



Orange County Transportation Authority

Board Agenda

Monday, February 12, 2024 at 9:00 a.m.

550 South Main Street, Orange, California

Board Members

Tam T. Nguyen, Chair
Doug Chaffee, Vice Chair
Ashleigh Aitken
Valerie Amezcua
Andrew Do
Jon Dumitru
Jamey Federico
Katrina Foley
Patrick Harper
Michael Hennessey
Fred Jung
Farrah N. Khan
Stephanie Klopfenstein
Vicente Sarmiento
John Stephens
Donald P. Wagner
Vacant, 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 Committee may take any action which it deems to be appropriate on the agenda item and is not limited in any way by the notice of the recommended action.

Public Availability of Agenda Materials

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

BOARD MEETING AGENDA

Meeting Access and Public Comments on Agenda Items

Members of the public can either attend in-person or listen to audio live streaming of the Board and Committee 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 the Orange County Transportation Authority. 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 Do

Pledge of Allegiance

Vice Chair Chaffee

Special Calendar

1. Closed Session

Overview

A Closed Session will be held as follows:

Pursuant to Government Code 54957.6 to discuss collective bargaining agreement negotiations with the Transportation Communications International Union regarding the parts/stock room clerks and facilities maintenance employee unit. The lead negotiator for the Orange County Transportation Authority is Maggie McJilton, Executive Director of People and Community Engagement and Transportation Communications International Union representative.

BOARD MEETING AGENDA

Orange County Transportation Authority Special Calendar Matters

2. Board of Directors and Chief Executive Officer Initiatives and Action Plan

Lauren Sato/Kia Mortazavi

Overview

At the beginning of each calendar year, the Orange County Transportation Authority (OCTA) Board of Directors (Board), led by the Board Chair, identifies a set of priorities and goals for the year, titled Board Initiatives. The Chief Executive Officer's (CEO) Initiatives and Action Plan are developed concurrently to support and advance the Board Initiatives. Together, the OCTA Board Initiatives and CEO Initiatives and Action Plan establish a roadmap for major achievements throughout the calendar year. The 2024 Board and CEO Initiatives, combined as Attachment A, form an ambitious, yet well-rounded and sustainable plan.

Consent Calendar (Items 3 through 21)

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

Approve the minutes of the January 22, 2024, Orange County Transportation Authority and affiliated agencies' regular meeting.

4. Audit Responsibilities of the Finance and Administration Committee

Janet Sutter

Overview

The Finance and Administration Committee of the Board of Directors of the Orange County Transportation Authority serves as an audit committee in its oversight of audit activities. Annually, the Board of Directors approves the audit responsibilities of the Finance and Administration Committee to reaffirm these responsibilities.

Recommendation

Approve the audit responsibilities of the Finance and Administration Committee.

5. Accounts Payable Operations, Internal Audit Report No. 23-504

Ricco Bonelli/Janet Sutter

Overview

The Internal Audit Department of the Orange County Transportation Authority has completed an audit of Accounts Payable operations. Based on the audit, controls to ensure payments are processed in compliance with policies and procedures are generally adequate; however, the Internal Audit Department is making two recommendations to improve system controls and to ensure consistent enforcement of the Payment Request Policy.

Recommendation

BOARD MEETING AGENDA

Direct staff to implement two recommendations provided in Accounts Payable Operations, Internal Audit Report No. 23-504.

6. **Fiscal Year 2023-24 Internal Audit Plan, Second Quarter Update**

Janet Sutter

Overview

The Orange County Transportation Authority Board of Directors adopted the Orange County Transportation Authority Internal Audit Department Fiscal Year 2023-24 Internal Audit Plan on July 24, 2023. This report provides an update on activities for the second quarter of the fiscal year.

Recommendation

Receive and file the second quarter update to the Orange County Transportation Authority Internal Audit Department Fiscal Year 2023-24 Internal Audit Plan as an information item.

BOARD MEETING AGENDA

7. **Amendment to Agreement for Service and Maintenance of Security Systems**

Matt Ankley/Jennifer L. Bergener

Overview

On January 31, 2023, the Orange County Transportation Authority entered into an agreement with Convergent Technologies, LLC, to provide service and maintenance to the security systems, which include the video management system, access control system, and duress alarm system at the administrative offices and all operating bases. An amendment is required to accommodate additional project support through August 31, 2024.

Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 3 to Agreement No. C-2-2893 between the Orange County Transportation Authority and Convergent Technologies, LLC, in the amount of \$468,333, for additional project support services. Amending this agreement will increase the maximum obligation of the agreement to a total contract value of \$708,333.

8. **Orange County Transportation Authority Investment and Debt Programs Report - December 2023**

Robert Davis/Andrew Oftelie

Overview

The Orange County Transportation Authority has a comprehensive investment and debt program to fund its immediate and long-term cash flow demands. Each month, the Treasurer submits a report detailing investment allocation, performance, compliance, outstanding debt balances, and credit ratings for the Orange County Transportation Authority's debt program. This report is for the month ending December 31, 2023. The report has been reviewed and is consistent with the investment practices contained in the investment policy.

Recommendation

Receive and file as an information item.

BOARD MEETING AGENDA

9. **Proposed Revisions to Orange County Transportation Authority's Procurement Policies and Procedures**

Pia Veasapen/Andrew Oftelie

Overview

The Orange County Transportation Authority Board of Directors has adopted policies and procedures that guide all procurement activities. The Board of Directors periodically reviews these policies and procedures and may make changes as necessary in an effort to conform to changing business needs while continuing to ensure procurements are conducted in a fair, transparent, and equitable manner for all vendors and provide for the best value and use of taxpayer dollars.

Recommendation

Adopt the proposed revisions to the Orange County Transportation Authority's Procurement Policies and Procedures and authorize staff to implement the recommended changes related to piggybacking.

10. **Orange County Transportation Authority State and Federal Grant Programs - Update and Recommendations**

Denise Sifford/Kia Mortazavi

Overview

The Orange County Transportation Authority provides grants to local and non-profit agencies through various local, state, and federal transportation funding programs. Status reports on these programs, as well as recommended project changes, are presented for review and approval.

Recommendations

- A. Approve one change request from the City of San Clemente for a Bicycle Corridor Improvement Program project, contingent on final approval by the Southern California Association of Governments.
- B. Approve one technical correction request from Access California Services for an Enhanced Mobility for Seniors and Disabled Grant Program project.
- C. Authorize staff to request that the Southern California Association of Governments make all necessary amendments to the Federal Transportation Improvement Program and execute any required agreements or amendments to facilitate the recommendations above.

11. **2023 Orange County Complete Streets Program Project Prioritization Recommendations**

Denise Sifford/Kia Mortazavi

BOARD MEETING AGENDA

Overview

On August 14, 2023, the Orange County Transportation Authority Board of Directors approved the 2023 Orange County Complete Streets Program guidelines and authorized the release of the call for projects. The Board of Directors is being presented with project prioritization recommendations for approval to submit to the Southern California Association of Governments for consideration as part of the final project selection process.

Recommendations

- A. Approve the 2023 Orange County Complete Streets Program project prioritization recommendations.
- B. Authorize submittal of 2023 Orange County Complete Streets Program projects to the Southern California Association of Governments to be considered for final project selection, with four projects contingent on the approval of amendments to the Master Plan of Arterial Highways.
- C. Authorize the Chief Executive Officer or his designee to provide concurrence on future project scope changes, extension requests, and substitutions to the Southern California Association of Governments as needed for the 2023 Orange County Complete Streets Program projects.
- D. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program to facilitate the above actions.

BOARD MEETING AGENDA

12. 2025 Federal Transportation Improvement Program and Financial Plan

Ben Ku/Kia Mortazavi

Overview

The Orange County Transportation Authority is responsible for the biennial preparation of the Federal Transportation Improvement Program for Orange County. This document is required under state and federal laws and includes the financial information for regionally significant transportation improvement projects in Orange County, with a total value of approximately \$1.645 billion. A summary of the draft 2025 Federal Transportation Improvement Program, and a supporting resolution are submitted for Board of Directors' approval.

Recommendations

- A. Authorize the submittal of the Federal Transportation Improvement Program project list and financial plan for the fiscal year 2024-25 through fiscal year 2029-30 to the Southern California Association of Governments.
- B. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program to facilitate the programming of projects.
- C. Adopt Resolution No. 2024-001 of the Board of Directors of the Orange County Transportation Authority.

13. Amendments to the Master Plan of Arterial Highways

Ivy Hang/Kia Mortazavi

Overview

The Orange County Transportation Authority administers the Master Plan of Arterial Highways for Orange County, including the review and approval of amendments requested by local agencies. The City of Anaheim has requested an amendment to the Master Plan of Arterial Highways that is recommended for conditional approval. A status report on the previous Master Plan of Arterial Highways amendments that are conditionally approved is also provided.

Recommendations

- A. Conditionally approve the proposed amendments to the Master Plan of Arterial Highways for the facilities listed below within the City of Anaheim:
 - 1. Reclassify Disney Way, from a major (six-lane, divided) arterial to a primary (four-lane divided) arterial, between Harbor Boulevard and Anaheim Boulevard.
 - 2. Remove Gene Autry Way, an unconstructed major (six-lane, divided) arterial, between Harbor Boulevard and Haster Street.
 - 3. Remove Clementine Street, an unconstructed secondary (four-lane, undivided) arterial, between Katella Avenue and Orangewood Avenue.

BOARD MEETING AGENDA

Final approval of the proposed amendment is contingent upon the Orange County Transportation Authority receiving documentation that the City of Anaheim has amended its general plan and has complied with the California Environmental Quality Act requirements.

Should the proposed Master Plan of Arterial Highways amendment not be reflected within an approved general plan within three years, the conditional approval will expire, and it must be returned to the Orange County Transportation Authority Board of Directors for reconsideration and action in order to proceed.

Should the proposed Master Plan of Arterial Highways amendment be modified for any reason after receiving conditional approval, the modified Master Plan of Arterial Highways amendment will be returned to the Orange County Transportation Authority Board of Directors for reconsideration and action.

- B. Direct the Executive Director of Planning, or his designee, to file a Notice of Exemption from the California Environmental Quality Act for the Master Plan of Arterial Highways amendments.
- C. Receive and file a status report on the active Master Plan of Arterial Highways amendments.

BOARD MEETING AGENDA

Orange County Local Transportation Authority Consent Calendar Matters

14. Second Quarter Fiscal Year 2023-24 Capital Action Plan Performance Metrics

James G. Beil

Overview

Staff has prepared a quarterly progress report on capital project delivery covering the period of October 2023 through December 2023, 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 and transit capital improvement projects.

Recommendation

Receive and file as an information item.

15. Consultant Selection for Construction Management Support Services for the State Route 91 Improvement Project Between Acacia Street and La Palma Avenue

Jeannie Lee/James G. Beil

Overview

On September 25, 2023, the Orange County Transportation Authority Board of Directors authorized the release of a request for proposals to provide construction management support services for the State Route 91 Improvement Project between Acacia Street and La Palma Avenue. Board of Directors' approval is requested to execute an agreement for these services.

Recommendations

- A. Approve the selection of Arcadis U.S., Inc. as the firm to provide construction management support services for the State Route 91 Improvement Project between Acacia Street and La Palma Avenue.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-3-2827 between the Orange County Transportation Authority and Arcadis U.S., Inc., to provide construction management support services for the State Route 91 Improvement Project between Acacia Street and La Palma Avenue.

16. Amendment to Agreement for Construction Management Support Services for the Interstate 5 Improvement Project Between State Route 73 to Oso Parkway

Niall Barrett/James G. Beil

Overview

On April 8, 2019, the Orange County Transportation Authority Board of Directors approved a contract with Arcadis U.S., Incorporated, to provide construction management support services for the Interstate 5 Improvement Project from State Route 73 to Oso Parkway as part of the Interstate 5 Improvement Project between State Route 73 and El Toro Road. An amendment to the existing agreement is required to provide additional funding for construction management support services.

Recommendation

BOARD MEETING AGENDA

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 5 to Agreement No. C-8-1969 between the Orange County Transportation Authority and Arcadis U.S., Incorporated, in the amount of \$2,230,587, for additional construction management support services for the Interstate 5 Improvement Project between State Route 73 to Oso Parkway, and extend the agreement term through December 1, 2025. This will increase the maximum cumulative obligation of the agreement to a total contract value of \$13,205,510.

17. **Contract Change Order for Construction of the OC Streetcar Project**

Ross Lew/James G. Beil

Overview

On September 24, 2018, the Orange County Transportation Authority Board of Directors authorized Agreement No. C-7-1904 with Walsh Construction Company II, LLC, for construction of the OC Streetcar project. A contract change order is required for work to address schedule impacts associated with Time Impact Evaluation No. 07.

Recommendation

Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 28.3 to Agreement No. C-7-1904 with Walsh Construction Company II, LLC, in the amount of \$1,425,000, for schedule impacts associated with time impact evaluation no. 07 for the OC Streetcar project.

18. **Measure M2 Environmental Cleanup Program (Project X) - 2024 Tier 1 and Tier 2 Grant Program Call for Projects**

Alison Army/Kia Mortazavi

Overview

The Measure M2 Environmental Cleanup Program (Project X) provides competitive grants to local jurisdictions for projects that protect Orange County waterways and beaches from roadway runoff. Updated program guidelines for the 2024 Tier 1 and Tier 2 calls for projects are presented for review and approval. With approval, staff will issue the calls for projects for Tier 1 and Tier 2 and return with project funding recommendations later this year.

Recommendations

- A. Approve the proposed revisions to the Comprehensive Transportation Funding Programs guidelines for the Environmental Cleanup Program.
- B. Authorize staff to issue the 2024 Environmental Cleanup Program Tier 1 call for projects.
- C. Authorize staff to issue the 2024 Environmental Cleanup Program Tier 2 call for projects.

BOARD MEETING AGENDA

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

Adrian Salazar/Kia Mortazavi

Overview

Measure M2 contains an array of programs to enhance all modes of transportation, including a program to fund community-based transit circulators known as Project V. The goal of the program is to provide local transit services that complement regional bus and rail service and to meet needs in areas not adequately served by the regional transit services. Funding is awarded to local jurisdictions through a competitive call for projects. Local jurisdictions then implement the awarded services and agree to work towards meeting performance criteria including ridership metrics. The latest ridership information for these awarded services is presented to the Board of Directors twice annually. This report covers the period from April 2023 to September 2023.

Recommendation

Receive and file as an information item.

20. Measure M2 Annual Eligibility Review

Stephanie Mooney/Kia Mortazavi

Overview

The Measure M2 Ordinance 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 30, 2023, was received and reviewed by the Taxpayer Oversight Committee and Orange County Transportation Authority staff. Board of Directors' approval is requested to find 34 of Orange County's 35 local jurisdictions (excluding the City of Cypress) as eligible to continue receiving Measure M2 net revenues.

Recommendations

- A. Approve 34 of Orange County's 35 local jurisdictions (excluding the City of Cypress) as eligible to continue receiving Measure M2 net revenues.
- B. Receive and file the Measure M2 eligibility verification documents submitted by the City of Cypress.

21. Consultant Selection for Professional Services for the Countywide Signal Synchronization Baseline

Alicia Yang/Kia Mortazavi

Overview

On September 25, 2023, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals to provide professional services to coordinate approximately 2,500 signalized intersections in Orange County as part of the Countywide Signal Synchronization Baseline. Board of Directors' approval is requested to select a firm to perform the required work.

Recommendations

- A. Approve the selection of Iteris, Inc., as the firm to provide professional services for

BOARD MEETING AGENDA

the Countywide Signal Synchronization Baseline.

- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-3-2821 between the Orange County Transportation Authority and Iteris, Inc., in the amount of \$9,630,000, for a five-year term, to provide professional services for the Countywide Signal Synchronization Baseline.

Regular Calendar

Orange County Transit District Regular Calendar Matters

22. Zero-Emission Bus Pilot Update

Cliff Thorne/Johnny Dunning, Jr.

Overview

On October 8, 2020, the Orange County Transportation Authority Board of Directors approved the purchase of ten hydrogen fuel-cell electric buses and ten plug-in battery-electric buses to gain necessary operational and technological experience in preparation for transitioning the Orange County Transportation Authority's bus fleet to zero-emission technologies. This report provides an update on the zero-emission bus pilot performance and deployment efforts.

Recommendation

Receive and file as an information item.

Discussion Items

23. Public Comments

24. Chief Executive Officer's Report

25. Directors' Reports

26. Adjournment

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

9:00 a.m., on Monday, February 26, 2024

OCTA Headquarters

Board Room

550 South Main Street

Orange, California



February 12, 2024

To: Members of the Board of Directors

From: Tam T. Nguyen, Chair of the Board of Directors
Darrell E. Johnson, Chief Executive Officer

Subject: 2024 Board of Directors and Chief Executive Officer Initiatives and Action Plan

At the beginning of each calendar year, the Orange County Transportation Authority (OCTA) Board of Directors (Board), led by the Board Chair, identifies a set of priorities and goals for the year, titled Board Initiatives. The Chief Executive Officer's (CEO) Initiatives and Action Plan are developed concurrently to support and advance the Board Initiatives. Together, the OCTA Board Initiatives and CEO Initiatives and Action Plan establish a roadmap for major achievements throughout the calendar year. The 2024 Board and CEO Initiatives, combined as Attachment A, form an ambitious, yet well-rounded and sustainable plan.

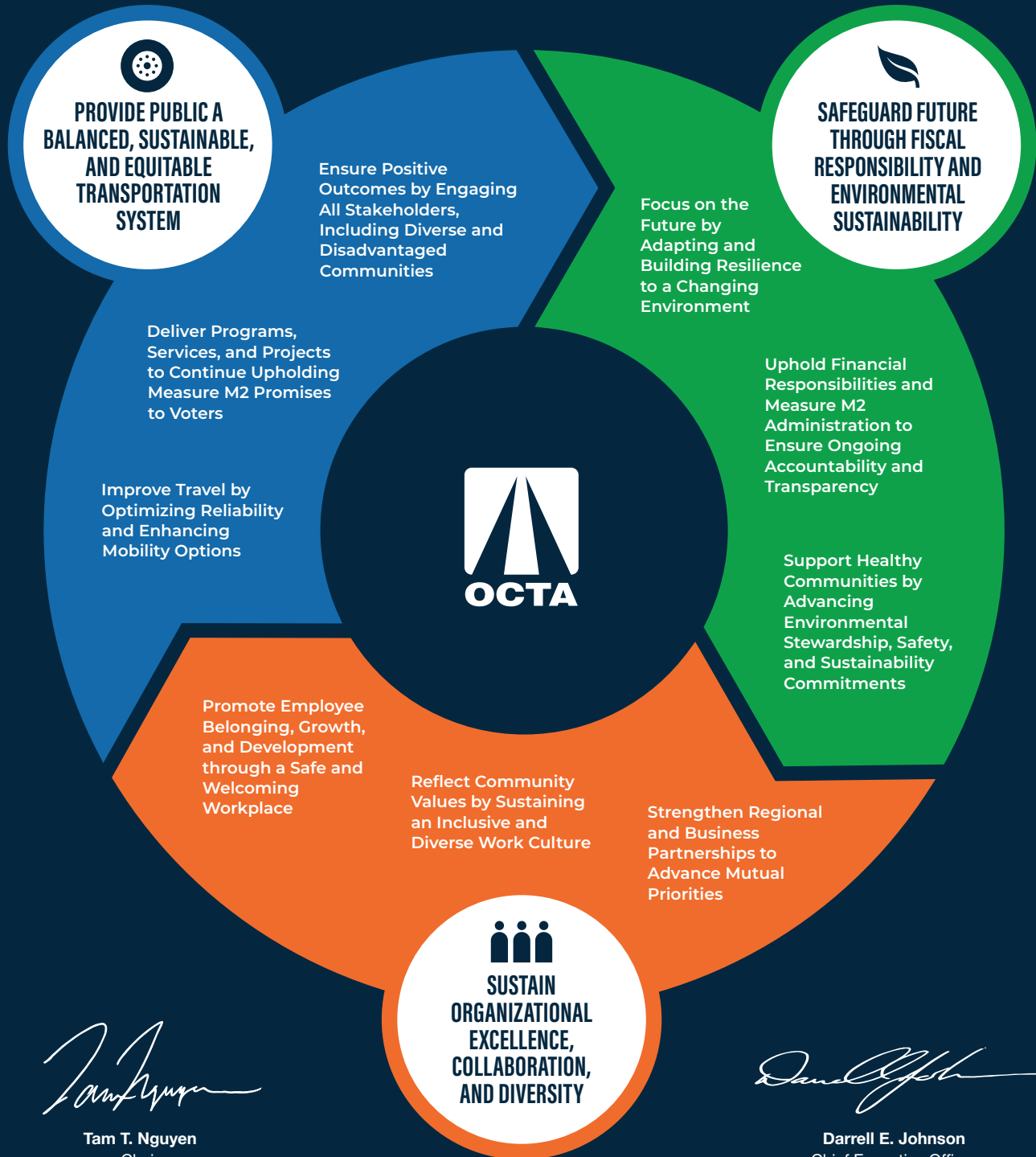
For 2024, there are three Board Initiatives supported by nine CEO Initiatives. The 2024 Board and CEO Initiatives and Action Plan (Attachment B) includes 107 projects and/or program milestones. These milestones give OCTA staff clear strategic guidance for implementation throughout the calendar year. Reports on the CEO Initiatives and Action Plan detailing progress on these milestones will be provided on a quarterly basis for Board review.

Please let me know if you have any questions on the Board Initiatives or contact Darrell E. Johnson, CEO, at (714) 560-5343 with questions on the Action Plan.

TTN/DEJ:ls

Orange County Transportation Authority

2024 Board & CEO Initiatives



Tam T. Nguyen
Chair

Darrell E. Johnson
Chief Executive Officer



Orange County Transportation Authority

2024 Board & CEO Initiatives



Tam T. Nguyen
Chair

Darrell E. Johnson
Chief Executive Officer



2024 Board Initiatives

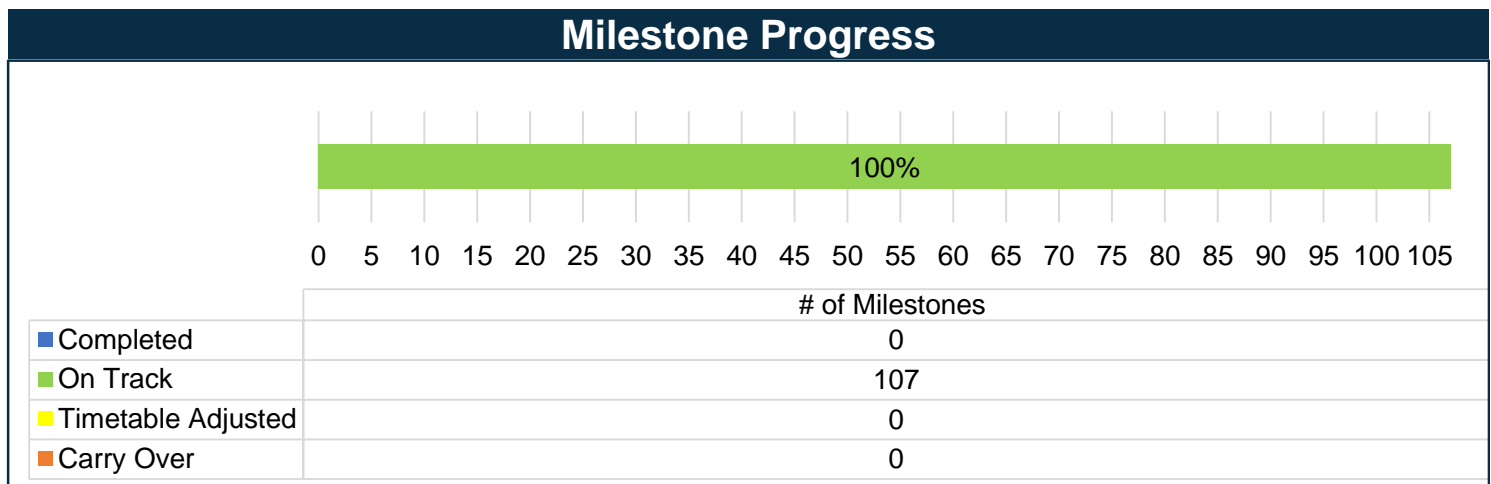
- Provide the Public a Balanced, Sustainable, and Equitable Transportation System
- Sustain Organizational Excellence, Collaboration, and Diversity
- Safeguard the Future through Fiscal Responsibility and Environmental Sustainability

2024 CEO Initiatives

- Ensure Positive Outcomes by Engaging All Stakeholders, Including Diverse and Disadvantaged Communities
- Improve Travel by Optimizing Reliability and Enhancing Mobility Options
- Deliver Programs, Services, and Projects to Continue Upholding Measure M2 Promises to Voters
- Reflect Community Values by Sustaining an Inclusive and Diverse Work Culture
- Strengthen Regional and Business Partnerships to Advance Mutual Priorities
- Promote Employee Belonging, Growth, and Development through a Safe and Welcoming Workplace
- Uphold Financial Responsibilities and Measure M2 Administration to Ensure Ongoing Accountability and Transparency
- Focus on the Future by Adapting and Building Resilience to a Changing Environment
- Support Healthy Communities by Advancing Environmental Stewardship, Safety, and Sustainability Commitments

2024 CEO Milestone Summary

Number of Milestones by Quarter	
Quarter Due	Number
First Quarter	7
Second Quarter	18
Third Quarter	30
Fourth Quarter	52
TOTAL	107



FIRST QUARTER (Q1)

0 of 7 Completed -

0%

#	Project/Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
1.	405 Express Lanes	Ensure TIFIA Loan Compliance	Begin providing quarterly operating report to TIFIA - Q1					
2.	OC Streetcar*	Prepare for OC Streetcar Operations	Complete operations and maintenance agreements with the cities of Garden Grove and Santa Ana - Q1					
3.	OC Streetcar**	Complete Vehicle Production	Complete manufacturing of all eight vehicles - Q1					
4.	Paratransit Vehicles	Replace 121 Cutaway Buses with a Mix of Cutaways and Vans	Seek Board approval to award contract to purchase the mix of paratransit vehicles - Q1					
5.	Zero-Emission Bus (ZEB) Pilots*	Advance Zero-Emission Goals	Provide progress report to Board on ZEB pilots, including the hydrogen FCEBs and plug-in BEBs - Q1					
6.	Management Development Academy (MDA) and Leadership Development Academy (LDA)	Provide Professional Development Opportunities	Graduate fifth cohort of MDA and launch fifth cohort of LDA - Q1					
7.	2025 Federal Transportation Improvement Program (FTIP)	Comply with State and Federal Law to Update the FTIP (Allows for the Obligation of Federal Funds)	Seek Board approval to submit 2025 FTIP - Q1					

*2023 Carryover

**2023 Carryover (modified)

COMPLETED

ON TRACK

TIMETABLE ADJUSTED

CARRYOVER

SECOND QUARTER (Q2)

0 of 18 Completed - 0%

#	Project/Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
1.	BEB Charging Infrastructure (Santa Ana Bus Base)	Advance Zero-Emission Goals	Complete project design for charging stations - Q2					
2.	I-405 Project	Complete Construction	Complete construction of all project improvements - Q2					
3.	Transit Security and Operations Center**	Ensure Transit Service Continuity	Seek Board approval to award construction contract - Q2					
4.	Disadvantaged Business Enterprise (DBE)	Ensure That Disadvantaged Businesses Can Compete Fairly for OCTA Projects and Services	Develop a federally-mandated triennial DBE goal and consider adopting an OCTA Equity statement - Q2					
5.	OCTA's Operating and Capital Budget	Develop a FY 2024-25 Balanced Budget	Present a comprehensive and balanced OCTA FY 2024-25 budget, including additional expansion of service, and Metrolink funding for adoption by the Board - Q2					
6.	Reserve Policy	Maintain Reserves for OCTA's Program and Services	Present updated Reserve Policy to Board for approval based on commencement of operations of the 405 Express Lanes - Q2					
7.	Bus Fleet Management	Maintain Fleet in a State of Good Repair	Seek Board approval to award contract to purchase 40 FCEBs to replace a portion of the remaining fleet - Q2					
8.	Bus Fleet Management	Maintain Fleet in a State of Good Repair	Seek Board approval to award contract to purchase ten BEBs to replace a portion of the remaining fleet - Q2					
9.	Coach Operator Barriers	Enhance Bus Operator Safety	Seek Board approval to award contract to install protection barriers on the existing fleet - Q2					
10.	Metrolink Service	Increase Opportunities for Special Metrolink Service	Coordinate with Metrolink to re-initiate Angels Express - Q2					
11.	Zero-Emission Paratransit Buses**	Advance Zero-Emission Goals	Initiate procurement to replace ten gasoline OC ACCESS vehicles with ten battery-electric vehicles - Q2					
12.	Early Career Academy (ECA)	Provide Early Career Development to Grow New Professionals	Graduate fourth cohort of ECA - Q2					
13.	Insurance Policies	Move All Insurance Policies to FY Policy Renewal	Present policies to Board for consideration - Q2					

**2023 Carryover (modified)

COMPLETED

ON TRACK

TIMETABLE ADJUSTED

CARRYOVER

Q2 (Continued)

#	Project/Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
14.	Personnel and Salary Resolution	Attract and Retain Top Talent	Present recommendations to Board as part of the OCTA FY 2024-25 budget - Q2					
15.	Coastal Rail Resiliency Study	Identify Potential Near-Term and Mid-Term Solutions to Protect the Existing Coastal Rail Infrastructure	Engage stakeholders across different spectrums in the development of solutions with respect to opportunities and constraints - Q2					
16.	Complete Streets Funding Program	Develop Funding Approach for Bicycle and Pedestrian Projects that Reduce Traffic Congestion and Improve Air Quality	Submit funding recommendations to SCAG for consideration - Q2					
17.	Signal Synchronization	Improve Roadway Efficiency	Provide update to Board on signal synchronization projects (Project P), including the countywide signal synchronization baseline - Q2					
18.	Transit Chokepoint Study*	Identify Bus Operation Impediments that Lead to Reduced Speed and Reliability Challenges	Award contract - Q2					

*2023 Carryover

COMPLETED

ON TRACK

TIMETABLE ADJUSTED

CARRYOVER

THIRD QUARTER (Q3)

0 of 30 Completed - 0%

#	Project/Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
1.	Hydrogen Fueling Station (Garden Grove Bus Base)	Advance Zero-Emission Goals	Seek Board approval to award construction contract - Q3					
2.	I-5, Avenida Pico to San Diego County Line*	Advance Environmental Phase	Release Draft EIR and provide update to Board - Q3					
3.	I-5, SR-73 to El Toro Road Project	Continue to Advance Construction on All Segments	Provide construction update to Board - Q3					
4.	Orange County Maintenance Facility	Advance Climate Goals by Reducing Greenhouse Gas Emissions	File Conditional Use Permit request - Q3					
5.	SR-91, SR-55 to Lakeview Avenue**	Initiate Construction	Award construction contract - Q3					
6.	241/91 Express Lanes Connector (ELC)*	Provide 241/91 ELC Project Progress	Provide update to Board on the status of the project with a discussion on next steps - Q3					
7.	91 Express Lanes*	Install Toll Entrance Readers to Register Vehicles Entering the 91 Express Lanes	Complete installation of infrastructure gantries, cameras, and readers at the three entrances of the 91 Express Lanes - Q3					
8.	Credit Ratings	Maintain OCTA's Positive Credit Rating	Conduct annual rating agency meeting - Q3					
9.	Cybersecurity	Protect OCTA's Information Systems	Require completion of annual cybersecurity training for all employees - Q3					
10.	Metrolink Service	Plan, Fund, and Administer Sustainable Metrolink Service	Receive updates from Metrolink on their plans to develop a service plan that is consistent with market demand, funding capacity, and the Metrolink crew and equipment optimization study - Q1 and Q3					
11.	OC Flex	Explore Efficient and Effective Transit Options to Better Meet Mobility Demands in Orange County	Assess OC Flex performance and provide a report to the Board on future direction - Q3					
12.	OC Streetcar	Prepare for OC Streetcar Operations	Initiate OC Streetcar testing with Herzog - Q3					
13.	Rider Code of Conduct	Prioritize Safety and Protection of OC Bus Riders and Workers	Update and roll out new rider Code of Conduct - Q3					

*2023 Carryover

**2023 Carryover (modified)

COMPLETED

ON TRACK

TIMETABLE ADJUSTED

CARRYOVER

Q3 (Continued)

#	Project/Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
14.	Coach Operator Collective Bargaining Agreement	Negotiate and Renew Agreement	Present agreement to Board - Q3					
15.	College Pass Program	Continue Working with Community Colleges to Renew or Extend Agreements for the Program	Exercise option term with Cypress College and renew agreements with Saddleback College, Santa Ana College, Irvine Valley College, Golden West College, and Fullerton College - Q3					
16.	Diversity, Equity, Inclusion, and Belonging - Affirmative Action Plan/Equal Employment Opportunity (AAP/EEO)	Provide Updates on Progress of AAP/EEO Development and Implementation and Adhere to Federal Requirements	Present biannual updates to ESC and submit AAP/EEO Plan to FTA - Q1 and Q3					
17.	Diversity, Equity, Inclusion, and Belonging - Employee Training	Create an Inclusive and Engaging Workplace	Provide mandatory training to all administrative employees - Q3					
18.	Employee Health Insurance Renewal Programs	Secure Competitive Health Benefits	Present health insurance recommendations to Board - Q3					
19.	Transportation Communications Union Collective Bargaining Agreement	Negotiate and Renew Agreement	Present parts clerks and facilities technicians agreement to Board - Q3					
20.	2024 State Transportation Improvement Program (STIP)	Maximize State Funding Opportunities	Present final 2024 STIP to Board - Q3					
21.	Bus Base Charge Ready Infrastructure Plan*	Evaluate Charging Infrastructure Needs and Facilities for ZEB Rollout Plan	Present update to ESC - Q3					
22.	Community Circulators and Shuttles (Project V)	Fund Development of Local Bus Transit Services	Present recommendations for Community Circulators Shuttles to Board - Q3					
23.	Freeway Signs	Improve Regional Wayfinding	Request that Caltrans review and modernize freeway directional signs and points of interest signs, including historical and cultural points of interest signs - Q3					
24.	M2 Environmental Cleanup Program (Project X)	Fund Regionalized Water Quality Improvements	Release Tier 2 call for projects - Q3					

*2023 Carryover

COMPLETED

ON TRACK

TIMETABLE ADJUSTED

CARRYOVER

Q3 (Continued)

#	Project/Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
25.	M2 Triennial Performance Assessment	Evaluate the Efficiency, Effectiveness, Economy, and Results of the Agency's Delivery of M2	Initiate the sixth performance assessment covering FY 2021-22 through FY 2023-24 - Q3					
26.	OC Transit Vision	Continue Meaningful Planning Work to Prioritize Next Set of Mass Transit Projects to Meet the County's Current and Future Needs	Present report on the progress of major transit projects and draft findings from the 2024 OC Transit Vision plan to Board - Q3					
27.	Olympics 2028	Develop an Action Plan to Guide Preparations	Provide update to Board - Q3					
28.	SR-91 Implementation Plan	Collaborate with RCTC to Update the Plan in Support of Regional SR-91 Corridor Transportation Improvements	Present Plan to Board - Q3					
29.	Streets and Roads Grants	Fund Streets and Roads Improvements	Present recommendations for RCP (Project O) and RTSSP (Project P) projects grant awards to Board - Q3					
30.	Transit and Intercity Rail Capital Program (TIRCP)	Stabilize Funding for Rail Operations and Last Mile Connections, Improve Critical Rail Infrastructure, Deploy ZEBs, Generate Clean Energy at OCTA Facilities, and Expand Transit and Improve Customer Experience	Accept TIRCP grants for SB 125 funding - Q3					

COMPLETED

ON TRACK

TIMETABLE ADJUSTED

CARRYOVER

FOURTH QUARTER (Q4)

0 of 52 Completed -

0%

#	Project/Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
1.	Bus Base Gates	Enhance Security at Bus Bases with Security Gate Installations	Complete construction - Q4					
2.	I-605, Katella Avenue Interchange	Initiate Construction	Award construction contract - Q4					
3.	Mission Viejo/Laguna Niguel Slope Stabilization	Ensure Asset Preservation and Climate Resiliency	Complete design phase - Q4					
4.	OC Streetcar	Continue to Advance Construction	Report on status of construction and updates to target service startup date to Board - Q1-Q4					
5.	Renewable Solar Energy at Bus Bases	Advance Climate Goals by Introducing Renewable Energy Into Agency Operations	Initiate procurement for Architectural and Engineering design services for the installation of solar panels at maintenance and operations bases - Q4					
6.	511 Motorist Assistance and Freeway Service Patrol (FSP)	Expand Awareness of the 511 Motorist Assistance and FSP Programs, Particularly With Underserved Populations	Explore opportunities to enhance awareness and utilization of the 511 Motorist Assistance and FSP programs through marketing and communication efforts working with ethnic media and Diversity Outreach - Q1-Q4					
7.	Crisis Communications	Ensure Agency and Staff Preparedness	Conduct a tabletop exercise for the Crisis Communications team and revise Crisis Communications Plan as appropriate - Q4					
8.	Diversity, Equity, Inclusion, and Belonging	Enhance Organizational Policies, Practices, and Programs Related to Diversity, Equity, Inclusion, and Belonging	Continue to review and implement as appropriate recommendations from the third-party organizational diversity, equity, and inclusion study - Q4					
9.	OCTA in the News	Share Newsworthy OCTA Activities and Actions to Obtain Coverage and Raise Awareness of OCTA Programs, Initiatives, and Plans	Continue to highlight OCTA initiatives through mainstream, ethnic, industry, and social media - Q1-Q4					
10.	Annual Comprehensive Financial Report	Ensure Accountability and Transparency	Obtain an unmodified opinion from the external auditors and provide the annual financial statements to Board - Q4					
11.	Comprehensive Business Plan (CBP)	Develop OCTA's Business Plan	Present CBP to Board for adoption - Q4					

COMPLETED

ON TRACK

TIMETABLE ADJUSTED

CARRYOVER

Q4 (Continued)

#	Project/Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
12.	Cybersecurity (TSA Security Directive)*	Fulfill TSA Security Directive	Complete initial cybersecurity assessment and incident response plan - Q4					
13.	Enterprise Asset Management (EAM)*	Implement New EAM System	Transition Infor EAM System from test into full production - Q4					
14.	Fare Policy	Modernize OCTA's Fare Policy	Present and discuss fare policy changes with Board - Q4					
15.	Headquarters Building	Implement Long-Term Strategy for the OCTA Administrative Headquarters	Present options to Board for consideration - Q4					
16.	Procurement	Enhance Procurement Efficiencies through a More Comprehensive E-Procurement System with Solicitation Formulation Assistance, Evaluation Tools, Increased Vendor Pool, and Contract Compliance Assurance	Complete procurement for a new E-Procurement system and present recommendation to Board - Q4					
17.	Procurement	Support Open and Fair Competition by Increasing Outreach to Small and Disadvantaged Businesses	Hold networking events throughout the year to match smaller businesses with prime contractors, increase awareness of contracting opportunities, and get DBE firms registered with State of California - Q1-Q4					
18.	Legislative Forums	Communicate Transportation Needs and Challenges and OCTA's Ongoing Plans, Programs, and Projects	Conduct forums with local delegation representatives and report to management team - Q2 and Q4					
19.	Legislative Platforms	Set Legislative Priorities	Present final 2025-26 state and federal legislative platforms to Board for approval - Q4					
20.	Legislative Priorities	Provide End-of-Session Report	Discuss outcomes of legislative priorities with L&C - Q4					
21.	Local Government Forums	Conduct Mayors Forums by District	Conduct forums with city leaders and report to management team - Q4					

*2023 Carryover

COMPLETED

ON TRACK

TIMETABLE ADJUSTED

CARRYOVER

Q4 (Continued)

#	Project/Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
22.	Subrecipient Compliance Reviews	Identify Compliance Issues and Correct as Needed	Complete compliance reviews and correction actions for all of OCTA's federal subrecipients - Q4					
23.	91 and 405 Express Lanes Communications	Provide Customer Communications and Enhance Brand Awareness, Perceptions, and Usage of the Express Lanes	Implement multilingual Express Lanes marketing, communications, and outreach at community events, and through paid and earned media - Q4					
24.	Core Competency Integration	Integrate Core Competencies into Talent Management Process	Educate all managers on core competencies and utilize in interviews and assessing talent - Q4					
25.	Diversity, Equity, Inclusion, and Belonging - Diverse Community Leaders Group (DCLG)	Maximize Relationships with Key Stakeholders and Leaders that Represent Diverse Communities to Solicit Feedback and Incorporate their Suggestions into Transit Improvements and Future Planning Efforts	Enhance engagement opportunities with DCLG (based on number of meetings, events, and activities per organization, feedback surveys, and results of feedback for transit improvements and future planning efforts) and provide update to Board - Q4					
26.	Diversity, Equity, Inclusion, and Belonging - Outreach Activities and Trust-Building Campaign	Increase Participation of Diverse Communities in Transportation Planning Process and Promote Inclusivity to Ensure Transit Services are Accessible and Welcoming to People from All Backgrounds and Communities	Increase participation from diverse communities in planning and decision-making processes by 15 percent from 2023 and present quarterly reports to Board - Q1-Q4					
27.	Human Resources Information System (HRIS)	Implement a Modernized HRIS	Complete process mapping for Human Resources and Payroll components - Q4					
28.	Market Research	Obtain Public Input and Preferences for OCTA's Various Planning Studies, Programs, and Services	Conduct qualitative and quantitative surveys to support marketing programs, customer satisfaction, the OC Transit Vision, M2 Ten-Year Review, and other planning studies - Q4					

COMPLETED

ON TRACK

TIMETABLE ADJUSTED

CARRYOVER

Q4 (Continued)

#	Project/Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
29.	Marketing Activities	Promote and Educate Public on OCTA Services	Present biannual updates on ongoing campaigns promoting bus, rail, OC Flex, rideshare, and vanpool services to L&C - Q2 and Q4					
30.	OC Streetcar	Ensure Maintenance and Storage Facility and Vehicles Meet All Health, Safety, and Environmental Compliance Requirements Prior to Revenue Service	Work directly with all applicable regulatory agencies to ensure compliance and approval and permits are obtained - Q4					
31.	OC Streetcar Marketing and Customer Communications	Create Awareness and Interest in OC Streetcar to Build Ridership	Develop and implement a multifaceted, phased marketing campaign, including business partnerships and customer communications, on how to use the system and present plan to Board - Q4					
32.	OC Streetcar Testing/Operations Safety Education and Public Awareness	Educate Various Target Audiences About OC Streetcar Safety During Testing Period Leading Up to Revenue Service	Expand reach and penetration of safety education campaign to raise public awareness once testing begins on tracks and present quarterly reports to Board - Q1-Q4					
33.	Outreach Activities	Conduct Outreach to Support Capital Projects	Provide updates to Board on OC Streetcar, I-5 corridor projects, SR-55 corridor projects, I-405, I-605/Katella Avenue Interchange, and SR-91 - Q1-Q4					
34.	Outreach Activities	Conduct Outreach to Support Planning Studies	Provide outreach updates to Board for planning studies, including OC Connect, OC Transportation Demand Management Plan, OC Transit Vision Plan, OC Coastal Rail Resiliency Study, and others as appropriate - Q1-Q4					
35.	Transit Marketing and Customer Communications	Promote and Educate Public on OCTA Transit Services	Develop and implement multilingual campaigns and programs to promote the Youth Ride Free pass and other promotional passes, major service changes, Metrolink service (including Angels Express), mental health through transit use, and other activities - Q4					

COMPLETED

ON TRACK

TIMETABLE ADJUSTED

CARRYOVER

Q4 (Continued)

#	Project/Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
36.	Active Transportation Initiatives	Implement Programs in Support of Non-Motorized Transportation	Provide biannual updates on active transportation initiatives to Board - Q2 and Q4					
37.	Active Transportation Safety Education	Provide In-Language Resources and Engagement Opportunities to Further Promote Active Transportation	Continue e-bike safety campaign collaborating with local cities and schools, and coordinate with regional partners to secure grant funding to provide educational campaigns (particularly in disadvantaged communities) to promote Safe Routes to School - Q4					
38.	Bikeways Connectivity Study	Identify Opportunities to Reallocate Excess MPAH ROW to Support a More Complete Bikeways Network	Coordinate with regional partners to secure grant funding to initiate study - Q4					
39.	Climate Adaptation and Sustainability	Advance Agency Sustainability Practices and Resiliency Efforts to Adapt to Climate Change Impacts	Provide update on recommended follow-up activities, including a draft action plan, to Board - Q4					
40.	Coastal Rail Solutions	Support Efforts to Develop Solutions for Coastal Rail Infrastructure	Work with external stakeholders and provide periodic updates to Board - Q2 and Q4					
41.	Harbor Boulevard Pilot Innovative Transit Signal Priority Study	Evaluate and Assess Innovative Solutions to Improve Transit Performance	Provide update to ESC on status of the pilot project - Q4					
42.	M2 Environmental Cleanup Program (Project X)	Fund Localized Water Quality Improvements	Present programming recommendations for Tier 1 water quality projects grant awards to Board - Q4					
43.	M2 Environmental Mitigation Programs	Ensure Compliance with Resource Agency Permits	Present biannual progress reports to Board - Q2 and Q4					
44.	M2 Quarterly Reports	Provide Updates on Progress of M2 Implementation and Fulfill the Requirements of the M2 Ordinance No. 3	Present quarterly reports to Board - Q1-Q4					

COMPLETED

ON TRACK

TIMETABLE ADJUSTED

CARRYOVER

Q4 (Continued)

#	Project/Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
45.	M2 Ten-Year Review	Evaluate Performance of the M2 Program through a Comprehensive Review	Present framework to Board - Q4					
46.	Mobility Hubs	Develop a Concept of Operations for a Potential Demonstration Project	Coordinate with regional partners to secure grant funding to initiate study - Q4					
47.	Next 10 Delivery Plan	Ensure M2 Delivery Commitment	Review and present status of the Next 10 Delivery Plan deliverables to Board - Q4					
48.	OC Connect	Prepare Environmental Clearance for an Active Transportation Facility on PE ROW	Present update to Board - Q4					
49.	Regional Planning Activities	Highlight Transportation Planning Activities	Present biannual reports on activities underway, such as the 2024 RTP, that impact OCTA and the Southern California region to Board - Q2 and Q4					
50.	South County Mobility Improvements	Collaborate with Key Agencies to Advance Development and Implementation of Transportation Improvements in South Orange County	Provide update to Board - Q4					
51.	Transit Ridership Optimization	Assess Transit Service to Meet Current Ridership Demand	Implement Making Better Connections Service Plan, as appropriate, to reflect current ridership trends and provide updates to ESC - Q2 and Q4					
52.	Transportation Demand Management (TDM) Study	Develop a Toolbox of TDM Tactics That Can Be Implemented by Agencies in Orange County	Present update to ESC - Q4					

COMPLETED

ON TRACK

TIMETABLE ADJUSTED

CARRYOVER

Acronyms

AAP/EEO - Affirmative Action Plan/Equal Employment Opportunity	L&C - Legislative and Communications Committee
Board - Board of Directors	M2 - Measure M2
BEB - Battery-Electric Bus	MDA - Management Development Academy
Caltrans - California Department of Transportation	MPAH - Master Plan of Arterial Highways
CBP - Comprehensive Business Plan	OCTA - Orange County Transportation Authority
CEO - Chief Executive Officer	PE - Pacific Electric
DBE - Disadvantaged Business Enterprise	RCTC - Riverside County Transportation Commission
DCLG - Diverse Community Leaders Group	RCP - Regional Capacity Program
E-Bike - E-Bicycle	ROW - Right-of-Way
EAM - Enterprise Asset Management	RTP - Regional Transportation Plan
ECA - Early Career Academy	RTSSP - Regional Transportation Signal Synchronization Program
EIR - Environmental Impact Report	SB - Senate Bill
ELC - Express Lanes Connector	SCAG - Southern California Association of Governments
ESC - Executive Steering Committee	SR-55 - State Route 55
FCEB - Fuel-Cell Electric Bus	SR-73 - State Route 73
FSP - Freeway Service Patrol	SR-91 - State Route 91
FTA - Federal Transit Administration	STIP - State Transportation Improvement Program
FTIP - Federal Transportation Improvement Program	TDM - Transportation Demand Management
FY - Fiscal Year	TIRCP - Transit and Intercity Rail Capital Program
HRIS - Human Resources Information System	TSA - Transportation Security Administration
I-5 - Interstate 5	TIFIA - Transportation Infrastructure Finance and Innovation Act
I-405 - Interstate 405	VMT - Vehicle Miles Traveled
I-605 - Interstate 605	ZEB - Zero-Emission Bus



Call to Order

The January 22, 2024, regular meeting of the Orange County Transportation Authority (OCTA) Board of Directors and affiliated agencies was called to order by Chair Nguyen at 9:00 a.m. at the OCTA Headquarters, 550 South Main Street, Orange, California.

Directors Present: Tam T. Nguyen, Chair
Doug Chaffee, Vice Chair
Ashleigh Aitken
Valerie Amezcua
Jon Dumitru
Jamey Federico
Katrina Foley
Patrick Harper
Michael Hennessey
Fred Jung
Farrah N. Khan
Stephanie Klopfenstein
John Stephens
Vicente Sarmiento
Donald P. Wagner

Directors Absent: Andrew Do

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
Allison Cheshire, Clerk of the Board Specialist, Senior
James Donich, General Counsel

1. Closed Session

A Closed Session was held pursuant to Government Code Section 54956.9(d)(1) - Conference with General Counsel - Existing Litigation - Nova Academy Facilities, LLC, et al. v. Orange County Transportation Authority - OCSC Case No. 30-2022-01280703.

James Donich, General Counsel, noted there was no report out on this item.

Chair Nguyen, Vice Chair Chaffee, Directors Aitken, Amezcua, Dumitru, Federico, Foley, Harper, Hennessey, Jung, Khan, Klopfenstein, Stephens, Sarmiento, and Wagner were present.

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

Resolutions of Appreciation were presented to Quan Tran Coach Operator; Patricia McLure, Maintenance; Dennis Mak, Administration, as Employees of the Month for January 2024.

3. Public Hearing to Amend the Orange County Local Transportation Authority Measure M2 Ordinance No. 3

A motion was made by Chair Nguyen, seconded by Director Jung, and declared passed, by those present, to continue the public hearing to review the facts, be briefed by general counsel on the legal issues, and review the legislative intent of the people who drafted the the Measure M2 Ordinance.

Directors Foley and Stephens voted in opposition to this item.

Consent Calendar (Items 4 through 10)

4. Approval of Minutes

A motion was made by Director Dumitru, seconded by Director Wagner, and declared passed by those present, to approve the minutes of the January 8, 2024, Orange County Transportation Authority and affiliated agencies' regular meeting.

5. Approval of 2024 Orange County Transportation Authority Board Committees and External Agencies' Assignments

A motion was made by Director Dumitru, seconded by Director Wagner, and declared passed by those present, to:

- A. Approve the Chairman's assignments for the 2024 Orange County Transportation Authority Board Committees comprised of the Executive, Finance and Administration, Legislative and Communications, Regional Planning and Highways, State Route 91 Advisory, Transit, and Environmental Oversight Committees.
- B. Receive the Chairman's assignments for 2024 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 Southern California Regional Rail Authority.

6. Fiscal Year 2022-23 Single Audit and Agreed-Upon Procedures Reports

A motion was made by Director Dumitru, seconded by Director Wagner, and declared passed by those present, to:

- A. Receive and file the fiscal year 2022-23 Single Audit and agreed-upon procedures reports, and management responses (as applicable) as information items.
- B. Direct staff to implement auditor recommendation to implement effective controls to ensure deferred compensation plan changes are appropriately reflected in system calculations.
- C. Direct staff to implement management responses to auditor findings in the application of agreed-upon procedures related to the National Transit Database Report and the Treasury Department.

7. Transit Police Services, Internal Audit Report No. 24-503

A motion was made by Director Dumitru, seconded by Director Wagner, and declared passed by those present, to direct staff to implement four recommendations provided in Transit Police Services, Internal Audit Report No. 24-503.

8. Freeway Maintenance Agreement with the California Department of Transportation for Roadway and Maintenance Services on the 405 Express Lanes

A motion was made by Director Dumitru, seconded by Director Wagner, and declared passed by those present, to authorize the Chief Executive Officer to negotiate and execute Agreement No. 3-3073, between the Orange County Transportation Authority and the California Department of Transportation, in an amount not to exceed \$887,217, for routine roadway and maintenance services on the 405 Express Lanes.

9. Orange County Transportation Authority Investment and Debt Programs Report - November 2023

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

10. Fiscal Year 2023-24 First Quarter Budget Status Report

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

Regular Calendar

11. Agreement for Independent Annual Financial Auditing Services

A motion was made by Director Hennessey, seconded by Director Jung, declared passed, to:

- A. Approve the selection of Eide Bailly LLP, as the firm to provide independent annual financial auditing services.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-3-2931 between the Orange County Transportation Authority and Eide Bailly LLP, in the amount of \$1,715,487, to provide independent annual financial auditing services for a three-year initial term with one, two-year option term.

12. OC Streetcar Project Quarterly Update

Jim Beil, Executive Director of Capital Programs, and Tresa Oliveri, Public Outreach, provided a presentation on this item.

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

Discussion Items

13. Public Comments

Public Comments were heard from Kirk Watilo and Monica Shin.

14. Chief Executive Officer's Report

Mr. Johnson, CEO, reported on the following:

- Sacramento Trip to discuss the importance of transit operations and capital project funding with our state delegation members.
- Transit Equity Day, Sunday, February 4th

15. Directors' Reports

There were no Directors' Reports.



16. Adjournment

The meeting adjourned at 10:08 a.m.

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

9:00 a.m., on Monday, February 12, 2024

OCTA Headquarters
Board Room
550 South Main Street
Orange, California

ATTEST:

Gina Ramirez
Assistant Clerk of the Board



COMMITTEE TRANSMITTAL

February 12, 2024

To: Members of the Board of Directors

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

Subject: Audit Responsibilities of the Finance and Administration Committee

Finance and Administration Committee Meeting of January 24, 2024

Present: Directors Do, Federico, Harper, Hennessey, Klopfenstein, and Sarmiento

Absent: Director Nguyen

Committee Vote

This item was passed by the Members present.

Staff Recommendation

Approve the audit responsibilities of the Finance and Administration Committee.



January 24, 2024

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Janet Sutter, Executive Director
Internal Audit Department

Subject: Audit Responsibilities of the Finance and Administration Committee

Overview

The Finance and Administration Committee of the Board of Directors of the Orange County Transportation Authority serves as an audit committee in its oversight of audit activities. Annually, the Board of Directors approves the audit responsibilities of the Finance and Administration Committee to reaffirm these responsibilities.

Recommendation

Approve the audit responsibilities of the Finance and Administration Committee.

Background

The Internal Audit Department (Internal Audit) is an independent appraisal function, the purpose of which is to examine and evaluate the Orange County Transportation Authority's (OCTA) operations and activities. Internal Audit also coordinates and monitors the activities of external auditors, including the independent financial statement auditors. The Finance and Administration Committee (Committee) serves as OCTA's audit committee, having primary responsibility for the oversight of all audit activities.

Discussion

The Committee receives and reviews the annual Internal Audit Plan (Plan), all audit reports and management responses, and quarterly updates to the Plan. The Committee reviews the independently audited financial statements of OCTA and its related entities, as well as the external auditor's required

communications, including any recommendations resulting from the audits performed.

The Board of Directors originally adopted the audit responsibilities of the Finance and Administration Committee to establish responsibilities of the Committee with regard to audits. The responsibilities include an annual affirmation of the roles and responsibilities of the Committee in fulfilling this role.

Summary

Audit responsibilities of the Committee include Committee review of OCTA's audited financial statements, oversight of its Internal Audit function, and communication with its external auditors. These responsibilities are presented for review and approval.

Attachment

- A. Orange County Transportation Authority Audit Responsibilities of the Finance and Administration Committee

Approved by:



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

**Orange County Transportation Authority
Audit Responsibilities of the Finance and Administration Committee**

The Finance and Administration Committee (Committee) of the Board of Directors (Board) of the Orange County Transportation Authority (OCTA) will assist the Board in fulfilling its audit oversight responsibilities with regard to (1) the integrity of OCTA's financial statements, (2) OCTA's compliance with legal and regulatory requirements, (3) the independent auditor's qualifications and independence, and (4) the performance of OCTA's internal audit function. In providing this assistance to the Board, the Committee will assume audit responsibilities as provided herein and recommend action on all audit matters to the full Board.

All Committee members will participate in fulfilling these responsibilities. At least one of the Committee members will have financial experience sufficient to provide guidance and assistance to other Committee members on matters related to accounting, auditing, budgeting, and finance.

Audit responsibilities of the Committee will include, but not be limited to, the following:

Financial Statements

- Review with management and the external auditors:
 - The annual financial audit reports and related footnotes, schedules, unadjusted differences, and management letter, including OCTA accounting principles and significant estimates or judgments impacting the financial statements.
 - Any serious difficulties or disputes with management encountered during the audit.
 - Matters required to be discussed by Statements on Auditing Standards issued by the Auditing Standards Board of the American Institute of Certified Public Accountants, or other state or federal agencies.
- Inquire of the Chief Executive Officer and the Chief Financial Officer regarding the fiscal health of OCTA, as well as the financial status of OCTA in relation to its adopted budget.

External Audit

- Review the external auditors' proposed audit scope and approach, including coordination of audit effort with the Internal Audit Department (Internal Audit).
- Inquire of the external auditors, internal auditors, and management about significant risks or exposures facing OCTA, and assess the steps management has taken or proposes to take to minimize such risks.
- Review the performance of the external auditors, including any issues arising during their most recent quality control or peer review, their independence as it relates to OCTA, and recommend to the Board the appointment or discharge of the external auditors.

**Orange County Transportation Authority
Audit Responsibilities of the Finance and Administration Committee**

- Make recommendations to the Board on procurement of the external auditors and ensure compliance with Government Code Section 12410.6 with regard to assignment of partners.

Internal Audit

- Review with management and the Executive Director of Internal Audit the annual audit plan and quarterly reports of audit activity.
- Review the activities, staffing, budget, independence, and organizational structure of the internal audit function, including the effectiveness of the function and its compliance with the Government Accountability Office's *Government Auditing Standards* (Yellow Book).
- Review all internal audit reports, including management responses, thereto.
- Ensure there are no unjustified restrictions or limitations placed upon Internal Audit.
- Review and concur in the appointment, replacement, or dismissal of the Executive Director of Internal Audit.

Internal Control

- Understand the scope of internal and external auditors' review of internal control over financial reporting, and obtain reports on significant findings and recommendations, together with management's responses.
- Consider the effectiveness of OCTA's internal control system, including information technology security and control.

Other

- Review the Audit Responsibilities of the Finance and Administration Committee annually to reassess their adequacy and recommend any proposed changes.
- Review the Committee's effectiveness in carrying out its responsibilities.
- Other matters deemed appropriate by the Committee Chairman or as directed by the Chairman of the Board.



COMMITTEE TRANSMITTAL

February 12, 2024

To: Members of the Board of Directors
From: Andrea West, Clerk of the Board *Andrea West*
Subject: Accounts Payable Operations, Internal Audit Report No. 23-504

Finance and Administration Committee Meeting of January 24, 2024

Present: Directors Do, Federico, Harper, Hennessey, Klopfenstein, and Sarmiento
Absent: Director Nguyen

Committee Vote

This item was passed by the Members present.

Staff Recommendation

Direct staff to implement two recommendations provided in Accounts Payable Operations, Internal Audit Report No. 23-504.



January 24, 2024

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Janet Sutter, Executive Director
Internal Audit

Subject: Accounts Payable Operations, Internal Audit Report No. 23-504

Overview

The Internal Audit Department of the Orange County Transportation Authority has completed an audit of Accounts Payable operations. Based on the audit, controls to ensure payments are processed in compliance with policies and procedures are generally adequate; however, the Internal Audit Department is making two recommendations to improve system controls and to ensure consistent enforcement of the Payment Request Policy.

Recommendation

Direct staff to implement two recommendations provided in Accounts Payable Operations, Internal Audit Report No. 23-504.

Background

The Accounts Payable (AP) section of the Accounting and Financial Reporting Department within the Finance and Administration Division is responsible for processing all payments on behalf of the Orange County Transportation Authority. AP staff review invoices for accuracy, reasonableness of documentation, compliance with applicable policies and procedures, and proper signature authority. AP staff are also responsible for vendor file maintenance within the Central Square Finance Enterprise System.

During the scope period of January 1, 2022, through June 30, 2023, AP staff processed a total of 14,820 payments, of which 12,326 were conventional check payments and 2,494 were electronic payments. Approximately 80 percent of the payments made were to vendors under contract and 20 percent were for small

dollar disbursements or other routine disbursements, such as utility payments, travel reimbursements, and right-of-way property acquisitions.

