed	0	0	0	2	11	1	12	26
Total	19	20	2	16	28	8	71	164
Cancelled	1	1	0	0	1	0	8	11

Notes and abbreviations:
BCIP projects may have more than one phase of work.
Planned – Indicates that the funds for this phase have not been obligated, or a contract has not yet been executed.
Started – Indicates that the funds for this phase have been obligated, or a contract has been executed.
Completed – Indicates that the work related to this phase is complete.
CAP – Capital
CON – Construction
DES - Design
ENV– Environmental
OPS – Operations
PLAN - Plan
ROW – Right-of-way

Project Amendments

Staff regularly meets with local jurisdictions to review the status of projects funded through OCTA programs. During the most recent project review, amendments were identified and are now presented for Board consideration. Specifically, Board approval is requested for one scope change and extension request by Sally's Fund, Inc. (Sally's Fund) for an operating assistance project that is funded through the EMSD Program, approved by the Board on November 22, 2021.

Sally's Fund is a non-profit organization that provides transportation services to seniors in the City of Laguna Beach, ensuring they have access to essential destinations such as medical appointments, grocery stores, and community events. Their work aligns with the EMSD Program's goal of improving mobility options for seniors and individuals with disabilities across Orange County. Sally's Fund has requested a scope change to utilize savings to increase support for administration and outreach and is also requesting a 12-month extension for their EMSD-funded operating assistance project. The project savings will be used for an additional part-time scheduler, marketing, and outreach events. These changes will enhance outreach and services for seniors in the City of Laguna Beach. This amendment is critical to the success of their efforts and will directly benefit the seniors they serve by improving access to transportation, fostering social interactions, and enhancing community connections and support. The 12-month extension is needed to implement this change and use the remainder of the grant funds.

Additional details on the requested amendment are provided in Attachment B.

OCCSP Programming Update

One project from the 2023 OCCSP call contingency list is proposed for programming. This project was originally placed on the contingency list as part of the program's prioritization process and is now identified as part of Wave 4 which would be funded if additional funding becomes available. Additional funding has become available through the delay of another project, the Interstate 5 (I-5) Improvement Project from the San Diego County Line to Avenida Pico, which was approved to receive $16.5 million in CMAQ funding for the design phase. This funding was programmed by OCTA and must be obligated to a project by September 30, 2026. However, the estimated cost of the design phase has significantly increased, and OCTA requires additional time to address recently enacted VMT mitigation requirements as part of the environmental process.

To ensure the timely use of OCCSP funds, staff is recommending that $4.687 million of the $16.5 million be redirected to the Magnolia Street Corridor Complete Streets Improvements Project (Magnolia Street Project) submitted by the City of Huntington Beach (Huntington Beach) as part of the 2023 OCCSP. This project was evaluated through SCAG's project nomination process and received a "highly recommended" ranking. However, due to funding constraints, the Magnolia Street Project was placed on a contingency list. The Magnolia Street Project can now be programmed to use a portion of the $16.5 million in CMAQ funds. The remainder of the funding, $11.8 million, will be recommended for a transit project through a separate staff report in March 2025.

The Magnolia Street Project will deliver safety improvements, traffic calming features, and expanded multimodal infrastructure to enhance access for bicyclists and pedestrians. This project advances the OCCSP's objectives to improve multimodal accessibility and safety for all users, including pedestrians, bicyclists, motorists, and transit riders. This additional funding brings the total funding for complete streets provided through the 2024 OCCSP to $89.6 million.

Details on the recommendation for the Magnolia Street Project are provided in Attachment B.

Discretionary Funding Update

In August 2024, staff presented updates to the Board on OCTA grant pursuits, highlighting the submission of 13 grant applications in fiscal year 2023-24 and the award of $128 million for 25 projects. The updated item featured a detailed list of near-term OCTA priority projects targeted for funding through ongoing grant efforts. These efforts included OCTA's focus on advancing priority projects through competitive grant opportunities. From June 30 through December 31, 2024, OCTA submitted four grant applications to support the coastal rail resiliency and countywide active transportation. As a result of these efforts, OCTA has recently

been notified of $305.7 million in awards supporting six projects. The following six priority projects have received funding awards:

- Coastal Rail Infrastructure Resiliency Project (Coastal Rail Stabilization Priority Projects) – $100 million through the Consolidated Rail Infrastructure and Safety Improvements Program
- Coastal Rail Infrastructure Resiliency Project (Coastal Rail Stabilization Priority Projects) – $80 million through the SB 1 Trade (Chapter 5, Statutes of 2017) Corridor Enhancement Program
- Coastal Rail Infrastructure Resiliency Project (Coastal Rail Stabilization Priority Projects) – $125 million through the Transit and Intercity Rail Capital Program Cycle 7
- Countywide Transit System Operational Deterrence – Visible Intermodal Protection and Response – $116,600 Transit Security Grant Program
- Zero-Emission Bus Transition Plan – $200,000 through the Sustainable Transportation Planning Grants
- Countywide Active Transportation Plan – Move OC – $400,000 through the Sustainable Communities Program – Active Transportation and Safety

Staff will bring forward additional items for Board approval as necessary to formally accept these grant awards and to incorporate the funds into the relevant project budgets. Details of these submittals and awards are also provided in Attachment C.

OCTA staff will continue to monitor grant opportunities and submit applications for Board-approved priority projects (Attachment D) to federal, state, and local discretionary grant programs, and return to the Board to accept grants when awarded and before executing grant agreements.

The Capital Funding Program Report (Attachment E) summarizes the approved funding for projects, including OCTA-issued federal, state, and locally funded calls.

Summary

Status reports on externally funded OCTA grants to local jurisdictions projects and OCTA's pursuit of grants for OCTA priority projects are provided for review. Staff is recommending Board approval for a scope modification and extension request from Sally's Fund. Additionally, staff recommends Board approval to program $4.687 million for the City of Huntington Beach's Magnolia Street Project. Authorization to submit the changes through Federal Transportation Improvement Program amendments and the SCAG process for final approval as applicable is also requested, as well as authorization to negotiate and execute any necessary agreements or amendments to implement these actions.

Attachments

A. State and Federal Grant Programs Project Status
B. Amendment Requests and Programming Updates
C. Competitive Grants Update
D. Orange County Transportation Authority Priority Project List
E. Capital Funding Program Report

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ATTACHMENT A

2016 BCIP						
Agency	**Project Title**	**Phase**	**Award**	**Matching Funds**	**Total Project Cost**	**Status**
Anaheim	Nohl Ranch Open Space Trail	D,R	$ 650,400	$ 162,600	$ 813,000	Completed - D Started - R
Santa Ana	Citywide Bike Racks	D,C	$ 1,100,000	$ 150,000	$ 1,250,000	Completed - D Started - C
2016 BCIP Phases Completed[1]		**18**	**$ 15,373,555**	**$ 2,387,399**	**$ 17,760,954**	
2016 BCIP Phases In Progress		**2**	**$ 1,376,400**	**$ 237,600**	**$ 1,614,000**	
2016 BCIP Total Program[2]		**20**	**$ 16,749,955**	**$ 2,624,999**	**$ 19,374,954**	

2019 BCIP						
Agency	**Project Title**	**Phase**	**Award**	**Matching Funds**	**Total Project Cost**	**Status**
Brea	OC Loop Brea Gap Closure[3]	D,R,C	$ 6,048,000	$ 6,980,000	$ 14,528,000	Started - D Planned - R Planned - C
Costa Mesa	Adams Avenue and Pinecreek Drive Intersection Project	D,C	$ 620,336	$ 316,659	$ 936,995	Completed - D Started - C
La Habra	La Habra Union Pacific Rail Line Bikeway	R	$ 1,948,800	$ 487,200	$ 2,436,000	Planned
Orange	Santiago Creek Multipurpose Extension Project	E	$ 345,794	$ 97,532	$ 443,326	Started
San Clemente	South El Camino Real Lane Reconfiguration and Buffered Bike Lane Project	C	$ 1,075,115	$ 400,650	$ 1,475,765	Planned
Santa Ana	Bristol Street Protected Bike Lanes - Phase II Warner to St. Andrew Place	C	$ 1,508,045	$ 347,393	$ 1,855,438	Planned
Santa Ana	Bristol Street Protected Bike Lanes - Phase III St. Andrew Place to Edinger Avenue	D,C	$ 743,274	$ 598,356	$ 1,341,630	Started - D Planned - C
Santa Ana	Bristol Street Protected Bike Lanes - Phase IV Civic Center Drive to Washington Avenue	C	$ 793,760	$ 229,490	$ 1,023,250	Started
Santa Ana	Bristol Street Protected Bike Lanes - Phase V 1st Street to Civic Center Drive	D,C	$ 1,320,320	$ 598,273	$ 1,918,593	Started - D Planned - C
Santa Ana	Warner Avenue Protected Bike Lanes	D,C	$ 1,116,126	$ 326,079	$ 1,442,205	Completed - D Planned - C
2019 BCIP Phases Completed[1]		**7**	**$ 10,008,182**	**$ 11,062,623**	**$ 21,070,805**	
2019 BCIP Phases In Progress[4]		**14**	**$ 15,319,960**	**$ 10,354,412**	**$ 27,174,372**	
2019 BCIP Total Program[2]		**21**	**$ 25,328,142**	**$ 21,417,035**	**$ 48,245,177**	

Notes:

1. Completed projects are not listed in the program's tables and only included in the program's totals.
2. Total does not include cancelled projects.
3. Total projcet cost includes $1,500,000 in non-match agency funds.
4. Total phases in progress project cost includes $1,500,000 in non-match agency funds for Brea's OC Loop Brea Gap Closure Project.

2021 PMRF						
Agency	**Project Title**	**Phase**	**Award**	**Matching Funds[5]**	**Total Project Cost[6]**	**Status**
Aliso Viejo	Aliso Creek Road Rehabilitation from Enterprise to SR-73 Project	C	$ 200,000	$ -	$ 600,000	Started
Anaheim	Knott Avenue Rehabilitation from Ball Road to Orange Avenue Project	C	$ 1,037,763	$ -	$ 1,100,000	Started
Buena Park	Regio Avenue from Caballero Boulevard to Altura Boulevard	C	$ 239,650	$ -	$ 1,279,000	Started
Costa Mesa	Fairview Road Improvement Project (from Adams Avenue to Wilson Street)	C	$ 331,116	$ -	$ 1,600,000	Started
Cypress	Street Rehabilitation Project - Overlay	C	$ 200,000	$ -	$ 440,000	Started
Dana Point	Stonehill Drive Slurry Seal Project	C	$ 200,000	$ -	$ 200,000	Started
Fullerton	Associated Rd - Yorba Linda Blvd to Bastanchury Rd	C	$ 409,362	$ -	$ 565,000	Started
Garden Grove	Garden Grove Boulevard Rehabilitation from Harbor Boulevard to Fairview Street	C	$ 506,380	$ -	$ 880,000	Completed
Huntington Beach	FY 2021-22 Arterial Rehabilitation - Edinger Avenue, Saybrook Lane, Warner Avenue, Springdale Street, Talbert Avenue, Newland Street, Brookhurst Avenue, Adams Avenue, and Banning Avenue	C	$ 578,011	$ -	$ 5,400,000	Started
Irvine	Irvine Center Drive Pavement Rehabilitation	C	$ 797,297	$ -	$ 3,750,000	Started
La Habra	Macy Street Rehabilitation Project - PMRF	C	$ 200,000	$ -	$ 300,000	Started
La Palma	La Palma Avenue Pavement Preservation and Improvements Project	C	$ 200,000	$ -	$ 400,000	Started
Laguna Beach	Zone 3 Collector Road Improvements	C	$ 200,000	$ -	$ 780,000	Started
Laguna Hills	Arterial Pavement Rehabilitation Project	C	$ 200,000	$ -	$ 575,000	Started
Laguna Niguel	Local Roadway Pavement Rehabilitation Project	C	$ 200,000	$ -	$ 1,400,000	Started
Laguna Woods	Pavement Management Project (Westbound El Toro Road between Calle Corta and City Limits)	C	$ 200,000	$ -	$ 264,000	Started
Lake Forest	Arterial Slurry Seal - Jeronimo and Muirlands	C	$ 248,199	$ -	$ 1,600,000	Started
Los Alamitos	PMP Project (S/B Moulton Pkwy between Calle Cortez and City Limits)	C	$ 200,000	$ -	$ 270,000	Started
Mission Viejo	Melinda Road Rehabilitation from Olympiad Road to Santa Margarita Parkway	C	$ 276,328	$ -	$ 690,000	Started
Orange	Santiago Canyon Road Street Rehabilitation from Newport Boulevard to Jamboree Road	C	$ 403,299	$ -	$ 980,000	Started
Rancho Santa Margarita	FY 22-23 Antonio Parkway Pavement Rehabilitation	C	$ 200,000	$ -	$ 1,025,000	Started
San Juan Capistrano	Camino Capistrano Pavement Rehabilitation Project[7]	C	$ 200,000	$ -	$ 600,000	Withdrawn
Santa Ana	Grand Avenue Roadway Rehabilitation from 1st Street to McFadden Avenue	C	$ 972,882	$ -	$ 1,072,882	Started

Notes:

5. Local match not required for PMRF.

6. Total project costs include non-match agency funds.

7. The City of San Juan Capistrano declined available state funds.

2021 PMRF (Continued)						
Agency	**Project Title**	**Phase**	**Award**	**Matching Funds[5]**	**Total Project Cost[6]**	**Status**
Seal Beach	Seal Beach Boulevard at North Gate Road Improvement Project	C	$ 200,000	$ -	$ 275,000	Started
Stanton	Citywide Concrete Repair	C	$ 200,000	$ -	$ 200,000	Started
Villa Park	Cerro Villa Drive Project	C	$ 200,000	$ -	$ 505,000	Started
Westminster	Magnolia Street Improvements from Edinger Avenue to Heil Avenue	C	$ 268,539	$ -	$ 1,145,430	Started
Yorba Linda	La Palma Avenue Improvement Project from West City Limit to 1,350' West of Old Village Road	C	$ 200,000	$ -	$ 240,350	Started
2021 PMRF Phases Completed[1]		**1**	**$ 506,380**	**$ -**	**$ 880,000**	
2021 PMRF Phases In Progress		**26**	**$ 8,562,446**	**$ -**	**$ 26,656,662**	
2021 PMRF Total Program[2, 8]		**28**	**$ 9,068,826**	**$ -**	**$ 27,536,662**	

Notes:

5. Local match not required for PMRF.

6. Total project costs include non-match agency funds.

8. Inlcudes one withdrawn project.

State and Federal Grant Programs Project Status

2021 EMSD						
Agency	**Project Title**	**Phase**	**Award**	**Matching Funds**	**Total Project Cost**	**Status**
Abrazar	OC Equity Mobility Management	OPS	$ 315,000	$ 35,000	$ 350,000	Started
Abrazar	COVID-19 Restorative Assistance	OPS	$ 187,500	$ 62,500	$ 250,000	Started
Access California Services	AccessCal Transportation Program	OPS	$ 250,000	$ 83,333	$ 333,333	Started
Access California Services		CAP	$ 99,000	$ 11,000	$ 110,000	Started
Access California Services		CAP	$ 70,200	$ 7,800	$ 78,000	Started
Access California Services		CAP	$ 4,467	$ 496	$ 4,963	Planned
Age Well Senior Services, Inc.	Age Well Transportation Program	CAP	$ 346,500	$ 38,500	$ 385,000	Started
Age Well Senior Services, Inc.		CAP	$ 77,400	$ 8,600	$ 86,000	Started
Alzheimer's Family Services	AFC Mobility Management	OPS	$ 134,964	$ 14,996	$ 149,960	Started
Community SeniorServ Inc. (dba Meals on Wheels, Orange County)	Enhanced Transportation Initiative	OPS	$ 139,451	$ 15,495	$ 154,946	Started
North Orange Continuing Education	Mobility Training Program	OPS	$ 594,000	$ 66,000	$ 660,000	Started
Sally's Fund	Senior Services Assistant	OPS	$ 61,350	$ 20,450	$ 81,800	Started
	2021 EMSD Phases Completed	**0**	**$ -**	**$ -**	**$ -**	
	2021 EMSD Phases In Progress	**12**	**$ 2,279,832**	**$ 364,170**	**$ 2,644,002**	
	2021 EMSD Total Program	**12**	**$ 2,279,832**	**$ 364,170**	**$ 2,644,002**	

2024 EMSD						
Agency	**Project Title**	**Phase**	**Allocation**	**Match**	**Total Phase Cost**	**Status**
Age Well Senior Services, Inc	Replacement Vehicles for Age Well Senior Services	CAP	$ 989,656	$ 122,315	$ 1,111,971	Planned
Age Well Senior Services, Inc	Operating Assistance for Age Well Senior Services	OPS	$ 309,840	$ 77,460	$ 387,300	Planned
Age Well Senior Services, Inc		OPS	$ 42,570	$ 4,730	$ 47,300	Planned
Abrazar, Inc.	OC Equity Mobility Management - Abrazar (OCEMMA)	CAP	$ 878,400	$ 97,600	$ 976,000	Planned
Abrazar, Inc.		CAP	$ 19,810	$ 2,201	$ 22,011	Planned
Huntington Beach	Rider Notifications	CAP	$ 46,517	$ 5,169	$ 51,686	Planned
Irvine	Irvine On Demand - Rides for Older Adults	CAP	$ 463,983	$ 51,554	$ 515,537	Planned
Irvine		CAP	$ 181,009	$ 20,112	$ 201,121	Planned
Newport Beach	Vehicle Replacements	CAP	$ 217,800	$ 24,200	$ 242,000	Planned

2024 EMSD (Continued)						
Agency	**Project Title**	**Phase**	**Allocation**	**Match**	**Total Phase Cost**	**Status**
AbleLight, Inc	Transportation for People with Developmental Disabilities	CAP	$ 254,778	$ 28,309	$ 283,087	Planned
Southland Integrated Services, Inc.	Transportation Services for Ethnic Seniors and Disabled	CAP	$ 343,578	$ 38,175	$ 381,753	Planned
Southland Integrated Services, Inc	Transportation Services for Seniors and The Disabled	OPS	$ 227,596	$ 56,900	$ 284,496	Planned
Access California Services	AccessCal's Access to Transportation Program	CAP	$ 115,769	$ 12,863	$ 128,632	Planned
Access California Services		CAP	$ 6,874	$ 764	$ 7,638	Planned
Access California Services	AccessCal's Access to Transportation Program	OPS	$ 600,000	$ 150,000	$ 750,000	Planned
Korean Community Services, Inc. dba KCS Health Center	KCS's Senior Mobility & Integrated Healthcare Program	CAP	$ 534,600	$ 59,400	$ 594,000	Planned
KCS Health Center		CAP	$ 3,313	$ 368	$ 3,681	Planned
KCS Health Center	KCS Senior Mobility and Integrated Healthcare Program	OPS	$ 470,112	$ 117,528	$ 587,640	Planned
Orange County Adult Achievement Center dba My Day Counts	My Day Counts 2025 -2026 Capital Replacement	CAP	$ 917,610	$ 101,957	$ 1,019,567	Planned
Laguna Woods	City of Laguna Woods Senior Mobility Program Augmentation Project	OPS	$ 325,000	$ 81,250	$ 406,250	Planned
Meals on Wheels, Orange County	Enhanced Transportation Initiative	OPS	$ 247,467	$ 27,496	$ 274,963	Planned
SoCal Senior Services, LLC	Healthy Aging Center Laguna Woods	OPS	$ 246,048	$ 61,512	$ 307,560	Planned
Seal Beach	Seal Beach - Service Expansion	OPS	$ 100,000	$ 25,000	$ 125,000	Planned
Alzheimer Family Services Center	Patient Transportation	OPS	$ 267,746	$ 29,750	$ 297,496	Planned
North County Senior Services	Acacia Adult Day Services	OPS	$ 276,188	$ 69,047	$ 345,235	Planned
Costa Mesa	Senior Taxi Program	OPS	$ 237,600	$ 59,400	$ 297,000	Planned
Dayle MacIntosh Center for the Disabled	Mobility Management Professionals Program	OPS	$ 300,000	$ 33,333	$ 333,333	Planned
2024 EMSD Phases Completed		**0**	**$ -**	**$ -**	**$ -**	
2024 EMSD Phases In Progress		**27**	**$ 8,623,864**	**$ 1,358,393**	**$ 9,982,257**	
2024 EMSD Total Program		**27**	**$ 8,623,864**	**$ 1,358,393**	**$ 9,982,257**	

2023 OCCSP - Wave 1						
Agency	**Project Title**	**Phase**	**Award**	**Matching Funds**	**Total Project Cost**	**Status**
Anaheim	Nohl Ranch Open Space Trail	C	$ 3,359,000	$ 459,000	$ 3,818,000	Planned
Brea	Tracks at Brea - Western Extension[8]	C	$ 1,320,000	$ 180,000	$ 5,730,000	Planned
Costa Mesa	Adams Avenue Bicycle Facility Project –Harbor Boulevard to Fairview Road	C	$ 1,760,000	$ 240,000	$ 2,000,000	Planned
Costa Mesa	Fairview Road Active Transportation Improvements – Adams Avenue to Fair Drive	D,C	$ 1,935,000	$ 264,000	$ 2,199,000	Planned - D Planned - C
Costa Mesa	Adams Avenue Active Transportation Project – Multipurpose Trails[8]	C	$ 4,223,000	$ 1,677,000	$ 6,413,000	Planned
Laguna Hills	Paseo De Valencia and Cabot Road Active Transportation Enhancements[9]	E,D,C	$ 4,998,000	$ 695,000	$ 9,020,000	Planned - E Planned - D Planned - C
Orange	PLAN - Citywide Active Transportation Plan	PLAN	$ 308,000	$ 42,000	$ 350,000	Planned
Placentia	Atwood Multi-Use Trail	D,C	$ 2,753,000	$ 377,000	$ 3,130,000	Planned - D Planned - C
San Clemente	Complete Streets Along Avenida Calafia	E,D,C	$ 968,000	$ 132,000	$ 1,100,000	Planned - E Planned - D Planned - C
Yorba Linda	Connect Savi Ranch[8]	E,R,C	$ 3,428,000	$ 467,000	$ 4,645,000	Planned - E Planned - R Planned - C
2023 OCCSP W1 Phases Completed		**0**	**$ -**	**$ -**	**$ -**	
2023 OCCSP W1 Phases in Progress		**18**	**$ 25,052,000**	**$ 4,533,000**	**$ 37,892,000**	
2023 OCCSP W1 Total Program		**18**	**$ 25,052,000**	**$ 4,533,000**	**$ 37,892,000**	

Notes:

9. Total project costs include non-match agency funds.

2023 OCCSP - Wave 2						
Agency	**Project Title**	**Phase**	**Award**	**Matching Funds**	**Total Project Cost**	**Status**
Buena Park	PLAN - Orangethorpe Avenue Complete Streets Planning Study	PLAN	$ 308,000	$ 42,000	$ 350,000	Planned
Fullerton	Harbor Boulevard Complete Streets Improvement Project[8]	E,D,C	$ 4,854,000	$ 661,000	$ 5,868,000	Planned - E Planned - D Planned - C
Huntington Beach	Banning Avenue Roundabout & Southeast Corridors Complete Streets Improvements	E,D,R,C	$ 5,000,000	$ 731,000	$ 5,731,000	Planned - E Planned - D Planned - R Planned - C
Irvine	Venta Spur Trail and Jeffrey Road Pedestrian and Bicycle Bridge	C	$ 5,000,000	$ 1,000,000	$ 6,000,000	Planned
Irvine	Harvard Avenue Complete Streets and Safety Improvements	E,D,C	$ 4,312,000	$ 588,000	$ 4,900,000	Planned - E Planned - D Planned - C
Laguna Niguel	South Forbes Road/Oso Creek Trail Active Transportation Enhancements	E,D,C	$ 3,415,000	$ 465,000	$ 3,880,000	Planned - E Planned - D Planned - C
Mission Viejo	Mission Viejo Quad Cities Trail	E,D	$ 4,787,000	$ 653,000	$ 5,440,000	Planned - E Planned - D
Orange	Riverdale Avenue Complete Street Improvements[8]	D,C	$ 2,573,000	$ 351,000	$ 2,999,000	Planned - D Planned - C
Tustin	Main Street Enhancement Project	C	$ 3,172,000	$ 432,000	$ 3,604,000	Planned
2023 OCCSP W2 Phases Completed		**0**	**$ -**	**$ -**	**$ -**	
2023 OCCSP W2 Phases in Progress		**20**	**$ 33,421,000**	**$ 4,923,000**	**$ 38,772,000**	
2023 OCCSP W2 Total Program		**20**	**$ 33,421,000**	**$ 4,923,000**	**$ 38,772,000**	

2023 OCCSP - Wave 3						
Agency	**Project Title**	**Phase**	**Award**	**Matching Funds**	**Total Project Cost**	**Status**
Buena Park	PLAN - Stanton Avenue Complete Streets Planning Study	PLAN	$ 308,000	$ 42,000	$ 350,000	Planned
Brea	Laurel Elementary School Safety[8]	E,D,C	$ 590,000	$ 81,000	$ 1,024,000	Planned - E Planned - D Planned - C
County of Orange	Los Patrones Parkway Bikeway Widening and Safety Improvements	C	$ 2,764,000	$ 1,843,000	$ 4,607,000	Planned
Huntington Beach	Hamilton Avenue Corridor Complete Streets Improvements	E,D,R,C	$ 3,971,000	$ 542,000	$ 4,513,000	Planned - E Planned - D Planned - R Planned - C
Laguna Beach	Coast Highway Sidewalk Gap Closures to Achieve Complete Streets (Cardinal to 7th)	C	$ 5,000,000	$ 1,194,000	$ 6,194,000	Planned
Los Alamitos	Los Alamitos Reimagine Downtown Street & Bicycle Corridor Improvement Project	C	$ 5,000,000	$ 2,343,000	$ 7,343,000	Planned
Orange	Santiago Creek Bike Trail Gap Closure	D,R,C	$ 4,904,000	$ 681,000	$ 5,585,000	Planned - D Planned - R Planned - C
Stanton	Orangewood Complete Streets	E,R,C	$ 3,268,000	$ 513,000	$ 3,781,000	Planned - E Planned - R Planned - C
Yorba Linda	Valley View Safety[9]	E,D,C	$ 511,000	$ 70,000	$ 656,000	Planned - E Planned - D Planned - C
	2023 OCCSP W3 Phases Completed	**0**	**$ -**	**$ -**	**$ -**	
	2023 OCCSP W3 Phases in Progress	**20**	**$ 26,316,000**	**$ 7,297,000**	**$ 34,053,000**	
	2023 OCCS3 W2 Total Program	**20**	**$ 26,316,000**	**$ 7,297,000**	**$ 34,053,000**	

State Funded OCTA Nominated Local Agency Led Projects						
Agency	**Project Title**	**Program**	**Award**	**Agency Funds**	**Total Project Cost**	**Status**
Fullerton	Transit and Intercity Rail Capital Program (TIRCP) - Direct Current Fast Charging (DCFC) at Fullerton Transportation Center	TIRCP	$ 625,000	$ -	$ 625,000	Planned
Santa Ana	TIRCP - Bike Lockers at Santa Ana Regional Transportation Center (SARTC)	TIRCP	$ 2,000,000	$ -	$ 2,000,000	Planned
Santa Ana	TIRCP - DCFC at SARTC	TIRCP	$ 625,000	$ -	$ 625,000	Planned
Santa Ana	Solutions for Congested Corridors Program (SCCP) - Santa Clara Bicycle and Pedestrian Improvements	SCCP	$ 3,243,000	$ -	$ 3,243,000	Completed
Santa Ana	SCCP - Route 53/553 (Bravo! Main Street) - Bus Stop Improvements - Shelters	SCCP	$ 114,000	$ -	$ 114,000	Completed
Santa Ana	First Street Multimodal Boulevard Design	REAP 2.0	$ 4,300,000	$ -	$ 4,300,000	Planned

State Funded OCTA Nominated Local Agency Led Projects (Continued)						
Agency	**Project Title**	**Program**	**Award**	**Agency Funds**	**Total Project Cost**	**Status**
Santa Ana	McFadden Avenue Transit Signal Priority and Complete Streets	REAP 2.0	$ 3,690,000	$ -	$ 3,690,000	Planned
		Completed	**$ 3,357,000**	**$ -**	**$ 3,357,000**	
		Planned	**$ 11,240,000**	**$ -**	**$ 11,240,000**	
		Total	**$ 14,597,000**	**$ -**	**$ 14,597,000**	

2012 BCIP - 17 Completed Projects			
	Award	**Matching Funds**	**Total Project Cost**
2012 BCIP Total Program[2]	**$ 6,811,200**	**$ 1,368,865**	**$ 8,180,065**

2014 BCIP - 5 Completed Projects			
	Award	**Matching Funds**	**Total Project Cost**
2014 BCIP Phases Completed[2]	**$ 1,100,736**	**$ 4,111,454**	**$ 5,212,190**

2014 APM Program - 42 Completed Projects			
	Award	**Matching Funds**	**Total Project Cost**
2014 APM Total Program	**$ 19,864,978**	**$ 30,958,336**	**$ 50,823,314**

Acronyms

APM - Arterial Pavement Management
ATP - Active Transportation Program
BCIP - Bicycle Corridor Improvement Program
C - Construction
CAP - Capital
Caltrans - California Department of Transportation
COVID-19 - Coronavirus
CRRSAA - Coronavirus Response and Relief Supplemental Appropriations Act
D - Design (includes PS&E)
E - Environmental (includes PA&ED)
EMSD - Enhanced Mobility for Seniors and Disabled
FY - Fiscal Year
I-5 - Interstate 5
MPO - Metropolitan Planning Organization
N/S - North/South
OCTA - Orange County Transportation Authority
OPS - Operations
PLAN - Plan
PMRF - Pavement Management Relief Funding Program
R - Right-of-Way
S/B - Southbound
TIRCP - Transit and Intercity Rail Capital Program
SCCP - Solutions for Congested Corridors Program
SARTC - Santa Ana Regional Transportation Center
REAP 2.0 - Regional Early Action Plan Grants of 2021
Planned - Indicates that the funds for this phase have not been obligated and/or allocated.
Started - Indicates that the fund for this phase have been obligated and/or allocated.
Completed - Indicates that the work related to this phase is complete.
Withdrawn - Indicates that the agency chose to not go forward with obligaiton/allocation

Amendment Requests and Programming Updates

ATTACHMENT B

As of February 3, 2025

Project Amendment Requests

Agency	Project Title	Fund Source	Phase	Previously Approved FY	Change Type	Supplemental Information
Sally's Fund, Inc.	Operating Assistance for senior transportation services in Laguna Beach to support hiring for a senior services assistant to oversee drivers, vehicle maintenance and transportation coordination and in addition, when needed, drive various routes to maximize number of trips.	EMSD	OPS	FY 2021-22	Scope Change Modifications	The project was originally approved for a grant award of $61,350 towards a total project cost of $81,800, with a 25 percent match under the EMSD program to support operating assistance for senior transportation services in Laguna Beach. Sally's Fund has requested a scope change to expand the eligible use of funds to include a part-time scheduler, marketing, and additional events, along with a 12-month time extension to their contract. This change will enable Sally's Fund to utilize the remaining grant funds more effectively, ensuring the delivery of their senior transportation and outreach program. The requested scope adjustment and time extension will not alter the total awarded grant amount of $61,350 or require additional funding but will enhance program delivery and benefit to the senior community. Staff concurs with Sally's Fund's request and recommends Board approval.

