



**Proposed Modifications
to the
Comprehensive Transportation Funding Programs Guidelines**



36. When a project phase is complete, an agency shall notify OCTA in writing within 30 days of completion. The date of project phase completion will begin the 180-day requirement for the submission of a project final report as required by the M2 Ordinance, Attachment B, Section III.A.9.
37. An agency shall provide final accounting in an approved final report format (see Chapter 10) within 180 days of project phase completion. The process for untimely final reports is described in Chapter 10. Failure to provide a final accounting shall result in repayment of applicable M2 funds received for the project phase in a manner consistent with the Master Funding Agreement. Projects funded with M2 funding require a project final report within 180 days of project phase completion as part of eligibility compliance. Failure to meet eligibility requirements, including submittal of final reports within 180 days of project phase completion may result in suspension of all net revenues including fair share funds.
38. The payment distribution ratio referenced in Precept 35 may be modified to a reimbursement process, at the discretion of the Board, in the event that financing or bonding is required to meet OCTA's cash flow needs.
39. Agencies may appeal to the TAC on issues that the agency and OCTA staff cannot resolve. An agency may file an appeal by submitting a brief written statement of the facts and circumstances to OCTA staff. The appellant local agency must submit a written statement which proposes an action for TAC consideration. The TSC shall recommend specific action for an appeal to the TAC. The Board shall have final approval on appeals.
40. Projects within the Coastal Zone Boundary, as a requirement of a Coast Development Permit, may be required to replace existing on-street parking on a one-for-one basis for spaces removed as a result of a roadway widening project. Right-of-way costs to replace the existing on-street parking can be considered an eligible expense mitigation for coastal zone cities only (see exhibit IV-1). The mitigation activities can be covered up to 25 percent of the total eligible cost consistent with Precept 27. Jurisdictional boundaries are more fully described in the Public Resource Code, Division 20, California Coastal Act (2016) Sections 30168 & 30169. OCTA staff will work with the local agency staff during the project application process to determine eligibility of these costs and to identify any excess right-of-way that will require a disposal plan. OCTA and the local agency will also establish any savings that will revert back to the Measure M Program after project completion. The cost of right-of-way required to replace parking should be fair and reasonable in comparison to the total cost of the project.



TAC and Board. Funds can only be transferred to a phase that has already been awarded competitive funds. Such requests must be made prior to the acceptance of a final report, and submitted as part of a semi-annual review. State-Local Partnership Program (SLPP) funds are not eligible for the transfer of savings. Agencies may only use savings as an aid for unanticipated cost overruns within the approved scope of work.

23. Where the actual conditions of a roadway differs from the MPAH classification (e.g. number of through lanes), OCTA shall use the actual conditions for the purposes of competitive scoring. An agency may appeal to the TAC to request that the MPAH classification be adjusted/reconsidered.
24. For the purpose of calculated level of service (LOS), the capacity used in the volume over capacity calculation shall be 100 percent capacity, or LOS level "E". Intersection Capacity Utilization (ICU) calculations shall use 1,700 vehicles per hour per lane with a .05 clearance interval.
25. OCTA shall consider matching fund credit(s) for an implementing agency's proposed projects current and applicable environmental clearance expenditures. OCTA will review and consider these expenditures on a case by case basis at the time of funding approval.
26. An approved CTFP project may be determined ineligible for funding at any time if it is found that M2 funding has replaced all or a portion of funds or commitments that were to be provided by other sources such as: development conditions of approval, development deposits, fee programs, redevelopment programs or other dedicated local funding sources (i.e., assessment districts, community facilities districts, bonds, certificates of participation, etc.). Appeals may be made in accordance with Precept 39.
27. OCTA may fund environmental mitigation, up to 25 percent of the total eligible project cost by phase, as required for the proposed project contained in the environmental document. Participating environmental mitigation expenditures are eligible for funding under certain programs, but not all.
28. Construction Engineering, Construction Management, Materials Testing, Engineering Support and/or Project Management shall not exceed 15 percent of the total eligible project cost based upon the engineers' estimate. The cap is applied to the sum of eligible expenses, contract change orders (within the scope of work), equipment and materials (e.g. eligible traffic signal equipment).



Application Review Process

Once applications are reviewed and ranked according to the Board approved scoring criteria, a recommended funding program will be developed by OCTA staff. These programming recommendations will be presented to the TAC for review and comment. The TAC approved programming recommendations will then be presented to the OCTA Highways Committee and Board for review and final approval.

Local agencies awarded funding will be notified as to which projects have been funded and from what sources after the Board takes action. A tentative call schedule is detailed below:

Board authorization to issue call: August 201~~6~~7

Application submittal deadline: October 2~~0~~1, 201~~6~~7

TSC/TAC Review: February/March 201~~7~~8

Committee/Board approval: May 201~~7~~8

M2 Project O Funding

M2 Project O funding will be used for this call.

The CTFP Guidelines include a provision that allows applicants to request right of way (ROW) and/or construction funding prior to completion of the planning phase (included final design) provided that the phase is underway, substantially complete and the agency will complete the activities within six months of the start of the new phase programmed year. A thorough review of eligible activities is not always possible during the call for projects evaluation period. As a result, it is possible that cost elements contained within an application and included in a funding recommendation may ultimately be deemed ineligible for program participation. The applicant is responsible for ensuring projects are implemented according to eligible activities contained within the program guidelines.



Funding Estimates

Funding will be provided on a pay-as-you go basis. The RCP will make an estimated \$1.1 billion (in 2005 dollars) available during the 30-year M2 program. Programming estimates are developed in conjunction with periodic calls for projects. Funding is shared with intersection, interchange and grade separation improvement categories. No predetermined funding has been set aside or established for street widening.

Programming Approach

Programming decisions are based upon project prioritization ranking, feasibility and readiness. Each round of funding has resulted in a diverse range of activities, cost and competitive score. Funding applications may seek financial assistance for planning, engineering, right of way, construction or a combination of these activities. Effective grant programs include a combination of project development as well as implementation projects. In order to ensure continued distribution of funding opportunities between small and large scale projects, a tiered funding approach will be used.

An estimated \$32 million will be available for Project O programming during the 2018 Call for Projects. Category 1 projects are limited to those projects requesting \$5 million or less. Category 2 projects are defined as those requesting more than \$5 million in Measure M2 funds.

Tiered Funding Approach: The two-tiered funding (Tier 1 and Tier 2) approach will only be applicable to the RCP. This approach is proposed to prioritize high scoring projects while providing a balanced program with funding availability for small and large projects. The first tier is for projects scoring 50 points or higher, and the second tier is for projects scoring below 50 points. Within Tier 1, two categories would be established with 60 percent (Category 1) of the M2 funds available for smaller projects (requesting \$5 million or less), and 40 percent (Category 2) of the M2 funds available for larger projects (requesting \$5 million or more). This approach is intended to broaden the distribution of M2 funds to higher scoring/lower cost projects and retain the ability to fund larger projects without placing formal funding caps on allocations. Any M2 funds not used in Tier 1 would move to Tier 2 (projects scoring less than 50 points). A funding split between small and large projects is not recommended for Tier 2.

Applications may be for any project phase provided it represents a meaningful, logical terminus and is consistent with scoping from a previously funded project if applicable (i.e., if engineering was previously funded, the right of way and/or construction request must be for the same project scope).



Chapter 8 - Regional Traffic Signal Synchronization Program (Project P)

Overview

The Project P - Regional Traffic Signal Synchronization Program (RTSSP) includes competitive funding for the coordination of traffic signals across jurisdictional boundaries ~~in addition to~~ including Project based operational and maintenance funding. OCTA will provide funding priority to programs and projects, which are multi-jurisdictional in nature.

The RTSSP is based on the Traffic Signal Synchronization Master Plan (Master Plan). The Board adopted the Master Plan as an element of the MPAH on July 26, 2010. The Master Plan defines the foundation of the RTSSP. The Master Plan consists of the following components:

- Regional signal synchronization network
- Priority corridors for accelerated signal synchronization
- Definition of Traffic Forums
- Model agreements presenting roles and responsibilities for Project P
- Signal synchronization regional assessment every three years
 - NOTE: For Call for Projects 2018, Priority Corridors are not an eligible inclusion and no additional points will be awarded. A Priority Corridor is considered to be on the Signal Synchronization Network.