All payments processed are subject to AP policies and procedures, including the Accounts Payable Invoice Review Policy, Vendor Payment Policy, Payment Authorization Policy, Payment Request Policy (PR Policy), and the Check Signature Policy. The PR Policy outlines rules for payments made without an underlying purchase order, contract, cooperative agreement, or travel expense report, such as payroll taxes, judgements and settlements, utility payments, refunds, real estate purchases, and membership dues.

AP utilizes the Central Square Enterprise System (accounting system) to perform vendor file maintenance and process payments. Access to the accounting system is controlled and requires a supervisor or manager to submit a Computer Access Request form to an accounting system administrator for user access to be granted. Accounting system administrators have the ability to set up users, change a user's system rights, or inactivate a user, as needed.

Discussion

There is no control in place to prevent the same user from creating or editing a vendor in the accounting system and processing a payment to that vendor. In addition, controls to grant and periodically monitor accounting system access for appropriateness should be strengthened. The Internal Audit Department (Internal Audit) recommended management separate the ability to create or edit vendors from the ability to process payments, require a Computer Access Request form for all user access requests, enhance the annual accounting system access review, and restrict the number of users granted administrative rights. Management agreed and indicated that the recommendation will be implemented.

Internal Audit identified 17 invoices paid using a PR form that did not comply with the PR Policy. Internal Audit recommended management review and update the PR Policy and related form and that project managers and AP staff be reminded of the proper use of PRs. Management agreed and indicated that the PR Policy and related form will be updated and has informed AP staff not to process exceptions without approval.

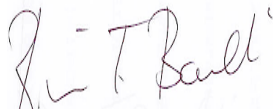
Summary

Internal Audit has completed an audit of accounts payable operations and has offered two recommendations that management has agreed to implement.

Attachment

A. Accounts Payable Operations, Internal Audit Report No. 23-504

Prepared by:



Ricco Bonelli
Principal Internal Auditor
714-560-5384

Approved by:



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

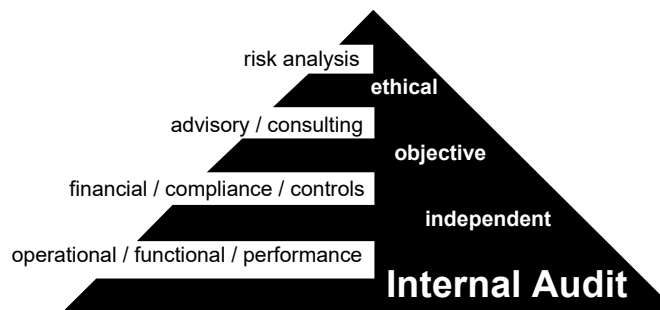
ORANGE COUNTY TRANSPORTATION AUTHORITY INTERNAL AUDIT DEPARTMENT



Accounts Payable Operations

Internal Audit Report No. 23-504

January 15, 2024



Audit Team: Ricco Bonelli, CIA, Principal Internal Auditor *RTB*
Janet Sutter, CIA, Executive Director

Distributed to: Andrew Oftelie, Chief Financial Officer, Finance and Administration
Sean Murdock, Rima Tran, Nichole Sanchez, Jane Swanson

**ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERNAL AUDIT DEPARTMENT
Accounts Payable Operations
January 15, 2024**

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Conclusion

The Internal Audit Department (Internal Audit) of the Orange County Transportation Authority (OCTA) has completed an audit of Accounts Payable (AP) Operations. Based on the audit, controls to ensure payments are processed in compliance with policies and procedures are generally adequate; however, two recommendations have been made to improve system controls and to ensure consistent enforcement of the Payment Request Policy (PR Policy).

Background

The AP section of the Accounting and Financial Reporting Department within the Finance and Administration Division is responsible for processing all payments on behalf of OCTA. AP is staffed with a section manager and four accounting specialists. AP staff review invoices for accuracy, reasonableness of documentation, compliance with applicable policies and procedures, and proper signature authority. AP staff are also responsible for vendor file maintenance within the Central Square Finance Enterprise System.

During the period January 1, 2022, through June 30, 2023, AP staff processed a total of 14,820 payments, of which 12,326 (about 83 percent) were conventional check payments and 2,494 (about 17 percent) were electronic payments (such as e-payables, wire transfers, and Automated Clearing House transactions). About 80 percent of the payments made were to vendors under contract and 20 percent were for small dollar disbursements or other routine disbursements, such as utility payments, travel reimbursements, and right-of-way property acquisitions.

Payments are subject to AP policies and procedures, including the AP Invoice Review Policy, Vendor Payment Policy, Payment Authorization Policy, PR Policy, and the Check Signature Policy. The PR Policy outlines rules for payments made without an underlying purchase order, contract, cooperative agreement, or travel expense report, such as payroll taxes, judgements and settlements, utility payments, refunds, real estate purchases, and membership dues. The PR Policy also allows for exceptions for payments approved by an Executive Director or higher.

Central Square System

AP utilizes the Central Square Finance Enterprise System (accounting system) to perform vendor file maintenance and process payments. Access to the accounting system is controlled and requires a supervisor or manager to submit a Computer Access Request (CAR) form to an accounting system administrator for user access to be granted. Accounting system administrators have the ability to set up users, change a user's system rights, or inactivate a user, as needed.

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Objectives, Scope, and Methodology

The objectives were to determine compliance with relevant policies and procedures and assess the adequacy of related controls.

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

- Control Activities
 - OCTA selects and develops control activities that contribute to the mitigation of risks to the achievement of objectives to acceptable levels.
 - OCTA selects and develops general control activities over technology to support the achievement of objectives.

The methodology consisted of testing compliance with selected requirements within AP policies and procedures. Internal Audit utilized data analytics software to identify transactions with characteristics indicating possible duplicate payments, fraudulent payments, or payments in violation of policy limitations. From the transactions identified through data analysis, Internal Audit judgmentally or haphazardly selected a sample of transactions for inspection of supporting documentation. Bias used in judgmental sample selections included transaction amount, description, vendor type, or other characteristics indicative of duplicate, fraudulent, or non-compliant payments. Since samples were non-statistical, any conclusions are limited to the sample items tested. Through interview and inspection of accounting system access reports, Internal Audit also evaluated controls over accounting system access and segregation of duties.

The scope was limited to payments processed from January 1, 2022, through June 30, 2023. The scope included OCTA's vendor master file as of July 25, 2023, and OCTA's employee master file as of July 20, 2023. The scope also included accounting system administrators as of July 27, 2023, and monitoring activities of accounting system users performed in July 2023. The scope did not include transactions related to payroll garnishments, purchasing cards, or corporate credit cards since these transactions are covered in separate audits.

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

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

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Audit Comments, Recommendations, and Management Responses

Segregation of Duties and Accounting System Access Rights

There is no control in place to prevent the same user from creating or editing a vendor in the accounting system and processing a payment to that vendor. Further, controls to grant and periodically monitor accounting system access for appropriateness should be strengthened.

Internal Audit identified 2,156 payments that were processed by an accounting system user who had also created, or last edited, the record of the vendor to whom the payment was made. This included both AP staff and Cofiroute USA, LLC (Cofiroute), staff that process refunds for 91 Express Lanes customers. While further analysis of the payment details and testing of a sample of payments to underlying support did not identify any improper payments, it is best practice to segregate vendor creation/edit from payment processing.

In addition, controls over accounting system access are insufficient, as follows:

- A CAR form is required to create a new user in the system; however, these forms are not retained on file. After a user is created, system administrators accept informal requests (e.g. email, phone call, etc.) to change user access rights and do not retain the requests. As such, there is no record of approval for system access assignments.
- A report of system user access rights is provided to the Department Manager of Accounting and Financial Reporting for annual review; however, the report is insufficient to determine the appropriateness of assigned access rights because it does not reflect the level of rights assigned to each user. Users should be assigned the minimum necessary access level needed to perform their job duties.
- There are currently six individuals assigned system administrator rights, allowing these individuals to set up new users, change user access rights, setup and edit vendors, process payments, etc. While system administrators are required to ensure system and user maintenance, the number of administrators should be limited.

Recommendation 1:

Internal Audit recommends the following:

1. Management should segregate the ability to create and/or edit vendors from the ability to process payments in the accounting system.
2. A properly authorized CAR form should be required for all user access requests, including user access change requests, and should be retained on file.
3. The annual review of accounting system users should be enhanced to provide the reviewer with sufficient information regarding each user's roles and responsibilities along with their system rights.

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4. The number of users with administrative rights should be limited. In instances where administrative rights are assigned on a temporary basis, monitoring procedures should be developed to ensure that administrative rights are removed promptly when no longer needed.

Management Response:

Management agrees with the recommendations. AP staff's capability to create and/or edit vendors in the accounting system will be removed. This responsibility will now be delegated to staff outside of the AP section. Cofiroute staff's capability to create and/or edit vendors in accounting system has been removed since December 2023.

The Accounting Department will collaborate with the Information Systems Department and create a new policy to strengthen controls over accounting system access. A CAR form will be required for all user access requests, including changes to existing access. This form will be completed and stored for documentation purposes. The annual review of accounting system users will be enhanced to provide clear documentation of each user's roles and responsibilities. The number of users with administrative rights will be reduced. Additionally, a procedural framework will be established to promptly remove administrative rights when access is no longer required.

Payment Request Violations

Internal Audit identified 17 invoices paid using a PR form that did not comply with the PR Policy.

The PR Policy allows for one-time payments, or a series of payments, of \$2,500 or less. The policy lists exceptions for payments above the \$2,500 threshold that do not require a formal contract, such as utility bills, payroll disbursements, real estate purchases, membership dues, subscriptions, etc. Exceptions to this policy require approval from an Executive Director, Deputy Chief Executive Officer, or Chief Executive Officer.

In addition, Internal Audit identified three instances in which payment to a vendor under contract was incorrectly processed using a PR form; as a result, the payments were not applied against the vendor's contract balance.

Recommendation 2:

Internal Audit recommends management review and update the PR Policy, as necessary, and consider updating the PR form to include a checklist and details as to the types of allowable payments. Project managers should be reminded of the proper use of PRs and AP staff should not process exceptions without proper approval.

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Management Response:

Management agrees with the recommendation. The PR Policy will be updated to enhance clarity, raise the threshold amount, and potentially encompass additional items that do not require a formal contract. Additionally, revisions to the PR form will be implemented to ensure project managers utilize the form in accordance with the PR Policy. To reinforce compliance, AP staff has been informed not to process exceptions without appropriate approval.



COMMITTEE TRANSMITTAL

February 12, 2024

To: Members of the Board of Directors
From: Andrea West, Clerk of the Board *Andrea West*
Subject: Fiscal Year 2023-24 Internal Audit Plan, Second Quarter Update

Finance and Administration Committee Meeting of January 24, 2024

Present: Directors Do, Federico, Harper, Hennessey, Klopfenstein, and Sarmiento
Absent: Director Nguyen

Committee Vote

This item was passed by the Members present.

Staff Recommendation

Receive and file the second quarter update to the Orange County Transportation Authority Internal Audit Department Fiscal Year 2023-24 Internal Audit Plan as an information item.



January 24, 2024

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Janet Sutter, Executive Director
Internal Audit Department

Subject: Fiscal Year 2023-24 Internal Audit Plan, Second Quarter Update

Overview

The Orange County Transportation Authority Board of Directors adopted the Orange County Transportation Authority Internal Audit Department Fiscal Year 2023-24 Internal Audit Plan on July 24, 2023. This report provides an update on activities for the second quarter of the fiscal year.

Recommendation

Receive and file the second quarter update to the Orange County Transportation Authority Internal Audit Department Fiscal Year 2023-24 Internal Audit Plan as an information item.

Background

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

Internal Audit performs a wide range of auditing services that include overseeing the annual financial and compliance audits, conducting operational and contract compliance reviews, investigations, pre-award price reviews, and Buy America reviews. In addition, audits initiated by entities outside of OCTA are coordinated through Internal Audit.

Discussion

The OCTA Internal Audit Department (Internal Audit) Fiscal Year (FY) 2023-24 Internal Audit Plan (Plan) (Attachment A) reflects the status of each project.

During the second quarter of the FY, Internal Audit presented the results of an audit of OCTA Store operations. Based on the audit, controls over OCTA Store operations are adequate and operating. Internal Audit noted that management has implemented procedures that ensure proper safeguarding of cash, transponders, and pass fare media and exercises appropriate security over the premises.

In addition, an audit of cooperative agreements between OCTA and the Regional Center of Orange County (RCOC) and My Day Counts (MDC) was issued. The audit concluded that contract, oversight, and monitoring controls should be improved. Recommendations were made to reconsider or strengthen the pass-through trip arrangement with MDC, to implement procedures to reconcile and resolve trips disputed by RCOC, and to improve the timeliness of invoice and collection processing, as well as recording and monitoring of receivable amounts. Management agreed to implement the recommendations. This audit was presented to the Finance and Administration Committee and the Board of Directors (Board) on November 29, 2023 and December 11, 2023, respectively.

An audit of Transit Police Services was also completed and concluded that the Orange County Sheriff-Coroner Department provides transit security and protection services in accordance with the contract; however, recommendations were made to comply with contract requirements for preparation of an annual work plan and special service requests, to track all costs of transit security and evaluate allocation of such costs for appropriateness, and to improve the grant reimbursement process to ensure all eligible costs are identified and reimbursed. Management agreed to implement the recommendations. This audit was presented to the Finance and Administration Committee and the Board on January 10, 2023 and January 22, 2023, respectively.

Internal Audit also issued results of an investigation and limited scope review of a scope change to a Comprehensive Transportation Funding Programs (CTFP) Project V award to the City of Huntington Beach (City). The investigation and limited scope review resulted from an anonymous complaint received through the OCTA Fraud Hotline. While the review did not find evidence of fraud, defined as any activity that relies on deception to achieve gain, Internal Audit identified a lack of reference, or criteria, for Project V scope changes in CTFP guidelines and confirmed that facts related to the scope change were misrepresented in the request for Board approval. Internal Audit also confirmed that the scope change will allow the City to apply for funding as an existing Project V-funded project, a category given the highest priority in the 2024 call for projects. Recommendations were made to update CTFP guidelines to include guidance as to acceptable scope and/or programming changes, to conduct and document evaluation of scope changes against criteria, and to ensure accurate and complete communications to the Board. Management agreed to consider

changes to CTFP guidelines and to implement procedures to address evaluation, documentation, and communication of scope changes moving forward. Additionally, management presented a detailed overview of the scope change request and obtained reaffirmation of Board approval for the change. These items were presented to the Board on December 11, 2023.

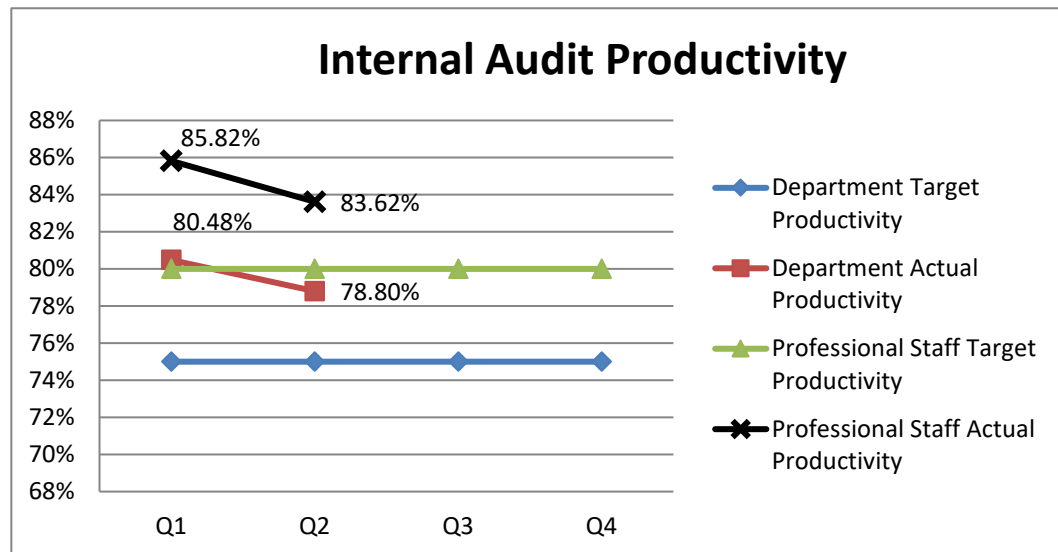
Finally, results of the 2023 Federal Transit Administration's triennial review of OCTA were provided to the Board in November 2023. The purpose of the review is to evaluate compliance with grant requirements and management practices as they relate to the use of federal funds. No deficiencies were found in any of the 23 areas reviewed.

The primary focus of Internal Audit as of December 31, 2023, and in the ensuing months, will be to provide coordination of the Measure M2 limited compliance audit and agreed-upon procedures reviews conducted by OCTA's independent auditor, Crowe LLP.

Internal Audit Productivity

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

For the second quarter ended December 31, 2023, Internal Audit achieved cumulative productivity of 79 percent, and professional staff productivity of 84 percent.



Price Reviews

At the request of the Contracts Administration and Materials Management (CAMM) Department, and consistent with OCTA's procurement policy, Internal Audit conducts reviews of single bid procurements to ensure that CAMM handled the procurement in a fair and competitive manner. Internal Audit also reviews prices proposed by architectural and engineering firms and sole source contractors to ensure that the prices are fair and reasonable. Internal Audit makes recommendations to adjust proposed rates where they exceed the rates per review. During the second quarter, Internal Audit issued results of five price reviews.

Fraud Hotline

During the quarter ended December 31, 2023, Internal Audit received four reports through OCTA's Fraud Hotline, www.ethicspoint.com. One complaint lacked sufficient information to perform follow-up; the reporter was contacted but never responded. Two other reports were referred to customer service for follow-up. The fourth report was investigated and results reported to the Board in November 2023. As part of the administration of the hotline, Internal Audit maintains documentation of each complaint and its disposition.

Internal Audit is committed to responding to all hotline complaints within eight business days. During the quarter ended December 31, 2023, Internal Audit made initial contact within two business days.

Findings and Recommendations Tracking

At the request of the Finance and Administration Committee, unresolved audit recommendations are included with the quarterly updates to the Plan (Attachment B). Internal Audit includes the findings and recommendations generated internally, as well as those provided by regulatory auditors.

During the quarter ended December 31, 2023, Internal Audit completed follow-up reviews of seven outstanding audit recommendations and closed six. Follow-up reviews of seven other recommendations are in process at quarter end. One recommendation relating to the audit of lost and found operations had not been fully implemented and will be reviewed again in six months. Nine recommendations were added to the listing resulting from reports issued during the second quarter, as summarized above.

Summary

Internal Audit will continue to implement the Plan, report on performance metrics, follow up on outstanding audit recommendations, and report progress on a quarterly basis.

Attachments

- A. Orange County Transportation Authority Internal Audit Department
Fiscal Year 2023-24 Internal Audit Plan, Second Quarter Update
- B. Outstanding Audit Recommendations, Audit Reports Issued Through
December 31, 2023
- C. Audit Recommendations Closed During Second Quarter,
Fiscal Year 2023-24

Approved by:



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

**Orange County Transportation Authority
Internal Audit Department
Fiscal Year 2023-24 Internal Audit Plan
Second Quarter Update**

ATTACHMENT A

Audit Activity	Project Number	Description	Primary Audit Type	Planned Staff Hours	Staff Hours To Date	Under (Over)	Status (Date Issued)
Mandatory External Independent Audits							
Annual Financial Audits and Agreed-Upon Procedures (AUP) Reviews	FY24-001 through FY24-004	Develop and issue a request for proposals and scope of work for an independent audit firm to conduct audits of the Orange County Transportation Authority (OCTA) and related entities. Coordinate and report on annual financial and AUP reviews for fiscal year (FY) 2022-23.	Financial	470	194	277	
External Regulatory Audits	FY24-005	Coordinate and report on external audits by regulatory or funding agencies.	Compliance	40	7	33	
Internal Audit Department Projects							
Risk Assessment and Annual Audit Plan	FY24-100	Preparation of the annual audit plan, quarterly updates to the audit plan, and periodic assessment of risk throughout the year, including monitoring the audit results of related entities.	Audit Plan and Updates	180	57	123	
Quality Assurance and Self-Assessment	FY24-101	Update of Internal Audit Policies & Procedures. Annual self-assessment of the Internal Audit Department's (Internal Audit) compliance with Generally Accepted Government Auditing Standards.	Quality Assurance	180		180	
Fraud Hotline Activities	FY24-102	Administrative duties related to maintenance of the OCTA Fraud Hotline and work related to investigations of reports of fraud, waste, or abuse.	Fraud Hotline	120	126	(6)	6 Reports Received
Automated Workpaper Solution	FY24-103	System updates/training related to automated workpaper solution.	Workpaper System	40	2	38	
Internal Audits							
Express Lanes Program							
Operations and Management	FY24-508	Assess and test selected oversight, contract compliance, and/or invoice review controls related to the provision of services by Cofiroute USA, LLP.	Operational/ Compliance	340	76	264	In Process
Security and Emergency Preparedness							
Transit Police Services	FY24-503	Assess and test selected oversight, contract compliance, performance reporting, and/or invoice review controls related to the agreement for provision of Transit Police Services.	Operational/ Compliance	280	297	(17)	Complete 12-5-23

**Orange County Transportation Authority
Internal Audit Department
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Audit Activity	Project Number	Description	Primary Audit Type	Planned Staff Hours	Staff Hours To Date	Under (Over)	Status (Date Issued)
People and Community Engagement							
Life Insurance Benefits	FY23-505	Assess and test policies, procedures, and controls over administration of employee life insurance benefits.	Operational	26	12	14	Complete 8-7-23
Bus Advertising Revenue	FY23-516	Assess and test oversight and contract compliance controls related to the agreement for bus advertising.	Operational/ Compliance	120	149	(29)	Complete 8-31-23
Liability Claims Management	FY24-5XX	Assess and test controls related to administration and management of liability claims.	Operational	320		320	
Flexible Spending Accounts	FY24-XXX	Assess and test controls over the administration of employee flexible spending accounts.	Internal Control/ Compliance	200		200	
College Pass Program	FY24-506	Assess and test oversight, compliance, and performance of the College Pass Program.	Operational	220	242	(22)	In Process
Capital Programs							
Anaheim Canyon Station Improvements	FY23-515	Assess and test oversight controls, contract compliance, and invoice review controls related to the Anaheim Canyon Station Improvements Project.	Internal Control/ Compliance	80	93	(13)	Complete 8-31-23
OC 405 Partners	FY24-507	Assess and test oversight controls, contract compliance, and invoice review controls related to the OC 405 design-build project.	Internal Control/ Compliance	360	176	184	In Process
Operations							
OC ACCESS Service	FY24-XXX	Assess adequacy of oversight controls and test oversight, contract compliance, and invoice review controls related to the agreement with First Transit/TransDev for OC ACCESS transportation services.	Operational/ Compliance	320		320	
Regional Center of Orange County	FY24-502	Assess and test controls related to administration and operation of the agreements with Regional Center of Orange County and My Day Counts relating to transportation services.	Internal Control/ Operational	280	274	6	Complete 11-14-23
Vanpool	FY24-505	Assess and test controls and compliance related to the administration of the vanpool program.	Operational/ Compliance	180	201.5	(22)	In Process

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Internal Audit Department
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Second Quarter Update**

Audit Activity	Project Number	Description	Primary Audit Type	Planned Staff Hours	Staff Hours To Date	Under (Over)	Status (Date Issued)
Finance and Administration							
Treasury	FY24-501	Semi-annual review of investments: compliance, controls, and reporting.	Compliance	250	204	46	1 Report Issued 9-11-23
Accounts Payable	FY23-504	Assess and test controls over accounts payable operations.	Operational	320	508	(188)	In Process
Revenue Agreements	FY24-5XX	Assess and test controls over identification, tracking, and reporting of external revenue agreements.	Operational	280		280	
Cybersecurity	FY23-509	Design a scope of work and procure an audit consultant to evaluate OCTA's Cybersecurity program.	Internal Control/Operational	8		8	Complete 5-31-23
OCTA Store Operations	FY24-504	Assess and test OCTA store operations to ensure adequate controls are in place to safeguard assets.	Internal Control/Operational	280	164	116	Complete 10-26-23
Price Reviews	PR24-5XX	As requested by the Contracts Administration and Materials Management (CAMM) Department, apply AUP to sole source, single bid, and architectural and engineering firm proposals.	Price Review	800	355	446	10 Reports Issued
Buy America	FY24-5XX	As requested by the CAMM Department, apply AUP to determine compliance with Buy America requirements.	Buy America	300		300	
Unscheduled Reviews and Special Requests							
Unscheduled Reviews and Special Requests	FY24-800	Time allowed for unplanned audits and requests from the Board of Directors (Board) or management.	Varies	200		200	

**Orange County Transportation Authority
Internal Audit Department
Fiscal Year 2023-24 Internal Audit Plan
Second Quarter Update**

Audit Activity	Project Number	Description	Primary Audit Type	Planned Staff Hours	Staff Hours To Date	Under (Over)	Status (Date Issued)
Monitoring Activities							
Measure M2 Taxpayer Oversight Committee (TOC)	FY24-601	Coordination of audit activities on behalf of the Audit Subcommittee of the TOC.	Administrative Support	60	64	(4)	
Metrolink Audit Activities	FY24-602	Review/monitor audit results of Metrolink activities. Participate in selection of independent auditing firm.	Non-Audit Service	10	18	(8)	
Bus Base Inspections	FY24-603	At the request of the Operations Division, participate in annual base inspections.	Non-Audit Service	80	43	37	Complete
Capital Asset Inventory Observation	FY24-604	At the request of the Finance and Administration Department, observe and apply limited procedures related to the bi-annual capital asset inventory counts.	Non-Audit Service	60		60	
Follow-Up Reviews							
Follow-Up Reviews and Reporting	FY24-700	Follow-up on the status of management's implementation of audit recommendations.	Follow-Up	280	244	37	
Total Audit Project Planned Hours (A)				6,684	3,505	3,180	

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Audit Activity	Project Number	Description	Primary Audit Type	Planned Staff Hours	Staff Hours To Date	Under (Over)	Status (Date Issued)
Internal Audit Administration							
Board and Committee Meetings				180	69		
Executive Steering and Agenda Setting Meetings				170	54		
Internal Audit Staff Meetings				150	57		
Other Administration				1,500	764		
Total Hours (B)				8,684	4,448		
Department Target Efficiency (A/B)				75%	79%		
Target Efficiency - Professional Staff				80%	84%		

Contingency: Internal Audit

Project Controls	FY24-5XX	Assess the adequacy and effectiveness of internal controls over payment processing and project oversight exercised by the Project Controls section of Capital Programs.
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**Outstanding Audit Recommendations
Audit Reports Issued Through
December 31, 2023**

ATTACHMENT B

Audit Issue Date	Report Number	Division/ Department/ Agency	Audit Name	Recommendation	Initiate Next Update	Management Response	Internal Audit Status
1/26/22	21-511	Executive Office	Physical Access Security	The Internal Audit Department (Internal Audit) recommends the Security and Emergency Preparedness (SEP) Department management develop, maintain, and test a comprehensive, appropriate, and up-to-date set of physical security plans, policies, and procedures. A written Access Control Policy and related procedures should be developed and published, and management should address requirements included in the Physical Security Policy for implementing gate controls at all facilities. Finally, management should implement a regular training program to inform employees as to security policies, procedures, and protocols.	Jan-24	Management will work to document all processes and review assigned policies. SEP will make updates to the Physical Security Policy to address gate controls and create a Physical Access Control Policy. These updates will be completed by June 30, 2022. A "Record of Changes" section has been added to security plans to document reviews and updates. Management has hired a consultant to review the Orange County Transportation Authority's (OCTA) policies, procedures, and security plans. The consultant will provide recommendations on program improvements, conduct a new Threat and Vulnerability Assessment, provide a new written security plan, and create a security training program to include curriculums for all employees. Management will implement a training program within 12 months.	<u>Update August 2022:</u> Updates to security plans, policies, and procedures have not yet been prepared and are expected to be completed between August and December 2022. <u>Update March 2023:</u> Certain policy updates are in process. Development of an updated Master Security Plan has been delayed and is now expected to be complete by the end of 2023. <u>Update September 2023:</u> Significant progress has been made; however, development of a Master Security Plan and a physical security training program are not yet complete. The contractor has experienced delays in producing these deliverables.
1/26/22	21-511	Executive Office	Physical Access Security	Internal Audit recommends management develop and implement written policies, procedures, and protocols that address the timely issuance, termination, and use of badges. These procedures should be referenced in contracts with Contracted Transportation Services (CTS) providers and be communicated to OCTA staff. Management should also ensure secondary controls are operating as intended.	Jan-24	Management is reviewing the issuance and termination of access badges in order to document processes. Management will work with other departments, including CTS, to advise of procedures for issuing and terminating access badges and encourage those departments to include procedures in their contracts, as appropriate. Additionally, management is currently reviewing and documenting procedures to ensure secondary controls are being utilized. Review and updating of procedures will conclude with the creation of a new Physical Access Policy to be completed by June 30, 2022.	<u>Update August 2022:</u> Management has not yet developed policies, procedures, and protocols to address timely issuance, termination, and use of access badges coordinated through OCTA. Management indicated that, while an Access Control Policy was originally expected to be completed by June 30, 2022, it has taken longer than expected due to the need to update the Physical Security Policy first. <u>Update March 2023:</u> Management expects an updated Access Control Policy to be completed soon, and updates to agreements with CTS providers are in process. <u>September 2023:</u> Significant progress has been made; however, monitoring controls outlined in the newly-developed Access Control System Policy have not yet been implemented.

Outstanding Audit Recommendations
Audit Reports Issued Through
December 31, 2023

Audit Issue Date	Report Number	Division/ Department/ Agency	Audit Name	Recommendation	Initiate Next Update	Management Response	Internal Audit Status
2/9/22	21-507	Operations Division (Operations)	Facilities Maintenance (FM) Operations	Internal Audit recommends management implement a perpetual inventory system to track purchasing activity and maintain inventory of all parts and supplies. Purchasing, storage, issuance, and disposal activities should be centralized and include controls to ensure proper authorization for purchases, physical security of inventory items, and proper assignment of costs to work orders.	Feb-24	FM contracts for parts and supplies will be transferred to the Contracts Administration and Materials Management (CAMP) Department by July 2022. By February 2023, FM parts and supplies stored outside of CAMP's control will be brought into the inventory system for proper storage and issuance. The current Enterprise Asset Management (EAM) system is not capable of assigning all costs to FM work orders; however, a new EAM system is being implemented and should be capable of properly assigning costs to work orders. The new EAM system is estimated to be fully implemented in mid-2023.	<u>Update September 2022:</u> Management has completed transferring contracts to CAMP and a process to bring FM parts inventory into CAMP for proper storage and issuance has been established and is on track to be completed by February 2023. As stated in the original response, the current asset management system is not capable of assigning all costs to work orders. A new system will be implemented in mid-2023. <u>Update March 2023:</u> Management is still in the process of implementing a centralized inventory system and expects that physical transfer of all inventory may take up to two years. <u>Updated August 2023:</u> Management is still in the process of transferring parts inventory to centralized CAMP control.
2/9/22	21-507	Operations and Finance and Administration (F&A) Division	FM Operations	Management should enhance its invoice review process to ensure compliance with OCTA's Vendor Payment Policy and contract payment terms. Vendor mark-ups should be discontinued from time-and-expense contracts. For contracts related to the purchase of parts and materials only, any items not listed on the price summary sheet should include supporting cost documentation. If mark-ups are to be allowed on parts-and-materials contracts, the proposed mark-ups should be incorporated into the evaluation of costs during the vendor selection process.	Feb-24	Management will immediately begin working on enhancing the current invoice cover page to include a checklist that will require acknowledgement of review for sufficient detail as to quantity and rates of costs and justification. To address the issue of providing sufficient detail and complying with contract terms, the checklist being developed will improve oversight. In terms of discontinuing vendor mark-ups in time-and-expense contracts, management will work with CAMP to develop a solution that will address the issue of vendor mark-ups as well as incorporating an evaluation of cost, if mark-ups are allowed, during the vendor selection process.	<u>Update September 2022:</u> Management has enhanced the invoice checklist to include review for sufficient detail as to quantity and rates. CAMP has implemented an evaluation methodology to assign a percentage of the cost score for items not listed on the price summary sheet. Management and CAMP continue to explore options including discounts from price sheets and using fair market values to justify and validate price mark-ups. <u>Update March 2023:</u> FM has enhanced its invoice review; however, CAMP staff needs to enhance its review of invoices for contracts that have been transferred to their control. <u>Update August 2023:</u> CAMP staff has implemented an invoice review checklist; however, Internal Audit identified some invoice payments that do not comply with contract terms and some vendors that do not have published list prices, required in order to validate discounts.

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Audit Issue Date	Report Number	Division/ Department/ Agency	Audit Name	Recommendation	Initiate Next Update	Management Response	Internal Audit Status
1/10/23	23-503	People and Community Engagement (PACE)	Administrative Employee Mandatory Training and Employee Educational Reimbursements	Management should implement monitoring controls to ensure all administrative employees obtain mandatory training within required timeframes. Management should also ensure mandatory annual training is obtained and employee merit increases are withheld for non-compliance, as required by policy.	Jan-24	Management will implement monitoring controls to ensure all new administrative employees obtain mandatory training within required timeframes. Management will also implement monitoring controls to ensure mandatory annual training is completed by all administrative employees prior to merit increases and will meet with Human Resources Department staff to implement a process by March 31, 2023.	<u>Update July 2023:</u> Management has begun generating weekly reports of all new hires that have not completed new-hire training within the required timeframes; however, responsibility for follow-up of these reports has not yet been established.
2/28/23	23-501	PACE	Workers' Compensation Program	Management should enhance monthly reviews of Intercare's check payments to include review of temporary benefit calculations and settlement calculations with supporting documentation. Management should also review paper transactions and reconcile Intercare's listing of checks sent to OCTA to what has been received and deposited. Checks received by OCTA should be deposited in a timely manner. Finally, management should request Intercare provide a detailed invoice from Express Scripts to support payments.	Feb-24	Management will enhance monthly reviews as recommended and will reconcile the listing of checks sent to what has been received and deposited. Management will also request that Intercare Holdings Insurance Services, Inc. provide detailed information for Express Scripts payments.	<u>Update September 2023:</u> OCTA staff has begun reviewing temporary benefit calculations and settlement calculations with supporting documentation, paper transactions added to the check replenishment, and detailed information to support payments to the pharmacy provider; however, staff has not yet requested Intercare to submit listings of checks sent to OCTA, which should be reconciled to what OCTA has received and deposited.
5/8/23	23-508	Planning Division (Planning)	Measure M2 Comprehensive Transportation Funding Programs (CTFP) Project Audits	Management should enforce timely use of funds requirements or obtain Board of Directors' (Board) approval for exceptions to CTFP guidelines.	Nov-23	Management will consider either clarifying guidelines or seeking Board action on a case-by-case basis.	In process.
5/8/23	23-508	Planning	Measure M2 CTFP Project Audits	Management should perform follow-up with the County of Orange and the cities of Costa Mesa, Laguna Beach, and San Clemente on actions taken to address recommendations, including repayment of overcharges and duplicate charges by the City of Laguna Beach.	Nov-23	Direction to management provided in staff report. Management written response not required.	In process.

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Audit Issue Date	Report Number	Division/ Department/ Agency	Audit Name	Recommendation	Initiate Next Update	Management Response	Internal Audit Status
6/5/23	23-513	F&A	Lost and Found Operations	Management should enhance controls to ensure found cash and checks/money orders received are properly recorded and reconciled to deposits and general ledger entries.	Jun-24	Management will enhance controls of found cash and checks/money orders received for auctioned items and will do so by improving tracking procedures through the internal database application. Management will also ensure staff works in collaboration with the Accounting and Financial Reporting Department to ensure accurate recording and reconciliation of deposits to the general ledger.	<u>Update December 2023:</u> Management has updated its internal database application to include an auction funds section and has enhanced tracking procedures; however, evidence of deposit to the general ledger was not on file for all deposits since implementation of the verification procedures.
5/31/23	22-513	F&A	OCTA's Cybersecurity Program	Management should adopt and implement a policy that governs asset management and associated activities.	Nov-23	Management agreed to develop and implement a policy.	In process.
5/31/23	22-514	F&A	OCTA's Cybersecurity Program	Management should implement a comprehensive vulnerability management program that includes identifying, assessing, prioritizing, remediating, and/or documenting vulnerabilities as "accepted risks" in a timely manner.	Nov-23	Management agreed and indicated that the current Vulnerability Policy will be enhanced and all issues will be remediated or documented as "accepted risks" in a timely manner going forward.	In process.
5/31/23	22-515	F&A	OCTA's Cybersecurity Program	Management should update OCTA's Business Impact Analysis with direct input from the Cybersecurity Office and use results to inform the development, implementation, and maintenance of an updated Continuity of Operations Plan (COOP) and Disaster Recovery Plan (DRP), and test the DRP annually.	Nov-23	Management responded they are currently working with the SEP Department to review and update the COOP. Management plans to create playbooks to further improve the business continuity and disaster recovery processes to ensure business requirements are met.	In process.
5/31/23	22-514	F&A	OCTA's Cybersecurity Program	Management should strengthen the data protection and privacy program by adopting a comprehensive policy, designating an individual to define and communicate data and privacy requirements, and perform user access reviews at least every 90 days for all internal employees and third party contractors that have OCTA user accounts and/or access to internal resources.	Nov-23	Management committed to implementing a comprehensive data protection and privacy program for all protected data and to designate the cybersecurity manager as the individual responsible to define and communicate data and privacy requirements. In addition, management agreed to implement user access reviews at least every 90 days.	In process.

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Audit Issue Date	Report Number	Division/ Department/ Agency	Audit Name	Recommendation	Initiate Next Update	Management Response	Internal Audit Status
5/31/23	22-514	F&A	OCTA's Cybersecurity Program	Management should strengthen third-party security management by requiring third-party consultants working with OCTA data to be subject to the same training as OCTA employees and be required to acknowledge OCTA information technology and cybersecurity policies. In addition access reviews of these third-party consultants should be conducted.	Nov-23	Management agreed and proposed additional security queries of vendors on a periodic basis, as well as development and implementation of a process to ensure all consultants working with OCTA data receive cybersecurity training and follow the same policy requirements as OCTA employees.	In process.
8/7/23	23-505	PACE	Life Insurance Benefits	Management should amend the Personnel and Salary Resolution (PSR) to accurately outline and/or reference age-related benefit reductions and should consult legal counsel about a resolution to the Coach Operator Collective Bargaining Agreement (CBA) language that does not disclose age-related deductions or benefits provided to spouse/domestic partner and children. Management should also consult legal counsel to determine if undisclosed reductions to benefits paid should be corrected.	Feb-24	Management indicated that a reference to the employee Benefits Guide, which outlines age-related reductions, will be included in the Fiscal Year 2024-2025 PSR. Management agreed to include a section on the age-related reductions applicable to Coach Operator Assault and Robbery Insurance, in the 2023 Coach Operator Benefits Guide. Management stated that legal counsel has advised that age-related benefit reductions disclosed in the Coach Operator Benefits Guide represent sufficient disclosure.	
8/7/23	23-505	PACE	Life Insurance Benefits	Management should develop procedures to ensure that benefit entries into the payroll system are reviewed for accuracy and the monthly invoice process be enhanced to include reconciliation of premiums collected versus premiums paid.	Feb-24	Management agreed to enhance procedures to include the review of benefit entries and reconciliation of premiums collected versus premiums paid and investigate variances.	
8/7/23	23-505	PACE	Life Insurance Benefits	Management should implement procedures to ensure accuracy, completeness, and timely submission of claim forms, and monitor timeliness of claim payments. Management should also consider further efforts to determine whether interest applied to proceeds complies with California law.	Feb-24	Management stated they would request claim payment confirmations and track submission of claim forms regularly and will continue to request documentation for interest applied to proceeds in compliance with California law.	

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Audit Issue Date	Report Number	Division/ Department/ Agency	Audit Name	Recommendation	Initiate Next Update	Management Response	Internal Audit Status
8/7/23	23-505	PACE	Life Insurance Benefits	Management should implement controls to properly coordinate the timing of annual premium updates and calculation and processing of invoices to ensure accuracy. Additionally, management should reconcile the employee payroll deductions for supplemental life insurance with the payroll system data detailing premiums paid to VOYA and investigate any variances	Feb-24	Management indicated they would implement controls for timely annual premium updates and reconcile payroll deductions to premiums paid.	
8/31/23	23-516	PACE	Bus Advertising Revenue Program	Management should implement controls to verify accurate and complete reporting of revenues, enforce reporting requirements, monitor free advertisements, and require the contractor to certify statements and the project manager to document reviews.	Feb-24	Management agreed to implement oversight procedures effective December 1, 2023.	
8/31/23	23-515	F&A	Oversight Controls and Contract Compliance Related to the Anaheim Canyon Metrolink Station Project	Management should enhance controls to ensure all procurements exceeding the stated thresholds are presented as regular calendar items, as required.	Feb-24	CAMM will send a communication to all executive directors to reiterate the policy and will submit information to the Chief Financial Officer ahead of weekly agenda setting meetings to identify items that should be placed on the regular calendar based on their value.	
8/31/23	23-515	Capital Programs and F&A	Oversight Controls and Contract Compliance Related to the Anaheim Canyon Metrolink Station Project	Extra work should not be authorized until a Change Directive (CD) has been issued to the construction contractor. Management should also ensure all documentation to validate pricing is included in Contract Change Order (CCO) back-up files. Management should also ensure contract files include final amendment proposals and support for Other Direct Costs (ODC). Labor rates of sole proprietors should be validated and amendment proposals for fixed price contracts should include employee names rather than labor categories.	Feb-24	Management will remind the construction management teams that extra work shall not begin until a CD has been documented and issued to the contractor. Also, project staff will review construction CCOs to ensure backups include all relevant documentation to validate pricing. CAMM will develop procedures to validate rates of sole proprietors and will conduct training on the process. CAMM will ensure final, signed cost proposals are on file and, for fixed price contracts, will encourage consultants to identify named personnel.	

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Audit Issue Date	Report Number	Division/ Department/ Agency	Audit Name	Recommendation	Initiate Next Update	Management Response	Internal Audit Status
8/31/23	23-515	F&A	Oversight Controls and Contract Compliance Related to the Anaheim Canyon Metrolink Station Project	Management should not authorize work until contract authority has been obtained. Management should consistently obtain payroll registers for all staff billed under labor classifications and should obtain cost support for any ODC billed but not listed in the contract. Management should also require construction managers (CM) to prepare quantity sheets to support billed CCO items.	Feb-24	Management will remind project and CM teams to ensure that vendors do not submit invoices for work not yet authorized, and that all documentation requirements for payment are met. Should a deviation be required, pre-approval from the OCTA project manager and CAMM contract manager will be documented and included in the invoice or payment application before being processed.	
9/11/23	24-501	F&A	Investments: Compliance, Controls and Reporting, January 1, 2023 through June 30, 2023	The Treasury Department (Treasury) should prepare daily cash forecasts on a timely basis and the Treasury manager should perform all steps on the checklist prior to presenting investment reports to the F&A Committee. All forecasts, checklists, worksheets, and reports that require manager review should include a date stamp, such as the Foxit software approval stamp, to evidence timely review.	Mar-24	Management agreed to complete and electronically date stamp daily cash reports and ensure that checklists are signed and electronically date stamped to evidence timely review.	
9/11/23	24-501	F&A	Investments: Compliance, Controls and Reporting, January 1, 2023 through June 30, 2023	Treasury should provide monthly investment reports to the F&A Committee within 45 days of quarterly month end, consistent with the benchmark outlined in the government code for quarterly reports.	Mar-24	Management agreed to target taking the final monthly report of each quarter to the F&A Committee within 45 days of the end of the quarter.	
11/14/23	24-502	Operations and F&A	Cooperative Agreements with Regional Center of Orange County (RCOC) and My Day Counts (MDC)	Management should implement procedures to investigate and take action to address RCOC disputed trips and ensure timely submission and receipt of payments and related credit memos. Accounts Receivable (AR) staff should communicate with RCOC to obtain sufficient information to ensure payments are accurately recorded, remaining errors are corrected, and input a due date on invoices. AR staff should also establish a process to monitor and collect overdue balances.	May-24	RCOC billing procedures have been improved and disputed trips are now investigated and reconciled. The new process includes a tracking log to ensure timely submission of invoice requests. The new process should eliminate the need for credit memos. AR staff will communicate directly with RCOC to correct remaining errors and ensure due dates are included on all future invoices. Staff has also established a process for monitoring overdue balances and notifying project managers accordingly.	

**Outstanding Audit Recommendations
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Audit Issue Date	Report Number	Division/ Department/ Agency	Audit Name	Recommendation	Initiate Next Update	Management Response	Internal Audit Status
11/14/23	24-502	Operations	Cooperative Agreements with RCOC and MDC	Management should reconsider the current arrangement with MDC and, if continued, should amend contracts with RCOC and MDC to obligate RCOC to pay OCTA for pass-through amounts and to ensure disputed amounts are charged to MDC. Evaluation of per-trip subsidy amounts should include consideration of the pass-through payments going forward. Also, pass-through payment arrangements should be approved by the Board going forward. Management should also consider recovering from MDC amounts paid by OCTA for which RCOC reimbursement was not obtained.	May-24	The agreement with MDC will expire in June 2024 and staff will reconsider the pass-through arrangement at that time, as well as, ensure pass-through payments, if continued, are considered when evaluating the subsidy amount provided by OCTA. The new agreement will be subject to Board approval. Management has also revised billing procedures for pass-through trips to ensure disputed trips are deducted from payments to MDC; however, management has determined there is no contractual support to recover from MDC amounts for pass-through trips paid for by OCTA and disputed by RCOC.	
11/14/23	24-502	Operations and F&A	Cooperative Agreements with RCOC and MDC	Accounts Payable (AP) staff should ensure that invoices are properly authorized and verify that invoices are applied to the current agreement, and AR staff should ensure invoices are created against the current agreement. Operations should review invoices from MDC and reconcile trips before submitting invoices for payment.	May-24	AP staff will be provided refresher training to ensure invoices processed include the required signature authority and are applied to active agreements and a system control has been implemented to warn staff if an invoice is posted to an expired agreement. Going forward, AR staff will ensure invoices are created against the correct agreement. Operations staff have improved billing procedures for MDC to ensure full reconciliation prior to invoicing.	
11/20/23	Not Applicable	Planning	Investigation and Limited Scope Review of CTFP Scope Change for Project No. 20-HBCH-CBT-3960	Management should revise CTFP guidelines, with Board approval, to add guidance as to acceptable scope and/or programming changes to Project V projects, and include criteria to be used in evaluating changes. Staff should conduct and document evaluation of scope changes prior to seeking Board approval, and ensure that defined requirements are met. Reprogrammed projects should be evaluated against projects as originally scored when funding was approved.	May-24	Management will update operating procedures and implement standardized forms for documenting Project V scope change requests, including evaluation criteria and analysis. Scope changes will be reviewed against original project scoring criteria. Staff will also improve communication of scope changes in reports to the Board. Finally, management will review CTFP guidelines and consider changes to address scope changes by June 30, 2024.	

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Audit Issue Date	Report Number	Division/ Department/ Agency	Audit Name	Recommendation	Initiate Next Update	Management Response	Internal Audit Status
11/20/23	Not Applicable	Planning	Investigation and Limited Scope Review of CTFP Scope Change for Project No. 20-HBCH-CBT-3960	Management should return to the Board with a clear description of the scope change action and its impact on future funding decisions, and request consideration of approval. Going forward, management should ensure accurate and complete communications with the Board.	May-24	Management will bring forward a more detailed description of the scope change in an upcoming staff report. This will clearly outline the timing, nature of changes, and draft recommendations that the change aligns with the intent and benefits of the original grant award. Moving forward, management will ensure scope changes are communicated openly with all relevant details.	
12/5/23	24-503	Executive Office	Transit Police Services (TPS)	Management should ensure annual work plans are developed and documented as required by the contract.	Jun-24	Management has begun compiling the annual work plan in conjunction with TPS and expects the plan to be published in March 2024.	
12/5/23	24-503	Executive Office	TPS	Management should implement a process to evaluate, estimate, and document the methodology of assigning TPS costs on an annual basis. Management should also consider implementing a process to accumulate and report all costs of providing transit security.	Jun-24	Management will collaborate with the Orange County Sheriff-Coroner Department to estimate and document contract costs on an annual basis. In addition, management will work with the Financial Planning and Analysis Department to ensure the ability for each department responsible for an aspect of providing or supporting TPS, to accumulate and consolidate transit security costs for a better understanding of the overall cost of transit security. Management will work with Financial Planning and Analysis to consolidate TPS associated costs and reporting by July 2024.	
12/5/23	24-503	Executive Office	TPS	Management should implement procedures to document agreements for enhanced services, including the type, time, and place of services, and obtain a cost estimate for services. Management should reconcile invoices for special services to these documents and obtain support, or include in the contract, the rates to be charged prior to authorizing payment.	Jun-24	Management will establish procedures to better document the estimates, agreed cost, and occurrence of special services performed. Management will also seek rates for services to be documented in annual contract amendments moving forward with the 2024-2025 TPS contract amendment. Work should conclude by May 2024.	

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Audit Issue Date	Report Number	Division/ Department/ Agency	Audit Name	Recommendation	Initiate Next Update	Management Response	Internal Audit Status
12/5/23	24-503	Executive Office	TPS	Management should strengthen controls over canine-related expense tracking and ensure all eligible costs are identified and submitted for grant reimbursement. Management should also review fiscal year (FY) 2022-23 eligible expenses that were not submitted and request reimbursement.	Jun-24	Management has begun improvements to canine-related expense tracking and to establish an enhanced invoice review process. Once established, the process will improve oversight to ensure eligible costs are identified and submitted for grant reimbursement. Starting immediately, and to be completed by the end of February 2024, management will work with the grants team to review eligible expenses and attempt to recover expenses of \$13,129.29 for FY 2022-23.	

Audit Issue Date	Report Number	Division/ Department/ Agency	Audit Name	Recommendation	Internal Audit Status Comments
3/10/23	23-512	Contracts Administration and Materials Management (CAMM)	State and Federal Consulting Contracts	CAMM should ensure that procurements of state and federal contracts comply with all policy requirements.	CAMM held a team meeting to remind staff to check evaluator scoring sheets for accuracy. CAMM also reminded staff to ensure compliance with policy related to the number of evaluators required.
8/23/22	22-512	Operations Division (Operations) and Finance and Administration Division (F&A)	Non-Revenue Vehicle Purchases and Assignment	Invoice review procedures should be enhanced to include validation of all charges. In addition, Accounts Payable should recover the identified duplicate payment and updated policies to reflect whether a three-way match process is allowable for vehicle purchases. Accounts Payable should consistently confirm the three-way match prior to payment and individuals who receive vehicles in the system should physically verify their delivery.	Invoice approval templates now require acknowledgement that invoice charges are in compliance with agreement terms, the duplicate payment identified has been recovered, and management has notified staff that a physical inspection is required prior to receiving vehicles in the system.
8/23/22	22-512	Operations and F&A	Non-Revenue Vehicle Purchases and Assignment	Management should enhance controls to ensure employees' eligibility to drive prior to granting a vehicle reservation. Management should re-evaluate whether employees should be allowed to reserve vehicles for weeks at a time. Finally, all relevant information should be reflected in the reservation system.	Base management now requires staff to present a valid driver's license before checking out a motor pool vehicle. In addition, base staff have made improvements to documenting all necessary information in the Fleet Commander system. Finally, General Services staff now allow only daily reservations and verify eligibility to drive for all administrative employees checking out motor pool vehicles.
6/30/23	22-513	Operations	Follow-up: Independent Cost Estimates	Maintenance Resource Management (MRM) should ensure proper oversight and monitoring of burn rate of towing services agreements. MRM should develop estimates to ensure funding is sufficient.	MRM enhanced the current Maintenance contracts tracking spreadsheet to include the burn rate calculation and the date of the last invoice paid. These enhancements will provide information to staff in advance of contracts running low on funds, funding commitments due on outstanding invoices, and flag missing invoices.
6/13/23	23-514	People and Community Engagement (PACE)	Customer Information Center (CIC) Services: Alta Resources, Agreement No. C-0-2698	Management should improve timeliness of invoice review, approval, and processing and enforce requirements for contractor certification of invoices.	Management has improved the timeliness of invoice review, approval, and processing and is enforcing requirements for contractor certification on invoices.
6/13/23	23-514	PACE	CIC Services: Alta Resources, Agreement No. C-0-2698	Management should review changes to key personnel and process amendments in a timely manner.	Management has communicated with the project manager and the contractor to advise of requirements for timely communication and processing of amendments for changes in key personnel.



COMMITTEE TRANSMITTAL

February 12, 2024

To: Members of the Board of Directors

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

Subject: Amendment to Agreement for Service and Maintenance of Security System

Executive Committee Meeting of February 5, 2024

Present: Directors Chaffee, Do, Jung, Nguyen, and Wagner
Absent: Director Hennessey

Committee Vote

This item was declared passed by the Members present.

Committee Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 3 to Agreement No. C-2-2893 between the Orange County Transportation Authority and Convergent Technologies, LLC, in the amount of \$468,333, for additional project support services. Amending this agreement will increase the maximum obligation of the agreement to a total contract value of \$708,333.



February 5, 2024

To: Executive Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: Amendment to Agreement for Service and Maintenance of Security Systems

Overview

On January 31, 2023, the Orange County Transportation Authority entered into an agreement with Convergent Technologies, LLC, to provide service and maintenance to the security systems, which include the video management system, access control system, and duress alarm system at the administrative offices and all operating bases. An amendment is required to accommodate additional project support through August 31, 2024.

Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 3 to Agreement No. C-2-2893 between the Orange County Transportation Authority and Convergent Technologies, LLC, in the amount of \$468,333, for additional project support services. Amending this agreement will increase the maximum obligation of the agreement to a total contract value of \$708,333.

Discussion

The Orange County Transportation Authority (OCTA) manages a comprehensive access control system (ACS) and facility video management system (VMS) installed throughout OCTA properties. OCTA contracts with a security systems integrator, Convergent Technologies, LLC (Convergent), for service and maintenance of these security systems. Convergent provides similar services for government agency clients throughout Orange County and has decades of international experience in these security systems. The current contract with Convergent includes several requirements related to replacement of these systems, including but not limited to installing, maintaining, and programming the systems, deploying, and managing strategic services, including future expansion of current systems and other components, proactively

reviewing these systems, and providing recommendations for upgrades and improvements, and designing, installing, repairing, and maintaining such systems and related projects.

As part of the current contract with Convergent, the firm was required to conduct a thorough assessment of all components of OCTA's security systems and provide recommendations for improvement.

Convergent provided an assessment that found, among other things, the current computer servers that operate the ACS and VMS have exceeded their useful life and, as such, are vulnerable to failure. Replacing the current ACS and VMS servers is vital to ensure continuity and avoid disruption. As part of the assessment, Convergent was also asked to provide options to integrate ACS and VMS systems for enhanced security functionality. Convergent's recommendations included a total system replacement with proprietary hardware, upgrading the current ACS and VMS software to separate but integrated platforms, and replacing current legacy software systems with a new system software (Genetec) designed to integrate these systems automatically.

The Genetec software provides a more comprehensive and self-integrated ACS and VMS system that offers more flexibility, adaptability, and features than other identified options, including the current system in use, and at a lower initial and continuing cost. It also is hardware agnostic, allowing OCTA to seek the best price on various components such as cameras and access card readers.

Genetec also offers many additional features for both systems that neither Lenel ACS nor Milestone VMS provide such as camera analytics, video monitoring via smart phone, and smart mapping capability that will allow users to better identify the precise location of an access control or video surveillance-detected incident. As proposed, Genetec will offer a greater degree of functionality than Lenel ACS or Milestone VMS has, providing on-board camera analytics, license plate reading technology, and the ability for security or law enforcement to view live feeds of OCTA's facility cameras using authorized mobile devices. This last capability can have considerable and positive effects on law enforcement response to incidents related to workplace violence, burglary, and vandalism.

Convergent recommended Genetec specifically, because entities such as the County of Orange (County) and the Orange County Sheriff's Department (OCSD) also use this system. Aligning with both the County's and OCSD's approach will permit a higher degree of collaboration, particularly when sharing direct access to or copies of facility video feeds.

OCTA's Security and Emergency Preparedness (SEP) Department consulted with OCTA's Information Systems (IS) Department which concurred with Convergent's assessment of the condition of the current servers and agreed that the alternative solution to transition to Genetec is both feasible and desirable. IS independently assessed potential server replacement costs and found Convergent's cost to replace them competitive.

Transitioning to the Genetec system will eliminate the need for Lenel and Milestone support licenses currently costing approximately \$30,000 per year. Genetec will also require support licensing; however, the licensing is not required until year six of its activation, resulting in approximately \$150,000 in savings over the first five years.

Both the Lenel ACS and Milestone VMS systems are considered legacy systems which are likely to cease receiving updates and support, and the associated servers have exceeded their useful lives. Based on risks associated with this status and information received from Convergent, staff recommends transitioning to the single integrated system, Genetec, and replacing existing servers. To effect this recommendation and ensure that OCTA maintains an active and operational ACS and VMS, staff further recommends the Board authorize an amendment to the agreement with Convergent as they are a trusted security contractor and have detailed knowledge of system performance and architecture.

Procurement Approach

The procurement was handled in accordance with OCTA's Board of Directors (Board)-approved procedures for professional and technical services. For security reasons, all procurements for the ACS and VMS need to be managed diligently so as not to expose OCTA vulnerabilities and weaknesses to the public domain. The original agreement was awarded by the Contracts Administration and Materials Management Department for a one-year term, in the amount of \$240,000. Amendments to the agreement are described in Attachment A. Through the ongoing maintenance and assessment of the ACS and VMS systems, Convergent has detailed knowledge of system architecture, its use, and maintenance challenges. For this reason, Convergent is uniquely qualified to address server replacement and transition to Genetec.

This Amendment No. 3 will increase the maximum cumulative payment obligation by \$468,333, bringing the total contract value to \$708,333. This increase will allow Convergent to continue to repair and maintain the ACS and VMS throughout OCTA and to complete the described ACS and VMS update and upgrade project through August 31, 2024. A budget of \$468,333 has been

deemed fair and reasonable after conducting a request for information (RFI) and analyzing the prices of similar systems by OCTA's IS Department.

The two firms that responded to the RFI both recommended a system called Verkada, which is a proprietary hardware, cloud-managed enterprise-building security system. In evaluating options, both SEP and IS determined that cloud-based systems will result in a degradation of video quality, and as such does not meet SEP's desired operational standards. RFI responses indicated associated costs exceeding Convergent's quote by at least \$252,000.

Fiscal Impact

Funds are included in OCTA's Fiscal Year 2023-24 Budget, Security and Emergency Preparedness Department, account nos. 1316-7611-A5310-0J0, 1316-7611-A5310-0J1, 1316-7611-A5310-0J2, 1316-7611-A5310-0J3, 1316-7611-A5310-0RR, 1284-9028-A5352-18I, 1284-9028-A5352-G64, and is funded through local funds.

Summary

Staff is recommending the Board of Directors authorize the Chief Executive Officer to negotiate and execute Amendment No. 3 to Agreement No. C-2-2893 between the Orange County Transportation Authority and Convergent Technologies, LLC, in the amount of \$468,333, for additional project support services. Amending this agreement will increase the maximum obligation of the agreement to a total contract value of \$708,333.

Attachment

- A. Convergent Technologies, LLC, Agreement No. C-2-2893 Fact Sheet

Prepared by:



Matt Ankley
Manager, Security and Emergency
Preparedness
714-560-5961

Approved by:



Jennifer L. Bergener
Deputy Chief Executive Officer
714-560-5462



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

**Convergent Technologies, LLC
Agreement No. C-2-2893 Fact Sheet**

1. January 31, 2023, Agreement No. C-2-2893, \$240,000, approved by the Contracts Administration and Materials Management Department (CAMM).
 - Agreement to provide security system services and maintenance of the Lenel and Milestone Security Systems.
 - One-year term effective January 31, 2023 through January 31, 2024.
2. November 8, 2023, Amendment No. 1 to Agreement No. C-2-2893, \$0.00, approved by CAMM.
 - Amendment to revise key personnel and the price summary sheet.
3. January 9, 2024, Amendment No. 2 to Agreement No. C-2-2893, \$0.00, approved by CAMM.
 - Amendment to extend the contract term effective February 1, 2024 through August 31, 2024.
4. February 12, 2024, Amendment No. 3 to Agreement No. C-2-2893, \$468,333, pending Board of Directors approval.
 - Increase maximum cumulative payment obligation for additional project support services and implement the new Genetec system.

Total committed to Convergent Technologies, LLC, Agreement No. C-2-2893: \$708,333.