OCCSP Programming Updates

Wave 4 Projects - Additional Awards

Agency	Project Title	Project Description	Phase of Work	FY	CMAQ (000'S)	STBG (000'S)	Total Funding Request ($000's)
Huntington Beach	Magnolia Street Corridor Complete Streets Improvements	The Magnolia Street Corridor Complete Streets Improvements Project focuses on enhancing safety, accessibility, and mobility for all users along Magnolia Street between Adams Avenue and Pacific Coast Highway in the City of Huntington Beach. Proposed upgrades include reconstructing damaged sidewalks, installing ADA-compliant curb ramps, enhancing bicycle lanes with protected and wider designs, constructing landscaped medians, planting trees, and improving crosswalks and pedestrian lighting. These complete streets improvements will create a safer and more accessible corridor for pedestrians, cyclists, and transit users while supporting active transportation and connectivity to key destinations in the southeast area.	PA&ED	FY 2025-26	$ 3	$ -	
			PS&E	FY 2025-26	$ 157	$ -	
			ROW	FY 2025-26	$ 16	$ -	
			CON	FY 2026-27	$ 3,899.4	$ 611.6	$ 4,687
				TOTAL	**$ 4,075.4**	**$ 611.6**	**$ 4,687**

Acronyms

Board - Board of Directors
CMAQ - Congestion Mitigation and Air Quality Improvement Program
CON - Construction
EMSD - Enhanced Mobility for Seniors and Individuals with Disabilities
FY - Fiscal Year
FTIP - Federal Transportation Improvement Program
NEPA - National Environmental Policy Act
OCCSP - Orange County Complete Streets Program
OPS - Operations
PA&ED - Project Approvals and Environmental Documentation
PS&E - Project Specifications and Estimates
ROW - Right-of-Way
Sally's Fund - Sally's Fund, Inc.
SCAG - Southern California Association of Governments
STBG - Surface Transportation Block Grant
Wave 1 - Projects approved by OCTA in February 2024 under the OCCSP, funded with $25.052 million in STBG and CMAQ funds

ATTACHMENT C

Board-Accepted Competitive Grant Awards July 2021 through February 2025 (FY2021-25)							
No.	**Board Acceptance**	**Federal / State**	**Agency**	**Program**	**Project**	**Status**	**Award Amount**
1	September 2021	State	Southern California Association of Governments (SCAG)	Sustainable Communities Program	Bus Stop Safety and Accessibility Plan	Awarded	$300,000
2	September 2021	State	California Transportation Commission (CTC)	Active Transportation Program (ATP) Cycle 5	Garden Grove-Santa Ana Rails-to-Trails Gap Closure	Awarded	$3,000,000
3	September 2021	State	Mobile Source Air Pollution Reduction Review Committee	Clean Transportation Funding	OC Fair Express Bus Service	Awarded	$289,054
4	June 2022	State	Caltrans	Sustainable Transportation Planning Grants	Countywide Transportation Demand Management Strategic Plan	Awarded	$150,000
5	August 2022	Federal	Department of Homeland Security (DHS)	Transit Security Grant Program (TSGP)	Operational Deterrence – Visible Intermodal Protection and Response (VIPR) and Anti-Terror Anti-Crime (ATAC)	Awarded	$36,635
6	August 2022	Federal	Federal Transit Administration (FTA)	Low or No Emission Grant Program	Orange County Zero-Emission Paratransit Bus Pilot	Awarded	$2,507,895
7	March 2023	State	California State Transportation Agency (CalSTA)	Transit Intercity Rail Capital Program (TIRCP)	OC Streetcar	Awarded	$149,841,000
8	July 2023	Federal	U.S. Department of Transportation (US DOT)	Strengthening Mobility and Revolutionizing Transportation (SMART)	Pilot Innovative Cloud-Based Transit Signal Priority (Harbor Boulevard)	Awarded	$1,600,000
9	July 2023	State	CalSTA	TIRCP	Coastal Rail Corridor Relocation Study	Awarded	$5,000,000
10	July 2023	State	CalSTA	TIRCP	Central Mobility Loop	Awarded	$39,407,895
11	July 2023	State	SCAG	Regional Early Action Planning Grants (REAP 2.0)	Harbor Boulevard Cloud-Based Transit Signal Priority Stage 1	Awarded	$400,000
12	July 2023	State	SCAG	REAP 2.0	Fullerton Park and Ride Joint Use Master Plan	Awarded	$500,000
13	July 2023	State	SCAG	REAP 2.0	Active Transportation Outreach and Engagement Support	Awarded	$400,000
14	July 2023	State	SCAG	REAP 2.0	First Street Multimodal Boulevard Design	Awarded	$4,300,000
15	July 2023	State	SCAG	REAP 2.0	Orange County Mobility Hubs Pilot Concept of Operations	Awarded	$300,000
16	July 2023	State	SCAG	REAP 2.0	Bikeway Connectivity Study	Awarded	$500,000
17	July 2023	State	SCAG	REAP 2.0	McFadden Avenue Transit Signal Priority and Complete Streets	Awarded	$3,690,000
18	July 2023	State	SCAG	REAP 2.0	Next STEP 2.0	Awarded	$1,250,000
19	July 2023	State	SCAG	REAP 2.0	Orange County Cyclic Counts 2024-2025	Awarded	$400,000
20	July 2023	State	SCAG	REAP 2.0	Reconnecting Communities through Complete Streets	Awarded	$550,000
21	July 2023	State	SCAG	REAP 2.0	Harbor Boulevard Cloud-Based Transit Signal Priority Stage 2	Awarded	$1,000,000
22	September 2023	State	CTC	Active Transportation Program (ATP) Cycle 6	Next Safe Travels Education Program 2.0 (Next STEP 2.0)	Awarded	$850,000
23	September 2023	State	CTC	Trade Corridor Enhancement Program (TCEP)	State Route 91 (SR-91) Multimodal Improvements	Awarded	$42,566,000
24	May 2024	State	CTC	Local Transportation Climate Adaptation Program (LTCAP)	Coastal Rail Infrastructure Resiliency Project - Environmental	Awarded	$12,000,000
25	May 2024	State	Department of Toxic Substances Control	Equitable Community Revitalization Grant	OC Connect Environmental Site Assessment	Awarded	$350,000
26	July 2024	Federal	N/A	Community Project Funding	OC Connect (Garden Grove-Santa Ana Rails-To-Trails)	Awarded	$750,000
27	July 2024	State	Caltrans	Sustainable Transportation Planning Grants	Zero-Emission Bus (ZEB) Infrastructure Readiness Study	Awarded	$200,000
28	September 2024	Federal	U.S. Environmental Protection Agency (US EPA)	Brownfields Program - Multipurpose Grants	OC Connect Environmental Site Assessment	Awarded	$1,000,000
29	November 2024	Federal	DHS	TSGP	Countywide Transit System Operational Deterrence- Visible Intermodal Protection and Response (VIPR)	Awarded	$116,600

Board Accepted Competitive Grant Awards
July 2021 through February 2025 (FY2021-25)

No.	Board Acceptance	Federal/ State	Agency	Program	Project	Status	Award Amount
30	November 2024	Federal	U.S. Department of Energy	Regional Clean Hydrogen Hubs	Alliance for Renewable Clean Hydrogen Energy Systems	Awarded	TBD
31	December 2024	State	CalSTA	TIRCP Cycle 7	Coastal Rail Infrastructure Resiliency Project (Coastal Rail Stabilization Priority Projects)	Awarded	$125,000,000
32	December 2024	State	CTC	TCEP Advanced Programming[1]	Coastal Rail Infrastructure Resiliency Project (Coastal Rail Stabilization Priority Projects)	Awarded	$80,000,000
33	December 2024	Federal	Federal Railroad Administration (FRA)	Consolidated Rail Infrastructure and Safety Improvements (CRISI) Program	Coastal Rail Infrastructure Resiliency Project (Coastal Rail Stabilization Priority Projects)	Awarded	$100,000,000
34	TBD	Federal	N/A	Transit Infrastructure Grants	Coastal Rail Corridor Relocation Study	Awarded	$4,000,000
35	TBD	Federal	N/A	Highway Infrastructure Programs	SR–91 Improvement Project	Awarded	$4,000,000
36	TBD	Federal	N/A	Highway Infrastructure Programs	OC Loop Segments A and B (La Habra and Brea)	Awarded	$3,000,000
37	TBD	State	SCAG	Sustainable Communities Program (SCP) - Active Transportation & Safety	Countywide Active Transportation Plan - Move OC	Awarded	$400,000
					Total Grant Requests Awarded in FY2021-25		**$589,655,079**

1. The advanced programming mechanism allows the CTC to allocate TCEP funds ahead of the regular cycle for projects seeking federal grants. These funds serve as a non-federal match to enhance grant competitiveness and are contingent on federal grant approval.

Competitive Grant Submittals Pending Grant Award Decision
July 2024 through February 2025 (FY2024-25)

No.	Submittal Date	Federal/ State	Agency	Program	Project	Status	Grant Request
38	June 2024	State	CTC	ATP Cycle 7	Countywide Active Transportation Plan (update/reimagined)	Submitted	$1,000,000
39	August 2024	Federal	FHWA	LTCAP	Coastal Rail Infrastructure Resiliency Project (Coastal Rail Stabilization Priority Projects)	Submitted	$25,000,000
					Total Grant Requests Pending Award/Rejection		**$26,000,000**

Competitive Grant Submittals Not Awarded
July 2024 through February 2025 (FY2024-25)

No.	Submittal Date	Federal/ State	Agency	Program	Project	Status	Grant Request
40	April 2024	Federal	US DOT	USDOT Infrastructure for Rebuilding America (INFRA) program through the Multimodal Project Discretionary Grant (MPDG) opportunity	Coastal Rail Infrastructure Resiliency Project (Coastal Rail Stabilization Priority Projects)	Not awarded	$100,000,000
41	April 2024	Federal	US DOT	USDOT National Infrastructure Project Assistance (Mega) program through the Multimodal Project Discretionary Grant (MPDG) opportunity	Coastal Rail Infrastructure Resiliency Project (Coastal Rail Stabilization Priority Projects)	Not awarded	$100,000,000
42	April 2024	Federal	US EPA	Climate Pollution Reduction Grants (CPRG) program - Implementation	Harbor Boulevard Connected Bus Pilot	Not awarded	$4,400,000
43	June 2024	Federal	DHS	TSGP	Transportation Center Surveillance Protection	Not awarded	$200,000
					Total Grant Requests Not Awarded in FY2024-25		**$204,600,000**
					Total Grant Requests Submitted or Awarded in FY2021-25		**$820,255,079**

Acronyms

ATP - Active Transportation Program
ATAC - Anti-Terror Anti-Crime
CalSTA - California State Transportation Agency
CRISI - Consolidated Rail Infrastructure and Safety Improvements
CTC - California Transportation Commission
DHS - Department of Homeland Security
EPA - Environmental Protection Agency
FRA - Federal Railroad Administration
FTA - Federal Transit Administration
FY - Fiscal Year
LTCAP - Local Transportation Climate Adaptation Program
MPDG - Multimodal Project Discretionary Grant
N/A - Not Applicable
OC - Orange County
REAP - Regional Early Action Planning Grants
SCAG - Southern California Association of Governments
SCP - Sustainable Communities Program
SMART - Strengthening Mobility and Revolutionizing Transportation
TCEP - Trade Corridor Enhancement Program
TIRCP - Transit and Intercity Rail Capital Program
TSGP - Transit Security Grant Program
US DOT - United States Department of Transportation
VIPR - Visible Intermodal Protection and Response
ZEB - Zero-Emission Bus

ATTACHMENT D

Orange County Transportation Authority Priority Project List

Project	Planning Document Consistency
Bus Transit	
Zero-Emission Bus (ZEB) (Long Term)	ZEB Roll Out Plan Long Range Transportation Plan (LRTP)
Future Paratransit Fleet Replacement - Zero Emission	ZEB Roll Out Plan LRTP
Harbor Boulevard Connected Bus Pilot	Central Harbor Boulevard Transit Corridor Study OC Transit Vision LRTP
Harbor Boulevard High-Capacity Transit Expansion Environmental	Central Harbor Boulevard Transit Corridor Study OC Transit Vision LRTP
Zero Emission Vanpools	LRTP
First Street Transit Signal Priority and Complete Streets (Design)	Master Plan of Arterial Highways LRTP
McFadden Avenue Transit Signal Priority and Complete Streets	Master Plan of Arterial Highways LRTP
Solar Panels at the Orange County Transportation Authority (OCTA) Bus Bases	ZEB Roll Out Plan LRTP
Facility Improvements	OCTA Comprehensive Business Plan LRTP
Bus Stop Improvements	OC Transit Vision LRTP
Future Bravo! / Rapid Projects	OC Transit Vision LRTP
Orange County Mobility Hubs Pilot Concept of Operations	Orange County Mobility Hubs Plan LRTP
Fullerton Park-and-Ride Transit Oriented Development Site Design Concepts	Fullerton Joint Development Study LRTP
Rail Transit	
Coastal Rail Infrastructure Resiliency Project	Rail Infrastructure Study Hazard Mitigation Plan OC Rail Defense Against Climate Change LRTP
Olympic Readiness Project: Orange County Maintenance Facility Phase 1	SoCal Connect LRTP
Metrolink Locomotive Replacement, Track, and Structures	SoCal Connect LRTP
Metrolink Operations and Fare Revenue Loss	SoCal Connect LRTP
OC Streetcar Operations and Maintenance	LRTP
Serra Siding and Bridge Replacement	SoCal Connect LRTP

Project	Planning Document Consistency
Active Transportation and Complete Streets	
OC Loop - Segment A and B (La Habra and Brea)	Orange County Bike Connectors Gap Closure Feasibility Study OC Active LRTP
Active Transportation and Complete Streets (continued)	
OC Connect - Santa Ana - Garden Grove Rails to Trails	Orange County Bike Connectors Gap Closure Feasibility Study OC Active LRTP
Olympic Readiness Project: Katella Avenue Pedestrian Bridge	LRTP
Reconnecting Communities through Complete Streets	OC Active Safe Routes to School (SRTS) Action Plan Systemic Safety Plan LRTP
Bikeway Connectivity Study	OC Active SRTS Action Plan Systemic Safety Plan LRTP
Active Transportation Outreach	OC Active SRTS Action Plan LRTP
Bicycle Counts	OC Active SRTS Action Plan Active Transportation Counts Program Study LRTP
National and State Highway System	
Interstate 5 (I-5) [Yale-State Route 55 (SR-55)] Segment 2	LRTP
Olympic Readiness Project: Interstate 605/Katella Avenue Interchange	LRTP
SR 55 [I-5 to State Route (SR 91)]	SR-55 Comprehensive Multimodal Corridor Plan LRTP
Olympic Readiness Project: State Route 57 (SR-57) (Orangewood to Katella)	LRTP
Ortega Highway Wildlife Crossing	LRTP
Managed Lanes	
I-5 (Pico to San Diego Line)	South Orange County Multimodal Transportation Study LRTP

Project	Planning Document Consistency
Freight / Trade Corridors	
SR-57 (Lambert to Orange County Line)	LRTP
State Route 91 (SR-91) (La Palma Avenue to SR-55)	SR-91 Implementation Plan SR-91 Comprehensive Multimodal Corridor Plan LRTP
SR-91 (Acacia Street to La Palma Avenue)	SR-91 Implementation Plan SR-91 Comprehensive Multimodal Corridor Plan LRTP
Freight / Trade Corridors	
Technology / Signal Upgrades	LRTP

Capital Funding Program Report

ATTACHMENT E

Pending Approval by OCTA Board of Directors - February 10, 2025

Local Road Project

			Federal Funds			State Funds			Local Funds		
Project Title	M Code	Total Funding	STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
State-Local Partnership Program (SLPP) formula grant call	M1/Q	$54,445						$24,945	$1,280	$27,249	$971
M2 Project O Regional Capacity Program call	O	$402,211						$24,254		$377,957	
SR-57 truck climbing lane phase I - Lambert Road interchange improvement	O	$121,500			$7,719	$74,705				$19,254	$19,822
M2 Project P Regional Signal Synchronization Program call	P	$158,828	$1,774					$11,762	$4,546	$140,746	
Regional Traffic Signal Synch (Edinger Ave, MacArthur Blvd/Talbert Ave, and Warner Ave)	P	$15,000					$10,200			$4,200	$600
M2 Project Q Fair Share Program (FY 2016-17 through FY 2021-22)	Q	$361,621								$361,621	
M2 Project X Environmental Clean Up	X	$64,449								$64,449	
Active Transportation Program - regional call		$82,704	$6,359		$62,653	$92		$107			$13,493
Bicycle Corridor Improvement Program (BCIP)		$63,128	$43,755								$19,373
Bristol Street widening		$44,750									$44,750
Countywide Signal Synchronization Baseline		$15,000	$15,000								
First Street Multimodal Boulevard Design		$4,300						$4,300			
Local Agency led SCCP projects		$3,357					$3,357				
M1 Combined Transportation Funding Program (CTFP)		$34,000							$34,000		
McFadden Avenue Transit Signal Priority Pilot		$3,690						$3,690			
OC Connect Santa Ana - Garden Grove Rails to Trails		$8,000			$3,750	$3,900		$350			
OC Loop - Segment A		$38,233				$38,233					
Orange County Complete Streets (Wave 3)		$34,706	$26,316								$8,390
Orange County Complete Streets (Wave 4) [1]		$5,229	$4,687								$542
Orange County Complete Streets Program (Wave 1)		$40,915	$25,062								$15,853
Orange County Complete Streets Program (Wave 2)		$40,072	$33,421								$6,651
Pavement Management Relief Funding Program		$9,469			$3,811			$5,658			
SCAG sustainability planning grants		$720			$671						$49
Traffic signal improvements		$15,000				$12,000					$3,000
Transportation enhancement activities		$22,172			$15,628						$6,544
		$1,643,499	**$156,374**		**$94,232**	**$128,930**	**$13,557**	**$75,066**	**$39,826**	**$995,476**	**$140,038**

Local Road Project Totals	
Federal Funding Total	$250,606
State Funding Total	$217,553
Local Funding Total	$1,175,340
Total Funding (000's)	$1,643,499

Local Road Project Completed

			Federal Funds			State Funds			Local Funds		
Project Title	M Code	Total Funding	STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
Grand Avenue widening, 1st Street to 4th Street	O	$12,537	$6,708								$5,829

Capital Funding Program Report

Pending Approval by OCTA Board of Directors - February 10, 2025

Local Road Project Completed

			Federal Funds			State Funds			Local Funds		
Project Title	M Code	Total Funding	STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
Kraemer Boulevard grade separation	O	$63,830	$22,044					$16,973		$22,981	$1,832
Lakeview Avenue grade separation	O	$110,702	$37,102		$9,709			$27,344		$21,792	$14,755
Orangethorpe Avenue grade separation	O	$106,043	$38,240		$18,600			$30,324		$16,182	$2,697
Placentia Avenue grade separation	O	$64,539						$33,386		$27,453	$3,700
Raymond Avenue grade separation	O	$125,419						$95,482		$22,373	$7,564
State College Boulevard grade separation	O	$99,380	$27,161		$10,887			$34,785		$15,460	$11,087
Tustin Avenue/Rose Drive grade separation	O	$96,638	$45,957					$22,534		$26,384	$1,763
M2 Fair Share State - Local Partnership Grant Program	Q	$7,032						$3,516		$3,516	
Antonio Parkway widening		$32,553	$15,499								$17,054
ARRA transportation enhancements		$6,833			$4,049				$500		$2,284
Arterial Pavement Management Program		$50,951	$19,655		$604						$30,692
Atlanta Avenue widening		$4,160	$2,278								$1,882
Firestone Boulevard widening at Artesia Boulevard		$2,468	$2,059								$409
Local Agency American Reinvestment and Recovery Act of 2009 rehabiliation projects		$32,369			$32,369						
Del Obispo widening	M1	$6,419	$3,740								$2,679
I-5 at La Paz interchange improvements	M1	$8,942	$2,800						$1,792		$4,350
Imperial Highway Smart Streets	M1	$1,900						$200	$200		$1,500
Traffic Light Synchronization Program (TLSP), countywide - Proposition 1B	M1	$8,000						$4,000	$4,000		
Local Road Project Completed Totals		**$840,715**	**$223,243**		**$76,218**			**$268,544**	**$6,492**	**$156,141**	**$110,077**

Federal Funding Total	**$299,461**
State Funding Total	**$268,544**
Local Funding Total	**$272,710**
Total Funding (000's)	**$840,715**

Capital Funding Program Report

Pending Approval by OCTA Board of Directors - February 10, 2025

Competitive Grant Programs – Update and Recommendations

1. Approve $4.687 million in Congestion Mitigation and Air Quality Improvement program funds for the City of Huntington Beach's Magnolia Street Corridor Complete Streets Improvements project from the contingency list from the Orange County Complete Streets Program.

Acronyms:

ARRA - American Recovery and Reinvestment Act of 2009
Ave - Avenue
Board - Board of Directors
Blvd - Boulevard
Call - Call for Projects
CMAQ - Congestion Mitigation Air Quality Improvement Program
FTA - Federal Transit Administration
FY - Fiscal Year
I-5 - Interstate 5
M Code - Project Codes in Measure M1 and M2
M1 - Measure M1
M2 - Measure M2
OCTA - Orange County Transportation Authority
SB 1 - SB 1 (Chapter 5, Statutes of 2017)
SCAG - Southern California Association of Governments
SCCP - Solutions for Congested Corridors Program
SHA - State Highway Account
SR-57 - State Route 57
STBG - Surface Transportation Block Grant
STIP - State Transportation Improvement Program

COMMITTEE TRANSMITTAL

February 10, 2025

To: Members of the Board of Directors

From: Andrea West, Clerk of the Board

Subject: Amendment to Agreement for Additional Design Services for State Route 55 Improvement Project Between Interstate 5 and State Route 91

Regional Transportation Planning Committee Meeting of February 3, 2025

Present: Directors Carroll, Dumitru, Federico, Foley, Harper, Klopfenstein, and Stephens
Absent: None

Committee Vote

This item was passed by the Members present.

Director Foley was not present to vote on this item.

Committee Recommendation(s)

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Agreement No. C-1-3643 between the Orange County Transportation Authority and HDR Engineering, Inc., in the amount of $1,238,501, for additional design services for the State Route 55 Improvement Project between Interstate 5 and State Route 91. This will increase the maximum cumulative obligation of the agreement to a total contract value of $10,348,602.

OCTA

February 3, 2025

To: Regional Transportation Planning Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Amendment to Agreement for Additional Design Services for State Route 55 Improvement Project Between Interstate 5 and State Route 91

Overview

On February 14, 2022, the Orange County Transportation Authority Board of Directors authorized an agreement with HDR Engineering, Inc., for the preparation of plans, specifications, and estimates for the State Route 55 Improvement Project between Interstate 5 and State Route 91. An amendment to the existing agreement is required for additional design services.

Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Agreement No. C-1-3643 between the Orange County Transportation Authority and HDR Engineering, Inc., in the amount of $1,238,501, for additional design services for the State Route 55 Improvement Project between Interstate 5 and State Route 91. This will increase the maximum cumulative obligation of the agreement to a total contract value of $10,348,602.

Discussion

The State Route 55 (SR-55) Improvement Project between Interstate 5 (I-5) and State Route 91 (SR-91) (Project) is part of Project F 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 November 2024, the Project is listed as one of the M2 freeway projects to be implemented through construction.

The Project will add one general purpose lane in both directions on SR-55 between I-5 and SR-91 and provide operational improvements on the southbound (SB) ramps at Katella Avenue and Lincoln Avenue. Specifically, an additional lane will be added to the SB SR-55 Katella Avenue on- and off-ramp, and the existing SB SR-55 Lincoln Avenue off-ramp will be relocated 1,300 feet to the south, next to the existing SB SR-55 Lincoln Avenue hook on-ramp. The plans, specifications,

and estimates (PS&E) for the Project are currently being prepared by HDR Engineering, Inc. (HDR).

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

Roadway Design

- The California Department of Transportation (Caltrans) requested to incorporate several electrical components, such as closed-circuit television (CCTV) cameras, poles, wiring, and controller cabinet equipment to be included in the Project to minimize construction conflicts and throwaway costs related to a Caltrans State Highway Operation and Protection Program project within the project limits.
- Caltrans requested additional freeway safety lights with electrical conduits be included along the median between Fourth Street and 17th Street to enhance safety.
- Due to the design survey showing conditions that will impact the existing drainage system, the Project needs to provide a new drainage system to collect stormwater and improve conditions in the freeway shoulder.
- Due to new federal requirements on sign panels, the existing overhead sign (OHS) panel and structures are required to be replaced with a new OHS panel and structure.
- The centerline of the freeway between Fourth Street and 17th Street is shifted to avoid right-of-way (ROW) along northbound (NB) SR-55. As a result, new bridge mounted signs are required for lane assignments on the sign panel to be aligned with the proposed lane configuration.
- Based on design surveys, additional wall design and modifications are required for the Project.
- The cities of Orange and Santa Ana requested aesthetics treatment for the retaining wall that represents the cities. The original scope did not include wall aesthetics; therefore, structure aesthetics plans will need to be developed.
- The Caltrans Ordinance for Model Water Efficiency has been updated, and the irrigation design requires an update to be compliant with the new requirements.
- Caltrans updates their standard plans and standard specifications every year, and roadway and structures designs need to conform to the new Caltrans standards. Design plans and specifications for this Project need to be updated and reviewed by various departments at Caltrans to obtain approval.

Reports

- A supplemental project report will be developed to address miscellaneous changes and additional ROW needs.
- Based on the latest Caltrans requirements, the project improvements require a Ramp Metering Design Exception Report.

ROW Engineering Services

- The replacement of an OHS structure requires additional ROW acquisition. This effort will include the development of new ROW maps and documentation of the ROW needs.
- Additional ROW acquisition efforts are needed for the relocation of the SB Lincoln Avenue off-ramp, including the development of new ROW maps and documentation of the ROW needs.

Environmental Services

This Project requires environmental permits from regulatory agencies for construction. The original agreement did not include costs for the permit fees required for the processing of environmental permitting.

Procurement Approach

The original 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 August 8, 2022, in the amount of $9,110,101. This agreement has been previously amended as shown in Attachment A. It has become necessary to amend the existing agreement to add funds for additional design services.

OCTA staff negotiated the required level of effort with HDR to provide additional design services. Staff found HDR's cost proposal, in the amount of $1,238,501, to be fair and reasonable relative to the negotiated level of effort. The proposed amendment will increase the total contract value to $10,348,602.

Fiscal Impact

The additional funding for the Project is included in OCTA's Fiscal Year 2024-25 Budget, Capital Programs Division, Account No. 0017-7519-FF102-0WZ, and will be funded with a combination of federal and local M2 funds.

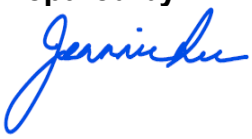
Summary

Staff requests Board of Directors' approval to authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Agreement No. C-1-3643 between the Orange County Transportation Authority and HDR Engineering, Inc., in the amount of $1,238,501, for additional design services for the State Route 55 Improvement Project between Interstate 5 and State Route 91.

Attachment

A. HDR Engineeing, Inc., Agreement No. C-1-3643 Fact Sheet

Prepared by:



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ATTACHMENT A

HDR Engineering, Inc.
Agreement No. C-1-3643 Fact Sheet

1. February 14, 2022, Agreement No. C-1-3643, $9,110,101, approved by the Board of Directors (Board).

    - The agreement was executed on August 8, 2022, for the preparation of plans, specifications, and estimates for the State Route 55 Improvement Project between Interstate 5 and State Route 91.

2. August 30, 2024, Amendment No. 1 to Agreement No. C-1-3643, $0, approved by the Contracts Administration and Materials Management Department.

    - To modify the key personnel for HDR Engineering, Inc.
    - To add subconsultant EGP Consulting, Inc., to provide environmental revalidation services and permits.

3. February 10, 2025, Amendment No. 2 to Agreement No. C-1-3643, $1,238,501 pending approval by the Board.

    - For additional design services for right-of-way engineering services, new electrical components, new drainage system, overhead signage, retaining wall aesthetics, updated irrigation design, and additional reports based on the California Department of Transportation requirements.

Total funds committed to HDR Engineering, Inc., after approval of Amendment No. 2 to Agreement No. C-1-3643: $10,348,602.

COMMITTEE TRANSMITTAL

February 10, 2025

To: Members of the Board of Directors

From: Andrea West, Clerk of the Board

Subject: Second Quarter Fiscal Year 2024-25 Capital Action Plan and Performance Metrics

Executive Committee Meeting of February 3, 2025

Present: Chair Chaffee, Vice Chair Federico, Directors Hennessey, Klopfenstein, Tam Nguyen, and Wagner
Absent: None

Committee Vote

No action was taken on this item.

Staff Recommendation(s)

Receive and file as an information item.

OCTA

February 3, 2025

To: Executive Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Second Quarter Fiscal Year 2024-25 Capital Action Plan and Performance Metrics

Overview

Staff has prepared a quarterly progress report on capital project delivery for the period of October 2024 through December 2024, for review by the Orange County Transportation Authority Board of Directors. This report highlights the Capital Action Plan for project delivery, which is used as a performance metric to assess delivery progress on highway, transit, and rail projects.

Recommendation

Receive and file as an information item.

Background

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

This report provides the second quarter progress report on the CAP performance metrics, which are a snapshot of the planned CAP project delivery milestones in fiscal year (FY) 2024-25.

Discussion

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

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

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

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

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

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

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

The following CAP milestones were completed in the second quarter of FY 2024-25:

- The complete design milestone was achieved for the State Route 91 (SR-91) Improvement Project between Acacia Street and La Palma Avenue in the City of Anaheim. The SR-91 Improvement Project between State Route 55 (SR-55) and State Route 57 (SR-57) is being delivered through three separate contracts. This is the westerly contract, Segment 3.

- The complete design milestone was achieved for the Interstate 5 (I-5) Improvement Project between Interstate 405 (I-405) and Yale Avenue. The I-5 Improvement Project between I-405 and SR-55 is being delivered through two separate contracts. This is the northerly contract, Segment 2. Pending completion of project ROW activities, the target construction contract advertisement by the California Department of Transportation (Caltrans) is in July 2025.

- The complete design milestone was achieved for the I-5 Landscaping Project between State Route 73 (SR-73) and El Toro Road. This is a follow-on project to install new freeway landscape and hardscape as the I-5 Improvement Project between SR-73 and El Toro Road construction is coming to completion.