The Master Plan will be reviewed and updated by OCTA every three years and will provide details on the status and performance of the traffic signal synchronization activities over that period. Local agencies are required to adopt and maintain a Local Traffic Signal Synchronization Plan (Local Plan) that is consistent with the Master Plan and shall issue a report on the status and performance of its traffic signal synchronization activities. Details on both the Master Plan and requirements for Local Plan development are available in the "Guidelines for the Preparation of Local Signal Synchronization Plans" dated April 2014. A hard copy of these guidelines can be requested from OCTA.

The remainder of this chapter details the key components of the RTSSP:

- Funding guidelines for the competitive call for projects
- 2018 Call for Projects

Projects compete for funding as part of the RTSSP. Projects submitted by local agencies as part of the call must meet specific criteria. Projects are rated based on scoring criteria and are selected based on their competitive ratings.



Section 8.1 - Funding Guidelines

Objectives

Synchronize traffic signals across jurisdictions

- Monitor and regularly improve the synchronization.
- Synchronize signals on a corridor basis reflecting existing traffic patterns in contiguous zones or road segments that have common operations.

Project Definition

Local agencies are required to submit complete projects that, at minimum, result in field-implemented coordinated timing. Project tasks that are eligible for funding can consist of design, engineering, construction, and construction management. Partial projects that design improvements but do not field implement the improvements are ineligible.

Projects must consist of a corridor along the priority corridor network, signal synchronization network, or the Master Plan of Arterial Highways (MPAH). Projects previously awarded RTSSP funding must be complete with a final report submitted and approved by OCTA. Projects can be the full length of the corridor or a segment that complies with the project requirements identified later in the chapter. **Communication system improvements that directly benefit signal synchronization along the project corridor limits, but are not physically within the project corridor, are eligible for inclusion in a project.**

Applicant agency and owning agency must demonstrate through simulation, or actual vehicle counts showing Origin – Destination that proposed linked corridors for a route. Two linked corridors may also combine at the point of intersection to form a single local Master offset Control Point (T₀) for future Zone operations.

Multimodal consideration of bicyclists and pedestrians along or crossing the intersection or roadway may enhance overall circulation. Therefore, active transportation elements may be included as part of the project.

Eligible Activities

The primary purpose of the Program is to provide funding for projects that develop and maintain corridor-based, multi-jurisdictional signal synchronization along corridors throughout Orange County. All projects funded by this Program must be corridor-based and have a signal coordination component that includes the following:

- Signal Coordination
 - Developing and implementing new signal synchronization timing ~~and~~ parameters based on current travel patterns, and federal and state MUTCD traffic signal timing mandates and guidance



- Monitor, maintain (minimum quarterly/maximum monthly) and/or regularly improve the newly implemented signal synchronization timing and parameters after project signal timing is implemented for the remainder of the project
- “Before” and “after” studies for the project using comparing travel times, average speeds, ratio of green lights passed to red lights stopped (greens per red), average stops per mile, and emissions of greenhouse gases

In addition to developing optimized signal timing, a project may include other improvements as long as they contribute to the goal of multi-agency signal synchronization of corridors throughout Orange County. These improvements are restricted to the signal synchronization project limits, but may include traffic signalized intersections on intersecting corridors where new optimized timing has occurred within the past three years; maximum distance for either direction from crossing arterial intersection in 2,700 feet. Gap closure with the exception of communications links that are installed from a central location to the project corridor are eligible. All improvements must be designed to enhance the specific project. The following are a list of potentially eligible items as part of a signal coordination project:

- New or upgraded detection
 - Upgrade detection along the signal synchronization corridors to ensure necessary conditions for signal synchronization: inductive loops, video detection, radar, sonar, thermal, hybrids thereof, and other types of detection systems
- New or upgraded communication systems
 - New contemporary communication system improvements (e.g. Ethernet) including all conduits, pull boxes, fiber optic and/or copper cabling, network switches and distribution systems
 - Replacement fiber optic or copper cabling for network communication
 - Fiber optic is the preferred medium and includes pull boxes, network switches and distribution systems
 - Software and hardware for system traffic control
 - Control and monitoring interconnect conduit (including upgrades or replacement of existing systems)
 - Gap closure systems of conduit, cable, and associated equipment that are outside of project limits but complete a designated communications link to an existing network for the Advanced Transportation Management System (ATMS) for an agency or agencies. (See paragraph 2, page 8-3)
- Communications and detection support
 - Monitor, maintain, and repair communication and detection along synchronized corridors to ensure necessary conditions for signal synchronization including



- interconnect and Central Systems and Local Systems communications equipment (two years after Primary Implementation acceptance)
- Intersection/field system modernization and replacement
 - Traffic signal controller replacement of antiquated units with Advanced Transportation controller (ATC) units
 - Controller cabinet (assemblies) replacements that can be shown to enhance signal synchronization
 - Closed circuit television (CCTV (also can perform video detection))
 - Uninterruptible power supply (UPS) for ATMS and intersection field equipment
 - For ATMS, UPS shall solely provide electrical power for ATMS Server(s), one dedicated workstation (console terminal) and related communications devices
 - Limited cost and scale
 - UPS not intended to provide power to entire TMC
 - Approval is at the sole discretion of the AUTHORITY
 - Minor signal operational improvements (new)
 - Emergency vehicle preempt (signal-intersection control equipment only)
 - Transit signal priority (signal-intersection control equipment only)
 - Channelization (striping and legends) improvements required for traffic signal phasing but not requiring street construction
 - Traffic signal phasing improvements that will improve traffic flow and system performance including protective permissive left turns and shared pedestrian phasing
 - Improvements to comply with new federal or state standards (MUTCD) for traffic signal design as related to signal synchronization
 - Pedestrian countdown heads
 - Traffic management center (TMC)/traffic operations centers (TOC) and motorist information
 - New TMCs or TOCs (any project funded under this category must be planned or built to be center-to-center communication “ready” with nearby agencies and/or OCTA)
 - Upgrades to existing TMCs or TOCs (any project funded under this category must be planned or built to be center-to-center communication “ready” with nearby agencies and/or OCTA)
 - Motorist information systems (up to 10 percent of total project costs)
 - Video display equipment, including wall monitors, screens, mounting cabinets, and optical engines (up to 10 percent of total project costs)
 - Real-time traffic actuated operations and demonstration projects



- Adaptive traffic signal systems
- Caltrans encroachment permits and agency to Caltrans Cooperative Agreement fees
 - Includes eligible Caltrans labor, capital, and permitting expenses
- Active Transportation/Pedestrian Safety related elements
 - Installation of new and/or improved traffic control devices to improve the accessibility, mobility and safety of the facility for pedestrians and bicyclists
 - Accessibility Pedestrian Push Button Systems
 - ~~Improvements to existing traffic control devices to improve the accessibility, mobility and safety of the facility for pedestrians and bicyclists~~

~~**Note: Construction of new or replacement elements will not be considered eligible for Project P funding during the 2017 Call for Projects.** In an effort to address ongoing timely project delivery issues and to reduce delays often related to construction items, emphasis during this cycle is on “plug & play” elements such as new cabinets, controllers, software, communications equipment, operations and maintenance activities. Placement of new conduit, fiber optic cable or construction of facilities will not be considered at this time. Please consult with Ms. Sam Kaur as Program Manager if in doubt about an eligible item. Projects that require construction items should be deferred until the next funding cycle.~~

In addition, expenditures related to the design of systems, permitting, and environmental clearance are eligible for funding.

Ineligible Expenditures

- Isolated traffic signal improvements
- Traffic hardware (pole, mast arms, lights, electrical, signs, etc.)
- Regular signal operation and maintenance (such as replacement of light bulbs)
- Field display equipment (Traffic/not pedestrian signal heads)
- Feasibility studies
- Relocation of utilities except for electrical service requirements
- ~~Battery backup systems for TMC~~
- Right-of-way

Funding Estimates

The streets and roads component of M2 is to receive 32 percent of net revenues, 4 percent of which are allocated for the RTSSP. The RTSSP will make an estimated \$270 million (2009 dollars) available over the course of the 30-year M2 Program. Programming estimates are developed in conjunction with a call for projects cycle corresponding to concurrent funding agreements with all local agencies.