COMMITTEE TRANSMITTAL

February 12, 2024

To: Members of the Board of Directors

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

Subject: Orange County Transportation Authority Investment and Debt Programs Report – December 2023

Finance and Administration Committee Meeting of January 24, 2024

Present: Directors Do, Federico, Harper, Hennessey, Klopfenstein, and Sarmiento

Absent: Director Nguyen

Committee Vote

No action was taken on this item.

Staff Recommendation

Receive and file as an information item.



January 24, 2023

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Orange County Transportation Authority Investment and Debt Programs Report – December 2023

Overview

The Orange County Transportation Authority has a comprehensive investment and debt program to fund its immediate and long-term cash flow demands. Each month, the Treasurer submits a report detailing investment allocation, performance, compliance, outstanding debt balances, and credit ratings for the Orange County Transportation Authority's debt program. This report is for the month ending December 31, 2023. The report has been reviewed and is consistent with the investment practices contained in the investment policy.

Recommendation

Receive and file as an information item.

Discussion

As of December 31, 2023, the Orange County Transportation Authority's (OCTA) outstanding investments totaled \$2.5 billion. The portfolio is divided into three managed portfolios: the liquid portfolio for immediate cash needs, the short-term portfolio for future budgeted expenditures, and the bond proceeds portfolio to meet Measure M2 (M2) transportation program needs. In addition to these portfolios, OCTA has funds invested in debt service reserve funds for the 91 Express Lanes Program.

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

The weighted average book yield for the OCTA portfolio is 3.7 percent. The book yield measures the exact income, or interest, on a bond without regard to market price change. The yield is the income return on an investment, such as the interest received from holding a particular security. The yield is usually expressed as an annual percentage rate based on the investment's cost and market value.

OCTA's month-end balance in the Local Agency Investment Fund (LAIF) was \$6,813,191. For the month of November, the average monthly effective yield for the LAIF was 3.84 percent. The yield for the month of December will be received in January 2024. OCTA's month-end balance in the Orange County Investment Pool (OCIP) was \$656,272. For the month of November, the monthly gross yield for the OCIP was 4.33 percent. The yield for the month of December will be received in January 2024.

During the month of December, no securities held within OCTA's investment portfolio were downgraded and placed on negative credit watch. Please refer to A-8 (Rating Downgrades and Negative Credit Watch) of Attachment A for further details.

OCTA's debt program is separate from its investment program and is comprised of M2 Sales Tax Revenue Bonds, 91 Express Lanes Toll Road Revenue Bonds, and the 2021 Transportation Infrastructure Finance and Innovation Act Loan. The debt program currently has an outstanding principal balance of \$1.3 billion as of December 31, 2023. Approximately 47.2 percent of the outstanding balance is comprised of M2 debt, 3.8 percent is associated with the 91 Express Lanes Program, and 49 percent is associated with the 405 Express Lanes.

Summary

The Treasurer is submitting a copy of the Orange County Transportation Authority Investment and Debt Programs report to the Finance and Administration Committee. The report is for the month ending December 31, 2023.

Attachments

- A. Orange County Transportation Authority Investment and Debt Programs
– For the Period Ending December 31, 2023
- B. Orange County Transportation Authority Portfolio Listing as of
December 31, 2023

Prepared by:



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

Approved by:



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

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

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



**Presented to the
Finance and Administration Committee**

**For The Period Ending
December 31, 2023**

INVESTMENT PROGRAM

OCTA Investment Dashboard

12/31/2023

Safety of Principal

Securities that fell below OCTA's minimum credit quality requirements during the month of December 2023:
N/A

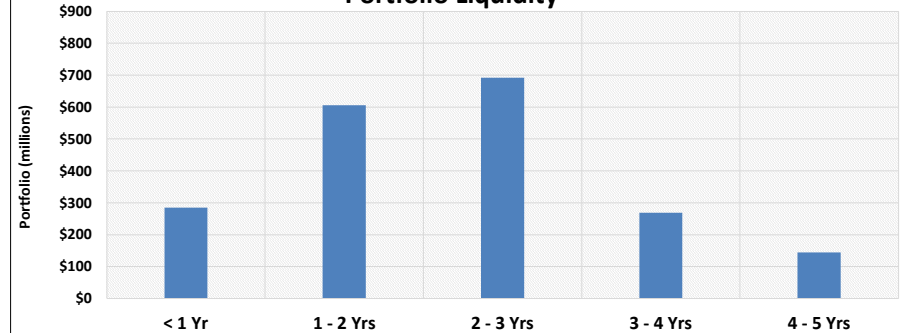
Securities currently held within OCTA's portfolio that fell below OCTA's minimum credit quality requirements during prior reporting periods:

Three Keybank securities held within OCTA's investment portfolio were downgraded below minimum credit quality requirements for the month of October 2023.

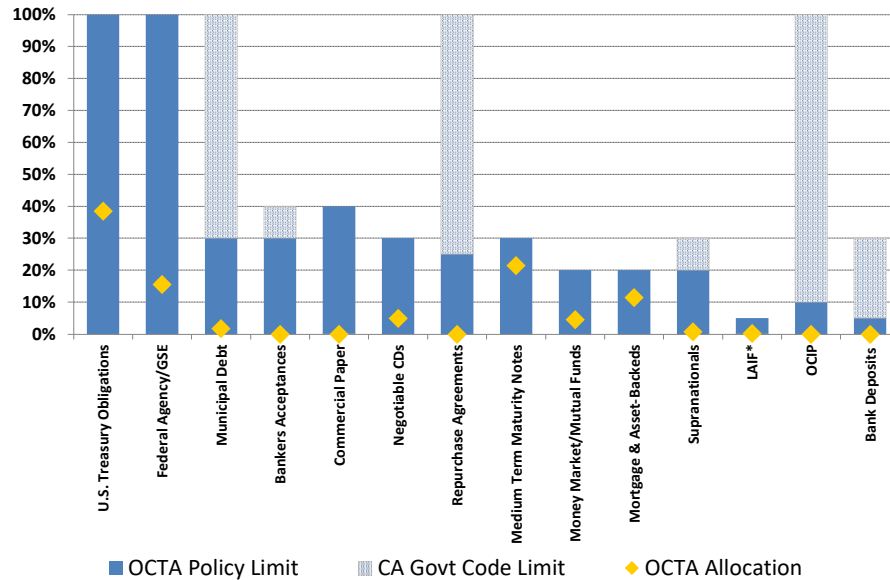
Securities downgraded or placed on Negative Credit Watch during the month of December 2023, but remain in compliance with OCTA's Investment Policy:
N/A

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

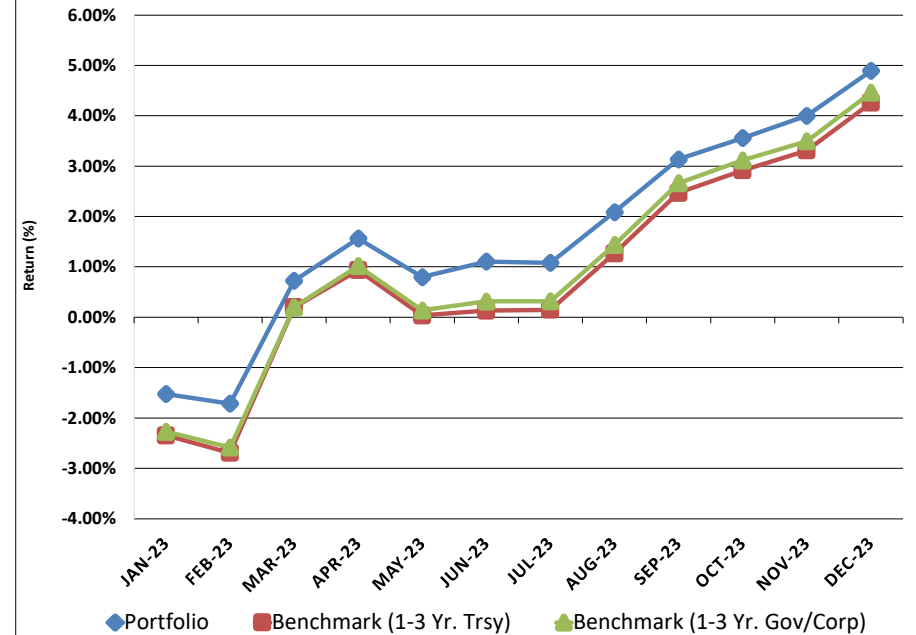
Portfolio Liquidity



Portfolio Diversification



Portfolio Return - 12 Month



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

** Per OCTA's Investment Policy the limit is 30% for variable and floating rate securities. As of December 31, 2023, 6.8% of the portfolio was invested in variable & floating rate securities.

Investment Compliance

12/31/2023

Portfolio Subject to Investment Policy			
	Dollar Amount	Percent Of	Investment Policy
Short-Term/Liquid Portfolio ¹	Invested	Portfolio	Max. Percentages
U.S. Treasury Obligations	\$ 836,606,813	38.6%	100%
Federal Agency/GSE	339,659,774	15.7%	100%
Municipal Debt	\$ 40,480,577	1.9%	30%
Commercial Paper	-	0.0%	40%
Negotiable Certificates of Deposit	\$ 110,050,000	5.1%	30%
Repurchase Agreements	-	0.0%	25%
Medium Term Maturity Notes/Corporates	\$ 467,941,168	21.6%	30%
Money Market/Mutual Funds	99,968,394	4.6%	20%
Mortgage & Asset-Backed	\$ 250,541,432	11.5%	20%
Supranationals	17,053,537	0.8%	20%
Local Agency Investment Fund	\$ 6,813,191	0.3%	\$ 75 Million
Orange County Investment Pool	656,272	0.0%	10%
Bank Deposits	\$ 262,699	0.0%	5%
Total Short-Term/Liquid Portfolio²	\$ 2,170,033,857		

1. Excludes portion of Liquid Portfolio subject to Indenture

2. Includes variable & floating rate securities invested in the amount of \$147,438,378 (6.8% of total Short-Term/Liquid portfolio) and subject to 30% limit per OCTA's Investment Policy.

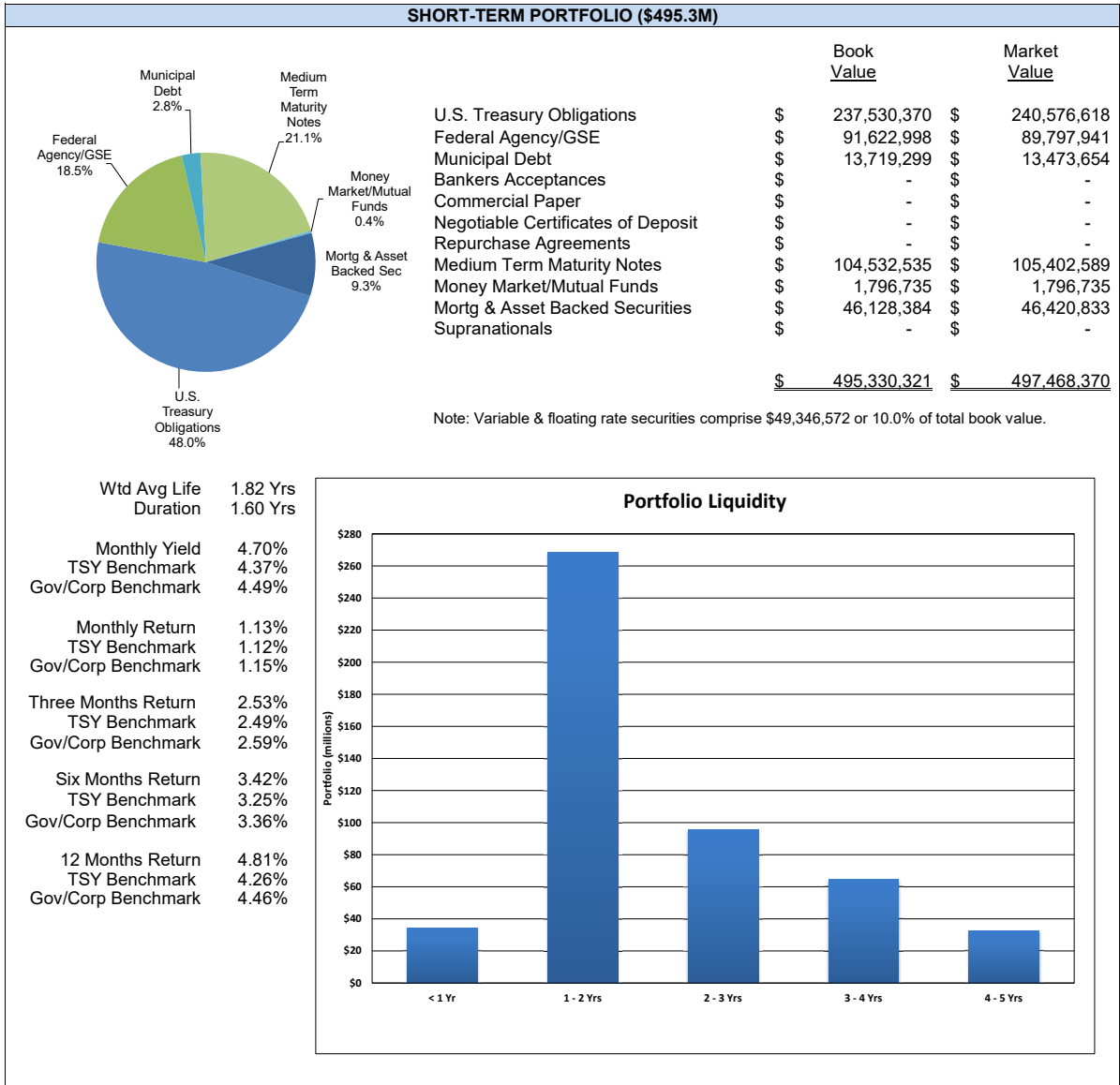
Portfolio Subject to Indenture					
Portfolio	Dollar Amount Invested	OCTA		Indenture Requirements	
		Credit Quality	Term	Min. Credit Quality	Max. Term
<u>Liquid Portfolio*</u>					
Government Obligations MMKT Fund	288,524,092	"AAAm"	N/A	AAA Category	N/A
Government Obligations MMKT Fund	45,975,325	"AAAm"/"Aammf"	N/A	AAA Category	N/A
Total Liquid Portfolio	\$ 334,499,417				
<u>Bond Proceeds Portfolio</u>					
2021 Bond Anticipation Notes (BANs):					
Government Obligations MMKT Fund	53,844	"AAAm"/ "Aaa-mf"/"AAAmmf"	N/A	"AAAm" or "AAAm-G"	N/A
91 Express Lanes 2023 Bonds:					
Government Obligations MMKT Fund	2,541	"AAAm"/ "Aaa-mf"/"AAAmmf"	N/A	N/A	N/A
Total Bond Proceeds Portfolio	\$ 56,385				
<u>Reserve Funds Portfolio</u>					
Bank Deposit	\$ 80,367	N/A	N/A	N/A	N/A
Government Obligations MMKT Fund	5,318,673	"AAAm"/ "Aaa-mf"/"AAAmmf"	N/A	N/A	N/A
Negotiable Certificates of Deposit	5,000,000	"A-1"/"P-1"/"F1+"	267 days	"A-1"/"P-1"/"F1"	270 days
Negotiable Certificates of Deposit	3,300,000	"A-1"/"P-1"/"F1+"	180 days	"A-1"/"P-1"/"F1"	270 days
Government Obligations MMKT Fund**	246	"AAAm"/ "Aaa-mf"/"AAAmmf"	N/A	N/A	N/A
Total Reserve Funds Portfolio	\$ 13,699,286				
Total Portfolio Subject to Indenture	\$ 13,755,672				
Portfolio Total	\$ 2,518,288,945				

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

**91 EL Debt Service Fund

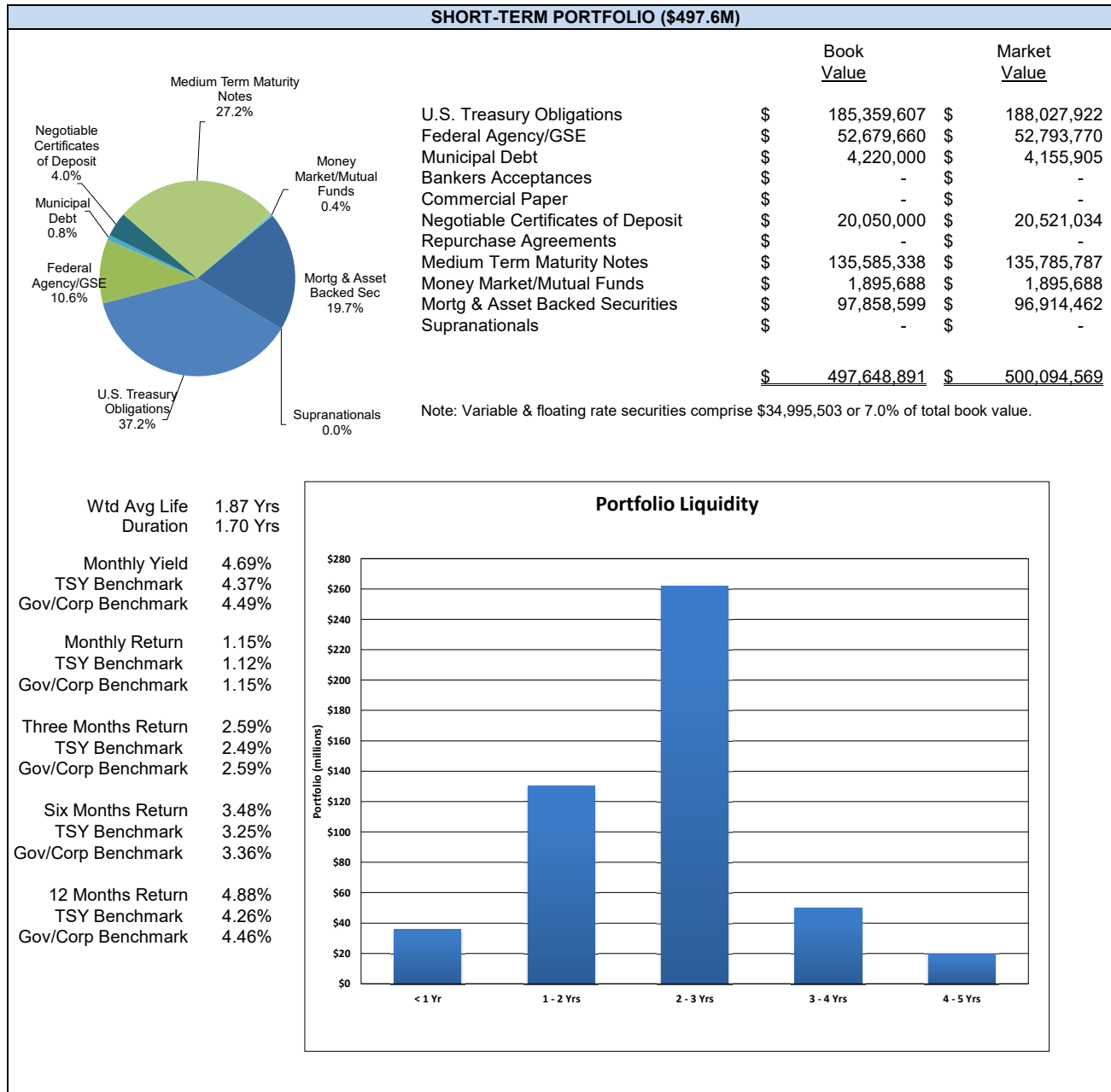
Investment Manager Diversification and Maturity Schedules

MetLife Investment Management
12/31/2023



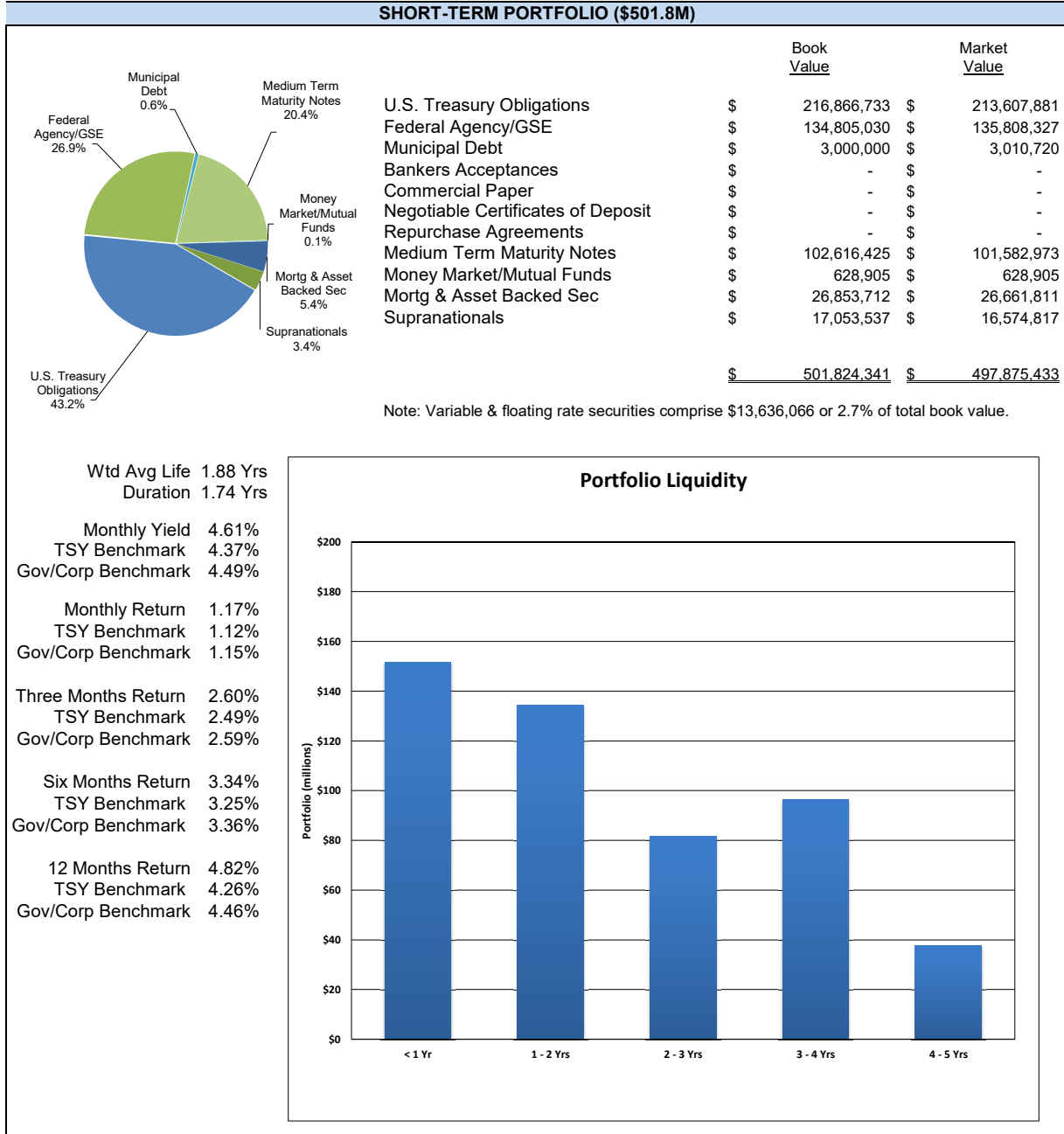
Investment Manager Diversification and Maturity Schedules

PFM
12/31/2023



Investment Manager Diversification and Maturity Schedules

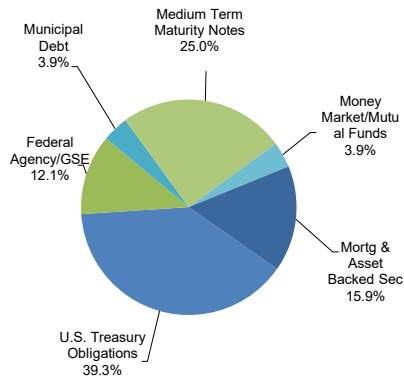
Chandler Asset Management 12/31/2023



Investment Manager Diversification and Maturity Schedules

Payden & Rygel
12/31/2023

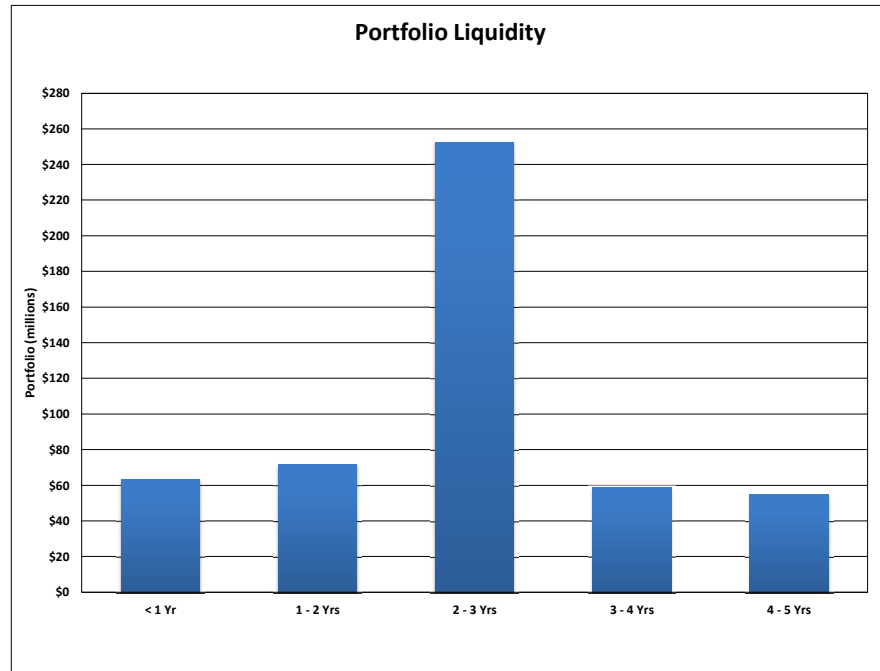
SHORT-TERM PORTFOLIO (\$501.2M)



	Book Value	Market Value
U.S. Treasury Obligations	\$ 196,850,103	\$ 200,065,717
Federal Agency/GSE	\$ 60,552,087	\$ 61,202,437
Municipal Debt	\$ 19,541,278	\$ 19,130,541
Bankers Acceptances	\$ -	\$ -
Commercial Paper	\$ -	\$ -
Negotiable Certificates of Deposit	\$ -	\$ -
Repurchase Agreements	\$ -	\$ -
Medium Term Maturity Notes	\$ 125,206,870	\$ 124,555,413
Money Market/Mutual Funds	\$ 19,319,057	\$ 19,319,057
Mortg & Asset Backed Sec	\$ 79,700,737	\$ 80,087,808
Supranationals	\$ -	\$ -
	\$ 501,170,132	\$ 504,360,973

Note: Variable & floating rate securities comprise \$48,688,998 or 9.9% of total book value.

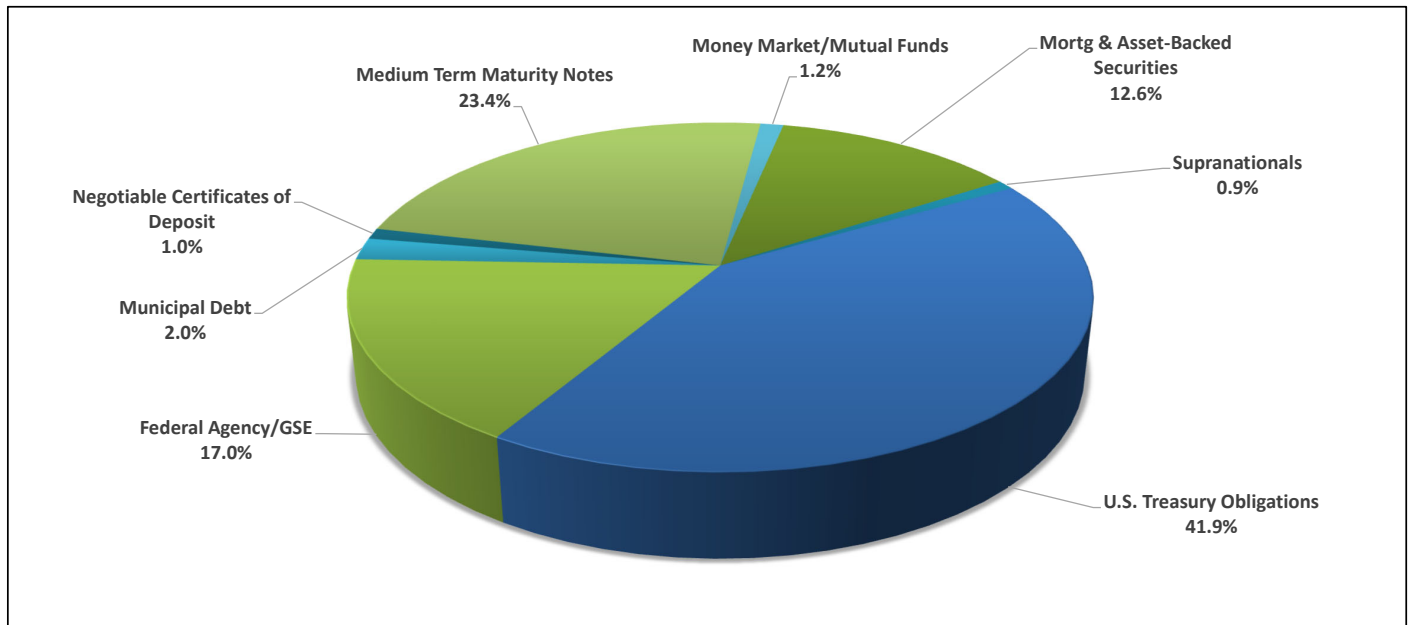
Wtd Avg Life	2.03 Yrs
Duration	1.72 Yrs
Monthly Yield	4.80%
TSY Benchmark	4.37%
Gov/Corp Benchmark	4.49%
Monthly Return	1.20%
TSY Benchmark	1.12%
Gov/Corp Benchmark	1.15%
Three Months Return	2.70%
TSY Benchmark	2.49%
Gov/Corp Benchmark	2.59%
Six Months Return	3.57%
TSY Benchmark	3.25%
Gov/Corp Benchmark	3.36%
12 Months Return	5.07%
TSY Benchmark	4.26%
Gov/Corp Benchmark	4.46%



Short-Term Portfolio

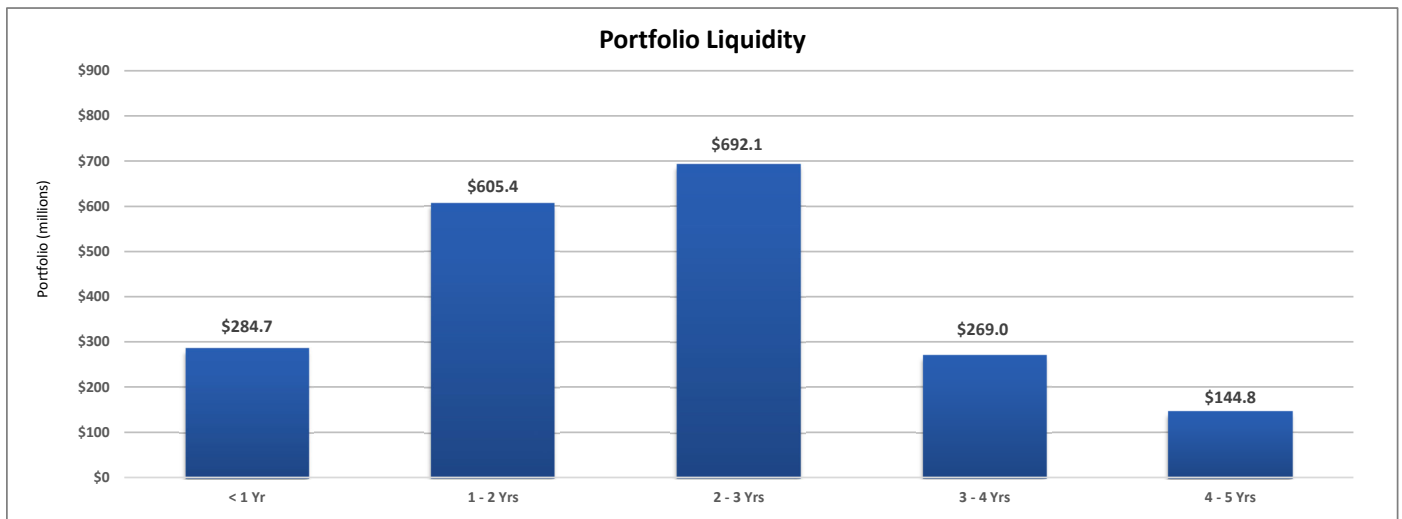
12/31/2023

Portfolio Composition



Note: Variable & floating rate securities comprise 7.5% of total book value.

Portfolio Liquidity



Rating Downgrades & Negative Credit Watch

12/31/2023

<u>Investment Manager / Security</u>	<u>Par Amount</u>	<u>Maturity</u>	<u>S&P</u>	<u>Moody's</u>	<u>Fitch Ratings</u>
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Rating Downgrades:

- Rating below minimum requirements:

KEYBANK NATIONAL ASSOCIATION

\$	3,720,000	06/14/2024 - 01/26/2026	BBB+	Baa1	BBB+
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During October 2023, Moody's and Fitch downgraded Keybank by one notch. The downgrade reflects the agencies' view that a higher-for-longer rate environment is likely to constrain profitability at Keybank more than for other banks of similar size. In addition, Keybank has a lower-than-average capital ratio on a proforma basis when adjusted for unrealized losses on available-for-sale securities. Due to the downgrade by both agencies, the three Keybank securities held within the portfolio fell below the minimum credit quality requirements of the Investment Policy. The Treasurer reviewed the position and recommended the securities be held for the short-term. The Treasurer presented his recommendation to the Chief Executive Officer who concurred.

Negative Credit Watch:

N/A

DEBT PROGRAM

(M2 Sales Tax Revenue Bonds, 91 Express Lanes Toll Road Revenue Bonds, 2021 TIFIA Loan)

Outstanding Debt¹

As of 12/31/2023

Orange County Local Transportation Authority (OCLTA-M2)

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

Issued:	\$	293,540,000
Outstanding:		250,000,000
Debt Service FY 2024:		17,270,000
All in True Interest Cost:		4.33%
Pledged Revenue Source:	M2 Sales Tax Revenues	
Ratings (Fitch/ Moody's/ S&P):		AA+/Aa2/AA+
Final Maturity:		2041

2019 M2 Sales Tax Revenue Bonds

Issued:	\$	376,690,000
Outstanding:		340,235,000
Debt Service FY 2024:		37,601,900
All in True Interest Cost:		3.14%
Pledged Revenue Source:	M2 Sales Tax Revenues	
Ratings (Fitch/ S&P):		AA+/AA+
Final Maturity:		2041

Sub-total M2 Outstanding Debt	\$	590,235,000
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91 Express Lanes

2023 OCTA 91 Express Lanes Refunding Bonds

Issued:	\$	47,545,000
Outstanding:		47,545,000
Debt Service FY 2024:		1,446,160
All in True Interest Cost:		2.80%
Pledged Revenue Source:	91 Toll Road Revenues	
Ratings (Fitch/ Moody's/ S&P):		AA-/Aa3/AA-
Final Maturity:		2030

Sub-total 91 Express Lanes Outstanding Debt	\$	47,545,000
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405 Express Lanes

2021 TIFIA Loan

Amount Available	\$	628,930,000
Outstanding:		613,711,295
Accrued Interest:		-
Interest Rate:		1.95%
Pledged Revenue Source:	405 Toll Road Revenues	
Ratings (Moody's):		Baa2
Final Maturity:		2058

Sub-total 405 Express Lanes Outstanding Debt	\$	613,711,295
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TOTAL OUTSTANDING DEBT:	\$	1,251,491,295
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1. Comprises OCTA's debt obligations (M2 Sales Tax Revenue Bonds, 91 Express Lanes Toll Road Revenue Bonds, and 2021 TIFIA Loan) currently outstanding and irrespective of OCTA's investment program.

Orange County Transportation Authority
Portfolio Listing
As of December 31, 2023

LIQUID PORTFOLIO					
NOTE	DESCRIPTION	MATURITY DATE	BOOK VALUE	MARKET VALUE	YIELD
	<u>CASH EQUIVALENTS</u>				
	BANK DEPOSITS	N/A	262,699	262,699	0.00
	FEDERATED MONEY MARKET GOVERNMENT PORTFOLIO	N/A	65,460,125	65,460,125	5.23
	BMO HARRIS BANK NCD	6/6/2024	15,000,000	15,000,000	5.62
	BMO HARRIS BANK NCD	7/29/2024	25,000,000	25,000,000	5.90
	BMO HARRIS BANK NCD	2/1/2024	25,000,000	25,000,000	5.78
	BMO HARRIS BANK NCD	5/1/2024	25,000,000	25,000,000	5.89
	MONEY MARKET DEMAND ACCOUNT	N/A	10,867,885	10,867,885	3.71
	FIDELITY TREASURY OBLIGATIONS FUND	N/A	288,524,092	288,524,092	5.26
	FEDERATED TREASURY OBLIGATIONS FUND	N/A	45,975,325	45,975,325	5.24
	SUB-TOTAL		501,090,126	501,090,126	
	<u>LOCAL AGENCY INVESTMENT FUND (LAIF)</u>	N/A	6,813,191	6,813,191	3.84
	<u>ORANGE COUNTY INVESTMENT POOL (OCIP)</u>	N/A	656,272	656,272	4.33
	LIQUID PORTFOLIO - TOTAL		\$ 508,559,589	\$ 508,559,589	
SHORT-TERM PORTFOLIO					
NOTE	DESCRIPTION	MATURITY DATE	BOOK VALUE	MARKET VALUE	YIELD
	<u>Money Market Funds</u>				
	FIRST AMER:GVT OBLG Z	12/31/2023	23,640,384	23,640,384	5.26
	SUB-TOTAL		23,640,384	23,640,384	
	<u>NEGOTIABLE CERTIFICATES OF DEPOSIT</u>				
	Credit Agricole Corporate And Investment Bank, New York Branch	8/16/2024	3,550,000	3,511,376	5.80
	Natixis, New York Branch	9/18/2026	3,575,000	3,640,744	4.77
	Nordea ABP - New York Branch	11/3/2025	4,750,000	4,806,620	4.85
	Rabobank Nederland - New York Branch	7/17/2026	3,450,000	3,493,919	4.55
	Toronto-Dominion Bank - New York Branch	10/27/2025	4,725,000	4,785,527	4.83
	SUB-TOTAL		20,050,000	20,238,186	
	<u>U.S. TREASURY OBLIGATIONS</u>				
	UNITED STATES TREASURY	11/30/2028	11,390,668	11,619,344	3.85
	UNITED STATES TREASURY	9/30/2028	18,969,553	19,668,380	3.88
	UNITED STATES TREASURY	8/31/2028	1,955,535	1,996,857	3.87
	UNITED STATES TREASURY	4/15/2028	7,316,786	7,307,445	1.89
	UNITED STATES TREASURY	4/15/2028	2,610,637	2,609,466	1.87
	UNITED STATES TREASURY	11/15/2027	3,778,750	3,760,920	3.93
	UNITED STATES TREASURY	9/30/2027	6,517,012	6,541,145	3.94
	UNITED STATES TREASURY	8/31/2027	7,737,813	7,775,040	3.96
	UNITED STATES TREASURY	7/31/2027	9,733,381	9,493,609	3.96
	UNITED STATES TREASURY	6/30/2027	17,424,887	17,296,971	3.95
	UNITED STATES TREASURY	4/30/2027	8,049,434	8,176,235	3.98
	UNITED STATES TREASURY	3/31/2027	6,686,992	6,929,115	3.96
	UNITED STATES TREASURY	2/15/2027	8,006,270	8,069,050	3.99
	UNITED STATES TREASURY	12/31/2026	12,017,576	12,350,409	3.99
	UNITED STATES TREASURY	12/15/2026	8,923,911	8,926,367	4.02
	UNITED STATES TREASURY	11/15/2026	3,715,469	3,781,560	4.03
	UNITED STATES TREASURY	11/15/2026	26,475,266	26,806,434	4.04
	UNITED STATES TREASURY	10/15/2026	19,857,851	20,261,281	4.06
	UNITED STATES TREASURY	9/15/2026	8,554,276	8,730,110	4.07
	UNITED STATES TREASURY	8/15/2026	34,824,912	35,325,805	4.10
	UNITED STATES TREASURY	7/15/2026	15,497,054	15,669,383	4.11
	UNITED STATES TREASURY	6/15/2026	14,637,570	14,766,603	4.13
	UNITED STATES TREASURY	5/15/2026	45,018,283	45,016,678	4.14
	UNITED STATES TREASURY	4/15/2026	37,459,945	37,195,832	4.18
	UNITED STATES TREASURY	3/15/2026	6,268,629	6,183,147	4.21
	UNITED STATES TREASURY	2/28/2026	14,455,078	14,476,200	4.20
	UNITED STATES TREASURY	2/28/2026	31,820,822	32,976,509	4.20
	UNITED STATES TREASURY	2/28/2026	14,271,250	14,785,000	4.20
	UNITED STATES TREASURY	2/15/2026	69,344,244	69,582,548	4.23
	UNITED STATES TREASURY	1/15/2026	10,113,863	10,072,657	4.27
	UNITED STATES TREASURY	12/15/2025	26,800,059	26,631,754	4.29
	UNITED STATES TREASURY	12/15/2025	17,839,549	17,956,930	4.28
	UNITED STATES TREASURY	11/15/2025	14,569,102	14,446,950	4.31
	UNITED STATES TREASURY	11/15/2025	6,953,960	6,898,100	4.31
	UNITED STATES TREASURY	10/31/2025	8,032,813	7,813,760	4.33
	UNITED STATES TREASURY	9/30/2025	9,515,918	9,281,025	4.38
	UNITED STATES TREASURY	9/30/2025	51,429,100	53,109,188	4.36
	UNITED STATES TREASURY	8/15/2025	5,979,811	5,929,484	4.40
	UNITED STATES TREASURY	7/31/2025	14,709,063	14,516,060	4.43
	UNITED STATES TREASURY	7/15/2025	3,993,281	3,912,640	4.48
	UNITED STATES TREASURY	6/30/2025	6,811,055	6,574,820	4.47
	UNITED STATES TREASURY	6/15/2025	4,793,813	4,691,232	4.49
	UNITED STATES TREASURY	5/31/2025	7,357,324	7,063,200	4.53
	UNITED STATES TREASURY	5/31/2025	2,476,074	2,490,825	4.52
	UNITED STATES TREASURY	5/15/2025	6,230,727	6,268,383	4.54
	UNITED STATES TREASURY	5/15/2025	5,283,852	5,174,549	4.54
	UNITED STATES TREASURY	5/15/2025	16,908,293	16,745,859	4.55
	UNITED STATES TREASURY	4/30/2025	7,440,527	7,097,475	4.56
	UNITED STATES TREASURY	4/30/2025	1,295,707	1,271,608	4.57
	UNITED STATES TREASURY	3/31/2025	10,137,754	10,219,219	4.60

Orange County Transportation Authority
Portfolio Listing
As of December 31, 2023

NOTE	DESCRIPTION	MATURITY DATE	BOOK VALUE	MARKET VALUE	YIELD
	UNITED STATES TREASURY	3/31/2025	24,239,802	24,122,303	4.58
	UNITED STATES TREASURY	1/31/2025	8,313,750	7,718,480	4.73
	UNITED STATES TREASURY	12/31/2024	14,508,609	13,586,860	4.79
	UNITED STATES TREASURY	12/15/2024	8,000,000	7,714,720	4.84
	UNITED STATES TREASURY	11/15/2024	8,004,375	7,720,320	4.86
	UNITED STATES TREASURY	10/31/2024	7,758,691	7,296,675	4.84
	UNITED STATES TREASURY	9/15/2024	7,484,473	7,263,300	4.94
	UNITED STATES TREASURY	8/15/2024	3,929,063	3,934,680	5.03
	UNITED STATES TREASURY	8/15/2024	7,914,375	7,770,640	5.05
	UNITED STATES TREASURY	7/15/2024	7,502,051	7,314,225	5.03
	UNITED STATES TREASURY	6/15/2024	10,975,938	10,759,760	5.09
	UNITED STATES TREASURY	5/15/2024	3,489,746	3,437,105	5.08
	UNITED STATES TREASURY	4/15/2024	8,013,438	7,890,000	5.10
	UNITED STATES TREASURY	1/16/2024	4,481,010	4,490,820	4.16
	<u>SUB-TOTAL</u>		<u>836,606,813</u>	<u>837,263,046</u>	
	<u>FEDERAL AGENCY/GSE</u>				
	FEDERAL FARM CREDIT BANKS FUNDING CORP	11/15/2027	4,973,700	5,112,100	3.99
	FEDERAL FARM CREDIT BANKS FUNDING CORP	10/4/2027	4,012,000	4,069,400	4.00
	FEDERAL FARM CREDIT BANKS FUNDING CORP	12/7/2026	7,968,800	8,072,320	4.05
	FEDERAL FARM CREDIT BANKS FUNDING CORP	9/1/2026	3,994,800	4,060,560	4.14
	FEDERAL FARM CREDIT BANKS FUNDING CORP	8/14/2026	14,828,188	15,000,099	4.16
	FEDERAL FARM CREDIT BANKS FUNDING CORP	7/30/2026	3,995,640	4,083,400	4.14
	FEDERAL FARM CREDIT BANKS FUNDING CORP	7/17/2026	4,003,400	4,042,040	4.19
	FEDERAL FARM CREDIT BANKS FUNDING CORP	6/23/2026	3,995,240	4,017,760	4.19
	FEDERAL FARM CREDIT BANKS FUNDING CORP	2/25/2025	4,956,270	4,838,850	4.65
	FEDERAL HOME LOAN BANKS	9/8/2028	3,979,600	4,073,760	3.94
	FEDERAL HOME LOAN BANKS	6/30/2028	3,965,360	4,016,800	3.90
	FEDERAL HOME LOAN BANKS	6/9/2028	1,996,120	2,007,000	3.91
	FEDERAL HOME LOAN BANKS	3/10/2028	5,108,250	5,118,250	3.88
	FEDERAL HOME LOAN BANKS	12/10/2027	5,105,600	5,051,450	3.97
	FEDERAL HOME LOAN BANKS	3/25/2027	4,830,700	4,899,689	4.38
	FEDERAL HOME LOAN BANKS	9/11/2026	10,908,280	11,142,450	4.11
	FEDERAL HOME LOAN BANKS	8/26/2026	1,783,600	1,830,642	4.31
	FEDERAL HOME LOAN BANKS	6/12/2026	3,992,680	4,050,120	4.21
	FEDERAL HOME LOAN BANKS	2/28/2025	4,095,000	3,996,843	4.33
	FEDERAL HOME LOAN BANKS	2/28/2025	850,000	825,582	4.76
	FEDERAL HOME LOAN BANKS	12/20/2024	7,643,648	7,374,524	4.83
	FEDERAL HOME LOAN BANKS	3/8/2024	5,201,750	4,967,750	5.24
	FEDERAL HOME LOAN MORTGAGE CORP	8/23/2027	6,000,000	6,002,220	5.49
	FEDERAL HOME LOAN MORTGAGE CORP	8/16/2027	6,000,000	5,999,580	5.92
	FEDERAL HOME LOAN MORTGAGE CORP	5/1/2026	2,800,000	2,799,776	5.48
	FEDERAL HOME LOAN MORTGAGE CORP	2/24/2026	2,268,865	2,264,143	5.53
	FEDERAL HOME LOAN MORTGAGE CORP	1/27/2026	5,000,000	4,986,815	5.43
	FEDERAL HOME LOAN MORTGAGE CORP	1/27/2026	2,380,000	2,374,050	5.43
	FEDERAL HOME LOAN MORTGAGE CORP	10/20/2025	3,149,742	3,233,112	4.49
	FEDERAL HOME LOAN MORTGAGE CORP	9/30/2025	3,260,000	3,243,830	5.05
	FEDERAL HOME LOAN MORTGAGE CORP	8/28/2025	2,940,000	2,964,243	4.95
	FEDERAL HOME LOAN MORTGAGE CORP	8/28/2025	3,060,000	3,028,298	4.85
	FEDERAL HOME LOAN MORTGAGE CORP	8/12/2025	4,095,490	3,851,183	4.53
	FEDERAL HOME LOAN MORTGAGE CORP	7/21/2025	4,785,000	4,726,389	4.87
	FEDERAL HOME LOAN MORTGAGE CORP	5/28/2025	2,980,000	2,978,570	5.66
	FEDERAL HOME LOAN MORTGAGE CORP	2/28/2025	3,030,000	3,003,548	4.78
	FEDERAL HOME LOAN MORTGAGE CORP	1/27/2025	6,899,698	6,899,724	5.07
	FEDERAL HOME LOAN MORTGAGE CORP	1/27/2025	324,935	324,305	5.33
	FEDERAL HOME LOAN MORTGAGE CORP	1/24/2025	3,920,000	3,917,962	5.20
	FEDERAL HOME LOAN MORTGAGE CORP	12/30/2024	2,685,000	2,658,864	5.01
	FEDERAL NATIONAL MORTGAGE ASSOCIATION	7/1/2028	975,938	1,000,150	4.35
	FEDERAL NATIONAL MORTGAGE ASSOCIATION	7/24/2026	5,226,860	5,300,318	4.33
	FEDERAL NATIONAL MORTGAGE ASSOCIATION	6/1/2026	352,628	352,058	5.59
	FEDERAL NATIONAL MORTGAGE ASSOCIATION	2/17/2026	2,610,000	2,612,584	4.37
	FEDERAL NATIONAL MORTGAGE ASSOCIATION	8/25/2025	7,771,280	7,479,360	4.50
	FEDERAL NATIONAL MORTGAGE ASSOCIATION	7/30/2025	3,614,768	3,697,480	4.53
	FHMS K-040 A2	9/25/2024	4,783,225	4,767,013	5.41
	FHMS K-045 A2	1/25/2025	4,549,992	4,504,727	5.04
	FHMS K-046 A2	3/25/2025	2,679,855	2,640,546	5.00
	FHMS K-047 A2	5/25/2025	3,597,902	3,500,140	4.87
(1)	FHMS K-048 A2	6/25/2025	180,617	161,375	4.88
	FHMS K-049 A2	7/25/2025	7,081,363	7,029,145	4.88
	FHMS K-050 A1	1/25/2025	945,650	886,310	5.23
	FHMS K-051 A2	9/25/2025	12,057,972	11,207,461	4.81
	FHMS K-052 A2	11/25/2025	1,219,955	1,104,185	4.70
	FHMS K-053 A2	12/25/2025	3,360,820	3,292,934	4.72
	FHMS K-054 A2	1/25/2026	11,003,391	11,106,297	4.64
	FHMS K-057 A2	7/25/2026	4,025,143	4,082,369	4.54
	FHMS K-058 A2	8/25/2026	2,290,781	2,290,008	4.48
	FHMS K-059 A2	9/25/2026	3,078,232	3,136,868	4.47
(1)	FHMS K-061 A2	11/25/2026	1,664,565	1,664,498	4.50
	FHMS K-062 A2	12/25/2026	2,396,755	2,420,081	4.41
(1)	FHMS K-063 A2	1/25/2027	10,336,469	10,242,034	4.42
	FHMS K-065 A2	4/25/2027	1,162,125	1,157,376	4.39
	FHMS K-066 A2	6/25/2027	521,186	503,916	4.38
	FHMS K-067 A2	7/25/2027	3,858,125	3,848,240	4.33
	FHMS K-068 A2	8/25/2027	2,912,461	2,884,410	4.38

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(1)	FHMS K-069 A2	9/25/2027	3,812,813	3,837,600	4.38
	FHMS K-073 A2	1/25/2028	6,511,410	6,515,653	4.38
	FHMS K-726 A2	4/25/2024	2,783,082	2,762,661	5.99
	FHMS K-727 A2	7/25/2024	3,180,916	2,911,517	5.51
	FHMS K-728 A2	8/25/2024	4,013,877	3,946,661	5.45
(1)	FHMS K-730 AM	1/25/2025	3,800,660	3,387,555	5.15
(1)	FHMS K-733 A2	8/25/2025	1,852,347	1,878,884	4.80
	FHMS K-734 A2	2/25/2026	1,933,125	1,944,860	4.66
	FHMS K-736 A2	7/25/2026	2,458,807	2,518,905	4.49
	FHMS K-BX1 A1	9/25/2024	517,730	509,544	5.31
	FHMS K-BX1 A2	1/25/2026	744,258	729,750	4.89
	FHMS K-IR1 A2	3/25/2026	634,528	635,441	4.55
	FHMS K-PLB A	5/25/2025	5,316,560	4,891,270	4.86
	FHMS K-S07 A2	9/25/2025	489,922	481,280	4.93
	FHMS K-S08 A2	3/25/2027	1,350,764	1,346,912	4.53
	FHR 3778 L	12/15/2025	155,366	151,354	5.40
	FHR 3806 L	2/15/2026	724,739	701,198	5.50
	FN AM8730	7/1/2025	1,642,659	1,486,977	5.44
	FN AN0429	1/1/2025	931,777	841,775	5.54
	FN AN0439	12/1/2025	869,027	868,815	5.21
	FN AN0571	1/1/2026	582,703	581,838	5.03
	FN AN0992	2/1/2026	932,772	909,501	5.27
	FN AN6001	7/1/2027	512,202	515,207	5.61
	FN BL5365	2/1/2027	296,257	301,050	4.51
(1)	FNA 2012-M14 AL	9/25/2027	3,642,562	3,670,282	5.49
(1)	FNA 2014-M8 A2	6/25/2024	771,240	708,450	5.84
(1)	FNA 2015-M15 A2	10/25/2025	1,294,888.24	1,298,698.42	5.48
	FNA 2016-M03 A2	2/25/2026	3,526,883.18	3,537,628.58	5.08
(1)	FNA 2017-M2 A2	2/25/2027	1,301,630.83	1,306,633.04	5.17
(1)	FNA 2018-M1 A2	12/25/2027	701,603.65	705,779.00	4.92
	FNR 2011-74 UY	3/25/2026	347,255.80	338,577.51	6.58
SUB-TOTAL			339,659,774	337,002,135	
<u>MEDIUM TERM NOTES</u>					
	AMAZON.COM INC	4/13/2025	2,136,597	2,093,819	4.74
	AMAZON.COM INC	5/12/2024	3,265,226	3,212,219	5.32
(1)	AMERICAN EXPRESS CO	7/28/2027	2,445,000	2,473,069	5.34
(1)	AMERICAN EXPRESS CO	11/4/2026	860,000	848,786	6.49
(1)	AMERICAN EXPRESS CO	10/30/2026	1,065,000	1,085,821	5.81
	AMERICAN EXPRESS CO	8/1/2025	7,278,816	7,280,342	5.02
	AMERICAN EXPRESS CO	3/4/2025	1,087,483	1,054,531	5.12
	AMERICAN EXPRESS CO	7/30/2024	2,304,655	2,185,773	5.60
	AMERICAN HONDA FINANCE CORP	7/7/2026	1,243,469	1,268,680	4.44
	AMERICAN HONDA FINANCE CORP	10/3/2025	1,348,745	1,373,207	4.77
	AMERICAN HONDA FINANCE CORP	1/13/2025	1,224,032	1,181,856	5.02
	AMERICAN HONDA FINANCE CORP	8/9/2024	1,138,631	1,117,881	5.46
	AMERICAN HONDA FINANCE CORP	1/12/2024	1,585,215	1,499,190	4.97
	APPLE INC	2/23/2026	3,855,100	3,902,680	4.45
	AUSTRALIA AND NEW ZEALAND BANKING GROUP LTD (NEW Y	12/8/2025	2,025,000	2,037,191	4.76
(1)	BANK OF AMERICA CORP	1/20/2027	1,425,000	1,421,865	5.19
(1)	BANK OF AMERICA CORP	10/24/2026	7,233,077	7,423,837	5.37
(1)	BANK OF AMERICA CORP	7/22/2026	195,000	193,495	5.35
(1)	BANK OF AMERICA CORP	4/2/2026	550,000	534,908	5.67
(1)	BANK OF AMERICA CORP	12/6/2025	2,930,000	2,816,756	5.83
(1)	BANK OF AMERICA CORP	10/22/2025	2,185,494	2,020,531	5.80
(1)	BANK OF AMERICA CORP	4/22/2025	2,595,000	2,553,402	6.12
(1)	BANK OF AMERICA CORP	2/4/2025	1,800,000	1,793,016	5.81
(1)	BANK OF NEW YORK MELLON	5/22/2026	4,845,000	4,843,789	5.16
	BANK OF NEW YORK MELLON CORP	1/26/2027	3,695,080	3,716,680	4.54
(1)	BANK OF NEW YORK MELLON CORP	7/24/2026	3,510,000	3,472,689	5.13
	BANK OF NEW YORK MELLON CORP	4/25/2025	1,229,828	1,201,439	5.19
	BANK OF NEW YORK MELLON CORP	4/24/2025	1,279,625	1,199,663	4.78
	BANK OF NEW YORK MELLON CORP	10/25/2024	2,926,102	2,833,654	5.19
	BMW US CAPITAL LLC	8/11/2025	2,404,856	2,425,827	4.73
	BMW US CAPITAL LLC	4/1/2025	1,068,994	1,049,435	4.84
	BMW US CAPITAL LLC	8/12/2024	874,921	850,098	5.48
	BRIGHTHOUSE FINANCIAL GLOBAL FUNDING	1/13/2025	2,172,216	2,088,914	5.73
	BURLINGTON NORTHERN SANTA FE LLC	4/1/2025	753,641	684,537	4.83
	CAMDEN PROPERTY TRUST	11/3/2026	2,449,927	2,523,255	4.68
	CATERPILLAR FINANCIAL SERVICES CORP	5/15/2026	1,369,356	1,367,082	4.44
	CATERPILLAR FINANCIAL SERVICES CORP	1/6/2026	3,559,110	3,580,328	4.50
	CATERPILLAR FINANCIAL SERVICES CORP	9/13/2024	1,642,763	1,592,508	5.27
	CATERPILLAR FINANCIAL SERVICES CORP	5/17/2024	5,193,032	5,104,424	5.34
	CHARLES SCHWAB CORP	3/18/2024	7,374,035	7,294,310	5.48
	CHUBB INA HOLDINGS INC	5/3/2026	3,858,936	3,891,400	4.58
	CINTAS NO 2 CORP	5/1/2025	1,184,739	1,163,729	4.85
	CITIBANK NA	12/4/2026	1,440,000	1,465,920	4.80
	CITIBANK NA	9/29/2025	9,720,128	9,880,672	4.82
	CITIGROUP GLOBAL MARKETS HOLDINGS INC	6/7/2024	2,000,000	1,952,480	6.31
(1)	CITIGROUP INC	1/25/2026	1,435,000	1,378,906	5.83
(1)	CITIGROUP INC	11/3/2025	420,221	404,095	5.93
(1)	CITIGROUP INC	5/1/2025	905,000	889,642	6.08
(1)	CITIGROUP INC	10/30/2024	3,125,000	3,126,750	5.92
(1)	CITIZENS BANK NA	10/24/2025	1,855,000	1,809,682	7.88
(1)	CITIZENS BANK NA	5/23/2025	625,000	609,944	7.86
	CNO GLOBAL FUNDING	1/6/2025	694,555	663,989	6.24