- Both the construction ready and advertise construction milestones were achieved for the Interstate 605 (I-605)/Katella Avenue Interchange Improvement Project. Construction bids were received and opened on January 23, 2025.

- The complete construction milestone was achieved for Segment 2 of the I-5 Improvement Project between Oso Parkway and Alicia Parkway. Caltrans accepted the construction contract as completed on December 19, 2024. This is the middle segment of three segments on the I-5 Improvement Project between I-405 and SR-73.

The following CAP milestones missed the planned delivery through the second quarter of FY 2024-25:

Freeway Projects

- The award contract milestone for construction of the SR-91 Improvement Project between SR-55 and Lakeview Avenue was missed. However, Caltrans was able to award the contract on January 3, 2025, only missing the second quarter by three days. The SR-91 Improvement Project between SR-55 and SR-57 is being delivered through three separate contracts. This is the easterly contract, Segment 1.

Recap of FY 2024-25 Performance Metrics Through the Second Quarter

The performance metrics snapshot provided at the beginning of FY 2024-25 reflected nine planned major project delivery milestones to be accomplished through the second quarter (Attachment B). Nine planned milestones were delivered through the second quarter. The award contract for the I-605/ Katella Avenue Interchange Project was delayed by only days into the third quarter, and the complete design for the I-5 landscaping project complete design planned for the third quarter was delivered early.

Second Quarter CAP Milestone and Cost Variance Updates

<u>I-5, Avenida Pico to San Diego County Line</u>

The complete environmental milestone forecast was revised from January 2026 to June 2026 due to the evolving discussions regarding project-induced increases in vehicle miles traveled (VMT), and potential means, methods, and costs being required by Caltrans to mitigate the induced VMT.

I-5, SR-73 to Oso Parkway

The complete construction milestone forecast was revised from February 2025 to April 2025 based on construction progress to date.

I-5, Alicia Parkway to El Toro Road

The complete construction milestone forecast was revised from March 2025 to June 2025 based on construction progress to date. The forecast final cost increased to $227.3 million due to construction contract change orders and support cost projections.

I-5, SR-73 to El Toro Road Landscaping

With an earlier than anticipated complete design achieved, forecast milestones for construction ready is revised to January 2025, advertise construction to February 2025, the award contract to April 2025, and complete construction to November 2026.

I-5, I-405 to Yale Avenue

The forecast cost increased by $71.2 million, from $316.9 million to $388.1 million. The final design and engineers estimate have been updated to include the cost of Caltrans-funded scope included in the design and updated support costs. Caltrans contribution is approximately $50.1 million.

I-5, Yale Avenue to SR-55

The forecast cost increased by $37.9 million, from $290 million to $327.9 million. The final design and engineers' estimate have been updated to include the cost of Caltrans-funded scope included in the design and updated support costs. Caltrans contribution is approximately $27.9 million.

SR-55, I-5 to SR-91

The forecast cost increased by $70.8 million, from $131.3 million to $202.1 million. The design estimate has been updated to include the acquisition of additional ROW needed for the project, updated bid quantities and unit pricing and updated support costs.

SR-91, SR-55 to Lakeview Avenue (Segment 1)

The forecast award contract and complete construction dates were revised based on the actual contract award date of December 18, 2024. The forecast

cost was increased by $6.8 million, from $133.9 million to $140.7 million to reflect the awarded construction contract value.

SR-91, La Palma Avenue to SR-55 (Segment 2)

The forecast cost increased by $172.3 million, from $208.4 million to $380.7 million. The design estimate has been updated to include additional ROW acquisition costs, updated bid quantities and unit pricing, and updated support costs.

SR-91, Acacia Street to La Palma Avenue (Segment 3)

The forecast cost increased by $19 million, from $238.5 million to $257.5 million. The design estimate has been updated to include updated bid quantities and unit pricing, estimated cost of Caltrans-funded scope included in the project design and updated support costs. Caltrans contribution is approximately $35.1 million.

I-605, I-605/Katella Avenue Interchange

The forecast award contract milestone was revised to March 2025 based on the actual advertisement and bid dates. The forecast cost increased by $3.3 million, from $49.7 million to $53 million, to reflect the final engineers' estimated cost for the project advertised for construction bids.

FY 2024-25 Cost and Performance Metrics Risks

The OC Streetcar project cost and schedule risks related to design deficiencies and contractor performance persist. Staff has finalized the FTA-prescribed 90 percent complete risk assessment to forecast the most probable completion cost and schedule. Staff plans to report on the updated risk-based cost and schedule changes to the Board of Directors (Board) in February 2025. Quarterly project status reports will continue to be provided to the Board.

Final engineers' estimates for projects moving to the construction phase continue to be higher than planned. Staff will continue to assess unit pricing data from other construction bids in the region and make needed adjustments to forecast costs to account for escalation of material and labor costs.

Summary

Capital project delivery continues to progress and is reflected in the CAP. Through the first quarter of FY 2024-25, 75 percent of the planned CAP milestones were delivered. Forecast schedules and costs have been updated for the FY 2024-25 performance metrics, which will be used as a general quarterly project delivery performance indicator in FY 2024-25.

Staff will continue to manage project costs and schedules across all project phases to meet project delivery commitments and report quarterly.

Attachments

A. Capital Action Plan, Status Through December 2024
B. Capital Programs Division, Fiscal Year 2024-25 Performance Metrics Through December 2024

Prepared by:

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

ATTACHMENT A

Capital Action Plan

Status Through December 2024

Updated: January 13, 2025

Capital Projects	Cost Baseline/Forecast (millions)	Schedule Plan/Forecast: Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
Freeway Projects:									
I-5, Avenida Pico to San Diego County	TBD	Feb-21	Apr-24	TBD	TBD	TBD	TBD	TBD	TBD
	TBD	**Feb-21**	Jun-26	TBD	TBD	TBD	TBD	TBD	TBD
I-5, Avenida Pico to Vista Hermosa	$113.0	Jun-09	Dec-11	Jun-11	Oct-13	Feb-14	Oct-14	Dec-14	Aug-18
Project C	$83.6	**Jun-09**	**Oct-11**	**Jun-11**	**Oct-13**	**May-14**	**Sep-14**	**Dec-14**	**Aug-18**
I-5, Vista Hermosa to Pacific Coast Highway	$75.6	Jun-09	Dec-11	Jun-11	Feb-13	Jun-13	Oct-13	Dec-13	Mar-17
Project C	$75.3	**Jun-09**	**Oct-11**	**Jun-11**	**May-13**	**Aug-13**	**Feb-14**	**Jun-14**	**Jul-17**
I-5, Pacific Coast Highway to San Juan Creek Road	$70.7	Jun-09	Dec-11	Jun-11	Jan-13	May-13	Aug-13	Oct-13	Sep-16
Project C	$74.3	**Jun-09**	**Oct-11**	**Jun-11**	**Jan-13**	**Apr-13**	**Aug-13**	**Dec-13**	**Jul-18**
I-5, I-5/Ortega Highway Interchange	$90.9	Sep-05	Jun-09	Jan-09	Nov-11	Mar-12	Jun-12	Aug-12	Sep-15
Project D	$79.8	**Sep-05**	**Jun-09**	**Jan-09**	**Dec-11**	**Apr-12**	**Jun-12**	**Aug-12**	**Jan-16**
I-5, I-5/Ortega Highway Interchange (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project D	N/A	N/A	N/A	**Jan-14**	**Oct-14**	**Feb-15**	**Aug-15**	**Sep-15**	**Sep-16**
I-5, SR-73 to Oso Parkway	$151.9	Sep-11	Jun-14	Mar-15	Jan-18	May-18	Aug-18	Dec-18	Apr-25
Project C & D	$229.4	**Oct-11**	**May-14**	**Mar-15**	**Aug-18**	**May-19**	**Aug-19**	**Dec-19**	Apr-25
I-5, Oso Parkway to Alicia Parkway	$196.2	Sep-11	Jun-14	Nov-14	Jun-17	Dec-17	Feb-18	Jun-18	Nov-23
Project C & D	$230.3	**Oct-11**	**May-14**	**Nov-14**	**Dec-17**	**Jun-18**	**Nov-18**	**Mar-19**	**Dec-24**
I-5, Alicia Parkway to El Toro Road	$133.6	Sep-11	Jun-14	Mar-15	Jun-18	Dec-18	Jan-19	May-19	Oct-24
Project C	$227.3	**Oct-11**	**May-14**	**Mar-15**	**May-19**	**Apr-20**	**May-20**	**Sep-20**	Jun-25
I-5, SR-73 to El Toro Road (Landscape)	TBD	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project C	$12.4	N/A	N/A	**Mar-23**	**Oct-24**	Jan-25	Feb-25	Apr-25	Nov-26
I-5, I-5/El Toro Road Interchange	TBD	Apr-17	Apr-26	TBD	TBD	TBD	TBD	TBD	TBD
Project D	TBD	**Apr-17**	Feb-27	TBD	TBD	TBD	TBD	TBD	TBD
I-5, I-405 to Yale Avenue	$280.6	May-14	Aug-18	Oct-21	May-24	May-25	Dec-25	Feb-26	Sep-29
Project B	$388.1	**May-14**	**Jan-20**	**Oct-21**	**Nov-24**	May-25	Jul-25	Nov-25	Jun-29
I-5, Yale Avenue to SR-55	$238.3	May-14	Aug-18	May-21	Feb-25	Aug-25	Nov-25	Mar-26	Sep-29
Project B	$327.9	**May-14**	**Jan-20**	**May-21**	**Aug-24**	Mar-25	Jul-25	Oct-25	Sep-29
I-5, SR-55 to SR-57	$38.1	Jul-11	Jun-13	Jun-15	Mar-17	Jul-17	Sep-17	Dec-17	Apr-21
Project A	$38.9	**Jun-11**	**Apr-15**	**Jun-15**	**Jun-17**	**Dec-17**	**Mar-18**	**Nov-18**	**Jan-21**

Capital Action Plan

Status Through December 2024

Updated: January 13, 2025

Capital Projects	Cost Baseline/Forecast (millions)	Schedule Plan/Forecast							
		Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
SR-55, I-405 to I-5	$410.9	Feb-11	Nov-13	Sep-17	Apr-20	Dec-20	Apr-21	May-22	Feb-27
Project F	$505.7	**May-11**	**Aug-17**	**Sep-17**	**Apr-20**	**Sep-21**	**Dec-21**	**May-22**	Feb-27
SR-55, I-5 to SR-91	$131.3	Dec-16	Jan-20	Aug-22	Jul-25	Dec-25	Apr-26	Jul-26	Oct-29
Project F	$202.1	**Dec-16**	**Mar-20**	**Aug-22**	Dec-25	Sep-26	Jan-27	Apr-27	Jul-30
SR-57 Northbound (NB), Orangewood Avenue to Katella Avenue	$71.8	Apr-16	Dec-18	Mar-22	Jul-24	Feb-25	Jul-25	Nov-25	Jun-28
Project G	$135.4	**Apr-16**	**Mar-19**	**Mar-22**	**Aug-24**	Feb-25	Jul-25	Nov-25	Jun-28
SR-57 (NB), Katella Avenue to Lincoln Avenue	$78.7	Apr-08	Jul-09	Jul-08	Nov-10	Mar-11	May-11	Aug-11	Sep-14
Project G	$38.0	**Apr-08**	**Nov-09**	**Aug-08**	**Dec-10**	**Apr-11**	**Jul-11**	**Oct-11**	**Apr-15**
SR-57 (NB), Katella Avenue to Lincoln Avenue (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project G	N/A	N/A	N/A	**May-09**	**Jul-10**	**Jun-17**	**Jul-17**	**Sep-17**	**Jun-18**
SR-57 (NB), Orangethorpe Avenue to Yorba Linda Boulevard	$80.2	Aug-05	Dec-07	Feb-08	Dec-09	Apr-10	Jun-10	Oct-10	May-14
Project G	$52.3	**Aug-05**	**Dec-07**	**Feb-08**	**Jul-09**	**Dec-09**	**May-10**	**Oct-10**	**Nov-14**
SR-57 (NB), Yorba Linda Boulevard to Lambert Road	$79.3	Aug-05	Dec-07	Feb-08	Dec-09	Apr-10	Jun-10	Oct-10	Sep-14
Project G	$54.1	**Aug-05**	**Dec-07**	**Feb-08**	**Jul-09**	**Mar-10**	**May-10**	**Oct-10**	**May-14**
SR-57 (NB), Orangethorpe Avenue to Lambert Road (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project G	N/A	N/A	N/A	**Oct-14**	**Aug-17**	**Dec-17**	**Jan-18**	**Feb-18**	**Apr-19**
SR-57 (NB), Lambert Road to Tonner Canyon	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Project G	TBD	Jul-26	Mar-29	TBD	TBD	TBD	TBD	TBD	TBD
SR-91 Westbound (WB), I-5 to SR-57	$78.1	Jul-07	Apr-10	Oct-09	Feb-12	Jul-12	Aug-12	Nov-12	Apr-16
Project H	$59.2	**Jul-07**	**Jun-10**	**Mar-10**	**Apr-12**	**Aug-12**	**Oct-12**	**Jan-13**	**Jun-16**
SR-91 Westbound (WB), I-5 to SR-57 (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project H	N/A	N/A	N/A	**Nov-14**	**Aug-16**	**Dec-16**	**Feb-17**	**Mar-17**	**Nov-17**
SR-91, SR-55 to Lakeview Avenue (Segment 1)	$108.6	Jan-15	Oct-18	Mar-20	Jan-23	Aug-23	Oct-23	Feb-24	Sep-27
Project I	$140.7	**Jan-15**	**Jun-20**	**Mar-20**	**Mar-23**	**May-24**	**Jun-24**	Jan-25	Oct-28
SR-91, La Palma Avenue to SR-55 (Segment 2)	$208.4	Jan-15	Oct-18	Jun-20	Jul-23	Feb-24	Mar-24	Jul-24	Mar-28
Project I	$380.7	**Jan-15**	**Jun-20**	**Jun-20**	Jan-25	Sep-25	Dec-25	Mar-26	Jul-30
SR-91, Acacia Street to La Palma Ave (Segment 3)	$147.7	Jan-15	Oct-18	Nov-20	Apr-24	Nov-24	Jan-25	Apr-25	Sep-28
Project I	$257.5	**Jan-15**	**Jun-20**	**Nov-20**	**Oct-24**	May-25	Sep-25	Dec-25	Jun-29
SR-91 (WB), Tustin Avenue Interchange to SR-55	$49.9	Jul-08	Jul-11	Jul-11	Mar-13	Jul-13	Aug-13	Oct-13	Jul-16
Project I	$42.5	**Jul-08**	**May-11**	**Jun-11**	**Feb-13**	**Apr-13**	**Jun-13**	**Oct-13**	**Jul-16**

Capital Action Plan

Status Through December 2024

Updated: January 13, 2025

Capital Projects	Cost Baseline/Forecast (millions)	Schedule Plan/Forecast: Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
SR-91, SR-55 to SR-241	$128.4	Jul-07	Jul-09	Jun-09	Jan-11	Apr-11	Jun-11	Sep-11	Dec-12
Project J	$79.7	**Jul-07**	**Apr-09**	**Apr-09**	**Aug-10**	**Dec-10**	**Feb-11**	**May-11**	**Mar-13**
SR-91, SR-55 to SR-241 (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project J	N/A	N/A	N/A	**May-12**	**Feb-13**	**Apr-13**	**Jul-13**	**Oct-13**	**Feb-15**
SR-91 Eastbound (EB), SR-241 to SR-71	$104.5	Mar-05	Dec-07	Jul-07	Dec-08	Mar-09	May-09	Jul-09	Nov-10
Project J	$57.8	**Mar-05**	**Dec-07**	**Jul-07**	**Dec-08**	**May-09**	**Jun-09**	**Aug-09**	**Jan-11**
SR-91 EB Corridor Operations Project (SR-241 to SR-71)	TBD	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project J	TBD	**Jun-23**	Aug-25	TBD	TBD	TBD	TBD	TBD	TBD
91 Express Lanes to SR-241 Toll Connector	TBD	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	TBD	**Nov-13**	**Jan-20**	**Jun-16**	Apr-25	May-25	Jul-25	Sep-25	Dec-28
I-405, I-5 to SR-55	TBD	Dec-14	Jul-18	TBD	TBD	TBD	TBD	TBD	TBD
Project L	TBD	**Dec-14**	**Aug-18**	TBD	TBD	TBD	TBD	TBD	TBD
I-405, SR-55 to I-605 (Design-Build)	$2,160.0	Mar-09	Mar-13	Mar-14	Nov-15	Feb-16	Mar-16	Nov-16	Feb-24
Project K	$2,160.0	**Mar-09**	**May-15**	**Mar-14**	**Nov-15**	**Feb-16**	**Mar-16**	**Nov-16**	**Feb-24**
I-405/SR-22 HOV Connector	$195.9	N/A	N/A	Sep-07	Sep-09	Mar-10	May-10	Aug-10	Aug-14
	$120.8	N/A	N/A	**Sep-07**	**Jun-09**	**Sep-09**	**Feb-10**	**Jun-10**	**Mar-15**
I-405/I-605 HOV Connector	$260.4	N/A	N/A	Sep-07	Sep-09	Mar-10	May-10	Oct-10	Jan-15
	$172.6	N/A	N/A	**Sep-07**	**Sep-09**	**Feb-10**	**May-10**	**Oct-10**	**Mar-15**
I-605, I-605/Katella Avenue Interchange	$29.0	Aug-16	Nov-18	Dec-20	Mar-23	Jul-23	Nov-23	Feb-24	Nov-25
Project M	$53.0	**Aug-16**	**Oct-18**	**Dec-20**	**Jan-23**	**Oct-24**	**Nov-24**	Mar-25	Jan-27
Grade Separation Projects:									
Sand Canyon Avenue Railroad Grade Separation	$55.6	N/A	Sep-03	Jan-04	Jul-10	Jul-10	Oct-10	Feb-11	May-14
Project R	$61.9	N/A	**Sep-03**	**Jan-04**	**Jul-10**	**Jul-10**	**Oct-10**	**Feb-11**	**Jan-16**
Raymond Avenue Railroad Grade Separation	$77.2	Feb-09	Nov-09	Mar-10	Aug-12	Nov-12	Feb-13	May-13	Aug-18
Project O	$126.2	**Feb-09**	**Nov-09**	**Mar-10**	**Dec-12**	**Jul-13**	**Oct-13**	**Feb-14**	**May-18**
State College Boulevard Railroad Grade Separation (Fullerton)	$73.6	Dec-08	Jan-11	Jul-06	Aug-12	Nov-12	Feb-13	May-13	May-18
Project O	$99.6	**Dec-08**	**Apr-11**	**Jul-06**	**Feb-13**	**May-13**	**Sep-13**	**Feb-14**	**Mar-18**
Placentia Avenue Railroad Grade Separation	$78.2	Jan-01	May-01	Jan-09	Mar-10	May-10	Mar-11	Jun-11	Nov-14
Project O	$64.5	**Jan-01**	**May-01**	**Jan-09**	**Jun-10**	**Jan-11**	**Mar-11**	**Jul-11**	**Dec-14**

Capital Action Plan

Status Through December 2024

Updated: January 13, 2025

Capital Projects	Cost Baseline/Forecast (millions)	Schedule Plan/Forecast: Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
Kraemer Boulevard Railroad Grade Separation	$70.4	Jan-01	Sep-09	Jan-09	Jul-10	Jul-10	Apr-11	Aug-11	Oct-14
Project O	$63.8	**Jan-01**	**Sep-09**	**Feb-09**	**Jul-10**	**Jan-11**	**Jun-11**	**Sep-11**	**Dec-14**
Orangethorpe Avenue Railroad Grade Separation	$117.4	Jan-01	Sep-09	Feb-09	Dec-11	Dec-11	Feb-12	May-12	Sep-16
Project O	$105.9	**Jan-01**	**Sep-09**	**Feb-09**	**Oct-11**	**Apr-12**	**Sep-12**	**Jan-13**	**Oct-16**
Tustin Avenue/Rose Drive Railroad Grade Separation	$103.0	Jan-01	Sep-09	Feb-09	Dec-11	Mar-12	May-12	Aug-12	May-16
Project O	$96.6	**Jan-01**	**Sep-09**	**Feb-09**	**Jul-11**	**Jun-12**	**Oct-12**	**Feb-13**	**Oct-16**
Lakeview Avenue Railroad Grade Separation	$70.2	Jan-01	Sep-09	Feb-09	Oct-11	Oct-12	Feb-13	May-13	Mar-17
Project O	$110.7	**Jan-01**	**Sep-09**	**Feb-09**	**Jan-13**	**Apr-13**	**Sep-13**	**Nov-13**	**Jun-17**
17th Street Railroad Grade Separation	TBD	Oct-14	Jun-16	TBD	TBD	TBD	TBD	TBD	TBD
Project R	TBD	**Oct-14**	**Nov-17**	TBD	TBD	TBD	TBD	TBD	TBD
Transit Projects:									
Rail-Highway Grade Crossing Safety Enhancement	$94.4	Jan-08	Oct-08	Jan-08	Sep-08	Sep-08	Sep-08	Aug-09	Dec-11
Project R	$90.4	**Jan-08**	**Oct-08**	**Jan-08**	**Sep-08**	**Sep-08**	**Sep-08**	**Aug-09**	**Dec-11**
San Clemente Beach Trail Safety Enhancements	$6.0	Sep-10	Jul-11	Feb-12	Apr-12	Apr-12	Jul-12	Oct-12	Jan-14
Project R	$5.0	**Sep-10**	**Jul-11**	**Feb-12**	**Jun-12**	**Jun-12**	**Oct-12**	**May-13**	**Mar-14**
Emergency Track Stabilization at Mile Post 206.8	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project R	$23.3	N/A	N/A	N/A	N/A	N/A	**Sep-22**	**Oct-22**	**Aug-23**
San Juan Capistrano Passing Siding	$25.3	Aug-11	Jan-13	Mar-15	May-16	May-16	Aug-16	Dec-16	Feb-21
	$33.2	**Aug-11**	**Mar-14**	**Mar-15**	**Aug-18**	**Aug-18**	**Aug-18**	**Mar-19**	**Nov-20**
OC Streetcar	$595.8	Aug-09	Mar-12	Feb-16	Sep-17	Oct-17	Dec-17	Aug-18	Aug-25
Project S	$595.8	**Aug-09**	**Mar-15**	**Feb-16**	**Nov-17**	**Dec-17**	**Dec-17**	**Sep-18**	Aug-25
Transit Security and Operation Center	N/A	Jun-17	Jun-20	Jun-20	Oct-23	Nov-23	Jan-24	Sep-24	Sep-26
	$77.8	**Jun-17**	**Jun-20**	**Jun-20**	**Mar-24**	**Mar-24**	**Mar-24**	**Sep-24**	Mar-27
Placentia Metrolink Station and Parking Structure	$34.8	Jan-03	May-07	Oct-08	Jan-11	TBD	TBD	TBD	TBD
Project R	$40.1	**Jan-03**	**May-07**	**Oct-08**	**Feb-11**	TBD	TBD	TBD	TBD
Orange County Maintenance Facility - ON HOLD	TBD	Apr-20	Apr-22	TBD	TBD	TBD	TBD	TBD	TBD
Project R	TBD	**Apr-20**	**Nov-23**	TBD	TBD	TBD	TBD	TBD	TBD
Irvine Station Improvements - ON HOLD	TBD	Jan-22	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Project R	TBD	**Jan-22**	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Anaheim Canyon Station	$27.9	Jan-16	Dec-16	Mar-19	May-19	May-19	Jul-19	Nov-19	Jan-23
	$34.2	**Jan-16**	**Jun-17**	**Mar-18**	**Oct-20**	**Oct-20**	**Oct-20**	**Mar-21**	**Jan-23**

Capital Action Plan

Status Through December 2024

Updated: January 13, 2025

Capital Projects	Cost Baseline/Forecast	Schedule Plan/Forecast							
	(millions)	Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
Orange Station Parking Expansion	$33.2	Dec-09	Dec-12	Nov-10	Apr-13	Jul-16	Jul-16	Nov-16	Feb-19
	$30.9	**Dec-09**	**May-16**	**Nov-10**	**Apr-16**	**Jul-16**	**Jul-16**	**Jun-17**	**Feb-19**
Fullerton Transportation Center - Elevator Upgrades	$3.5	N/A	N/A	Jan-12	Dec-13	Dec-13	Jun-14	Sep-14	Mar-17
	$4.2	N/A	N/A	**Jan-12**	**Dec-13**	**Dec-13**	**Aug-14**	**Apr-15**	**May-19**
Anaheim Regional Transportation Intermodal Center	$227.4	Apr-09	Feb-11	Jun-09	Feb-12	Feb-12	May-12	Jul-12	Nov-14
Project R & T	$232.2	**Apr-09**	**Feb-12**	**Jun-09**	**May-12**	**May-12**	**May-12**	**Sep-12**	**Dec-14**

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

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

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

Acronyms

I-5 - Santa Ana Freeway (Interstate 5)
SR-73 - San Joaquin Freeway (State Route 73)
I-405 - San Diego Freeway (Interstate 405)
SR-55 - Costa Mesa Freeway (State Route 55)
SR-57 - Orange Freeway (State Route 57)
SR-91 - Riverside Freeway (State Route 91)
SR-241 - Foothill/Eastern Transportation Corridor (State Route 241)
SR-71 - Corona Freeway (State Route 71)
I-605 - San Gabriel River Freeway (Interstate 605)
SR-22 - Garden Grove Freeway (State Route 22)
HOV - high-occupancy vehicle

ATTACHMENT B

Capital Programs Division
Fiscal Year 2024-25 Performance Metrics Through December 2024

Begin Environmental

Project Description	FY 25 Qtr 1 Fcst	FY 25 Qtr 1 Actual	FY 25 Qtr 2 Fcst	FY 25 Qtr 2 Actual	FY 25 Qtr 3 Fcst	FY 25 Qtr 3 Actual	FY 25 Qtr 4 Fcst	FY 25 Qtr 4 Actual	FY 25 Fcst
No "Begin Environmental" milestones scheduled for FY 2024-25									
Total Forecast/Actual	0	0	0	0	0	0	0	0	0

Complete Environmental

Project Description	FY 25 Qtr 1 Fcst	FY 25 Qtr 1 Actual	FY 25 Qtr 2 Fcst	FY 25 Qtr 2 Actual	FY 25 Qtr 3 Fcst	FY 25 Qtr 3 Actual	FY 25 Qtr 4 Fcst	FY 25 Qtr 4 Actual	FY 25 Fcst
SR-91 Eeastbound Corridor Operations Project (SR-241 to SR-71)							X		
Total Forecast/Actual	0	0	0	0	0	0	1	0	1

Begin Design

Project Description	FY 25 Qtr 1 Fcst	FY 25 Qtr 1 Actual	FY 25 Qtr 2 Fcst	FY 25 Qtr 2 Actual	FY 25 Qtr 3 Fcst	FY 25 Qtr 3 Actual	FY 25 Qtr 4 Fcst	FY 25 Qtr 4 Actual	FY 25 Fcst
No "Begin Design" milestones scheduled for FY 2024-25									
Total Forecast/Actual	0	0	0	0	0	0	0	0	0

Complete Design

Project Description	FY 25 Qtr 1 Fcst	FY 25 Qtr 1 Actual	FY 25 Qtr 2 Fcst	FY 25 Qtr 2 Actual	FY 25 Qtr 3 Fcst	FY 25 Qtr 3 Actual	FY 25 Qtr 4 Fcst	FY 25 Qtr 4 Actual	FY 25 Fcst
SR-57 NB, Orangewood Avenue to Katella Avenue	X	✔							
I-5, Yale Avenue to SR-55	X	✔							
SR-91, Acacia Street to La Palma Avenue (Segment 3)			X	✔					
I-5, I-405 to Yale Avenue			X	✔					
I-5, SR-73 to El Toro Road (Landscape)				✔	X				
SR-91, La Palma Avenue to SR-55 (Segment 2)					X				
91 Express Lanes to SR-241 Toll Connector					X				
Total Forecast/Actual	2	2	2	3	3	0	0	0	7

Construction Ready

Project Description	FY 25 Qtr 1 Fcst	FY 25 Qtr 1 Actual	FY 25 Qtr 2 Fcst	FY 25 Qtr 2 Actual	FY 25 Qtr 3 Fcst	FY 25 Qtr 3 Actual	FY 25 Qtr 4 Fcst	FY 25 Qtr 4 Actual	FY 25 Fcst
I-605, I-605/Katella Avenue Interchange	X			✔					
SR-57 NB, Orangewood Avenue to Katella Avenue					X				
I-5, Yale Avenue to SR-55					X				
I-5, I-405 to Yale Avenue							X		
SR-91, Acacia Street to La Palma Avenue (Segment 3)							X		
91 Express Lanes to SR-241 Toll Connector							X		
I-5, SR-73 to El Toro Road (Landscape)							X		
Total Forecast/Actual	1	0	0	1	2	0	4	0	7

Capital Programs Division
Fiscal Year 2024-25 Performance Metrics Through December 2024

Advertise Construction

Project Description	FY 25 Qtr 1 Fcst	FY 25 Qtr 1 Actual	FY 25 Qtr 2 Fcst	FY 25 Qtr 2 Actual	FY 25 Qtr 3 Fcst	FY 25 Qtr 3 Actual	FY 25 Qtr 4 Fcst	FY 25 Qtr 4 Actual	FY 25 Fcst
I-605, I-605/Katella Avenue Interchange			X	✔					
Total Forecast/Actual	0	0	1	1	0	0	0	0	1

Award Contract

Project Description	FY 25 Qtr 1 Fcst	FY 25 Qtr 1 Actual	FY 25 Qtr 2 Fcst	FY 25 Qtr 2 Actual	FY 25 Qtr 3 Fcst	FY 25 Qtr 3 Actual	FY 25 Qtr 4 Fcst	FY 25 Qtr 4 Actual	FY 25 Fcst
Transit Security and Operations Center	X	✔							
SR-91, SR-55 to Lakeview Avenue (Segment 1)			X						
I-605, I-605/Katella Avenue Interchange					X				
Total Forecast/Actual	1	1	1	0	1	0	0	0	3

Complete Construction

Project Description	FY 25 Qtr 1 Fcst	FY 25 Qtr 1 Actual	FY 25 Qtr 2 Fcst	FY 25 Qtr 2 Actual	FY 25 Qtr 3 Fcst	FY 25 Qtr 3 Actual	FY 25 Qtr 4 Fcst	FY 25 Qtr 4 Actual	FY 25 Fcst
I-5, Oso Parkway to Alicia Parkway			X	✔					
I-5, SR-73 to Oso Parkway					X				
I-5, Alicia Parkway to El Toro Road					X				
Total Forecast/Actual	0	0	1	1	2	0	0	0	3

Totals	4	3	5	6	8	0	5	0	22

Begin Environmental: The date work on the environmental clearance, project report, or preliminary engineering phase begins.
Complete Environmental: The date environmental clearance and project approval is achieved.
Begin Design: The date final design work begins or the date when a design-build contract begins.
Complete Design: The date final design work is 100 percent complete and approved.
Construction Ready: The date contract bid documents are ready for advertisement, right-of-way certified, all agreements executed, and contract constraints are cleared.
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SR-55 - Costa Mesa Freeway (State Route 55)
I-405 - San Diego Freeway (Interstate 405)
SR-73 - Corona Del Mar Freeway (State Route 73)
I-605 - San Gabriel River Freeway (Interstate 605)

X = milestone forecast in quarter
✔ = milestone accomplished in quarter

COMMITTEE TRANSMITTAL

February 10, 2025

To: Members of the Board of Directors

From: Andrea West, Clerk of the Board

Subject: Measure M2 Annual Eligibility Review

Regional Transportation Planning Committee Meeting of February 3, 2025

Present: Directors Carroll, Dumitru, Federico, Foley, Harper, Klopfenstein, and Stephens
Absent: None

Committee Vote

This item was passed by the Members present.