The RTSSP targets over 2,000 intersections across Orange County for coordinated operations. Because of the limited amount of funds available for the RTSSP, project cap of ~~\$60,000~~ \$75,000 per signal or ~~\$200,000~~ \$250,000 per project corridor mile included as part of each project (whichever is higher) has been established for the call for projects.

Selection Criteria

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on furthering the overall goal of multi-jurisdictional, corridor-based signal synchronization.

Vehicle Miles Traveled (VMT): Centerline length of segment(s) on the corridor proposed for synchronization multiplied by the existing average daily traffic (ADT) for the proposed segment(s) length. For instance, for a three-mile segment with one-mile interval ADT data at of 200 vehicles, 300 vehicles, and 400 vehicles, the VMT would be calculated as:

$$200 \text{ vehicles} * 1 \text{ mile} + 300 \text{ vehicles} * 1 \text{ mile} + 400 \text{ vehicles} * 1 \text{ mile} = 900 \text{ vehicle miles.}$$

VMT should be calculated by the smallest segmentation on which the city typically collects ADT data. (maximum: 20 points)

ADT must be based upon actual count information taken within the 36 months preceding the application date. Data from the OCTA Traffic Flow Map may not be used.

Cost Benefit: Total project cost divided by Existing VMT. (maximum: 10 points)

Project Characteristics: Points are awarded based on the type and relevance of the proposed project. For instance, points accumulate if a signal synchronization project is combined with improvements as defined in the "Eligible Activities" section above. (maximum: 10 points)

Transportation Significance: Points are earned based on the corridor being on the ~~priority corridor network or the~~ signal synchronization network. (maximum: ~~105~~ points) (Priority signal network will not be a part of the 2018 Call for Projects. No points will be awarded for being on a Priority Corridor.)

Maintenance of Effort: Points are earned for a commitment to operate the project signal synchronization timing for a defined period of time beyond the three year grant period. (maximum: 5 points)

Project Scale: Points are earned for including more intersections along ~~priority corridor network~~, signal synchronization network, or serving as a signal corridor "gap closure". (maximum: 10 points)

Number of Local Agencies: Points are earned for including multiple local agencies as part of the project. (maximum: 20 points)



Current Project Readiness: Points are earned based on the current status of the project development. Evidence of actual preliminary engineering performed for proposals requesting funding for implementation phases must be provided to qualify for points related to this attribute. (maximum for category: 10 points)

Funding Rate: The percentages shown in Table 8-1 apply to match rates above a local agency's minimum match requirement. M2 requires a 20 percent local match for RTSSP projects. Project match rates above 20 percent is limited to dollar match only. (maximum: 5 points)



Table 8-1

RTSSP SCORING CRITERIA Point Breakdown for Regional Traffic Signal Synchronization Projects Maximum Points = 100

<p>Vehicle Miles Travelled (VMT) Points: 20</p> <table border="1"> <thead> <tr> <th>VMT Range</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>250+ thousand</td> <td>20</td> </tr> <tr> <td>200 - 249 thousand</td> <td>15</td> </tr> <tr> <td>150 - 199 thousand</td> <td>10</td> </tr> <tr> <td>100 - 149 thousand</td> <td>6</td> </tr> <tr> <td>50 - 99 thousand</td> <td>3</td> </tr> <tr> <td>0 - 49 thousand</td> <td>1</td> </tr> </tbody> </table> <p>Calculation: ADT x segment length (Applies only to coordinated segments of project)</p>	VMT Range	Points	250+ thousand	20	200 - 249 thousand	15	150 - 199 thousand	10	100 - 149 thousand	6	50 - 99 thousand	3	0 - 49 thousand	1	<p>Project Scale Points: 10</p> <table border="1"> <thead> <tr> <th>Number of Signals Coordinated by Project Range</th> <th>Point</th> </tr> </thead> <tbody> <tr> <td>50+</td> <td>5</td> </tr> <tr> <td>40 - 49</td> <td>4</td> </tr> <tr> <td>30 - 39</td> <td>3</td> </tr> <tr> <td>20 - 29</td> <td>2</td> </tr> <tr> <td>10 - 19</td> <td>1</td> </tr> <tr> <td>< 10</td> <td>0</td> </tr> </tbody> </table> <p style="text-align: center;">AND</p> <table border="1"> <thead> <tr> <th>Percent of Corridor Signals Being Retimed Range</th> <th>Point</th> </tr> </thead> <tbody> <tr> <td>90% or above</td> <td>5</td> </tr> <tr> <td>80 - 89%</td> <td>4</td> </tr> <tr> <td>70 - 79%</td> <td>3</td> </tr> <tr> <td>60 - 69%</td> <td>2</td> </tr> <tr> <td>50 - 59%</td> <td>1</td> </tr> <tr> <td>< 50%</td> <td>0</td> </tr> </tbody> </table> <p>Calculation: Number of signals in project divided by total signals in full corridor length</p>	Number of Signals Coordinated by Project Range	Point	50+	5	40 - 49	4	30 - 39	3	20 - 29	2	10 - 19	1	< 10	0	Percent of Corridor Signals Being Retimed Range	Point	90% or above	5	80 - 89%	4	70 - 79%	3	60 - 69%	2	50 - 59%	1	< 50%	0		
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* Points are additive to category maximum



Application Process

Project grants are determined through a competitive application process administered by OCTA. Agencies seeking funding must complete an online application, a supplemental application, and provide supporting documentation that will be used to evaluate the project proposal as outlined below. Key information to be provided as part of the application process includes:

- Funding needs by phase and fiscal year
- Percent match rate including funds type, source, and description (minimum 20 percent)
- Lead agency Option 1 (default – local agency) or Option 2 (OCTA)
- Lead and supporting agencies names
- Supporting technical information
- Project development and implementation schedule
- Environmental clearances and other permits
- Any additional information deemed relevant by the applicant
- Complete photographic field review (including cabinet interiors and communication facilities) for all projects that either exceed one million dollars in capital improvements or request OCTA serve as lead agency regardless of capital improvement budget.

A call for projects for the funding cycle will be issued as determined by the Board. Complete project applications must be submitted by the established due dates to be considered eligible for consideration.

Applications will be reviewed by OCTA for consistency, accuracy, and concurrence. Once applications have been completed in accordance with the Program requirements, the projects will be scored, ranked, and submitted to the TSC, TAC, and the Board for consideration and funding approval. OCTA reserves the right to evaluate submitted project costs for reasonableness as part of the review and selection process and suggest potential revisions to make the cost more appropriate. Grants will be subject to funding agreements with OCTA.

Application Instructions

An application should be submitted for a single corridor project. Multiple corridors, related systems of corridors, and corridors that form a “grid” ~~must~~ may be submitted as separate ~~or single corridor~~ project(s). The following instructions should be used in developing project applications.



OCFundtracker Application Components

Final applications MUST be submitted via OCFundtracker and in hard copy format. Selection criteria must be inputted as part of the OCFundtracker online application and includes the following categories of information:

- Vehicle Miles Traveled
- Cost Benefit
- Project Characteristics
- Transportation Significance
- Maintenance of Effort
- Project Scale
- Number of Local agencies
- Current Project Readiness
- Funding Match Rate

Minimum Eligibility Requirements

All local agencies may participate in the RTSSP. Caltrans facilities are eligible for the RTSSP, but Caltrans cannot act as the lead agency. Local agencies will be required to provide a minimum of 20 percent matching funds for eligible projects (see definition of matching funds below).

The goal of the RTSSP is to provide regional signal synchronization that cross jurisdictional boundaries. To be eligible for funding through this Program, a project must meet the following requirements:

1. Be on a street segment that is part of the ~~priority corridor network~~, signal synchronization network, or the MPAH. The project must be consistent with Local Signal Synchronization Plans and support the Regional Traffic Signal Synchronization Master Plan goals.

2. Be multi-jurisdictional, have documented support from all participating local agencies (cities, County, or Caltrans) and a minimum of 20 signals

or

Be multi-jurisdictional, have documented support from all participating local agencies (cities, County, or Caltrans) and a minimum distance of five miles

or

Include at minimum three local agencies, have documented support from all participating local agencies (cities, County, or Caltrans), and have a minimum intersection density of four intersections per mile with a minimum of eight signals



or

Include the full length of the ~~priority corridor or~~ signal synchronization network corridor, or MPAH corridor

Matching Funds

Local agencies along the corridor are required to provide minimum local match funding of 20 percent for each project. As prescribed by the M2 Ordinance, this includes local sources, M2 Fair Share, and other public or private sources (herein referred to as a “cash match”). Projects can designate local matching funds as cash match, in-kind match provided by local agency staff and equipment, or a combination of both.