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	COLGATE-PALMOLIVE CO	3/2/2026	1,243,556	1,260,699	4.19
	COLGATE-PALMOLIVE CO	8/15/2025	769,292	753,099	4.51
	COMCAST CORP	11/7/2025	1,239,665	1,253,119	4.65
	COMCAST CORP	10/15/2025	4,042,257	3,565,475	4.75
	COMMONWEALTH BANK OF AUSTRALIA (NEW YORK BRANCH)	3/13/2026	2,350,000	2,385,227	4.59
	COOPERATIVE RABOBANK UA (NEW YORK BRANCH)	1/10/2025	2,043,727	1,971,854	5.22
	COOPERATIVE RABOBANK UA (NEW YORK BRANCH)	8/22/2024	1,684,225	1,668,251	5.45
	DUKE ENERGY CAROLINAS LLC	11/15/2028	3,653,676	3,750,107	4.31
	ELEVANCE HEALTH INC	2/8/2026	254,732	254,465	5.00
	ENTERGY LOUISIANA LLC	10/1/2024	1,203,193	1,165,717	5.41
	EQUITABLE FINANCIAL LIFE GLOBAL FUNDING	8/12/2024	2,504,775	2,431,453	5.69
	EXXON MOBIL CORP	3/1/2026	3,559,696	3,592,959	4.45
	F&G GLOBAL FUNDING	9/20/2024	4,454,142	4,293,018	6.26
(1)	FIFTH THIRD BANK NA (OHIO)	10/27/2025	950,000	947,407	6.18
	FLORIDA POWER & LIGHT CO	5/15/2028	3,935,680	4,006,400	4.36
	GA GLOBAL FUNDING TRUST	9/13/2024	1,551,563	1,494,277	6.55
	GA GLOBAL FUNDING TRUST	4/8/2024	2,886,990	2,956,020	6.41
	GOLDMAN SACHS GROUP INC	11/16/2026	1,937,324	1,997,997	4.90
(1)	GOLDMAN SACHS GROUP INC	8/10/2026	2,775,000	2,801,807	5.16
(1)	GOLDMAN SACHS GROUP INC	2/12/2026	6,058,338	6,258,120	5.70
(1)	GOLDMAN SACHS GROUP INC	1/24/2025	2,575,000	2,566,039	6.17
	GOLDMAN SACHS GROUP INC	3/3/2024	440,856	398,832	5.59
	HOME DEPOT INC	9/30/2026	1,017,766	1,034,606	4.38
	HOME DEPOT INC	9/15/2025	2,204,206	2,184,582	4.57
	HOME DEPOT INC	4/15/2025	369,353	360,868	4.68
	HORMEL FOODS CORP	6/3/2024	1,173,957	1,190,700	5.43
	HSBC USA INC	5/24/2024	3,544,858	3,518,342	5.64
(1)	HUNTINGTON NATIONAL BANK	11/18/2025	2,415,000	2,384,813	6.89
(1)	HUNTINGTON NATIONAL BANK	5/16/2025	3,410,000	3,359,327	7.01
	INTEL CORP	7/29/2025	1,713,075	1,722,210	4.75
	INTERCONTINENTAL EXCHANGE INC	5/23/2025	3,351,310	3,271,011	5.53
	INTERNATIONAL BUSINESS MACHINES CORP	7/27/2025	2,600,000	2,571,270	4.73
	INTERNATIONAL BUSINESS MACHINES CORP	2/12/2024	1,027,846	932,719	5.60
	JACKSON NATIONAL LIFE GLOBAL FUNDING	1/9/2026	1,601,549	1,602,657	5.58
	JACKSON NATIONAL LIFE GLOBAL FUNDING	1/12/2025	2,329,604	2,233,655	5.92
	JOHN DEERE CAPITAL CORP	6/8/2026	1,948,869	1,963,085	4.46
	JOHN DEERE CAPITAL CORP	1/9/2026	1,714,194	1,724,107	4.52
	JOHN DEERE CAPITAL CORP	6/6/2025	639,853	629,139	4.63
	JOHN DEERE CAPITAL CORP	3/7/2025	259,888	251,984	4.82
	JOHN DEERE CAPITAL CORP	1/10/2025	774,636	747,511	4.82
	JOHN DEERE CAPITAL CORP	9/10/2024	534,652	518,474	5.19
	JOHN DEERE CAPITAL CORP	1/17/2024	3,512,504	3,507,724	4.59
(1)	JPMORGAN CHASE & CO	10/22/2027	1,205,000	1,239,596	4.96
(1)	JPMORGAN CHASE & CO	11/19/2026	2,211,269	2,278,034	5.21
(1)	JPMORGAN CHASE & CO	4/26/2026	1,000,000	983,730	5.36
(1)	JPMORGAN CHASE & CO	2/24/2026	2,570,000	2,488,839	5.46
(1)	JPMORGAN CHASE & CO	12/10/2025	3,295,542	3,480,522	5.65
(1)	JPMORGAN CHASE & CO	8/9/2025	1,100,000	1,066,637	5.89
(1)	JPMORGAN CHASE & CO	6/1/2025	6,445,597	6,302,120	5.96
(1)	JPMORGAN CHASE & CO	2/16/2025	815,000	809,540	5.72
	JPMORGAN CHASE BANK NA	12/8/2026	3,595,000	3,627,247	4.77
	KENVUE INC	3/22/2025	904,665	912,358	4.81
	KEYBANK NA	1/26/2026	354,705	346,686	5.91
	KEYBANK NA	8/8/2025	1,319,630	1,279,582	6.18
(1)	KEYBANK NA	6/14/2024	2,045,000	2,022,301	8.09
	LINDE INC	12/5/2025	3,516,198	3,522,851	4.65
	LOCKHEED MARTIN CORP	10/15/2025	782,763	791,123	4.47
	MANUFACTURERS AND TRADERS TRUST CO	1/27/2026	2,430,763	2,384,328	5.72
	MASSMUTUAL GLOBAL FUNDING II	8/26/2025	1,208,754	1,197,404	4.81
	MERCEDES-BENZ FINANCE NORTH AMERICA LLC	8/3/2026	1,340,348	1,368,023	4.65
	MET TOWER GLOBAL FUNDING	6/13/2025	1,973,065	1,941,702	4.91
	METROPOLITAN LIFE GLOBAL FUNDING I	1/6/2026	2,380,000	2,387,925	4.82
	METROPOLITAN LIFE GLOBAL FUNDING I	3/21/2025	579,484	564,734	5.03
	METROPOLITAN LIFE GLOBAL FUNDING I	9/27/2024	5,137,921	4,983,476	5.45
(1)	MORGAN STANLEY	1/28/2027	754,985	755,732	5.00
(1)	MORGAN STANLEY	10/16/2026	1,165,000	1,185,958	5.07
(1)	MORGAN STANLEY	4/28/2026	4,360,979	4,452,659	5.29
(1)	MORGAN STANLEY	2/18/2026	2,970,000	2,874,425	5.59
(1)	MORGAN STANLEY	10/21/2025	615,000	590,751	5.91
(1)	MORGAN STANLEY	1/22/2025	3,032,519	3,036,017	5.41
	MORGAN STANLEY BANK NA	10/30/2026	2,340,000	2,406,058	4.77
	MORGAN STANLEY BANK NA	4/21/2026	3,720,000	3,717,508	4.78
	NATIONAL AUSTRALIA BANK LTD (NEW YORK BRANCH)	1/12/2026	2,960,000	2,980,483	4.61
	NATIONAL AUSTRALIA BANK LTD (NEW YORK BRANCH)	6/9/2025	2,280,000	2,240,921	4.74
	NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	11/13/2026	1,734,393	1,780,388	4.59
	NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	3/13/2026	2,488,648	2,491,233	4.52
	NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	10/30/2025	758,982	767,608	4.87
	NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	6/15/2025	3,164,145	3,099,010	4.95
	NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	2/7/2025	2,254,932	2,176,819	5.14
	NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	2/8/2024	809,441	805,618	5.37
	NATIONAL SECURITIES CLEARING CORP	11/21/2024	3,254,321	3,251,322	5.18
	NESTLE HOLDINGS INC	3/13/2026	819,729	833,374	4.46
	NESTLE HOLDINGS INC	9/12/2025	1,034,658	1,026,203	4.52
	NEW YORK LIFE GLOBAL FUNDING	9/18/2026	1,384,737	1,415,512	4.58
	NEW YORK LIFE GLOBAL FUNDING	1/14/2025	5,948,569	5,734,903	5.14

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	NEW YORK LIFE GLOBAL FUNDING	10/29/2024	2,162,186	2,092,689	5.04
	NEW YORK LIFE GLOBAL FUNDING	8/27/2024	2,171,977	2,107,901	5.41
	NEW YORK LIFE GLOBAL FUNDING	6/6/2024	2,448,016	2,425,721	5.47
	NEXTERA ENERGY CAPITAL HOLDINGS INC	9/1/2025	1,149,770	1,150,672	5.71
	NEXTERA ENERGY CAPITAL HOLDINGS INC	3/1/2025	2,175,425	2,177,712	5.73
	NEXTERA ENERGY CAPITAL HOLDINGS INC	9/1/2024	300,762	297,147	5.71
	NIKE INC	3/27/2025	44,939	43,757	4.71
	NORTHERN TRUST CORP	5/10/2027	3,930,215	3,945,880	4.44
	NORTHWESTERN MUTUAL GLOBAL FUNDING	4/6/2026	6,038,862	6,013,938	4.86
	NORTHWESTERN MUTUAL GLOBAL FUNDING	7/1/2025	5,003,298	4,959,254	4.64
	PACCAR FINANCIAL CORP	8/10/2026	3,593,203	3,645,474	4.47
	PACCAR FINANCIAL CORP	4/7/2025	10,162,357	9,933,238	4.71
	PACCAR FINANCIAL CORP	11/8/2024	1,544,907	1,488,947	5.28
	PACCAR FINANCIAL CORP	8/9/2024	959,482	931,795	5.45
	PACCAR FINANCIAL CORP	2/2/2024	1,618,121	1,612,840	5.19
	PACIFIC LIFE GLOBAL FUNDING II	8/28/2026	794,722	809,604	4.76
	PAYPAL HOLDINGS INC	10/1/2024	1,759,687	1,663,909	5.30
	PEPSICO INC	2/13/2026	1,579,084	1,586,320	4.34
	PEPSICO INC	7/17/2025	1,649,663	1,672,358	4.60
	PNC BANK NA	4/10/2025	4,562,820	4,405,455	5.59
(1)	PNC FINANCIAL SERVICES GROUP INC	1/26/2027	1,630,000	1,617,172	5.16
(1)	PNC FINANCIAL SERVICES GROUP INC	10/28/2025	1,570,000	1,569,199	6.05
	PRICOA GLOBAL FUNDING I	8/28/2026	809,182	826,662	4.72
	PRICOA GLOBAL FUNDING I	8/28/2025	504,692	499,647	4.87
	PRICOA GLOBAL FUNDING I	12/6/2024	4,565,293	4,392,730	5.46
	PRINCIPAL LIFE GLOBAL FUNDING II	1/10/2025	922,003	888,148	5.40
	PRINCIPAL LIFE GLOBAL FUNDING II	8/23/2024	1,124,303	1,088,741	5.87
	PUBLIC SERVICE ELECTRIC AND GAS CO	5/1/2028	1,929,762	1,964,518	4.51
	ROCHE HOLDINGS INC	11/13/2026	2,775,000	2,835,828	4.42
	ROCHE HOLDINGS INC	3/10/2025	3,520,000	3,412,675	4.78
	ROYAL BANK OF CANADA	4/14/2025	2,524,066	2,473,616	5.02
	ROYAL BANK OF CANADA	11/1/2024	4,205,160	3,899,160	5.36
	SALESFORCE INC	7/15/2024	914,533	891,933	5.39
	SECURITY BENEFIT GLOBAL FUNDING	5/17/2024	3,128,811	3,069,841	6.38
	SOUTHERN CALIFORNIA GAS CO	9/15/2024	3,704,883	3,675,856	5.29
(1)	STATE STREET CORP	11/4/2026	685,000	695,576	4.86
	STATE STREET CORP	8/3/2026	4,335,000	4,397,988	4.65
(1)	STATE STREET CORP	5/18/2026	1,225,000	1,226,262	5.02
(1)	STATE STREET CORP	3/30/2026	2,045,440	1,943,180	5.27
(1)	STATE STREET CORP	2/6/2026	3,765,000	3,617,826	5.44
(1)	STATE STREET CORP	1/26/2026	345,000	343,365	5.31
	TEXAS INSTRUMENTS INC	11/18/2024	379,829	378,598	5.13
	THERMO FISHER SCIENTIFIC INC	12/5/2026	1,873,706	1,903,144	4.43
	TORONTO-DOMINION BANK	6/12/2024	3,171,900	2,962,440	5.48
	TOYOTA MOTOR CREDIT CORP	5/18/2026	2,053,808	2,051,630	4.52
	TOYOTA MOTOR CREDIT CORP	1/13/2025	973,694	940,904	4.94
	TOYOTA MOTOR CREDIT CORP	6/18/2024	3,086,323	3,018,405	5.56
(1)	TRUIST FINANCIAL CORP	10/28/2026	1,650,000	1,663,563	5.42
(1)	TRUIST FINANCIAL CORP	7/28/2026	3,065,000	3,001,371	5.65
	TRUIST FINANCIAL CORP	8/1/2024	6,114,362	5,984,649	5.81
	UNILEVER CAPITAL CORP	8/12/2024	705,000.00	684,540.90	5.45
	UNITEDHEALTH GROUP INC	10/15/2025	539,951.40	545,891.40	4.51
	UNITEDHEALTH GROUP INC	5/15/2024	1,988,520.00	1,963,860.00	5.43
	US BANCORP	7/30/2024	2,662,075.00	2,456,775.00	5.43
	US BANCORP	2/5/2024	2,107,940.00	1,995,260.00	5.68
	USAA CAPITAL CORP	5/1/2025	1,903,754.30	1,869,718.10	5.02
	WALMART INC	4/15/2026	2,628,842.80	2,615,456.10	4.25
	WALMART INC	9/9/2025	3,122,812.50	3,093,937.50	4.51
(1)	WELLS FARGO & CO	8/15/2026	1,360,000.00	1,345,475.20	5.23
(1)	WELLS FARGO & CO	4/25/2026	1,850,000.00	1,813,296.00	5.48
	WELLS FARGO & CO	4/22/2026	2,046,240.00	2,083,410.75	4.95
(1)	WELLS FARGO & CO	10/30/2025	6,660,523.30	6,697,521.45	5.78
(1)	WELLS FARGO & CO	5/19/2025	455,000.00	446,045.60	5.93
	WELLS FARGO BANK NA	12/11/2026	4,100,000.00	4,150,102.00	4.79
	WELLS FARGO BANK NA	8/7/2026	1,659,867.20	1,687,041.40	4.76
	WELLS FARGO BANK NA	8/1/2025	3,512,469.20	3,550,571.80	4.85
	WISCONSIN PUBLIC SERVICE CORP	11/10/2025	684,849.30	690,308.75	4.89
		SUB-TOTAL	467,941,168	463,409,517	
<u>MORTGAGE AND ASSET-BACK SECURITIES</u>					
	ALLYA 2022-1 A3	11/16/2026	2,544,894	2,508,275	5.18
	ALLYA 2022-2 A3	5/17/2027	2,374,971	2,364,906	5.15
	ALLYA 2023-1 A3	5/15/2028	1,619,724	1,638,598	4.99
	AMCAR 2021-3 A3	8/18/2026	549,432	536,729	6.17
	AMCAR 2023-2 A3	5/18/2028	4,599,241	4,654,602	5.28
	AMXCA 2022-2 A	5/17/2027	11,233,105	11,029,620	4.98
	AMXCA 2023-1 A	5/15/2028	1,339,881	1,349,822	4.59
	BAAT 231 A3	2/15/2028	1,079,959	1,092,539	5.03
	BAAT 232 A3	6/15/2028	1,299,976	1,324,804	5.63
	BACCT 2023-1 A	5/15/2028	914,793	918,184	4.68
	BACCT 2023-2 A	11/15/2028	1,334,821	1,350,539	4.62
	BMWLT 2022-1 A3	3/25/2025	413,343	411,061	5.69
	BMWLT 2023-1 A3	11/25/2025	1,399,967	1,398,236	5.42
	BMWOT 2022-A A3	8/25/2026	2,977,520	2,935,630	5.05
	BMWOT 2023-A A3	2/25/2028	779,862	788,112	5.01
	CARMX 2020-3 B	3/16/2026	858,341	827,586	4.11

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	CARMX 2020-4 A3	8/15/2025	81,730	80,890	5.27
	CARMX 2021-1 A3	12/15/2025	175,915	172,718	5.51
	CARMX 2021-2 A3	2/17/2026	526,214	514,654	5.48
	CARMX 2021-3 A3	6/15/2026	1,469,811	1,424,261	5.34
	CARMX 2022-2 A3	2/16/2027	1,894,611	1,866,817	5.22
	CARMX 2022-3 A3	4/15/2027	2,529,940	2,496,326	5.12
	CARMX 2022-4 A3	8/16/2027	7,453,252	7,476,694	5.20
	CARMX 2023-3 A3	5/15/2028	3,199,963	3,234,144	4.85
	CARMX 2023-4 A3	7/17/2028	599,882	616,740	4.91
	CARMX 2032-2 A3	1/18/2028	6,029,359	6,038,080	5.03
	CCCIT 2023-A1 A1	12/8/2027	584,927	589,364	4.82
	CHAIT 2023-1 A	9/15/2028	11,146,566	11,337,723	4.60
	CITZN 2023-1 A3	1/18/2028	2,299,620	2,332,453	5.20
	COMET 2021-3 A	11/16/2026	2,774,618	2,676,710	5.23
	COMET 2022-1 A	3/15/2027	7,399,825	7,266,990	5.00
	COMET 2022-2 A	5/17/2027	5,254,160	5,156,469	4.95
	COMET 2023-1 A	5/15/2028	3,470,195	3,485,860	4.64
	COPAR 2021-1 A3	9/15/2026	902,385	873,363	5.06
	COPAR 2022-1 A3	4/15/2027	1,469,679	1,437,542	5.12
	COPAR 2022-2 A3	5/17/2027	1,459,895	1,432,640	5.05
	CRVNA 23P2 A3	4/10/2028	2,181,939	2,205,016	5.53
	DCENT 2021-1 A	9/15/2026	1,334,714	1,291,506	1.82
	DCENT 2022-2 A	5/17/2027	2,674,783	2,618,130	4.97
	DCENT 2022-3 A	7/15/2027	3,029,624	2,970,279	4.94
	DRIVE 2021-3 B	5/15/2026	62,625	62,494	5.55
	FCAT 231 A3	8/16/2027	1,599,884	1,590,832	5.49
	FCAT 233 A3	4/17/2028	799,951	801,824	5.38
	FITAT 2023-1 A3	8/15/2028	2,649,836	2,686,756	4.98
	FORDF 231 B	5/15/2028	568,621	574,155	5.44
	FORDO 2021-A A3	8/15/2025	463,167	456,802	5.12
	FORDO 2022-A A3	6/15/2026	574,271	558,913	5.33
	FORDO 2022-B A3	9/15/2026	844,954	834,361	5.30
	FORDO 2023-B A3	5/15/2028	1,434,981	1,447,413	4.88
	GALC 2021-2 A3	7/15/2025	2,420,596	2,361,400	6.98
	GALC 221 A3	9/15/2026	3,699,362	3,680,353	5.64
	GFORT 231 A1	6/15/2028	3,275,385	3,340,161	4.86
	GMALT 2022-1 A3	3/20/2025	1,651,579	1,641,155	5.63
	GMALT 2023-1 A3	4/20/2026	1,349,777	1,349,892	5.23
	GMCAR 2020-3 A3	4/16/2025	39,519	39,395	4.84
	GMCAR 2020-4 A3	8/18/2025	52,721	52,275	5.52
	GMCAR 2021-1 A3	10/16/2025	76,146	75,141	5.11
	GMCAR 2021-4 A3	9/16/2026	1,509,273	1,458,719	5.26
	GMCAR 2022-1 A3	11/16/2026	1,776,165	1,724,291	5.25
	GMCAR 2022-2 A3	2/16/2027	1,209,747	1,186,502	5.21
	GMCAR 2022-3 A3	4/16/2027	1,549,989	1,524,968	5.09
	GMCAR 2022-4 A3	8/16/2027	1,899,689	1,892,761	5.15
	GMCAR 2023-2 A3	2/16/2028	664,982	660,724	4.86
	GMCAR 2023-4 A3	8/16/2028	939,807	963,838	4.79
	GTE 2023-1 A3	3/15/2028	2,199,815	2,185,040	6.06
	HALST 2022-A A3	1/15/2025	801,375	796,192	5.72
	HALST 21C A3	9/16/2024	99,099	98,874	5.43
	HAROT 2021-3 A3	11/18/2025	2,782,241	2,712,252	5.42
	HAROT 2021-4 A3	1/21/2026	1,967,345	1,909,416	5.57
	HAROT 2022-1 A3	5/15/2026	1,058,696	1,030,605	5.56
	HAROT 2022-2 A3	7/20/2026	1,614,904	1,590,113	5.27
	HAROT 2023-4 A3	6/21/2028	599,894	612,540	4.84
	HART 2021-A A3	9/15/2025	760,522	749,839	5.30
	HART 2021-B A3	1/15/2026	1,670,768	1,634,773	5.73
	HART 2021-C A3	5/15/2026	659,294	641,537	5.44
	HART 2022-A A3	10/15/2026	2,621,849	2,562,301	5.26
	HART 2022-B A3	11/16/2026	1,549,999	1,527,959	5.16
	HART 2022-C A3	6/15/2027	6,804,967	6,833,581	5.15
	HDMOT 2022-A A3	2/16/2027	2,181,371	2,142,354	5.55
	HDMOT 2023-A A3	12/15/2027	1,639,835	1,637,507	5.20
	JDOT 2021 A3	9/15/2025	727,785	714,974	4.97
	JDOT 2022 A3	9/15/2026	1,685,485	1,648,196	5.30
	JDOT 2022-C A3	6/15/2027	3,899,697	3,899,688	5.15
	KCOT 2021-1 A3	8/15/2025	447,132	438,149	6.01
	KCOT 2023-1 A3	6/15/2027	6,743,944	6,775,757	4.84
	KCOT 212 A3	11/17/2025	990,181	963,027	5.94
	KCOT 221 A2	4/15/2025	154,362	153,620	2.35
	KCOT 221 A3	10/15/2026	2,499,643	2,429,000	6.22
	KCOT 222 A3	12/15/2026	2,374,565	2,339,945	5.61
	KCOT 232 A3	1/18/2028	3,029,235	3,063,966	4.79
	MBALT 2021-B A3	11/15/2024	179,375	179,049	4.43
	MBART 2022-1 A3	8/16/2027	3,894,230	3,900,375	5.17
	MBART 2023-1 A3	11/15/2027	729,912	725,335	4.95
	MCCT 211 A	11/21/2025	4,741,016	4,901,750	5.64
	MMAF 22B A2	9/9/2025	2,343,961	2,341,239	5.99
	NAROT 2022-B A3	5/17/2027	1,504,689	1,493,848	5.01
	NAROT 2023-A A3	11/15/2027	3,299,417	3,301,056	4.94
	NAROT 2023-B A3	3/15/2028	2,799,432	2,867,900	4.86
	NAVMT 231 A	8/25/2028	2,784,604	2,811,875	5.63
	ODART 2021-1 B	7/14/2028	798,188	821,106	5.20
	SBALT 23A A3	4/20/2027	3,309,545	3,373,718	5.38
	SDART 2022-6 A3	11/16/2026	1,500,699	1,494,001	5.76

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	SDART 2023-3 A3	10/15/2027	1,399,842	1,405,894	5.36
	SYNIT 2022-1 A	4/17/2028	580,311	581,892	5.19
	TAOT 2021-A A3	5/15/2025	634,985	628,073	5.44
	TAOT 2021-D A3	4/15/2026	894,858	868,308	5.54
	TAOT 2022-B A3	9/15/2026	1,399,967	1,372,084	5.34
	TAOT 2022-C A3	4/15/2027	3,025,132	3,038,273	5.11
	TAOT 2022-D A3	9/15/2027	4,799,526	4,824,528	5.03
	TAOT 2023-A A3	9/15/2027	775,000	770,327	5.05
	TAOT 2023-B A3	2/15/2028	1,894,894	1,892,101	4.83
	TAOT 2023-D A3	8/15/2028	1,959,789	1,998,240	4.82
	TLOT 2023-A A3	4/20/2026	2,599,547	2,595,242	5.15
	VALET 2021-1 A3	6/22/2026	916,490	892,165	5.51
	VWALT 2022-A A3	7/21/2025	739,941	734,280	5.90
	VZMT 2022-5 A1A	7/20/2027	1,824,920	1,823,212	5.47
	WLAKE 2023-1 A3	1/18/2028	1,599,921	1,595,584	5.51
	WLAKE 223 A3	7/15/2026	4,799,655	4,788,672	5.94
	WLAKE 232 A3	2/16/2027	3,799,858	3,811,818	5.60
	WOART 2020-B A3	5/15/2025	23,581	23,532	5.24
	WOART 2021-D A3	10/15/2026	1,047,685	1,016,917	5.25
	SUB-TOTAL		250,541,432	249,653,332	
	<u>Municipal Debt</u>				
	ALABAMA FED AID HWY FIN AUTH SPL OBLIG REV	9/1/2027	1,349,172	1,362,070	4.37
	CALIFORNIA ST	4/1/2024	3,239,373	3,066,397	5.35
	CALIFORNIA ST PUB WKS BRD LEASE REV	11/1/2026	1,600,000	1,631,648	4.78
	CONNECTICUT ST	6/15/2024	1,668,696	1,623,692	5.10
	CORONA	5/1/2024	1,510,000	1,487,154	5.25
	EL CAJON CALIF	4/1/2024	540,000	534,028	5.30
	FLORIDA ST BRD ADMIN FIN CORP REV	7/1/2025	1,025,000	972,551	4.82
	GOLDEN ST TOB SECURITIZATION CORP CALIF TOB SETTLE	6/1/2025	2,120,000	2,013,915	5.09
	HAWAII ST ARPTS SYS CUSTOMER FAC CHARGE REV	7/1/2024	715,000	702,437	5.58
	LOS ALTOS CALIF SCH DIST	10/1/2024	1,826,514	1,748,124	4.93
	LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2025	1,600,000	1,495,104	4.71
	MASSACHUSETTS (COMMONWEALTH OF)	11/1/2026	431,068	442,490	4.30
	MASSACHUSETTS (COMMONWEALTH OF)	1/15/2025	2,345,000	2,318,267	4.79
	MASSACHUSETTS (COMMONWEALTH OF)	7/15/2024	4,240,000	4,205,359	5.18
	NEW JERSEY ST TPK AUTH TPK REV	1/1/2025	850,000	815,252	5.12
	NEW YORK ST	2/15/2024	3,000,000	2,987,940	5.14
	NEW YORK STATE DORMITORY AUTHORITY	3/15/2025	2,690,000	2,569,058	4.75
	REDONDO BEACH CALIF CMNTY FING AUTH LEASE REV	5/1/2026	1,495,000	1,382,157	4.77
	RIVERSIDE CNTY CALIF INFRASTRUCTURE FING AUTH LEAS	11/1/2024	1,810,000	1,749,437	4.99
	SAN DIEGO CNTY CALIF WTR AUTH WTR REV	5/1/2024	667,541	694,968	4.86
	SAN DIEGO CNTY CALIF WTR AUTH WTR REV	5/1/2024	1,400,000	1,377,936	5.32
	WISCONSIN ST GEN FD ANNUAL APPROPRIATION REV	5/1/2027	3,118,213	3,095,990	4.32
	WISCONSIN ST GEN FD ANNUAL APPROPRIATION REV	5/1/2026	1,240,000	1,237,160	4.47
	SUB-TOTAL		40,480,577	39,513,135	
	<u>Supranationals</u>				
	INTER-AMERICAN DEVELOPMENT BANK	9/23/2024	6,764,990	6,552,480	5.02
	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPM	3/19/2024	5,349,700	4,969,250	5.26
	INTERNATIONAL FINANCE CORP	1/15/2027	4,938,847	4,993,401	4.10
	SUB-TOTAL		17,053,537	16,515,131	
	SHORT-TERM PORTFOLIO - TOTAL		\$ 1,995,973,685	\$ 1,987,234,867	

BOND PROCEEDS PORTFOLIO

<u>NOTE</u>	<u>DESCRIPTION</u>	<u>MATURITY DATE</u>	<u>BOOK VALUE</u>	<u>MARKET VALUE</u>	<u>YIELD</u>
	<u>2021 Bond Anticipation Notes (BANs) - US Bank</u>				
	FIRST AMERICAN GOVERNMENT OBLIGATIONS FUND	N/A	53,844	53,844	4.99
	<u>91 EXPRESS LANES 2023 BONDS (US Bank COI)</u>				
	FIRST AMERICAN GOVERNMENT OBLIGATIONS FUND	N/A	2,541	2,541	4.99
	BOND PROCEEDS PORTFOLIO-TOTAL		\$ 56,385	\$ 56,385	

DEBT SERVICE RESERVE FUNDS

<u>NOTE</u>	<u>DESCRIPTION</u>	<u>MATURITY DATE</u>	<u>BOOK VALUE</u>	<u>MARKET VALUE</u>	<u>YIELD</u>
	<u>91 EXPRESS LANES 2023 BONDS (US Bank DSF/DSRF)</u>				
	FIRST AMERICAN GOVERNMENT OBLIGATIONS FUND	N/A	5,318,919	5,318,919	4.99
	<u>91 EXPRESS LANES 2023 BONDS - OPERATING & MAINTENANCE RESERVES</u>				
	BANK DEPOSITS	N/A	80,367	80,367	0.00
	BMO HARRIS BANK NCD	7/5/2024	5,000,000	5,009,100	5.84
	BMO HARRIS BANK NCD	1/11/2024	3,300,000	3,300,000	5.75
	DEBT SERVICE RESERVE FUNDS - TOTAL		\$ 13,699,286	\$ 13,708,386	

			<u>Book Value</u>	<u>Market Value</u>
TOTAL PORTFOLIO			\$ 2,518,288,945	\$ 2,509,559,227

NOTE: 1. Variable or floating rate securities.



COMMITTEE TRANSMITTAL

February 12, 2024

To: Members of the Board of Directors

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

Subject: Proposed Revisions to Orange County Transportation Authority's Procurement Policies and Procedures

Executive Committee Meeting of February 5, 2024

Present: Directors Chaffee, Do, Jung, Nguyen, and Wagner
Absent: Director Hennessey

Committee Vote

This item was declared passed by the Members present.


Committee Recommendation

Adopt the proposed revisions to the Orange County Transportation Authority's Procurement Policies and Procedures and authorize staff to implement the recommended changes related to piggybacking.



February 5, 2024

To: Executive Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: Proposed Revisions to Orange County Transportation Authority's Procurement Policies and Procedures

Overview

The Orange County Transportation Authority Board of Directors has adopted policies and procedures that guide all procurement activities. The Board of Directors periodically reviews these policies and procedures and may make changes as necessary in an effort to conform to changing business needs while continuing to ensure procurements are conducted in a fair, transparent, and equitable manner for all vendors and provide for the best value and use of taxpayer dollars.

Recommendation

Adopt the proposed revisions to the Orange County Transportation Authority's Procurement Policies and Procedures and authorize staff to implement the recommended changes related to piggybacking.

Discussion

Periodically, the Board of Directors (Board) reviews and adopts changes to the Procurement Policies and Procedures. In March 2023, staff conducted a Board workshop to provide information on the current procurement process. During the workshop, various aspects of the procurement process and procedures related to the Disadvantaged Business Enterprise (DBE) requirements were discussed. In August 2023, staff presented an overview of the federally mandated DBE program, outreach efforts, and available tools/resources for the business community.

In November 2023, staff proposed a recommendation to increase thresholds for procurements requiring Board approval and small-dollar non-Board procurement thresholds. The Board approved the recommendation as presented.

Simultaneously, staff informed the Board of ongoing efforts to streamline various procurement processes, aiming for enhanced project delivery efficiencies. Staff committed to evaluating and researching practices of peer agencies before returning to the Board to present additional recommended changes. Those recommended changes encompassed the adoption of a piggyback policy, the post-award protest policy, option term approvals, maximum contract terms, defining blackout periods, small or local business preferences and the threshold for staff presentations at Board committees. Staff has completed the research of peer agencies' practices on piggybacking and will continue to research the remaining policy items before bringing them to the Board for future consideration after further evaluation.

As part of the research and industry review, staff engaged with the business community, including the American Council of Engineering Companies, the Society for Marketing Professional Services in Orange County, Construction Management Association of America, and the Orange County Public Affairs Association to discuss potential changes and to provide their perspectives on the proposals.

In addition to conducting an industry review with the business organizations, staff also reached out to several peer agencies to determine whether they integrate a piggyback process within their respective procurement procedures. The results indicate that ten out of the 11 peer agencies have specific policies and procedures in place for piggybacking/cooperative procurement.

Based on the findings from the research, staff is recommending Board approval to enhance efficiency through the implementation of a piggyback policy and procedures.

Currently, the Board-approved procurement policies and procedures do not have a provision for piggybacking. Piggybacking is a recognized procurement tool utilized to optimize costs and streamline processes by leveraging existing contracts from other public entities to acquire the same goods or services at the same or a lower price. The Federal Transit Administration (FTA) encourages grantees to enter into state and local agreements for the procurement of common goods and services to foster greater economy and efficiency. There is specific FTA guidance regarding the circumstances when piggybacking is permissible.

For example, the solicitation and contract resulting from a competitive procurement by another public entity must include an assignability clause that allows for the assignment of all or part of the specified deliverable items. In addition, the quantities to be ordered were included in the original bid and evaluated as part of the contract award decision. Furthermore, the contract being

accessed by the piggybacking procedure must contain the clauses mandated by federal regulations.

Staff seeks Board approval for piggybacking on a regular basis, especially for vehicle and software purchases. Due to the common need and ongoing requirements for software procurement across public agencies, as well as routine industry specific software/support, it is strategically advantageous for OCTA to leverage the resources and experiences of other agencies. This approach is expected to yield significant benefits in terms of cost effectiveness, time savings, and access to proven software solutions, contributing positively to OCTA's overall operational efficiency. Because piggybacking is not part of the Board-approved policy, staff must bring the item before the Board for approval as an exception to the current policy regardless of dollar amount. By approving this, it would allow staff to use this process for smaller, routine items that fall under the Board threshold. With the new piggybacking policy in place, staff will ensure that procurements processed through this method are submitted to the Board for review and approval, following the Board's established approval thresholds.

This recommendation has garnered unanimous support from all four industry groups, emphasizing its potential to enhance efficiency and fiscal responsibility within procurement processes. The adoption of a piggyback policy is among several earlier recommendations outlined in this staff report. Staff will continue to examine the remaining policy recommendations and, after conducting a more comprehensive evaluation, will bring these additional proposed revisions to the Board for future consideration.

Summary

Based on the information provided, staff recommends the Board of Directors' approval for the incorporation of a piggyback policy and associated procedures into the Orange County Transportation Authority's Procurement Policies and Procedures. This addition is anticipated to introduce greater flexibility and efficiency into routine procurement processes while upholding the agency's commitment to fiscal responsibility.

Attachment

A. Recommended Piggyback Policy

Prepared by:

A handwritten signature in blue ink, appearing to read "P. Veasapen".

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

Approved by:

A handwritten signature in blue ink, appearing to read "A. Oftelie".

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

RECOMMENDED PIGGYBACK POLICY

Acquisition through Assigned Contract Rights/Piggybacking

The Orange County Transportation Authority (OCTA) may acquire contract options through assignment by another public agency, also known as “piggybacking,” under any of the following circumstances:

1. When the goods and supplies, equipment, materials, information technology, rolling stock, or nonprofessional services are available from a vendor who has been selected through a procurement with the federal government or other California public agency using competitive bidding procedures substantially the same as or similar to those normally utilized by OCTA for the acquisition of such goods and supplies, equipment, materials, information technology, rolling stock, or services, and when the price offered to OCTA is substantially equivalent to that offered to the other public agency.
2. When the goods and supplies, equipment, materials, information technology, rolling stock, or nonprofessional services are available from suppliers who have been awarded contracts by the state of California (State) or the federal government for the purchase of goods and supplies, information technology, and services where State procurement is made in the form of master agreements, price schedules, or multiple award schedules that allow the State to take advantage of leveraged pricing that can be obtained through the State’s buying power and where the State has determined that such vendor pricing is deemed to be reasonable, fair, and competitive. Pursuant to such State multiple award programs, OCTA may make these purchases directly from the vendors without competitive bidding, or the State may provide assistance to OCTA in making such purchases in accordance with the Cooperative Procurement Policy.
3. If the contract will be funded, in whole or in part, with federal funds, OCTA shall comply with all requirements set forth under federal law and by the federal awarding agency. For contracts funded by the Federal Transit Administration, OCTA must determine (1) that the original contract price remains fair and reasonable; (2) that the original contract provisions comply with all applicable Federal requirements; and (3) that the assigning recipient originally procured quantities necessary for their needs (i.e., they did not procure unreasonably large quantities).



COMMITTEE TRANSMITTAL

February 12, 2024

To: Members of the Board of Directors

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

Subject: Orange County Transportation Authority State and Federal Grant Programs - Update and Recommendations

Regional Transportation Planning Committee Meeting of February 5, 2024

Present: Directors Do, Dumitru, Federico, Harper, and Stephens
Absent: Directors Foley and Khan

Committee Vote

This item was passed by the Members present.


Committee Recommendations

- A. Approve one change request from the City of San Clemente for a Bicycle Corridor Improvement Program project, contingent on final approval by the Southern California Association of Governments.
- B. Approve one technical correction request from Access California Services for an Enhanced Mobility for Seniors and Disabled Grant Program project.
- C. Authorize staff to request that the Southern California Association of Governments make all necessary amendments to the Federal Transportation Improvement Program and execute any required agreements or amendments to facilitate the recommendations above.



February 5, 2024

To: Regional Transportation Planning Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: Orange County Transportation Authority State and Federal Grant Programs – Update and Recommendations

Overview

The Orange County Transportation Authority provides grants to local and non-profit agencies through various local, state, and federal transportation funding programs. Status reports on these programs, as well as recommended project changes, are presented for review and approval.

Recommendations

- A. Approve one change request from the City of San Clemente for a Bicycle Corridor Improvement Program project, contingent on final approval by the Southern California Association of Governments.
- B. Approve one technical correction request from Access California Services for an Enhanced Mobility for Seniors and Disabled Grant Program project.
- C. Authorize staff to request that the Southern California Association of Governments make all necessary amendments to the Federal Transportation Improvement Program and execute any required agreements or amendments to facilitate the recommendations above.

Background

The Orange County Transportation Authority (OCTA) issues periodic local, state, and federally funded calls for projects (call). Prior calls include the Enhanced Mobility for Seniors and Disabled (EMSD) Program, Pavement Management Relief Funding (PMRF) Program, Bicycle Corridor Improvement Program (BCIP), and Arterial Pavement Management (APM) Program. Each program has a primary focus or goal, as noted in the table below.

OCTA may also nominate individual local jurisdiction-led projects for funding programs, such as the Solutions for Congested Corridors Program (SCCP), in partnership with the local jurisdiction.

OCTA Program	Primary Program Goal	Program Fund Source
EMSD	Support services provided to seniors and individuals with disabilities	Local funds
PMRF	Support local jurisdictions for pavement management needs	Federal Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA) Highway Infrastructure Program funds
BCIP	Support the development of Orange County's bicycle network	Federal Congestion Mitigation and Air Quality Improvement Program funds or Mobile Source Air Pollution Reduction Review Committee funds
APM	Support local jurisdictions for pavement management needs	Federal Surface Transportation Block Grant funds

To ensure local, state, and federal requirements are being met, OCTA regularly performs reviews and requests updates on the status of active projects from the implementing jurisdictions and agencies.

Discussion

Since 2012, the OCTA Board of Directors (Board) has approved the programming of approximately \$88 million in state and federal funds to Orange County local jurisdictions and non-profit agencies through the EMSD, PMRF, BCIP, APM calls, and other local jurisdiction-led state-funded projects for a total of 157 phases of work currently programmed for 130 projects.

A summary of all the awarded project phases is provided in the table below, and additional details on the status of active projects are provided in Attachment A.

Phase of Work/ Status	CAP	OPS	ENV/ENG	ROW	CON	Total
Planned	0	0	1	2	30	33
Started	5	7	6	1	16	35
Completed	-	-	18	1	70	89
Total	5	7	25	4	116	157
<i>Cancelled</i>	1	1	2	1	18	23

CAP – Capital

CON – Construction

ENV/ENG – Environmental/engineering

OPS – Operations

ROW – Right-of-way

Notes:

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.

PMRF Program Update

The PMRF Program was funded using federal CRRSAA Highway Infrastructure Program funds. On October 11, 2021, the OCTA Board awarded \$10.931 million to 35 agencies in Orange County through the PMRF Program. Funding was distributed on a formula based on population with a minimum of \$200,000 per local agency. Following the original award, several projects were cancelled by the local agencies, leaving 31 projects totaling \$9.921 million to be delivered.

On June 3, 2023, President Biden signed into law H.R. 3746 “The Fiscal Responsibility Act of 2023” which, in addition to enacting the debt ceiling compromise, rescinded all unobligated CRRSAA funds immediately upon enactment. Despite multiple prior pleas to the local agencies to request approval of funding from the California Department of Transportation (Caltrans) as soon as possible, only nine PMRF projects (totaling \$3.811 million) received approval for the CRRSAA funds by the time the details of the budget ceiling compromise came to light. The remaining 22 projects awarded \$6.11 million in CRRSAA funds could not advance as the funding has expired.

However, in December 2023, Caltrans notified local agencies that state funding was available for these projects, and they can now proceed. This action preserves over 93 percent of the original funding by using state funds. The City of Newport Beach and the City of San Clemente (San Clemente) declined to use the state funds and indicated they are advancing their projects using local funds. The list of all PMRF projects and their status following the federal rescission and the recent commitment of state funds is included in Attachment A.

Project Amendments

For this review period, Board approval is requested for a delay request by San Clemente. San Clemente has requested a delay for the South El Camino Real Lane Reconfiguration and Buffered Bike Lane Project because the project requires additional coordination with adjacent jurisdictions for permits, ROW certification, and additional design coordination. The Southern California Association of Governments (SCAG) will have the final approval, consistent with SCAG’s project selection process for Congestion Mitigation and Air Quality-funded projects.

Details are provided in Attachment B.

In addition, Board approval is requested for a technical correction for the Access California Services (AccessCal) EMSD-funded operating assistance project. AccessCal is requesting a match rate correction from 30 percent to 25 percent, consistent with the match required by the Board-approved EMSD guidelines. This request is due to AccessCal's misunderstanding of the required match rate for operating assistance projects. The correction would reduce the match from \$108,406 to \$83,333. OCTA's grant amount would remain the same at \$250,000. There is no change to the project scope. The correction will allow AccessCal to maximize the use of the grant reimbursement rate and provide the same transportation services to their clients as scoped in the application. AccessCal will be responsible for any cost increases to the project. Also, AccessCal's project would have been recommended for this grant funding if the original application had included the correct match rate of 25 percent when originally submitted. Additional detail is provided in Attachment B.

The Capital Funding Program Report, provided in Attachment C, summarizes the approved funding for streets and roads projects, including OCTA-issued state and federally funded calls.

Summary

Status reports from the PMRF, BCIP, EMSD, APM programs, and local agency led state program projects are provided for review. Staff is requesting Board approval for one delay request from San Clemente and a match adjustment for one EMSD project. Authorization to submit the changes through a Federal Transportation Improvement Program amendment and the SCAG process for final approval as applicable is also requested.

Attachments

- A. State and Federal Grant Programs Project Status
- B. State and Federal Grants Program, Bicycle Corridor Improvement Program Requests
- C. Capital Funding Program Report

Prepared by:



Denise Sifford
Senior Transportation Funding Analyst
(714) 560-5489

Approved by:



Kia Mortazavi
Executive Director, Planning
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State and Federal Grant Programs Project Status

2014 BCIP						
Agency	Project Title	Phase	Award	Matching Funds	Total Project Cost	Status
Huntington Beach	Utica Avenue Bicycle Boulevard	C	\$ 682,260	\$ 170,570	\$ 852,830	Completed
2014 BCIP Phases Completed		5	\$ 1,100,736	\$ 4,111,454	\$ 5,212,190	
2014 BCIP Phases In Progress		0	\$ -	\$ -	\$ -	
2014 BCIP Total Program ¹		5	\$ 1,100,736	\$ 4,111,454	\$ 5,212,190	

2016 BCIP						
Agency	Project Title	Phase	Award	Matching Funds	Total Project Cost	Status
Anaheim	Nohl Ranch Open Space Trail	E,R	\$ 650,400	\$ 162,600	\$ 813,000	Completed - E Started - R
County of Orange	Peters Canyon Bikeway Extension	E	\$ 883,520	\$ 120,480	\$ 1,004,000	Cancelled
Garden Grove	City of Garden Grove, Bicycle Corridor Improvements	E,C	\$ 1,094,357	\$ 149,230	\$ 1,243,587	Completed - E Completed - C
Newport Beach	Newport Beach Bicycle and Pedestrian Bridge Project	C	\$ 2,349,600	\$ 587,400	\$ 2,937,000	Started
Santa Ana	Bristol Street Protected Bicycle Lanes	E,C	\$ 2,271,006	\$ 309,681	\$ 2,580,687	Completed - E Completed - C
Santa Ana	Citywide Bike Racks	E,C	\$ 1,100,000	\$ 150,000	\$ 1,250,000	Completed - E Started - C
2016 BCIP Phases Completed		17	\$ 13,023,955	\$ 1,799,999	\$ 14,823,954	
2016 BCIP Phases In Progress		3	\$ 3,726,000	\$ 825,000	\$ 4,551,000	
2016 BCIP Total Program ¹		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	E, R , C	\$ 6,048,000	\$ 8,480,000	\$ 14,528,000	Planned - E Planned - R Planned - C
Costa Mesa	Adams Avenue and Pinecreek Drive Intersection Project	E, C	\$ 620,336	\$ 316,659	\$ 936,995	Completed - E Started - C
County of Orange	Santa Ana Gardens Channel Bikeway Extension Project	C	\$ 1,308,572	\$ 823,992	\$ 2,132,564	Started
County of Orange	OC Loop Carbon Canyon (Segment D) Bikeway Gap Closure Project	C	\$ 4,000,000	\$ 1,685,383	\$ 5,685,383	Started

Notes:

1. Total does not include cancelled projects.

State and Federal Grant Programs Project Status

2019 BCIP (Continued)						
Agency	Project Title	Phase	Award	Matching Funds	Total Project Cost	Status
Irvine	Jeffrey Open Space Trail and Interstate 5 Bicycle and Pedestrian Bridge Project	C	\$ 4,000,000	\$ 8,426,028	\$ 12,426,028	Started
La Habra	La Habra Union Pacific Rail Line Bikeway	R	\$ 1,948,800	\$ 487,200	\$ 2,436,000	Planned
Mission Viejo	District 5 Regional Bikeways - Mission Viejo N/S Corridor and Jeronimo/ Chrisanta Trail	E	\$ 220,000	\$ 30,000	\$ 250,000	Started
Orange	Santiago Creek Multipurpose Extension Project	E	\$ 345,794	\$ 97,532	\$ 443,326	Started
Placentia	Atwood Multipurpose Trail	E	\$ 280,000	\$ 70,000	\$ 350,000	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 Bicycle Lanes - Phase II Warner to Saint Andrew Place	C	\$ 1,508,045	\$ 347,393	\$ 1,855,438	Planned
Santa Ana	Bristol Street Protected Bicycle Lanes - Phase III Saint Andrew Place to Edinger Avenue	E, C	\$ 743,274	\$ 598,356	\$ 1,341,630	Started - E Planned - C
Santa Ana	Bristol Street Protected Bicycle Lanes - Phase IV Civic Center Drive to Washington Avenue	C	\$ 793,760	\$ 229,490	\$ 1,023,250	Planned
Santa Ana	Bristol Street Protected Bicycle Lanes - Phase V 1st Street to Civic Center Drive	E, C	\$ 1,320,320	\$ 598,273	\$ 1,918,593	Started - E Planned - C
Santa Ana	Warner Avenue Protected Bicycle Lanes	E, C	\$ 1,116,126	\$ 326,079	\$ 1,442,205	Started - E Planned - C
2019 BCIP Phases Completed		1	\$ 105,600	\$ 14,400	\$ 120,000	
2019 BCIP Phases In Progress		20	\$ 25,222,542	\$ 22,902,635	\$ 48,125,177	
2019 BCIP Total Program ¹		21	\$ 25,328,142	\$ 22,917,035	\$ 48,245,177	

Other State Programs - Local Agency Led Projects						
Agency	Project Title	Phase	Award	Matching Funds	Total Project Cost	Status
Fullerton	Transit and Intercity Rail Capital Program (TIRCP) - Direct Current Fast Charging (DCFC) at Fullerton Transportation Center	C	\$ 625,000	\$ -	\$ 625,000	Planned
Santa Ana	TIRCP - Bike Lockers at Santa Ana Regional Transportation Center (SARTC)	C	\$ 2,000,000	\$ -	\$ 2,000,000	Planned
Santa Ana	TIRCP - DCFC at SARTC	C	\$ 625,000	\$ -	\$ 625,000	Planned
Santa Ana	Solutions for Congested Corridors Program (SCCP) - Santa Clara Bicycle and Pedestrian Improvements	C	\$ 3,243,000	\$ -	\$ 3,243,000	Started
Santa Ana	SCCP - Route 53/553 (Bravo! Main Street) - Bus Stop Improvements - Shelters	C	\$ 114,000	\$ -	\$ 114,000	Started
Phases Completed		0	\$ -	\$ -	\$ -	
Phases In Progress		5	\$ 6,607,000	\$ -	\$ 6,607,000	
Total		5	\$ 6,607,000	\$ -	\$ 6,607,000	

State and Federal Grant Programs Project Status

2021 PMRF						
Agency	Project Title	Phase	Award	Matching Funds	Total Project Cost	Status
Aliso Viejo	Aliso Creek Road Rehabilitation from Enterprise to SR-73 Project	C	\$ 200,000	\$ -	\$ 600,000	Planned
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	Planned
Costa Mesa	Fairview Road Improvement Project (from Adams Avenue to Wilson Street)	C	\$ 331,116	\$ -	\$ 1,600,000	Planned
Cypress	Street Rehabilitation Project - Overlay	C	\$ 200,000	\$ -	\$ 440,000	Planned
Dana Point	Replacement - Stonehill Drive Slurry Seal Project	C	\$ 200,000	\$ -	\$ 550,000	Planned
Dana Point	Violet Lantern Street Improvement Project	C	\$ -	\$ -	\$ -	Cancelled ²
Fullerton	Associated Road - Yorba Linda Boulevard to Bastanchury Road	C	\$ 409,362	\$ -	\$ 565,000	Started
Garden Grove	Garden Grove Boulevard Rehabilitation from Harbor Boulevard to Fairview Street	C	\$ 506,380	\$ -	\$ 880,000	Started
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	Planned
La Habra	Macy Street Rehabilitation Project - PMRF	C	\$ 200,000	\$ -	\$ 300,000	Planned
La Palma	La Palma Avenue Pavement Preservation and Improvements Project	C	\$ 200,000	\$ -	\$ 400,000	Planned
Laguna Beach	Zone 3 Collector Road Improvements	C	\$ 200,000	\$ -	\$ 780,000	Planned
Laguna Hills	Arterial Pavement Rehabilitation Project	C	\$ 200,000	\$ -	\$ 575,000	Planned
Laguna Niguel	Replacement - Pavement Rehabilitation Project	C	\$ 200,000	\$ -	\$ 1,400,000	Planned
Laguna Niguel	Marina Hills Drive (Niguel Road to Golden Lantern) Resurfacing Project	C	\$ -	\$ -	\$ -	Cancelled ²
Laguna Woods	Replacement - Pavement Management Project (Westbound El Toro)	C	\$ 200,000	\$ -	\$ 264,000	Planned
Laguna Woods	PMP Project (S/B Moulton Parkway between Calle Cortez and City Limits)	C	\$ -	\$ -	\$ -	Cancelled ²
Lake Forest	Arterial Slurry Seal - Jeronimo and Muirlands	C	\$ 248,199	\$ -	\$ 1,600,000	Planned
Los Alamitos	PMP Project (S/B Moulton Parkway 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

Notes:

2. Cancelled project has been replaced by a substitute pavement rehabilitation project by the lead agency. No change in PMRF award.

State and Federal Grant Programs Project Status

2021 PMRF (Continued)						
Agency	Project Title	Phase	Award	Matching Funds	Total Project Cost	Status
Newport Beach	Von Karman Avenue Pavement Rehabilitation	C	\$ -	\$ -	\$ -	Cancelled
Orange	Santiago Canyon Road Street Rehabilitation from Newport Boulevard to Jamboree Road	C	\$ 403,299	\$ -	\$ 980,000	Started
Placentia	FY 2022-23 Roadway Rehabilitation Project	C	\$ 200,000	\$ -	\$ 3,500,000	Cancelled
Rancho Santa Margarita	FY 22-23 Antonio Parkway Pavement Rehabilitation	C	\$ 200,000	\$ -	\$ 1,025,000	Started
San Clemente	Street Pavement Maintenance for Avenida Vaquero from Via Cascadita to Camino De Los Mares	C	\$ -	\$ -	\$ -	Cancelled
San Juan Capistrano	Camino Capistrano Pavement Rehabilitation Project	C	\$ 200,000	\$ -	\$ 600,000	Planned
Santa Ana	Grand Avenue Roadway Rehabilitation from 1st Street to McFadden Avenue	C	\$ 972,882	\$ -	\$ 1,072,882	Planned
Seal Beach	Seal Beach Boulevard at North Gate Road Improvement Project	C	\$ 200,000	\$ -	\$ 275,000	Planned
Stanton	Replacement - Citywide Concrete Repair	C	\$ 200,000	\$ -	\$ 200,000	Planned
Stanton	Cerritos Avenue	C	\$ -	\$ -	\$ -	Cancelled ²
Villa Park	Cerro Villa Drive Project	C	\$ 200,000	\$ -	\$ 505,000	Planned
Westminster	Magnolia Street Improvements from Edinger Avenue to Heil Avenue	C	\$ 268,539	\$ -	\$ 1,145,430	Planned
Yorba Linda	La Palma Avenue Improvement Project from West City Limit to 1,350' West of Old Village Road	C	\$ 200,000	\$ -	\$ 240,350	Planned
2021 PMRF Phases Completed		0	\$ -	\$ -	\$ -	
2021 PMRF Phases In Progress		28	\$ 9,268,826	\$ -	\$ 28,486,662	
2021 PMRF Total Program¹		28	\$ 9,268,826	\$ -	\$ 28,486,662	
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 ³	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
Services		CAP	\$ 4,467	\$ 496	\$ 4,963	Started

State and Federal Grant Programs Project Status

2021 EMSD (Continued)						
Agency	Project Title	Phase	Award	Matching Funds	Total Project Cost	Status
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			\$ -	\$ -	\$ -	
2021 EMSD Phases In Progress			\$ 2,279,832	\$ 364,170	\$ 2,644,002	
2021 EMSD Total Program ¹			\$ 2,279,832	\$ 364,170	\$ 2,644,002	

Notes:

3. AccessCal's match requirement for their OPS project was reduced from 30 percent to 25 percent resulting in a reduction of \$108,406 to \$83,333 to better align with Board-approved guidelines. Updated cost information consistent with Recommendation B.

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

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

BCIP - Bicycle Corridor Improvement Program
Board - Board of Directors
C - Construction
CAP - Capital
COVID-19 - Coronavirus
E - Engineering
EMSD - Enhanced Mobility for Seniors and Disabled
FY - Fiscal Year
N/S - North/South
OCTA - Orange County Transportation Authority

OPS - Operations
PMP - Pavement Management Plan
PMRF - Pavement Management Relief Funding Program
R - Right-of-Way
S/B - Southbound
SR-73 - State Route 73
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.

State and Federal Grant Programs
Bicycle Corridor Improvement Program Requests

As of February 5, 2024						
Project Amendment Requests						
Agency	Project Title	Fund Source	Phase	Previously Approved Fiscal Year (FY)	Change Type	Supplemental Information
City of San Clemente	South El Camino Real Lane Reconfiguration and Buffered Bike Lane Project	BCIP/CMAQ	CON	FY 2023-24	Time Extension	<p>The City submitted documentation to obtain ROW certification in fall 2023 in preparation of the obligation request. However, upon Caltrans review it was determined that an additional encroachment permit from Caltrans would be required. The City has indicated that obtaining this permit and subsequently resubmitting documentation to obtain ROW certification is expected to take an additional 10 months. In addition, though the City was 95 percent complete with design, they have indicated that the additional time would also allow them to further coordinate with San Diego County who have raised concerns regarding the design in the project area near the county line.</p> <p>The ROW certification and a complete design package are both required as part of the construction obligation request. Therefore, the project cannot proceed with the construction phase prior to receiving a ROW certification and approval of the complete design package.</p> <p>Staff concurs with the City's request for a time extension for the construction phase from FY 2023-24 to FY 2026-27.</p> <p>OCTA staff recommend approval and following Board consideration will request final approval by SCAG.</p>
Access California Services (AccessCal)	Operating assistance to support creation of a new transportation program to meet the needs of all underserved communities with a focus on the Arab-American and Muslim-American communities	EMSD	OPS	FY 2021-22	Match Adjustment	<p>The project was originally approved for a grant award of \$250,000 towards a total project cost of \$358,406, with a 30 percent match. AccessCal has indicated that they inadvertently used a 30 percent match, instead of the 25 percent minimum match required in the Board approved guidelines. AccessCal is requesting to correct the approved match to 25 percent without a change to the awarded grant amount. The correction will result in AccessCal's match requirement reduction from \$108,406 to \$83,333 while maintaining their approved award to ensure project delivery of their transportation program. As a result of the reduction to the overall project budget from \$358,406 to \$333,333, AccessCal will bear the responsibility for covering any additional cost increases. The change in match does not change the expected benefit from the project. The project would have been recommended for funding if the original application had proposed the correct match rate of 25 percent.</p> <p>Staff concurs with AccessCal's request and OCTA staff recommend approval.</p>

Acronyms

BCIP - Bicycle Corridor Improvement Program	N/A - Not Applicable
Board - Board of Directors	OCTA - Orange County Transportation Authority
Caltrans - California Department of Transportation	OPS - Operations
CON - Construction	ROW - Right-of-Way
CMAQ - Congestion Mitigation and Air Quality Improvement Program	SCAG - Southern California Association of Governments
EMSD - Enhanced Mobility for Seniors and Disabled Grant Program	



Capital Funding Program Report

Pending Approval by OCTA Board of Directors (Board) - February 12, 2024

Local Road Project											
Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
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	\$329,811						\$24,254		\$305,557	
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	\$133,778	\$1,774					\$11,762	\$4,546	\$115,696	
Regional Traffic Signal Synch (Edinger, MacArthur/Talbert, and Warner)	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	\$58,258								\$58,258	
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			
Future Complete Streets Call for Projects		\$55,000	\$55,000								
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 Loop - Segment A		\$38,233				\$38,233					
Pavement Management Relief Funding Program ^{1,2}		\$9,469			\$3,811			\$5,658			
Santa Ana - Garden Grove Rails to Trails		\$7,650			\$3,750	\$3,900					
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
Local Road Project Totals		\$1,473,586	\$121,888		\$94,232	\$128,930	\$13,557	\$74,716	\$39,826	\$891,835	\$108,602
Federal Funding Total		\$216,120									
State Funding Total		\$217,203									
Local Funding Total		\$1,040,263									
Total Funding (000's)		\$1,473,586									



Capital Funding Program Report

Pending Approval by OCTA Board of Directors (Board) - February 12, 2024

Local Road Project Completed

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									
Kraemer Boulevard grade separation	O	\$63,830									
Lakeview Avenue grade separation	O	\$110,702									
Orangethorpe Avenue grade separation	O	\$106,043									
Placentia Avenue grade separation	O	\$64,539									

Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
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 rehabilitation 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 (Board) - February 12, 2024

1. The City of Placentia withdrew the approved project from the PMRF program. OCTA made a request for the \$200,000 to be reprogrammed to the Mile Post 206.8 project and requested state funds. OCTA staff will provide additional updates in subsequent reports.
2. The City of San Juan Capistrano deobligated CRRSSA funds. OCTA will try to reprogram the funds to another project. This proposed change still has to be run by the CTC, and there is a possibility that we may not be able to save the funds.

Acronyms:

ARRA - American Recovery and Reinvestment Act of 2009
Call - Call for Projects
CMAQ - Congestion Mitigation Air Quality Improvement Program
CRRSAA - Coronavirus Response and Relief Supplemental Appropriations Act
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 - Senate Bill 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 12, 2024

To: Members of the Board of Directors

From: Andrea West, Clerk of the Board

Subject: 2023 Orange County Complete Streets Program Project
Prioritization Recommendations

Regional Transportation Planning Committee Meeting of February 5, 2024

Present: Directors Do, Dumitru, Federico, Harper, and Stephens

Absent: Directors Foley and Khan

Committee Vote

This item was passed by the Members present.

Committee Recommendations

- A. Approve the 2023 Orange County Complete Streets Program project prioritization recommendations.
- B. Authorize submittal of 2023 Orange County Complete Streets Program projects to the Southern California Association of Governments to be considered for final project selection, with four projects contingent on the approval of amendments to the Master Plan of Arterial Highways.
- C. Authorize the Chief Executive Officer or his designee to provide concurrence on future project scope changes, extension requests, and substitutions to the Southern California Association of Governments as needed for the 2023 Orange County Complete Streets Program projects.
- D. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program to facilitate the above actions.



February 5, 2024

To: Regional Transportation Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: 2023 Orange County Complete Streets Program Project
Prioritization Recommendations

Overview

On August 14, 2023, the Orange County Transportation Authority Board of Directors approved the 2023 Orange County Complete Streets Program guidelines and authorized the release of the call for projects. The Board of Directors is being presented with project prioritization recommendations for approval to submit to the Southern California Association of Governments for consideration as part of the final project selection process.

Recommendations

- A. Approve the 2023 Orange County Complete Streets Program project prioritization recommendations.
- B. Authorize submittal of 2023 Orange County Complete Streets Program projects to the Southern California Association of Governments to be considered for final project selection, with four projects contingent on the approval of amendments to the Master Plan of Arterial Highways.
- C. Authorize the Chief Executive Officer or his designee to provide concurrence on future project scope changes, extension requests, and substitutions to the Southern California Association of Governments as needed for the 2023 Orange County Complete Streets Program projects.
- D. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program to facilitate the above actions.