Director Foley was not present to vote on this item.

Committee Recommendation(s)

A. Approve 33 of Orange County's 35 local jurisdictions (excluding the City of Buena Park and the City of Orange) as eligible to continue receiving Measure M2 net revenues.

B. Receive and file the Measure M2 eligibility verification documents submitted by the City of Buena Park and the City of Orange.

February 3, 2025

To: Regional Transportation Planning Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Measure M2 Annual Eligibility Review

Overview

The Measure M2 Ordinance No. 3 requires that all local jurisdictions annually satisfy specific eligibility requirements to receive Measure M2 net revenues. The required documentation for the review period ending June 28, 2024, was received and reviewed by Orange County Transportation Authority staff. Board of Directors' approval is requested to find 33 of Orange County's 35 local jurisdictions (excluding the City of Buena Park and the City of Orange) as eligible to continue receiving Measure M2 net revenues.

Recommendations

A. Approve 33 of Orange County's 35 local jurisdictions (excluding the City of Buena Park and the City of Orange) as eligible to continue receiving Measure M2 net revenues.

B. Receive and file the Measure M2 eligibility verification documents submitted by the City of Buena Park and the City of Orange.

Background

Local jurisdictions must meet Measure M2 (M2) eligibility requirements required by the M2 Ordinance No. 3 (M2 Ordinance) and submit eligibility verification packages to the Orange County Transportation Authority (OCTA) annually to remain eligible to receive M2 net revenues. There are 13 eligibility requirements that local jurisdictions must satisfy to remain eligible; however, not all 13 eligibility components require verification during each eligibility cycle. For reference, a summary of M2 eligibility requirements and their respective due dates are provided in Attachment A.

While OCTA staff reviews and affirms all M2 eligibility components, the M2 Ordinance requires the Taxpayer Oversight Committee (TOC) to review a subset

of these components. These include the Congestion Management Plan (CMP), Mitigation Fee Program, Local Signal Synchronization Plan, Pavement Management Plan (PMP), and Expenditure Report.

Generally, local jurisdictions must submit the required documentation annually on or before June 30. These submittals are reviewed by staff and the TOC each year. Expenditure reports are then due annually on December 31, six months after the close of the fiscal year, and are reviewed the following spring. This item addresses the submittals that were due on June 28, 2024 (normally June 30 of each year but fell on a Sunday in 2024), excluding the PMPs. The PMP and expenditure reports will be reviewed by the TOC in the spring and then staff will return to the OCTA Board of Directors (Board) for continued eligibility consideration in late spring/early summer.

Discussion

All 35 local jurisdictions submitted the required M2 eligibility verification documents prior to OCTA's June 28, 2024, deadline. OCTA staff reviewed all local jurisdictions' eligibility verification documents to ensure completion, accuracy, and consistency with M2 Ordinance requirements. The eligibility requirements received by OCTA staff included the:

- Capital Improvement Program,
- Maintenance of effort,
- No supplanting of developer funds,
- Timely submittal of project final reports,
- Timely use of net revenues,
- Participation in the traffic forum,
- M2 expenditure reports,
- PMPs, and
- Land-use planning strategies.

The TOC-designated Annual Eligibility Review Subcommittee will convene in the spring to review the PMPs[1] and M2 expenditure reports. All other material has been reviewed and deemed to be in conformance with the M2 requirements.

Based on staff review, OCTA staff recommends that 33 of Orange County's 35 local jurisdictions, excluding the City of Buena Park and the City of Orange, be found eligible to continue receiving M2 net revenues. A summary of the findings for the nine M2 eligibility components that were due for this cycle is provided in Attachment B.

[1] For this eligibility review cycle, PMPs were required from 21 local jurisdictions. The remaining 14 local jurisdictions' PMPs will be submitted and reviewed during the next eligibility review cycle.

The City of Buena Park and the City of Orange submitted the required documentation to satisfy M2 eligibility submittal requirements this cycle; however, these cities are currently ineligible to receive M2 net revenues due to a previous and separate Board action. The separate Board action took place on May 28, 2024, and included interagency agreements outlining how the cities can fulfill their eligibility requirements and resume receiving M2 net revenues.

Although the M2 eligibility verification documents submitted by the cities of Buena Park and Orange fulfill the respective requirements, staff is not recommending that this review will modify their existing M2 ineligible status. Staff is continuing to working with both cities to review their respective expenditure reports and the supporting independent reviews. This will be followed by an expedited independent review by the OCTA internal auditor consistent with the terms of the interagency agreements. Pending a satisfactory outcome, the City of Orange could be recommended for eligibility to receive M2 net revenues, and release of the withheld funds could occur by mid-year. Pending a satisfactory outcome, the City of Buena Park would satisfy the first year of a required five-year ineligibility period as specified in the M2 Ordinance.

Summary

All local jurisdictions submitted the nine required M2 eligibility documentation due at this time. Staff has reviewed seven of the documents and the TOC will review the PMP and expenditure report submittals in the spring. Based on the reviews, staff deems all the documentation to be in conformance with the M2 requirements. Given this review, Board approval is requested to find the 33 currently eligible local jurisdictions eligible to continue receiving M2 net revenues. Additionally, a receive and file action of the submitted M2 eligibility verification documents is requested for the two currently ineligible local jurisdictions.

Attachments

A. Measure M2 Eligibility Requirements and Submittal Schedule Summary, Due June 28, 2024, and December 31, 2024
B. Measure M2 Eligibility Review Summary Submittals Due in 2024

Prepared by:

Stephanie Mooney
Transportation Funding Analyst,
Local Programs
(714) 560-5312

Approved by:

Rose Casey
Executive Director, Planning
(714) 560-5729

ATTACHMENT A

Measure M2 Eligibility Requirements and Submittal Schedule Summary Due June 28, 2024[1], and December 31, 2024

Compliance Category	Frequency	Required
Capital Improvement Program	Annual (June 30)	✓
Circulation Element/Master Plan of Arterial Highways Consistency	Biennial (June 30)	
Congestion Management Program	Biennial (June 30)	
Expenditure Report	Annual (December 31)	✓
Local Signal Synchronization Plan	Every Three Years (June 30)	
Maintenance of Effort	Annual (June 30)	✓
Mitigation Fee Program (MFP)	Biennial (June 30)[1]	
No Supplanting of Developer Fees	Annual (June 30)	✓
Pavement Management Plans (PMP)	Biennial (June 30)[2]	✓
Timely Submittal of Project Final Reports	Within Six Months of Project Completion	✓
Timely Use of Net Revenues	Annual (June 30)	✓
Traffic Forum Participation	Annual (June 30)	✓
Transit and Non-Motorized Transportation Land-Use Planning Strategies	Annual (June 30)	✓

1. June 30th fell on a Sunday for 2024; therefore, submittals were due on Friday, June 28, 2024.

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[1] A local jurisdiction must submit their updated program and revised fee schedule or process methodology when the local jurisdiction updates their MFP and/or nexus study.

[2] 21 local jurisdictions update their PMPs on odd-numbered fiscal years, while 14 local jurisdictions update their PMPs on even-numbered fiscal years.

ATTACHMENT B

Measure M2 Eligibility Review Summary
Submittals Due in 2024

Local Jurisdiction	Capital Improvement Program	Expenditure Reports[1]	Land-Use Planning Strategies	Maintenance of Effort	No Supplanting of Developer Fees	Pavement Management Plan [1,2]	Timely Submittal of Final Reports	Timely Use of Net Revenues	Traffic Forum
Aliso Viejo	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Anaheim	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	N/A	Satisfactory	Satisfactory	✓
Brea	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	N/A	Satisfactory	Satisfactory	✓
Buena Park[3]	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Costa Mesa	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
County of Orange	Satisfactory	Pending	Satisfactory	N/A[4]	Satisfactory	N/A	Satisfactory	Satisfactory	✓
Cypress	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	N/A	Satisfactory	Satisfactory	✓
Dana Point	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	N/A	Satisfactory	Satisfactory	✓
Fountain Valley	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Fullerton	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Garden Grove	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Huntington Beach	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Irvine	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	N/A	Satisfactory	Satisfactory	✓
La Habra	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	N/A	Satisfactory	Satisfactory	✓
La Palma	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Laguna Beach	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Laguna Hills	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Laguna Niguel	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Laguna Woods	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Lake Forest	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	N/A	Satisfactory	Satisfactory	✓
Los Alamitos	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	N/A	Satisfactory	Satisfactory	✓
Mission Viejo	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Newport Beach	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	N/A	Satisfactory	Satisfactory	✓
Orange[3]	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Placentia	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓

Measure M2 Eligibility Review Summary
Submittals Due in 2024

Local Jurisdiction	Capital Improvement Program	Expenditure Reports[1]	Land-Use Planning Strategies	Maintenance of Effort	No Supplanting of Developer Fees	Pavement Management Plan [1,2]	Timely Submittal of Final Reports	Timely Use of Net Revenues	Traffic Forum
Rancho Santa Margarita	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
San Clemente	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	N/A	Satisfactory	Satisfactory	✓
San Juan Capistrano	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	N/A	Satisfactory	Satisfactory	✓
Santa Ana	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Seal Beach	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Stanton	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	N/A	Satisfactory	Satisfactory	✓
Tustin	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	N/A	Satisfactory	Satisfactory	✓
Villa Park	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Westminster	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Yorba Linda	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	✓
Totals	35	-	35	34	35	21	35	35	35

[1] M2 Expenditure Reports and PMPs are under review and anticipated to be presented to the TOC in June 2025.

[2] 14 local jurisdictions update their PMPs on odd-numbered fiscal years, while 21 local jurisdictions update their PMPs on even-numbered fiscal years.

[3] The City of Buena Park and the City of Orange submitted the required documentation to satisfy M2 eligibility submittal requirements this cycle; however, they are currently ineligible to receive net M2 revenues due to a previous and separate Board action. Staff is recommending the acceptance of the M2 eligibility verification documents submitted by the local agency as a receive and file action. This will not modify their existing M2 ineligible status but will be helpful in ensuring and maintaining timely M2 compliance once the Board ultimately approves to return them to an eligible status.

[4] Maintenance of effort is based on a three-year average of discretionary fund expenditures for transportation purposes prior to 1990, plus adjustments permitted by the M2 Ordinance No. 3. However, Orange County Public Works and their predecessor agencies did not and do not use discretionary funds for transportation purposes. The sources of their transportation funds have been various restricted or partially restricted funds (e.g., HUTA, federal grants, assessment districts, developer impact fees, community facilities districts, Subdivision Map Act Highway, and bridge fees etc.). It should be noted that about 40 percent of the HUTA revenues that come to Orange County local jurisdictions go to the County.

Acronyms:

Board - Board of Directors
County - County of Orange
HUTA - Highway Users Tax Account
M2 - Measure M2
MPAH - Master Plan of Arterial Highways
N/A - Not applicable
PMP - Pavement Management Plan
TOC - Taxpayer Oversight Committee

COMMITTEE TRANSMITTAL

February 10, 2025

To: Members of the Board of Directors

From: Andrea West, Clerk of the Board

Subject: Coastal Rail Resiliency Study Update

Regional Transportation Planning Committee Meeting of February 3, 2025

Present: Directors Carroll, Dumitru, Federico, Foley, Harper, Klopfenstein, and Stephens
Absent: None

Committee Vote

This item was passed by the Members present.

Committee Recommendation(s)

Direct staff to continue collaborating with key stakeholders to refine the range of feasible concepts and actively engage the public to solicit input on these concepts.

OCTA

February 3, 2025

To: Regional Transportation Planning Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Coastal Rail Resiliency Study Update

Overview

In response to emergency remedial actions that resulted in a nearly yearlong closure of the coastal rail line in south Orange County, Orange County Transportation Authority initiated the Coastal Rail Resiliency Study in fall 2023, focusing on both short- and mid-term solutions to protect the rail line and preserve rail operations. Through this study, staff has developed concepts that would protect the rail line in place for the foreseeable future, which is estimated to be up to 30 years. A separate study, led by the State of California, is anticipated to determine the feasibility of potentially relocating the rail line to an inland alignment. An update on the range of feasible concepts for the Coastal Rail Resiliency Study is discussed herein.

Recommendation

Direct staff to continue collaborating with key stakeholders to refine the range of feasible concepts and actively engage the public to solicit input on these concepts.

Background

The Orange County Transportation Authority (OCTA) owns the Orange Subdivision railroad right-of-way (ROW) in Orange County between the Fullerton Junction and the San Diego County Line. A map of the Orange and Olive subdivisions is provided as Attachment A. This rail corridor is part of the Los Angeles – San Diego – San Luis Obispo (LOSSAN) Rail Corridor that serves intercity and commuter passenger and freight rail service. Beginning in fall 2021, several bluff failures, landslides on the inland side, and diminishing beaches on the seaward side in the City of San Clemente have resulted in significant impacts to rail operations. This has required a series of emergency remedial projects to restore rail operations. The remedial actions have included stabilization of a landslide at Cyprus Shore which was associated with beach loss and an ancient landslide, and construction of catchment walls at Casa Romantica and Mariposa

Point to protect the tracks from privately owned bluff failure debris. These remedial actions required nearly $40 million to support immediate stabilization and continued safe and reliable rail operations. In late 2023, OCTA initiated the South Coast Rail Infrastructure Feasibility Study and Alternative Concepts Analysis (also known as the Coastal Rail Resiliency Study [Study]) along the seven-mile stretch of coastal rail line in south Orange County to assess existing and future risks, challenges, and potential solutions to protect the rail line in place.

This Study explores opportunities to protect the rail corridor for the short-term (ten years) and mid-term (30 years) between the City of Dana Point and the Orange County/San Diego County Line. An Initial Assessment Technical Memorandum identified the need for immediate protective measures for the highest at-risk areas (reinforcement areas). These at-risk areas are located within the City of San Clemente, where coastal storm surges, failing bluffs, and other factors pose an immediate threat of additional extended rail service disruptions, impacting service quality and reliability. This effort led to the advancement of four reinforcement area projects known as the Coastal Rail Stabilization Priority Project (Project), which is the subject of a separate staff report update on this agenda.

During the first half of 2024, nearly three dozen meetings were held with stakeholders, regulatory agencies, and the public to gather feedback on the Study and the reinforcement areas concepts. Input included the following:

- Suggestions for natural solutions (i.e., sand replenishment and living shoreline),
- Integrating previous studies by others,
- Consideration of the impacts of armoring on beach erosion,
- Supporting early preventative action,
- Consulting with habitat experts, and
- Maintaining reliable railroad operations.

Discussion

Following a series of stakeholder and regulatory meetings, the technical team has been working to define the purpose and need of the Study, evaluation criteria for the short- and mid-term solutions, and develop concepts that will be assessed to protect the rail line.

Natural coastal erosion, increasing storm frequency, accelerated sea level rise, and continuous bluff failures have triggered regular closures of the LOSSAN Rail Corridor in the San Clemente area. This has created unplanned rail closures resulting in unreliable service. The purpose of this Study is to provide resiliency strategies and engineering solutions for the existing railroad corridor.

These solutions include consideration of public input to improve the existing railroad corridor that can better facilitate the efficient and safe movement of passengers, freight, and support national military readiness for up to the next 30 years.

A set of draft alternative concepts have been developed to protect the rail line against bluffside erosion, the receding coastline, as well as rail line improvements to mitigate against the aforementioned challenges. Examples of bluffside concepts include various wall types, stabilization measures, and drainage improvements. Beachside example concepts include riprap placement, engineered rock revetment, and beach sand nourishment. Rail concepts include elevating the track profile, alternative materials for critical railroad assets such as signal houses, masts, and positive train control equipment, and track bed stabilization. Attachment B includes a list of all draft alternative concepts being considered including bluffside, beachside and rail-based options. The draft alternative concepts will serve as a menu of options that could be applied to various stretches along the seven-mile coastal rail line. Seven typical sections have been established representing areas along the corridor which have similar existing conditions. The draft alternative concepts being proposed as Typical Sections 1 through 7 are provided in Attachment C.

Typical Sections 1 and 2 have similar land profiles in both topography and development. These sections consist of similar characteristics which include Doheny State Beach, Capistrano Beach, as well as North Beach areas. Landward of the railroad are the bluffs, Pacific Coast Highway and, in some segments, a trail. Seaward of the railroad, there are low-impact developments (such as parking lots and single-family homes), existing patches of riprap, and the beach. In these coastal areas, bluff erosion does not pose a significant threat to the railroad, as the distance between the bluffs and railroad line is buffered by Pacific Coast Highway. Accordingly, there are no proposed bluffside concepts for Typical Sections 1 and 2. Seaward of the railroad in these sections, there is the potential for erosion, and alternative concepts focus on the addition of beach sand and available supply as well as watershed modifications. Similarly with Typical Section 3, there are no bluffs and therefore no bluffside concepts to be considered. Seaward of the railroad is existing riprap and the beach, and landward is the beach trail and parking lots. The main focus along these sections is to ensure sand is maintained along with the beachside infrastructure such as the parking lots.

In Typical Sections 4 and 5, the land profiles are fairly similar. These sections consist of similar characteristics which include portions of North Beach, San Clemente Pier, and San Clemente State Beach and south of this area. Landward of the railroad is the beach trail, the bluffside, and residential development on top of the bluffs. Seaward of the railroad are existing riprap and the beach. The main difference between Typical Sections 4 and 5 is the amount of beach area, with Typical Section 5 containing little to no beach. These two sections feature the widest range of proposed concepts, offering the most diverse

mix of potential solutions. The alternative concepts are focused on preventing debris flow, stabilizing the bluffs, and preserving and enhancing sand retention through beach sand nourishment and the development of beachside infrastructure. In addition to these efforts, railroad improvements such as track-bed stabilization and elevated railroad tracks are proposed.

For Typical Section 6, landward of the railroad are the bluffs and seaward are the trail and a wide beach. This section is along the San Clemente Pier area. Along this section, the alternative concepts focus on preventing potential landslide debris flow from the bluffs with a catchment wall. Since there is a wide beach and trail, there are no alternative concepts proposed on the seaward side. In Typical Section 7, landward of the railroad are the trail and residential development located on top of the bluffs and seaward of the railroad are existing riprap and the beach. Bluff erosion in this section is not considered a major threat to the railroad. Beach erosion is the major concern here with alternative concepts focusing on beachside infrastructure, beach sand supply, and watershed modifications. See Attachment C for a full description of the alternative concepts proposed for each Typical Section.

The draft alternative concepts were shared with the Project Development Team (PDT). The PDT is comprised of technical staff from OC Parks, California Department of Transportation, California State Parks, LOSSAN Rail Agency, and the cities of Dana Point, San Clemente, and San Juan Capistrano. The PDT reviewed the concepts and provided initial feedback on the viability of the concepts. For example, the City of San Clemente had considered Cobble Beach as part of their previous studies, and it was not carried forward for further consideration. Hence, this concept has been eliminated from further consideration. The City of San Clemente's comment letter can be found as Attachment D.

A two-day workshop comprised of subject matter experts was convened in early December 2024. The panel was presented with historical data on previous emergencies, the four Reinforcement Areas, and proposed short- and mid-term solutions. The experts provided valuable feedback, commending OCTA for its effective remediation efforts at the prior emergency sites and affirming the team's approach to addressing the immediate needs of the Reinforcement Areas. They also evaluated the proposed solutions for the seven Typical Sections, offering constructive input, additional suggestions for improvement, and guidance on navigating the regulatory permitting process.

Evaluation criteria are being developed to assess a range of concepts with the primary goal of protecting the rail line in place over the next several decades. The criteria will take into consideration nature-based solutions and balance that with the need to protect the railroad. These concepts will proceed to the project

development phases following the Study, and OCTA will continue to seek additional state and federal grants to support the next phase of the effort to protect the rail line.

Key Project Risks and Challenges

Any improvements that are being planned would be subject to the immediate risk of additional bluff failures during the project development process which could lead to immediate rail service closure and require rescoping of planned improvements underway.

As the proposed improvements progress through the project development process, some of the key challenges will include:

- Development of project preferred alternatives, which are acceptable to multiple permitting resource agencies,
- Identification and permitting of a sufficient sand replenishment source location,
- Developing and securing a timely sand transport and delivery method, and
- Coordination, approvals, and permitting required for additional revetment.

Next Steps

Upon direction from the OCTA Board of Directors (Board), the Study team will continue to engage stakeholders and the public on the proposed concepts. In-person and virtual meetings to gather input from the public are anticipated in spring 2025. The concepts are expected to be refined as part of this public vetting process. Staff will return to the Board during summer 2025 with a summary of the public input process and a refined set of concepts for further consideration. The project team will begin preparation of the draft Feasibility Study Report between mid-2025 and the early part of 2026. The final Feasibility Study Report will be completed in the mid-2026 timeframe. Following the conclusion of this short and mid-term planning Study, OCTA will begin the preliminary engineering phase for the various concepts identified through this effort. This Study will also help to determine the priority of the needed improvements. The prioritization process will drive the implementation schedule for the next wave of improvements needed to protect the rail line. Staff will continue to identify funding and project streamlining opportunities as well as working with regulatory agencies to expedite the permitting processes.

Summary

As a result of emergency remedial actions that have led to multiple closures of the coastal rail line in south Orange County, OCTA initiated a short- and mid-term Study (known as the Coastal Rail Resiliency Study). Rail line protection concepts have been developed that would protect the rail line in place for the foreseeable future, which is estimated to be up to 30 years, while a separate state-led study will be undertaken to determine the feasibility of relocating the rail line to an inland alignment. An update on the range of feasible concepts is presented herein.

Attachments

A. Orange and Olive Subdivisions Map
B. Coastal Rail Resiliency Study Draft Alternative Concepts
C. Coastal Rail Resiliency Study Typical Sections and Applicable Draft Alternative Concepts
D. Letter from Leslea Myerhoff, AICP, Coastal Administrator, City of San Clemente, to Dan Phu, OCTA, dated January 6, 2025, re: Feedback on OCTA CRRS Draft Alternative Concepts

Prepared by:

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Sustainability Planning Manager
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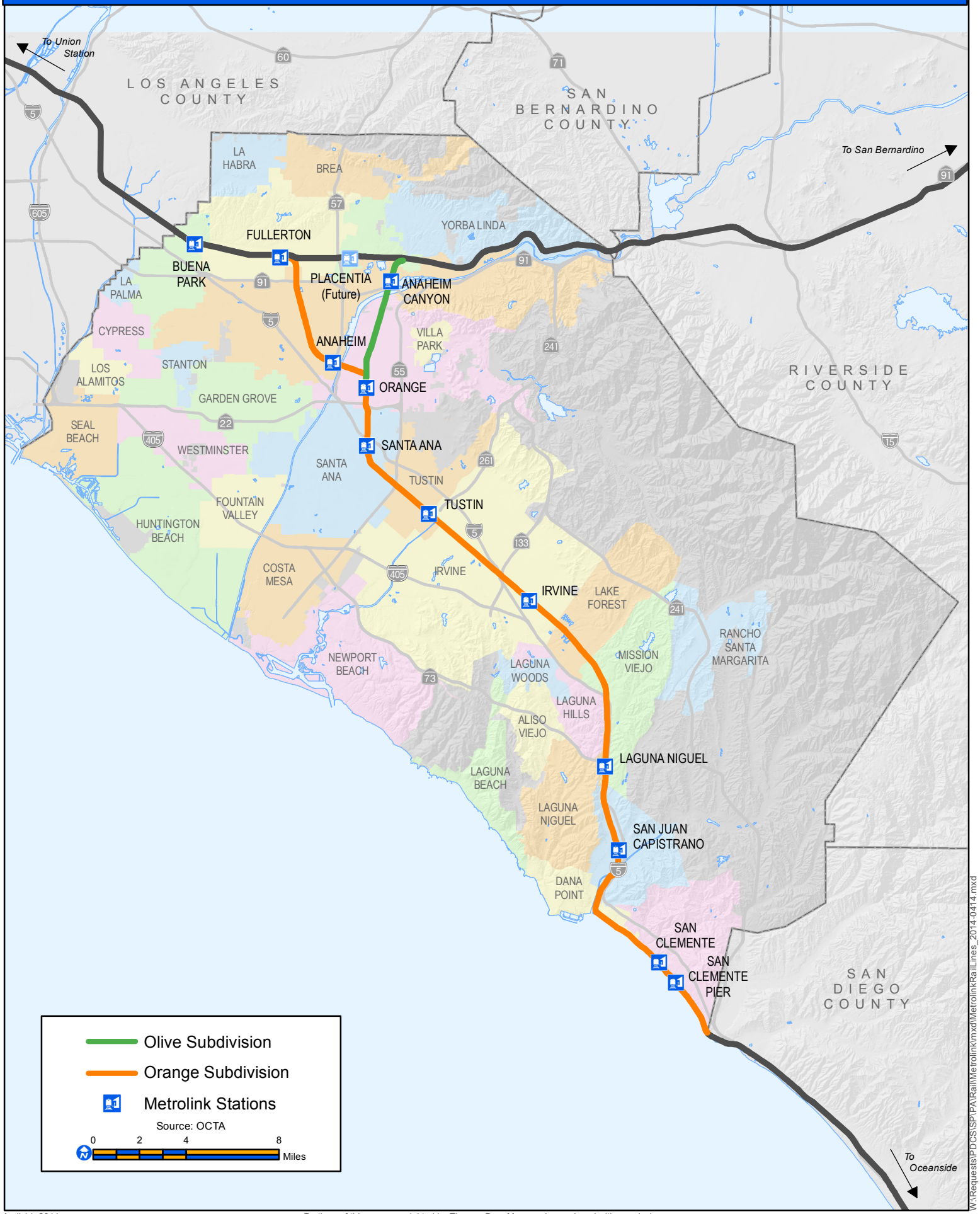
Approved by:

Rose Casey
Executive Director, Planning
(714) 560-5729

ORANGE AND OLIVE SUBDIVISIONS

ATTACHMENT A



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April 14, 2014

ATTACHMENT B

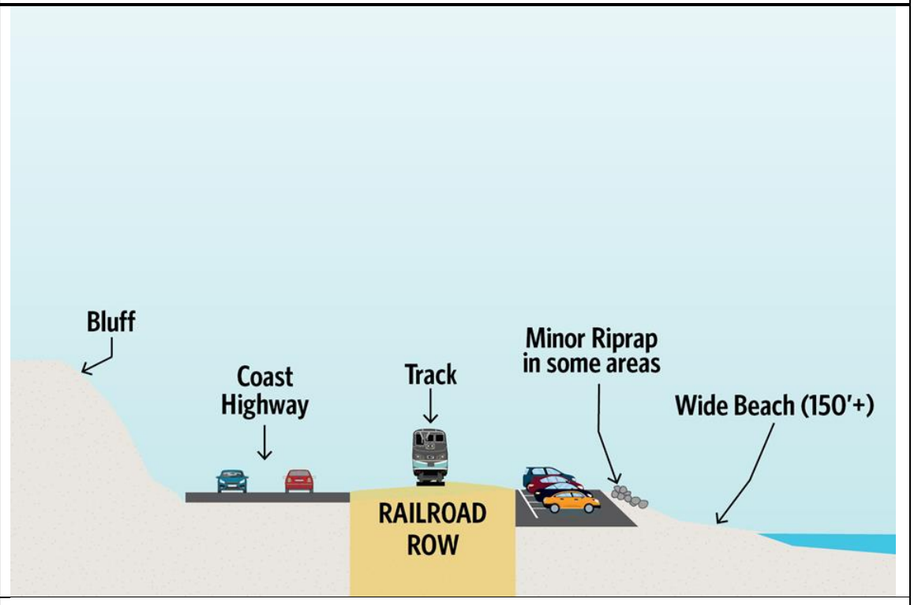
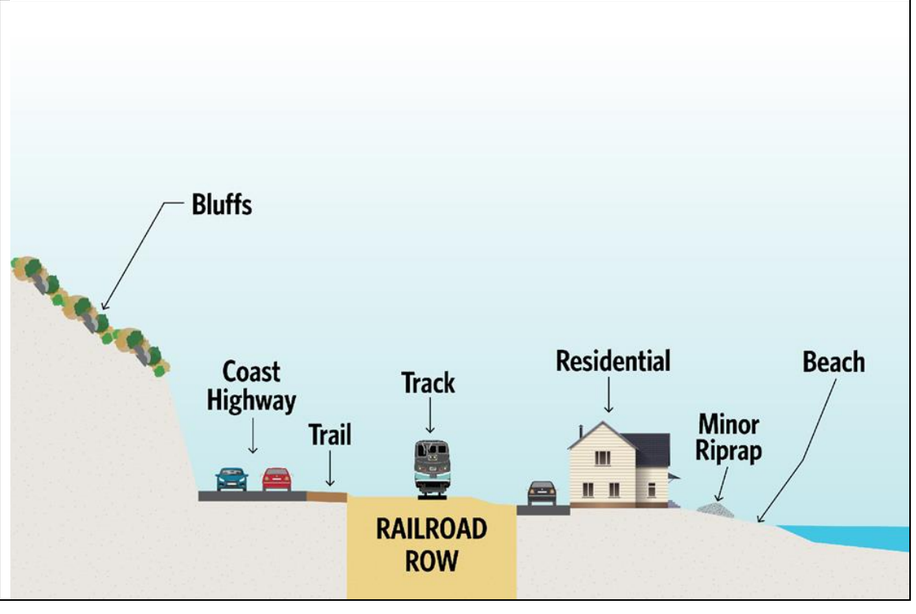
Coastal Rail Resiliency Study Draft Alternative Concepts