“In-kind match” is defined as those actions that local agencies will do in support of the project including staffing commitment and/or new signal system investment related to improved signal synchronization. Examples of staffing commitment include, but are not limited to, implementation of intersection or system timing parameters, review of timing documentation, meeting participation, conducting or assisting in before/after studies, and other similar efforts that directly enhance the signal synchronization project. Administrative staff time for documentation of in-kind services is ineligible. Staff time charged to a project is limited to the caps as described in these guidelines. Allowable signal system investment would be improvements that are “eligible activities” per the funding guidelines, which can be shown to improve signal synchronization and would not include any prior investments made by the agency.

The specific matching requirement by project category type is listed below for city led projects:

Project category	Type of matching allowed*
Signal coordination	In-kind match** or cash match
New or upgraded detection	In-kind match** or cash match
New or upgraded communications systems	In-kind match** or cash match
Communications and detection support	In-kind match** or cash match
Intersection/field system modernization and replacement	In-kind match** or cash match
Minor signal operational improvements	In-kind match** or cash match



Traffic management center/traffic operations centers and motorist information systems	Cash match
Real-time traffic actuated operations and demonstration projects	Cash match

* Project match beyond 20 percent is limited to cash match only.

** In-kind services are subject to audit.

In-kind match must be defined for each local agency as part of the supplemental application. In-kind match must be identified as staffing commitment and/or new signal system investment. The supplemental application template will include a section to input in-kind match type as well as additional data related to the match:

- Staffing commitment
 - Staff position
 - Number of hours
 - Hourly (fully burdened) rate
 - Total cost
- New signal system investment
 - Cost of any signal system investment
 - Benefit to project

Projects submitted as OCTA led require a 20 percent cash match for Primary Implementation activities with a nominal in-kind allowance for local agency oversight. Operations and Maintenance activities will be permitted in-kind match only for local agency oversight functions. Contract activities will require cash match. Local agency contributions identified as cash match in the application cannot be converted into in-kind match.

OCTA staff will review in detail the presented cash and in-kind match by local agency for reasonableness. Additional requirements on in-kind match as part of the upcoming call are provided in Section 8.2.

Other Application Materials

Supporting documentation is required to fully consider each project application. A Supplemental Application Template is required to be completed for each project application. The template is distributed with other application materials at the issuance of the Call for Projects. In addition to the funding plan described above, local agencies will be required to submit the following materials:

Lead Agency: Lead agency for the project must be identified: local agency or OCTA.



Participating Agencies: All participating agencies must be identified and adopted City Council resolutions or Minute Order actions authorizing the participating agency's support of the project under the lead agency must be included. **If a draft copy of these resolutions of support are provided, the local agency must also provide the date the resolution will be finalized by the participating agency's governing body.** A final copy of the City Council approved resolution must be provided at least four (4) weeks **PRIOR** to the consideration of programming recommendations by OCTA's Board of Directors.

Council Approval: A Council Resolution or Minute Order action authorizing request for funding consideration with a commitment of project local match funding must be provided with the project application from all participating agencies. **If a draft copy of the resolution is provided, the local agency must also provide the date the resolution will be finalized by the local agency's governing body.** A final copy of the City Council approved resolution must be provided at least four (4) weeks **PRIOR** to the consideration of programming recommendations by OCTA's Board of Directors.

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

Lead Agency

This Program is administered through a single lead agency: a local city or OCTA.

Local Agency Lead: Only the lead agency will receive payments in accordance with the CTFP Guidelines regarding payment for costs related to project for optimized signal timing development, capital improvements, planning, and related design. Payments will be disbursed consistent with Chapter 10. The lead agency is responsible for reimbursing other agencies as part of the effort. Additionally, the lead agency is also responsible for ensuring that all agencies participating in the project provide the local match proposed in the project application.

OCTA Lead ~~(Not available for 2017 Call for Projects)~~: OCTA may, at the request of the involved local agencies, act as the lead agency for RTSSP projects. If the involved local agencies would like OCTA to implement a project on the signal synchronization network, the local agency shall work cooperatively with OCTA to develop the scope of work and cost elements of the project. The lead local agency shall contact OCTA with **a written request at least four weeks prior to submittal of the project grant application.** Projects nominated for OCTA lead ~~must~~shall be discussed at the Traffic Forum. Applications must include a complete photographic field review (as outlined above) when



submitted. The application will be scored using the criteria outlined in the previous sections. Based on local agency interest and OCTA resource availability, a limited number of projects will be developed and implemented by OCTA. ~~Recent calls have resulted in OCTA implementing seven projects per year.~~

If any projects that are designated as OCTA lead are awarded funding, OCTA will then be responsible for implementation of the project including optimized signal timing development, capital improvements, planning, and related design. OCTA will implement the project based on the cost estimates developed in the application. Project elements may be modified based on final costs with the agreement of all participating agencies. OCTA will be responsible for ensuring that all agencies participating in the project provide the local match as identified in the project application (minimum 20 percent).

Additionally, for projects designating OCTA as lead agency, a consultant traffic engineering firm ~~will~~ may be contracted to provide staff and services to implement the project. Therefore, in-kind match designated as staffing commitment under an OCTA lead agency option ~~should~~ shall be limited. The following will be used as a guide for staffing commitment, when the local agency develops the application:

- Primary Implementation (12 months)
 - Project Administration - Each local agency traffic engineer or equivalent participates in approximately 10-15 hours per month of project administration (meetings, review of reports, minutes, and other administration).
 - Signal Synchronization Timing - Each local agency traffic engineer or equivalent reviews consultant developed draft and final timing plans for intersections within the local agency, approximately 2-4 hours per local agency intersection.
 - Before and After Study - Each local agency traffic engineer or equivalent reviews consultant developed draft and final project Before and After Study, approximately 2-5 hours per local agency.
 - Engineering design/review - Each local agency traffic engineer or equivalent reviews consultant developed engineer design within the local agency, approximately 2-4 hours per affected local agency intersection.
 - System integration - Each local agency traffic engineer or equivalent provides support for this function (hours vary depending on improvements).
 - Construction management - Each local agency traffic engineer or equivalent provides construction management support including inspection (hour vary depending on improvements).
- Ongoing Maintenance and Monitoring (24 months) - Each local agency traffic engineer or equivalent participates in continued project level meetings of 2-5 hours per local agency per month to review consultant traffic engineering progress of Ongoing Maintenance and Monitoring. In addition, each local agency traffic engineer or equivalent reviews consultant developed draft and final project report.



For projects designating a local agency as lead, the above may be used as a guide with additional local match related to implementation, development, design, monitoring and other costs that the local agency may choose to include as local match. For instance, Ongoing Maintenance and Monitoring may be performed by in house staff and be calculated using a different formula (e.g., 2-5 hours per local agency signal for 24 months).

Project Cancellation

If a local agency decides to cancel a project, for whatever reason, the agency shall notify OCTA as soon as possible. Projects deemed infeasible shall bring that phase to a logical conclusion, file a final report, and cancel remaining phases so that remaining funds can be reprogrammed without penalty.

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

If a lead agency decides to cancel a project before completion of the entire project, for whatever reason, the agency shall notify OCTA as soon as possible. It is the responsibility of the project lead agency to repay OCTA for any funds received.

Project Extensions

Local agencies are provided 36 months to expend the funds from the date of encumbrance. Agencies can request timely use of funds extensions through the SAR in accordance with the CTFP guidelines. Local agencies should issue a separate Notice to Proceed (NTP) while combining contracts for both the PI and O & M phases. NTP requirement should be identified in the initial contract/agreement to avoid obligation of both phases at the same time. If this procedure is followed by the local agency the NTP date will be considered the date of encumbrance for the O & M phase.

Audits

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

Data Compatibility

All count data collected as part of any funded project shall be provided to OCTA in one of the two following digital formats: 1) NDS/Southland Car Counters style Excel



spreadsheet; or 2) JAMAR comma separated value style text file. The data shall then be loaded into the OCTA Roadway Operations and Analysis Database System (ROADS). Any data files containing numeric intersection or node identifiers shall use the same node identification (ID) numbers as is stored in the ROADS database. OCTA shall provide a listing of intersections and corresponding unique node ID numbers. Each count data file shall adhere to the following file naming or csv. As an example, a turning movement count file for the intersection of Harbor Boulevard and Wilson Street in Costa Mesa would be given the filename CostaMesa_Harbor-Wilson_4534.csv.