Background

The 2023 Orange County Complete Streets Program (OCCSP) Project call for projects (call) is intended to prioritize local agency projects seeking federal funds. This program expands eligible improvements compared to the predecessor program, the Bicycle Corridor Improvement Program (BCIP). While the BCIP was limited to bicycle improvements, the OCCSP allows for a broader range of project types and improvements to streets to enable safe access for all, including pedestrians, bicyclists, and transit riders of all ages and abilities. The OCCSP was also updated from using only federal Congestion Mitigation and Air Quality Improvement (CMAQ) Program funds to incorporating federal Surface Transportation Block Grant (STBG) funds supporting the expanded project eligibilities. In December 2022, the Orange County Transportation Authority (OCTA) Board of Directors (Board) authorized using \$55 million in CMAQ/STBG funds for an OCCSP call. Following guidelines approval in August 2023, the OCCSP call was released, and applications were due on October 5, 2023.

The Federal Highway Administration in part provides oversight for the administration of federal funds in support of the state, Metropolitan Planning Organizations, and other transportation partners to ensure compliance with federal requirements. In August 2021, the Federal Highway Administration issued a corrective action that required the Southern California Association of Governments (SCAG) to implement a new project selection process to comply with the latest interpretation of federal regulations for the administration of STBG and CMAQ, requiring SCAG to make the final project selection for funding. As a result, SCAG approved STBG/CMAQ program guidelines in June 2023 to implement the new project selection process. As part of this process, OCTA is required to prioritize projects into three designations: highly recommended, recommended, and not recommended, which will influence final project selection and submit them to SCAG for review and final approval.

Discussion

OCTA received 33 project applications from 19 agencies requesting a total of \$103.8 million through this call. Since the requested funding was significantly higher than the OCTA Board authorized amount of \$55 million, staff is recommending that 19 projects requesting \$58.47 million be designated as “highly recommended” to keep project funding requests whole. In addition, staff is recommending that all remaining eligible projects be submitted to SCAG for consideration through the project selection process since SCAG has indicated that projects that are not initially approved for funding may be placed on a contingency list, which may be approved as additional funding becomes available.

The project prioritization recommendations are provided in Attachment A.

Project evaluations were based on project eligibility, local agency project priority, consistency with SCAG STBG/CMAQ program guidance, and responses to OCTA criteria approved by the Board as part of the 2023 OCCSP guidelines, which included: 1) aligning with local planning efforts, 2) safety considerations, 3) access to community destinations including schools and transit, and 4) public participation, community engagement, and stakeholder coordination.

Highly recommended projects are distinguished by exceptional alignments with the local priorities criteria. The remaining eligible projects are listed as recommended projects and are generally aligned with the local priorities criteria. Three projects are not recommended for funding as they did not sufficiently meet all program requirements. The project prioritization recommendations include at minimum one project from each applicant that is designated either “highly recommended” or “recommended”.

Master Plan of Arterial Highways (MPAH) Amendments

The set of project prioritization recommendations includes four projects that are contingent on modifications to the MPAH. Adjustments to the MPAH are considered when local agencies make requests and provide supporting traffic studies for changes to the roadway classification (either a built or planned classification). OCTA typically conducts evaluations of proposed changes and works with the local agencies before submitting them for Board review and action. No formal MPAH amendment requests for these four projects have been submitted. When formal requests for amendments to the MPAH regarding these four projects are made and assessed, they will be incorporated into the upcoming MPAH update and submitted for Board consideration. These four projects are identified in Attachment A.

Lastly, and consistent with SCAG’s Federal Transportation Improvement Program (FTIP) guidelines, all federally funded or regionally significant projects must be included in the FTIP; therefore, Board direction to add or amend awarded projects in the FTIP is requested.

The projects that have highly recommended and recommended designations represent new and upgraded bicycle and pedestrian facilities along a total of approximately 29 miles of streets that would be implemented if selected by SCAG for funding. Other recommended improvements include traffic calming, safety improvements, and multiple multipurpose trail projects.

Next Steps

SCAG has indicated that they have opened the Solicitation for Project Nominations. Nominations are due March 29, 2024. With Board approval, OCTA staff will provide the project prioritization designations and supporting documentation for OCCSP projects to SCAG for consideration of STBG/CMAQ funds. The SCAG Regional Council is expected to consider project selection in July 2024. As projects are approved through Regional Council action or acceptance into the FTIP, staff will notify applicant agencies of their projects' selection status and keep the Board apprised.

Summary

Through the 2023 OCCSP call, OCTA staff is presenting project prioritization recommendations for Board approval and submittal to SCAG as part of the new project selection process. If approved for funding by SCAG, the projects will provide 29 miles of new or upgraded pedestrian and bicycle facilities and improvements to streets to enable safe access for all, including pedestrians, bicyclists, motorists, and transit riders of all ages and abilities.

Attachment

- A. 2023 Orange County Complete Streets Program – Project Prioritization List

Prepared by:



Denise Sifford
Senior Transportation Funding Analyst
(714) 560-5489

Approved by:



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

2023 Orange County Complete Streets Program - Project Prioritization List

Project Number	Agency	Agency Priority	Project Name	Project List Designation	Total Funding Request (000s)	Cumulative Funding Requests (000s)
1	Anaheim	1 of 1	Nohl Ranch Open Space Trail ¹	Highly Recommended	\$ 3,359	\$ 3,359
2	Brea	1 of 3	Tracks at Brea - Western Extension ¹	Highly Recommended	\$ 1,320	\$ 4,679
3	Buena Park	1 of 2	PLAN - Orangethorpe Avenue Complete Streets Planning Study	Highly Recommended	\$ 308	\$ 4,987
4	Costa Mesa	1 of 3	Adams Avenue Active Transportation Project – Multipurpose Trails ¹	Highly Recommended	\$ 4,223	\$ 9,210
5	Costa Mesa	2 of 3	Adams Avenue Bicycle Facility Project –Harbor Boulevard to Fairview Road ¹	Highly Recommended	\$ 1,760	\$ 10,970
6	Costa Mesa	3 of 3	Fairview Road Active Transportation Improvements – Adams Avenue to Fair Drive ¹	Highly Recommended	\$ 1,935	\$ 12,905
7	Fullerton	1 of 1	Harbor Boulevard Complete Streets Improvement Project ²	Highly Recommended	\$ 4,854	\$ 17,759
8	Huntington Beach	1 of 3	Banning Avenue Roundabout & Southeast Corridors Complete Streets Improvements	Highly Recommended	\$ 5,000	\$ 22,759
9	Irvine	1 of 2	Venta Spur Trail and Jeffrey Road Pedestrian and Bicycle Bridge	Highly Recommended	\$ 5,000	\$ 27,759
10	Irvine	2 of 2	Harvard Avenue Complete Streets and Safety Improvements	Highly Recommended	\$ 4,312	\$ 32,071
11	Laguna Hills	1 of 1	Paseo De Valencia and Cabot Road Active Transportation Enhancements ^{1,2}	Highly Recommended	\$ 4,998	\$ 37,069
12	Laguna Niguel	1 of 1	South Forbes Road/Oso Creek Trail Active Transportation Enhancements	Highly Recommended	\$ 3,415	\$ 40,484
13	Mission Viejo	1 of 1	Mission Viejo Quad Cities Trail	Highly Recommended	\$ 4,788	\$ 45,272
14	Orange	1 of 3	Riverdale Avenue Complete Street Improvements ²	Highly Recommended	\$ 2,573	\$ 47,845
15	Orange	2 of 3	PLAN - Citywide Active Transportation Plan ²	Highly Recommended	\$ 308	\$ 48,153
16	Placentia	2 of 2	Atwood Multi-Use Trail ¹	Highly Recommended	\$ 2,753	\$ 50,906
17	San Clemente	1 of 2	Complete Streets Along Avenida Calafia ¹	Highly Recommended	\$ 968	\$ 51,874
18	Tustin	1 of 1	Main Street Enhancement Project	Highly Recommended	\$ 3,172	\$ 55,046
19	Yorba Linda	1 of 2	Connect Savi Ranch ¹	Highly Recommended	\$ 3,428	\$ 58,474
20	Brea	2 of 3	Laurel Elementary School Safety	Recommended	\$ 590	\$ 59,064
21	Brea	3 of 3	Birch Community Connections	Recommended	\$ 3,247	\$ 62,311
22	Buena Park	2 of 2	PLAN - Stanton Avenue Complete Streets Planning Study	Recommended	\$ 308	\$ 62,619
23	County of Orange	1 of 1	Los Patrones Parkway Bikeway Widening and Safety Improvements	Recommended	\$ 2,764	\$ 65,383
24	Huntington Beach	2 of 3	Magnolia Street Corridor Complete Streets Improvements	Recommended	\$ 4,687	\$ 70,070
25	Huntington Beach	3 of 3	Hamilton Avenue Corridor Complete Streets Improvements	Recommended	\$ 3,971	\$ 74,041
26	Laguna Beach	1 of 2	Coast Highway Sidewalk Gap Closures to Achieve Complete Streets (Cardinal to 7th)	Recommended	\$ 5,000	\$ 79,041
27	Los Alamitos	1 of 1	Los Alamitos Reimagine Downtown Street and Bicycle Corridor Improvement Project	Recommended	\$ 5,000	\$ 84,041
28	Orange	3 of 3	Santiago Creek Bike Trail Gap Closure	Recommended	\$ 4,992	\$ 89,033
29	Stanton	1 of 1	Orangewood Complete Streets ²	Recommended	\$ 3,268	\$ 92,301
30	Yorba Linda	2 of 2	Valley View Safety	Recommended	\$ 511	\$ 92,812
31	Laguna Beach	2 of 2	Coast Highway Sidewalk Gap Closures to Achieve Complete Streets (7th to 10th) ³	Not Recommended	\$ 5,000	\$ 97,812
32	Placentia	1 of 2	Old Town Placentia Revitalization ⁴	Not Recommended	\$ 5,000	\$ 102,812
33	San Clemente	2 of 2	Complete Streets Along Camino Capistrano ⁵	Not Recommended	\$ 1,012	\$ 103,824
TOTAL					\$ 103,824	

2023 Orange County Complete Streets Program - Project Prioritization List

Notes:	Summary	
	Project List Designation	Total Funding Requests (000's)
	Highly Recommended	\$ 58,474
	Recommended	\$ 34,338
	Not Recommended	\$ 11,012

TOTAL \$ 103,824



COMMITTEE TRANSMITTAL

February 12, 2024

To: Members of the Board of Directors

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

Subject: 2025 Federal Transportation Improvement Program and Financial Plan

Regional Transportation Planning Committee Meeting of February 5, 2024

Present: Directors Do, Dumitru, Federico, Harper, and Stephens
Absent: Directors Foley and Khan

Committee Vote

This item was passed by the Members present.


Committee Recommendations

- A. Authorize the submittal of the Federal Transportation Improvement Program project list and financial plan for the fiscal year 2024-25 through fiscal year 2029-30 to the Southern California Association of Governments.
- B. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program to facilitate the programming of projects.
- C. Adopt Resolution No. 2024-001 of the Board of Directors of the Orange County Transportation Authority.



February 5, 2024

To: Regional Transportation Planning Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: 2025 Federal Transportation Improvement Program and Financial Plan

Overview

The Orange County Transportation Authority is responsible for the biennial preparation of the Federal Transportation Improvement Program for Orange County. This document is required under state and federal laws and includes the financial information for regionally significant transportation improvement projects in Orange County, with a total value of approximately \$1.645 billion. A summary of the draft 2025 Federal Transportation Improvement Program, and a supporting resolution are submitted for Board of Directors' approval.

Recommendations

- A. Authorize the submittal of the Federal Transportation Improvement Program project list and financial plan for the fiscal year 2024-25 through fiscal year 2029-30 to the Southern California Association of Governments.
- B. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program to facilitate the programming of projects.
- C. Adopt Resolution No. 2024-001 of the Board of Directors of the Orange County Transportation Authority.

Background

The Federal Transportation Improvement Program (FTIP) is the programming document that implements the Regional Transportation Plan. To use any federal funds for transportation projects, they are required to be listed in the FTIP.

The FTIP is comprised of projects of regional significance and projects which are approved to receive state or federal funding. Regionally significant projects are those that would have significant impacts on regional travel and air quality.

Federal law requires the FTIP to be updated at least every four years and under state law, that the Southern California Association of Governments (SCAG) update it every two years. Additionally, the FTIP must be financially constrained to reasonably anticipated revenues. Federal law also requires that the FTIP include a financial plan that demonstrates how the proposed improvements will be funded and implemented. Lastly, SCAG conducts a regional air quality assessment based on projects in the FTIP.

Discussion

The 2025 FTIP contains more than 60 projects in Orange County that expect to use a total of \$1.645 billion in reasonably anticipated federal, state, and local funding sources and are scheduled to begin some phase of work between the fiscal year (FY) 2024-25 and FY 2029-30.

The Orange County Transportation Authority (OCTA) is required to certify by resolution that the projects programmed in the first four years of the FTIP (FY 2024-25 through FY 2027-28) are of high priority and will be implemented in accordance with each project's respective schedule.

FTIP guidelines further require that the projects programmed in the first four years of the plan must be fully funded, with an emphasis on projects programmed in the first two years for implementation. Consistent with these requirements and given uncertainties of future funding, Orange County's FTIP is primarily (98 percent) composed of projects with known funding in the first four years of the FTIP, with 65 percent in the first two years, due to a lack of definitive state and federal funding forecasts for the last two years of FTIP.

The recommended 2025 FTIP can be broken down in terms of project type and primary source of funding as follows:

2025 FTIP breakdown by mode:

- Transit: \$337.61 million (16 percent)
- State Highways: \$1,039.625 million (63 percent)
- Local Streets and Roads: \$267.977 million (21 percent)

2025 FTIP breakdown by fund type:

- Federal: \$455.57 million (28 percent)
- State: \$650.954 million (40 percent)
- Local: \$538.688 million (33 percent)

Programmed Total by FY

Programmed (\$000s)	FY24/25	FY25/26	FY26/27	FY27/28	FY28/29	FY29/30	Total
Federal	\$ 210,333	\$ 195,274	\$ 27,612	\$ 11,054	\$ 11,297	\$ -	\$ 455,570
State	\$ 317,723	\$ 181,205	\$ 71,654	\$ 61,002	\$ 19,370	\$ -	\$ 650,954
Local	\$ 126,084	\$ 32,288	\$ 379,456	\$ -	\$ 860	\$ -	\$ 538,688
Total	\$ 654,140	\$ 408,767	\$ 478,722	\$ 72,056	\$ 31,527	\$ -	\$1,645,212

As specified in OCTA's guidance for administering the FTIP, provided in Attachment D, all agencies with projects programmed in the FTIP, except for the California Department of Transportation (Caltrans), are required to provide a resolution from their governing board confirming that the projects or project components are fully funded in accordance with FTIP guidelines. With respect to OCTA's projects, the draft 2025 FTIP primarily includes projects that have previously been approved for funding through prior Board of Directors' (Board) actions. The Capital Funding Program (CFP) (Attachment E), which summarizes funding for OCTA's capital projects, is also provided. The CFP shows the current Board-approved funding for OCTA projects. Projects in the CFP that have federal funds as well as regionally significant projects are among those included in the current FTIP.

A key component of the FTIP is programming and monitoring of Transportation Control Measure (TCM) projects. Projects designated as TCMs will reduce emissions or concentrations of air pollutants from transportation sources and include projects such as transit service, carpool lanes, or active transportation type projects. TCM projects must be closely monitored because TCMs that are in the first two years of the FTIP are considered committed TCMs and must be operational by the completion date provided in the FTIP. If they do not proceed as planned, OCTA is responsible for providing a substitute project that provides equivalent or greater emissions reductions. The total funding in the 2025 FTIP being programmed for committed TCMs is \$75.066 million.

The 2025 FTIP includes a new equity analysis section to evaluate how and where investments are being made across the region. Additional performance measures include safety, pavement/bridge conditions, system performance, transit safety, and state of good repair. SCAG plans to use this information to provide informational reports throughout the region.

With Board approval, the certifying resolution (Attachment A), financial plan summary (Attachment B), and FTIP project submittals (Attachment C) will be submitted to SCAG for review. SCAG will model the program, determine air quality benefits, and present the 2025 FTIP to the public, regional transportation commissions, transportation committees, and SCAG's Regional Council for review and comment by July 2024. Following the public comment period, SCAG's regional council will consider the 2025 FTIP, which, if approved, will be forwarded

to Caltrans and the Federal Highway Administration/Federal Transit Administration for final review and approval. The 2025 FTIP is anticipated to be fully approved in December 2024.

Minor changes or amendments to the FTIP may be necessary after the preparation of this report. It is recommended that the Board authorize staff to submit the FTIP project list to SCAG, as well as submit any project changes that may be required. This strategy will allow the most up-to-date project information to be included in the 2025 FTIP.

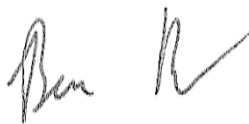
Summary

OCTA developed the 2025 FTIP and associated financial plan, which includes projects that are estimated to use \$1.645 billion. Staff has worked with local agencies and consulted Board-approved plans and previous funding actions to develop the 2025 FTIP. With Board approval, the 2025 FTIP and associated funding plan will be submitted to SCAG.

Attachments

- A. Resolution No. 2024-001 of the Board of Directors of the Orange County Transportation Authority, Fiscal Year 2024-25 to Fiscal Year 2029-30, Federal Transportation Improvement Program
- B. Federal Transportation Improvement Program and Financial Plan Summary, Fiscal Year 2024-25 Through Fiscal Year 2029-30
- C. 2025 Federal Transportation Improvement Program Project List (dollars in \$1,000s)
- D. Orange County Transportation Authority Guidance for Administering the Federal Transportation Improvement Program
- E. Capital Funding Program Report

Prepared by:



Ben Ku
Section Manager II
Formula Funding Programs
(714) 560-5473

Approved by:



Kia Mortazavi
Executive Director, Planning
(714) 560-574

**RESOLUTION NO. 2024-001 OF THE BOARD OF DIRECTORS OF THE
ORANGE COUNTY TRANSPORTATION AUTHORITY**

FISCAL YEAR 2024-25 TO FISCAL YEAR 2029-30

FEDERAL TRANSPORTATION IMPROVEMENT PROGRAM

A RESOLUTION OF THE ORANGE COUNTY TRANSPORTATION
AUTHORITY (OCTA), WHICH CERTIFIES THAT OCTA HAS THE RESOURCES
TO FUND THE PROJECTS IN THE FEDERAL FISCAL YEAR (FFY) 2024-25 –
2029-30 FEDERAL TRANSPORTATION IMPROVEMENT PROGRAM AND
AFFIRMS ITS COMMITMENT TO IMPLEMENT PROJECTS AND PHASES AS
APPLICABLE IN THE PROGRAM

WHEREAS, Orange County is located within the metropolitan planning boundaries of the Southern California Association of Governments (SCAG); and

WHEREAS, the Infrastructure Investment and Jobs Act (IIJA) requires SCAG to adopt a Regional Transportation Improvement Program (RTIP) for the metropolitan planning area; and

WHEREAS, the IIJA also requires that the RTIP include a financial plan that demonstrates how the Transportation Improvement Program (TIP) can be implemented, and indicates resources from public and private sources that are reasonably expected to be made available to carry out the transportation improvement program, and recommends any additional financing strategies for needed projects and programs; and

WHEREAS, OCTA is the agency responsible for short-range capital and service planning and programming for the Orange County area within SCAG; and

WHEREAS, as the responsible agency for short-range transportation planning, OCTA is responsible for the development of the Orange County TIP, including all projects utilizing federal and state highway/road and transit funds; and

WHEREAS, OCTA must determine, on an annual basis, the total amount of funds that could be available for transportation projects within its boundaries; and

WHEREAS, OCTA has adopted the FFY 2024-25 through FFY 2029-30 Orange County TIP with funding for FFY 2024-25 and FFY 2025-26 available and committed, and reasonably committed for FFY 2026-27 through FFY 2027-28.

NOW, THEREFORE, BE IT RESOLVED by OCTA that it affirms its continuing commitment to the projects in the FFY 2024-25 through FFY 2029-30 Orange County TIP; and

BE IT FURTHER RESOLVED, that the FFY 2024-25 through FFY 2029-30 Orange County TIP Financial Plan identifies the resources that are available, and committed in the first two years and reasonably available to carry out the program in the last four years, and certifies that:

1. Projects in the FFY 2024-25 through FFY 2029-30 Orange County TIP are consistent with the proposed 2024 State Transportation Improvement Program (STIP) scheduled to be approved by the California Transportation Commission (CTC) in March 2024.
2. All of the projects in the Orange County TIP have complete funding identified in the program, except those which will require additional funding in the 2024 STIP cycle. The STIP is one of the County's number one priorities for funding. The Orange County 2024 STIP RTIP, as identified in the financial plan, will include sufficient transportation funds to complete the projects. Therefore, as required by federal law, the CTC finds that full funding can reasonably be anticipated to be available for the STIP within the time period contemplated for completion.
3. Orange County has the funding capacity in its County Surface Transportation Block Grant (STBG) Program and Congestion Mitigation and Air Quality Improvement Program (CMAQ) appropriation to fund all of the projects in the FFY 2024-25 through FFY 2029-30 Orange County TIP.
4. The local match for projects funded with federal STBG and CMAQ program funds is identified in the Orange County TIP, including the use of toll credit or transportation development credits.
5. All the Federal Transit Administration-funded projects are programmed within the IIJA guaranteed funding levels.

PASSED, APPROVED, AND ADOPTED this _____ day of _____, _____.

AYES:

NOES:

ABSENT:

ATTEST:

Andrea West
Clerk of the Board

Tam T. Nguyen, Chair
Orange County Transportation Authority

Federal Transportation Improvement Program and Financial Plan Summary Fiscal Year 2024-25 Through Fiscal Year 2029-30¹

PROGRAMMED REVENUE

(dollars in \$1,000s)

PROGRAM DESCRIPTION	TOTAL
FEDERAL	\$ 455,570
Federal Transit Administration - 5307 Urbanized Area Formula	\$ 116,444
Surface Transportation Block Grant	\$ 106,372
Congestion Mitigation and Air Quality Improvement	\$ 97,017
Federal Transit Administration - 5337 State of Good Repair	\$ 58,616
Highway Bridge Replacement and Rehabilitation - Local	\$ 28,979
Federal Transit Administration - 5339 Bus and Facilities	\$ 14,904
Earmarks	\$ 14,620
Local Transportation Climate Adaptation Program	\$ 12,000
Federal Transit Administration - 5310 Enhanced Mobility of Seniors and Individuals with Disabilities	\$ 6,618
STATE	\$ 650,954
State Highway Operations and Protection Program	\$ 313,110
State Transportation Improvement Program	\$ 222,326
Active Transportation Program	\$ 92,318
Transit And Intercity Rail Capital Program	\$ 17,000
SB 1 (Chapter 5, Statutes of 2017) State of Good Repair	\$ 5,578
State Transit Assistance ²	\$ 622
LOCAL	\$ 538,688
Private Funds	\$ 372,055
Orange County Transportation Authority Measure M2	\$ 100,533
Agency ³	\$ 27,415
City Funds	\$ 26,730
Transportation Development Act	\$ 7,704
Local Transportation Funds ²	\$ 3,177
Fares	\$ 574
County	\$ 500
TOTAL REVENUE	\$ 1,645,212

¹Revenue is only the amount programmed for projects in the Federal Transportation Improvement Program from fiscal year 2024-26 through fiscal year 2029-30, and may not reflect all revenue.

²Laguna Beach operating assistance funding.

³Agency funds may represent local, state, or federal funds that are pending formal approval.

2025 Federal Transportation Improvement Program Project List
(dollars in \$1,000s)

ATTACHMENT C

Project #	Project ID	Project Title	Lead Agency	Fiscal Year (FY) ¹						Total (\$1,000s)
				FY 2024-25	FY 2025-26	FY 2026-27	FY 2027-28	FY 2028-29	FY 2029-30	
Local Streets and Roads										
1	ORA152211	Nohl Ranch Open Space Trail	City of Anaheim	\$ 3,818	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 3,818
2	ORA190902	Citywide SRTS Sidewalk Gap Closure	City of Anaheim	\$ 3,071	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 3,071
3	ORA190906	OC Loop Brea Gap Closure	City of Brea	\$ 5,867	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 5,867
4	ORA250002	Costa Mesa Safe Routes to School Action Plan	City of Costa Mesa	\$ 394	\$ 179	\$ -	\$ -	\$ -	\$ -	\$ 573
5	ORA210602	Doheny Village Connectivity Improvement Project	City of Dana Point	\$ -	\$ -	\$ 2,730	\$ -	\$ -	\$ -	\$ 2,730
6	ORA239901	Stonehill Drive Widening/Improvement Project	City of Dana Point	\$ 687	\$ 2,835	\$ -	\$ -	\$ -	\$ -	\$ 3,522
7	ORA231101	Titan Gateway Pedestrian Bridge	City of Fullerton	\$ 6,500	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 6,500
8	ORA190920	OC Loop Segment A - La Habra Rails to Trails	City of La Habra	\$ 6,844	\$ -	\$ -	\$ 38,233	\$ -	\$ -	\$ 45,077
9	ORA230801	OC Loop Segment P and Q	Orange County	\$ 47,652	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 47,652
10	ORA130303	State College Grade Separation (LOSSAN)	OCTA	\$ -	\$ 11,250	\$ -	\$ -	\$ -	\$ -	\$ 11,250
11	ORA131306	17th Street Grade Separation	OCTA	\$ -	\$ 50	\$ -	\$ -	\$ -	\$ -	\$ 50
12	ORA230810	Paseo De Valencia and Cabot Road Active Transportation Enhancements	OCTA	\$ 159	\$ 661	\$ 4,873	\$ -	\$ -	\$ -	\$ 5,693
13	ORA230811	Adams Avenue Active Transportation Project - Multipurpose Trails	OCTA	\$ 513	\$ -	\$ 5,900	\$ -	\$ -	\$ -	\$ 6,413
14	ORA239701	OC Connect - Garden Grove - Santa Ana Rail to Trails Gap Closure	OCTA	\$ -	\$ -	\$ 4,650	\$ -	\$ -	\$ -	\$ 4,650
15	ORA190913	Atwood Multipurpose Trail	City of Placentia	\$ 309	\$ 2,821	\$ -	\$ -	\$ -	\$ -	\$ 3,130
16	ORA190914	South El Camino Real Lane Reconfiguration and Buffered Bike Lane Project	City of San Clemente	\$ -	\$ -	\$ 1,476	\$ -	\$ -	\$ -	\$ 1,476
17	ORA170007	Fairview Street Rehabilitation and Widening	City of Santa Ana	\$ 8,853	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 8,853
18	ORA190915	Bristol Street Protected Bike Lanes - Phase II Warner Avenue to Saint Andrew Place	City of Santa Ana	\$ -	\$ 1,855	\$ -	\$ -	\$ -	\$ -	\$ 1,855
19	ORA190916	Bristol Street Protected Bike Lanes - Phase III Saint Andrew Place to Edinger Avenue	City of Santa Ana	\$ -	\$ 1,242	\$ -	\$ -	\$ -	\$ -	\$ 1,242
20	ORA190917	Bristol Street Protected Bike Lanes - Phase IV Civic Center Drive to Washington Avenue	City of Santa Ana	\$ -	\$ 1,023	\$ -	\$ -	\$ -	\$ -	\$ 1,023
21	ORA190918	Bristol Street Protected Bike Lanes - Phase V First Street to Civic Center Drive	City of Santa Ana	\$ -	\$ 1,776	\$ -	\$ -	\$ -	\$ -	\$ 1,776
22	ORA230802	Orange Avenue Bike Lane and Bicycle Boulevard Project	City of Santa Ana	\$ 851	\$ -	\$ 4,891	\$ -	\$ -	\$ -	\$ 5,742
23	ORA020501	Highway Bridge Program - Various Bridge Projects	Various Agencies	\$ 3,167	\$ 1,840	\$ -	\$ 4,074	\$ 12,157	\$ -	\$ 21,238
24	ORA150104	Regional Active Transportation Program	Various Agencies	\$ 5,121	\$ 979	\$ 37,233	\$ -	\$ -	\$ -	\$ 43,333
25	ORA230804	Grouped Projects for Bicycle and pedestrian facilities	Various Agencies	\$ 8,096	\$ 12,909	\$ 10,088	\$ -	\$ -	\$ -	\$ 31,093
26	ORA230806	Grouped Projects for Planning activities	Various Agencies	\$ 350	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 350
Local Streets and Roads Subtotal				\$ 102,252	\$ 39,420	\$ 71,841	\$ 42,307	\$ 12,157	\$ -	\$ 267,977
Highways										
1	ORA000820	SR-57 Northbound Climbing Lane from Lambert Road to 0.2 miles north of Orange County/Los Angeles County line	Caltrans	\$ -	\$ 6,500	\$ -	\$ -	\$ 18,000	\$ -	\$ 24,500
2	ORA001102	Collision Reduction Projects in Various Locations	Caltrans	\$ 10,123	\$ 14,895	\$ -	\$ -	\$ -	\$ -	\$ 25,018
3	ORA001103	Roadway Preservation Projects in Various Locations	Caltrans	\$ 120,870	\$ 84,020	\$ -	\$ -	\$ -	\$ -	\$ 204,890
4	ORA001104	Roadside Preservation Projects in Various Locations	Caltrans	\$ 1,260	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,260
5	ORA001105	Mobility Projects in Various Locations	Caltrans	\$ -	\$ 30,013	\$ -	\$ -	\$ -	\$ -	\$ 30,013
6	ORA001108	Mandate Projects in Various Locations	Caltrans	\$ 5,489	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 5,489
7	ORA001109	Bridge Preservation Projects in Various Locations	Caltrans	\$ 2,547	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,547
8	ORA082603	Emergency Projects in Various Locations	Caltrans	\$ -	\$ 40,953	\$ -	\$ -	\$ -	\$ -	\$ 40,953
9	ORA084402	Facilities Projects in Various Locations	Caltrans	\$ 580	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 580
10	ORA211702	Safety Improvements, Shoulder Improvements, Pavement Resurfacing and/or Rehabilitation in Various Locations	Caltrans	\$ 2,360	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,360
11	ORA040607	Orange County - Countywide activities: Planning, Programming and Monitoring	OCTA	\$ 1,056	\$ 1,030	\$ 1,030	\$ 2,769	\$ 1,370	\$ -	\$ 7,255
12	ORA131105	I-5 / Los Alisos / El Toro Interchange	OCTA	\$ 50	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 50
13	ORA111207	241/91 Express Lanes Connector: NB SR-241 to EB SR-91, WB SR-91 to SB SR-241	Various Agencies	\$ -	\$ -	\$ 372,055	\$ -	\$ -	\$ -	\$ 372,055
14	ORA120535	SR-74 Ortega Highway Gap Closure for 0.9 mile and Multimodal Improvements	Various Agencies	\$ -	\$ 34,000	\$ 25,600	\$ -	\$ -	\$ -	\$ 59,600
15	ORA130302	I-5 Improvement, I-405 to Yale Avenue (Segment 1)	Various Agencies	\$ 167,030	\$ -	\$ -	\$ 6,980	\$ -	\$ -	\$ 174,010
16	ORA131303	SR-57 Orangewood Avenue to Katella Avenue	Various Agencies	\$ 52,000	\$ 1,000	\$ 8,000	\$ -	\$ -	\$ -	\$ 61,000
17	ORA151401	I-5 Managed Lanes from Avenida Pico to San Diego County Line	Various Agencies	\$ 16,500	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 16,500
18	ORA171904	I-5 Improvements from SR-73 to El Toro Road (replacement planting/landscaping)	Various Agencies	\$ 11,545	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 11,545
Highways Subtotal				\$ 391,410	\$ 212,411	\$ 406,685	\$ 9,749	\$ 19,370	\$ -	\$ 1,039,625
Transit										
1	ORA990933	Transit Operating Assistance	City of Laguna Beach	\$ 5,746	\$ 5,890	\$ -	\$ -	\$ -	\$ -	\$ 11,636
2	ORA174 & ORA021202	OC Bus Operating Assistance for Paratransit	OCTA	\$ 19,256	\$ 19,256	\$ -	\$ -	\$ -	\$ -	\$ 38,512
3	ORA020106 & ORA021203	Preventive Maintenance (OCTA)	OCTA	\$ 22,155	\$ 22,155	\$ -	\$ -	\$ -	\$ -	\$ 44,310
4	ORA080803	Capital Cost of Contracting	OCTA	\$ 25,227	\$ 22,971	\$ -	\$ -	\$ -	\$ -	\$ 48,198
5	ORA191501	OC Streetcar Operations	OCTA	\$ 15,543	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 15,543
6	ORA212805	Purchase Paratransit Replacement Vehicles	OCTA	\$ 744	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 744
7	ORA219901	Digital Bus Stop Signs/Electronic Message Signs Along High-Quality Transit Corridors	OCTA	\$ -	\$ 2,500	\$ -	\$ -	\$ -	\$ -	\$ 2,500
8	ORA230501	Purchase Zero Emission Replacement Buses	OCTA	\$ -	\$ 16,924	\$ -	\$ -	\$ -	\$ -	\$ 16,924
9	ORA230502	Purchase Fuel Cell Electric Buses	OCTA	\$ -	\$ 15,285	\$ -	\$ -	\$ -	\$ -	\$ 15,285

2025 Federal Transportation Improvement Program Project List
(dollars in \$1,000s)

10	ORA230504	Transit Service Expansion Planning	OCTA	\$ 20	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 20
11	ORA230505	Bravo! Route 553 Operating Assistance	OCTA	\$ 1,398	\$ 2,444	\$ 196	\$ -	\$ -	\$ -	\$ 4,038
12	ORA230507	Rideshare Vanpool Program - Capital Lease Cost	OCTA	\$ 9,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 9,000
13	ORA230510	Coastal Rail Protection Study	OCTA	\$ -	\$ 15,000	\$ -	\$ -	\$ -	\$ -	\$ 15,000
14	ORA170805	Preventive Maintenance (Metrolink)	SCRRA	\$ 9,716	\$ 9,716	\$ -	\$ -	\$ -	\$ -	\$ 19,432
15	ORA37111	Capital Maintenance on Metrolink System	Various Agencies	\$ 23,652	\$ 23,652	\$ -	\$ -	\$ -	\$ -	\$ 47,304
16	ORA159801	San Juan Creek Bridge Replacement	Various Agencies	\$ 22,578	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 22,578
17	ORA210601	OC Maintenance Facility	Various Agencies	\$ -	\$ -	\$ -	\$ 20,000	\$ -	\$ -	\$ 20,000
18	ORA212802	Transit Capital Projects (ATN)	Various Agencies	\$ 125	\$ 125	\$ -	\$ -	\$ -	\$ -	\$ 250
19	ORA212808	Preventive Maintenance (ATN)	Various Agencies	\$ 1,018	\$ 1,018	\$ -	\$ -	\$ -	\$ -	\$ 2,036
20	ORA231102	Emergency Slope and Track Stabilization and Safety Improvements from San Juan Capistrano to San Onofre State Beach	Various Agencies	\$ 4,300	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,300
Transit Subtotal				\$ 160,478	\$ 156,936	\$ 196	\$ 20,000	\$ -	\$ -	\$ 337,610
Total (FY 2024-25 through FY 2029-30)				\$ 654,140	\$ 408,767	\$ 478,722	\$ 72,056	\$ 31,527	\$ -	\$ 1,645,212

¹ Congestion Mitigation and Air Quality Improvement and Surface Transportation Block Grant funds may be programmed in a future FY in the FTIP but can be advanced via Local Advance Construction or Expedited Project Selection Procedure

Acronyms

ATN - Anaheim Transportation Network
 Caltrans - California Department of Transportation
 EB - Eastbound
 FTIP - Federal Transportation Improvement Program
 I-5 - Interstate 5
 I-405 - Interstate 405
 LOSSAN - Los Angeles-San Diego-San Luis Obispo Rail Corridor Agency
 NB - Northbound
 OCTA - Orange County Transportation Authority
 SB - Southbound
 SCRRA - Southern California Regional Rail Authority
 SR-57 - State Route 57
 SR-73 - State Route 73
 SR-74 - State Route 74
 SR-91 - State Route 91
 SR-241 - State Route 241
 SRTS - Safe Routes to School
 WB - Westbound

Orange County Transportation Authority Guidance for Administering the Federal Transportation Improvement Program

The Orange County Transportation Authority (OCTA) has implemented procedures for the development of the Orange County Transportation Improvement Program. These procedures include additional requirements, beyond those listed in the Southern California Association of Governments (SCAG) 2025 Federal Transportation Improvement Program (FTIP) guidelines, for programming local, regional, and state agencies' projects in the FTIP in Orange County.

OCTA conducts FTIP workshops with the local agencies periodically to keep local agencies informed of the FTIP process and guidelines. These workshops provide an overview of the SCAG and OCTA FTIP guidelines and procedures, a tutorial of the OCFundtracker database, and provides an opportunity for local agencies to ask questions related to their FTIP projects. Tutorial videos, schedules, and more FTIP information can be found on OCTA's FTIP website.

Below is a list of the additional requirements for Orange County local agencies as outlined in the OCTA FTIP guidelines.

- All projects that are listed in the FTIP require some form of approval by the OCTA Board of Directors (Board), Agency Board or Council, or Funding Agency to be included in the FTIP.
- Due to the timing and limited opportunities for FTIP amendments and modifications, OCTA staff may add OCTA projects into the FTIP prior to Board approval but will not seek funding until the Board has approved the project. Further, Board approval is expected to be sought within a reasonable amount of time of the project being listed in the FTIP.
- Local agencies are required to carry-over, complete, or delete their FTIP projects in the OCFundtracker database during the biennial FTIP cycle.
- All agencies, except for the California Department of Transportation (Caltrans), are required to provide a resolution from their governing board affirming their commitment to delivering and securing sufficient funding for the projects submitted in the FTIP. A new resolution is required for each FTIP cycle.
- Backup documentation that confirms approval of funding must be provided for all funds in the FTIP.
- If a project is determined to offset vehicle miles traveled (VMT) or is a transportation control measure (TCM), then OCTA will work with the local agency to determine the most appropriate time to add the project into the FTIP.¹
- If a project is a TCM, then funding for the right-of-way or construction phases may be programmed in the last two years of the FTIP quadrennial in order to provide more flexibility for the local agency. These funds can be advanced through Local Advance Construction or the Expedited Project Selection Procedure (EPSP).²
- OCTA may program funds, at its discretion, to take advantage of processes, such as Local Advance Construction and EPSP, if needed.²

Orange County Transportation Authority Guidance for Administering the Federal Transportation Improvement Program

- OCTA staff has developed a review, checklist, and sign-off procedure to follow for every FTIP modification and amendment.

¹ The recent implementation of SB 743 (Chapter 386, Statutes of 2013) related to State Highway System projects throughout California has focused attention on VMT mitigation. With the implementation of SB 743, Caltrans is looking to focus attention on VMT mitigation by minimizing induced traffic and providing safe access and mobility through multimodal investments, operational improvements, and work with local partners. Projects which reduce or mitigate VMT impacts may be used as environmental mitigation for projects that will increase VMT. However, a project or program shown as already funded within an approved programming document like the FTIP implies that a project would not provide any additional benefits to offset the VMT impact. Thus, the project cannot be used as VMT mitigation.

OCTA will be strategic in adding projects that are considered TCMs. TCMs are specific transportation projects and programs committed to helping improve air quality. TCMs are required by the Federal Clean Air Act in ozone nonattainment areas that are classified as “serious, severe, or extreme” and under certain conditions [Section 182(c)] provide multiple benefits, including reductions of emissions and improvements to mobility and accessibility and can help support better urban form.

Southern California has among the worst air quality in the nation and must implement all reasonably available measures to support attainment of federal and state air quality standards. If a TCM project cannot be delivered or is significantly delayed, the County Transportation Commission and SCAG must identify a replacement project, which must be approved through a lengthy process.

There are significant considerations in terms of adding a new project to the FTIP and OCTA will take these factors into consideration when determining the appropriate time to add a new project to the FTIP, particularly if the project may be used to offset VMT or a project that is a TCM project.

² Due to financial constraints within the FTIP and per FTIP guidelines, staff may program funding in the last two years of the FTIP quadrennial with the ability to advance the funding through processes such as Local Advance Construction and EPSP, if needed. The Local Advance Construction procedure allows agencies to program local dollars if they anticipate federal revenue will be received for reimbursement, which moves the project forward with limited federal funds. The EPSP allows for the advancement of projects for implementation purposes within the active period of the approved FTIP without the need for immediate processing amendments. This is not a new addition to the 2025 FTIP guidelines but staff wants to acknowledge that it may utilize these processes to advance funding in the FTIP ahead of the Board-approved fiscal year if needed to expedite project delivery.



Capital Funding Program Report

ATTACHMENT E

Pending Approval by OCTA Board of Directors - February 12, 2024

Bus Transit Project											
Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
Go Local - Step 1	S	\$5,730							\$5,730		
Mobile ticketing equipment	S	\$4,036						\$4,036			
M2 Project V Community Circulators	V	\$53,767								\$53,767	
M2 Project W Safe Transit Stops (City)	W	\$1,708								\$1,708	
M2 Project W Safe Transit Stops (OCTA)	W	\$370								\$370	
40 Hydrogen Fuel-Cell 40-Foot Buses		\$60,000	\$21,498					\$25,414			\$13,088
Anaheim Transportation Network suballocation		\$5,741		\$5,741							
Associated Transportation Improvements		\$556		\$556							
Bike Lockers at Santa Ana Regional Transportation Center (SARTC)		\$2,000						\$2,000			
Bravo! 553 (operating costs)		\$7,275	\$5,721					\$1,554			
Bus engine repowers (173)		\$12,526	\$12,526								
Capitalized cost of contracted services FY 2021-22 to FY 2025-26 (ACCESS and contracted fixed-route contracts)		\$274,623		\$177,171							\$97,452
DCFC Charging at Fullerton Transportation Center and SARTC		\$1,250						\$1,250			
Digital bus stop sign 13" along high quality transit corridors (143 sign)		\$2,500				\$2,500					
Engine repower/rebuild contract		\$4,071					\$4,071				
Enhanced Mobility for Seniors and Disabled (EMSD) Call		\$2,280									\$2,280
Facilities upgrades, modifications, and replacement projects		\$2,579					\$2,579				
Harbor Boulevard Connected Bus Pilot Stage I		\$2,000		\$1,600				\$400			
Harbor Boulevard Connected Bus Pilot Stage II		\$6,800						\$5,400		\$1,400	
Harbor Boulevard high-capacity transit expansion environmental		\$14,000	\$14,000								
Heating-Ventilation Unit Replacement at Santa Ana bus base		\$1,500					\$1,500				
Hydrogen Fueling Station at Garden Grove		\$13,500						\$13,500			
Installation of Battery-Electric Chargers at Santa Ana Base		\$1,500					\$1,500				
Non-fixed-route paratransit operations assistance - FY 2021-22 to FY 2025-26		\$257,046		\$97,682							\$159,364
OC Mobility Hubs Strategy		\$300	\$266			\$34					
Preventive maintenance - including salaries and benefits (includes ATN & Laguna Beach)		\$270,201		\$270,201							
Purchase 117 replacement paratransit vehicles		\$14,995		\$14,995							
Purchase 131 replacement paratransit vehicles		\$21,771		\$21,771							
Rehabilitation and renovation at OCTA bus facilities		\$1,509		\$1,207							\$302
Rideshare/vanpool		\$20,232	\$20,232								
Security Gates at Garden Grove, Santa Ana, Anaheim bases		\$3,798					\$3,798				
Standby backup generators at Anaheim and IRCC bases		\$1,374					\$1,374				
Transit Security and Operations Center		\$68,261			\$3,660	\$10,381	\$43,828	\$5,603			\$4,789
Transit service expansion planning		\$9,000	\$9,000								
Vanpool Program - capital lease		\$12,838	\$12,838								
Zero emission bus and bus facility		\$115,594	\$115,594								



Capital Funding Program Report

Pending Approval by OCTA Board of Directors - February 12, 2024

Bus Transit Project											
Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
Zero-emission Bravo! buses (ten-battery electric) and bus infrastructure		\$14,004					\$6,466	\$7,538			
Zero-Emission Paratransit Vehicle Pilot		\$5,016		\$2,508				\$2,507			\$1
Bus Transit Project Totals		\$1,296,251	\$211,675	\$593,432	\$3,660	\$12,915	\$65,116	\$69,202	\$5,730	\$57,245	\$277,276

Federal Funding Total	\$808,767
State Funding Total	\$147,233
Local Funding Total	\$340,251
Total Funding (000's)	\$1,296,251

Bus Transit Project Completed											
Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
ACCESS and fixed-route radio systems upgrade		\$22,465		\$4,434	\$341			\$16,239			\$1,451
Bravo! 529 buses (six)		\$3,595	\$549					\$3,046			
Bus replacement - articulated alternative fuel buses (60')		\$31,105	\$22,250	\$8,855							
Bus replacement (40' and ACCESS)		\$149,009	\$29,198	\$68,139							\$51,672
Engine rebuild		\$16,294		\$14,824				\$1,470			
FTA Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities		\$3,657		\$3,657							
FTA Section 5316 Jobs Access and Reverse Commute		\$13,962		\$13,962							
FTA Section 5317 New Freedom		\$6,388		\$6,388							
Goldenwest Transportation Center parking structure		\$4,000	\$3,400								\$600
Goldenwest Transportation Center surface lot		\$2,000						\$1,200			\$800
Heating ventilation unit replacements		\$405		\$313			\$92				
iShuttle replacement buses (12)		\$6,760					\$6,084				\$676
MSRC County Transportation Commission Partnership Program		\$2,761						\$1,924			\$837
Purchase 201 40-foot alternative fuel replacement buses (OCTA)		\$94,599		\$64,148							\$30,451
Transit Security Program		\$3,167						\$3,167			
VSS upgrades at OCTA facilities		\$1,159		\$960				\$199			
Zero-emission hydrogen fuel cell buses (ten)		\$12,978					\$5,640	\$7,338			
Bus Transit Project Completed Totals		\$374,304	\$55,397	\$185,680	\$341		\$11,816	\$34,583			\$86,487

Federal Funding Total	\$241,418
State Funding Total	\$46,399
Local Funding Total	\$86,487
Total Funding (000's)	\$374,304



Capital Funding Program Report

Pending Approval by OCTA Board of Directors - February 12, 2024

Acronyms:

ATN - Anaheim Transportation Network
Board - Board of Directors
CMAQ - Congestion Mitigation Air Quality Improvement Program
DCFC - Direct Current Fast Charging
FTA - Federal Transit Administration
FY - Fiscal Year
IRCC - Irvine Construction Circle
M Code - Project Codes in Measure M1 and M2
M1 - Measure M1
M2 - Measure M2
MSRC - Mobile Source Air Pollution Reduction Review Committee
OCTA - Orange County Transportation Authority
SB 1 - SB 1 (Chapter 5, Statutes of 2017)
STBG - Surface Transportation Block Grant
STIP - State Transportation Improvement Program
VSS - Video Surveillance System



Capital Funding Program Report

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Local Road Project											
Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
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	\$329,811						\$24,254		\$305,557	
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	\$133,778	\$1,774					\$11,762	\$4,546	\$115,696	
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	\$58,258								\$58,258	
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			
Future Complete Streets Call for Projects		\$55,000	\$55,000								
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 Loop - Segment A		\$38,233				\$38,233					
Pavement Management Relief Funding Program		\$9,469			\$3,811			\$5,658			
Santa Ana - Garden Grove Rails to Trails		\$7,650			\$3,750	\$3,900					
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
Local Road Project Totals		\$1,473,586	\$121,888		\$94,232	\$128,930	\$13,557	\$74,716	\$39,826	\$891,835	\$108,602
Federal Funding Total		\$216,120									
State Funding Total		\$217,203									
Local Funding Total		\$1,040,263									
Total Funding (000's)		\$1,473,586									

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



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Local Road Project Completed											
Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
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 rehabilitation 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 12, 2024

Acronyms:

ARRA - American Recovery and Reinvestment Act of 2009

Board - Board of Directors

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



Capital Funding Program Report

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Rail Project											
Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
OC Streetcar (New Starts)	M1/S	\$579,157	\$108,132	\$171,961				\$175,427		\$123,637	
OC Streetcar (non-New Starts)	M1/S	\$16,702		\$342					\$6,904	\$9,313	\$143
OC Streetcar (operations and potential future capital needs)	M1/S	\$22,000	\$22,000								
Anaheim Canyon Station	R	\$34,200	\$30,432							\$2,000	\$1,768
Cyprus Shore Initial Track Stabilization Projects (MP 206.8)	R	\$8,000								\$7,000	\$1,000
Cyprus Shore Track Stabilization Projects (MP 206.8)	R	\$13,710	\$6,000		\$1,010	\$6,000					\$700
Fullerton Transportation Center stair rehabilitation	R	\$1,065		\$1,030							\$35
Future VSS	R	\$217		\$174							\$43
Laguna Niguel to San Juan Capistrano passing siding	R	\$35,956	\$24,652	\$1,015		\$3,000		\$6,734			\$555
Metrolink new capital	R	\$5,384	\$2,121	\$3,263							
Metrolink rehabilitation/renovation - FY 2021-22 to FY 2025-26	R	\$162,108		\$162,108							
Metrolink station and track improvements, and rehabilitation	R	\$3,063		\$2,617							\$446
Orange Olive Wye connection	R	\$16,000				\$16,000					
Placentia Commuter Rail Station	R	\$34,825	\$50			\$2,500		\$400		\$8,000	\$23,875
Preventive maintenance (SCRRRA - Metrolink)	R	\$72,353		\$72,353							
San Juan Creek Bridge replacement	R	\$65,670	\$908	\$39,833	\$913		\$5,578	\$17,059		\$1,379	
SCRRRA operating subsidy assistance	R	\$2,510								\$2,510	
Slope and culvert improvements	R	\$300		\$300							
Slope stabilization Laguna Niguel-Lake Forest	R	\$5,168		\$4,834						\$334	
State College grade separation (LOSSAN)	R	\$79,284						\$46,000		\$33,284	
Tactile tile project	R	\$1,569		\$1,538						\$31	
VSS at commuter rail stations	R	\$4,409		\$3,594				\$56			\$759
M2 Project S Transit extensions to Metrolink (Rubber Tire)	S	\$733								\$733	
OC Streetcar operations	S	\$19,500	\$19,500								
Irvine Station Improvement Project		\$6,330						\$6,330			
OC Maintenance Facility		\$91,428		\$198		\$20,000		\$71,230			
San Clemente Track Protection (MP 204.6)		\$5,000								\$5,000	
Rail Project Totals		\$1,286,641	\$213,795	\$465,160	\$1,923	\$47,500	\$5,578	\$323,236	\$6,904	\$193,221	\$29,324
Federal Funding Total		\$680,878									
State Funding Total		\$376,314									
Local Funding Total		\$229,449									
Total Funding (000's)		\$1,286,641									



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Rail Project Completed											
Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
Fullerton Transportation Center parking expansion	M1/R	\$33,667				\$11,250		\$11,035	\$9,718		\$1,664
Laguna Niguel-Mission Viejo Station parking improvements and expansion (ADA ramps)	M1/R	\$5,581	\$3,204	\$732					\$1,645		
Metrolink Grade Crossing safety improvements (OCX)	M1/R	\$80,618						\$18,250	\$7,600	\$30,710	\$24,058
Metrolink rolling stock	M1/R	\$158,009	\$42,230	\$35,390				\$36,300	\$44,089		
Metrolink service track expansion	M1/R	\$119,957						\$51,399	\$68,558		
Orange Transportation Center parking structure	M1/R	\$31,003	\$2,555	\$2,644		\$13,762			\$1,850	\$420	\$9,772
Sand Canyon Avenue grade separation	M1/R	\$62,050	\$10,536					\$28,192	\$3,116	\$5,352	\$14,854
M2 Project S Fixed-Guideway Anaheim Rapid connection	M1/S	\$9,924		\$1,516					\$6,000	\$1,286	\$1,122
Anaheim Regional Intermodal Transportation Center (ARTIC) construction	M1/T	\$184,164	\$33,250	\$37,253	\$3,501	\$29,219			\$43,900	\$35,291	\$1,750
Fullerton Transportation Station expansion planning, environmental PSR	M1/T	\$0	\$0						\$0		
Santa Ana grade separation planning and environmental PSR	M1/T	\$1,333	\$1,180						\$153		
Santa Ana Transportation Station planning and environmental PSR	M1/T	\$1,003	\$888						\$115		
17th Street grade separation environmental	R	\$2,476								\$2,476	
Control Point at 4th Street	R	\$2,985		\$2,985							
Control Point Stadium crossover	R	\$6,490		\$3,245				\$3,245			
LOSSAN Corridor grade separations PSR in Anaheim, Orange, and Santa Ana	R	\$2,699								\$2,699	
Metrolink grade crossing safety improvements ROW	R	\$3,025								\$3,025	
North Beach crossings safety enhancements	R	\$348						\$166		\$182	
Positive Train Control (Metrolink)	R	\$39,916		\$4,492	\$1,234			\$34,190			
Rail Crossing signal lights and pedestrian gates	R	\$252						\$252			
Rail station platform safety improvements (Fullerton, Irvine, and Tustin)	R	\$553						\$553			
Safety repairs for San Clemente Pier Station	R	\$122						\$122			
San Clemente Beach Trail crossings safety enhancements	R	\$4,999						\$2,170		\$2,251	\$578
Ticket vending machines	R	\$6,857									\$6,857
Transit Rail Security (monitors, fencing, video surveillance)	R	\$163						\$163			
Go Local	S	\$7,730							\$7,730		
ARTIC environmental, ROW, program management support, site plan	M1	\$41,369							\$8,869		\$32,500
Fiber Optics installation (Metrolink)	M1	\$23,183		\$10,903				\$10,479	\$1,801		
Laguna Niguel-Mission Viejo Station parking expansion (south lot)	M1	\$4,135						\$695	\$3,440		
Tustin Rail Station parking expansion	M1	\$15,390				\$1,100		\$7,181	\$7,109		
Rail Project Completed Totals		\$850,001	\$93,843	\$99,160	\$4,735	\$55,331		\$204,392	\$215,693	\$83,692	\$93,155
Federal Funding Total		\$197,738									
State Funding Total		\$259,723									
Local Funding Total		\$392,540									
Total Funding (000's)		\$850,001									



Capital Funding Program Report

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Acronyms:

ADA - Americans with Disabilities Act

Board - Board of Directors

CMAQ - Congestion Mitigation Air Quality Improvement Program

FFY - Federal Fiscal Year

FTA - Federal Transit Administration

FY - Fiscal Year

LOSSAN - Los Angeles-San Diego-San Luis Obispo Rail Corridor

M Code - Project Codes in Measure M1 and M2

M1 - Measure M1

M2 - Measure M2

MP - Mile Post

OC - Orange County

OCTA - Orange County Transportation Authority

OCX - Rail-Highway Grade Crossing/Safety Enhancement Project

PSR - Project Study Report

ROW - Right-of-Way

SB 1 - SB 1 (Chapter 5, Statutes of 2017)

SCRRA - Southern California Regional Rail Authority/Metrolink

STBG - Surface Transportation Block Grant

STIP - State Transportation Improvement Program

VSS - Video Surveillance System



Capital Funding Program Report

Pending Approval by OCTA Board of Directors - February 12, 2024

State Highway Project

Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
I-5 widening, I-405 to Yale Avenue (Segment 1)	B	\$205,794	\$47,473		\$5,421	\$95,338	\$11,374			\$46,188	
I-5 widening, Yale Avenue to SR-55 (Segment 2)	B	\$41,351	\$32,527							\$8,824	
I-5 widening, Alicia Parkway to El Toro Road (Segment 3)	C	\$202,643	\$49,897		\$4,728		\$16,915			\$131,103	
I-5 widening, Oso Parkway to Alicia Parkway (Segment 2)	C	\$228,675	\$48,676		\$7,921					\$172,078	
I-5 widening, SR-73 to Oso Parkway (Segment 1)	C	\$244,269	\$28,167		\$6,433	\$91,977		\$29,832		\$87,860	
I-5, SR-73 to El Toro Road landscaping/replacement planting	C	\$12,335	\$790			\$6,000				\$5,545	
I-5/El Toro Interchange	D	\$9,713	\$9,213							\$500	
SR-55 (I-5 to SR-91)	F	\$22,045	\$8,359		\$2,641					\$11,045	
SR-55 widening between I-405 and I-5	F	\$505,720	\$160,500		\$42,375	\$80,000	\$140,000			\$82,845	
SR-57 Orangewood Avenue to Katella Avenue	G	\$73,621	\$11,500		\$3,240					\$58,881	
SR-57 truck climbing lane phase II: Lambert Road to LA County Line	G	\$24,500				\$24,500					
SR-91, Acacia Avenue to La Palma Avenue (Segment 3)	I	\$18,171	\$1,770							\$30	\$16,371
SR-91, La Palma Avenue to SR-55 (Segment 2)	I	\$46,314	\$3,460							\$40	\$42,814
SR-91, SR-55 to Lakeview Avenue (Segment 1)	I	\$115,464	\$1,770		\$12,340		\$42,566			\$30	\$58,758
SR-91, SR-57 to SR-55 (Segment 1,2 and 3) Outreach	I	\$2,000									\$2,000
SR-91, SR-241 to I-15	J	\$41,800									\$41,800
I-405 improvements, SR-73 to I-605	K	\$2,159,999	\$35,000		\$10,648			\$89,771		\$1,395,650	\$628,930
I-405 (I-5 to SR-55)	L	\$8,000	\$8,000								
I-605/ Katella Avenue interchange	M	\$34,464	\$17,800							\$16,664	
241/91 Express Lanes (HOT) connector		\$182,298	\$50								\$182,248
I-5 Managed Lane Project from Avenida Pico to San Diego County Line		\$24,228	\$23,478								\$750
SR-74 - Gap closure for 0.9 mile and multimodal improvements		\$87,513	\$30,000		\$4,250	\$43,913				\$7,200	\$2,150
SR-74 widening, City/County line to Antonio Parkway		\$40,905	\$5,285			\$10,000					\$25,620
State Highway Project Totals		\$4,331,822	\$523,715		\$99,997	\$351,728	\$210,855	\$119,603		\$2,024,483	\$1,001,441
Federal Funding Total		\$623,712									
State Funding Total		\$682,186									
Local Funding Total		\$3,025,924									
Total Funding (000's)		\$4,331,822									

State Highway Project Completed

Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
I-5 from SR-55 to SR-57, add one HOV lane each direction	A	\$41,500	\$36,191							\$5,309	
I-5 HOV lane each direction s/o PCH to San Juan Creek Road	C	\$74,300	\$11,326					\$20,789		\$42,185	
I-5 HOV lanes from s/o Avenida Vista Hermosa to s/o PCH	C	\$75,300	\$12,065			\$46,779				\$16,456	
I-5 HOV lanes: s/o Avenida Pico to s/o Vista Hermosa	C	\$83,500	\$26,867		\$1,600	\$43,735				\$11,298	



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State Highway 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
I-5/SR-74 interchange improvements	D	\$80,300				\$48,683		\$24,109	\$2,500		\$5,008
I-5/SR-74 interchange landscaping/replacement planting	D	\$1,440			\$752	\$688					
SR- 57 n/b widening, Katella Avenue to Lincoln Avenue - landscaping	G	\$2,172								\$2,172	
SR- 57 n/b widening, SR-91 to Yorba Linda Boulevard - landscaping	G	\$946								\$946	
SR-57 n/b widening, Katella Avenue to Lincoln Avenue	G	\$35,827						\$24,127		\$11,700	
SR-57 n/b widening, SR-91 to Yorba Linda Boulevard	G	\$51,354						\$39,475		\$11,879	
SR-57 n/b widening, Yorba Linda to Lambert Road	G	\$52,871						\$41,250		\$11,621	
SR-57 n/b widening, Yorba Linda to Lambert Road - landscaping	G	\$1,193								\$1,193	
SR-91 w/b connect existing aux lanes, I-5 to SR-57	H	\$62,977						\$27,227		\$35,750	
SR-91 w/b connecting existing aux lanes, I-5 to SR-57 - landscaping	H	\$2,290								\$2,290	
SR-91 w/b (SR-55 - Tustin interchange) improvements	I	\$43,753				\$15,753		\$14,000		\$14,000	
SR-91 e/b widening, SR-241 to SR-71	J	\$57,773			\$45,911					\$6,942	\$4,920
SR-91 w/b routes 91/55 - e/o Weir Canyon Road replacement planting	J	\$2,898				\$2,898					
SR-91 widening, SR-55 to Gypsum Canyon (Weir Canyon Road/SR-241)	J	\$76,993				\$22,250		\$54,045		\$698	
I-405 s/b aux lane - University Drive to Sand Canyon and Sand Canyon to SR-133		\$2,328				\$2,328					
I-405/SR-22/I-605 HOV connector - landscaping		\$4,600	\$4,600								
HOV connectors from I-405 and I-605	M1	\$173,091	\$14,787					\$135,430	\$16,200		\$6,674
HOV connectors from SR-22 to I-405	M1	\$115,878	\$64,375		\$49,625				\$1,878		
State Highway Project Completed Totals		\$1,043,284	\$170,211		\$97,888	\$183,114		\$380,452	\$20,578	\$174,439	\$16,602
	Federal Funding Total	\$268,099									
	State Funding Total	\$563,566									
	Local Funding Total	\$211,619									
	Total Funding (000's)	\$1,043,284									



Capital Funding Program Report

Pending Approval by OCTA Board of Directors - February 12, 2024

Acronyms:

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



COMMITTEE TRANSMITTAL

February 12, 2024

To: Members of the Board of Directors

From: Andrea West, Clerk of the Board

Subject: Amendments to the Master Plan of Arterial Highways

Regional Transportation Planning Committee Meeting of February 5, 2024

Present: Directors Do, Dumitru, Federico, Harper, and Stephens

Absent: Directors Foley and Khan

Committee Vote

This item was passed by the Members present.