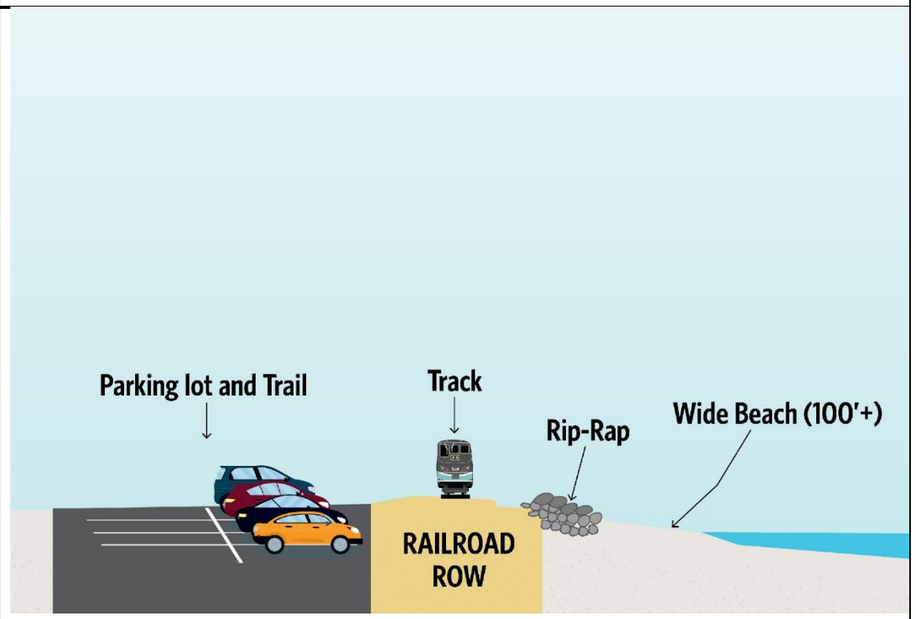
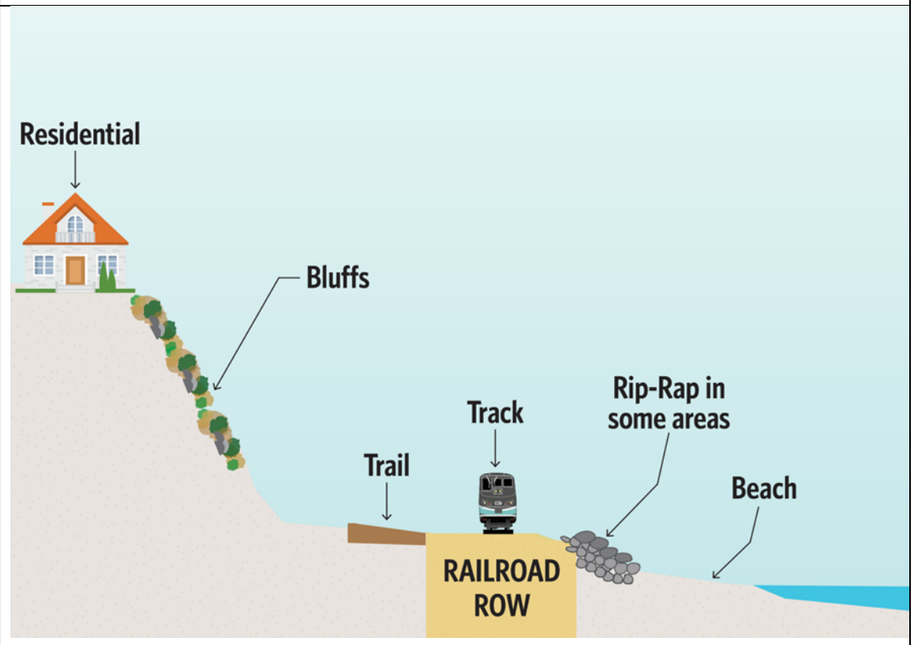
Bluffside Concepts	Beachside Concepts	Rail Concepts
1. Catchment walls (block slide debris) 2. Stabilization grading (buttress slide toe) 3. Tieback / soil nail / pin-pile walls (mitigate larger slides) 4. Ground improvement (bluff stabilization) 5. Surface matting and deep-rooted vegetation planting (reduce sediment erosion) 6. Drainage improvement via grading / detention basins / undertrack outlets 7. Deflection walls in tributaries (reduce flood and sedimentation flow rates) 8. Up-gradient cut-off drains (reduce source of water) 9. Hydraugers (lower hydraulic pressure and slide potential)	1. Riprap placement 2. Engineered rock revetment 3. Vertical seawall 4. Hybrid structural solution 5. Beach nourishment with shoreline protection structure (1-4 above) 6. Beach nourishment with sand retention measures and shoreline protection structure (1-4 above) 7. Watershed modifications to increase beach sand supply (implemented by others) 8. No railroad action - monitor regional beach nourishment activities* and participate as appropriate	1. Elevate tracks 2. Alternative materials for critical railroad infrastructure to reduce lifecycle costs 3. Ground improvement (track-bed stabilization)

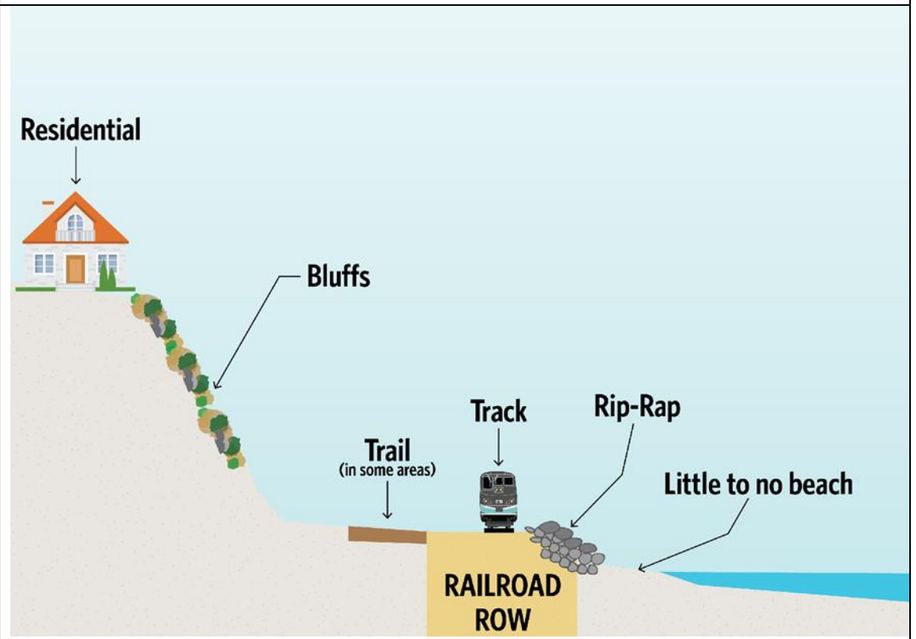
* Regional beach sand projects include the United States Army Corps of Engineers with the City of San Clemente, County of Orange, and San Diego Association of Governments Regional Beach Sand Program III.

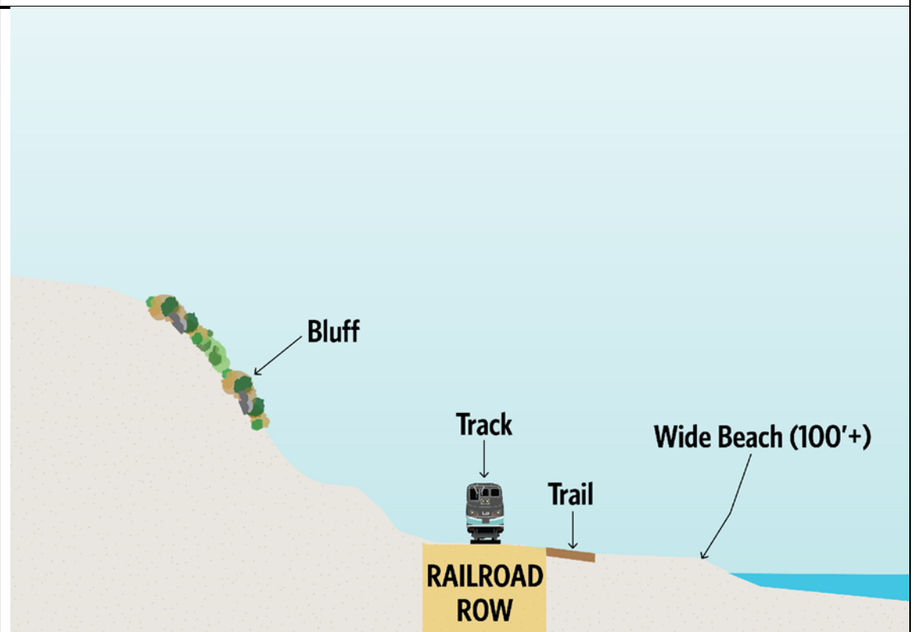
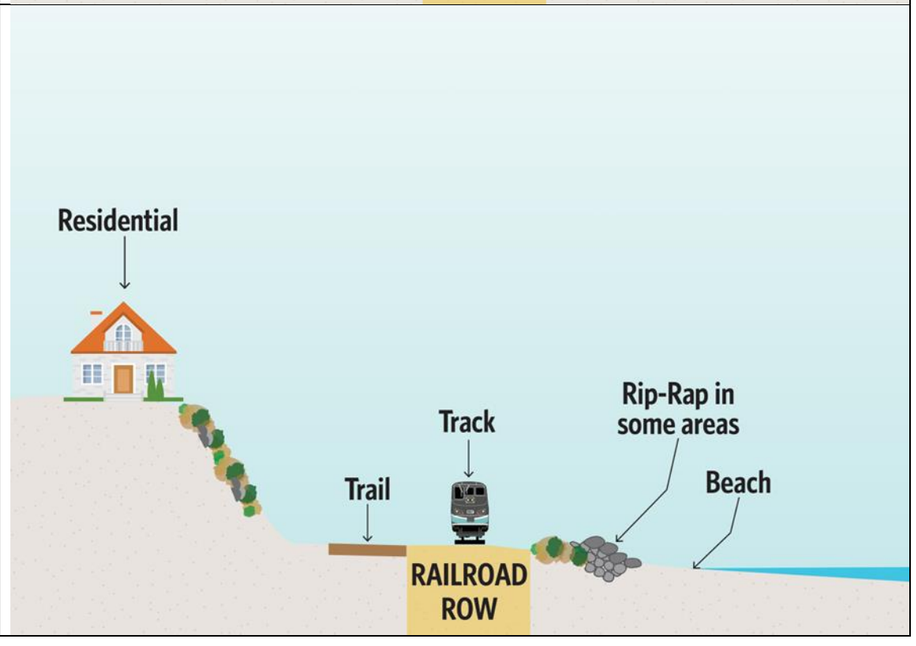
ATTACHMENT C

Coastal Rail Resiliency Study Typical Sections and Applicable Draft Alternative Concepts

Typical Section and Milepost(s) (MP)	Nearby Landmark(s)	Applicable Draft Alternative Concepts	Graphic Representation of Existing Condition
Typical Section 1 MP 200.20 – 201.20 MP 202.60 – 202.95	Doheny State Beach Capistrano Beach North Beach	Bluffside: • Not applicable Beachside: • Watershed modifications to increase beach sand supply (implemented by others) • No direct railroad action – collaborate with regional beach sand project Rail: • Alternative materials for critical railroad infrastructure to reduce lifecycle costs	
Typical Section 2 MP 201.20 – 202.60 MP 202.95 – 203.62	Between Capistrano Beach and North Beach	Bluffside: • Not applicable Beachside: • Watershed modifications to increase beach sand supply (implemented by others) • No direct railroad action – collaborate with regional beach sand project Rail: • Alternative materials for critical railroad infrastructure to reduce lifecycle costs	

Typical Section and Milepost(s) (MP)	Nearby Landmark(s)	Applicable Draft Alternative Concepts	Graphic Representation of Existing Condition
Typical Section 3 MP 203.62 – 203.72	North Beach	Bluffside: • Not applicable Beachside: • Riprap placement • Engineered rock revetment • Vertical seawall • Hybrid structural solution • Beach nourishment with shoreline protection structure • Beach nourishment with sand retention measures and shoreline protection structure • No direct railroad action – collaborate with regional beach sand project Rail: • Alternative materials for critical railroad infrastructure to reduce lifecycle costs	
Typical Section 4 MP 203.72 – 203.92 MP 204.42 – 204.54 MP 205.16 – 205.22 MP 206.02 – 206.66	North Beach Just South of San Clemente Pier San Clemente State Beach	Bluffside: • Catchment walls (block slide debris) • Stabilization grading (buttress slide toe) • Tieback / soil nail / pin-pile walls (mitigate larger slides) • Ground improvement (bluff stabilization) • Hydraugers (lower hydraulic pressure and slide potential) Beachside: • Riprap placement • Engineered rock revetment • Vertical seawall • Hybrid structural solution • Beach nourishment with shoreline protection structure • Beach nourishment with sand retention measures and shoreline protection structure • No direct railroad action – collaborate with regional beach sand project	

Typical Section and Milepost(s) (MP)	Nearby Landmark(s)	Applicable Draft Alternative Concepts	Graphic Representation of Existing Condition
		Rail: • Elevate tracks • Alternative materials for critical railroad infrastructure to reduce lifecycle costs • Ground improvement (track-bed stabilization)	
Typical Section 5 MP 203.92 – 204.42 MP 206.70 – 207.25	Between North Beach and San Clemente Pier South of San Clemente State Beach	Bluffside: • Catchment walls (block slide debris) • Stabilization grading (buttress slide toe) • Tieback / soil nail / pin-pile walls (mitigate larger slides) • Ground improvement (bluff stabilization) • Up-gradient cut-off drains (reduce source of water) • Hydraugers (lower hydraulic pressure and slide potential) Beachside: • Riprap placement • Engineered rock revetment • Vertical seawall • Hybrid structural solution • Beach nourishment with shoreline protection structure • Beach nourishment with sand retention measures and shoreline protection structure Rail: • Elevate tracks • Alternative materials for critical railroad infrastructure to reduce lifecycle costs	

Typical Section and Milepost(s) (MP)	Nearby Landmark(s)	Applicable Draft Alternative Concepts	Graphic Representation of Existing Condition
Typical Section 6 MP 204.54 – 205.16	San Clemente Pier	Bluffside: • Catchment walls (block slide debris) Beachside: • No direct railroad action – collaborate with regional beach sand project Rail: • Alternative materials for critical railroad infrastructure to reduce lifecycle costs	
Typical Section 7 MP 205.22 – 205.82 MP 205.94 - 206.02	South of San Clemente Pier San Clemente State Beach	Bluffside: • Not Applicable Beachside: • Engineered rock revetment • Beach nourishment with shoreline protection structure • Watershed modifications to increase beach sand supply (implemented by others) • No direct railroad action – collaborate with regional beach sand project Rail: • Alternative materials for critical railroad infrastructure to reduce lifecycle costs	

ATTACHMENT D

CITY OF SAN CLEMENTE
OFFICE OF THE CITY MANAGER

Date: January 6, 2025
To: Dan Phu, OCTA
From: Leslea Meyerhoff, AICP, Coastal Administrator
Re: Feedback on OCTA CRRS Draft Alternative Concepts
CC: City Manager, Mayor and City Council

Introduction

The City of San Clemente appreciates the opportunity to provide preliminary feedback on the Draft Alternative Concepts for the Coastal Rail Resiliency Study (CRRS) presented on 12/19/24. The OCTA rail line traverses the entire 5-mile length of shoreline in the City and as such the City is the primary stakeholder with a direct and vested interest in the coastal rail resiliency planning process and outcomes. The City will also be a Responsible Agency under CEQA. Our comments are provided below for your review and consideration.

Local Coastal Resiliency Planning Context

For coastal policy and resiliency planning context, the City of San Clemente (City) is a leader. In 2018, the City prepared a comprehensive, *Certified Local Coastal Program (LCP) Land Use Plan* update. In 2019, the City prepared a *Sea Level Rise Vulnerability Assessment* (SLRVA). In 2021, the City prepared a *Coastal Resiliency Plan* to establish an action plan for the preferred, long term shoreline management strategy for San Clemente. In 2022, the City established a regional shoreline monitoring program that collects data for that benefits all South Orange Counties agencies with coastal assets.

The direction provided by the City leadership, and the overwhelming consensus of the community, is that comprehensive and consistent beach sand replenishment, combined with strategic supplemental sand retention features is the preferred strategy for short and long-term shoreline management. This strategy emerged as the preferred approach to (1) addressing the immediate needs caused by coastal erosion due to sand supplies being cut off and (2) building long term coastal resilience in San Clemente. Comprehensive beach sand replenishment was intentionally and thoughtfully selected as it is the only approach that provides shoreline protection for existing structures and critical public infrastructure, and co-benefits sandy beach recreational space and habitat enhancements.

The City's coastal setting and its sandy beach is the economic foundation of the local economy in San Clemente. In 2024, the City completed the first cycle of a 50-year beach sand replenishment project developed in partnership with the federal and State governments. The partnerships successfully forged with the US Army Corps of Engineers and California State Parks represent an important collaboration that will help to restore the sand supply in San Clemente bringing 2 million cubic yards of sand to the City over the next 50 years. In 2024, the City also conducted its third opportunistic beach sand replenishment project at North Beach.

The City also signed an MOU with SANDAG in December 2023 to participate in the third Regional Beach Sand Project which will bring another 1 million cubic yards of sand to the City in the coming years. The City's request to SANDAG to participate also opened the door to regional partners including Dana Point and the County of Orange.

The City is also conducting a sand retention study to develop alternative methods of slowing down the sand loss in the City and we are conducting an offshore borrow site investigation to develop additional offshore sand sources that can be used to sustain long term beach sand replenishment. Both of these efforts are grant funded and both will be completed in 2025 and we will make these available to you when complete.

The City brings these recently completed and planned costal resilience building projects to your attention to emphasize that we have begun implementing our preferred comprehensive and consistent beach sand replenishment strategy and that we welcome OCTA as a partner in this effort.

By OCTA's own accounts, when the railroad was first established, and for the last 100 years the railroad was well buffered by the presence of a sandy beach that protected the railway.

Since the sand supplies from San Juan Creek have effectively been cut off from reaching the beach, the San Clemente region has reached critical mass in its lack of sand supply. This lack of sand is having a material effect on the OCTA rail line as well as all other existing structures along the coast. Focusing on restoring the sand supply remains the City's primary focus as it works to rebuild its beaches for current and future generations of residents and visitors.

To this end we recommend that you include (1) remaining a good regional partner agency and (2) maintaining a walkable sandy beach as two of the project goals and objectives which are listed in the presentation as Project Purpose and Need.

Recommendations for Draft Bluffside Concepts

The City anticipates completing a bluff characterization study that will provide important information on the geologic makeup of the coastal bluffs in the City. We will make this study available to you when it is complete later in 2025.

The City desires to have proactive, uniform, consistent and natural appearing bluff retention devices that replicate the look of the native bluffs installed in the City rather than a haphazard and inconsistent structures. The City also urges OCTA to ensure that no bluffside solutions preclude the existing Coastal Trail and that if it is jeopardized it be relocated to the westside of the OCTA ROW along the beach as it is an important, highly valued and highly utilized community asset.

In response to recent failures, the City recently explored the concept of a geologic hazard abatement district (GHAD) as a means of developing a uniform and consistent approach to stabilizing coastal bluffs by formalizing a plan of control. Such a plan of control could implement one or more of the bluffside solutions identified by OCTA. Note also that the City has begun prohibiting permanent irrigation on coastal bluff top properties for projects requiring a discretionary action. While this will not have an immediate effect of reducing perched groundwater within the bluffs it will assist over time in slope stability.

The City desires to continue evaluating this option in collaboration with OCTA since the toe of the bluff slope and in some cases the slopes themselves are located within OCTA ROW. Additionally, when bluff failures do occur, they have a material and detrimental effect on OCTA rail line and railroad operations in general since the OCTA ROW is downslope from the coastal bluffs in San Clemente. Therefore, we request that you add a GHAD to your list of alternatives that could be implemented Citywide, or in select areas more prone to bluff instability, and cost shared with all property owners that benefit from GHAD formation.

Recommendations for Draft Beachside Concepts

The resiliency goals of the City include beach sand replenishment that is both comprehensive and sustained. Any shore-parallel or shore-perpendicular structures such as mini-headlands or seawalls should be optimized to have a minimal footprint.

Options 1 & 2: The City recommends that Options 1 & 2 (rip rap and revetment concepts) be combined as revetment (engineered or non-engineered) to streamline the list of alternatives since both options involve the placement of armor stone.

Option 3: This option is preferable as a hard structure relative to revetment as it would occupy significantly less physical beach space. For example, a seawall would likely have

a 2-foot-wide footprint on the beach compared to 50-foot wide or greater footprint for a revetment (engineered or un-engineered).

Option 4: Additional information and clarification is needed on Option 4 (hybrid solution) in order for the City to understand what this option entails and to weigh in. For example, would this option include a living shoreline concept similar to what has been constructed in Encinitas to protect Pacific Coast Highway? Would this option include a mini-headlands to create pocket beaches along the coast similar to what exists in Newport Beach?

Option 5: This would be a City preferred alternative and may also be the environmentally superior alternative and least environmentally damaging alternative.

Option 6: This would be a City preferred alternative and may also be the environmentally superior alternative and least environmentally damaging alternative.

Option 7: The concept of a cobble beach was recently vetted in the City as part of the City's sand retention project study. There is little to no support for this option and we recommend that you take this option off the table.

Option 8: This would be a longer-term study and may be undertaken by others but it is not likely a viable option for the 10–30-year CRRS. This could be a viable option for a longer-term study by OCTA.

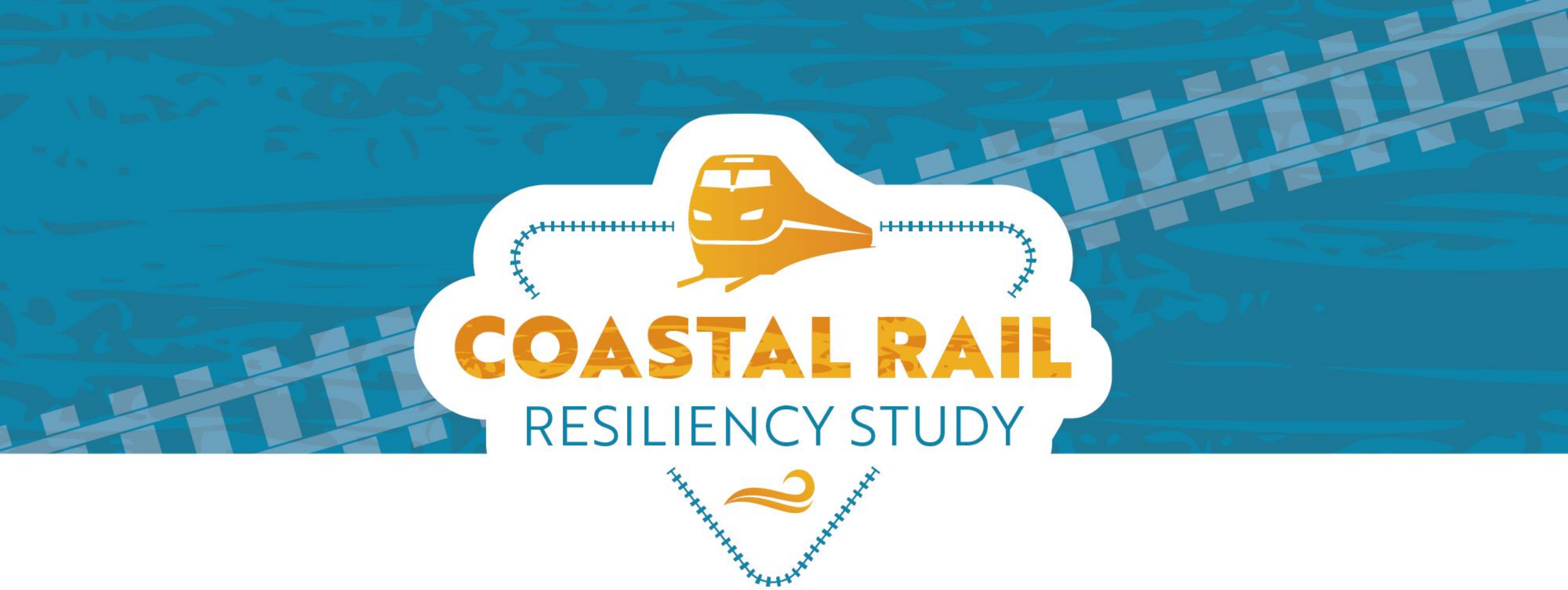
Option 9: We recognize that as part of CEQA and NEPA you are required to have a no-action / no-project alternative. However, as the primary landowner of a continuous, linear, transportation corridor at the back of the beach that is part of the LOSSAN network and is a designated DOD strategic defense asset, a no action alternative is wholly unrealistic.

Draft Rail Concepts

It is unclear how these concepts relate to the Beachside and Bluffside Concepts. Are they mutually exclusive and proposed in lieu of the Beachside and Bluffside Concepts or are they intended to be implemented in combination with these concepts? The relationship of these concepts should be explained more fully in forthcoming public documents.

Conclusion

The City appreciates the continued conversation with OCTA regarding options for supporting and building short-term and long-term coastal resiliency in San Clemente. We encourage you to continue to focus on alternatives that do not preclude the City's ability to implement its vision for restoring the public beach to ensure a walkable dry sandy beach for current and future generations.



Coastal Rail Resiliency Study Update

OCTA

Purpose and Need

Purpose

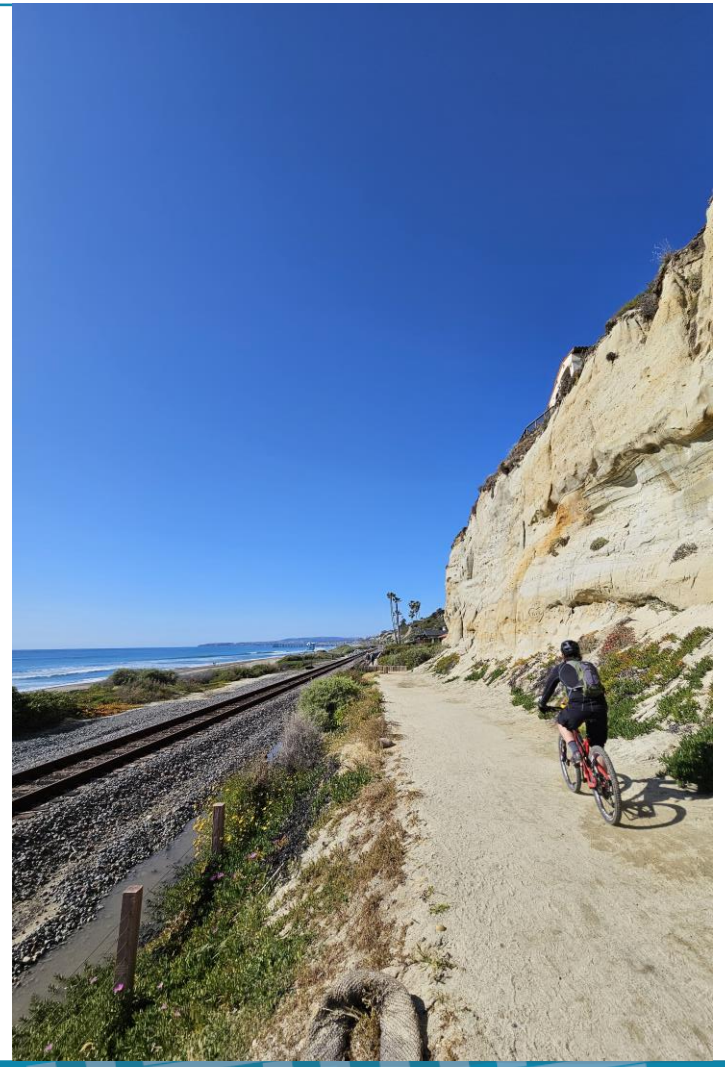
- Evaluate and prioritize adaptation strategies and engineering solutions that would maintain railroad operations generally within the existing right-of-way for up to the next 30 years.
- Identify and assess vulnerable locations that are at risk of railroad damage or operational disruptions.
- Minimize future disruptions and closures to improve service reliability.
- Support stewardship of the railroad corridor to implement multi-beneficial solutions that would positively impact the surrounding community.
- Build on the work of others in the region that would help to further protect the rail line.

Need

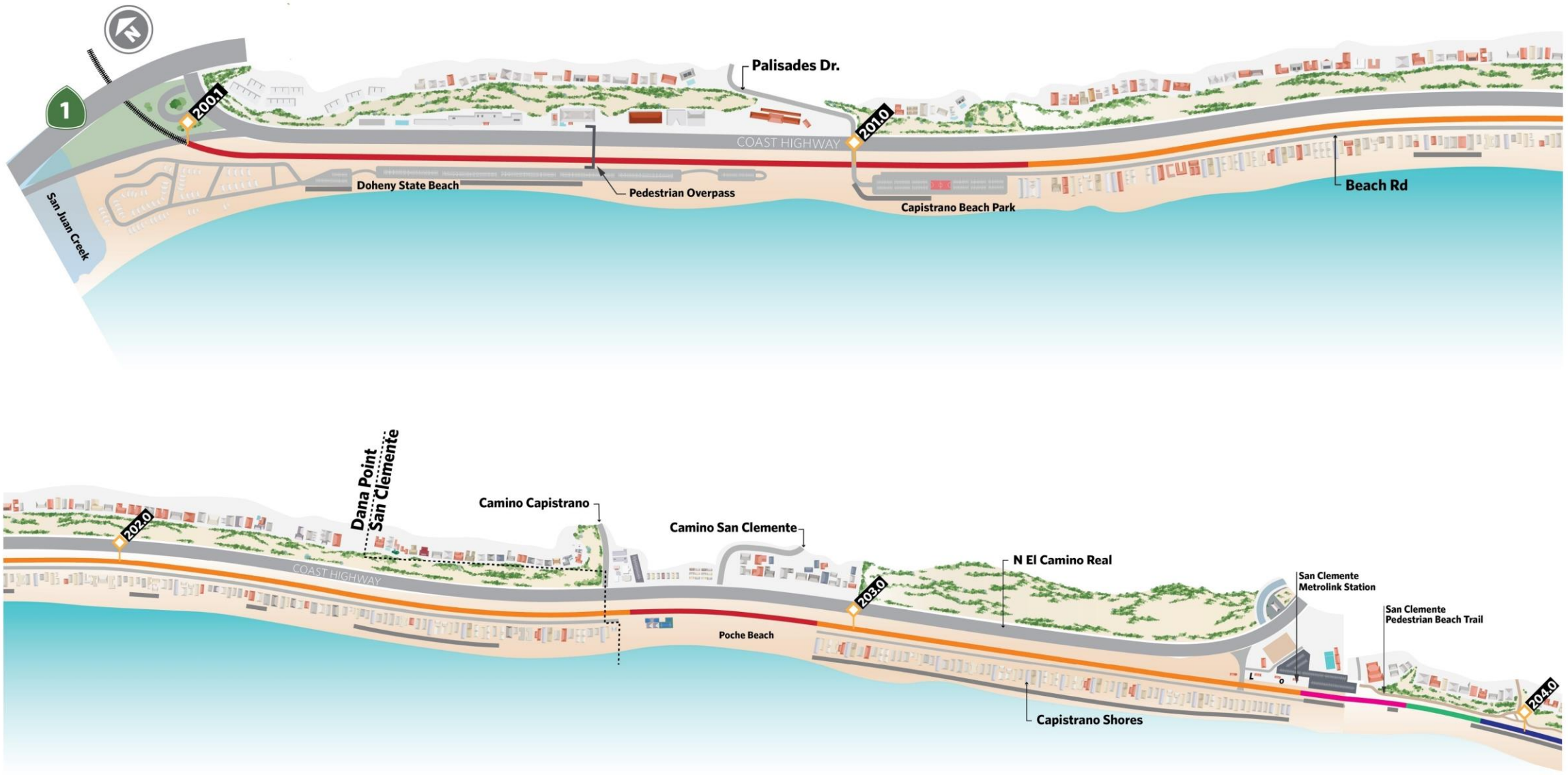
- A safe and reliable railroad corridor that can support the movement of people, freight, and national military readiness.
- A stable and dependable railroad corridor that is resilient against natural coastal erosion, increasing storm frequency and intensity, and accelerated sea level rise.
- Improved regional and freight operations by mediating continuous bluff failure and landslides that are impacting the railroad tracks.