All traffic signal synchronization data collected and compiled as part of any funded project for both existing (before) and final optimized (after) conditions shall be provided to OCTA in Synchro version 68/9 csv Universal Traffic Data Format (UTDF) format and version 7 combined data UTDF format. This data shall include the network layout, node, link, lane, volume, timing, and phase data for all coordinated times. All such data shall be consistent with the OCTA ROADS database.



Section 8.2 - 2018 Call for Projects

The following information provides an overview of the 2018 RTSSP Call for Projects.

1. For this RTSSP Call for Projects, projects totaling up to **\$8 million** in M2 funds will be available to local agencies.
2. Projects must result in new, optimized, and field-implemented coordination timing.
3. Project ~~must~~ may be a single contiguous corridor or set of contiguous corridors related to each other. Multiple corridors, related systems of corridors, and corridors that form a "grid" ~~must~~ may be submitted as ~~separate~~ a single optimized timing corridor projects.
4. Projects selected will be programmed after July 1 of the programmed year (July 1 – June 30).
5. Project delays resulting in a time extension request will fall within the process outlined in the CTFP Guidelines.
6. Projects are funded for a grant period of three (3) years and are divided into two phases:
 - a. Primary Implementation – includes the required implementation of optimized signal timing as well as any signal improvements proposed as part of a project. ~~As an exception to Precept 16, Primary Implementation of the project must be completed within one (1) year of the initial payment. Note: During the 2017 Call for Projects, capital improvements will be limited to address ongoing timely project delivery issues.~~
 - b. Ongoing Maintenance and Operations – includes the required monitoring and improving optimized signal timing in addition to any optional communications and detection support. Ongoing Maintenance and Operations will begin after the optimized signal timing is implemented and be required for the remainder of the project (typically 2 Years). A project final report is required at the conclusion of this phase.
7. Projects shall include a Before and After Study. This study shall collect morning and evening peak period using travel times, average speeds, green lights to red lights, stops per mile, and the derived corridor system performance index (CSPI) metric. This information shall be collected both before any signal timing changes have been made and after the Primary Implementation. The study shall compare the information collected both before and after the timing changes. Comparisons shall identify the absolute and percent differences for the entire corridor, by segment, direction, and time period. Segments will be defined by major traffic movements as observed during the project (e.g. commuting segments between freeways, pedestrian-friendly segments in a downtown area, etc.). The Before and After Study shall be submitted after the Primary Implementation phase is completed.
8. Any corridor or portion of a corridor funded through this call cannot re-apply for funding until the three year grant period or commitment to operate signal



synchronization beyond the three year grant period is completed, whichever ends later.

9. Section 8.1 identifies the selection criteria for projects, eligible activities, minimum project requirements, data compatibility required as part of any funded project, and other key information.

Applications

In order for OCTA to consider a project for funding, applications will be prepared by the local agency responsible for the project application. OCTA shall require agencies to submit applications for the call for projects by **5:00 p.m. on Friday, October 20, 2017**. Late submittals will not be accepted. The local agency responsible for the project application must submit the application and any supporting documentation via OCFundtracker as outlined below.

Project Submittal

A separate application package must be completed for each individual project and uploaded to OCFundtracker. **Three (3) unbound printed copies and one electronic copy on a CD or USB** of each complete application shall also be mailed or delivered to:

Orange County Transportation Authority
550 South Main Street
P.O. Box 14184
Orange, California 92863-1584
Attn: Ms. Sam Kaur

Application Review and Program Adoption

10. OCTA staff will conduct a preliminary review of all applications for completeness and accuracy, may request supplemental information for projects during initial staff evaluations, and prepare a recommended program of projects for the TSC. In addition, OCTA may hire a consultant(s) to verify information within individual applications including, but not limited to, project scope, cost estimates, vehicle miles traveled, and average daily traffic.
11. ~~Based on recommendations from the TSC Final programming recommendations will be provided to the TSC and TAC for approval. – a program will be presented to the TAC for review and endorsement.~~
12. Recommendations ~~will be from the TAC will be~~ presented to the Board, who will approve projects for funding under the CTFP.
13. OCTA shall distribute copies of the approved program to each participating local jurisdiction with any qualifying conditions stipulated for the jurisdiction's funded project(s).



Checklist Guide

The "Project P Regional Traffic Signal Synchronization Program Application Checklist" has been provided for the RTSSP (Exhibit 8-1). The checklist identifies the basic documentation required for the program. In addition to items required at the time of project submittal, additional items that are not specified may be requested later. The checklist should be provided as a cover sheet for **each** application submitted. For any items that are required for the candidate project or program that are missing or incomplete, an explanation should be included in a cover letter with the application.

Sample Resolution Form

A resolution or minute action must be approved by the local agency's governing body. A sample resolution is included as Exhibit 8-2. The mechanism selected shall serve as a formal request for RTSSP funds and states that matching funds will be provided by the agency, if necessary. All project requests (i.e., multiple corridors proposed for RTSSP funds) must be included in this action.



Chapter 10 - Reimbursements and Reporting

Procedures for Receiving Funds

An implementing agency must encumber funds OCTA awards to a project phase within the fiscal year the grant is programmed (July 1-June 30). Prior to the encumbrance of funds, an agency must have a fully executed letter agreement with OCTA. An agency encumbers funds by awarding a contract, completing the appraisal or issuing an offer letter for one parcel of right-of-way, or by providing expense reports with supporting documentation to prove an agency's workforce costs (provided that the agency intends to complete the phase with agency staff). OCTA shall consider the primary contract or the contract with the largest dollar amount, associated with the phase's tasks, when an agency uses a contract to show encumbrance of CTFP funds. Once an agency encumbers CTFP funds for a phase, it can begin the process for receiving payment of the funds.⁷

OCTA will release funds through two payments. The initial payment will provide up to 75 percent of the contract award or programmed amount, whichever is less. OCTA will disburse the final payment, 25 percent of eligible funds, after it approves the final report.

For situations where a grant exceeds \$2 million, the final report retention shall be capped at \$500,000 per project phase, but shall in no case be less than 10 percent of the grant for that phase. Should the 75/25 payment distribution ratio result in a final payment retention that exceeds \$500,000, the payment percentages will be adjusted to meet the \$500,000 cap until the 10 percent threshold is reached (See Precept 32).

Agencies shall submit payment requests to OCTA in a timely fashion. The M2 Ordinance requires the submittal of a final report within 180 days of the project phase completion date (See M2 Ordinance/definitions/Precept 33). Failure to submit a final report within the 180-day time frame will result in an agency being found ineligible to receive net revenues. Per the M2 Ordinance, no provision for extension is allowed. The project completion date refers to the date all final invoices have been paid and any pending litigation has been adjudicated for either the engineering phase or for the right-of-way phase, and all liens/claims have been settled for the construction phase.

OCTA will provide a separate CTFP payment supplement that includes sample forms and instructions for payment submittals and can be downloaded from the OCFundtracker website at https://ocfundtracker.octa.net/report_payment_excel.asp. Payment submittals are described in this chapter and must be submitted through OCTA's online

⁷ Funds from state and federal sources funds will undertake a separate process. Local agencies must contact Caltrans local assistance for reimbursement.



database, OCFundtracker: <http://ocfundtracker.octa.net>. Detailed instructions for OCFundtracker are available online at the previously mentioned website. Staff is also available to assist agencies with this process. Agencies must upload appropriate backup documentation to the database. OCTA may request hardcopy payment requests.

Availability of Funds

The funds granted by OCTA for each phase will be available on July 1, the first day of the fiscal year in which the funds are programmed and upon implementation of the letter agreement for the specific project.

Cancellation of Project

If a local agency decides to cancel a project, for whatever reason, the agency shall notify OCTA as soon as possible. Projects deemed infeasible during the planning phase shall bring that phase to a logical conclusion, file a final report, and cancel remaining phases so that remaining funds can be reprogrammed without penalty. Right-of-way funding received for property acquisition prior to cancellation shall be repaid upon cancellation, regardless of whether property has been purchased or not. Construction funding received prior to cancellation shall be repaid upon cancellation.