Committee Recommendations

A. Conditionally approve the proposed amendments to the Master Plan of Arterial Highways for the facilities listed below within the City of Anaheim:

1. Reclassify Disney Way, from a major (six-lane, divided) arterial to a primary (four-lane divided) arterial, between Harbor Boulevard and Anaheim Boulevard.
2. Remove Gene Autry Way, an unconstructed major (six-lane, divided) arterial, between Harbor Boulevard and Haster Street.
3. Remove Clementine Street, an unconstructed secondary (four-lane, undivided) arterial, between Katella Avenue and Orangewood Avenue.

Final approval of the proposed amendment is contingent upon the Orange County Transportation Authority receiving documentation that the City of Anaheim has amended its general plan and has complied with the California Environmental Quality Act requirements.

Should the proposed Master Plan of Arterial Highways amendment not be reflected within an approved general plan within three years, the conditional approval will expire, and it must be returned to the Orange County Transportation Authority Board of Directors for reconsideration and action in order to proceed.




Should the proposed Master Plan of Arterial Highways amendment be modified for any reason after receiving conditional approval, the modified Master Plan of Arterial Highways amendment will be returned to the Orange County Transportation Authority Board of Directors for reconsideration and action.

- B. Direct the Executive Director of Planning, or his designee, to file a Notice of Exemption from the California Environmental Quality Act for the Master Plan of Arterial Highways amendments.
- C. Receive and file a status report on the active Master Plan of Arterial Highways amendments.



February 5, 2024

To: Regional Transportation Planning Committee
From: Darrell E. Johnson, Chief Executive Officer 
Subject: Amendments to the Master Plan of Arterial Highways

Overview

The Orange County Transportation Authority administers the Master Plan of Arterial Highways for Orange County, including the review and approval of amendments requested by local agencies. The City of Anaheim has requested an amendment to the Master Plan of Arterial Highways that is recommended for conditional approval. A status report on the previous Master Plan of Arterial Highways amendments that are conditionally approved is also provided.

Recommendations

- A. Conditionally approve the proposed amendments to the Master Plan of Arterial Highways for the facilities listed below within the City of Anaheim:
1. Reclassify Disney Way, from a major (six-lane, divided) arterial to a primary (four-lane divided) arterial, between Harbor Boulevard and Anaheim Boulevard.
 2. Remove Gene Autry Way, an unconstructed major (six-lane, divided) arterial, between Harbor Boulevard and Haster Street.
 3. Remove Clementine Street, an unconstructed secondary (four-lane, undivided) arterial, between Katella Avenue and Orangetown Avenue.

Final approval of the proposed amendment is contingent upon the Orange County Transportation Authority receiving documentation that the City of Anaheim has amended its general plan and has complied with the California Environmental Quality Act requirements.

Should the proposed Master Plan of Arterial Highways amendment not be reflected within an approved general plan within three years, the conditional approval will expire, and it must be returned to the Orange County Transportation Authority Board of Directors for reconsideration and action in order to proceed.

Should the proposed Master Plan of Arterial Highways amendment be modified for any reason after receiving conditional approval, the modified Master Plan of Arterial Highways amendment will be returned to the Orange County Transportation Authority Board of Directors for reconsideration and action.

- B. Direct the Executive Director of Planning, or his designee, to file a Notice of Exemption from the California Environmental Quality Act for the Master Plan of Arterial Highways amendments.
- C. Receive and file a status report on the active Master Plan of Arterial Highways amendments.

Background

The Master Plan of Arterial Highways (MPAH) coordinates roadway system planning across Orange County jurisdictions. The MPAH was first adopted by the County of Orange in 1956 and in 1995, the Orange County Transportation Authority (OCTA) assumed administration responsibilities.

OCTA is responsible for maintaining the integrity and continuity of the MPAH system as it evolves by reviewing changes proposed by local jurisdictions for potential transportation-related concerns and facilitating interagency collaboration to avoid unintended impacts in neighboring jurisdictions. Details on a requested amendment by the City of Anaheim (City) are presented below, along with a status report of MPAH amendments that are in process.

Discussion

The City is proposing changes to the MPAH network in the Anaheim Resort area to support planning efforts related to the DisneylandForward project. The requested changes to the roadway system will allow the City to better manage plans to expand the theme parks, retail, hotels, and parking in the area.

Consistent with the MPAH amendment process described in OCTA's Guidance for Administration of the MPAH, the City has submitted a letter (Attachment A) requesting the following amendments to the MPAH:

- Reclassify Disney Way from a major (six-lane, divided) arterial to a primary (four-lane divided) arterial between Harbor Boulevard and Anaheim Boulevard;
- Remove Gene Autry Way, an unconstructed major (six-lane, divided) arterial, between Harbor Boulevard and Haster Street; and
- Remove Clementine Street, an unconstructed secondary (four-lane, undivided) arterial, between Katella Avenue and Orangewood Avenue.

The proposed MPAH amendments are illustrated in Attachment B.

Staff reviewed the traffic analysis provided by the City and met with the City to discuss OCTA's assessment. Following the review and consultation, staff concurs with the City's traffic analysis, indicating that forecasted changes to traffic volumes due to the proposed changes can be accommodated at an acceptable level of service. Therefore, the requested amendments do not result in any significant adverse impacts to the MPAH system within the City or in any partner agency jurisdictions. As such, the MPAH amendment request is recommended for approval. Additional details on the proposed changes are provided below.

Reclassification – Disney Way

The City has requested the reclassification of Disney Way, between Harbor Boulevard and Anaheim Boulevard on the MPAH, from a major (six-lane, divided) arterial to a primary (four-lane divided) arterial. This segment is currently built as a major arterial. The proposed reconfiguration is intended to support future land-use changes in the Anaheim Resort area. This includes using a portion of the existing Disney Way right-of-way to accommodate proposed new development.

The MPAH buildout network was modeled to forecast 2045 traffic conditions. The model indicates that this segment of Disney Way will have unimpeded traffic flow (9,000 to 15,000 daily vehicles) with the proposed amendment. These traffic volumes are well within the acceptable level of service for primary arterials, which typically can accommodate up to 30,000 average daily traffic. As such, the proposed reclassification does not result in any significant adverse impacts to the MPAH system.

Deletion – Unbuilt portions of Gene Autry Way and Clementine Street

The City also requested the deletion of a segment of Gene Autry Way, between Harbor Boulevard and Haster Street, as well as a segment of Clementine Street, between Katella Avenue and Orangewood Avenue. While these segments of Gene Autry Way and Clementine Street are planned as a major arterial and a secondary (four-lane, undivided) arterial, respectively, they are both currently unbuilt. Based on the existing and forecasted traffic conditions, removing these facilities from the MPAH does not result in any significant adverse impacts to the MPAH roadways in the vicinity.

California Environmental Quality Act (CEQA)

Amendments to the MPAH are exempt from CEQA review. With direction from the Board of Directors (Board), staff will file a Notice of Exemption from CEQA for the proposed MPAH amendment.

MPAH Amendment Status Update

There are currently 13 active amendments proposed for the MPAH that are conditionally approved by the Board. These amendments are detailed in Attachment C. Many of the active amendments are awaiting local action to amend their respective general plans. Others are either under review, in the cooperative study process, pending resolution of issues with other agencies, or are awaiting refinement of development plans.

Summary

The City of Anaheim has requested amendments to the MPAH. Based on an analysis of the requested changes, the MPAH Guidance has been satisfied, and staff recommends Board approval. Additionally, a summary of active MPAH amendments is provided as information for the Board.

Attachments

- A. Letter from Rudy Emami, P.E., Director of Public Works, City of Anaheim, to Kurt Brotcke, Orange County Transportation Authority, dated July 27, 2023, re: City of Anaheim Master Plan of Arterial Highways Amendment Request - DisneylandForward
- B. Anaheim MPAH Amendment Map
- C. Status Report on Pending Master Plan of Arterial Highways Amendments

Prepared by:

Ivy Hang
Senior Transportation Analyst
(714) 560-5684

Approved by:

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

City of Anaheim
DEPARTMENT OF PUBLIC WORKS

ATTACHMENT A



July 27, 2023

RECEIVED
AUG 10 2023
PLANNING DIVISION

Mr. Kurt Brotcke
Orange County Transportation Authority
550 S. Main Street
Orange, CA 92868

RE: City of Anaheim Master Plan of Arterial Highways Amendment Request
– DisneylandForward

Dear Mr. Brotcke:

The City of Anaheim (City) would like to request initiation of the Orange County Transportation Authority's (OCTA) Master Plan of Arterial Highways (MPAH) amendment process to support implementation of proposed land use relocations associated with DisneylandForward.

More specifically, the City would like to request OCTA's approval of the following MPAH changes.

- Reclassify Disney Way (from Harbor Boulevard to Anaheim Boulevard) from a major arterial to a primary arterial;
- Remove the planned extension of Gene Autry Way (from Harbor Boulevard to Haster Street); and
- Remove the planned extension of Clementine Street (from Katella Avenue to Orangewood Avenue).

Based upon Orange County Traffic Analysis Model (OCTAM) results (attached), these proposed MPAH modifications produce minimal MPAH circulation changes within the Anaheim Resort. The changes on Disney Way are relatively minor and diverted traffic resulting from the removal of the Gene Autry Way and Clementine Street planned extensions result in limited traffic diversion to immediately parallel arterials. Further, it should be noted that all traffic diversions occur solely within the City and all volume to capacity ratios remain below 1.0.

Given these conclusions, the City would likely to respectfully request that the OCTA initiate the MPAH amendment process for these changes. Thank you for your assistance in this matter; we look forward to working with OCTA on processing these important MPAH changes in support of DisneylandForward.

Should you have any questions regarding this MPAH amendment request, please feel free to contact Rafael Cobian, City Traffic Engineer, at (714) 765-4991.

Sincerely,

A handwritten signature in blue ink, appearing to read 'R. Emami', with a long horizontal flourish extending to the right.

Rudy Emami, P.E.
Director of Public Works

c. Rafael Cobian, City Traffic Engineer

Attachment

Anaheim MPAH Amendments OCTAM Modeling



June 2023

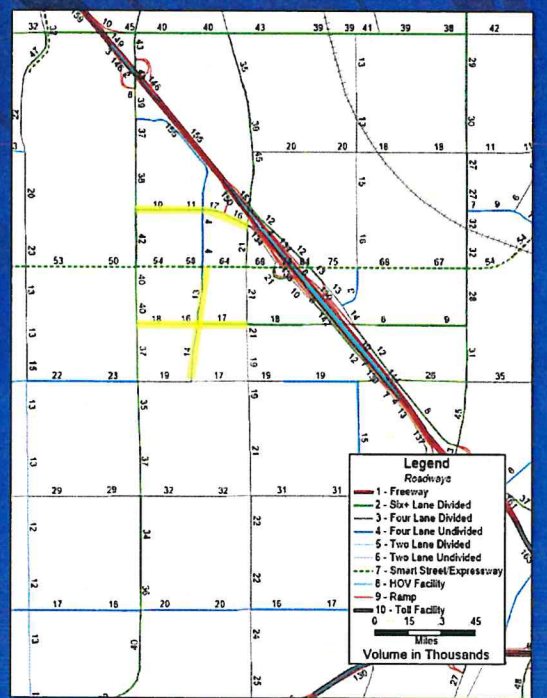
1

Anaheim MPAH Amendments

- Proposed MPAH amendments in the City of Anaheim to accommodate new Disneyland development plans
 - Reclassify Disney Way from major to primary
 - Remove extension of Gene Autry Way
 - Remove extension of Clementine St
- Analyzed proposed amendments using OCTAM 5.0 forecast year 2045

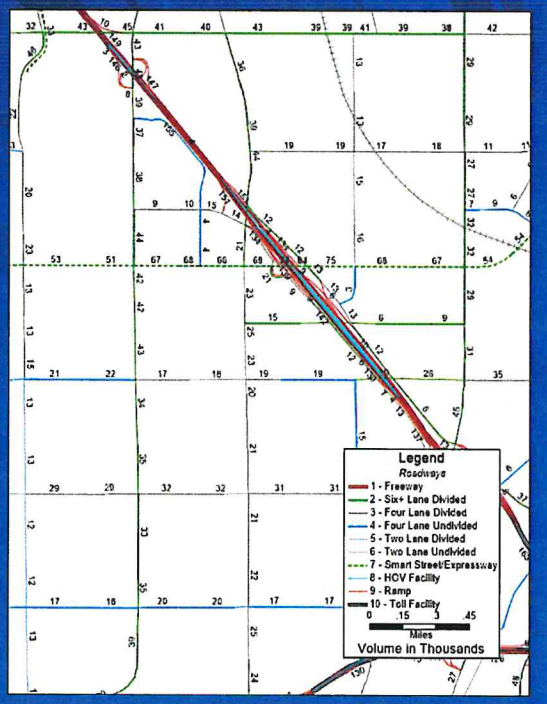
2

2045 ADTs with Existing MPAH



3

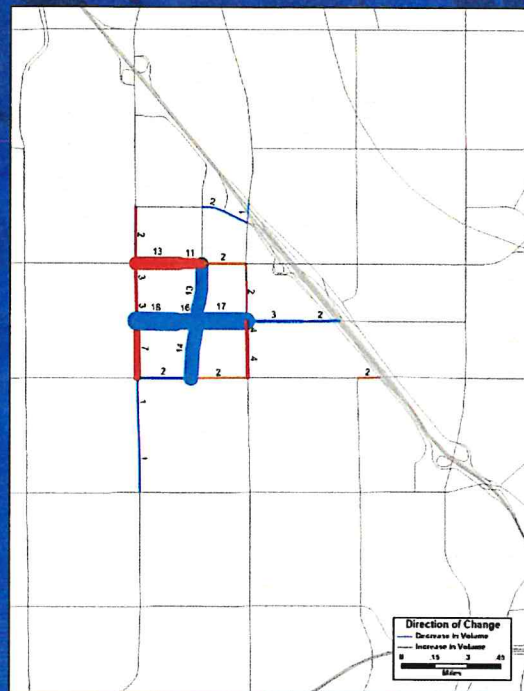
2045 ADTs with Amendments



4

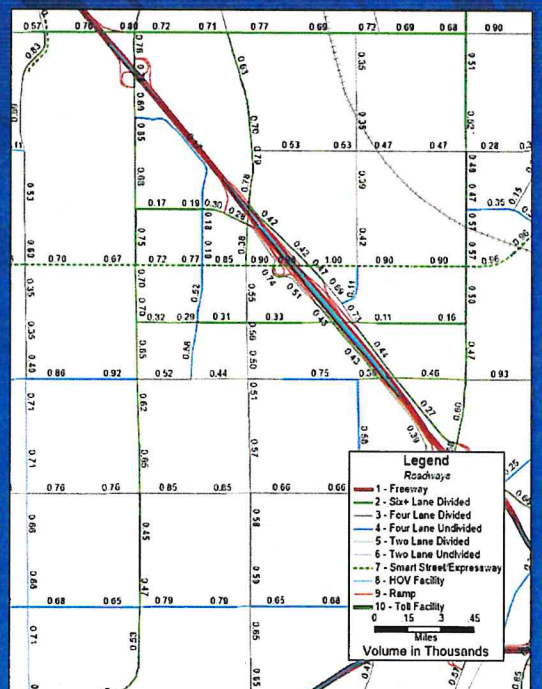
2045 ADTs: Amendments vs MPAH

- Little change from Disney Wy reclassification
- Traffic from removed roads diverted onto parallel arterials, but had little impact elsewhere



5

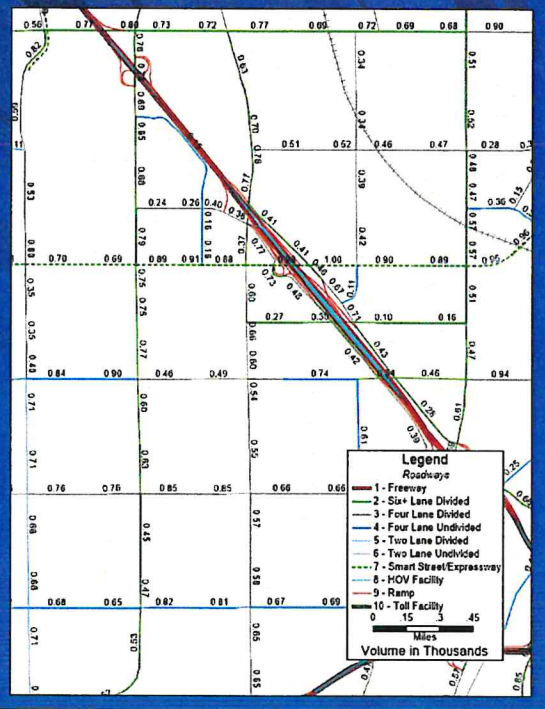
2045 MPAH V/C Existing MPAH



6

2045 MPAH V/C with Amendments

- Disney Wy retains relatively low V/Cs
- Arterials with increased volumes have V/Cs less than 1.0.



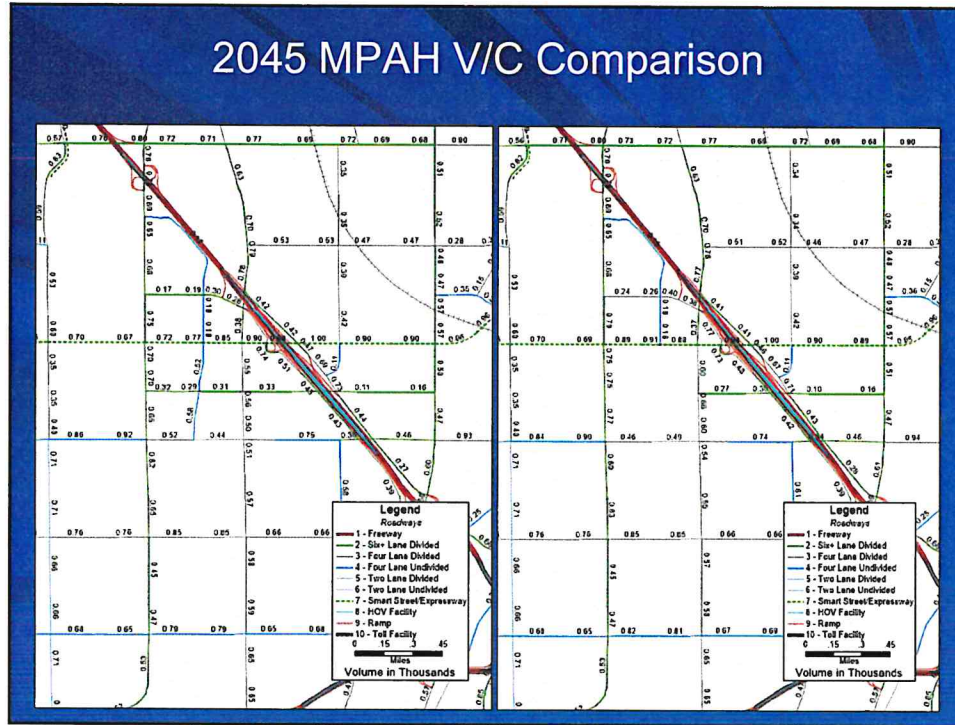
7

Summary

- Reclassification of Disney Wy had marginal impact
- Removal of proposed roadway extensions had localized impacts on parallel arterials
 - All changes on City of Anaheim facilities
 - MPAH V/C ratios remained less than 1.0
- DisneylandForward LOS Report documented segment-level impacts similar to or more conservative than this analysis

8

2045 MPAH V/C Comparison

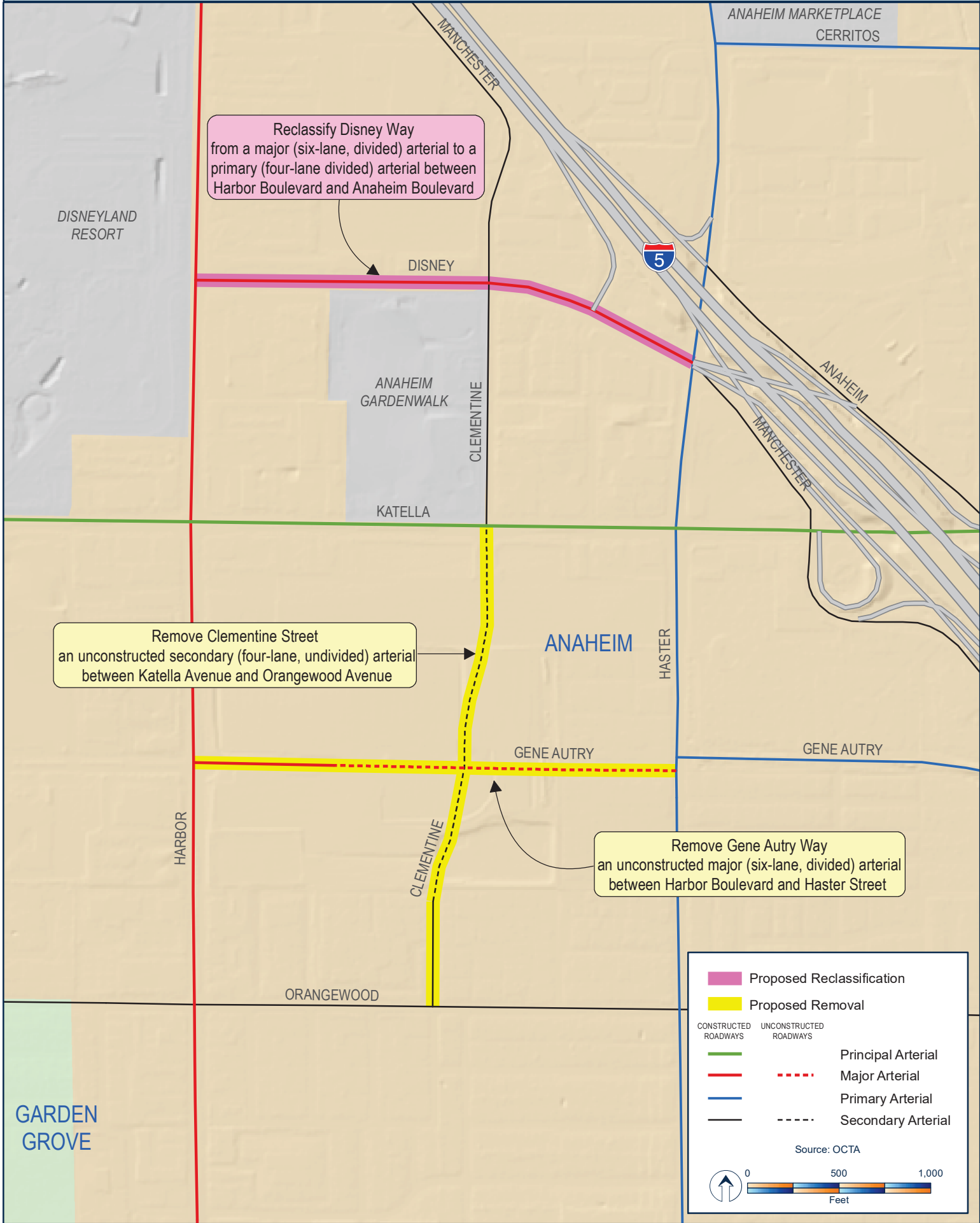


9

OCTAM Summary Statistics

	2019	2045 No Build	2045 Low Build	2045 M2 Sunset (Synch Removed 10%)	2045 Preferred 1
Daily Vehicle Trips	10,622,705	11,524,705	11,585,357	11,567,627	10,350,867
Daily Transit Trips	130,761	138,051	132,685	129,177	185,129
Total Vehicle Hours of Delay	341,299	453,901	450,249	408,119	315,839
Delay as a Percent of Travel Time	15%	18%	18%	16%	14%
Daily Vehicle Hours Traveled	2,210,641	2,463,235	2,508,467	2,604,913	2,317,586
Daily Vehicle Miles Traveled	76,396,589	81,852,780	84,491,470	85,681,639	82,081,090
Avg. Spd. - Freeways Peak	41.22	39.74	40.40	40.49	41.79
Avg. Spd. - Arterials Peak	26.0	25.2	25.2	23.7	26.8

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Status Report on Pending Master Plan of Arterial Highways Amendments

#	Jurisdiction	Street	From	To	Type of Amendment	Status	Board Approval Date
1	Brea / County of Orange	Tonner Canyon Road	Brea Canyon Road	Planned Valencia Avenue	Delete	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.	7/12/2021
2	Brea / County of Orange	Valencia Avenue	Carbon Canyon Road	Planned Tonner Canyon Road	Delete	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.	7/12/2021
3	Costa Mesa	Bluff Road	19th Street	Victoria Street	Delete	On hold pending final consensus between Costa Mesa and Newport Beach on circulation plans.	
4	Costa Mesa	19th Street	Placentia Avenue	West City Limit	Reclassify from primary to divided collector	On hold pending final consensus between the cities of Costa Mesa and Newport Beach on circulation plans.	
5	County of Orange / Lake Forest	Santiago Canyon Road	SR-241 NB Ramp	Live Oak Canyon	Reclassify from primary to collector	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.	5/8/2017
6	County of Orange / Irvine	Jeffrey Road	SR-241	Santiago Canyon Road	Delete	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.	5/8/2017
7	County of Orange	Black Star Canyon	Silverado Canyon Road	Orange County/ Riverside County Line	Delete	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.	5/8/2017
8	Santa Ana / Orange	Fairhaven Avenue	Grand Avenue	Tustin Avenue	Reclassify from secondary to divided collector	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.	11/9/2020
9	Irvine	Red Hill Avenue	MacArthur Boulevard	Main Street	Reclassify from major to primary	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.	4/10/2023
10	Fullerton	Associated Road	Bastanchury Road	Imperial Highway	Reclassify	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.	4/10/2023
11	Anaheim	Disney Way	Anaheim Boulevard	Harbor Boulevard	Reclassify	Amendment will be presented to the Board for consideration on 2/12/2024.	n/a
12	Anaheim	Gene Autry Way	Harbor Boulevard	Haster Street	Delete	Amendment will be presented to the Board for consideration on 2/12/2024.	n/a
13	Anaheim	Clementine Street	Katella Avenue	Orangewood Avenue	Delete	Amendment will be being presented to the Board for consideration 2/12/2024.	n/a

Status Report on Pending Master Plan of Arterial Highways Amendments

#	Jurisdiction	Street	From	To	Type of Amendment	Status	Board Approval Date
MOU	Costa Mesa / Fountain Valley/ Huntington Beach	Garfield Avenue/ Gisler Avenue Crossing over the Santa Ana River	Santa Ana River Westbank	Santa Ana River Eastbank	Reclassify from secondary to right-of-way reserve status	The cities of Costa Mesa, Fountain Valley, Huntington Beach, and OCTA entered an MOU (C-6-0834). Reasonable progress has been made on the implementation of 19 of the 25 mitigation measures that were specified. All improvements must be completed by 2025, when OCTA revisit the Garfield Avenue/Gisler Avenue Bridge designation.	

Board – Board of Directors

CEQA – California Environmental Quality Act

MOU – Memorandum of understanding

OCTA - Orange County Transportation Authority

NB – Northbound

SR-241 – State Route 241



COMMITTEE TRANSMITTAL

February 12, 2024

To: Members of the Board of Directors

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

Subject: Second Quarter Fiscal Year 2023-24 Capital Action Plan Performance Metrics

Executive Committee Meeting of February 5, 2024

Present: Directors Chaffee, Do, Jung, Nguyen, and Wagner
Absent: Director Hennessey

Committee Vote

No action was taken on this item.

Staff Recommendation

Receive and file as an information item.



February 5, 2024

To: Executive Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Second Quarter Fiscal Year 2023-24 Capital Action Plan Performance Metrics

Overview

Staff has prepared a quarterly progress report on capital project delivery covering the period of October 2023 through December 2023, 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 and transit capital improvement projects.

Recommendation

Receive and file as an information item.

Background

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

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

Discussion

OCTA's objective is to deliver projects on schedule and within the approved project budget. Key project cost and schedule commitments are captured in the CAP, which is regularly updated with project status and any new

projects (Attachment A). The CAP is categorized into key project groupings of freeway, grade separation, and transit improvement projects. Transit improvement projects include passenger rail, bus transit and maintenance, and OC Streetcar infrastructure projects. Project schedule milestones are used as performance indicators of progress in project delivery. The CAP performance metrics report provides a FY snapshot of the milestones targeted for delivery in the FY and provides transparency and performance measurement of capital project delivery.

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

The CAP summarizes the very complex critical path project 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 when final design work is 100 percent complete and approved.
Construction Ready	The date contract bid documents are ready for advertisement, including certification of ROW, all agreements executed, and contract constraints cleared.
Advertise for Construction	The date a construction contract is advertised for construction bids.
Award Contract	The date the construction contract is awarded.

Construction Complete

The date all construction work is completed, and the project is open to public use.

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



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

The following CAP milestones missed the planned delivery through the second quarter of FY 2023-24:

- Three milestones, the complete design, construction ready, and advertise construction milestones were missed on the tolled State Route 241/ 91 Express Lanes Connector (ELC) which is being implemented by the Transportation Corridor Agencies. The final plans, specifications, and estimates still need to be approved by the California Department of Transportation. In addition, two required environmental revalidations, multiple interagency operating and cooperative agreements, and the California Transportation Commission public hearing approval are outstanding. Revised target dates for these milestones have not been determined.

Recap of FY 2022-23 Performance Metrics Through the Second Quarter

The performance metrics snapshot provided at the beginning of FY 2023-24 reflected four planned major project delivery milestones to be accomplished through the second quarter (Attachment B). One of the four planned milestones was delivered. The three missed milestones are for the ELC project.

Notable CAP Milestone and Cost Updates

The forecast complete environmental milestone for the Interstate 5 (I-5) Improvement Project to add carpool lanes between Avenida Pico and the San Diego County Line was delayed two additional months until December 2024. This allows additional time to refine the vehicle miles traveled modeling, mitigations, and consensus, as well as assure community input is appropriately received and addressed in the public comment phase. Specific funding for delivery phases beyond the environmental phase has not been identified.

The forecast final delivery milestones for the Transportation Security and Operations Center (TSOC) were adjusted to allow for the completion of the required City of Anaheim plan check process.

FY 2023-24 Cost and Performance Metrics Risks

OC Streetcar project construction cost and schedule risks related to contractor performance and design deficiencies continue to challenge the project. Efforts to mediate the lawsuit filed by the contractor against OCTA continue. Staff will continue making regular reports to the Board of Directors (Board) on the status of construction and cost.

The TSOC final design package is still completing plan check with the City of Anaheim. The final engineer's estimate of cost to construct the project is projecting higher than budgeted. Staff will assess the cost estimate and bring any needed programing recommendations to the Board for consideration.

The construction market continues to experience escalation of materials and labor pricing. The Federal Highway Administration maintains the National Highway Construction Cost Index (NHCCI), which reflects quarterly cost increases equivalent to a 15.3 percent annual inflation rate. Since the end of 2020, the NHCCI shows that highway construction costs have increased by 59.3 percent. This will have impacts on estimates and forecast costs of projects not yet in the construction phase.

Summary

Capital project delivery continues to progress and is reflected in the CAP. The planned FY 2023-24 performance metrics created from forecast project schedules will be used as a general project delivery performance indicator throughout the FY. Staff will continue to manage project costs and schedules across all project phases to meet project delivery commitments and report quarterly.

Attachments

- A. Capital Action Plan, Status Through December 2023
- B. Capital Programs Division, Fiscal Year 2023-24 Performance Metrics
 Through December 2023

Prepared by:















A handwritten signature in blue ink, appearing to read 'James G. Beil', is positioned above the printed name.

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

Capital Action Plan

Status Through December 2023
















Updated: January 11, 2024

Capital Projects	Cost Baseline/Forecast	Schedule Plan/Forecast							
		Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
	(millions)								
Freeway Projects:									
I-5, Pico to San Diego County	TBD	Feb-21	Apr-24	TBD	TBD	TBD	TBD	TBD	TBD
	TBD	Feb-21	Dec-24	TBD	TBD	TBD	TBD	TBD	TBD
 I-5, Pico to Vista Hermosa	\$113.0	Jun-09	Dec-11	Jun-11	Oct-13	Feb-14	Oct-14	Dec-14	Aug-18
Project C	\$83.6	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 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 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	Nov-24
 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	Sep-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	\$203.6	Oct-11	May-14	Mar-15	May-19	Apr-20	May-20	Sep-20	Nov-24
 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	Dec-24	Apr-25	Jun-25	Sep-25	Mar-27
 I-5, I-5/El Toro Road Interchange	TBD	Apr-17	Apr-26	TBD	TBD	TBD	TBD	TBD	TBD
Project D Cost/Schedule Risk	TBD	Apr-17	Apr-26	TBD	TBD	TBD	TBD	TBD	TBD
 I-5, I-405 to Yale Avenue	\$230.5	May-14	Aug-18	Oct-21	May-24	May-25	Dec-25	Feb-26	Sep-29
Project B	\$230.5	May-14	Jan-20	Oct-21	Dec-24	May-25	Dec-25	Feb-26	Sep-29
 I-5, Yale Avenue to SR-55	\$200.4	May-14	Aug-18	May-21	Feb-25	Aug-25	Nov-25	Mar-26	Sep-29
Project B Cost/Schedule Risk	\$200.4	May-14	Jan-20	May-21	Jul-24	Aug-25	Nov-25	Mar-26	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
 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 Cost/Schedule Risk	\$505.7	May-11	Aug-17	Sep-17	Apr-20	Sep-21	Dec-21	May-22	Feb-27

Capital Action Plan

Status Through December 2023












Updated: January 11, 2024

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
 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	\$131.3	Dec-16	Mar-20	Aug-22	Jul-25	Dec-25	Apr-26	Jul-26	Oct-29
 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	\$71.8	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	Sep-25	May-28	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)	\$100.9	Jan-15	Oct-18	Mar-20	Jan-23	Aug-23	Oct-23	Feb-24	Sep-27
Project I	\$126.3	Jan-15	Jun-20	Mar-20	Mar-23	Jan-24	Apr-24	Jul-24	Mar-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	\$208.4	Jan-15	Jun-20	Jun-20	Dec-24	Aug-25	Oct-25	Jan-26	Jan-30
 SR-91, Acacia Street to La Palma Ave (Segment 3)	\$116.2	Jan-15	Oct-18	Nov-20	Apr-24	Nov-24	Jan-25	Apr-25	Sep-28
Project I	\$116.2	Jan-15	Jun-20	Nov-20	Aug-24	May-25	Sep-25	Dec-25	Jun-29
 SR-91 (WB), Tustin 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
 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

Capital Action Plan

Status Through December 2023












Updated: January 11, 2024

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
 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, 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
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	Mar-24	Jun-24	Jun-24	Nov-24	Nov-27
 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 Interchange	\$29.0	Aug-16	Nov-18	Dec-20	Mar-23	Jul-23	Nov-23	Feb-24	Nov-25
Project M	\$49.7	Aug-16	Oct-18	Dec-20	Jan-23	Apr-24	Aug-24	Nov-24	Jul-26
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
 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

Capital Action Plan

Status Through December 2023

Updated: January 11, 2024

Capital Projects	Cost	Schedule							
	Baseline/Forecast	Plan/Forecast							
	(millions)	Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
 Tustin Avenue/Rose Drive Railroad Grade Separation	\$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 MP206.8	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project R Cost/Schedule	\$14.9	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 Cost/Schedule Risk	\$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
Cost/Schedule Risk	\$77.8	Jun-17	Jun-20	Jun-20	Feb-24	Feb-24	Mar-24	Dec-24	Dec-26
 Placentia Metrolink Station and Parking Structure	\$34.8	Jan-03	May-07	Oct-08	Jan-11	TBD	TBD	TBD	TBD
Project R Cost/Schedule Risk	\$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	Jun-24	TBD	TBD	TBD	TBD	TBD	TBD
 Irvine Metrolink 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 Metrolink 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
Orange Metrolink 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

Capital Action Plan

Status Through December 2023

Updated: January 11, 2024

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

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 Expressway (State Route 71)

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

SR-22 - Garden Grove Freeway (State Route 22)

HOV - High-Occupancy Vehicle

**Capital Programs Division
Fiscal Year 2023-24 Performance Metrics Through December 2023**

Begin Environmental

Project Description	FY 24 Qtr 1		FY 24 Qtr 2		FY 24 Qtr 3		FY 24 Qtr 4		FY 24 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
No "Begin Environmental" Milestones Scheduled for FY 2023-24									
Total Forecast(Fcst)/Actual	0	0	0	0	0	0	0	0	0

Complete Environmental

Project Description	FY 24 Qtr 1		FY 24 Qtr 2		FY 24 Qtr 3		FY 24 Qtr 4		FY 24 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
Orange County Maintenance Facility					X				
Total Fcst/Actual	0	0	0	0	1	0	0	0	1

Begin Design

Project Description	FY 24 Qtr 1		FY 24 Qtr 2		FY 24 Qtr 3		FY 24 Qtr 4		FY 24 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
No "Begin Design" Milestones Scheduled for FY 2023-24									
Total Fcst/Actual	0	0	0	0	0	0	0	0	0

Complete Design

Project Description	FY 24 Qtr 1		FY 24 Qtr 2		FY 24 Qtr 3		FY 24 Qtr 4		FY 24 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
91 Express Lanes to SR-241 Toll Connector	X								
Total Fcst/Actual	1	0	0	0	0	0	0	0	1

Construction Ready

Project Description	FY 24 Qtr 1		FY 24 Qtr 2		FY 24 Qtr 3		FY 24 Qtr 4		FY 24 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
91 Express lanes to SR-241 Toll Connector			X						
SR-91, SR-55 to Lakeview Avenue (Segment 1)					X				
I-605, I-605/Katella Avenue Interchange							X		
Total Fcst/Actual	0	0	1	0	1	0	1	0	3

Advertise Construction

Project Description	FY 24 Qtr 1		FY 24 Qtr 2		FY 24 Qtr 3		FY 24 Qtr 4		FY 24 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
91 Express lanes to SR-241 Toll Connector			X						
SR-91, SR-55 to Lakeview Avenue (Segment 1)							X		
Total Fcst/Actual	0	0	1	0	0	0	1	0	2

Award Contract

Project Description	FY 24 Qtr 1		FY 24 Qtr 2		FY 24 Qtr 3		FY 24 Qtr 4		FY 24 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
91 Express lanes to SR-241 Toll Connector							X		
Total Forecast/Actual	0	0	0	0	0	0	1	0	1

Complete Construction

Project Description	FY 24 Qtr 1		FY 24 Qtr 2		FY 24 Qtr 3		FY 24 Qtr 4		FY 24 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
Emergency Track Stabilization at Mile Post 206.8	X	✔							
I-405, SR-55 to I-605 (Design-Build)					X				
Total Fcst/Actual	1	1	0	0	1	0	0	0	2

Totals	2	1	2	0	3	0	3	0	10
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Begin Environmental: The date work on the environmental clearance, project report, or preliminary engineering phase begins.

Complete Environmental: The date environmental clearance and project approval is achieved.

Begin Design: The date final design work begins or the date when a design-build contract begins.

Complete Design: The date final design work is 100 percent complete and approved.

Construction Ready: The date contract bid documents are ready for advertisement, right-of-way certified, all agreements executed, and contract constraints are cleared.

Advertise for Construction: The date a construction contract is both funded and advertised for bids.

Award Contract: The date the construction contract is awarded.

Construction Complete: The date all construction work is completed and the project is open to public use.

Acronyms

FY - fiscal year

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

SR-91 - Riverside Freeway (State Route 91)

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

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

SR-57 - Orange Freeway (State Route 57)

I-405 - San Diego Freeway (Interstate 405)

X = milestone forecast in quarter

✔ = milestone accomplished in quarter



COMMITTEE TRANSMITTAL

February 12, 2024

To: Members of the Board of Directors

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

Subject: Consultant Selection for Construction Management Support Services for the State Route 91 Improvement Project Between Acacia Street and La Palma Avenue

Regional Transportation Planning Committee Meeting of February 5, 2024

Present: Directors Do, Dumitru, Federico, Harper, and Stephens
Absent: Directors Foley and Khan

Committee Vote

This item was passed by the Members present.

Committee Recommendations

- A. Approve the selection of Arcadis U.S., Inc. as the firm to provide construction management support services for the State Route 91 Improvement Project between Acacia Street and La Palma Avenue.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-3-2827 between the Orange County Transportation Authority and Arcadis U.S., Inc., to provide construction management support services for the State Route 91 Improvement Project between Acacia Street and La Palma Avenue.



February 5, 2024

To: Regional Transportation Planning Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Consultant Selection for Construction Management Support Services for the State Route 91 Improvement Project Between Acacia Street and La Palma Avenue

Overview

On September 25, 2023, the Orange County Transportation Authority Board of Directors authorized the release of a request for proposals to provide construction management support services for the State Route 91 Improvement Project between Acacia Street and La Palma Avenue. Board of Directors' approval is requested to execute an agreement for these services.

Recommendations

- A. Approve the selection of Arcadis U.S., Inc. as the firm to provide construction management support services for the State Route 91 Improvement Project between Acacia Street and La Palma Avenue.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-3-2827 between the Orange County Transportation Authority and Arcadis U.S., Inc., to provide construction management support services for the State Route 91 Improvement Project between Acacia Street and La Palma Avenue.

Discussion

The Orange County Transportation Authority (OCTA), in partnership with the California Department of Transportation (Caltrans), is implementing the State Route 91 (SR-91) Improvement Project between Acacia Street and La Palma Avenue (Project). The Project is part of Project I in the Measure M2 (M2) freeway program and is being advanced through the updated Next 10 Delivery Plan approved by the OCTA Board of Directors (Board) in November 2023.

The project improvements include westbound (WB) operational improvements between Acacia Street and La Palma Avenue, WB improvements at State College Boulevard, and reconstruction of the La Palma Avenue overcrossing bridge. The Project will also provide a new bypass ramp that allows northbound (NB) State Route 57 (SR-57) traffic to exit at Orangethorpe Avenue in advance of the SR-91/NB SR-57 connector merge. The WB SR-91/NB SR-57 connector will be adjusted to accommodate the bypass ramp. The existing La Palma Avenue overcrossing bridge will be replaced with a new bridge that includes standard vertical clearance and four lanes with shoulders and sidewalks. Caltrans has also developed a multi-asset project (MAP) within the project limits that is funded by the State Highway Operation and Protection Program. Caltrans' MAP scope of work (SOW) includes pavement rehabilitation, existing safety device upgrades, census stations installation, lighting replacement, and conduit replacement. The MAP SOW was combined with the Project at 95 percent design, which was then submitted to Caltrans for review in April 2023.

Pursuant to the existing cooperative agreement with Caltrans for this Project, Caltrans will administer the construction contract. As the implementing agency for the construction phase, Caltrans will provide the resident engineer, structures representative, and other field personnel, along with construction administrative support and environmental monitoring. OCTA will provide consultant field staff for construction inspection, the office engineer, scheduling, claims support, materials testing, and field surveying. Through separate contracts, OCTA will lead the public outreach and freeway service patrol efforts.

Procurement Approach

This procurement was handled in accordance with OCTA's Board-approved procedures for architectural and engineering (A&E) services that conform to both state and federal laws. Proposals are evaluated and ranked in accordance with the qualifications of the firm, staffing and project organization, and work plan approach. As this is an A&E procurement, price is not an evaluation criterion pursuant to state and federal laws. An evaluation of the proposals was conducted based on overall qualifications to develop a competitive range of offerors. The highest-ranked firm is requested to submit a cost proposal, and the final agreement is negotiated. Should negotiations fail with the highest-ranked firm, a cost proposal will be solicited from the second-ranked firm in accordance with Board-approved procurement policies.

On September 25, 2023, the Board authorized the release of Request for Proposals (RFP) 3-2827 which was electronically issued on CAMM NET. The Project was advertised on September 25 and October 2, 2023, in a newspaper of general circulation. A pre-proposal conference was held on October 5, 2023,

with 26 attendees representing 13 firms. Four addenda were issued to make available the pre-proposal conference registration sheets, provide responses to questions received, and handle administrative issues related to the RFP.

On October 30, 2023, six proposals were received. An evaluation committee consisting of members from OCTA's Contracts Administration and Materials Management and Highway Capital Programs departments, as well as external representatives from Caltrans and the City of Anaheim, met to review all submitted proposals. The proposals were evaluated utilizing the following Board-approved evaluation criteria and weightings:

- Qualifications of the Firm 20 percent
- Staffing and Project Organization 40 percent
- Work Plan 40 percent

Several factors were considered in developing the evaluation criteria weightings. Qualifications of the firm was weighted at 20 percent as the firm must demonstrate experience with construction management (CM) support services in performing relevant work of similar scope, size, and complexity. Staffing and project organization was weighted at 40 percent as the qualifications of the project manager (PM) and other key task leaders are critical to understanding the project requirements and to the timely delivery and successful performance of the work. Work plan was equally weighted at 40 percent as an understanding of freeway construction and other required critical activities, such as utility relocations and coordination, control of the contractor's work within temporary construction easement limits, and management of anticipated critical work elements in the risk register is critical to the success of the Project.

The evaluation committee reviewed the six proposals received, based on the evaluation criteria, and found three firms most qualified to perform the required services. The most qualified firms are listed below in alphabetical order:

Firms and Location

Arcadis U.S., Inc. (Arcadis)
Irvine, California

SYRUSA Engineering, Inc. (SYRUSA)
Brea, California

TRC Engineers, Inc. (TRC)
Irvine, California

On December 13, 2023, the evaluation committee interviewed the three short-listed firms. The interviews consisted of a presentation allowing each team to present its qualifications, highlight its proposal, and respond to the evaluation committee's questions. Each firm highlighted its staffing plan, work plan, and perceived project challenges. The firms were asked general questions regarding their approach to the requirements of the SOW, management of the Project, coordination with various agencies, experiences with similar projects, and solutions for achieving the project goals. After considering responses to questions asked during the interviews, the evaluation committee adjusted the preliminary scores for all three firms. Arcadis remained the top-ranked firm with the highest cumulative score.

Based on the evaluation of the written proposals and information obtained during the interviews, staff recommends Arcadis as the top-ranked firm to provide CM services for the Project. The firm ranked the highest among the proposing firms because it submitted a comprehensive proposal that was responsive to all the requirements of the RFP and presented a cohesive interview with focused responses to the interview questions, highlighting the firm's experience, qualified staff, and detailed work plan.

The following is a summary of the proposal evaluation results.

Qualifications of the Firm

All shortlisted firms are well established with recent and relevant experience and are qualified to perform CM support services for the Project. Positive references were received for all three firms.

Arcadis was founded in 1957 and has over 36,000 employees. With over 700 employees in California, the firm has specialized in transportation-related construction projects for Caltrans for the last 30 years. The firm has four offices in Southern California, and over 130 employees in its Orange County office. Arcadis has provided CM support services in Southern California for freeway widening, roadway improvements, interchange improvements, and bridge widening and replacement projects mostly as a prime consultant and as part of an integrated team. Arcadis has demonstrated proficiency in providing CM support services such as inspection for freeway widening, street improvements, bridge and retaining wall construction, traffic management, improved Americans with Disabilities Act pedestrian access, oversight of utility relocations, office engineering, scheduling, claims analysis, constructability review, and Caltrans and public agency coordination. The firm's project experience includes CM services on OCTA's Interstate 5 (I-5) Improvement Project between State Route 73 to Oso Parkway (I-5 Project Segment 1),

San Bernardino County Transportation Authority's (SBCTA) Interstate 15 (I-15)/ Base Line Road Interchange and Widening (I-15/Base Line) Project, Riverside County Transportation Commission's (RCTC) I-15/Railroad Canyon Interchange Improvements Project, and the City of Mission Viejo's La Paz Bridge and Road Widening Project. The firm proposed to utilize three subconsultants. All proposed subconsultants have experience working with Arcadis and will support Arcadis with additional electrical inspection, field materials testing, and survey services.

TRC was founded in 1969 and has 16 offices in California with 700 employees, and 150 offices globally. The firm has an office in Orange County. TRC has demonstrated proficiency in providing CM support services, including inspections for freeway widening, bridge and retaining wall construction, traffic management, office engineering, and Caltrans and public agency coordination. The firm's project experience includes construction inspection and engineering services to Caltrans District 12 (D-12) for the Interstate 405 (I-405) Improvement Project (I-405 Project), design and CM services for I-405/Interstate 605 High-Occupancy Vehicle Connector (HOV), CM services for the I-5 Improvement Project between State Route 55 and State Route 57 (I-5 Central Project) and I-5 Project Segment 1, and Los Angeles County Metropolitan Transportation Authority's (LA Metro) I-5 North Improvements Project. The firm proposed to utilize eight subconsultants. The proposed subconsultants have experience working with TRC and are proposed to support TRC with additional roadway, structures, and electrical inspection, scheduling, field materials testing, and survey services.

SYRUSA was founded in 2009 and has two offices in Southern California with 19 employees. The firm specializes in transportation-related construction projects and structures construction inspection services for highways, bridges, grade separation and roadway construction projects. The firm's relevant experience includes CM support services for Interstate 10 Corridor Express Lanes Project (I-10 Project) for SBCTA, Caltrans District 8's SR-91 Corridor Improvements Project (CIP), Caltrans' Division of Engineering Services unit of headquarters' SR-91 Pachappa Union Pacific Bridge, and Caltrans District 7's State Route 210 (SR-210) Slab Replacement and Rehabilitation Project. The firm proposed to utilize four subconsultants. The proposed subconsultants have experience working with SYRUSA and are proposed to support SYRUSA with additional roadway and electrical inspection, scheduling, office engineering, field materials testing, and survey services.

Staffing and Project Organization

All short-listed firms proposed a qualified team of key personnel and subconsultants with relevant CM experience in freeway and bridge widening, and roadway and structures inspection, as well as working with Caltrans.

Arcadis proposed a qualified project team with each key personnel demonstrating relevant and comprehensive CM experience with freeway and bridge replacement projects. The team has demonstrated experience in roadway and structures inspections, utility relocations, bridge reconstruction, steel bridge demolition, traffic management plan and staging, and has extensive experience working with Caltrans. Arcadis presented several cross-trained staff in roadway inspection and structures inspection. Having cross-trained personnel provides efficiencies for OCTA by quickly mobilizing personnel who can bring different perspectives to the work based on the team's varied experiences.

The proposed PM has over 40 years of project management and CM experience on similar freeway/bridge construction projects and performed the PM role for OCTA's I-5 Project Segment 1 and SBCTA's I-15/Base Line and U.S. Route 395 (US 395) Widening Phase 1 projects. The proposed PM also performed as a resident engineer (RE) for SBCTA's I-15/Base Line and US 395 Widening Phase 1 projects. Arcadis' proposed senior roadway inspector has successfully delivered complex, intricately staged highway, bridge, and heavy civil infrastructure projects for 23 years, including over 20 years of general contractor experience. The proposed senior roadway inspector has extensive construction experience leading the construction activities and overseeing field operations for SBCTA's I-15/Base Line as a general contractor and RE, OCTA's I-5 South County Improvements Project between Vista Hermosa to Pacific Coast Highway (I-5 HOV Segment 2) as a general contractor and project manager, Caltrans District 11's I-15 Lane Design Sequencing Method Design Project as a superintendent, and LA Metro's G Line improvements as an RE.

Arcadis' proposed structures inspector has more than ten years of experience with various methods of bridge construction from pre-construction to closeout, and all aspects of structural improvements in the field, including falsework inspections, pre-fabrication bridge inspections, cast-in-place bridge inspections, bridge widening inspections, bridge demolition inspections, scaffolding system bridge construction, and various types of walls. The proposed structures inspector is cross-trained and has experience in both structures and roadway inspections. Relevant experience includes RCTC's I-15 Railroad Canyon Interchange Project as an RE; SBCTA's I-15/Base Line as the roadway inspector; and the Port of Long Beach's Gerald Desmond Bridge Replacement project as the structures field engineer.

The Arcadis team presented an interview demonstrating comprehensive knowledge of its proposed approach to the SOW, a clear understanding of the team's roles and responsibilities, and the process to resolve any potential challenges while keeping the Project on schedule. The team provided a project-specific presentation and responses to all interview questions, which further demonstrated the firm's experience and in-depth understanding of the SOW requirements, objectives, and risks associated with the Project. Additionally, the proposed senior roadway inspector and structures inspector's ability to lead the presentation and respond to questions demonstrated their depth of knowledge, which is notable as the individuals would be performing a large portion of the work for the Project as specified in the SOW.

TRC proposed a knowledgeable project team with CM experience. The team's expertise includes a range of relevant CM services, including roadway inspection, structures inspection, electrical inspection, and office engineering support, among other relevant expertise.

TRC's proposed PM has over 31 years of experience, including the I-405 Project as a principal-in-charge (PIC) for construction inspection and engineering services for Caltrans D-12, I-5 Project Segment 1, and I-5 Improvement Project between El Toro Road to Alicia Parkway (I-5 Project Segment 3) as PIC for OCTA, LA Metro's I-5 North Improvements as PIC, and the San Diego Association of Governments' on-call CM services as PM. Most of the PM's experience includes overseeing CM projects serving as the PIC.

TRC's proposed senior roadway inspector has 25 years of CM experience, including ten years as an RE on Caltrans roadway and facility projects. Relevant project experience includes assistant RE for OCTA's I-5 Central Project and I-5 HOV Segment 2, and for Caltrans D-12's SR-91 Widening Project. TRC's proposed structures inspector has over 30 years of experience in transportation engineering and CM. The relevant experience includes SBCTA's SR-210 Lane Addition and Base Line Interchange Project and Mount Vernon Viaduct Bridge Replacement Project as a CM, and the City of Palm Springs I-10/Indian Canyon Interchange Project as a structures representative.

The TRC team presented an interview demonstrating knowledge of its proposed project approach to the SOW and potential challenges. The team addressed all aspects of the interview questions with project-specific responses and discussed its proposed construction and sequence enhancements that could result in time and cost savings.

SYRUSA proposed a project team with relevant experience. The proposed PM has over 25 years of experience in engineering and construction. SYRUSA's proposed PM is a former Caltrans D-12's Acting District Director and Office Chief, and District 8 Area Construction Manager and Senior Bridge Engineer. Relevant project experience includes State Route 22, SR-91 Widening, RCTC's SR-91 CIP, and Caltrans District 8's I-15/Interstate 215 Devore Interchange Improvements Project.

SYRUSA's proposed senior roadway inspector has 30 years of CM experience on various highway and bridge construction projects. Relevant project experience includes RE and senior inspector for OCTA's Lakeview Avenue Grade Separation Project, senior inspector for Caltrans District 7's I-5 North Corridor Improvement Segment 3, roadway construction projects on various state routes, and on-call construction engineering and inspection services. SYRUSA proposed a structures inspector with over 24 years of experience in transportation infrastructure construction projects. The relevant experience includes the SBCTA's I-10 Project as a structures lead, Caltrans' Division of Engineering Services unit of headquarters' Express Lanes North Direct Connector, Ortega Highway Safety Improvements, Pachappa Union Pacific Rail Tie-In Project, and I-15 Express Lanes as a structures representative, and Caltrans District 8's SR-91 CIP project as a structures representative.

Although the proposed PM and key personnel were responsive to the interview questions overall, certain responses were general and lacked the level of detail necessary to effectively highlight the firm's knowledge and expertise.

Work Plan

All short-listed firms met the requirements of the RFP, and each firm adequately discussed its approach to the Project.

Arcadis presented a project-specific and comprehensive work plan. The work plan included a complete discussion of project understanding, issues and challenges with realistic recommendations, and proposed solutions demonstrating the firm's knowledge and experience. The team identified the project risks and challenges, and demonstrated methodical, detailed, and well-thought-out approaches to address those risks with lessons learned from recent relevant projects in the proposal and during the interview. Approaches and solutions to challenges included management of full closures of the SR-91 and La Palma Avenue during demolition and bridge construction, early hazardous material testing and management of La Palma Avenue steel bridge demolition, early surveying, environmental monitoring, tracking environmental compliance, proactive management of noise, vibration and dust, and temporary

construction easements to minimize impacts to property owners and neighboring residents, identification of time-saving construction staging, coordination with adjacent projects, mitigation measures for all the potential risk items related to structures precast girders and piles, coordination of utility relocations, and proactive documentation and a detailed schedule for claims prevention. A detailed construction schedule was provided from the contractor's perspective that would be used to verify contractor's progress and changes to critical path workflow.

TRC presented an organized work plan with a project-specific approach for identified risks and responsiveness to all requirements identified in the SOW. The team demonstrated an understanding of the overall project issues and challenges. The work plan identified challenges and proposed solutions for utility work, bridge and retaining wall construction, construction staging, traffic management, electrical, and closeout. The sequential outline of activities provided proposed personnel responsibility by task. A construction schedule was provided with key activities. The team discussed its proposed construction sequence enhancements.

SYRUSA presented a work plan that demonstrated an understanding of the SOW and challenges. The work plan discussed project approach and risks associated with structures work, utility relocation, electrical work, traffic coordination, drainage construction, and environmental compliance. The work plan included risks and solutions to mitigate those risks, as well as sequential activities.

Procurement Summary

Based on the evaluation of the written proposals, team qualifications, work plan approach, and information obtained during the interviews, the evaluation committee recommends the selection of Arcadis as the top-ranked firm to provide CM support services for the Project. Arcadis delivered a comprehensive proposal which addressed all requirements of the RFP.

Fiscal Impact

Funding for the Project is included in OCTA's Fiscal Year 2023-24 Budget, Capital Programs Division, Account No. 0017-9085-FI104-0U9, and will be funded with a combination of net excess 91 Express Lanes revenue and local funds.

Consultant Selection for Construction Management Support Page 10
Services for the State Route 91 Improvement Project Between
Acacia Street and La Palma Avenue

Summary

Staff requests Board of Directors' authorization for the Chief Executive Officer to negotiate and execute Agreement No. C-3-2827 with Arcadis U.S., Inc. as the firm to provide construction management support services for the State Route 91 Improvement Project between Acacia Street and La Palma Avenue.

Attachments

- A. Review of Proposals, RFP 3-2827 - Construction Management Support Services for the State Route 91 Improvement Project Between Acacia Street and La Palma Avenue
- B. Proposal Evaluation Criteria Matrix (Short-Listed), RFP 3-2827 Construction Management Support Services for the State Route 91 Improvement Project Between Acacia Street and La Palma Avenue
- C. Contract History for the Past Two Years, RFP 3-2827, Construction Management Support Services for the State Route 91 Improvement Project Between Acacia Street and La Palma Avenue

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Review of Proposals

RFP 3-2827 - Construction Management Support Services for the State Route 91 Improvement Project Between Acacia Street and La Palma Avenue

Presented to the Regional Transportation Planning Committee - February 5, 2024

6 proposals were received, 3 firms were interviewed, 1 firm is being recommended

Overall Ranking	Overall Score	Firm & Location	Subcontractors	Evaluation Committee Comments
1	91	Arcadis U.S., Inc. Irvine, California	Calvada Surveying, Inc. Dynamic Engineering Services, Inc. Leighton Consulting, Inc.	Firm has recent and relevant experience providing construction management (CM) support services. Qualified cohesive cross-trained team, including project manager (PM), key personnel, and subconsultants with experience working together on recent CM support services projects. PM has demonstrated comprehensive CM experience planning and managing multidisciplinary teams and projects. Comprehensive and well-thought-out work plan identifying risks and challenges, recommendations and viable solutions. Proposed approaches and solutions included management of full closures of freeway and La Palma Avenue during demolition and bridge construction, and identification of time-saving construction staging and temporary easements to minimize construction impacts. Detailed team presentation and interview with thorough responses to all interview questions. Positive references received.
2	84	TRC Engineers, Inc. Irvine, California	Caliworks, LLC CL Surveying & Mapping, Inc. Dynamic Engineering Services, Inc. FCG Consultants, Inc. Fulcrum Consultants, Inc. Ghiradelli Associates, Inc. Leighton Consulting, Inc. Mark Thomas & Company	Firm has recent relevant experience managing and delivering CM support services of similar size and scope. Qualified experienced team, including PM, key personnel, and subconsultants with experience working together on CM projects, including roadway, structures, and electrical inspections. PM is qualified with relevant CM experience throughout Southern California and has served as a principal-in-charge for construction inspection and engineering services for the California Department of Transportation (Caltrans). Well organized work plan that identified issues, recommendations, and challenges and proposed solutions for utility work, bridge, and retaining wall construction. Good team presentation and interview with project-specific responses to all questions. Positive references received.
3	79	SYRUSA Engineering, Inc. Brea, California	AECOM Coast Survey CL Surveying & Mapping, Inc. Dynamic Engineering Services, Inc. Twining Inc.	Firm has relevant experience delivering CM projects of similar size and scope. Experienced team, including PM, key personnel, and subconsultants with relevant experience. PM is qualified with relevant project experience managing and delivering large complex projects and has managed projects in various roles while at Caltrans. Work plan demonstrated an understanding of the scope of work and project challenges and solutions for utility relocation, construction staging, and drainage construction. Good team presentation and responsive to the interview questions but some responses lacked the level of detail to effectively highlight the firm's knowledge and expertise. Positive references received.