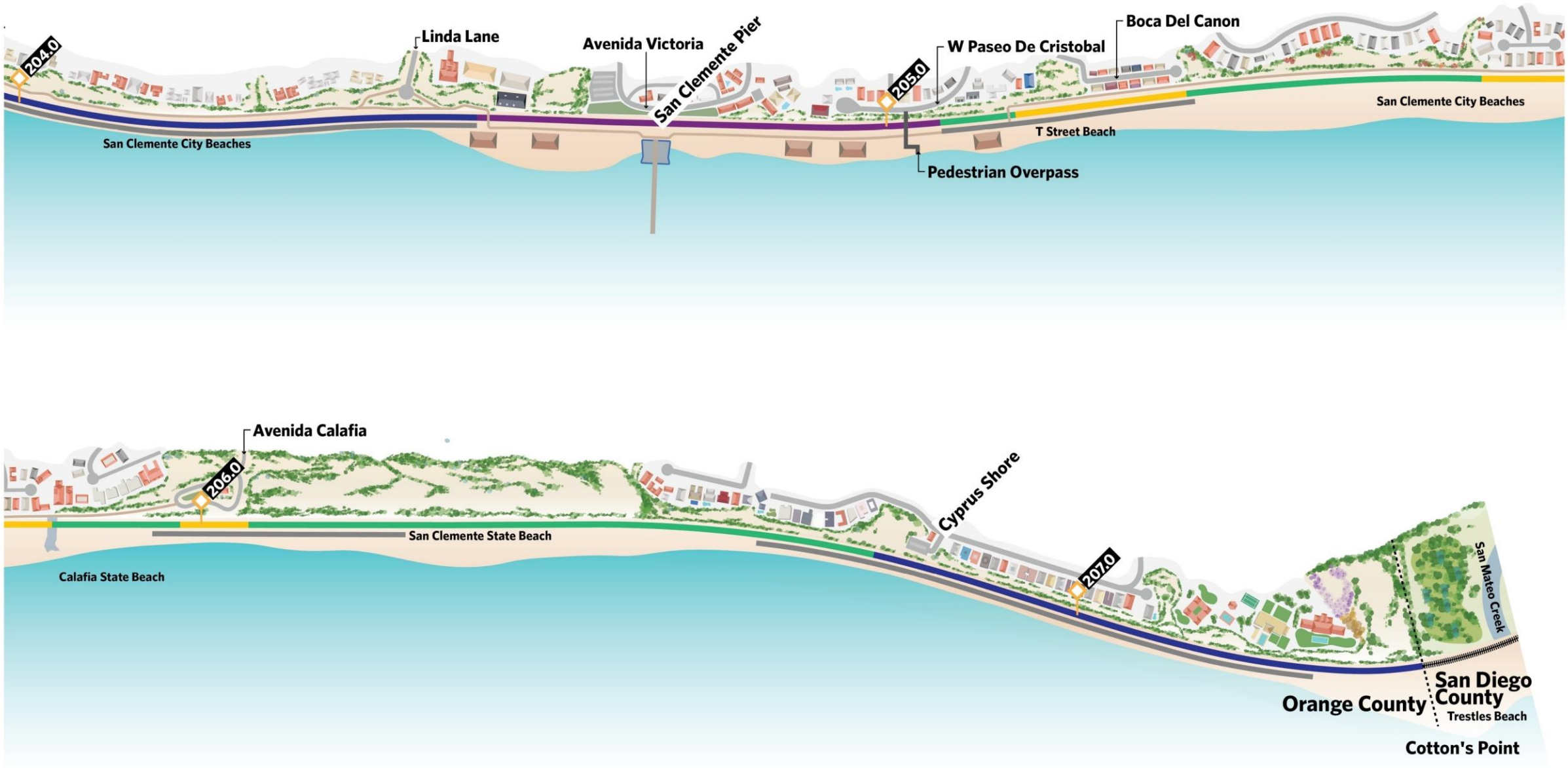
Goals & Objectives for Short- & Mid-term Study

- Continual stakeholder engagement
- Minimize passenger and freight service disruptions
- Protect the railroad in place (up to 30 years)
  - Assess, identify, and develop a program of capital projects within the OCTA ROW
  - Develop short-term (ten years) and mid-term (30 years) conceptual alternatives
  - Work with adjacent stakeholders to develop a comprehensive coastal capital program with roles and responsibilities beyond the OCTA ROW



OCTA – Orange County Transportation Authority
ROW – Right-of-Way


1
200.1
Palisades Dr.
COAST HIGHWAY
201.0
Doheny State Beach
Pedestrian Overpass
San Juan Creek
Capistrano Beach Park
Beach Rd
Dana Point
San Clemente
202.0
Camino Capistrano
Camino San Clemente
COAST HIGHWAY
N El Camino Real
203.0
San Clemente
Metrolink Station
San Clemente
Pedestrian Beach Trail
Poche Beach
Capistrano Shores
204.0
Mile Post
Existing rip-rap
Typical Section 1
Typical Section 2
Typical Section 3
Typical Section 4
Typical Section 5
Typical Section 6
Typical Section 7


204.0
Linda Lane
Avenida Victoria
San Clemente Pier
205.0
W Paseo De Cristobal
Boca Del Canon
San Clemente City Beaches
T Street Beach
San Clemente City Beaches
Pedestrian Overpass
Avenida Calafia
206.0
San Clemente State Beach
Calafia State Beach
Cyprus Shore
207.0
San Mateo Creek
San Diego County
Orange County
Trestles Beach
Cotton's Point
Mile Post
Existing rip-rap
Typical Section 1
Typical Section 2
Typical Section 3
Typical Section 4
Typical Section 5
Typical Section 6
Typical Section 7

Concepts*

Bluffside

1. Catchment walls (block slide debris)
2. Stabilization grading (buttress slide toe)
3. Tieback / soil nail / pin-pile walls (mitigate larger slides)
4. Ground improvement (bluff stabilization)
5. Surface matting & deep-rooted vegetation planting (reduce sediment erosion)
6. Drainage improvement via grading / detention basins / undertrack outlets
7. Deflection walls in tributaries (reduce flood and sedimentation flow rates)
8. Up-gradient cut-off drains (reduce source of water)
9. Hydraugers (lower hydraulic pressure and slide potential)

Beachside

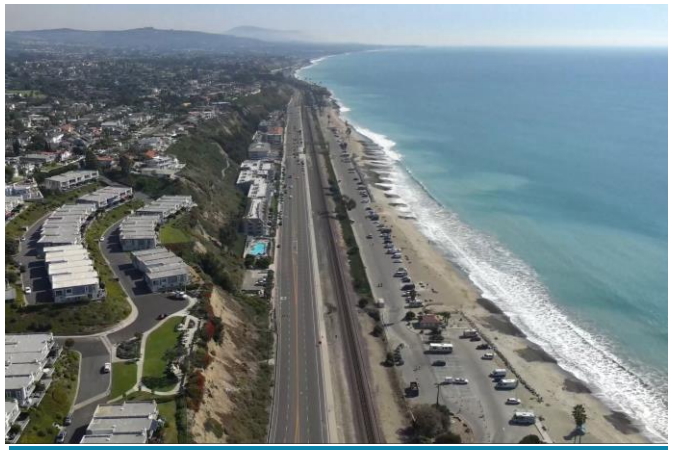
1. Riprap placement
2. Engineered rock revetment
3. Vertical seawall
4. Hybrid structural solution
5. Beach nourishment with shoreline protection structure (1-4 above)
6. Beach nourishment with sand retention measures & shoreline protection structure (1-4 above)
7. Watershed modifications to increase beach sand supply (implemented by others)
8. No railroad action - monitor regional beach nourishment activities and participate as appropriate

Rail

1. Elevate tracks
2. Alternative materials for critical railroad infrastructure to reduce lifecycle costs
3. Ground improvement (track-bed stabilization)

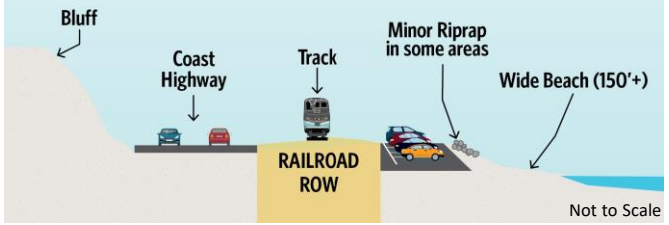
*No order of preference

Typical Section 1: Railroad between Roadway and Beach



Typical Section (Existing Condition):

MP 200.20 – 201.20
MP 202.60 – MP 202.95



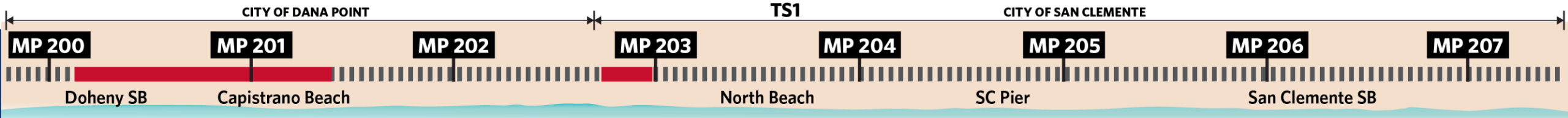
SB – State Beach/SC- San Clemente

Beachside

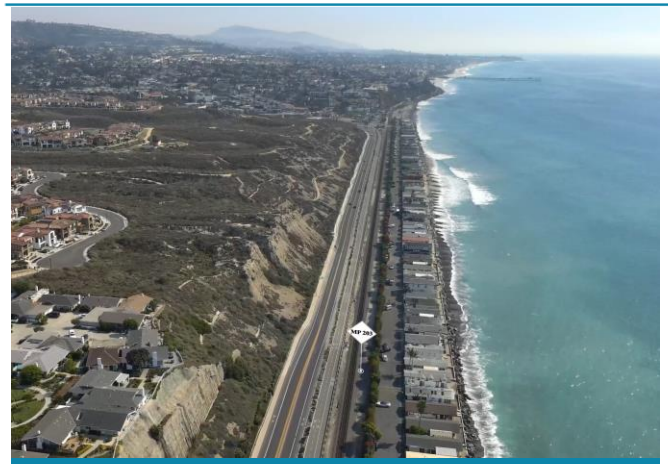
- ✓ Watershed modifications to increase beach sand supply (implemented by others)
- ✓ No direct railroad action – collaborate with regional beach sand project

Rail

- ✓ Alternative materials for critical railroad infrastructure to reduce lifecycle costs

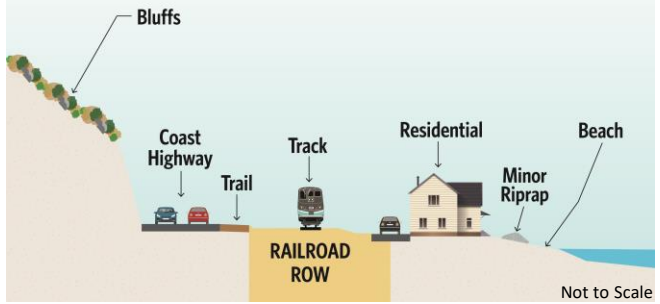


Typical Section 2: Railroad between Roadway and Homes



Typical Section (Existing Condition):

MP 201.20 – 202.60
MP 202.95 – MP 203.62

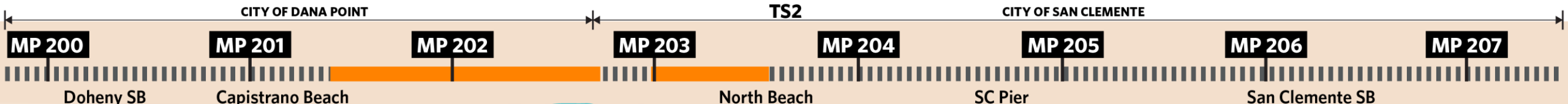


Beachside

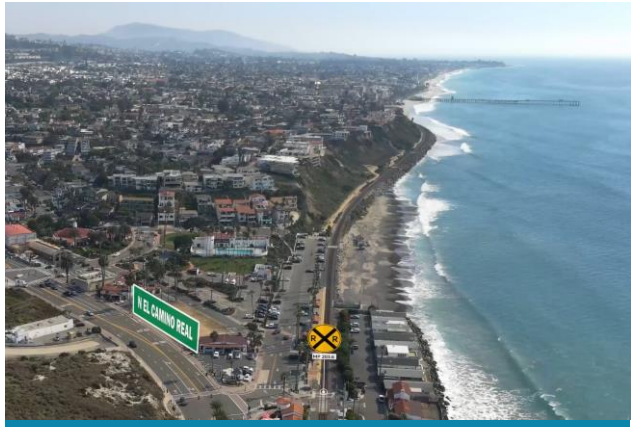
- ✓ Watershed modifications to increase beach sand supply (implemented by others)
- ✓ No direct railroad action – collaborate with regional beach sand project

Rail

- ✓ Alternative materials for critical railroad infrastructure to reduce lifecycle costs

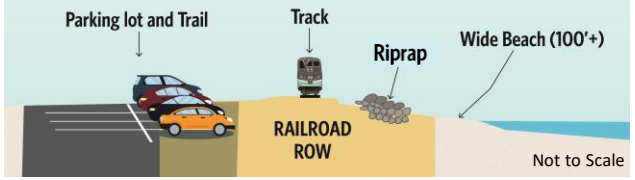


Typical Section 3: Railroad between Development/Trail and Beach



Typical Section (Existing Condition):

MP 203.62 – 203.72

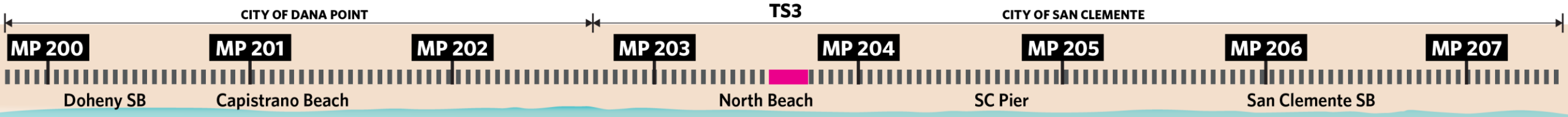


Beachside

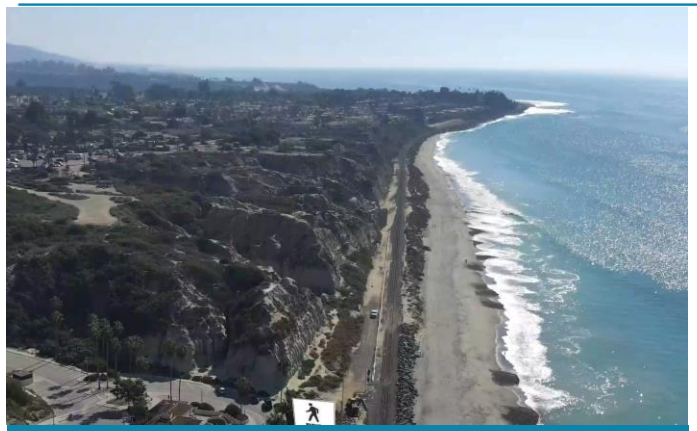
- ✓ Riprap placement
- ✓ Engineered rock revetment
- ✓ Vertical seawall
- ✓ Hybrid structural solution
- ✓ Beach nourishment with shoreline protection structure
- ✓ Beach nourishment with sand retention measures & shoreline protection structure
- ✓ No direct railroad action – collaborate with regional beach sand project

Rail

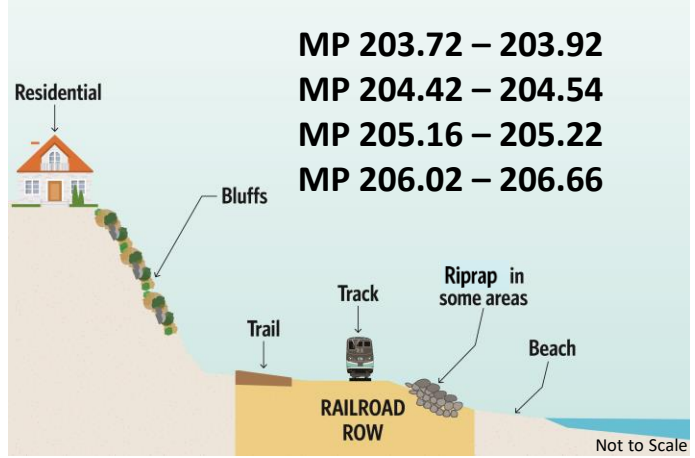
- ✓ Alternative materials for critical railroad infrastructure to reduce lifecycle costs



Typical Section 4: Railroad between Beach and Bluff/Trail



Typical Section (Existing Condition):

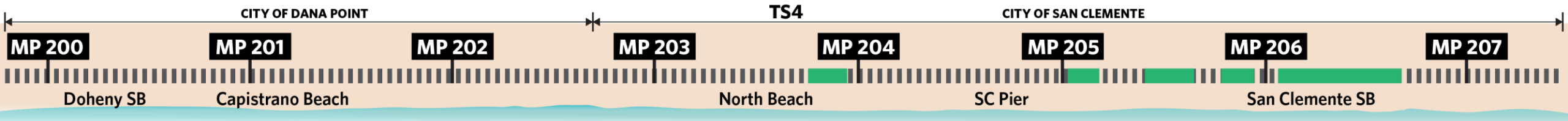


Bluffside

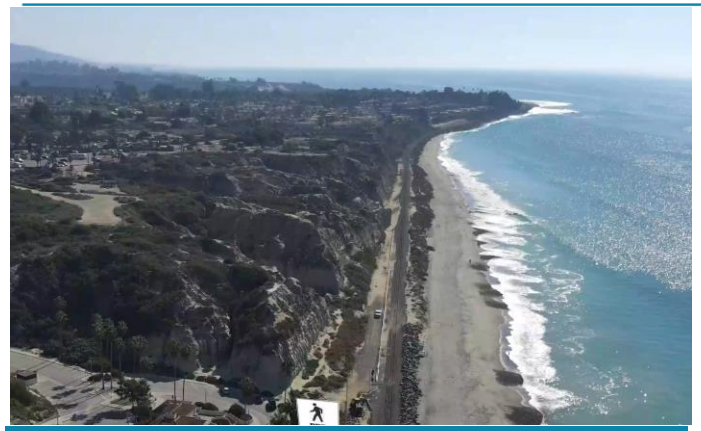
- ✓ Catchment walls (block slide debris)
- ✓ Stabilization grading (buttress slide toe)
- ✓ Tieback / soil nail / pin-pile walls (mitigate larger slides)
- ✓ Ground improvement (bluff stabilization)
- ✓ Hydraugers (lower hydraulic pressure and slide potential)

Rail

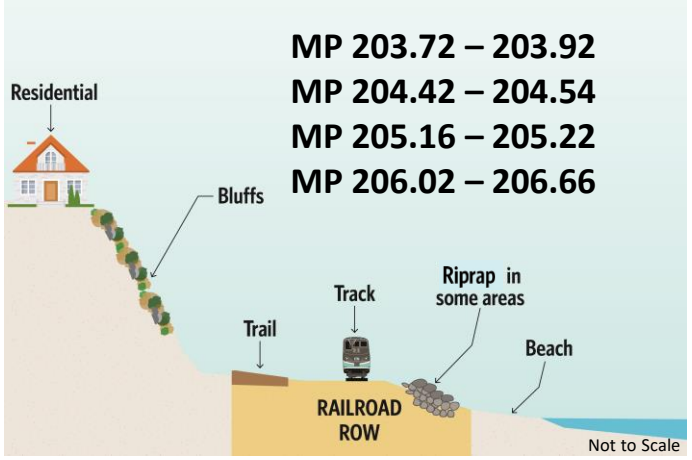
- ✓ Elevate tracks
- ✓ Alternative materials for critical railroad infrastructure to reduce lifecycle costs
- ✓ Ground improvement (track-bed stabilization)



Typical Section 4: Railroad between Beach and Bluff/Trail (cont'd)

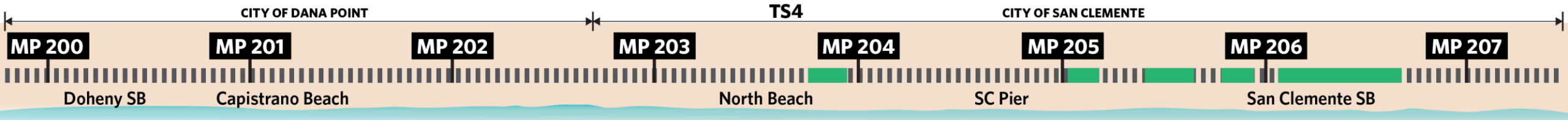


Typical Section (Existing Condition):

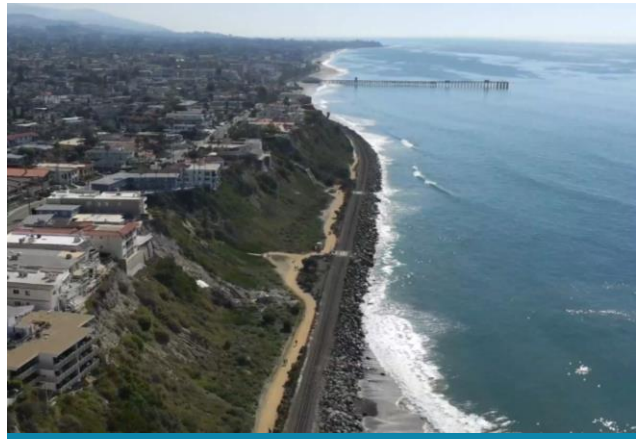


Beachside

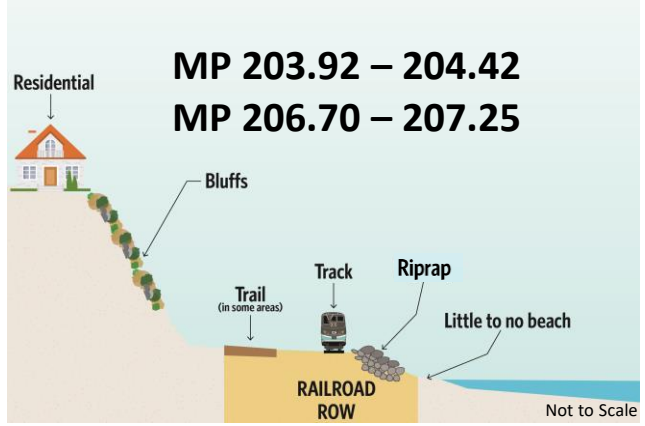
- ✓ Riprap placement
- ✓ Engineered rock revetment
- ✓ Vertical seawall
- ✓ Hybrid structural solution
- ✓ Beach nourishment with shoreline protection structure
- ✓ Beach nourishment with sand retention measures & shoreline protection structure
- ✓ No direct railroad action – collaborate with regional beach sand project



Typical Section 5: Railroad between Bluff/Trail and Ocean

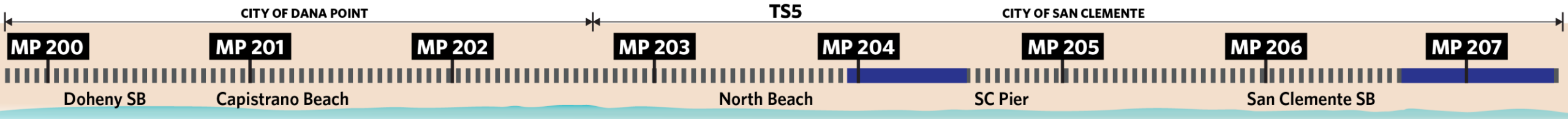


Typical Section (Existing Condition):



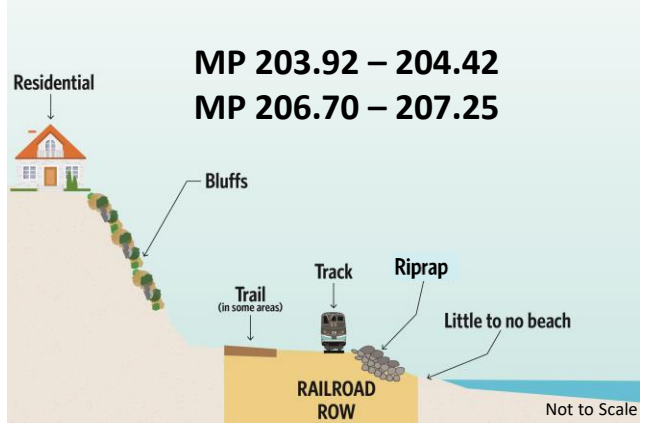
Bluffside

- ✓ Catchment walls (block slide debris)
- ✓ Stabilization grading (buttress slide toe)
- ✓ Tieback / soil nail / pin-pile walls (mitigate larger slides)
- ✓ Ground improvement (bluff stabilization)
- ✓ Up-gradient cut-off drains (reduce source of water)
- ✓ Hydraugers (lower hydraulic pressure and slide potential)



Typical Section 5: Railroad between Bluff/Trail and Ocean (cont'd)

Typical Section (Existing Condition):

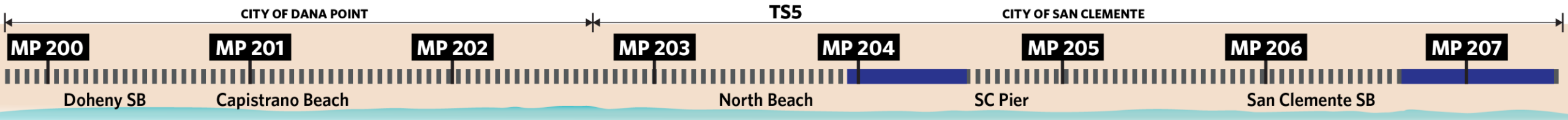


Beachside

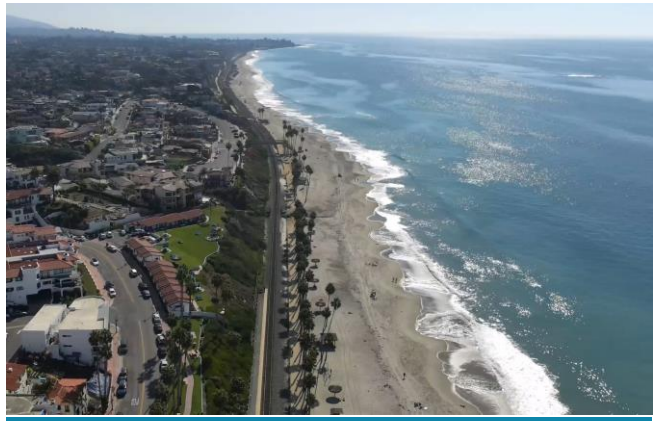
- ✓ Riprap placement
- ✓ Engineered rock revetment
- ✓ Vertical seawall
- ✓ Hybrid structural solution
- ✓ Beach nourishment with shoreline protection structure
- ✓ Beach nourishment with sand retention measures & shoreline protection structure

Rail

- ✓ Elevate tracks
- ✓ Alternative materials for critical railroad infrastructure to reduce lifecycle costs



Typical Section 6: Railroad between Bluff and Beach/Trail



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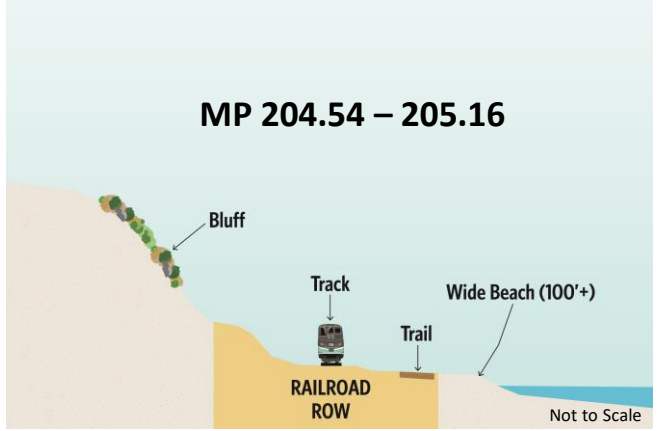


Bluffside

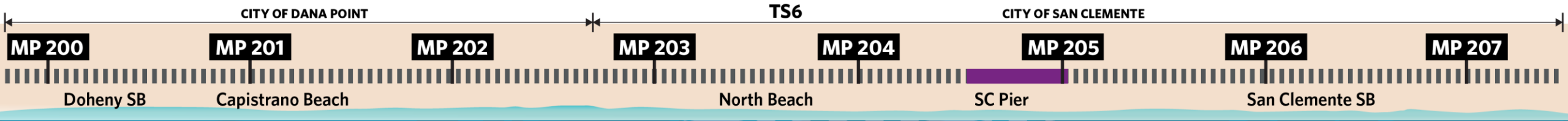
✓ Catchment walls (block slide debris)

Beachside

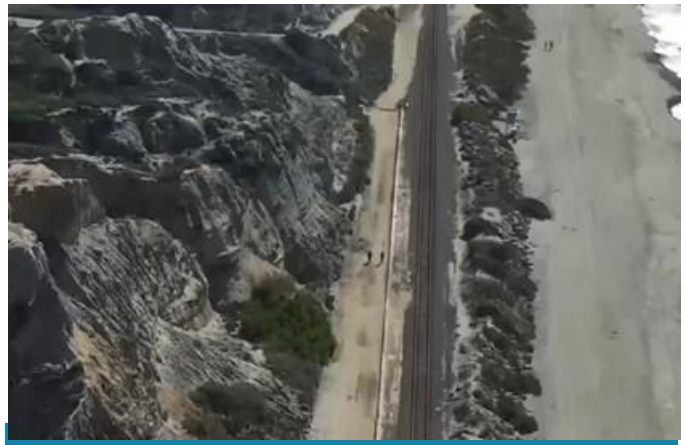
✓ No direct railroad action - collaborate with regional beach sand project

Rail

✓ Alternative materials for critical railroad infrastructure to reduce lifecycle costs



Typical Section 7: Railroad between Trail and Beach



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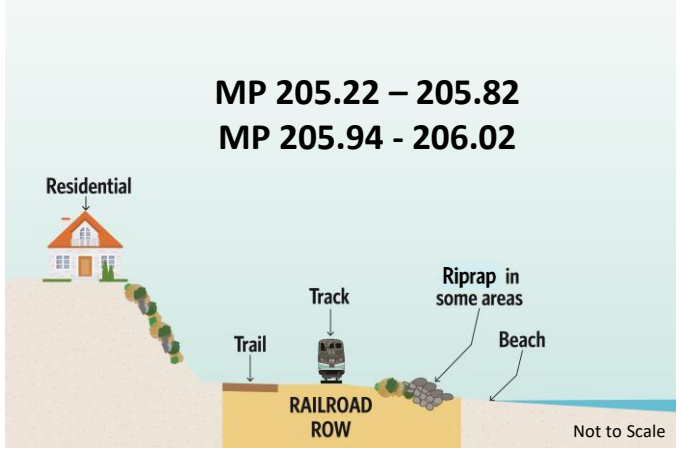
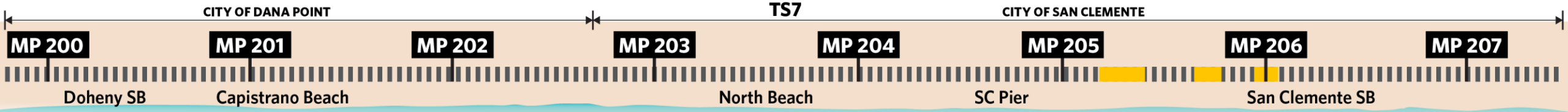


Beachside

- ✓ Engineered rock revetment
- ✓ Beach nourishment with shoreline protection structure
- ✓ Watershed modifications to increase beach sand supply (implemented by others)
- ✓ No direct railroad action – collaborate with regional beach sand project

Rail

- ✓ Alternative materials for critical railroad infrastructure to reduce lifecycle costs



Key Project Risks and Challenges

IMMEDIATE RISK: Potential additional bluff failures during the project development process could lead to immediate rail service closure and require rescoping of planned improvements underway.