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



Section 10.1 - Regional Capacity Program Initial Payment

Payment Requests

An agency shall use the report and checklist provided in the CTFP Payment Supplement (see https://ocfundtracker.octa.net/report_payment_excel.asp) in order to determine the reporting and documentation requirements for initial payment requests. Payment requirements are located in the Guidelines. Staff may request additional documentation that is not listed on the checklist prior to approving the request.

The interactive electronic versions of all payment forms can be downloaded via OCFundtracker at <http://ocfundtracker.octa.net>.

OCTA usually releases funds through two payments. The initial payment will constitute 75 percent of the eligible contract award or allocation amount, whichever is less. In addition to the bid abstract, OCTA will require local agencies to submit appropriate backup documentation for all project phases to support the initial payment request. OCTA will release the final payment of remaining balance, usually the final 25 percent of CTFP grant funds, when the project is complete and OCTA accepts the final report. The balance is determined based on final costs for CTFP eligible program expenditures. Prior to submitting the report, review the program specific section in these guidelines that addresses the final report process.

OCTA will reimburse costs associated with the Measure M informational signs (fabrication, installation, and removal) and do not count against a project's grant. Measure M informational "Funded By" sign removal costs should be requested in the Final Report.

Prior to submitting an initial payment request, a local agency may request a meeting with OCTA staff to determine eligible/ineligible items prior to requesting reimbursement.

Below is additional information regarding the documentation requirements of payment requests:

1. Invoice – For initial payments, an agency shall invoice for 75 percent of the contract amount or programmed amount, whichever is less. For final payments, an agency shall invoice for the remaining balance of the contract amount or programmed amount, whichever is less. Final payment request invoices shall normally be approximately 25 percent of the eligible funds. Interest earned by an agency for initial payments received shall be applied to and deducted from the final payment balance amount. For situations where a grant exceeds \$2 million, the final report retention shall be capped at \$500,000 per project phase, but shall in no case be less than 10 percent of the grant for that phase. Should the 75/25 payment distribution ratio result in a final payment retention that exceeds \$500,000, the payment percentages will be adjusted to meet the \$500,000 cap until the 10 percent threshold is reached (See Precept 36). Agencies seeking initial payment for the planning, environmental and preliminary engineering



work performed by local agency forces, must submit payroll records and City Council budget allocation with the initial payment request. The payroll records should identify the project name, date of expenditures, amount, and employee position. It is recommended that a unique project key be created for each project and all project charges be billed under that job code. OCTA staff can provide a sample of acceptable form of payroll report upon local agency request.

2. Project Certification Letter – The public works director, or appropriate equivalent, shall submit a certification letter, with applicable statements, using the Project Certification Form (see https://ocfundtracker.octa.net/report_payment_excel.asp). This will include the certification that the project being reimbursed has meet the signage requirements laid out in Precept 22.
3. ~~Minutes~~ Documentation of the Contract Award – The agency shall submit a minute order, agency resolution, or other council/board action showing award of the contract and the contract amount. After contract award, the agency shall submit the project name, contractor/consultant company name, and project scope including bid/task list, for each contract. The city clerk, clerk of the board, or appropriate equivalent shall certify minutes. Agencies that use on-call consultants shall submit a purchase order that includes the scope of work for the contractor.
4. Revised Cost Estimate – The agency shall use the format provided in the Revised Costs Estimate form (see https://ocfundtracker.octa.net/report_payment_excel.asp).
5. Work Schedule – OCTA prefers a complete project schedule, but an agency may provide as little as the expected start and completion dates for preliminary engineering, final engineering, right-of-way, and construction phases on form 10-1A.
6. Right-of-Way Documents – Each parcel shall include an appraiser's ~~invoice report~~, written offer letter, plat map, and legal description. Agencies attempting to acquire five or more parcels for a project shall include a parcel location map. Initial payments for ROW will be considered after submittal of a signed ROW agreement with the property owners and/or upon City Council Resolution initiating a property acquisition in accordance with the Code of Civil Procedure per §1230.010, et. seq.
7. Plans, Specifications, & Estimate (PS&E) Certification – Agencies shall submit a PS&E certification using the PS&E Certification form (see https://ocfundtracker.octa.net/report_payment_excel.asp). The agency engineer shall certify that the local agency properly prepared and approved plans and specifications in accordance with authorized procedures and adopted standards, followed approved scope of work, and incorporated materials report.
8. Layout Plans – An agency shall not submit layout plans that print on paper larger than 11 inches by 17 inches.



9. Documentation of Decision to Use Local Agency Forces – For all project phases, for any work performed by local agency forces in lieu of a primary contract, local agency must document that local agency forces could perform the work more cost effectively or timely than a contractor; and documentation of this decision can be supplied in case of audit.
10. Documentation Supporting Local Agency Liability for Utility Relocation Costs – Local agency liability can be supported by the documentation of property rights, franchise rights/agreements, state and local statutes/ordinances, permits, or a finding by the local agency's counsel.

Reimbursement

OCTA shall not reimburse for a project prior to the beginning of the fiscal year of the grant. If an agency receives an advancement and begins work prior to the start of the fiscal year of the grant, the agency may request an initial payment against the grant. If an agency receives an advancement and completes a project prior to the start of the fiscal year of the grant, OCTA shall disburse the grant in a single payment. OCTA must accept the final report prior to issuing a payment.

Calculation of Payment

Once an agency encumbers Measure M funds, the agency may request a maximum of 75 percent of the contract award amount or programmed amount, whichever is less. For situations where a grant exceeds \$2 million, the final report retention shall be capped at \$500,000 per project phase, but shall in no case be less than 10 percent of the grant for that phase. Should the 75/25 payment distribution ratio result in a final payment retention that exceeds \$500,000, the payment percentages will be adjusted to meet the \$500,000 cap until the 10 percent threshold is reached (See Precept 36). Examples of calculating the initial funding request for a standard 75/25 payment are described below.

Example A - Contract is awarded for **less than** the estimated construction cost.

Given:

$$\$160,000 = \text{CTFP Allocation } \underline{\$40,000} = \text{City Share}$$

$$\$200,000 = \text{Total Contract Award for Project X}$$

Calculations:

$$75\% \text{ of CTFP allocation} = \$160,000 \times 0.75 = \underline{\$120,000}.$$

Example B - Contract is awarded for **more than** the estimated construction cost.

Given:

$$\$200,000 = \text{Total CTFP funds programmed for Project Y}$$



\$280,000 = Construction contract award (CTFP share)

Calculations:

Construction costs = \$280,000

Since this amount exceeds \$200,000 programmed, the initial payment is limited to 75% of the programmed amount.

75% of contract amount = $\$200,000 \times 0.75 = \underline{\$150,000}$.



Section 10.2 - Regional Capacity Program Final Report and Payment Process

The remaining CTFP funds are reimbursed to the lead agency following completion of the final reporting process. This final payment is calculated by considering the grant amount, the minimum local match rate, how much has been previously reimbursed as part of the initial payment, and the total eligible costs that can be applied to the grant (see program specific eligibility sections). M2 funds are applied proportionally to all eligible project expenses. Prior to submitting the Final Report, review the following section which includes items important to the final reporting process. The CTFP Payment Supplement provides additional instructions and sample forms to complete payment requests. Payment requirements are located in this chapter.

Project Cost Changes

If the contract price is lower than the amount programmed and the agency requested additional items and/or change orders during construction/study, OCTA may approve the additional costs during the review of the final report. OCTA will review these reports to:

1. Determine that the agency submitted proper justification for the change order(s)
2. Determine if the items are eligible for reimbursement
3. Confirm that expenses are within the project's original scope of work
4. The lead agency should provide information supporting the need for the change orders in the final report. Changes in project limits for construction projects are not eligible for reimbursement.

Additional Documentation Requirements

The items listed below are to be submitted to complete the final reporting process. If the local jurisdiction has not submitted a final report for any previous phases of the project, the reporting requirements outlined in Section 10.1 must be followed, with exception to the initial report forms, in addition to the Final Report requirements listed below.