Evaluation Panel: 6 Members

Internal:

Contracts Administration and Materials Management (1)
Highway Capital Programs (2)

External:

City of Anaheim (1)
California Department of Transportation (2)

Evaluation Criteria:

Qualification of the Firm
Staffing and Project Organization
Work Plan

Weight Factors

20%
40%
40%

PROPOSAL EVALUATION CRITERIA MATRIX (Short-Listed)
RFP 3-2827 Construction Management Support Services for the State Route 91 Improvement Project Between
Acacia Street and La Palma Avenue

Firm: Arcadis U.S., Inc.								
Evaluator Number	1	2	3	4	5	6	Weights	Criteria Score
Qualifications of Firm	5.0	5.0	4.5	4.5	4.5	4.5	4	18.7
Staffing/Project Organization	4.5	4.0	4.0	4.5	4.5	4.5	8	34.7
Work Plan	5.0	4.5	5.0	5.0	4.5	4.5	8	38.0
Overall Score	96	88	90	94	90	90		91

Firm: TRC Engineers, Inc.								
Evaluator Number	1	2	3	4	5	6	Weights	Criteria Score
Qualifications of Firm	4.5	4.0	4.5	4.5	4.0	4.0	4	17.0
Staffing/Project Organization	4.0	4.0	4.0	4.5	4.5	4.0	8	33.3
Work Plan	4.0	4.5	4.5	4.0	4.0	4.0	8	33.3
Overall Score	82	84	86	86	84	80		84

Firm: Syrusa Engineering, Inc.								
Evaluator Number	1	2	3	4	5	6	Weights	Criteria Score
Qualifications of Firm	4.5	3.5	3.5	4.5	4.5	4.5	4	16.7
Staffing/Project Organization	3.5	4.0	4.0	4.0	4.0	3.5	8	30.7
Work Plan	4.0	4.0	4.5	4.0	3.5	4.0	8	32.0
Overall Score	78	78	82	82	78	78		79

The range of scores for the non-shortlisted firms was 37- 71

CONTRACT HISTORY FOR THE PAST TWO YEARS

RFP 3-2827 - Construction Management Support Services for the State Route 91 Improvement Project Between Acacia Street and La Palma Avenue

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Arcadis U.S., Inc.						
Contract Type: Contract Task Order	C-0-2112	On-Call Design and Construction Support Services for Facility Modification Projects	September 1, 2020	November 3, 2025		\$186,902
<i>Subconsultants:</i>						
<i>Jensen Hughes</i>						
<i>Jones And Stokes</i>						
<i>Mark Thomas & Company</i>						
<i>Miyamoto International, Inc.</i>						
<i>Psomas</i>						
<i>TK1SC</i>						
<i>Triunity, Inc.</i>						
Contract Type: Firm-Fixed Price	C-2-2697	Regional Synchronization Performance Analysis Support	October 5, 2022	September 30, 2024		\$ 41,400
<i>Subconsultants:</i>						
<i>None</i>						
Contract Type: Time and Expense	C-3-2354	On-Call Regional Planning Support Services	July 17, 2023	May 31, 2026		\$ 250,000
<i>Subconsultants:</i>						
<i>Michael Baker International</i>						
Contract Type: Time and Expense	C-8-1969	Construction Management Support Services for Interstate 5 Widening Project Between State Route 73 and Oso Parkway	December 2, 2019	December 1, 2024		\$ 10,974,923
<i>Subconsultants:</i>						
<i>Balk Biological, Inc.</i>						
<i>Dynamic Engineering Services</i>						
<i>Ninyo & Moore</i>						
<i>Paleo Solutions, Inc.</i>						
<i>TRC Solutions, Inc.</i>						
Total						\$11,453,225

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
TRC Engineers, Inc.						
Contract Type: Firm-Fixed Price	C-4-1426	Preparation of Plans, Specifications, and Estimates for the San Diego Improvement Project from South of Alicia Parkway to El Toro Road	March 31, 2015	June 30, 2024		\$ 10,622,222
<i>Subconsultants:</i>						
<i>Advantec Consulting Engineers</i>					\$396,179.02	
<i>Earth Mechanics Inc</i>					\$606,479.88	
<i>HDR Engineering, Inc.</i>					\$1,103,875.85	
<i>LSA</i>					\$16,596.19	
<i>Psomas</i>					\$517,694.29	
<i>Tatsumi and Partners, Inc.</i>					\$102,591.55	
Contract Type: Time and Expense	C-8-2086	Public Communications and Community Outreach Services for the Interstate 5 Freeway Improvement Project from State Route 73 to El Toro Road	June 28, 2019	June 30, 2025		\$ 1,321,410
<i>Subconsultants:</i>						
<i>21st Century Comm. Strategies</i>						
<i>AJ Design</i>						
<i>Lazar Translating & Interpreting</i>						
Total						\$11,943,632

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Syrusa Engineering, Inc.						
Contract Type: N/A	None	N/A	N/A	N/A		N/A
Subconsultants:						
N/A						
Total						\$0.00



COMMITTEE TRANSMITTAL

February 12, 2024

To: Members of the Board of Directors

From: Andrea West, Clerk of the Board

Subject: Amendment to Agreement for Construction Management Support Services for the Interstate 5 Improvement Project Between State Route 73 to Oso Parkway

Regional Transportation Planning Committee Meeting of February 5, 2024

Present: Directors Do, Dumitru, Federico, Harper, and Stephens

Absent: Directors Foley and Khan

Committee Vote

This item was passed by the Members present.

Committee Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 5 to Agreement No. C-8-1969 between the Orange County Transportation Authority and Arcadis U.S., Incorporated, in the amount of \$2,230,587, for additional construction management support services for the Interstate 5 Improvement Project between State Route 73 to Oso Parkway, and extend the agreement term through December 1, 2025. This will increase the maximum cumulative obligation of the agreement to a total contract value of \$13,205,510.



February 5, 2024

To: Regional Transportation Planning Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: Amendment to Agreement for Construction Management Support Services for the Interstate 5 Improvement Project Between State Route 73 to Oso Parkway

Overview

On April 8, 2019, the Orange County Transportation Authority Board of Directors approved a contract with Arcadis U.S., Incorporated, to provide construction management support services for the Interstate 5 Improvement Project from State Route 73 to Oso Parkway as part of the Interstate 5 Improvement Project between State Route 73 and El Toro Road. An amendment to the existing agreement is required to provide additional funding for construction management support services.

Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 5 to Agreement No. C-8-1969 between the Orange County Transportation Authority and Arcadis U.S., Incorporated, in the amount of \$2,230,587, for additional construction management support services for the Interstate 5 Improvement Project between State Route 73 to Oso Parkway, and extend the agreement term through December 1, 2025. This will increase the maximum cumulative obligation of the agreement to a total contract value of \$13,205,510.

Discussion

The Orange County Transportation Authority (OCTA), in cooperation with the California Department of Transportation (Caltrans), is implementing the Interstate 5 (I-5) Improvement Project between State Route 73 (SR-73) and El Toro Road (Project). The Project is part of projects C and D in the Measure M2 (M2) freeway program and is being advanced through the updated Next 10 Delivery Plan approved by the OCTA Board of Directors (Board) in November 2022.

Amendment to Agreement for Construction Management Support Services for the Interstate 5 Improvement Project Between State Route 73 to Oso Parkway *Page 2*

The Project adds improvements in each direction on I-5 between Avery Parkway and Alicia Parkway, extends the second high-occupancy vehicle lane from El Toro Road to Alicia Parkway, re-establishes auxiliary lanes, and constructs new auxiliary lanes at various locations. In addition, the Project will reconstruct the Avery Parkway and La Paz Road interchanges, reconstruct the Los Alisos Boulevard overcrossing, improve several existing on-ramps and off-ramps, and convert existing and proposed carpool lanes to continuous access.

Construction is underway in three segments with the following Project limits:

- Segment 1 extends from SR-73 to south of Oso Parkway
- Segment 2 extends from south of Oso Parkway to south of Alicia Parkway
- Segment 3 extends from south of Alicia Parkway to El Toro Road

On April 8, 2019, the Board authorized Agreement No. C-8-1969 with Arcadis U.S., Incorporated, (Arcadis) to provide construction management support services for Segment 1, between SR-73 and Oso Parkway.

Additional construction management support services are required at this time due to a variety of issues that have been encountered within the limits of Segment 1 of the Project, including challenges such as third-party utility relocations, buried objects, incorrect as-builts of existing facilities, and installation and removal of shoring required to protect third-party utility facilities. These issues have impacted and delayed the construction contractor's progress and are being monitored and managed with the intent to minimize further delays to the construction completion date. In addition, different site conditions encountered during construction of two large retaining walls, such as high-water tables due to an unusually rainy season, along with overall weather delays, have impacted the construction contractor's progress.

The level of construction management support services needed has also risen due to an increase in the construction scope of work. The additional work associated with coordinating with third-party utilities and the installation and removal of shoring required to protect third-party utility facilities have required additional construction management support and extended the duration of the construction contract by up to 45 working days. Additional construction management support services include the associated collection, processing, and maintenance of project communications and records, management of contractor progress payments, and processing of contract change orders and claims.

Amendment to Agreement for Construction Management Support Services for the Interstate 5 Improvement Project Between State Route 73 to Oso Parkway *Page 3*

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 time-and-expense agreement was issued on December 1, 2019, in the amount of \$10,974,923. 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 construction management support services.

OCTA staff negotiated the required level of effort with Arcadis to provide the additional construction management support services. Staff found Arcadis' cost proposal, in the amount of \$2,230,587, to be fair and reasonable relative to the negotiated level of effort and the independent cost estimate prepared by the OCTA project manager. Proposed Amendment No. 5 to Agreement No. C-8-1969 will increase the total contract value to \$13,205,510 and extend the term of the agreement through December 1, 2025.

Fiscal Impact

The additional funding for the Project is included in OCTA's Fiscal Year 2023-24 Budget, Capital Programs Division, Account No. 0017-9085-FC102-06W. The source of additional funding is M2.

Summary

Staff requests Board of Directors' approval to authorize the Chief Executive Officer to negotiate and execute Amendment No. 5 to Agreement No. C-8-1969 between the Orange County Transportation Authority and Arcadis U.S., Incorporated, in the amount of \$2,230,587, and extend the agreement term through December 1, 2025, for additional construction management support services for the Interstate 5 Improvement Project between State Route 73 and El Toro Road. This will increase the maximum obligation of the contract to \$13,205,510.

Amendment to Agreement for Construction Management Support Services for the Interstate 5 Improvement Project Between State Route 73 to Oso Parkway *Page 4*

Attachment

A. Arcadis U.S., Incorporated, Agreement No. C-8-1969 Fact Sheet

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Approved by:



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**Arcadis U.S., Incorporated
Agreement No. C-8-1969 Fact Sheet**

1. April 8, 2019, Agreement No. C-8-1969, \$10,974,923, approved by the Board of Directors (Board).
 - Agreement was executed December 1, 2019, with Arcadis U.S., Incorporated (Arcadis) to provide construction management support services for the Interstate 5 Improvement Project between State Route 73 to Oso Parkway.
2. December 9, 2020, Amendment No. 1 to Agreement No. C-8-1969, \$0, approved by Contracts Administration and Materials Management (CAMM) Department.
 - To modify hourly rate schedule for subconsultants Balk Biological, Inc., Dynamic Engineering Services, Inc., Ninyo and Moore, and Paleo Solutions.
 - To modify other direct costs schedule for Ninyo and Moore.
3. August 20, 2021, Amendment No. 2 to Agreement No. C-8-1969, \$0, approved by CAMM Department.
 - To modify hourly rate schedule, for Arcadis.
4. February 25, 2022, Amendment No. 3 to Agreement No. C-8-1969, \$0, approved by CAMM Department.
 - Modify subconsultant name Paleo Solutions Inc., to Stantec Consulting Services Inc., due to change in ownership.
5. April 1, 2023, Amendment No. 4 to Agreement No. C-8-1969, \$0, approved by CAMM Department.
 - To add personnel for Arcadis and for subconsultant Stantec Consulting Services Inc.
6. February 12, 2024, Amendment No. 5 to Agreement No. C-8-1969, \$2,230,587, pending approval by the Board.
 - To add additional construction management support services due to a variety of issues and increases in the construction scope of work that have impacted the construction schedule of the project.
 - Extend the term of the agreement through December 1, 2025.

Total funds committed to Arcadis after approval of Amendment No. 5 to Agreement No. C-8-1969: \$13,205,510.



COMMITTEE TRANSMITTAL

February 12, 2024

To: Members of the Board of Directors

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

Subject: Contract Change Order for Construction of the OC Streetcar Project

Transit Committee Meeting of February 8, 2024

Present: Directors Aitken, Amezcua, Do, Jung, and Klopfenstein
Absent: Directors Harper and Sarmiento

Committee Vote

This item was passed by the Members present.

Committee Recommendation

Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 28.3 to Agreement No. C-7-1904 with Walsh Construction Company II, LLC, in the amount of \$1,425,000, for schedule impacts associated with time impact evaluation no. 07 for the OC Streetcar project.



February 8, 2024

To: Transit Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Contract Change Order for Construction of the OC Streetcar Project

Overview

On September 24, 2018, the Orange County Transportation Authority Board of Directors authorized Agreement No. C-7-1904 with Walsh Construction Company II, LLC, for construction of the OC Streetcar project. A contract change order is required for work to address schedule impacts associated with Time Impact Evaluation No. 07.

Recommendation

Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 28.3 to Agreement No. C-7-1904 with Walsh Construction Company II, LLC, in the amount of \$1,425,000, for schedule impacts associated with time impact evaluation no. 07 for the OC Streetcar project.

Discussion

On September 24, 2018, the Orange County Transportation Authority (OCTA) Board of Directors (Board) awarded the contract to construct the OC Streetcar project (Project) to Walsh Construction Company II, LLC (Walsh). The Notice to Proceed with construction was issued to Walsh on March 4, 2019. Since then, the Project has progressed with several construction activities continuing to advance in all segments, as shown in Attachment A.

Construction is approximately 84 percent complete. Construction milestones include the completion of the Santa Ana River and Westminster bridges with the placement of handrails, installation of all tracks and overhead contact system (OCS) poles, placement of approximately 80 percent of the roadway final pavement and striping work, and the reopening of the Santa Ana Boulevard and Santiago Street intersection.

In the Pacific Electric Right-of-Way (PEROW) portion of the alignment, ballasted rail installation was completed, and fence installation is ongoing. The at-grade crossings at Fairview Street, Fifth Street, and Raitt Street are completed with train warning and gate systems installation efforts ongoing. At the maintenance and storage facility (MSF), key activities near completion include installation of exterior walls, conduit and piping, roofing material and skylights, interior painting, heating, ventilation, air conditioning, and bi-fold doors and windows. Given the significance of the MSF to vehicle testing, staff is continuing to coordinate with Walsh to ensure significant completion of the MSF for vehicle storage at the earliest possible date.

Other ongoing construction activities include preparation for the final pavement and striping work at the Santa Ana Boulevard and Ross Street intersection, and Segments 4 and 5, placement of new traffic signal poles at various street intersections, placement of decorative pavers and concrete at Sasscer Park, installation of OCS hardware and overhead wires, service connections for the four traction power substations, installation of canopy and equipment at all 16 stations, parking lot construction at the Harbor Boulevard and Santa Ana Regional Transportation Center stations, and preparation for tree installation along Fourth Street.

For the benefit of the Project and to mitigate potential damages from delays, staff is requesting Board authorization of the following contract change order (CCO).

Schedule Impacts Associated with Time Impact Evaluation (TIE) No. 07

On December 8, 2020, CCO No. 28 was executed to extend the contract completion by 186 days due to redesign of the Sycamore storm drain, and right-of-way contaminated and hazardous soils removal. At that time, it was determined that the compensation related to the days will be evaluated and confirmed at a later date. Staff completed an initial evaluation and determined that most of the delays were concurrent with delays caused by Walsh; however, there was merited compensation for 55 days associated with right-of-way contaminated and hazardous soils removal. Walsh was compensated \$1,300,000 through CCO nos. 28.1 and 28.2. Recently, staff completed another evaluation of TIE 07 based on additional information provided by Walsh and determined that there is additional compensation for 70 days due to delays related to contaminated and hazardous soils removal. CCO No. 28.3, in the amount of \$1,425,000, is needed to provide merited compensation related to various bid items. It is expected that Walsh will not concur with staff's evaluation of merited compensable days.

The CCO will be paid as a combination of a lump sum and time-and-expense basis to the contractor after labor and equipment quantities are confirmed through daily extra work reports prepared by Walsh and approved by the construction management team. The cost of the work associated with this CCO will be funded from the project budget as previously approved by the Board on April 24, 2023.

Procurement Approach

The initial procurement was handled in accordance with OCTA's Board-approved procedures for public works projects. These procedures, which conform to both federal and state requirements, require that contracts are awarded to the lowest responsive, responsible bidder after a sealed bidding process. On September 24, 2018, the Board authorized Agreement No. C-7-1904 with Walsh, in the amount of \$220,538,649, for construction of the Project.

Proposed CCO No. 28.3, in the amount of \$1,425,000, will increase the cumulative value of the contract to \$295,288,698, as shown in Attachment B. Board approval is required for CCO No. 28.3 pursuant to the State of California Public Contracting Code Section 20142. This CCO will be issued with a reservation of rights to advance the Project pending resolution of disputes between OCTA and Walsh. The statements in this report are made in the context of, and subject to, OCTA's reservation of rights.

Fiscal Impact

The additional work for this Project is included in OCTA's Fiscal Year 2023-24 Budget, Capital Programs Division, Account No. 0051-TS010-9017-Z48, and is funded with Federal Transit Administration Section 5309 New Starts grant funds and local Measure M2 funds.

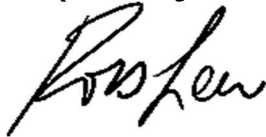
Summary

Staff recommends the Board of Directors authorize the Chief Executive Officer to negotiate and execute CCO No. 28.3, in the amount of \$1,425,000, for schedule impacts associated with TIE 07 to Agreement No. C-7-1904 between the Orange County Transportation Authority and Walsh Construction Company II, LLC for the construction of the Project.

Attachments

- A. Project Map
- B. Walsh Construction Company II, LLC, Agreement No. C-7-1904, Contract Change Order (CCO) Log

Prepared by:



Ross Lew, P.E.
Sr. Program Manager
(714) 560-5775



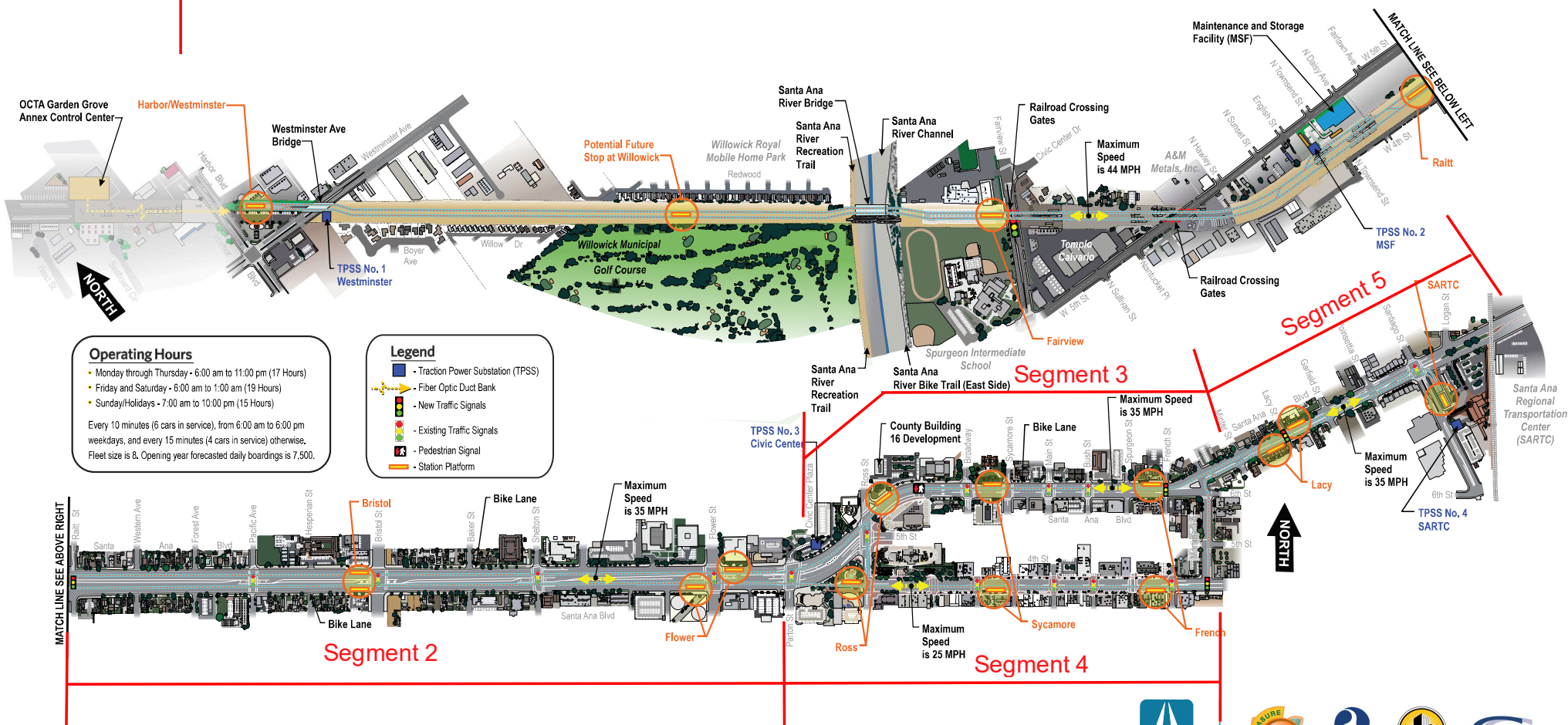
Pia Veasapen
Director, Contracts Administration and
Materials Management
(714) 560-5619

Approved by:



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

Segment 1



Walsh Construction Company II, LLC
Agreement No. C-7-1904
Contract Change Order (CCO) Log

CCO No.	Title	Status	Date Executed	Cost
1	Maintenance and Storage Facility (MSF) Removals	Approved	6/20/2019	\$199,749.00
1.1	MSF Removals Additional Funding	Approved	6/25/2019	\$113,884.77
1.2	Time Impact Evaluation (TIE) 01 - Schedule Impacts Associated with Change Directive (CD)-001 and CD-003	Approved	6/17/2020	\$0.00
1.3	Schedule Impacts Associated with TIE 01	Approved	10/17/2022	\$2,100,000.00
2	MSF Removal of Additional Hazardous Materials	Approved	6/25/2019	\$200,000.00
2.1	MSF Removal of Additional Hazardous Materials Additional Funding	Approved	8/15/2019	\$160,000.00
3	Removal and Disposal of Contaminated Materials within the Orange County Transit District (OCTD)-Owned Pacific Electric Right-of-Way (PEROW)	Approved	9/12/2019	\$1,600,000.00
3.1	Removal and Disposal of Contaminated Materials Additional Funding	Approved	2/25/2020	\$7,278,795.00
3.2	Removal and Disposal of Contaminated Materials Additional Funding	Approved	10/18/2021	\$1,100,000.00
3.3	Removal and Disposal of Contaminated Materials Additional Funding	Approved	4/18/2023	\$1,500,000.00
4	Work Related to Existing Utility Conflicts	Approved	8/27/2019	\$200,000.00
4.1	Work Related to Existing Utility Conflicts Additional Funding	Approved	2/25/2020	\$833,300.00
4.2	Work Related to Existing Utility Conflicts Additional Funding	Approved	6/9/2020	\$2,426,000.00
4.3	Work Related to Existing Utility Conflicts Additional Funding	Approved	6/21/2021	\$2,000,000.00
4.4	Work Related to Existing Utility Conflicts Additional Funding	Approved	11/19/2021	\$3,500,000.00
5	Tree Trimming and Removal	Approved	6/9/2020	\$129,215.52
5.1	Tree Trimming and Removal Additional Funding	Approved	12/29/2023	\$300,000.00
7	Orange County Sanitation District Specifications Revisions	Approved	6/9/2020	\$82,445.00
8	Orange County Flood Control District Maintenance Path Profile Revisions	Approved	6/9/2020	\$6,055.00
9	MSF Vapor Barrier	Approved	12/22/2020	\$395,717.00
10	112 Tram Rail Ultrasonic Testing	Approved	6/10/2020	\$0
11	GPS Priority Control System	Approved	6/9/2020	\$40,120.00
12	Santa Ana River Bridge (SARB) Precast Girders	Approved	8/27/2020	\$88,877.00
13	Retaining Wall 544 Reinforcing Steel	Approved	9/3/2020	\$2,321.30
14	Retaining Wall 508	Approved	12/14/2020	\$125,341.00
15	Utility Relocations for Overhead Contact System (OCS) Pole Foundations and Traffic Signal Pole Foundations	Approved	6/17/2020	\$195,723.00
16	OCS and Traffic Signal Pole Foundations Hand Excavation and Survey	Approved	6/23/2020	\$198,808.00
16.1	OCS, Traffic Signal, and Streetlight Foundation Hand Excavation, Layout and Survey Additional Funding	Approved	6/26/2020	\$1,400,000.00
16.2	OCS, Traffic Signal, and Streetlight Foundation Hand Excavation, Layout and Survey Additional Funding	Approved	4/15/2021	\$1,400,000.00
16.3	OCS, Traffic Signal, and Streetlight Foundation Hand Excavation, Layout and Survey Additional Funding	Approved	5/1/2023	\$250,000.00
17	Westminster Bridge OCS Diaphragm	Approved	10/30/2020	\$1,682.00
18	Remove Buried Man-Made Objects	Approved	11/23/2020	\$300,000.00
18.1	Remove Buried Man-Made Objects Additional Funding	Approved	10/25/2021	\$300,000.00
18.2	Remove Buried Man-Made Objects Additional Funding	Approved	5/1/2023	\$600,000.00
19	Removal of Boulders	Approved	11/17/2020	\$160,000.00
20	Removal of Chain Link Fence	Approved	3/9/2021	\$7,316.90
21	Changes to Turnout Geometry	Approved	10/5/2020	\$0
22	Railroad Crossing Gate Bells	Approved	10/5/2020	\$0
23	SARB, OCS Pole, and OCS Down Guy Diaphragms	Approved	1/19/2021	\$7,419.00
24	OCS Sectionalization – Siemens Portion	Approved	10/5/2020	\$158,941.01
24.1	OCS Sectionalization Additional Funding	Approved	4/27/2021	\$722,253.92
26	Revisions to Station Color Schedule, Glass, and Pylon	Approved	4/19/2021	\$176,419.84
27	Street Lighting	Approved	11/19/2020	\$12,347.91
28	Schedule Impacts Associated with TIE 04 and 07	Approved	12/8/2020	\$0.00
28.1	Schedule Impacts Associated with TIE 07	Approved	10/17/2022	\$1,300,000.00
28.2	Schedule Impacts Associated with TIE 07	Approved	1/17/2024	\$0.00
28.3	Schedule Impacts Associated with TIE 07	Pending		\$1,425,000.00
29	Revision to MSF, Traction Power Substation (TPSS), and OCS Siemens Portion	Approved	11/19/2020	\$34,216.80
29.1	Revision to MSF, TPSS, and OCS Siemens Portion	Approved	6/22/2023	\$209,947.55
30	SARB Pile, Westminster Bridge, and Demonstration Section Electrical Continuity Testing	Approved	2/1/2021	\$23,928.10
30.1	Electrical Continuity Testing Additional Funding	Approved	3/16/2021	\$320,164.40
31	MSF Building and Southern California Edison (SCE) Design Revisions	Approved	1/17/2022	\$207,367.00
32	Asbestos Survey	Approved	2/1/2021	\$25,000.00
35	No Sunshade for Variable Message Sign	Approved	12/22/2020	\$0.00
37	Station Platform Power	Approved	5/18/2021	\$58,414.15
38	Modify OCS Foundation Schedule	Approved	6/15/2021	\$32,733.04
39	OCS Revisions Based on Field Walks	Approved	6/17/2021	\$28,088.32
39.1	Additional Revisions to OCS Hardware	Approved	6/26/2023	\$180,709.28
40	MSF Remote Yard Gates	Approved	11/3/2021	\$32,307.66
40.1	MSF Remote Yard Gates	Pending		\$62,989.67

CCO No.	Title	Status	Date Executed	Cost
41	Auxiliary Feeder Pullbox Sizes- Segment 3A	Approved	11/23/2021	\$61,041.24
42	Department Acceptance Testing for Gamma-Gamma Logging of Cast-In-Drilled-Hole (CIDH) Piles	Approved	10/22/2021	\$35,138.00
43	End of Life Communication Equipment	Approved	5/3/2021	\$372,136.38
44	Design of Temporary Traffic Signals Segment 2A - Stages 1 and 2	Approved	4/26/2021	\$41,967.00
44.1	Design of Temporary Traffic Signals Segment 3A	Approved	11/24/2021	\$50,813.00
44.2	Design of Temporary Traffic Signals and Video Detections	Approved	10/4/2022	\$907,220.00
45	Thickened Asphalt Concrete (AC) Pavement	Approved	1/19/2021	\$60,000.00
46	MSF Video Servers from Garden Grove Bus Annex to MSF	Approved	10/13/2021	\$40,267.30
47	Archaeological Security and Data Recovery at MSF	Approved	1/19/2021	\$110,000.00
47.1	Archaeological Security and Data Recovery at MSF Additional Funding	Approved	5/8/2023	\$98,000.00
48	Thickened AC Pavement	Approved	4/27/2021	\$1,177,362.00
49	Retaining Wall 501 Encroachment	Approved	6/17/2021	\$181,802.77
50	MSF Street and Yard Utility Conflicts	Approved	5/25/2021	\$200,000.00
51	MSF Yard Light Connection Details	Approved	2/17/2023	\$193,803.00
52	Over Excavation of Unsuitable Soils	Approved	6/21/2021	\$209,500.00
52.1	Over Excavation of Unsuitable Soils Additional Funding	Approved	6/21/2021	\$540,000.00
53	SARB Bridge Decking	Approved	6/17/2021	\$9,002.94
54	Revisions to the Traction and Power Substation Site Plan	Approved	5/18/2022	\$1,200,000.00
55	Bid Item 24 - Earthwork Credit	Approved	5/3/2022	(\$659,666.73)
56	Exploratory Potholing Allowance	Approved	4/26/2001	\$200,000.00
56.1	Exploratory Potholing Allowance	Approved	9/8/2021	\$1,100,000.00
56.2	Exploratory Potholing Allowance	Approved	5/8/2023	\$500,000.00
58	Vehicle Platform Tolerances	Approved	12/6/2021	\$0.00
59	Direct Fixation Fasteners	Approved	6/7/2021	\$0.00
60	Base Contract Utility Credits	Approved	5/25/2021	(\$1,842,680.00)
61	Loop Relocation and Block Out	Approved	10/25/2021	\$80,000.00
62	Backfill of OCS Foundations	Approved	11/8/2021	\$200,000.00
63	Graffiti Removal	Approved	5/18/2021	\$100,000.00
64	SCE Meter Switchgear Engineering and Submittal Costs	Approved	5/18/2021	\$17,618.00
64.1	SCE Meter Switchgear Additional Funding	Approved	10/13/2021	\$191,950.00
64.2	SCE Meter Switchgear Additional Funding	Approved	1/19/2022	\$669,573.00
65	Additional Environmental Soil Investigation on West Santa Ana Boulevard/ Bristol Street Station Stop (Stage 1)	Approved	5/18/2021	\$9,840.60
66	Ground Penetrating Radar Investigation	Approved	9/1/2021	\$208,000.00
67	City of Garden Grove Driveway Standard Update	Approved	11/24/2021	\$20,637.83
68	Ross Intersection Traffic Signal Conduit Installation	Approved	6/7/2021	\$18,000.00
69	Optical Backbone Network System Redundancy	Approved	2/25/2022	\$520,582.00
71	Traffic Signal Interconnect	Approved	4/12/2022	\$208,000.00
71.1	Traffic Signal Interconnect Additional Funding	Approved	5/31/2022	\$500,000.00
72	Cathodic Protection at MSF and Car Wash	Approved	11/30/2023	\$292,746.00
77	Pavement Modification at Street Intersections	Approved	12/28/2021	\$208,000.00
77.1	Pavement Modifications Along Embedded Tracks and Grade Crossings	Approved	5/3/2022	\$400,000.00
77.2	Pavement Modifications Along Embedded Tracks and Grade Crossings	Approved	9/22/2023	\$480,000.00
77.3	Pavement Modifications and Restoration Along Embedded Tracks and Grade Crossings	Pending		\$1,300,000.00
79	MSF Permit Drawings and Revisions	Approved	6/24/2022	\$3,000,000.00
80	Contract Language Modifications Escrow Documents	Approved	4/12/2022	\$0.00
82	Third-Party Utility Work - Southern California Gas: Expose Abandoned Gas Lines	Approved	6/9/2022	\$100,000.00
82.1	Third-Party Utility Work - AT&T	Approved	6/21/2022	\$108,000.00
83	Additional Storage of Four TPSS Units at Factory	Approved	6/21/2022	\$208,000.00
86	OCS Pole Grounding Conduit Routing at PEROW	Approved	5/24/2022	\$200,000.00
86.1	OCS and Platform Grounding Conduit Additional Funding	Approved	4/18/2023	\$300,000.00
88	Traction Power Sub-Station Grounding Revisions	Approved	6/6/2022	\$209,839.49
89	Equipment and Security Upgrades	Approved	6/22/2022	\$2,200,000.00
90	Contract Language Modifications - Electronic Compliance Auditing Tool Disadvantaged Business Enterprise Reporting	Approved	11/17/2022	\$0.00
91	Customer Information Center Enclosure and Component Modifications	Approved	6/20/2022	\$1,650,000.00
92	Changes to Platform SCE Meter Pedestals	Approved	6/28/2023	\$208,613.05
93	Wheel Tiring Pit Modifications	Pending		\$318,486.42
94	Traffic Signal Pole Modifications	Approved	6/22/2022	\$800,000.00
96	Relocate Bumping Posts and Train Signal Cabinet at Harbor Station	Approved	6/22/2022	\$400,000.00
105	Modifications to the Track Slab Detail to Clear Utility Conflicts	Approved	5/18/2023	\$3,500,000.00
108	Traffic Signal and Pedestrian Crossing Equipment Modifications	Pending		\$300,000.00
110	Malcom and Spectrum Utility Concurrent Impacts (Claim 09)	Approved	12/30/2021	\$123,714.20
117	Manual Train Control Override	Approved	4/29/2022	\$208,000.00
117.1	Manual Train Control Override Additional Funding	Approved	6/9/2022	\$700,000.00
118	Added Pedestrian Crossing and Updated City Standard Signage	Pending		\$26,158.00
130	Drainage and Traction Power Underground Conflicts	Approved	10/11/2023	\$138,724.00
131	Impedance Bond Assembly at Embedded Track Slab	Pending		\$82,137.00
133	MSF Western Concrete Masonry Unit Wall Modifications	Approved	1/27/2023	\$208,000.00

CCO No.	Title	Status	Date Executed	Cost
139	Soundwall #2 CIDH Foundation Adjustments	Approved	7/24/2023	\$29,570.95
140	TPSS Additional Rear Doors	Approved	9/28/2023	\$64,275.10
145	Structural Steel Quality Control Inspection and Testing	Approved	5/31/2022	\$350,000.00
146	Train Signal Modifications	Approved	6/14/2022	\$850,000.00
148	Emergency Communication Devices	Approved	2/17/2023	\$195,000.00
150	Fourth Street Extended Work Hours and Public Safety	Approved	9/28/2022	\$500,000.00
150.1	Fourth Street Extended Work Hours and Public Safety Additional Funding	Approved	12/15/2022	\$800,000.00
150.2	Fourth Street Extended Work Hours Additional Funding	Pending		\$250,000.00
157	Traffic Control Allowance Extension (Bid Item 33)	Approved	2/6/2023	\$208,000.00
157.1	Traffic Control Allowance Extension (Bid Item 33)	Approved	9/21/2023	\$300,000.00
158	Station Canopy Glass Price Escalation	Approved	10/17/2022	\$72,607.09
161	Contract Language Modification - Article 9 - Notices	Approved	11/17/2022	\$0.00
164	Station Platform, Parking Lot, and Sasscer Park Lights	Approved	5/18/2023	\$300,000.00
173	Buried OCS Pole Grounding	Pending		\$209,500.00
173.1	Buried OCS Pole Grounding	Pending		\$123,643.00
177	Traffic Signal Plan Revisions: Utilizing Different Anchor Bolt Patterns	Approved	1/27/2023	\$208,000.00
182	Homeless Security and Cleanup	Approved	2/16/2023	\$208,000.00
183	Track Switch Indication Lights	Approved	2/28/2023	\$480,000.00
184	Santa Ana Boulevard Extended Hours	Approved	12/14/2022	\$208,000.00
185	Additional Builder Risk Insurance	Approved	2/8/2023	\$550,000.00
186	MSF Catenary Interlock System	Approved	2/17/2023	\$208,000.00
187	Schedule Impacts Associated with TIE 08	Approved	10/24/2022	\$0.00
187.1	Schedule Impacts Associated with TIE 08	Approved	6/22/2023	\$2,847,000.00
190	Track Bumping Post Modifications	Pending		\$206,920.32
191	Four-Fold and Coiling Doors at the MSF	Approved	6/20/2023	\$300,902.44
193	Embedded Track Transition to Paved Ballasted Track	Pending		\$182,498.67
194	Malcom's Differing Site Condition Impacts for CIDH Pile Installation (Claim 10)	Approved	3/16/2023	\$209,999.00
195	Schedule Impacts Associated with TIE 12	Approved	3/27/2023	\$0.00
195.1	Schedule Impacts Associated with TIE 12	Approved	6/20/2023	\$1,249,403.38
195.2	Schedule Impacts Associated with TIE 12	Pending		\$245,501.00
195.3	Schedule Impacts Associated with TIE 12	Pending		\$535,000.00
196	Shore Power at the MSF	Pending		\$600,000.00
197	OCS Pole and Foundation Revisions	Approved	6/19/2023	\$128,706.34
198	Fourth Street Planter Lighting, Irrigation Wiring, and Power Modifications	Pending		\$420,000.00
199	Improvements at Civic Center Plaza	Approved	3/16/2023	\$208,000.00
200	Infrastructure for Electric Vehicle Charger at SARTC	Approved	8/21/2023	\$25,000.00
201	Intumescent Fireproof Coating on Structural Steel at the MSF	Approved	12/29/2023	\$450,000.00
201.1	Intumescent Fireproof Coating on Structural Steel at the MSF	Pending		\$123,039.00
203	Sidewalk Paver Material and Labor Escalation	Approved	6/19/2023	\$209,730.72
204	MSF Pedestal Track Spacing M1-M2	Approved	12/28/2023	\$20,325.88
206	Track Isolation at end of Embedded Track	Pending		\$93,569.00
207	Sewer Ejector Changes at MSF	Pending		\$208,221.98
210	MSF Extended Work Hours	Approved	1/2/2024	\$209,500.00
211	OCS Pole Re-Raking and Adjustment	Pending		\$208,000.00
212	Restraining Rail Conflicts at M1, M2, M3 and Y1 Tracks	Pending		\$35,426.59
214	SCE Switchgear Breaker Setting and Commissioning	Pending		\$208,986.69
215	Emergency Walkway Track Crossing at Raitt and Fairview Platform	Approved	12/28/2023	\$113,812.10
223	Rail Between M2 and M3 at MSF	Pending		\$181,985.00

Subtotal Executed CCOs	\$67,402,986.54
Subtotal Pending CCOs	\$7,347,062.34
TOTAL CCOs	\$74,750,048.88
ORIGINAL VALUE	\$220,538,649.00
PROPOSED REVISED VALUE	\$295,288,697.88



COMMITTEE TRANSMITTAL

February 12, 2024

To: Members of the Board of Directors

From: Andrea West, Clerk of the Board

Subject: Measure M2 Environmental Cleanup Program (Project X) - 2024
Tier 1 and Tier 2 Grant Program Call for Projects

Regional Transportation Planning Committee Meeting of February 5, 2024

Present: Directors Do, Dumitru, Federico, Harper, and Stephens

Absent: Directors Foley and Khan

Committee Vote

This item was passed by the Members present.


Committee Recommendations

- A. Approve the proposed revisions to the Comprehensive Transportation Funding Programs guidelines for the Environmental Cleanup Program.
- B. Authorize staff to issue the 2024 Environmental Cleanup Program Tier 1 call for projects.
- C. Authorize staff to issue the 2024 Environmental Cleanup Program Tier 2 call for projects.



February 5, 2024

To: Regional Transportation Planning Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: Measure M2 Environmental Cleanup Program (Project X) – 2024 Tier 1 and Tier 2 Grant Program Call for Projects

Overview

The Measure M2 Environmental Cleanup Program (Project X) provides competitive grants to local jurisdictions for projects that protect Orange County waterways and beaches from roadway runoff. Updated program guidelines for the 2024 Tier 1 and Tier 2 calls for projects are presented for review and approval. With approval, staff will issue the calls for projects for Tier 1 and Tier 2 and return with project funding recommendations later this year.

Recommendations

- A. Approve the proposed revisions to the Comprehensive Transportation Funding Programs guidelines for the Environmental Cleanup Program.
- B. Authorize staff to issue the 2024 Environmental Cleanup Program Tier 1 call for projects.
- C. Authorize staff to issue the 2024 Environmental Cleanup Program Tier 2 call for projects.

Background

The Environmental Cleanup Program (ECP), referred to as Project X, provides for the allocation of two percent of annual Measure M2 (M2) revenues to improve overall water quality in Orange County. Funding is allocated on a countywide competitive basis to assist jurisdictions in addressing transportation-related water pollution. These funds are intended to supplement, not supplant, existing transportation-related water quality programs. Funds are awarded to priority projects that improve water quality in streams, harbors, and other waterways that have a nexus to transportation-related pollution, consistent with the Orange County Transportation Authority's (OCTA) M2 Ordinance No. 3 (Ordinance). The Environmental Cleanup Allocation Committee (ECAC) was created by the M2 Ordinance to advise the OCTA Board of Directors (Board) on priorities and processes for the use of Project X funds.

In May 2010, the Board approved a two-tiered approach to allocate Project X funding. The Tier 1 Grant Program consists of funding for equipment purchases and upgrades to existing storm drains and related best management practices primarily addressing the removal of visible trash and debris from Orange County's waterways. To date, the Board has approved funding for 222 Tier 1 projects, totaling over \$36 million.

The Tier 2 Grant Program consists of funding for regional, potentially multijurisdictional, capital-intensive projects which address non-visible forms of pollution such as heavy metals, organic chemicals, sediment, and other transportation-related pollutants. Two previous Tier 2 calls for projects (call) took place in 2012 and 2013, which resulted in funding 22 projects in the amount of \$28 million. Project types funded in the initial Tier 2 calls included bioswales, infiltration/detention basins, constructed wetlands, and runoff diversions.

The Comprehensive Transportation Funding Programs (CTFP) is the mechanism by which OCTA administers competitive M2 funding to local jurisdictions. The CTFP allocates funds through competitive calls for projects based on guidelines and scoring criteria approved by the OCTA Board. The CTFP guidelines identify procedures and requirements that local agencies must satisfy to apply for M2 funding and how project applications are evaluated.

Discussion

Tier 1 Call

In preparation for the next Tier 1 call, OCTA staff considered lessons learned from previous calls and evaluation processes. A Tier 1 program call has been released annually since 2011, and minor changes to the CTFP guidelines have been made each year based on lessons learned from the preceding calls and based on input from the local jurisdictions. Staff is recommending to increase the call funding target to \$3.5 million from \$3 million and to increase the maximum ECP funding amount that an eligible local agency can receive in the Tier 1 call cycle from \$500,000 to \$600,000. These updates are recommended based on available program cash flows and in order to address the rising costs of equipment typically funded for this program. All other proposed updates are considered minor and would not result in significant changes to the CTFP guidelines. Revisions to the CTFP guidelines for Tier 1 are shown as red-line edits in Attachment A.

Tier 2 Call

As noted earlier, the last Tier 2 call was issued in 2013. Over the past several years, staff has worked with eligible jurisdictions to gauge interest, determine project readiness, and identify potential Tier 2-type projects through a series of informal surveys and questionnaires. Due to the competitive nature of Project X, it is important to release a Tier 2 call when there is a sufficient number of projects that could potentially be eligible for grant funding. Based on the responses received and the expressed interest, staff is recommending a Tier 2 call be issued.

Given the span of time since the last Tier 2 call, a refresh of the guidelines was necessary. Based on the recommended guidelines, project applications will be scored according to the updated Tier 2 scoring criteria, which remains consistent with the criteria used in the initial Tier 2 calls in prioritizing cost effective, multi-benefit stormwater projects that have a direct nexus to reducing transportation-related pollution. The technical scoring criteria (70 percent weighting) will evaluate the proposed project's nexus to transportation-related pollutants, water quality treatment needs, and ability to address specific water quality issues. Technical scoring will be computed within the Orange County Stormwater Tools (OCST) Planning Module, developed in partnership with the County of Orange. This is a new project planning platform that replaces time consuming manual spreadsheet calculations that were formerly used in the Tier 2 scoring process. Non-technical scoring categories (30 percent weighting) for the Tier 2 call include factors such as project readiness, regional benefits, and co-benefits beyond water quality improvement (i.e., recreation, habitat, drainage, water resources). Non-technical scoring will be based upon information provided in the application form, separate from the OCST process.

The recommended funding target of the 2024 Tier 2 call is approximately \$15 million based on M2 funding availability. The maximum grant request per project and/or for each eligible local agency is \$2.5 million. There is a proposed minimum local match requirement of 50 percent as in prior funding cycles. To reward applicants who have already invested in their projects by completing pre-construction phases, the match may be reduced by up to 15 percent for project readiness, as follows:

- 5 percent: Completion of environmental
- 5 percent: Completion of design
- 5 percent: Completion of right-of-way acquisition, if required

The recommended revisions to the CTFP guidelines for both Tier 1 and Tier 2 programs are provided in track changes as Attachment A. These revisions and the release of the 2024 calls for Tier 1 and Tier 2, were reviewed and recommended by the ECAC in December 2023.

Next Steps

Pending Board approval, the Tier 1 and Tier 2 calls would be released on February 12, 2024, for a period of 60 days and 90 days, respectively. Staff will notify local jurisdictions about these funding opportunities, will offer one-on-one meetings to assist local jurisdictions with the application processes, and will provide a workshop for local jurisdictions on February 22, 2024. As an additional resource specific to Tier 2, staff will provide training to assist applicants with the OCST Planning Module data entry portion of the application process. Applications are due April 25, 2024, for Tier 1 and May 16, 2024, for Tier 2. Staff will return to the Board in the summer/fall 2024 timeframe with programming recommendations.

Summary

M2 Project X provides competitive grants to local jurisdictions for projects that protect Orange County waterways and beaches from roadway runoff. Updates to the ECP guidelines were presented to and recommended by the ECAC in December 2023, and staff is now seeking Board approval of proposed revisions to the 2024 guidelines and authorization to initiate the 2024 Tier 1 and Tier 2 calls. The estimated funding targets are \$3.5 million for Tier 1 and \$15 million for Tier 2.

Attachment

- A. Guidelines Excerpt, Comprehensive Transportation Funding Programs Guidelines, 2024 Call for Projects

Prepared by:



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Approved by:



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

GUIDELINES EXCERPT COMPREHENSIVE TRANSPORTATION FUNDING PROGRAMS GUIDELINES

2024 CALL FOR PROJECTS

Orange County Transportation Authority



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Chapter 11 – Environmental Cleanup Program (Project X)

Overview

The ECP, herein referred to as Project X, provides M2 revenues to improve overall water quality in Orange County from transportation-generated pollution. Specifically, OCTA's Ordinance No. 3 (Ordinance), dated July 24, 2006, provides that 2 percent (2%) of gross M2 revenues be dedicated to protecting Orange County beaches and waterways from the conveyance of urban runoff associated with transportation-generated pollution. Project X ensures that funds will be used on a countywide competitive basis to meet federal Clean Water Act standards for controlling transportation-generated pollution by funding nationally recognized Best Management Practices (BMPs).

As required by the Ordinance, an Environmental Cleanup Allocation Committee (ECAC), representing a broad cross-section of the water quality community, was formed in October 2007 to provide guidance on program design and funding. The goal of Project X is to fund projects on a countywide, competitive basis. This will assist the County of Orange and Orange County cities in reducing transportation-related water quality pollution by meeting Clean Water Act standards for local waterways and beaches.

Proposed projects must demonstrate a direct nexus (connection) to a reduction of transportation-related pollution as developed and defined by the ECAC in conformity with the Ordinance. All proposing agencies must demonstrate an understanding of how their proposed projects meet the following transportation pollution nexus definition:

- Transportation-related activities can be a contributor of pollutants and/or impairments to receiving waters via aerial deposition, storm, and non-storm water discharges. Transportation-related activities are associated with the operation, construction, and maintenance of public roads, highways, and other ground transportation systems.
- The conveyance of transportation-related pollutants to surface and groundwater can occur from precipitation, runoff, and leachate entering or discharging from public roads, highways, and other ground transportation systems via drainage systems, such as catch basins, curbs, gutters, ditches, manmade channels, retention basins, or storm drains. The quality and quantity of these discharges vary considerably and are affected by hydrology, geology, land use, season, and sequence and discharge of hydrologic events.
- Pollutant sources can encompass right-of-way, properties, facilities, and activities related to motor vehicles, highway maintenance, construction site runoff, maintenance facility runoff, illegal dumping, spills, and landscaping care. Pollutant categories include but are not limited to metals (such as copper, lead, and zinc), organic chemicals and compounds (hydrocarbons), pesticides, sediment, nutrients (nitrogen and phosphorus), litter, oxygen demanding substances (decaying

vegetation, animal waste, and other organic matter), groundwater dewatering discharges, and pathogenic material.

Project X funds are designed to supplement, not supplant, existing water quality programs. Proposed projects must improve and not replace existing pollution reduction efforts by an eligible party. Funds will be awarded to the most competitive projects with the highest benefit to water quality.

The intent of Project X is to provide funding for water quality projects that do not replace existing transportation water quality expenditures. In other words, if a project has components which would replace features already in place or which would fulfill project specific mitigation, those components would not be eligible for funding consideration. Some upgrades and expansions may be eligible with appropriate supporting justification.

Proposed projects, which support compliance with the 2015 adopted Trash Provisions, are eligible for Project X funding provided the funds do not replace established and programmed funds and the funds are not applied to any mandated project design features or required mitigation measures.

The eligibility of the project and its components will be determined during the evaluation process. Contact Adrian Salazar at (714) 560-5363, or asalazar@octa.net with questions.

Tier 1 Grant Program

Overview

The Tier 1 Grant Program is designed to mitigate the more visible forms of pollutants, such as litter and debris, which collect on roadways and in the catch basins (storm drains) prior to being deposited in waterways and the ocean. It consists of grant funding for Orange County local governments to purchase equipment and upgrades for existing catch basins and other related BMPs (i.e., “street-scale” low flow diversion projects). Examples include screens, filters, and inserts for catch basins, as well as other devices designed to remove the above-mentioned pollutants. To date, 13 Tier 1 calls for projects have been held. Through this process, many of the opportunities for street-scale BMPs have been fulfilled. Water quality projects, regardless of technology, are eligible for Tier 1 funding provided they have a verifiable benefit to water quality and fall within the maximum per project programming cap. The intent of this funding program is for project applicants to complete the work generally within one year from the letter agreement execution date.

Tier 1 Project Types

Tier 1 projects funded in the past include the following types. A description of each project type is provided below:

- 1) Automatic Retractable Screen and other debris screens or inserts: screen or insert units prevent debris from entering the storm drain system.
- 2) Irrigation system retrofits to reduce runoff: these projects decrease runoff from highway medians by using more efficient irrigation systems and/or replacing existing landscape to reduce the amount of water used in irrigation.
- 3) Continuous Deflection Separator (CDS): CDS units screen, separate, and trap debris, sediment, oil, and grease from storm water runoff.
- 4) Linear Radial Gross Solid Removal Device (GSRD): GSRDs are certified full capture systems which efficiently remove large solids from runoff water flows.
- 5) Marina Trash Skimmer: these devices draw in floating debris, such as plastics, bottles, paper, oil sheen, and driftwood. The installation of marina trash skimmers will reduce the amount of trash and debris reaching the open ocean.
- 6) Bioswales and Bioretention systems: pollutants and sediments are captured and subsequently removed from stormwater runoff.
- 7) Trash Boom: a floating boom placed across a channel captures trash and debris that have reached flood channels from being further conveyed to downstream receiving waters.

Pre-Application Process

In order to ensure the best use of M2 funds and assist eligible jurisdictions with the Tier 1 Grant Program, applicants may engage in a pre-application process with OCTA staff in project planning, cost estimate development, and determination of likely projected competitiveness. Specific meeting times will be established once the call is initiated. After the call for projects deadline and submittal of the grant application, applicants will not be able to change the content of the application or scope of the project.

Eligible Applicants

Project X funds can be used to implement ~~street and highway~~transportation-related water quality improvement projects to assist Orange County cities and the County of Orange to meet federal Clean Water Act standards for urban runoff and State Water Resources Control Board requirements for trash capture. Applicants eligible for Project X funds include the 34 Orange County cities plus the County of Orange. Eligible applicants must meet the transportation requirements discussed in the M2 Ordinance.

Third parties, such as water and wastewater public entities, environmental resource organizations, nonprofit 501(c) environmental institutions, and homeowners' associations cannot act as the lead agency for a proposed project; however, these agencies can ~~jointly apply~~coordinate with an eligible Orange County city and/or the County of Orange.

Two or more agencies may participate in a project. If a joint application among agencies and/or third-party entities is submitted, a preliminary agreement with joint or third-party entities must be provided as part of the application. In order to meet Ordinance requirements, an eligible applicant must be the lead agency for the funding application. If a project includes more than one jurisdiction and is being submitted as a joint application, one agency shall act as lead agency and must provide a resolution of support from all joint applicants.

Each eligible jurisdiction must meet the eligibility criteria as set forth in Chapter 1 of these guidelines.

Project Programming

The Tier 1 Grant Program approach is designed to be consistent with Chapter 2 of these CTFP Guidelines regarding the provisions below:

- Program Consolidation
- Funding Projections
- Project Cost Escalation
- Programming Adjustments
- ~~Project Cost Escalation~~

- Programming Policies
- Schedule Change Requests
- Timely-Use of Funds
- Project Advancements
- Semi-Annual Review

Refer to Chapter 2 for explanations of the above provisions.

Funding Estimates

Approximately \$3.5 million is available for the 2024 Tier 1 call for projects.

The maximum amount for the Tier 1 Grant Program is \$~~500,000~~ 600,000 per project. The maximum amount that an eligible local agency can receive in this funding period is \$~~500,000~~ 600,000.

Matching Funds

For the Tier 1 Grant Program, a minimum local match of 20 percent (20%) of the eligible project cost is required. The matching funds shall be provided as a cash contribution.

Retroactive expenditures cannot be credited towards the matching fund threshold or project expenditures.

Overmatch

For the Tier 1 Grant Program, administering agencies may “overmatch” Project X projects; that is, additional cash match may be provided for the project. Applicants will receive additional points in the evaluation process for matching with cash above the minimum requirement. Proposals that exceed the 20 percent (20%) minimum funding match will be given an additional one-half point for every five percent (5%) over the minimum cash match (up to five bonus points).

Additionally, administering agencies must commit to cover any future cost overruns if the project is underfunded. Any work not eligible for Project X reimbursement must be funded by other means by the project applicant and cannot count as match. These non-eligible items should not be included in the cost estimate breakdown in the application.

Reimbursements

For the Tier 1 Grant Program, OCTA will release funds through two payments. The initial payment will constitute 75 percent (75%) of the contract award or programmed amount at contract award. OCTA will disburse the final payment, approximately 25 percent (25%) of eligible funds, after approval of the final report. Further information on reimbursements can be located within Chapter 9 of these CTFP Guidelines.

Scope Reductions/Modifications and Cost Savings

Any proposed scope modifications, such as a change in BMP device quantities and/or the adjustment of device locations of an approved project must be submitted to OCTA for review and approval in advance of the change to ensure consistency with Tier 1 Grant Program requirements. The proposed modifications must mitigate the same pollutants, affect the same waterways, and meet all other provisions as stipulated in these guidelines.

If the proposed scope modification is approved by OCTA, any cost savings will be proportionally shared between OCTA and the grantee; for example, a reduction in Project X funds must be applied proportionally to maintain the approved local match percentage. All cost savings will be returned to the Tier 1 Grant Program for reallocation for subsequent calls for projects.

2024 Tier 1 Call for Projects

The Tier 1 call will be open for 60 days. 2024 Tier 1 Call for Projects applications must be received by OCTA **no later than 5:00 p.m. on Thursday, April 25, 2024**. OCTA allocates funds on July 1 of each year. **Tier 1 projects are not eligible for delay requests**; please refer to Precept 17 for additional information. Funds will become available upon execution of a letter agreement. Projects that do not award construction contracts by December 31, 2025 will not be considered.

After Tier 1 applications are reviewed by OCTA, an advisory panel will review and rank projects. Following a review by the ECAC, a recommended priority list of projects will be forwarded to the OCTA Board for approval in fall 2024. Funds allocated for projects are final once approved by the OCTA Board. No additional funds will be allocated to the project. Grantees are responsible for any costs exceeding the allocated amount.

Tier 1 Selection Criteria

OCTA will evaluate all proposals that meet the mandatory prerequisites based on competitive selection criteria (Exhibit 11-1) with the following categories:

- Project Need, Transportation Nexus, and Water Quality Benefits (15 points)
- Cost/Benefit (16 points)
- Pollutant Reduction Benefits (12 points)
- Effectiveness Against More Visible Forms of Pollutants (10 points)
- Justification for Project Devices Considered and Proposed (5 points)
- Proposed Device Performance Efficiency and/or Effectiveness (6 points)
- Project Readiness (6 points)
- Secondary attributes* (5 points)
- Methodology for Measuring Pollutant Reduction Before and After Implementation (10 points)
- Operations and Maintenance Plan (15 points)

**Note: Project elements which may qualify for points under the "secondary attributes" category do not need to be eligible expenditures. See Eligible Expenditures and Ineligible Expenditures sections for further information.*

Each proposal can receive a maximum of 100 points, exclusive of five bonus points for cash overmatch. See Exhibit 11-1 for scoring categories and point distribution.