CHALLENGES:

- Development of project preferred alternatives, which are acceptable to multiple permitting resource agencies
- Identification and permitting of a sufficient sand replenishment source location
- Developing and securing a timely sand transport and delivery method
- Coordination, approvals, and permitting required for additional revetment

Next Steps

- Solicit public input on draft alternative concepts
- Convene in-person and virtual meetings to gather input from the public (anticipated spring 2025)
- Refine concepts
- Return to Board of Directors with updates (summer 2025 timeframe)
- Prepare draft and final Feasibility Study Report (mid-2025 to mid-2026)
- Conduct preliminary engineering
- Perform environmental technical studies and surveys
- Identify project streamlining opportunities
- Work with regulatory agencies to expedite permitting processes
- Seek funding opportunities

COMMITTEE TRANSMITTAL

February 10, 2025

To: Members of the Board of Directors

From: Andrea West, Clerk of the Board

Subject: Coastal Rail Stabilization Priority Project Update

Regional Transportation Planning Committee Meeting of February 3, 2025

Present: Directors Carroll, Dumitru, Federico, Foley, Harper, Klopfenstein, and Stephens
Absent: None

Committee Vote

This item was passed by the Members present.

Director Dumitru was not present to vote on this item.

Committee Recommendation(s)

Direct staff to advance Reinforcement Areas (Areas 1 through 4) and complete the preliminary engineering/environmental phase to minimize additional rail closures.

OCTA

February 3, 2025

To: Regional Transportation Planning Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Coastal Rail Stabilization Priority Project Update

Overview

On September 9, 2024, staff was directed by the Board of Directors to continue to engage the regulatory agencies to identify opportunities to streamline processes and obtain regulatory permits to immediately implement solutions identified through the Coastal Rail Resiliency Study Assessment. Staff has continued to coordinate with regulatory agencies, and develop and update the Coastal Rail Priority Stabilization Project to proceed into the environmental phase.

Recommendation

Direct staff to advance Reinforcement Areas (Areas 1 through 4) and complete the preliminary engineering/environmental phase to minimize additional rail closures.

Background

The Orange County Transportation Authority (OCTA) owns the Orange Subdivision railroad right-of-way (ROW) in Orange County between the Fullerton Junction and the San Diego County Line. A map of the Orange and Olive subdivisions is provided as Attachment A. This rail corridor is part of the Los Angeles – San Diego – San Luis Obispo (LOSSAN) Rail Corridor that provides intercity and commuter passenger and freight rail service. Since fall 2021, several bluff failures and landslides on the inland side and diminishing beaches on the seaward side in the City of San Clemente (City) have resulted in significant impacts to rail operations and have required a series of emergency projects to restore rail operations. The remedial actions have included stabilization of a landslide at Cyprus Shore which was associated with beach loss, and construction of catchment walls at Casa Romantica and Mariposa Point to protect the tracks from privately-owned bluff failure debris. These remedial actions required nearly $40 million to support immediate stabilization and continued safe and reliable rail operations.

In late 2023, OCTA initiated the South Coast Rail Infrastructure Feasibility Study and Alternative Concepts Analysis (also known as the Coastal Rail Resiliency Study [Study]) along the seven-mile stretch of the coastal rail line in Orange County to assess existing and future risks, challenges, and concepts to protect the rail line in place.

The Study explores opportunities to protect the rail corridor for the short-term (ten years) and mid-term (30 years) between the City of Dana Point and the San Diego County Line. An Initial Assessment Technical Memorandum identified the need for immediate protective measures for the highest at-risk areas (reinforcement areas) in the City, where coastal storm surges, failing bluffs, and other factors create an immediate threat of additional extended rail service disruptions, impacting service quality and reliability. This effort led to the advancement of four reinforcement area projects known as the Coastal Rail Stabilization Priority Project (Project) and a map of the locations is provided as Attachment B. A long-term study to include potential relocation of the rail line will be led by the state.

Since spring 2024, staff has worked to continue the development of the reinforcement areas with geotechnical, structural, and coastal engineers to study various alternative solutions for each area to prepare for the next phase to design and environmentally clear the proposed solutions. In October 2024, OCTA secured $305 million in state and federal funds for the Project, which will allow the completion of design and construction for the Project.

Discussion

The following is a status update of the ongoing Project:

Regulatory permitting agencies have determined that the four immediate need reinforcement areas will not be processed under emergency permitting procedures because the rail line is in operation and an emergency does not exist. Efforts to implement the Project under the normal project development process are summarized below. A comment letter from the City providing feedback on the Project preliminary alternatives was received on January 6, 2025 (Attachment C).

Reinforcement Area 3

In coordination with various regulatory permitting agencies, the Area 3 location providing landslide and bluff collapse protection on the inland side of the railroad could be advanced with a proposed protective catchment structure more quickly than Areas 1, 2, and 4, which are ocean intrusion risk areas. A proposed protective catchment structure would be constructed outside of the United States Army Corps of Engineers (USACE) and California State Lands Commission (CSLC) jurisdictions. Staff is advancing multiple project activities, including geological mapping, geotechnical investigation, utility mapping, utility potholing, and

right-of-way (ROW) surveys to be used for Area 3 preliminary engineering to accelerate the delivery schedule. Staff has developed protective concept alternatives and evaluated the concepts for resilience, protective reliability, cost, impacts on public assets, feasibility of implementation, constructability, and environmental impacts to select the best alternative to move forward to the final design and construction phase.

As part of the alternatives analysis, each of the alternatives is screened and scored based on the weighted evaluation criteria developed with the project development team (PDT) members. The PDT members include the City, OC Parks, State Parks, Southern California Regional Rail Authority (SCRRA), LOSSAN, Amtrak, and BNSF Railway (BNSF) who provided input to the evaluation of solutions. Through this coordinated effort, the top scoring alternative and the preferred concept to advance to design is a soldier pile wall. A soldier pile wall has been used successfully in past emergencies at Mariposa Point and Casa Romantica locations, and other locations within the rail corridor. Staff is working closely with the City and railroad stakeholders to refine the catchment wall concept to include relocation of the pedestrian trail at grade and to protect the underground utilities with the wall alignment. Staff is also working closely with all rail operators to develop potential construction work windows to allow construction to advance efficiently while minimizing impacts to passenger and freight rail services.

The goal is to finalize the alternatives analysis in March 2025, complete 30 percent preliminary engineering with environmental documentation in the first quarter of 2026 and seek a Coastal Development Permit (CDP) from the California Coastal Commission (CCC) by the third quarter of 2026 to allow construction to commence by late 2026. Staff will be seeking Board of Directors (Board) approval to release a Request for Qualifications (RFQ) in the first quarter of this year as the first step to identify qualified design-builders before the release of a Request for Proposals (RFP) for a design-build construction contractor in early 2026.

Reinforcement Areas 1, 2, and 4

Staff is developing various alternatives to mitigate beachside coastal erosion risks for reinforcement Areas 1, 2, and 4. Similar to the alternative analysis for Area 3, evaluation criteria and scoring specific to the beachside areas were developed with the PDT to select the best alternative to advance into the design phase for each reinforcement area. The top concepts to be further evaluated include repairing existing riprap, constructing new engineered revetment, and constructing a seawall, all with sand nourishment to complement and reinforce the armoring acting as the final protective feature. A sand nourishment-only alternative has also been included in the alternative analysis process for the selection of the preferred alternative.

The alternative analysis is planned to be completed in the second quarter of 2025 and preliminary engineering with environmental documentation is to be completed in the first quarter of 2027. Concurrently, staff is assessing all available sources of sand for potential placement at the reinforcement areas.

Sand Sources and Permitting

While preliminary design and environmental for reinforcement Areas 1, 2, and 4 progress, a key component that needs to be identified is the source for imported sand. The source of sand is required for environmental documentation, design, and permitting. Staff has investigated the inland sources of sand available in the project vicinity. Potential inland sources include Prado Dam, Lapeyre Industrial Sands, Lower Santa Ana River, Cabazon, Durbin Sand and Gravel, West Coast Sand and Gravel, San Bernardino Sand and Gravel, and Dana Point Harbor. Key evaluation considerations include quantity, quality, feasible delivery method, travel distance, number of trips, costs, beach access, staging areas, and work hours. The inland sources have a range of quantities available, varying qualities, and distances that factor into the determination of a viable source of inland sand.

The estimated volume of sand needed for the Project is approximately 540,000 cubic yards. A significant number of truck trips (up to 44,000) would be necessary to deliver the sand needed to the project site. The northern section of the Project, generally north of the City pier, would be more accessible for truck delivery while the southern section of the Project has no truck access, which makes truck delivery difficult as a transportation option in addition to the environmental impacts. When evaluating transport by rail for source locations like Prado Dam, additional costly rail infrastructure would need to be constructed to allow for rail cars to be loaded and unloaded. We have not identified a viable means to unload rail cars for placement of sand on beaches. It may take up to a week to unload each train, and up to 100 train trips make the train transport option impracticable.

Known offshore sand borrow sites were also investigated, including in the City of Oceanside where the sand quality is not acceptable to the City, and Surfside-Sunset which was recently successfully used by the USACE and the City for sand replenishment at the City pier. Surfside-Sunset has additional capacity to allow the Project to borrow from the source, and staff has begun pursuing the necessary environmental studies such as offshore biological surveys to support the utilization of the Surfside-Sunset location as the most efficient and economical sand source available for this Project. The environmental and permitting process for sand will take approximately two years to complete. Staff is also in coordination with the City to explore opportunities to shorten this duration with the City's existing USACE approvals, environmental assessments, and lease agreements with CSLC.

In addition, the City recently awarded a grant-funded contract to conduct ocean exploration and testing to identify new offshore sand borrow sites for beach nourishment use in the City. This study is scheduled to conclude in fall 2025, and potential borrow sites identified will be a potential source for the Project's beach nourishment sand needs. The City's study will provide valuable information on additional offshore sand sources available to the Project.

The USACE recently returned to provide an additional 86,000 cubic yards of sand nourishment sourced from the Surfside-Sunset location to the areas surrounding the City pier. OCTA was not able to utilize this opportunity without the appropriate completed environmental studies, necessary permitting, and lease with CSLC for the areas the Project needs sand. The environmental studies, necessary permitting, and leasing with CSLC are anticipated to take up to two years to complete. Staff will continue to work expeditiously to identify the sand source(s) and coordinate with regulatory agencies to obtain the appropriate permits and leases to proceed with the Project's beach nourishment needs.

Staff holds regularly scheduled meetings with the USACE and CCC to provide updates on the status of the Project and seek guidance on permitting actions necessary for the Project. In August 2024, staff submitted a Nationwide Permit 13 (NWP-13) application to USACE for Areas 1, 2, and 4 for construction of revetment and sand nourishment. However, at the request of the USACE, OCTA rescinded the permit in October 2024 for the following reasons: the proposed quantity of sand for beach nourishment exceeded the NWP-13 permitting limits, and the lack of sufficient project design details, studies, and environmental documentation. In September 2024, staff also submitted an emergency Regional General Permit 63 (RGP-63) application to USACE for Areas 1, 2, and 4. This permit was also rescinded in October 2024 since it is not the appropriate mechanism due to the large quantity of sand proposed by OCTA. Specifically, the sand quantity exceeds the minimum necessary to alleviate an immediate emergency, and the proposed activities would result in more than minimal adverse environmental effects. Finally, OCTA would not be able to initiate construction activities within 14 days of permit issuance. The appropriate sand source identification and environmental actions should already be in place prior to application submittal.

A CDP application was submitted to the CCC in August 2024. Staff received a notice of incomplete from the CCC with a request to provide detailed project information, including alternatives analysis, plans, sand source, soil suitability analysis, sand transportation and staging, aquatic resources delineation, environmental documents, maintenance and monitoring plan, and other agency's approvals to continue processing the permit. Staff will continue to coordinate with CCC staff and provide project progress updates.

Staff continues to coordinate with CSLC regarding which reinforcement areas of the proposed Project need a lease that is within CSLC's jurisdiction and to understand the process and timeline to obtain a lease if it is needed.

A lease would be necessary for the sand placement locations and any revetment below the Mean High Tide Line, and if the sand borrow site is offshore, a lease would be required for the borrow site. The lease application would need to provide specifics on the project limits, impacted areas within the CSLC's jurisdiction, project design, and environmental documents to be able to process the application.

During an emergency, a project can proceed with immediate construction with the proper notifications to regulatory agencies, and the agency is required to follow up and complete the necessary documentation afterward. When a project proceeds as a non-emergency project, the required project development includes the appropriate planning, environmental, design, and construction. Regulatory permits are typically sought when the environmental phase is completed and sufficient design has been accomplished to provide the details required by each permitting agency.

Delivery Risks

As the Project continues to be developed, there are risks that may impact the delivery of the reinforcement areas. These risks include selection of a preferred alternative for each of the four reinforcement areas which minimizes environmental impacts and is acceptable to multiple permitting resource agencies, identifying and obtaining permits and approvals for each reinforcement area, including an offshore sand source, sand transport and delivery method and placement, and determining the temporary railroad work windows necessary to deliver the Project. If these tasks cannot be achieved in a reasonable timeframe (i.e., before the next one or two storm seasons), then there is a risk of potential passenger and freight rail service disruptions as a result of additional bluff failures and coastal erosion.

Next Steps

Staff will continue to advance the project development process through the environmental phase for the four reinforcement areas. Staff will also continue to expedite all reinforcement areas and continue work, in coordination with the City, to identify a closer more cost-effective offshore sand source for permitting.

Summary

Upon Board approval, staff will continue to advance the Project and complete the preliminary engineering/environmental phase. Staff will continue to prepare environmental studies and necessary permitting for the identified offshore sand source that meets the project requirements and expedite approvals in coordination with the resource agencies.

Attachments

A. Orange and Olive Subdivisions Map
B. Reinforcement Area Locations Map
C. Letter from Leslea Meyerhoff, AICP, Coastal Administrator, City of San Clemente to Jason Lee, OCTA, dated January 6, 2025, re: Feedback on OCTA Coastal Rail Stabilization Priority Project Concepts

Prepared by:

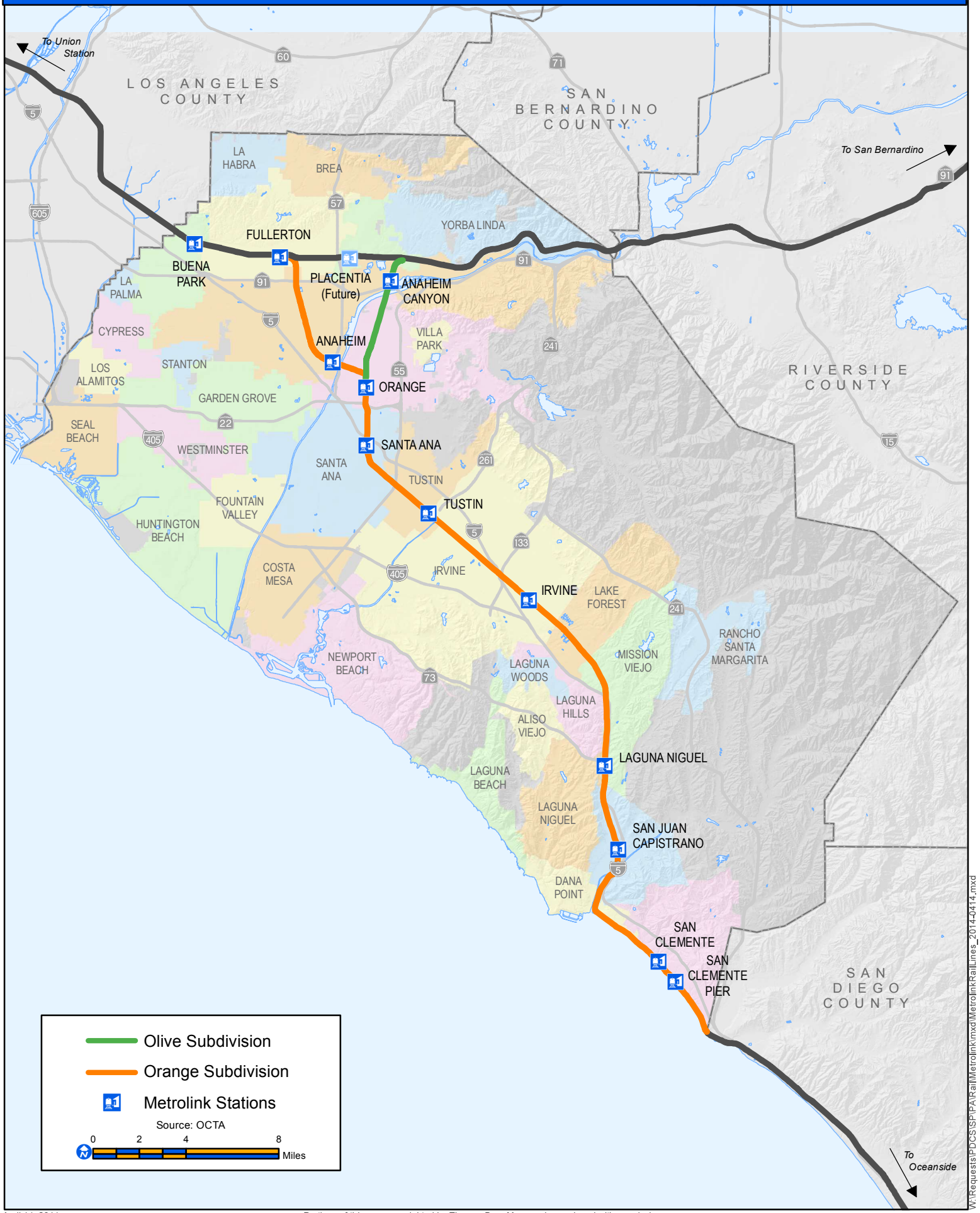
Jason Lee
Program Manager,
Capital Project Delivery
(714) 560-5833

Approved by:

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

ORANGE AND OLIVE SUBDIVISIONS

ATTACHMENT A



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April 14, 2014

Reinforcement Area Locations Map

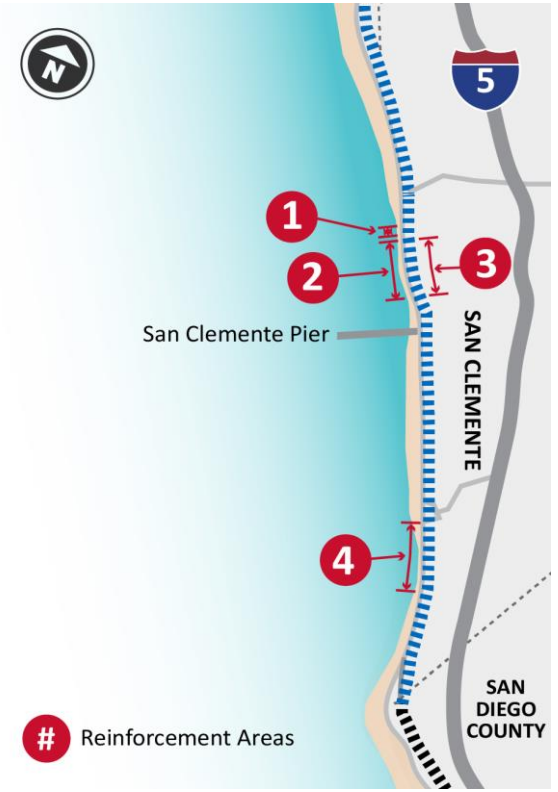
ATTACHMENT B

- Four reinforcement areas were identified in January 2024
- Potential solutions evaluated at a conceptual level considering different materials, performance, costs, methods, and schedule

Area	Location (MP)	Challenge	Potential Solutions*
1	203.80 – 203.90	Ongoing deterioration of existing riprap protection	Armoring and sand nourishment
2	204.00 – 204.40	Erosion - no beach at high tide and direct wave attack damaging existing riprap protection	Armoring and sand nourishment
3	204.00 – 204.50	Steep bluffs with high potential for failure that could impact rail infrastructure	Catchment structure
4	206.00 - 206.67	Near San Clemente State Beach - erosion exposing areas of limited to no riprap protection	Armoring and sand nourishment

*Range of solutions to be evaluated with Alternative Analysis (AA).

MP – Mile Post



Preliminary concepts; assumptions are subject to change as more information becomes available.

CITY OF SAN CLEMENTE
OFFICE OF THE CITY MANAGER

Date: January 6, 2025
To: Jason Lee, OCTA
From: Leslea Meyerhoff, AICP, Coastal Administrator
Re: Feedback on OCTA Coastal Rail Stabilization Priority Project Concepts
CC: City Manager, Mayor and City Council

Introduction

The City of San Clemente (City) appreciates the opportunity to provide preliminary feedback on the Draft Coastal Rail Stabilization Priority Project Concepts presented on 12/19/24. The OCTA rail line traverses the entire 5-mile length of shoreline in the City within a 100-foot right of way (ROW) that includes beaches and bluffs. As such the City is the primary stakeholder with a direct vested interest in the coastal rail stabilization project outcomes.

To that end, the City requests that the "Evaluation Criteria" being used by OCTA explicitly include "Local Preference" as a criterion. As a criterion, local preference should also be integrated into the scoring process.

As written, it is unclear if consideration of local/community preference is integrated into your decision-making process or assigned any weight in the alternatives analysis. However, given the extensive community outreach OCTA conducted in 2024 within our community in San Clemente it would seem that OCTA is committed to implementing stabilization projects in San Clemente that are supported by the community in which they will be constructed.

Our comments on the Coastal Rail Stabilization Priority Project concepts are provided below for your review and consideration. These comments should be reviewed in tandem with the City's comments to OCTA on the "*Coastal Rail Resiliency Study*" draft design concepts as the reinforcement area priority project delivery have the potential to set design precedent as they are interrelated in both physical space and time in the City.

Please note that the City of San Clemente will be a CEQA Responsible Agency if these projects undergo environmental review and are not found to be either statutorily or categorically exempted from the requirements of CEQA.

Local Coastal Resiliency Planning Context

For coastal policy and resiliency planning context, the City of San Clemente (City) continues to be a leader. In 2018, the City prepared a comprehensive, *Certified Local Coastal Program (LCP) Land Use Plan* update. In 2019, the City prepared a *Sea Level Rise Vulnerability Assessment* (SLRVA). In 2021, the City prepared a *Coastal Resiliency Plan* to establish an action plan for the preferred, long term shoreline management strategy for San Clemente. In 2022, the City established a regional shoreline monitoring program that collects data for that benefits all South Orange Counties agencies with coastal assets.

The direction provided by the City leadership, and the overwhelming consensus of the community, is that comprehensive and consistent beach sand replenishment, combined with strategic supplemental sand retention features is the preferred strategy for short and long-term shoreline management. This strategy emerged as the preferred approach to (1) addressing the immediate needs caused by coastal erosion due to sand supplies being cut off and (2) building long term coastal resilience in San Clemente. Comprehensive beach sand replenishment was intentionally and thoughtfully selected as it is the locally preferred approach that provides shoreline protection for existing structures and critical public infrastructure, and co-benefits sandy beach recreational space and natural resources.

The City's coastal setting and its sandy beach is the economic foundation of the local economy in San Clemente. In 2024, the City completed the first cycle of a 50-year beach sand replenishment project developed in partnership with the federal and State governments. The partnerships successfully forged with the US Army Corps of Engineers and California State Parks represent an important collaboration that will help to restore the sand supply in San Clemente bringing 2 million cubic yards of sand to the City over the next 50 years. In 2024, the City also conducted its third opportunistic beach sand replenishment project at North Beach.

The City also signed an MOU with SANDAG in December 2023 to participate in the third Regional Beach Sand Project which will bring another 1 million cubic yards of sand to the City in the coming years. The City's request to SANDAG to participate also opened the door to regional partners including Dana Point and the County of Orange.

The City is also conducting a sand retention study to develop alternative methods of slowing down the sand loss in the City and we are conducting an offshore borrow site investigation to develop additional offshore sand sources that can be used to sustain long term beach sand replenishment. Both of these efforts are grant funded and both will be completed in 2025 and we will make these available to you when complete.

The City brings these recently completed and planned costal resilience building projects to your attention to emphasize that efforts have already been initiated to implement our preferred comprehensive and consistent beach sand replenishment strategy and that we welcome OCTA as a partner in this effort.

By OCTA's own accounts, when the railroad was first established, and for the last 100 years the railroad was well buffered by the presence of a sandy beach that protected the railway.

Since the sand supplies from San Juan Creek have effectively been cut off from reaching the beach, the San Clemente region has reached critical mass in its lack of sand supply. This lack of sand is having a material effect on the OCTA rail line as well as all other existing structures along the coast. Focusing on restoring the sand supply remains the City's primary focus as it works to rebuild its beaches for current and future generations of residents and visitors.

Our expert coastal engineers have calculated that there is a sediment deficit on the order of 5 million cubic yards in the City in San Clemente. It is clear that in order to save the local beaches that have historically protected the railroad, OCTA and the City need to continue to work together to solve this regional challenge together.

To this end we recommend that you include (1) remaining a good regional partner agency and (2) maintaining a walkable sandy beach as two of the project goals and objectives which are listed in the presentation as Project Purpose and Need.

Recommendations for Reinforcement Area 3 (Bluffside Concepts)

The City prefers Area 3 Wall Design Concept with the 27-foot Offset as it relocates the pedestrian California Coastal Trail to the west side of the retaining wall. The trail is highly valued by the community and is heavily used by residents and visitors. In addition, the trail provides emergency access by City Lifeguards from Marine Safety to North Beach during high tides.

The City desires to have proactive, uniform, consistent and natural appearing bluff retention devices that replicate the look of the native bluffs installed in the City rather than a haphazard and inconsistent structures. The City also urges OCTA to ensure that no bluffside solutions preclude the existing Coastal Trail and that if it is jeopardized, it be relocated to the westside of the OCTA ROW along the beach as it is an important, highly valued and highly utilized community asset.

In response to recent failures, in 2024 the City explored the concept of a forming a district to cost share a uniform and consistent approach to stabilizing coastal bluffs through formalizing a plan of control. Such a plan of control could implement one or more of the

bluffside solutions identified by OCTA. Costs are borne by all property owners who benefit from the solution(s). Note also that the City has begun prohibiting permanent irrigation on coastal bluff top properties for projects requiring a discretionary action. While this will not have an immediate effect of reducing perched groundwater within the bluffs it will assist over time with slope stability.

The City desires to continue evaluating this option in collaboration with OCTA since the toe of the bluff slope and in some cases the slopes themselves are located within OCTA ROW. Additionally, when bluff failures do occur, they have a material and detrimental effect on OCTA rail line and railroad operations in general since the OCTA ROW is downslope from the coastal bluffs in San Clemente. Therefore, we request that you add a district to your list of alternatives that could be implemented Citywide, or in select areas more prone to bluff instability, and cost shared with all property owners that benefit from its formation.

Recommendations for Reinforcement Areas 1, 2 and 4 (Beachside Concepts)

Coastal resiliency is being achieved in San Clemente through implementing comprehensive and sustained beach sand replenishment. Any shore-parallel or shore-perpendicular structures such as mini-headlands or seawalls should be optimized to have a minimal footprint on the public beach. Minimizing the footprint of hard structures has significant economic benefits to OCTA too as CCC impact mitigation fees for beach sand and public recreation are based on the footprint/area of the structure. The bigger the structure the larger the mitigation fees according to CCC impact mitigation fee methodologies for shoreline structures.

When considering the comparative costs of a seawall versus revetment, the economics should consider reduced sand and public recreation impact mitigation fees for seawalls due to their smaller footprint on the beach. CCC currently calculates their fees on a square foot (area) basis.

It is unclear why the concepts for Reinforcement Areas 1, 2 and 4 have a 10-year design life as opposed to a 30-year design life to synchronize with the 30-year Coastal Rail Resiliency Study project design life. We think this is short-sighted and request clarification on the rationale behind a 10-year design life.

Similarly, the City does not understand the rationale for designing for a 50-year storm event as opposed to a more standard/traditional 100-year storm event. The San Clemente shoreline has a high energy wave climate and coastal storms create the most erosive hazard events likely to be encountered. Designing a solution that is intended to underperform and possibly fail from the outset does not make sense. We seek to understand the rationale and request that OCTA elaborate on the thinking behind the selection of a 50-year storm as the basis of design.

It is interesting that on slide 16, the “No-Project” alternative is defined as “reactive to emergencies”. In this case the no project alternative is not a no-action alternative (See CEQA §15626.6(e). This reference appears again on slide 19 where the no-project alternative explicitly states that no-project = placement of stone when needed.

We appreciate OCTA acknowledging that sand placed by the City of San Clemente at North Beach in summer 2024 (at its own cost of $2M) will benefit the railroad as the sand was placed partially within OCTA Reinforcement Areas 1 & 2. The City had permits to place up to 50,000 cubic yards of sand on the beach but was only able to obtain 37,000 cubic yards with approximately 10,000 cubic yards being diverted instead to Newport Beach.

Of the “General Concepts Being Considered” on slide 16, the City has made clear its preference for beach sand replenishment as the primary means for stabilizing the railroad tracks by replicating the original conditions that existed with the railroad was originally built whereby a wide sandy beach protected the railroad.