5. Final Report Form – The local agency shall prepare a final report form using the final report form (see https://ocfundtracker.octa.net/report_payment_excel.asp).
6. OCTA shall reimburse general lump sum pay items, appraisal cost, design, and construction engineering in the same ratio as the total right-of-way acquisition or construction costs.
7. Proof of Project Payment ~~and Division of Costs~~ – The required documentation -that will be submitted ~~required as proof of payment~~ includes approved contract invoices and may also include, but is not limited to, supportive material for agency work forces,



equipment, ~~and~~ material, and corresponding proof of payment. Additional records are required to be maintained as outlined in the Audit

8. ~~Division of Costs – For the division of costs, original contract bid item lists can be supplied. If these are not available, the Proof of Project Payment and The~~ Division of Costs form can be used (see https://ocfundtracker.octa.net/report_payment_excel.asp). Supportive material shall equal the division of costs totals that are located in the final report form.
9. Summary of Right-of-Way Acquisition – Agencies shall submit a summary of right-of-way acquisition as described in the Summary of right-of-way acquisition form (see https://ocfundtracker.octa.net/report_payment_excel.asp).
10. Notice of Completion – An agency may submit ~~a recorded Notice of Completion (NOC) or where a NOC is not typically used, t~~The Notice of Completion form may be used to certify the phase completion date. (see https://ocfundtracker.octa.net/report_payment_excel.asp). Please note the date of completion refers to the date all final 3rd party contractor invoices have been paid and any pending litigation has been adjudicated for either the engineering phase or for the right-of-way phase, and all liens/claims have been settled for the construction phase.
11. Before and After Project Photos (where applicable) – photographs showing the project before and after the improvements.

Electronic copies of all payment forms can be downloaded from OCFundtracker.

Timely Final Reports

OCTA will work with local agencies to ensure the timeliness of final reports by utilizing the following procedures:

1. Local agencies to notify OCTA of the project phase completion date within 30 days of completion.
2. Local agencies to file a final report within 180 days of project phase completion date.
3. OCTA to issue a notice to the public works directors or TAC representative(s) 90 days after the project completion date, as reported in OCFundtracker, to remind local agencies that the final report is due in 90 days. The reminder notice will include an offer from OCTA for a consultant to assist in preparation of the final report. The agency shall reimburse OCTA for the consultant services if used.
4. OCTA to issue a final notice letter to the public works directors or TAC representative(s) with a copy to the agency's management and finance director if OCTA does not receive the final report within 180 days of the project completion



date. The final notice letter will inform the local agencies that if OCTA does not receive a response to the final notice letter and the final report within 180 days, then the funds will be unencumbered and OCTA shall request that the agency return disbursed funds, plus interest.

5. OCTA to issue the final payment to local agencies within 60 days of receiving the complete final report and all supporting documentation.

Failure to Submit Final Report

Agencies who fail to submit a Final Report will be required to repay applicable M2 funds received for the project in a manner consistent with the Master Funding Agreement and/or will be found ineligible to receive M2 Net Revenues.

Excess Right-of-Way

Agencies that use Net Revenues (through CTFP or Local Fair Share programs) to acquire project right-of-way shall dispose of land deemed in excess of the proposed transportation use. Excess land sold by the lead agency will be disposed of in accordance with the process established in Government Code, Article 8, Surplus Land, Section 54220-54232, et. Seq. and the right-of-way acquisition/disposal plan submitted as part of the application process. The agency shall return proceeds from the sale to OCTA. OCTA shall return the funds to the program of origin for future use.

Proceeds from the sale of excess right-of-way shall be returned to OCTA in proportion to the amount of M2 funds used in the purchase.

Agencies shall submit right-of-way documents for all parcels utilizing M2 Net Revenues. Agencies must submit the following documents:

- Summary of the right-of-way required for the project
- Plat maps and legal descriptions for right-of-way acquisitions
- Parcel location map
- Identification of anticipated excess right-of-way, if any
- Appraisal reports for excess right-of-way

OCTA shall consider excess right-of-way with a value of \$10,000.00 or less as an uneconomic remnant. OCTA shall determine if excess right-of-way is to be considered an uneconomic remnant.

The agency shall submit a fair market value appraisal report for the excess land of each parcel. Appraisers must conduct appraisals in accordance with the Uniform Standards of Professional Appraisal Practice (USPAP). If an agency suspects that the excess right-of-way has a value of \$10,000.00 or less, the agency may conduct a limited fair market



value appraisal to confirm the value of the excess right-of-way. The agency shall submit the appraisals with the right-of-way final report.

OCTA shall retain from the final payment the value of excess right-of-way that is proportional to OCTA's percentage match rate to the project up to OCTA's match rate of right-of-way grant. However, if the local agency provided additional funds beyond what was original estimated, OCTA will be reimbursed based on its proportional share of the cost of right-of-way.

An agency may include incidental expenditures from the disposal of property in their final report for the right-of-way grant.

An agency shall begin the process to sell excess right-of-way within 60 days after acceptance of the construction improvements.

OCTA shall not close-out the right-of-way grant or construction grant until the agency and OCTA resolve questions regarding excess right-of-way.

Example:

OCTA's right-of-way grant: \$500,000

OCTA grant match rate 75%

Parcel Costs:

Cost – Parcel 1: \$300,000

Cost – Parcel 2: \$380,000

Cost – Parcel 3: \$120,000

Cost – Parcel 4: \$100,000

Total right-of-way Costs: \$900,000

Payment with no excess ROW: \$500,000

Excess right-of-way:

Value of excess right-of-way for parcel 1: \$200,000

Value of excess right-of-way for parcel 2: \$105,000

Value of excess right-of-way for parcel 3: \$ 0

Value of excess right-of-way for parcel 4: \$ 0

Total Value of excess right-of-way: \$305,000

OCTA contribution to right-of-way acquisition:

CTFP right-of-way contribution ÷ Agency total cost of right-of-way

$$\$500,000 \div \$900,000 = 56\%$$

OCTA's shall reduce the final right-of-way payment by:



Parcel 1:	\$200,000 x 56% =		\$112,000
Parcel 2:	\$105,000 x 56% =	+	<u>\$58,800</u>
Total:			\$170,800
Payment (incorporating excess right-of-way):			\$500,000
		-	<u>\$170,800</u>
			\$329,200

Agency Workforce and Equipment Rental

An agency must provide supporting documentation for work completed by agency staff. It is recommended that a unique project job key be created for each project and all project charges be billed under that job code. The agency shall multiply the fully burdened labor rate by the number of hours for each staff person assigned to the project. An agency may add actual overhead costs at an allowable rate up to 30 percent of payroll and fringe benefits. Where an agency due to size cannot calculate its specific overhead rate, an agency may refer to the Cost Accounting Policies and Procedures Manual (CAPPM) of the California Uniform Public Construction Cost Accounting Commission, which allows for a fixed overhead rate billing dependent on city size. Where an agency has actual overhead costs that exceed 30 percent, these will be accepted when a fully audited cost allocation plan is provided and approved by the appropriate governmental entity listed in the CAPPM or 2 Code of Federal Regulations Part 225.

An agency must provide supporting documentation for equipment used by local agency staff. An agency may use local agency or Caltrans surcharge and equipment rental rates.

Technical and/or Field Review

Once an agency submits a final report for a project, OCTA shall review the report for compliance with the CTFP Guidelines and may conduct a technical and/or field review. As part of the technical/field review of a CTFP project, OCTA may:

- review right-of-way acquisitions and the potential for excess right-of-way
- compare hourly breakdown of staff time compared to staff time sheets
- conduct a project field review – ensure improvements are within scope
- review items that agencies self-certify
- verification of the reasonableness of project costs

OCTA may review all phases of the project.

OCTA will use the project cost estimate forms submitted with the application and revised where appropriate, project accounting records and the final report as the primary items to conduct the review. Agencies must maintain separate records for projects (i.e.,



expenditures, interest) to ensure compliance. OCTA will only reimburse eligible CTFP items listed on the cost estimate. The implementing agency is expected to complete the entire scope of work as presented in the original application.

See Chapter 11 for independent audit requirements beyond the technical/field review.

Reporting of Local Fair Share

For the purposes of reporting non-project work (maintenance, repair, and other non-project related costs) funded by Measure M local fair share funds, the Measure M expenditure report cited M2 Ordinance, Section III(B)(8) shall satisfy reporting requirements. If local fair share funds are used for projects, the local agency shall also include a list of those funds and/or other Measure M funds in the Project Final Report cited in Section III(B)(9).