The City has offered to be a co-applicant with OCTA on a State Lands Lease (and other regulatory agency permits) to help OCTA expedite the placement of sand along the shoreline fronting the rail line. The City has also specifically offered use of the City’s existing land lease of the Surfside Sunset borrow site to assist OCTA as this approach enables utilization of a proven sand source to deliver sand in an expedited manner.

We understand that OCTA is contemplating armor stone units of up to 8 tons. The City is not in favor of adding additional shore parallel rock (e.g., unengineered riprap or engineered revetment) unless it is being designed to serve as the foundation of a living shoreline concept with additional beach area in front of the living shoreline. The City’s chief concern with the addition of more rock to the San Clemente shoreline is it that it will fundamentally and profoundly preclude the City’s ability to continue to implement its own beach sand replenishment projects which are the foundation of the City’s coastal erosion and SLR adaptation strategy.

In areas of the City, the OCTA rock revetment has migrated seaward such that it occupies up to 75 feet of the beach. Placement of beach sand (whether trucked or pumped onshore) occurs on the back of the beach as was done at North Beach in Summer 2024. The presence of rip rap or revetment creates a significant physical obstacle to beach nourishment and hinders lateral coastal access; therefore, the City is strongly opposed the addition of any more shore parallel rock or armor stone to its shoreline.

The City supports restacking existing rock (e.g., rip rap repair concept) if it means existing rock can be made more effective at protecting the tracks while remedying the seaward migration of the rock within the OCTA ROW and freeing up space for additional beach

sand replenishment efforts by OCTA and the City. To reiterate, addition of more rock to the beach is not supported by the community or the City for the reasons stated above.

The City may be supportive of the placement of short rock groins/headlands to create pocket beaches along the coast which would then be prefilled with sand to widen the beach such as the concept in place at Newport Beach. In fact, we are currently studying this option as part of our sand retention study. The City is conducting a study to evaluate the effectiveness of offshore structures including breakwaters and the feasibility study will be completed in Summer 2025 and we will share our findings with your team.

The City recommends that if railroad stabilization cannot be achieved solely by sand, exploring a bio-engineered concrete (such as ECOncrete or similar) seawall with a minimal footprint be studied for placement at the back of the beach to protect the railroad. A typical coastal seawall exposed to direct wave attack has a footprint of approximately 2.5 feet in width compared to the 50- to 75-foot-wide revetment footprint being contemplated by OCTA. While the City's preference is for sand only, as a secondary option the City may be supportive of a structure with a minimal footprint.

The City would not be supportive of cobble beaches due to community opposition or geotextile bags given the high wave energy environment in Reinforcement Areas 1, 2 and 4. Also, the Surfers Point concept shown on slide 24 should be deleted from the slide deck as that is a managed retreat project which is not an option on the table nor is it appropriate for a fully urbanized coastline.

Conclusion

In summary, we think that a combination of beach sand replenishment on regular intervals (every 5 or 10 years to synchronize with the City's USACE beach sand project) with potentially some minimal structures (mini-headlands or seawalls) may be a good solution to protect the tracks and retain a wide sandy beach that can protect the tracks over the long term. Monitoring would be required to ensure the solutions are performing as designed and adaptive management could be implemented as needed.

In 2024 alone, the City placed nearly 250,000 cubic yards of sand in the City. The City is developing several shovel ready beach sand projects to be built in 2025, 2026, 2027, 2028, and 2029. The USACE project will return to the City in 2030 to build the second phase of the City's 50-year federal beach sand project.

The City appreciates the continued conversation with OCTA regarding options for building short-term and long-term coastal resiliency in San Clemente. We request that OCTA remain focused on alternatives that provide the greatest public benefit and do not preclude the City's ability to implement its vision and plans for restoring the public beach to ensure a walkable dry sandy beach for current and future generations.

Coastal Rail Stabilization Priority Project Update

Background

1 Coastal Rail Stabilization Priority Project

immediate needs

- **Address imminent threats to maintain rail operations**
- **Four reinforcement areas identified as top priority**
- **Project includes armoring and sand replenishment**
- **$305 million in state and federal funds secured**
- **Construction to begin as early as 2026**

2 Coastal Rail Resiliency Study

short- to mid-term solutions

- Develop options to protect full seven miles of coastal rail infrastructure
- Assess climate impacts on coastal rail line
- Identify potential solutions
- Engage key stakeholders and agencies
- Study expected early 2026

3 Coastal Rail Long-Term Solutions Study

- State-led study
- Develop options for long-term solutions including potential rail line relocation
- Create an action plan for key elements
- Partner with LOSSAN, state, and federal agencies
- Engage key stakeholders

LOSSAN: Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency

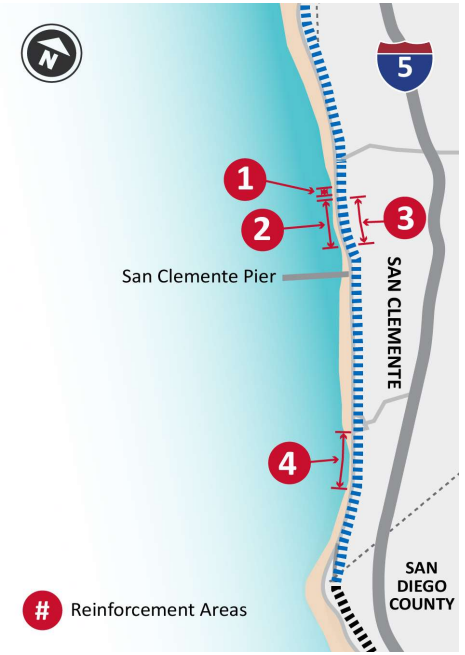
Coastal Rail Stabilization Priority Project

- Four reinforcement areas were identified in January 2024
- Potential solutions evaluated at a conceptual level considering different materials, performance, costs, methods, and schedule

Area	Location (MP)	Challenge	Potential Solutions*
1	203.80 – 203.90	Ongoing deterioration of existing riprap protection	Armoring and sand nourishment
2	204.00 – 204.40	Erosion - no beach at high tide and direct wave attack damaging existing riprap protection	Armoring and sand nourishment
3	204.00 – 204.50	Steep bluffs with high potential for failure that could impact rail infrastructure	Catchment structure
4	206.00 - 206.67	Near San Clemente State Beach - erosion exposing areas of limited to no riprap protection	Armoring and sand nourishment

*Range of solutions to be evaluated with Alternative Analysis (AA).

MP – Mile Post



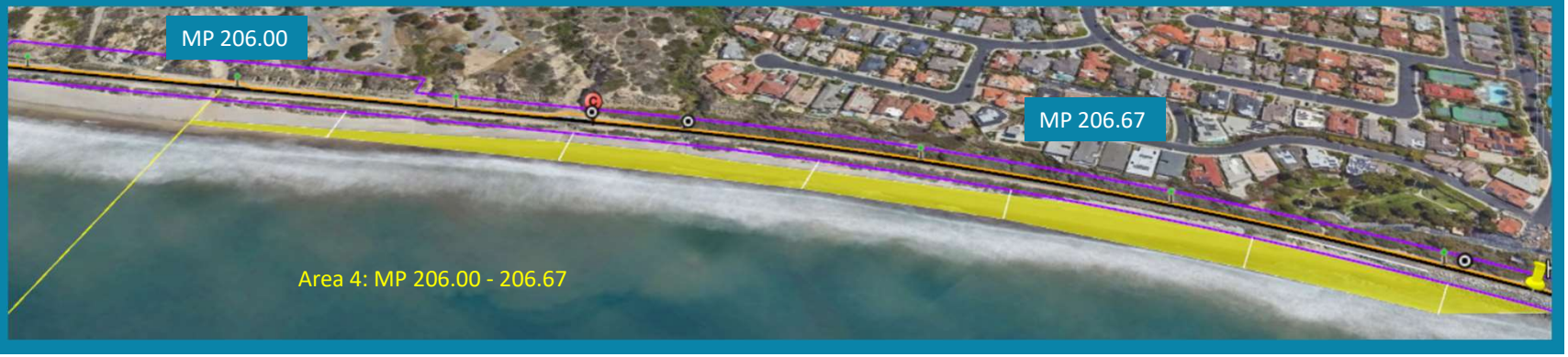
Preliminary concepts; assumptions are subject to change as more information becomes available.

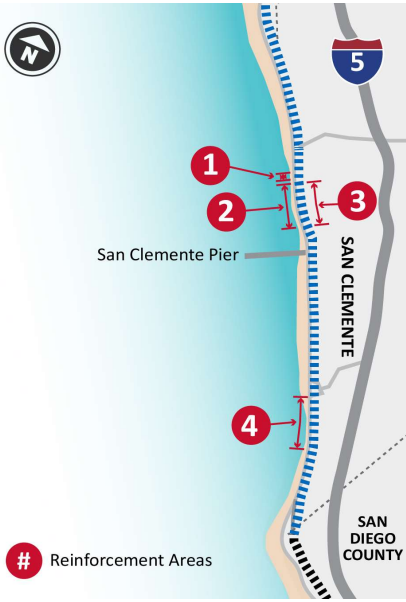
Reinforcement Areas 1 through 4

Areas 1 and 2

Area 3

Area 4





Standard vs. Emergency Process

STANDARD PROCESS

- Complete alternatives selection, design development, and environmental clearance process.
- Secure the necessary permits to begin construction.

EMERGENCY PROCESS

- Begin construction upon emergency notification to permitting agencies.
- Applies only when an existing issue has rendered the rail line non-operational, requiring immediate action to restore service.

CEQA – California Environmental Quality Act

Standard Project Delivery Process

Regulatory agencies determined that the Emergency Process does not apply to the reinforcement areas.

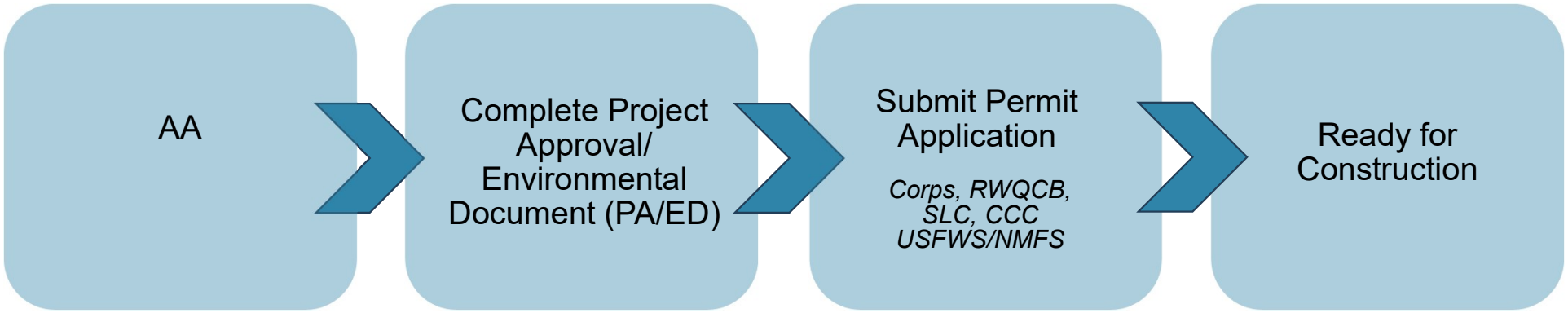
STANDARD PROCESS

- Complete alternatives selection, design development, and environmental clearance process.
- Secure the necessary permits to begin construction.

- Cyprus Shore, Casa Romantica, and Mariposa all were delivered through the Emergency Process.
- Reinforcement Area projects are intended to proactively stop potential emergencies.
- ***Emergency process not applicable, therefore the project will need to advance through the standard process.***
- Extends the time it takes to get to construction significantly.

General Non-Emergency Process

REQUIRED REGULATORY STEPS



- Field surveys and conceptual engineering analysis
- Assess alternatives that meet project objectives
- **12+ month Mid-2025**

- Conduct technical engineering and environmental studies
- Prepare environmental document environmental documents
- **12+ months Early 2027**

- Coordinate with regulatory agencies
- Conduct technical studies
- **12+ months Late 2027**

- Conduct final design
- Procure construction bid package
- **12+ months Early 2028**

Schedule is preliminary and subject to change

United States Army Corps of Engineers (Corps)
Regional Water Quality Control Board (RWQCB)
California State Lands Commission (CSLC)
California Coastal Commission (CCC)
United States Fish and Wildlife Service (USFWS)
National Marine Fisheries Service (NMFS)

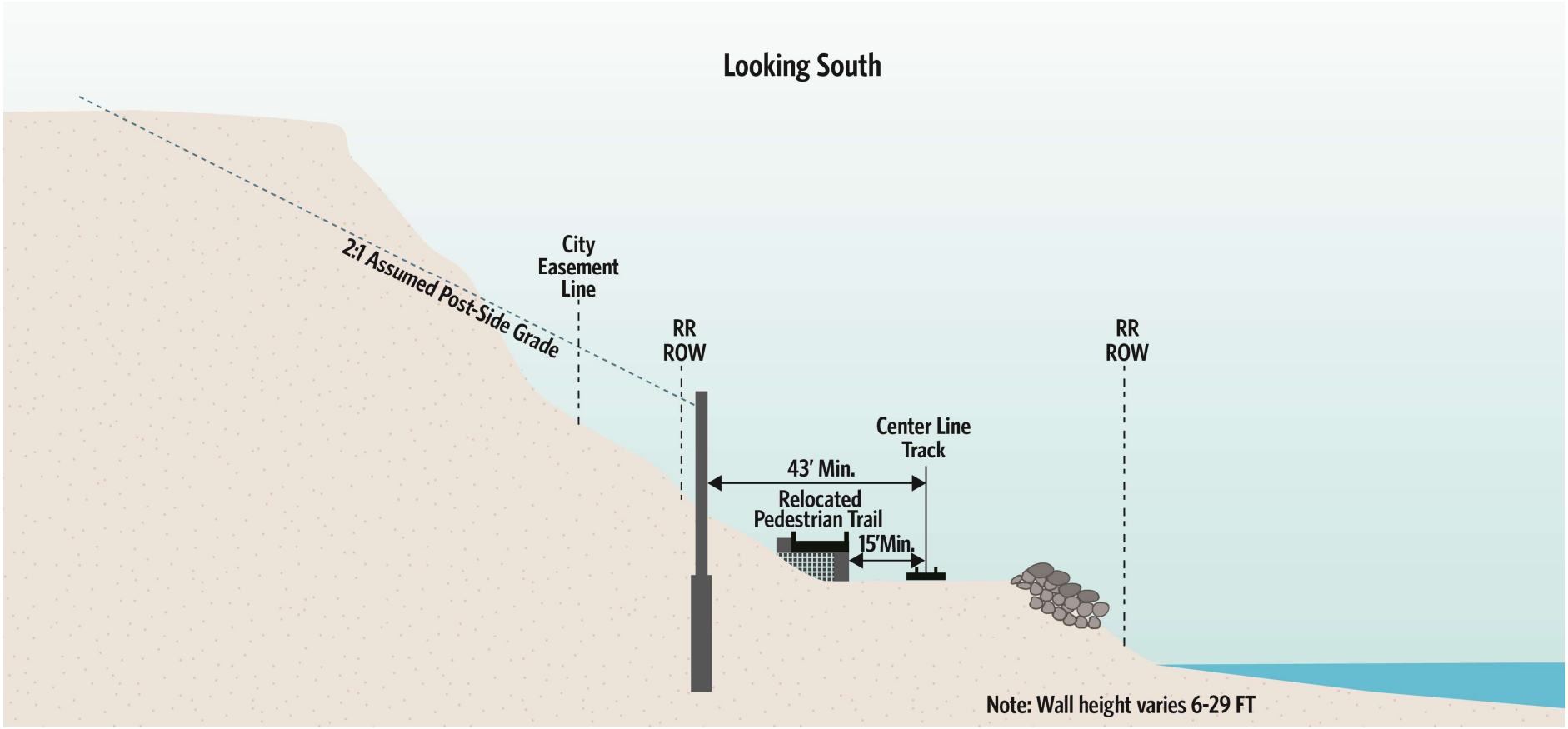
Area 3 Preferred Concept: Soldier Pile Wall

Photo: HDR

High-Level Considerations:

- Established method at Mariposa, Casa Romantica, and many other locations in the area
- Minimal footprint
- May sustain damage in landslide impact scenario
- Heavy steel and timber/concrete lagging add cost
- Deep foundation elements need to avoid utilities
- Opportunity to integrate aesthetic treatments
- Permitting: Advantages as ‘temporary, removable’ and within right-of-way. Would be consistent to aesthetic of the Mariposa Barrier Bridge

Area 3 Preferred Concept

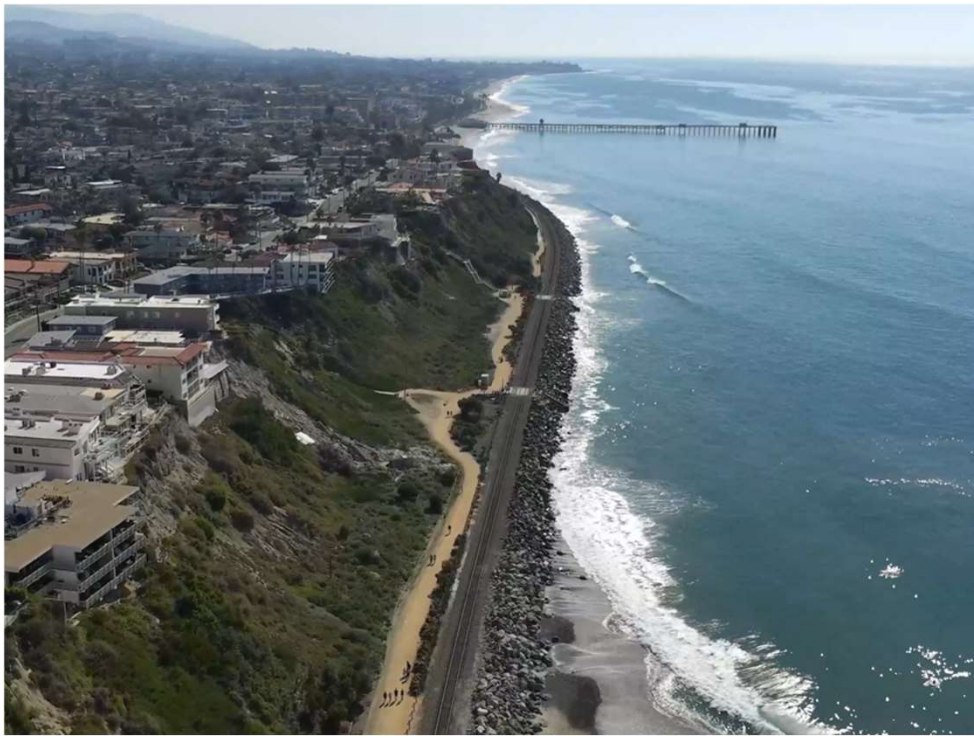


Preliminary concept; assumptions are subject to change as more information becomes available and design is further refined.

Areas 1, 2, and 4 – Top Ranking Concepts

Top concepts to be further evaluated:

- Repair riprap with sand nourishment
- Engineered revetment with sand nourishment
- Seawall with sand nourishment
- Sand nourishment only



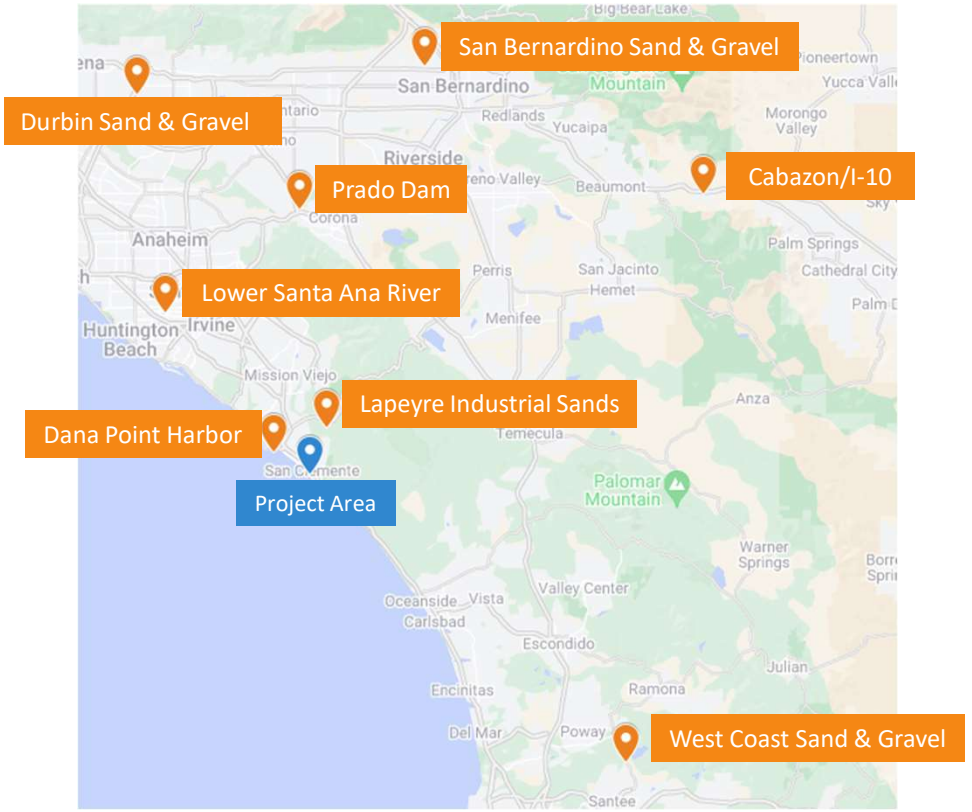
Areas 1, 2, and 4: Sand Sources and Delivery Methods

- Three delivery methods: trucking, rail, and off-shore dredging
- Major considerations:
  - Quantity available annually per site
  - Quality of sand suitable for beach use
  - Travel distance/route
  - Number of trips
  - Transportation cost
- Material cost
- Accessibility to deliver site
- Available staging areas
- Construction work windows

Areas 1, 2, and 4: Inland Sand Replenishment Sources

Estimated total sand needed: 540,000 CY

Source	Sand Available (CY)	Miles (roundtrip)
Prado Dam	*125,000*	*114*
Lapeyre Industrial Sands	*200,000+*	*26*
Lower Santa Ana River	*55,000*	*67*
Cabazon/I-10	*200,000+*	*190*
Durbin Sand and Gravel	*100,000+*	*121*
West Coast Sand and Gravel (San Diego)	*100,000+*	*140*
San Bernardino Sand and Gravel	*200,000+*	*148*
Dana Point Harbor	*Not Available*	



CY – cubic yards

Areas 1, 2, and 4: Inland Sand Source Considerations

- Additional infrastructure and right-of-way required (source and delivery sites)
- Sand cannot be side dumped onto beach
- Estimated to require over 100 train trips to transport volume of sand needed
- Train delivery would be every 7-10 days

Transfers – 30,000+ Truck Trips

Super 10 - 44,000+ Truck Trips

Belly Dump - 33,000+ Truck Trips

Estimated total sand needed: 540,000 CY

Areas 1, 2, and 4: Offshore Sand Sources Considered

- Surfside Sunset
  - Currently being utilized by City of San Clemente (City) and the Corps
- Oceanside
  - Sand quality not suitable
- Other
  - City is conducting study (2025) for additional offshore sources

Photo: OC Register

Sand nourishment projects will require the standard process for environmental clearance, regulatory permitting, and consultation for both borrow and placement sites

Progress to-date for Reinforcement Areas

- Completing environmental field surveys
- Performing baseline assessment for sand migration
- Completing alternative screening and evaluation
- Performing conceptual engineering analysis to support alternatives selection
- Completing AA process
- Continued collaboration with key stakeholders
- Early consultation with resource agencies to facilitate permitting

Funding Sources

Coastal Rail Stabilization Priority Project		
Coastal Rail Infrastructure Resiliency Project (Four Hot Spots)		
Project Approval / Environmental Document		**Amount**
Local Transportation Climate Adaptation Program	$	3,820,000
Measure M2/OC Go	$	960,000
Subtotal	**$**	**4,780,000**
Final Design and Construction		**Amount**
SB 125 Transit Program*	$	3,885,000
Consolidated Rail Infrastructure and Safety Improvements Program	$	100,000,000
SB 1 Trade Corridor Enhancement Program Advanced Programming	$	80,000,000
2024 Transit and Intercity Rail Capital Program	$	125,000,000
Subtotal	**$**	**308,885,000**
Project Total	**$**	**313,665,000**

*Additional $44,383,000 in SB 125 Available for Future Needs

Key Project Risks and Challenges

RISK: Potential additional bluff failures and coastal erosion during the project development process requiring emergency measures and rescoping of plans being developed

CHALLENGES:

- Selection of preferred project alternatives, taking into consideration multiple key stakeholders, and permitting resource agencies input
- Obtaining environmental approvals and permits required for selected alternatives
- Identification of a sand source with sufficient volume of sand available
- Obtaining a timely sand transport and viable delivery method
- Securing construction work windows to minimize impacts to active railroad operations

Next Steps

- Direct staff to complete PA/ED phase of project.
- Continue to explore expedited permitting in coordination with state and federal regulatory agencies.
- Continue to explore opportunistic sand to partner on existing sand nourishment efforts.

Update on Measure M2 Project B Interstate 5 Improvement Project Between Interstate 405 and State Route 55

Project B Background

- Measure M2: Project B – Interstate 5 (I-5) Between Interstate 405 (I-405) and State Route 55 (SR-55)
- Part of Updated Next 10 Delivery Plan approved by the Board of Directors
- Delivered in two Segments
  - Segment 1: From I-405 to Yale Avenue
  - Segment 2: From Yale Avenue to SR-55
- Project Development Team meetings during final design are ongoing with primary stakeholders

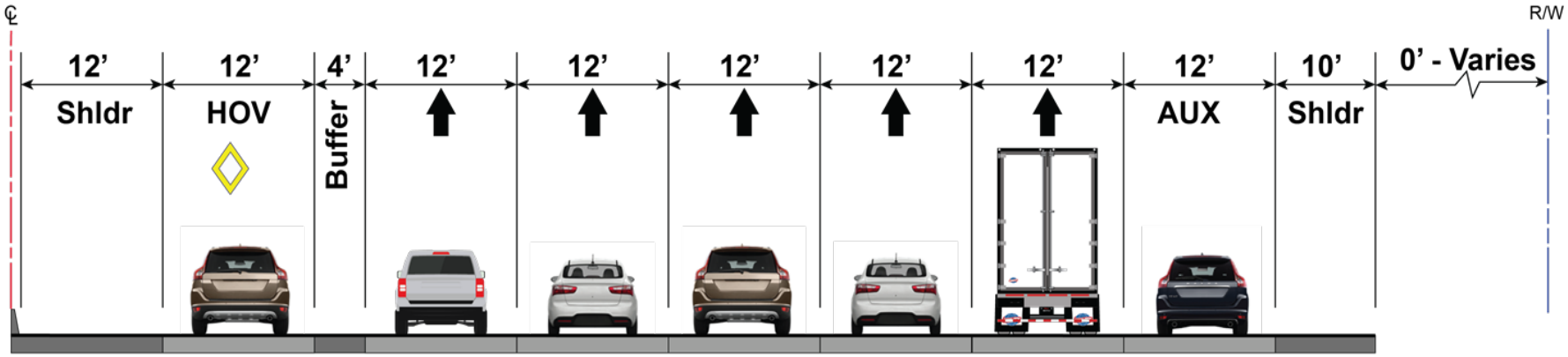
Project Improvements Overview

- Add one general-purpose (GP) lane in each direction
- Add new auxiliary (AUX) lanes
  - Culver Drive to Jamboree Road (Northbound)
  - Jeffrey Road to Sand Canyon Avenue (Southbound)
- Includes the California Department of Transportation (Caltrans) funded Multi-Asset scope
  - Pavement rehabilitation, maintenance safety improvements, fiber optic, traffic census station installation

Typical Freeway Cross Sections

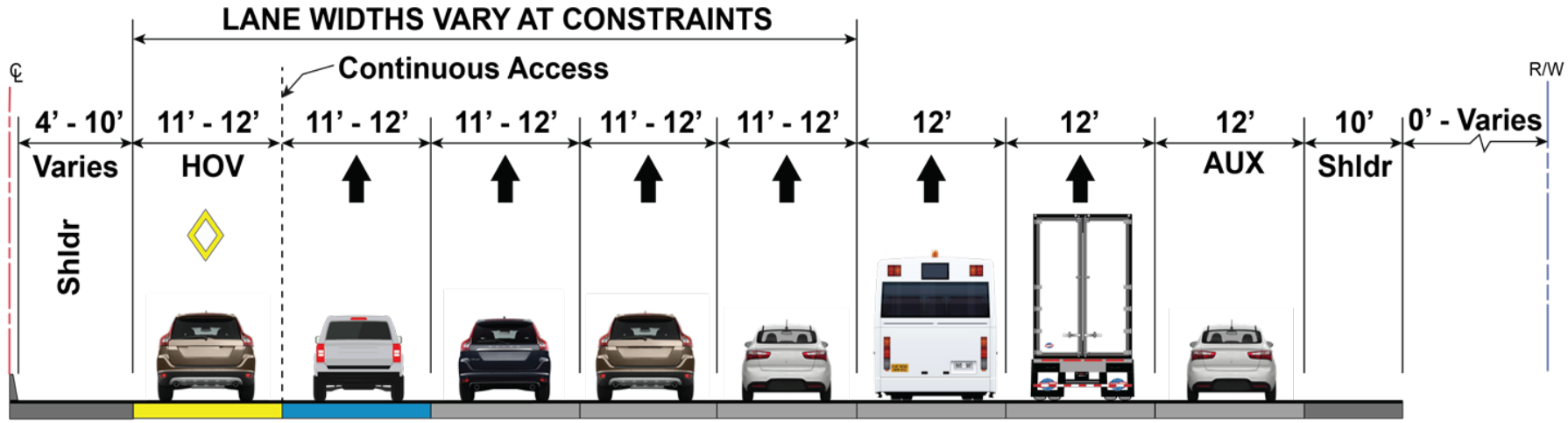
Existing (No Build)

No capital or operational improvements



Alternative 2 - Build

- Adds one GP lane in each direction
- Adds AUX lanes at certain locations
- Restripes High-Occupancy Vehicle (HOV) lanes for continuous access



Shldr – shoulder
R/W – right-of-way

Forecast Schedule and Costs

Milestone	I-5, I-405 to Yale Avenue (Segment 1)	I-5, Yale Avenue to SR-55 (Segment 2)
Environmental Clearance	February 2020	February 2020
Design Began	November 2021	May 2021
Ready-To-List	May 2025	March 2025
Caltrans Advertisement	August 2025	June 2025
Begin Construction	Mid 2026	Early 2026
Complete Construction	Late 2029	Early 2030
Overall Segment Cost	$388.1 Million	$327.9 Million

Outreach and Engagement Strategies

- Meet with Key Stakeholders
- Booths at Community Events
- Business Outreach
- Canvassing Flyers
- Digital Communications Tools
- Diverse Communities Outreach

Stay Connected

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