Section 10.3 - Regional Traffic Signal Synchronization Program Reimbursements and Reporting Requirements

The previous sections of this chapter outline the process and requirements regarding reimbursements and reporting for all competitive programs that are part of Measure M2. A lead agency shall also use the following additional reporting and documentation requirements specific to any competitive project funded through Project P as part of the reimbursement process.

Procedures for Receiving Funds

Regional Traffic Signal Synchronization Program funds projects with a three (3) year grant. Projects are divided into two components for the purposes of reimbursements and reporting: Primary Implementation and Ongoing Maintenance and Operations. Ongoing Maintenance and Operations will begin after the Primary Implementation of the project is completed and be required for the remainder of the project and last for a minimum of two (2) years.

Primary Implementation includes the following:

- Project administration (required)
- Developing and implementing optimized signal synchronization timing (required)
- Producing a Before and After Study for the proposed project (required)
- Engineering design of signal improvements for the project (optional)
- System integration (optional)
- Proposed signal improvements, construction support, and contingency (optional):
 - New or upgraded detection
 - New or upgraded communication systems
 - Intersection/field system modernization and replacement
 - Minor signal operation improvements
 - Traffic management centers
 - Real-time traffic actuated operations and demonstration projects
- Contingencies (optional)
- Construction management (optional)

Ongoing Maintenance and Operation will begin after the Primary Implementation of the project is completed. Includes the following:

Monitoring and improving optimized signal timing (required)

- Communications and detection support (optional)
- Final report (required)



A lead agency must encumber funds OCTA allocates to a project within the fiscal year of the grant and after funding agreements with OCTA are executed. A lead agency encumbers funds by awarding a contract or providing expense reports to prove the lead or a participating agency's workforce costs, provided that the lead agency intends to complete the Primary Implementation with lead agency or participating agency staff. Once an agency encumbers Project P funds for Primary Implementation, it can begin the process for receiving payment of the funds. Note that only the lead agency will receive payment of funds from OCTA. Any funds that are due to other participating agencies are the responsibility of the lead agency and not OCTA.

The project lead agency must submit payment requests through OCTA's online database, OCFundtracker: <https://ocfundtracker.octa.net>. Additional details about the retention caps, timely payment requests, project closeout, and payment are available in Section 10.1 and 10.2 of the chapter.

Availability of Funds

The funds allocated for projects will be available to project lead agencies July 1st of the programmed year and after funding agreements with OCTA are executed.

Initial Payment Requests for Primary Implementation

The initial payment will provide up to 75 percent of funds for the Primary Implementation of the project. The following information specific to the Regional Traffic Signal Synchronization Project is provided regarding the documentation requirements for initial payment of Primary Implementation after an agency encumbers funds for the project.

The interactive electronic versions of all payment forms can be downloaded via OCFundtracker (see https://ocfundtracker.octa.net/report_payment_excel.asp).

The Primary Implementation report has been provided so a lead agency can determine the reporting and documentation required for an initial payment request. Staff may request additional documentation that is not listed on the Primary Implementation Report prior to approving the request. The electronic versions of the forms are available through the OCFundtracker.

Below is additional information updating Section 10.1 of this chapter regarding documentation requirements for RTSSP payment requests. The CTFP Payment Supplement provides instructions and sample forms for the items listed.

- Invoice - For initial payments, the lead agency shall invoice for 75 percent of the contract amount or programmed amount of the project's Primary Implementation, whichever is less. For final payments of the Primary Implementation, the lead agency shall invoice the remaining balance of the project's Primary Implementation phase contract amount or programmed amount, whichever is less



- Project Certification Letter (initial and final)
- Revised Cost Estimate (initial)
- Plans, Specifications, and Estimate (PS&E) Certification (initial)
- Certification of Phase (initial)
- Final Report Submission
- Division of Cost Schedule (final)
- Work Schedule - OCTA requires a complete project schedule, including expected start and completion dates for tasks in the Primary Implementation and Ongoing Maintenance and Operation phases (initial and final)
- Right-of-Way Documents - No requirements as Right-of-Way is not a part of RTSSP

Detail on other aspects on Initial Payment Requests for Primary Implementation including project advancement and reimbursement is available in section 10.1 of this chapter.

Final Payment Requests for Primary Implementation

OCTA will release the remaining balance to the lead agency, approximately 25 percent of funds for the Primary Implementation, when the project's Primary Implementation phase is complete and OCTA receives the project Before and After Study. The balance is determined based on the final costs for the eligible RTSSP expenditures. The Before and After Study is defined as the following:

This study shall at minimum collect morning and evening peak period using travel times, average speeds, green lights to red lights, stops per mile, and the derived corridor system performance index (CSPI) metric. In addition, greenhouse gas and gasoline savings should be identified. This information shall be developed both before any signal timing changes have been made and after the Primary Implementation. The study shall compare the information collected both before and after the timing changes. Comparisons shall identify the absolute and percent differences for the entire corridor, by segment, direction, and time period. Segments will be defined by major traffic movements as observed during the project (e.g. commuting segments between freeways, pedestrian-friendly segments in a downtown area, etc.).

A template for the before and after study is available. The Before and After Study for RTSSP shall be included as a requirement at the end of the Primary Implementation phase and as part of the Final Report for reimbursement purposes.

Payment Requests for Ongoing Maintenance and Operations

The payments for the Ongoing Maintenance and Operations portion of the project award will cover the remainder of the grant period after Primary Implementation is completed and will be paid as a reimbursement upon proof of work/payment and receipt of invoice. The invoice should include details on the ongoing maintenance and operation work done



including on the required (1) work monitoring and improving optimized signal timing; and optional (2) communications and detection support.

Project Final Report

The project final report shall be completed in accordance with all CTFP Guidelines upon the end of the three year grant period. In addition, the final report shall summarize the full project through the three-year grant period, include the Before and After Study from the Primary Implementation phase, and report on additional updates/information that result from the Ongoing Maintenance and Operation phase.

Example of Reimbursement

\$1,000,000 = Total RTSSP funds programmed for Example Street Signal Synchronization allocated in Fiscal Year 2011/2012. The grant period is for three years.

\$900,000 for Primary Implementation – This amount of the project award is subject to the 75 percent initial payment and 25 percent final payment split as defined in the CTFP Guidelines.

Initial Payment = $\$900,000 \times 0.75 = \$675,000$

Final Payment upon completion, submission, and acceptance by OCTA of project Before and After Study to OCTA

Approximate Final Payment = $\$900,000 \times 0.25 = \$225,000$

\$100,000 for Ongoing Maintenance and Operation – This amount of the project award will cover the remainder of the three year grant period after Primary Implementation is completed and will be paid upon proof of payment and receipt of invoice.



Section 10.4 - Environmental Cleanup Program Reimbursements and Reporting Requirements

Sections 10.1 and 10.2 of this chapter outline the process and requirements regarding reimbursements and reporting for the Regional Capacity Program. The CTFP Payment Supplement provides instructions and sample forms for ECP projects. The interactive electronic versions of all payment forms can be downloaded via OCFundtracker. These processes are applicable to the Tier 1 and Tier 2 Grant Programs with the following exceptions:

- For an initial payment, the ECP Initial Report Form 10-15 must be submitted (see https://ocfundtracker.octa.net/report_payment_excel.asp).
- For a final payment, the ECP Final Report Form 10-16 must be submitted. Supporting documentation for O & M costs (if used as local match) and location maps must also be submitted (see https://ocfundtracker.octa.net/report_payment_excel.asp).
- A final report must be filed within 180 days of the project phase completion with information as shown on the ECP Final Report Form 10-16 (see https://ocfundtracker.octa.net/report_payment_excel.asp).
- Additionally, an exception to Precept 29: agencies may appeal to the ECAC and the OCTA Board on any issues that the agency and OCTA cannot resolve, as such are the approving bodies for this program.

For Tier 1 of the Environmental Cleanup Program, where ongoing operations and maintenance of the project ~~can be~~ were pledged as a local match. ~~As~~ As part of the semi-annual review reporting process, OCTA will verify local agency operations and maintenance expenditures to ensure local match commitments are being met. Local agencies must complete the In-Kind O&M Report Form 10-17 (see https://ocfundtracker.octa.net/report_payment_excel.asp) for each ECP grant as part of their SAR updates.