Exhibit 11-1 (Tier 1 Scoring Criteria)

Scoring Criteria		Points Possible												
1. Describe the need for the selected BMP(s), including nexus to transportation pollutants, and detail the benefits to water quality the BMP(s) will achieve. (up to 15 Points)		15												
2. Cost/Benefit (Up to 16 points): Based on information provided by the applicant, a cost/benefit calculation will be conducted to compare the total project cost to the area of priority land uses treated by the proposed BMP(s). Applicant is required to provide ¹ : <ul style="list-style-type: none"> Types(s) of BMP(s) proposed Number of each BMP type Total drainage area(s) contributing to each BMP type Percent of drainage area(s) that is/are considered priority land uses (i.e., high density residential, industrial, commercial, mixed urban, public transportation stations) The applicant must also provide geospatial information (through ArcGIS and/or Google Earth) that identifies the drainage area(s) and BMP location(s) for the project.		16												
3. Pollutant Reduction Benefits: Based on treatment capacity and BMP type, project benefit will be calculated using the scoring equation: $(A \times 3) + (B \times 3) + (C \times 6) =$ (up to 12 points) ¹		12												
<table border="1"> <thead> <tr> <th>Line</th><th>Factor</th><th>Points Available</th></tr> </thead> <tbody> <tr> <td>A</td><td>Fractional percent of 1 year, 1-hour event flowrate discharging from priority land uses to the BMP(s)</td><td>0 to 1</td></tr> <tr> <td>B</td><td>Fractional percent of 85th percentile, 24-hr design event that is treated by a low-impact development (LID) or treatment control BMP²</td><td>0 to 1.5</td></tr> <tr> <td>C</td><td>BMP Multiplier: <ul style="list-style-type: none"> 1/3 point for high capacity systems 2/3 point for filters/biofilters 1 point for zero-discharge BMPs </td><td>0 to 1</td></tr> </tbody> </table>			Line	Factor	Points Available	A	Fractional percent of 1 year, 1-hour event flowrate discharging from priority land uses to the BMP(s)	0 to 1	B	Fractional percent of 85th percentile, 24-hr design event that is treated by a low-impact development (LID) or treatment control BMP ²	0 to 1.5	C	BMP Multiplier: <ul style="list-style-type: none"> 1/3 point for high capacity systems 2/3 point for filters/biofilters 1 point for zero-discharge BMPs 	0 to 1
Line	Factor	Points Available												
A	Fractional percent of 1 year, 1-hour event flowrate discharging from priority land uses to the BMP(s)	0 to 1												
B	Fractional percent of 85th percentile, 24-hr design event that is treated by a low-impact development (LID) or treatment control BMP ²	0 to 1.5												
C	BMP Multiplier: <ul style="list-style-type: none"> 1/3 point for high capacity systems 2/3 point for filters/biofilters 1 point for zero-discharge BMPs 	0 to 1												
¹ Applicants are not expected to calculate the score for question 2 and question 3. OCTA's technical consultant will provide the analysis for these questions based on the application materials provided by the applicant.														
² Examples include high-capacity systems (i.e., hydrodynamic separators), filters/biofilters, or zero-discharge BMPs (i.e., retention/infiltration).														
4. How effective will the proposed project be in dealing with the more visible forms of pollutants, such as a litter and debris? (up to 10 points)		10												
5. What other BMP types were considered for this project? Why was the proposed BMP chosen? (5 points)		5												
6. Provide information on proposed BMP performance efficiency and/or effectiveness, including pollutant capture, storage capacity, flow capacity, etc. (up to 6 points)		6												
7. Project Readiness: The project schedule will be reviewed by the evaluation committee to determine when the proposed BMP will be operational following OCTA Board of Directors approval. (up to 6 points):		6												
Less than 4 Months	(6 points)	8 - 12 months (2 points)												
4 - 8 months	(4 points)	More than 12 months (1 point)												

Comprehensive Transportation Funding Programs



8. Secondary Attributes: Will the proposed project provide any benefits beyond water quality improvement (i.e., water use efficiency, public awareness, flooding control, recreation, habitat, sustainability)? (up to 5 points)	5
9. What is the methodology for measuring pollutant reduction before and after the BMP is implemented? How frequently will monitoring and performance assessment occur? (up to 10 points)	10
10. Provide an O&M plan for the lifespan of the proposed project. Include schedule of inspections, cleaning, removal and disposal of pollutants, repairs, etc. (up to 15 points)	15
	<hr/>
	100
11. BONUS: Are local matching funds in excess of the 20% minimum cash being proposed? If yes, at what percentage? (.5 point for each 5% cash overmatch, up to 5 points)	5
	<hr/>
	105

Application Process

The following information, which is to be completed within the Tier 1 Grant Application Form, available electronically from OCTA, is required to evaluate and select projects. A checklist is included in the Tier 1 Grant Application Form to assist eligible agencies in assembling project proposals. The following project information will be necessary as part of the application process:

- Project Title
- Lead Agency Information
- Proposed Schedule
- Project Management
- Description and Scope of Proposed Project
- Integrated Regional Water Management Plan (IRWMP) identification (if applicable)
- Project Readiness
- Performance Metrics
- Detailed Project Estimate
- Minimum 20% Local Match (cash match only)
- Joint-Application (if applicable)

In addition to the completed Tier 1 Grant Application, the following documentation is required as part of the application process:

- Project design or concept drawings, including preliminary design calculations, of proposed BMPs.
- Precise maps to show tributary drainage area and proposed location(s) for BMP installation including geospatial information (through ArcGIS and/or Google Earth)
- Digital project site photos
- Preliminary agreements with joint and/or third-party entities if part of the funding application (if applicable)
- A city council resolution specific to each proposed project and funding commitment must be approved by the local jurisdiction's governing body prior to the Board approval of grant funds. A sample resolution is included as Exhibit 11-2. **Local agencies, at a minimum, must include items a-l.** The mechanism selected shall serve as a formal request for CTFP funds and states that matching funds will be provided by the agency. A final resolution authorizing a request for funding consideration with a commitment of local match funding must be provided with the project application. **If a *draft* copy of the resolution is provided, the local agency must also provide the date the resolution will be finalized by the local agency's governing body.** For a project to be considered for funding A final copy of the City Council approved resolution must be provided at least four (4) weeks

PRIOR to the ~~consideration of~~ programming recommendations being presented to ~~by~~ OCTA's Board.

One unbound original hardcopy and one electronic copy of the complete application form and supporting documentation materials must be submitted to OCTA by the application deadline. Electronic application materials can be submitted via email as an attachment, or via a link to an online storage device site, such as DropBox ~~and/or~~ OneDrive, or Submittal via USB drive is also allowed. CD/DVD files will not be accepted. There is no maximum length for proposals. All pages must be numbered and printed on 8 1/2 x 11 sheets of white paper. Use separate sheets of paper if necessary. Maps and drawings can be included on 11 x 17 sheets, folded into the proposal. The original proposal should be left unbound for reproduction purposes.

Application materials are to be submitted by the call for projects deadline to the following OCTA staff email and via hardcopy by mail or in person:

Adrian Salazar
Orange County Transportation Authority
asalazar@octa.net

By mail:
Adrian Salazar
Orange County Transportation Authority
P.O. Box 14184
Orange, CA 92863-1584
Tel: (714) 560-5363

In person:
Orange County Transportation Authority
600 South Main Street
Orange, CA 92863-1584

Note: if submitting via email, please note that certain attachments may be subject to file size or file type restrictions, which may prevent emails from being successfully sent to OCTA. OCTA staff will provide a confirmation email that the application was successfully received by the deadline.

Applications are considered final once the electronic application has been submitted. OCTA will document the submittal date and time and download the files for storage and application review. Any applications that do not contain all required information and documentation will be disqualified. Revisions may be allowed if changes are made prior to the application deadline.

Exhibit 11-2 (Tier 1 Sample Resolution)

RESOLUTION NO. _____

A RESOLUTION OF THE CITY COUNCIL/BOARD OF THE CITY/COUNTY OF _____

AUTHORIZING AN APPLICATION FOR FUNDS FOR THE ENVIRONMENTAL CLEANUP, TIER 1 GRANT PROGRAM UNDER ORANGE COUNTY LOCAL TRANSPORTATION ORDINANCE NO. 3 FOR (PROJECT NAME).

- (a) WHEREAS, Orange County Local Transportation Ordinance No. 3, dated July 24, 2006, and is known and cited as the Renewed Measure M Transportation Ordinance and Investment Plan makes funds available through the Environmental Cleanup Program to help protect Orange County beaches and waterways from transportation-generated pollution (urban runoff) and improve overall water quality; and
 - (b) WHEREAS, the Environmental Cleanup, Tier 1 Grant Program consists of funding purchases and installation to catch basins with Best Management Practices, such as screens, filters, inserts, and other "street-scale" low flow diversion projects; and
 - (c) WHEREAS, OCTA has established the procedures and criteria for reviewing proposals; and
 - (d) WHEREAS, (ADMINISTERING AGENCY) possesses authority to nominate water quality improvement projects that have a transportation pollution nexus to finance and construct the proposed project; and
 - (e) WHEREAS, by formal action the (GOVERNING BODY) authorizes the nomination of (PROJECT NAME), including all understanding and assurances contained therein, and authorizes the person identified as the official representative of the (ADMINISTERING AGENCY) to act in connection with the nomination and to provide such additional information as may be required; and
 - (f) WHEREAS, the (ADMINISTERING AGENCY) will maintain and operate the equipment acquired and installed; and
 - (g) WHEREAS, the (ADMINISTERING AGENCY) will give OCTA's representatives access to and the right to examine all records, books, papers or documents related to the funded Tier 1 Grant Project; and
 - (h) WHEREAS, the (ADMINISTERING AGENCY) will cause work on the project to be commenced within a reasonable time after receipt of notification from OCTA and that the project will be carried to completion with reasonable diligence; and
 - (i) WHEREAS, the (ADMINISTERING AGENCY) will comply where applicable with provisions of the California Environmental Quality Act, the National Environmental Policy Act, the American with Disabilities Act, and any other federal, state, and/or local laws, rules and/or regulations; and
 - (j) WHEREAS, the (ADMINISTERING AGENCY) must include all projects funded by Net Revenues in the seven-year Capital Improvement Program as part of the Renewed Measure M Ordinance eligibility requirement; and
 - (k) WHEREAS, the (ADMINISTERING AGENCY) authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the Orange County Transportation Authority Board of Directors; and
 - (l) WHEREAS, the City/County of _____ will provide a minimum of 20% in matching funds for the (PROJECT NAME) as required by the Orange County Comprehensive Transportation Funding Programs Guidelines.
- NOW, THEREFORE, BE IT RESOLVED that the City/County of _____ hereby authorizes (NAME OF AGENCY REPRESENTATIVE) as the official representative of the (ADMINISTERING AGENCY) to accept funds for the Environmental Cleanup, Tier 1 Grant Program for (PROJECT NAME).
- BE IT FURTHER RESOLVED that the City/County of _____ agrees to fund its share of the project costs and any additional costs over the identified programmed amount.

Eligible Expenditures

- Tier 1 projects must meet the transportation nexus as outlined previously in this chapter.
- Project X funds must be for capital improvements.
- For construction management, project management and final design (for Project X Tier 1 projects only), combined costs cannot exceed 15 percent (15%) of total construction cost.
- Project X funds can only be used for facilities that are in public ownership for public use; however, water quality improvements on private property, which are connected to municipal separate storm sewer systems, are eligible if part of a right of way agreement (For example, a homeowner association can ~~apply for funding~~ coordinate through an eligible agency for funding if the proposed project is connected to a public facility). Administering agencies shall provide supporting documentation to justify improvements on private property.
- Reducing volume of surface flows is an integral factor of improving water quality, therefore, projects that have water-saving features (i.e., drip systems) are eligible for funding consideration.

Ineligible Expenditures

- O&M costs are not eligible expenditures. O&M costs cannot be utilized as a source of matching funds.
- Project X funds are not to be used for planning but can be used for final design, subject to the restrictions above.
- Expenditures prior to the grantee executed letter agreement date cannot be considered eligible for funding or match.
- Landscaping installation and replacement are not eligible for funding consideration.
- Replacement of equipment funded with Project X funds that is still within its anticipated useful life (based on manufacturer's specifications).
- Capital equipment purchases related to regular on-going street maintenance efforts, including, but not limited to: trash receptacles, vacuum trucks and/or equipment, street sweepers, signage, etc.

Reporting and Reimbursement

A final report must be filed within 180 days of the project being completed with information as shown in Form 10-16. See Chapter 9 for the process and requirements regarding reimbursements and reporting for the Tier 1 Grant Program.

Additionally, an exception to Precept #36: Agencies may appeal to the ECAC and the OCTA Board on any issues that the agency and OCTA cannot resolve, as such are the reviewing and approving bodies, respectively, for this program.

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 field review. 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. Only CTFP eligible items listed on a project's cost estimate form will be reimbursed. See Chapter 10 for independent audit requirements beyond the technical and/or field review.

Additional Information

Questions regarding these procedures and criteria should be directed to:

By mail:

Adrian Salazar
Orange County Transportation Authority
P.O. Box 14184
Orange, CA 92863-1584
Tel: (714) 560-5363

In person:

Orange County Transportation Authority
600 South Main Street
Orange, CA 92863-1584

Via email:

asalazar@octa.net

Tier 2 Grant Program

The Tier 2 Grant Program consists of funding larger scale, potentially multi-jurisdictional, capital-intensive structural treatment BMP projects. Proposed projects will be evaluated based on their water quality improvement benefits and cost-effectiveness under the scoring criteria guidelines. Examples of large-scale BMPs include constructed wetlands, detention/infiltration basins and other large BMPs that mitigate litter and debris, heavy metals, organic chemicals, sediment, nutrients, and other transportation-related pollutants. Funds will be awarded through a competitive grant process geared towards awarding funds to the highest scoring, most cost-effective projects.

For the 2024 call for projects (call), applicants will use a web-based platform called OC Stormwater Tools (OCST) as part of the application process. The OCST platform was originally developed by Orange County Public Works (OCPW). The OCST platform has been in use for over five years supporting Orange County cities and the County of Orange in managing stormwater BMP inventories, establishing facility delineations, and modeling the performance of the BMPs. It is maintained by OCPW. In 2022, OCTA and OCPW partnered to develop the Planning Module in OCST. The OCST Planning Module allows users to access mapping layers to view priority areas, evaluate the performance of candidate BMPs, and submit selected projects for consideration in the Tier 2 Grant Program, in combination with traditional application forms. Use of the OCST Planning Module to submit the project drainage area and facility design information is a requirement for Tier 2 funding applicants.

Pre-Application Process

In order to facilitate a jurisdiction's best use of Project X funds, Tier 2 applicants may engage in a pre-application process with OCTA staff to assist jurisdictions in project planning, proposal and cost estimate development, and determination of likely projected competitiveness in the scoring criteria. The pre-application timeframe is defined as the time between the initiation of the call and one week prior to the application deadline date. After the call deadline and submittal of the grant application, applicants will not be able to change the content of their application or scope of the project.

Eligible Applicants

Project X funds can be used to implement transportation-related water quality improvement projects to assist Orange County cities and the County of Orange meet federal Clean Water Act standards for urban runoff. Applicants eligible for Project X funds include the 34 Orange County cities plus the County of Orange. Eligible applicants must meet the transportation requirements discussed in the M2 Ordinance.

For Tier 2 multi-agency collaborations, eligible jurisdictions may partner with other entities such as special districts and non-profits, but the lead agency must be an M2 eligible jurisdiction.

Third parties, such as water and wastewater public entities, environmental resource organizations, non-profit 501(c) environmental institutions, and homeowners' associations cannot act as the lead agency for a proposed project, however; these agencies can coordinate with an M2 eligible Orange County city and/or the County of Orange to submit a project application. All project partners must contribute to the project in some capacity (i.e., monetary contribution, time contribution, etc.).

Two or more agencies may participate in a project. If a joint application among agencies and/or an application is submitted for the benefit of third-party entities is submitted, a preliminary agreement with joint or third-party entities must be provided as part of the application. In order to meet M2 Ordinance requirements, an eligible applicant must be the lead agency for the funding application. If a project includes more than one jurisdiction and is being submitted as a joint application, one agency shall act as the lead agency and must provide a resolution of support from the partnering agency. In addition, the applicant shall provide a schedule by which the lead agency will obtain a final agreement with a third party. The final agreement must be executed prior to contract award date.

Each eligible jurisdiction must meet the eligibility criteria as set forth in Chapter 1 of the Comprehensive Transportation Funding Program (CTFP) Guidelines. For example, to apply for CTFP funding, local agencies must fulfill an annual eligibility process. Eligibility packages are due to OCTA by June 30 of each year. The M2 Eligibility Preparation Manual outlines the eligibility requirements in detail.

In order for an applicant to accept Project X funding for their proposed project, OCTA has certain requirements that must be met. These requirements include adhering to the OCTA CTFP Guidelines; meeting a ten-year BMP Operations and Maintenance (O&M) commitment; and commitment to maintain and monitor the project commensurate with the design life.

Project Programming

The Tier 2 Grant Program is designed to be consistent with Chapter 2 of the CTFP Guidelines regarding the provisions below:

- Program Consolidation
- Sequential Programming Process
- Funding Projections
- Project Cost Escalation
- Programming Adjustments

- Project Readiness
- Programming Policies
- Schedule Change Requests
- Timely-Use of Funds
- Project Advancements
- Semi-Annual Review

Refer to Chapter 2 for explanations of the above provisions.

Funding Estimates

Approximately \$15 million is available for the 2024 Tier 2 call. The maximum amount for the Tier 2 Grant Program is \$2.5 million per project. The maximum amount that an eligible local agency can receive in this funding period is \$2.5 million.

2024 Tier 2 Call Implementation Timeline

The Tier 2 call will be open for 90 days. 2024 Tier 2 call applications must be received by OCTA **no later than 5:00 PM on Thursday, May 16, 2024**. OCTA is seeking applications for projects, which can be awarded no later than December 31, 2025. Funds will become available upon execution of a letter agreement. Projects that do not award construction contracts by December 31, 2025 will not be considered.

After Tier 2 applications are reviewed by OCTA staff for completeness and accuracy, an evaluation panel will review and rank projects. Following review and recommendation by the ECAC, a recommended priority list of projects will be presented to the OCTA Board for approval. Funding amounts allocated for projects are final once approved by the OCTA Board. No additional funds will be allocated to the project. Grantees are responsible for any costs exceeding the allocated amount.

Matching Funds

For the Tier 2 Grant Program, a minimum local match of fifty percent (50%) of the eligible project phase cost is required. The matching funds shall be provided by cash contributions. Previously completed phases of a project may not be attributed to the match. Prior expenditures cannot be used as matching funds. There is a potential to reduce matching funds up to 15 percent (15%) for project readiness (at time of application submittal) as follows:

- Environmental (5%): The environmental document has been completed and certified.
- Design (5%): The project has completed 100% design plans.
- Right of Way (5%): This reduction applies to only those projects that require right of way acquisition, and acquisition has been completed.

If a joint application among agencies and/or third-party project partners is submitted, matching funds documentation must clearly identify the entity providing the funds for each line item in the matching funds description. Additionally, preliminary agreements are required to be submitted with the grant application that contains the matching funds commitments from a supporting agency.

Matching rate commitments identified in the project grant application shall remain constant throughout the project. Match rate commitments may not be reduced for any reason.

Operations and Maintenance

Applicants must submit a draft BMP O&M Plan covering a minimum of ten years after project completion. The BMP O&M Plan must document (through the resolution) project O&M financial commitment and sustainability for ten years. Applicants must include project assessment and monitoring of performance as part of the O&M Plan. OCTA may request to review this plan from time to time.

For guidance, please refer to Section 2.8 and Appendix G of the Technical Guidance Document for the Preparation of Conceptual/Preliminary and/or Project Water Quality Management Plans at:

<https://ocgov.app.box.com/v/SDR-WQIP-Clearinghouse/file/252490400944>

Eligible Expenditures

- Tier 2 projects must meet the transportation nexus as outlined previously in this chapter.
- Project X funds are designed to fund capital improvements. Tier 2 funds are designed to be strictly used for project construction costs, although up to ten percent (10%) of the total grant may be used for preliminary project design, environmental, and engineering costs.
- For Tier 2, construction management and project management cannot exceed 15 percent (15%) of the total construction costs.
- Project X funds can only be used for facilities that are in public ownership for public use; however, water quality improvements on private property, which are connected to municipal separate storm sewer systems, are eligible if part of a right of way agreement (For example, a homeowner's association coordinate through an eligible agency for funding if the proposed project is connected to a public facility). Agencies shall provide supporting documentation to justify improvements on private property.

Ineligible Expenditures (including, but not limited to)

- Non-capital expenses for enhancements such as education, recreation, etc.
- Expenditures prior to letter agreement execution
- Amenities such as benches, lighting, signage, waste receptacles, etc.
- Landscaping and vegetation not directly related to improving water quality (i.e., ornamental shrubs, trees)
- Irrigation (sprinklers or drip systems) not directly related to plant establishment of water quality features
- Trails/sidewalks, unless contributing to water quality improvement
- O&M
- Planning activities beyond ten percent (10%) of grant
- Replacement of existing water quality features still within anticipated useful life (based on manufacturer's specifications).

Reimbursements

For the Tier 2 Grant Program, OCTA will typically release funds through two payments. The initial payment will constitute 75 percent (75%) of the contract award or programmed amount at time of award, whichever is lower. OCTA will disburse the final payment, approximately 25 percent (25%) of eligible funds, after approval of the final report. Further information on reimbursements can be found within Chapter 9 of the CTFP Guidelines.

Additionally, administering agencies must commit to cover any future cost overruns if the project is underfunded. Any work not eligible for Project X reimbursement must be funded through other means by the project applicant and cannot count as match. These non-eligible items should not be included in the cost estimate breakdown in the application.

Scope Reductions and Cost Savings

Any proposed scope reductions of an approved project must be submitted to OCTA to ensure consistency with the Tier 2 Grant Program requirements. If the proposed scope reduction is approved by OCTA, cost savings will be proportionally shared between OCTA and the grantee. A reduction in Project X funds must be applied proportionally to maintain the approved local match percentage. All cost savings will be returned to the Tier 2 Grant Program for reallocation to subsequent calls.

Tier 2 Selection Criteria

OCTA will evaluate all proposals that meet the mandatory prerequisites based on competitive selection criteria (Exhibit 11-3) with the following categories:

- Problem and source identification

- Project design
- Project implementation and readiness
- Project benefits
- Performance metrics

Each proposal can receive a maximum of 100 points. Tier 2 selection criteria include both technical scoring criteria –70 percent (70%) weighting – and non-technical scoring criteria –30 percent (30%) weighting.

A focus on several overarching concepts is emphasized in the funding guidelines and scoring criteria:

- Focus on a clear and measurable transportation nexus, defined as total lane miles in the project catchment area, as defined by the MPAH
- Priority in the scoring criteria is given to projects in areas of highest water quality need, as established by predicted pollutant loading, receiving water monitoring, and the extent of impairment of receiving waters (i.e., higher priority given to 303(d) listed water bodies or project in a water quality plan)
- Quantification of project benefits where possible in terms of a load reduction metric (pollutants or water volumes)
- Emphasis on cost beneficial projects
- Emphasis on project readiness, and ability to leverage funding
- Emphasis on other regional and environmental benefits
- Emphasis on multi-jurisdictional and public benefits

Application Process

The technical scoring will be calculated wholly within the OCST Planning Module. The Tier 2 Grant Application Form (available electronically from OCTA) is required to evaluate general project information, funding, and to score non-technical project components. See Exhibit 11-3 for Tier 2 Scoring Criteria.

The applicant will be required to enter the technical project information into the OCST Planning Module (<https://planning.ocstormwatertools.org/>), populate the project with attributes necessary to quantify performance, and elect to share the project with OCTA within the Planning Module.

OCST Planning Module Project Entry

Complete the workflow for adding the project in the OCST Planning Module. The Planning Module Project workflow includes the following steps:

1. Log in to <https://planning.ocstormwatertools.org/>. If a user is not yet registered in this system, use the "Create Account" button to set username and password;

permission to act on behalf of a city or the County will be assigned by the system administrators.

2. Under "Quick Actions", select "Add a Project".
3. Complete the Project Basics form using the same project name as in the Application Form. Enter project information such as Project Name, Description, and Primary Contact Person. Check the box to compute metrics for the OCTA M2 Tier 2 Grant Program.
4. Select "OCTA M2 Tier 2 Grant Program" to view scores (this does not enable sharing with OCTA, it will just calculate scoring metrics for the project for applicant review).
5. On the "Stormwater Treatments / Proposed Treatment BMPs" page, enter BMP type and location, and modeling attributes (a set of key design parameters used to estimate performance). More than one BMP can be entered within a project.
6. On the "Stormwater Treatments / Delineations" page, define the upstream delineation using the web map.
7. On the "Stormwater Treatments / Modeled Performance and Grant Metrics" page, select "Calculate" to review modeling results and preliminary grant scoring metrics for the project.
8. Review results.
9. On the "Review and Share" page, click the button to "Share" the project with the OCTA M2 Tier 2 Grant Program. This will add the project to the grant application reviewers dashboard. While a project is being shared it cannot be edited.

If an applicant believes an edit is needed, or if a change is requested by OCTA, the applicant may "Revoke" the project sharing status, make the edit, and re-share the project. Projects must be shared with the OCTA M2 Tier 2 Grant Program before the call for projects closes in order for the application to be considered eligible for funding.

Important Note: All Tier 2 score metrics computed by the Planning Module are preliminary. Final project scores will be calculated by OCTA after the call is closed, including comparisons between submitted projects.

In addition to entering project information into the OCST Planning Module and the Tier 2 Grant Application Form, the following items are required to be included within the submitted proposal:

- Project design or concept drawings, including preliminary design calculations, of proposed BMP. This should clearly justify the modeling attributes entered into the OCST Planning Module.
- Environmental Document (if applicable)

- Preliminary Cooperative Agreement(s) with joint and/or third-party entities (if applicable)
- Project Cost Estimate
- Maps
- Project site photos
- Project master schedule
- City Council resolution specific to the project and funding commitment must be approved by the local jurisdiction's governing body prior to the Board approval of grant funds. A sample resolution is included as Exhibit 11-4. **Local agencies, at a minimum, must include items a-l.** The mechanism selected shall serve as a formal request for CTFP funds and states that matching funds will be provided by the agency. A final resolution authorizing a request for funding consideration with a commitment of local match funding must be provided with the project application. **If a draft copy of the resolution is provided, the local agency must also provide the date the resolution will be finalized by the local agency's governing body.** A final copy of the City Council approved resolution must be provided at least four (4) weeks **PRIOR** to the consideration of programming recommendations by OCTA's Board.
- 10-year draft BMP O&M Plan

For the Tier 2 Grant Program, one unbound original and one electronic copy of the complete application form and supporting documentation materials must be submitted to OCTA by the application deadline. Electronic application materials can be submitted via email as an attachment, or via a link to an online storage device site, such as DropBox or OneDrive. Submittal via USB drive is allowed. CD/DVD files will not be accepted.

There is no maximum length for proposals. All pages must be numbered and printed on 8 1/2 x 11 sheets of white paper. Use separate sheets of paper if necessary. Maps and drawings can be included on 11 x 17 sheets, folded into the proposal. *The original proposal should be left unbound for reproduction purposes.*

Application materials are to be submitted by the call for projects deadline to the following OCTA staff email and via hardcopy by mail or in person:

Adrian Salazar

Orange County Transportation Authority

asalazar@octa.net

By mail:

Adrian Salazar

Orange County Transportation Authority

P.O. Box 14184

Orange, CA 92863-1584

Tel: (714) 560-5363

In person:

Orange County Transportation Authority

600 South Main Street

Orange, CA 92863-1584

Note: if submitting via email, please note that certain attachments may be subject to file size or file type restrictions, which may prevent emails from being successfully sent to OCTA. OCTA staff will provide a confirmation email that the application was successfully received by the deadline.

Applications are considered final once the electronic application has been submitted. OCTA will document the submittal date and time and download the files for storage and application review. Any applications that do not contain all required information and documentation will be disqualified. Revisions may be allowed if changes are made prior to the application deadline.

Reporting and Reimbursement

The Tier 2 Grant Program is consistent with Chapter 9 of the CTFP Guidelines regarding the process and requirements of reimbursements and reporting including semi-annual reviews. Upon completion of project construction, a 10-year final BMP O&M Plan is required to be submitted along with the final report.

Additionally, an exception to Precept #39: Agencies may appeal to the ECAC and the OCTA Board on any issues that the agency and OCTA cannot resolve.

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 field review. 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. Only CTFP eligible items listed on a project's cost estimate form will be reimbursed. See Chapter 10 for independent audit requirements beyond the technical and/or field review.

Exhibit 11-3 Tier 2 Scoring Criteria

Technical Scoring – 70 points (Points awarded based on scoring metrics computed within OCST Planning Module)		
Scoring Metric	Description	Points
Transportation Priority Index (TPI)	The TPI is developed based on density of roadway lane miles within pre-defined catchment areas.	5
WQ Need Analysis	WQ Need is based on the presence of TMDLs and 303(d) list impairments, as well as receiving water quality monitoring data.	40
BMP Performance	BMP performance is a normalized score based on the total inflow volume, Water Quality Load Reduction Index, the ratio of wet to dry weather pollutant load reduction, and project cost.	25
Non-technical Scoring – 30 points (Points awarded based upon information provided by applicant)		
Multiple Benefits <ul style="list-style-type: none"> • Drainage • Recreation • Habitat • Water Resources 	Describe the benefits of the proposed project above and beyond water quality improvement (load reduction benefit).	10
Cost/Benefit	Describe how the project is designed to maximize benefits while reducing costs, such as by aligning with parallel project efforts in the region and/or obtaining additional sources of funding beyond the minimum required match.	10
Regional Benefit	Describe how the proposed project would provide a regional benefit.	5
Project Readiness	Describe the proposed project's readiness with regard to concept development, cost estimates, design, environmental compliance, and construction documents.	5
Total		100

Exhibit 11-4 SAMPLE AGENCY RESOLUTION REQUESTING FUNDS FOR PROPOSED PROJECT

RESOLUTION NO. _____

A RESOLUTION OF THE CITY COUNCIL/BOARD OF THE CITY/COUNTY OF _____
AUTHORIZING AN APPLICATION FOR FUNDS FOR THE ENVIRONMENTAL CLEANUP, TIER 2 GRANT
PROGRAM UNDER ORANGE COUNTY LOCAL TRANSPORTATION ORDINANCE NO. 3 FOR
(NAME OF PROPOSAL) PROJECT.

(a) WHEREAS, Orange County Local Transportation Ordinance No. 3, dated July 24, 2006, and is known and cited as the Renewed Measure M Transportation Ordinance and Investment Plan makes funds available through the Environmental Cleanup Program to help protect Orange County beaches and waterways from transportation-generated pollution (urban runoff) and improve overall water quality; and

(b) WHEREAS, the Environmental Cleanup, Tier 2 Grant Program consists of funding regional, potentially multi-jurisdictional, capital-intensive projects, such as constructed wetlands, detention/infiltration basins and bioswales, which mitigate pollutants including litter and debris, heavy metals, organic chemicals, sediment, and nutrients; and

(c) WHEREAS, OCTA has established the procedures and criteria for reviewing proposals; and

(d) WHEREAS, (ADMINISTERING AGENCY) possesses authority to nominate water quality improvement projects that have a transportation pollution nexus to finance and construct the proposed project; and

(e) WHEREAS, by formal action the (GOVERNING BODY) authorizes the nomination of (NAME OF PROPOSAL), including all understanding and assurances contained therein, and authorizes the person identified as the official representative of the (ADMINISTERING AGENCY) to act in connection with the nomination and to provide such additional information as may be required; and

(f) WHEREAS, the (ADMINISTERING AGENCY) will maintain and operate the equipment acquired and installed; and

(g) WHEREAS, the (ADMINISTERING AGENCY) will give OCTA's representatives access to and the right to examine all records, books, papers or documents related to the funded Tier 2 Grant Project; and

(h) WHEREAS, the (ADMINISTERING AGENCY) will cause work on the project to be commenced within a reasonable time after receipt of notification from OCTA and that the project will be carried to completion with reasonable diligence; and

(i) WHEREAS, the (ADMINISTERING AGENCY) will comply where applicable with provisions of the California Environmental Quality Act, the National Environmental Policy Act, the American with Disabilities Act, and any other federal, state, and/or local laws, rules and/or regulations; and

(j) WHEREAS, the (ADMINISTERING AGENCY) must include all projects funded by Net Revenues in the seven-year Capital Improvement Program as part of the Renewed Measure M Ordinance eligibility requirement; and

(k) WHEREAS, the (ADMINISTERING AGENCY) authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the Orange County Transportation Authority Board of Directors; and

(l) WHEREAS, the City/County of _____ is committing to a minimum match of up to 50% for the (PROJECT NAME) as required by the Orange County Comprehensive Transportation Funding Programs Guidelines.

NOW, THEREFORE, BE IT RESOLVED that the City/County of _____, hereby authorizes (NAME OF AGENCY REPRESENTATIVE) as the official representative of the (ADMINISTERING AGENCY) to accept funds for the Environmental Cleanup, Tier 2 Grant Program for (NAME OF PROPOSAL).

BE IT FURTHER RESOLVED that the City/County of _____, agrees to fund its share of the project costs and support any additional costs over the grant funding.



COMMITTEE TRANSMITTAL

February 12, 2024

To: Members of the Board of Directors

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

Subject: Measure M2 Community Based Transit Circulators Program
Project V Ridership Report

Transit Committee Meeting of February 8, 2024

Present: Directors Aitken, Amezcua, Do, Jung, and Klopfenstein
Absent: Directors Harper and Sarmiento

Committee Vote

This item was passed by the Members present.

Committee Recommendation

Receive and file as an information item.



February 8, 2024

To: Transit Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Measure M2 Community-Based Transit Circulators Program
Project V Ridership Report

Overview

Measure M2 contains an array of programs to enhance all modes of transportation, including a program to fund community-based transit circulators known as Project V. The goal of the program is to provide local transit services that complement regional bus and rail service and to meet needs in areas not adequately served by the regional transit services. Funding is awarded to local jurisdictions through a competitive call for projects. Local jurisdictions then implement the awarded services and agree to work towards meeting performance criteria including ridership metrics. The latest ridership information for these awarded services is presented to the Board of Directors twice annually. This report covers the period from April 2023 to September 2023.

Recommendation

Receive and file as an information item.

Background

The Measure M2 (M2) Community-Based Transit Circulators program, known as Project V, is a competitive grant program that provides funding to develop and implement local transit services. Currently, funded services include seasonal, special-event, commuter, fixed-route, and demand-responsive service intended to complement regional transit, while better meeting specific local needs.

This ridership report covers the fourth quarter for fiscal year (FY) 2022-23 and the first quarter for FY 2023-24 and provides information on boardings per revenue vehicle hour, cost per boarding, customer satisfaction, and on-time performance metrics.

Based on the established program guidelines, Project V-funded services are expected to meet a maximum cost per boarding standard, which is equal to twice the M2 Project V per boarding subsidy. Where services are not meeting this standard, jurisdictions are required to disclose the cost per boarding information to their city council (or board of supervisors in the case of County of Orange services) to continue, restructure, or cancel the service. This approach provides local jurisdictions with the flexibility to deliver Project V services under metrics that are context sensitive yet financially sustainable, and locally driven. For FY 2022-23, the maximum cost per boarding was established at \$20.85 (two times the FY 2022-23 M2 subsidy per boarding of \$10.43) and \$21.24 for FY 2023-24 (two times the FY 2023-24 M2 subsidy per boarding of \$10.62).

Discussion

During this reporting period, Project V services in operation from April 2023 through September 2023 include a combination of seasonal, special-event, commuter, fixed-route, and demand-responsive services, which meet a variety of community needs. In comparison to this time last year (2022), the active services are consistent with previously reported metrics signifying stabilization of ridership trends post-pandemic and serving as new baselines.

Current active Project V services (supported through 15 individual Project V grants) are identified below¹. Detailed grant and service operating information is provided in Attachment A. During this reporting period, all active services successfully met the required program performance standards including the Board-approved maximum cost per boarding requirement of \$20.85 for FY 2022-23 and \$21.24 for FY 2023-24.

The community-based transit programs that were in service and met the average cost per boarding requirement include the following:

- Anaheim Canyon Metrolink Connector Service,
- County of Orange Ranch Ride Service,
- Dana Point Summer Weekend Trolley (2014 grant),
- Dana Point Summer Trolley Expansion (2016 grant),
- Dana Point Summer Trolley Continuity (2018 grant),
- Laguna Beach Off-Season Weekend Trolley Service (2020 grant),
- Laguna Beach Summer Breeze (2018 grant),
- Laguna Niguel Summer Trolley,
- Mission Viejo Community Circulator,

¹ The Huntington Beach Pilot information will be included in the next Project V report

- Newport Beach Balboa Peninsula Trolley (2016 grant),
- Newport Beach Balboa Peninsula Trolley Expansion (2018 grant),
- San Clemente Summer Weekend Trolley and Seasonal Service (2016 grant),
- San Clemente Summer Weekday Trolley and Seasonal Service Expansion (2018 grant),
- San Juan Capistrano Special Event and Weekend Summer Trolley Service, and
- San Clemente SC Rides Service (2016 grant).

To ensure compliance and to meet the intent of the Project V guidelines, local jurisdictions are required to report on-time performance and customer satisfaction on an annual basis, as indicated in their cooperative agreements. All local jurisdictions successfully met their on-time performance and customer satisfaction thresholds (San Clemente trolley services began reporting on customer satisfaction performance as of the first quarter of FY 2023-24).

Summary

A ridership and status report on Project V services is provided. All active services met ridership and service requirements.

Attachment

A. Project V Services – Ridership Report

Prepared by:



Adrian Salazar
Senior Transportation Funding Analyst,
Local Programs
(714) 560-5363

Approved by:



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

Project V Services - Ridership Report

Reporting Period: Q4 of FY 2022-23 and Q1 of FY 2023-24

No.	Agency	Service Description	Measure M2 Total Project V Funds	Service Type	Service Start Month/Year	Boardings Per Revenue Vehicle Hour (B/RVH) ¹	Cost per Boarding (O&M/B) ^{1,2}	Met CS Threshold (Y/N/NA)	Met OTP Threshold (Y/N/NA)
1	Anaheim	Anaheim Canyon Metrolink Connector	\$ 1,141,864	Commuter Service	July 2020	7	\$ 15.07	Y	Y
2	County of Orange	Local Circulator and Special Event Service (OC Ranch Ride)	\$ 2,041,547	Local Circulator and Special Event	June 2017	22	\$ 11.40	Y	Y
3	Dana Point	Dana Point Summer Weekend Trolley ³	\$ 2,456,511	Seasonal Service	June 2015	19	\$ 11.78	NA	NA
4	Dana Point	Dana Point Summer Trolley Expansion	\$ 905,968	Seasonal Service	June 2017	12	\$ 10.49	Y	Y
5	Dana Point	Dana Point Summer Trolley Continuity	\$ 1,745,065	Seasonal Service	September 2019	13	\$ 9.14	Y	Y
6	Laguna Beach	Off-Season Weekend Trolley Service	\$ 3,850,000	Special Event	September 2021	20	\$ 3.76	Y	Y
7	Laguna Beach	Summer Breeze Bus Service	\$ 634,357	Seasonal Service	June 2018	24	\$ 4.67	Y	Y
8	Laguna Niguel	Laguna Niguel Summer Trolley - Southern Section	\$ 886,082	Seasonal and Special Event	May 2022	9	\$ 10.01	Y	Y
9	Mission Viejo	Local Community Circulator	\$ 3,332,879	Local Circulator	October 2016	12	\$ 7.39	Y	Y
10	Newport Beach	Balboa Peninsula Seasonal Trolley	\$ 685,454	Seasonal Service	June 2017	12	\$ 11.89	Y	Y
11	Newport Beach	Balboa Peninsula Seasonal Trolley Expansion	\$ 278,400	Seasonal Service	August 2018	10	\$ 15.12	Y	Y
12	San Clemente	Summer Weekend Trolley and Seasonal Service	\$ 1,181,393	Seasonal and Special Event	May 2017	47	\$ 1.43	Y	Y
13	San Clemente	Summer Weekday Trolley and Seasonal Service Expansion	\$ 1,537,200	Seasonal and Special Event	July 2018	23	\$ 2.98	Y	Y
14	San Juan Capistrano	Special Event and Weekend Summer Trolley Service	\$ 958,642	Seasonal and Special Event	July 2018	20	\$ 9.15	Y	Y
15	San Clemente	SC Rides On-Demand Service	\$ 2,014,203	Ride Hailing	October 2016	8	\$ 6.96	Y	NA

¹ Average of Q4 and Q1, rounded to next whole number² FY 2022-23 maximum cost per boarding is \$20.85; FY 2023-24 maximum cost per boarding is \$21.24³ The City of Dana Point Summer Weekend Trolley (2014 grant) project grant was completed in FY 2022-23 Q4 (Attachment A shows Q4 information only). Trolley services will continue to be funded through Expansion and Continuity grants (2016, 2018, and 2020 grants)

NA - data point not applicable for current performance period (i.e., CS survey annual requirement satisfied in prior reporting period, service provides real-time ETA information, service did not operate with a fixed schedule)

Minimum Performance Standards for Cost per Boarding, O&M/B

- Maintain O&M/B below maximum cost per boarding limit
- \$20.85 maximum cost per boarding set at twice maximum allowable per boarding subsidy of \$10.43 in FY 2022-23 (escalated at 1.85% annually thereafter)
- \$21.24 maximum cost per boarding set at twice maximum allowable per boarding subsidy of \$10.62 in FY 2023-24 (escalated at 1.85% annually thereafter)

ACRONYMS

B - Boardings	OTP - On-time performance
CS - Customer satisfaction	Q1 - Quarter 1 (July 2023 - September 2023)
ETA - Estimated time of arrival	Q4 - Quarter 4 (April 2023 - June 2023)
FY - Fiscal year	RVH - Revenue vehicle hour
NA - Not applicable	SC - San Clemente
O&M - Operations and maintenance	Y/N - Yes/No



COMMITTEE TRANSMITTAL

February 12, 2024

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 5, 2024

Present: Directors Do, Dumitru, Federico, Harper, and Stephens

Absent: Directors Foley and Khan

Committee Vote

This item was passed by the Members present.

Committee Recommendations

- A. Approve 34 of Orange County's 35 local jurisdictions (excluding the City of Cypress) as eligible to continue receiving Measure M2 net revenues.
- B. Receive and file the Measure M2 eligibility verification documents submitted by the City of Cypress.



February 5, 2024

To: Regional Transportation Planning Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Measure M2 Annual Eligibility Review

Overview

The Measure M2 Ordinance 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 30, 2023, was received and reviewed by the Taxpayer Oversight Committee and Orange County Transportation Authority staff. Board of Directors' approval is requested to find 34 of Orange County's 35 local jurisdictions (excluding the City of Cypress) as eligible to continue receiving Measure M2 net revenues.

Recommendations

- A. Approve 34 of Orange County's 35 local jurisdictions (excluding the City of Cypress) as eligible to continue receiving Measure M2 net revenues.
- B. Receive and file the Measure M2 eligibility verification documents submitted by the City of Cypress.

Background

Local jurisdictions must meet Measure M2 (M2) eligibility requirements required by the Ordinance and submit eligibility verification packages to the Orange County Transportation Authority (OCTA) annually in order to remain eligible to receive M2 net revenues. There are 13 eligibility requirements that local jurisdictions must satisfy. However, not all 13 eligibility components require verification for 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 also review a subset of these requirements. These include the Congestion Management

Plan (CMP), Mitigation Fee Program (MFP), Local Signal Synchronization Plan (LSSP), Pavement Management Plan (PMP), and Expenditure Report.

Generally, local jurisdictions must submit the required documentation on or before June 30, 2023. These submittals are reviewed by staff and the TOC in the fall of each year. Expenditure Reports are due on December 31, 2023, six months after the close of the fiscal year, and are reviewed the following spring. This item addresses the submittals due for the June 30, 2023.

Discussion

All 35 local jurisdictions submitted the required M2 eligibility verification documents prior to OCTA's June 30, 2023, deadline. OCTA staff reviewed all local jurisdictions' eligibility verification documents to ensure completion, accuracy, and consistency with M2 Ordinance requirements. The eligibility requirements reviewed by OCTA staff included the Capital Improvement Program, Circulation Element/Master Plan of Arterial Highways consistency, maintenance of effort (MOE), no supplanting of developer fees, timely submittal of project final reports, timely use of net revenues, traffic forum participation, and transit and non-motorized transportation land-use planning strategies. All of the submitted documents were in conformance with the M2 requirements.

The TOC-designated Annual Eligibility Review (AER) Subcommittee was convened to review the CMP, LSSP, MFP, and PMP¹ eligibility components. Based on the staff and AER Subcommittee's review, the TOC formally confirmed its required review at its December 12, 2023, meeting.

Based on staff and TOC reviews, OCTA staff recommends that 34 of Orange County's 35 local jurisdictions, excluding the City of Cypress (City), be found eligible to continue receiving M2 net revenues. A summary of the findings for the 12 M2 eligibility components that were due for this cycle is provided in Attachment B.

The City submitted the required documentation to satisfy M2 eligibility submittal requirements this cycle; however, the City is currently ineligible to receive net M2 revenues due not meeting the MOE requirement for fiscal year 2022-23. There is a separate Board of Directors (Board) action, which took place on May 22, 2023, and included an interagency agreement outlining how the City can fulfill their eligibility requirements and resume receiving M2 net revenues. Although the M2 eligibility verification documents submitted by the City fulfill the respective requirements, staff is not recommending that this review will modify their existing M2 ineligible status. The review of these materials will be helpful in

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


ensuring and maintaining timely M2 compliance should the Board find the City eligible for M2 funds upon resolution of prior MOE shortcomings. The City is expected to meet outstanding MOE eligibility requirements by May 2025.

Summary

In December 2023, the TOC convened and affirmed it had received and reviewed the required M2 eligibility documentation due at this time for all local jurisdictions. OCTA staff has also reviewed the other submittals required for this cycle and found them to be in conformance with the requirements. Given this review, Board approval is requested to find the 34 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 one currently ineligible local jurisdiction.

Attachments

- A. Measure M2 Eligibility Requirements and Submittal Schedule Summary, Due June 30, 2023, and December 31, 2023
- B. Fiscal Year 2023-24, Measure M2 Eligibility Review Summary

Prepared by:

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Approved by:

Kia Mortazavi
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**Measure M2 Eligibility Requirements and Submittal Schedule Summary
Due June 30, 2023, and December 31, 2023**

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 (i.e. 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 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.

Fiscal Year 2023-24
Measure M2 Eligibility Review Summary

ATTACHMENT B

[illegible]

Fiscal Year 2023-24
Measure M2 Eligibility Review Summary

Local Jurisdiction	Capital Improvement Program	Circulation Element/ MPAH Consistency	Congestion Management Program	Expenditure Reports ¹	Land-Use Planning Strategies	Local Signal Synchronization Plan	Maintenance of Effort	Mitigation Fee Program	No Supplanting of Developer Fees	Pavement Management Plan ²	Timely Submittal of Final Reports	Timely Use of Net Revenues	Traffic Forum
Tustin	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	✓
Villa Park	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	N/A	Satisfactory	Satisfactory	✓
Westminster	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	N/A	Satisfactory	Satisfactory	✓
Yorba Linda	Satisfactory	Satisfactory	Satisfactory	Pending	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	N/A	Satisfactory	Satisfactory	✓
Totals	35	35	35	-	35	35	34	35	35	14	35	35	35

¹ M2 Expenditure Reports are under review and anticipated to be presented to the TOC in June 2024

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 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.

⁴ The City of Cypress 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

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 12, 2024

To: Members of the Board of Directors

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

Subject: Consultant Selection for Professional Services for the Countywide Signal Synchronization Baseline

Regional Transportation Planning Committee Meeting of February 5, 2024

Present: Directors Do, Dumitru, Federico, Harper, and Stephens
Absent: Directors Foley and Khan

Committee Vote

This item was passed by the Members present.


Committee Recommendations

- A. Approve the selection of Iteris, Inc., as the firm to provide professional services for the Countywide Signal Synchronization Baseline.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-3-2821 between the Orange County Transportation Authority and Iteris, Inc., in the amount of \$9,630,000, for a five-year term, to provide professional services for the Countywide Signal Synchronization Baseline.



February 5, 2024

To: Regional Transportation Planning Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: Consultant Selection for Professional Services for the Countywide Signal Synchronization Baseline

Overview

On September 25, 2023, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals to provide professional services to coordinate approximately 2,500 signalized intersections in Orange County as part of the Countywide Signal Synchronization Baseline. Board of Directors' approval is requested to select a firm to perform the required work.

Recommendations

- A. Approve the selection of Iteris, Inc., as the firm to provide professional services for the Countywide Signal Synchronization Baseline.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-3-2821 between the Orange County Transportation Authority and Iteris, Inc., in the amount of \$9,630,000, for a five-year term, to provide professional services for the Countywide Signal Synchronization Baseline.

Discussion

In 2019, a decade into the Regional Traffic Signal Synchronization Program (RTSSP), the Orange County Transportation Authority (OCTA) began a study to evaluate and update the program with current traffic and technology trends in mind. This study included continuous coordination and meetings with representatives from all 34 local cities, the County of Orange (County), the California Department of Transportation (Caltrans), and the Orange County Fire Authority. The existing signal synchronization program was found to be successful. The study also identified opportunities to enhance the program, enabling it to better address the goals with minimal impacts and improve the interaction of coordinated corridors when they intersect.

In March 2022, OCTA staff presented the findings of the 2019 study to the OCTA Board of Directors (Board). The study included recommendations for the future of the signal synchronization program beginning with setting a new signal synchronization baseline. Setting a countywide signal synchronization baseline will consist of retiming approximately 2,500 signals throughout the County along regionally significant corridors to avoid any crossing coordination conflicts and ensure signal timing is based on current traffic volumes. A request for information (RFI) was issued to industry professionals to solicit information regarding expected level of effort, current available resources, products, or customized solutions to effectively deliver the countywide baseline project. The responses from the RFI significantly influenced the development of the scope of work task flows, critical path for efficient project delivery, and confirmation of overall project budget.

The 2019 study also recommended that OCTA leverage external funds to improve its signal synchronization network (SSN). In response to those recommendations and after reviewing the information provided in the RFI, OCTA secured grant funds from the Congestion Mitigation and Air Quality (CMAQ) and Surface Transportation Block Grant (STBG) programs to develop a countywide baseline network. The Countywide Signal Synchronization Baseline Project (Project) aims to build and reset the synchronization baseline network for Orange County's SSN for the weekday and weekend peak periods. The selected consultant will be responsible for data collection, timing optimization, implementation, fine-tuning, performance monitoring through data analysis, and continuity testing as OCTA transitions to a new signal synchronization program.

Procurement Approach

This procurement was managed in accordance with OCTA's Board-approved procedures for professional and technical services that conform to both state and federal laws. Various factors are considered in the award for professional and technical services. The award is recommended to the firm offering the most comprehensive overall proposal considering such factors as prior experience with similar projects, staffing and project organization, work plan, as well as cost and price.

On September 25, 2023, the Board authorized the release of Request for Proposals (RFP) 3-2821, which was electronically issued on CAMM NET. The Project was advertised on September 25 and October 2, 2023, in a newspaper of general circulation. A pre-proposal conference was held on October 4, 2023, with 23 attendees representing 12 firms. Two addenda were issued to make available the pre-proposal conference registration sheets, provide responses to questions received, and handle administrative issues related to the RFP.

On October 23, 2023, two proposals were received. A responsiveness review was conducted and determined that both proposals were responsive to the 15 percent Disadvantaged Business Enterprise goal. An evaluation committee consisting of members from OCTA's Contracts Administration and Materials Management and Strategic Planning departments, as well as representatives from the cities of Buena Park and Irvine met to review both submitted proposals. The proposals were evaluated utilizing the following Board-approved evaluation criteria and weightings:

- | | |
|-------------------------------------|------------|
| • Qualifications of the Firm | 20 percent |
| • Staffing and Project Organization | 25 percent |
| • Work Plan | 30 percent |
| • Cost and Price | 25 percent |

Several factors were considered in developing the evaluation criteria weightings. The qualifications of the firm was weighted at 20 percent as the firm must demonstrate experience with signal synchronization and performance measures of a similar scope and scale. Staffing and project organization was weighted at 25 percent as the firm must demonstrate the level of expertise, resource availability, and involvement for the roles of the proposed project team. The work plan was weighted at 30 percent as the firm's proposed implementation plan and solution must be able to meet the functional and technical requirements and address challenges on a countywide project with multiple stakeholders. Cost and price was weighted at 25 percent to ensure that OCTA receives value for the services provided.

The evaluation committee reviewed the two proposals based on the evaluation criteria and found both firms qualified to perform the required services. The two qualified firms are listed below in alphabetical order:

Firm and Location

Iteris, Inc. (Iteris)
Santa Ana, California

Kimley-Horn and Associates, Inc. (KHA)
Orange, California

On December 5, 2023, the evaluation committee conducted interviews with both firms. The interviews consisted of a presentation allowing each firm to present its qualifications, highlight its proposal, and respond to the evaluation committee questions. Each firm also discussed its staffing plan, work plan, and perceived project challenges. Each firm was asked general questions related to qualifications, staffing availability, proposed project organization, and approach to the work plan. Both firms were asked questions specific to their proposals

regarding their teams' approach to the requirements of the scope of work, management of the Project, coordination with the various agencies, and the proposed solutions toward achieving the Project goals.

After considering responses to the questions asked during the interviews, the evaluation committee made no adjustments to the preliminary scores of both firms. Iteris remained the top-ranked firm with the higher cumulative score.

Based on the evaluation of the written proposals and the information obtained during the interviews as well as cost and price, staff recommends Iteris as the top-ranked firm to provide services for the Project. The following is a summary of the proposal evaluation results.

Qualifications of the Firm

Both firms demonstrated relevant experience providing signal synchronization and performance monitoring services for agencies of similar size and for Orange County agencies participating in this Project.

Iteris was founded in 1987 and has an office located in the City of Santa Ana, California with access to over 460 employees in 16 offices nationwide. Iteris offers smart mobility infrastructure management and patented products that help detect, measure, and manage performance. The firm's recent experience includes Warner Avenue RTSSP, Main Street RTSSP, San Bernardino Valley Coordinated Traffic Signal System (SBVCTSS) and development of a Smart County Master Plan, and performance analytics and third-party data for the Utah Department of Transportation. Iteris has also completed more than 3,000 traffic signal timing or synchronization projects, covering over 27,000 intersections across 20 states that are used to control traffic flow for over 7,500 road miles. Iteris will utilize seven subconsultants. Iteris noted recent partnership with relevant scope to this Project for each subconsultant.

KHA was incorporated in 1967 with over 750 employees in 12 offices in California with a local office in the City of Orange, and access to over 7,500 employees nationwide. KHA is a full-service engineering, planning, and environmental consulting firm. The firm's recent experience includes serving on the OCTA on-call traffic engineering bench of contracts as a subconsultant, SigOps Statewide Traffic Signal Operations Program with the Georgia Department of Transportation, OCTA Traffic Signal Synchronization Master Plan and 2019 study, Program for Arterial System Synchronization by the Bay Area Metropolitan Transportation Commission, and Mobility Management Center Operations Enhancement Project in Austin, Texas. KHA proposed to utilize ten subconsultants, all of which have worked with KHA on past projects.

Staffing and Project Organization

Both firms proposed experienced project managers, key personnel, and subconsultants with relevant signal synchronization experience.

Iteris proposed a project team with extensive relevant experience where proposed staff have been involved in 70 out of 109 RTSSP projects led by OCTA or local agencies. Iteris' team includes subconsultants that have provided services on a similar scale to other transportation agencies. The proposed project manager has over 35 years of related experience, including managing multiple OCTA RTSSP projects, SBVCTSS, and the Development of a Smart County Master Plan for the San Bernardino County Transportation Authority. The proposed project manager has experience working with multiple stakeholders on a single project and will be responsible for coordinating efforts with all local agencies involved to ensure the Project is completed on time and within budget. Iteris proposed task leads who have over eight years of experience and were selected based on their direct local knowledge of the area to which they are assigned. The task leads have also been involved on past OCTA RTSSP projects and are familiar with the program's requirements.

KHA proposed an experienced and knowledgeable project team. The proposed project manager has over 20 years of experience delivering complex projects and has served as project manager for multiple projects including OCTA's RTSSP projects and OCTA's Traffic Signal Synchronization Master Plan. The deputy project manager has 15 years of experience in transportation engineering and will be responsible for day-to-day subconsultant coordination and administrative tasks. KHA's project team includes qualified and experienced subconsultants that meet the requirements of the scope of work, as well as providing outreach and consensus building services for the local agencies.

Work Plan

Both firms met the requirements of the RFP, and each firm adequately discussed its approach to the Project.

Iteris presented a comprehensive and viable work plan that demonstrated an understanding of the Project and study area. Iteris' approach to the Project is to divide the study area into six zones to allow a more consistent number of signals in each zone, mindful of city boundaries so that no cities are split into separate zones, other than the City of Anaheim, due to the traffic patterns within the city. The firm proposed to utilize a comprehensive solution in its ClearGuide dashboard platform to provide corridor analytics which has also been used successfully on past OCTA RTSSP projects. Iteris is proposing a three-prong approach to completing the Project, the first of which includes leveraging data-driven decision-making processes. Next, a network-based approach will be utilized to create a "backbone" network that would coordinate with existing

corridors to provide more optimized improvements for a city as a whole. Lastly, a holistic approach will be implemented to involve Caltrans in establishing a project buy-in early on.

During the interview, the project team's presentation demonstrated an understanding of the Project and provided an overview of the different aspects of the Project, including the timing parameters and metrics to incorporate. The Iteris team detailed substantial cost savings in the development of the existing conditions, demonstrating a comprehensive understanding of synchronization challenges unique to each area. The Iteris team highlighted its experience working together on past projects and provided detailed responses to the evaluation committee's questions, further demonstrating its understanding of the Project.

KHA provided a detailed work plan that demonstrated an understanding of the Project scope of work, issues, and risks. The firm's project approach is centered around eight themes, which include: agency coordination and consensus building, concurrent projects, zone-based approach and overlapping areas, efficiency toolkit, corridor signal prioritization index, database management, project execution, and performance metrics. KHA's approach to the study area is to divide the County into four zones to develop optimized timing countywide and keep city boundaries in mind so as to not have a corridor cross two different cities. During the interview, the team discussed its qualifications and provided an overview of the methodology for completing the Project during the presentation with a focus on electronic tools and platforms for data management. While KHA understood the limited resources of the project stakeholders, the proposed solution presented multiple platforms that appeared to require extensive resources to populate, troubleshoot, and coordinate tools and meetings. The team members participated in responding to the evaluation committee's questions with detailed responses.

Cost and Price

Pricing scores were based on a formula, which assigned the higher score to the lower total firm-fixed price for the tasks to be completed and scored the other proposal's total firm-fixed price based on its relation to the lower total firm-fixed price. Iteris' proposed cost of \$9,630,000 and KHA's proposed cost of \$12,494,408 were both lower than the OCTA project manager's independent cost estimate of \$14,180,000.

Cost savings were realized by both firms due to the amount of existing available data that could be used for the Project. Iteris was the lower overall price and is therefore considered fair and reasonable.

Procurement Summary

Based on the evaluation of the written proposals, the firms' qualifications, work plan approach, the information obtained from the interviews, as well as cost and price, the evaluation committee recommends the selection of Iteris as the top-ranked firm to provide professional services for the Project. Iteris delivered a comprehensive proposal and an interview that was responsive to all the requirements of the RFP.

Fiscal Impact

The project was approved in OCTA's Fiscal Year 2023-24 Budget, Planning Division, Account No. 0017-7519-SPB01-HP9, and will be funded using the CMAQ and STBG program funds.

Summary

Staff requests the Board's authorization for the Chief Executive Officer to negotiate and execute Agreement No. C-3-2821 between OCTA and Iteris, in the amount of \$9,630,000, for a five-year term, for professional services for the Project.

Attachments

- A. Review of Proposals, RFP 3-2821, Countywide Signal Synchronization Baseline
- B. Proposal Evaluation Criteria Matrix, RFP 3-2821, Countywide Signal Synchronization Baseline
- C. Contract History for the Past Two Years, RFP 3-2821, Countywide Signal Synchronization Baseline

Prepared by:



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Approved by:



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Review of Proposals

RFP 3-2821 Countywide Signal Synchronization Baseline

Presented to the Regional Transportation Planning Committee - February 5, 2024

Two proposals were received, two firms were interviewed, one firm is being recommended

Overall Ranking	Overall Score	Firm & Location	Subcontractors	Evaluation Committee Comments	Total Firm - Fixed Price
1	88	Iteris, Inc. Santa Ana, California	AET & Associates, Inc. AGA Engineers, Inc. AIM Traffic & Data, LLC Arcadis U.S., Inc. KOA Corporation Survey Count, Inc. System Metrics Group, Inc.	Firm has recent relevant experience performing signal synchronization services. Qualified team, including project manager, key personnel, and subconsultants with experience working together on recent signal synchronization projects. Project manager has comprehensive experience, which includes recent Orange County Transportation Authority Regional Traffic Signal Synchronization Program experience and has demonstrated experience working on similar projects. Comprehensive work plan leveraging data for decision making and utilizing existing tools for Project efficiency. Detailed presentation and interview with thorough responses to all interview questions. Positive references received.	\$9,630,000
2	79	Kimley-Horn and Associates, Inc. Orange, California	AIM Traffic & Data, LLC CLR Analytics, Inc. DKS Associates INRIX Michael Baker International National Data & Surveying Services Rock E. Miller & Associates Traffic Signal Coordination Technologies, Inc. Transportation & Energy Solutions, Inc. Wiltec, Inc.	Firm has recent relevant experience providing signal synchronization for projects of similar size and scope. Qualified team, including project manager, key personnel, technical staff, and subconsultants with experience working together on recent signal synchronization projects. Work plan demonstrated a good understanding of the project requirements and proposed enhancements for better stakeholder coordination. Comprehensive team presentation and interview with project specific responses to all questions. Positive references received.	\$12,494,408

Evaluation Panel: 6 Members

Internal:
Contracts Administration and Materials Management (1)
Strategic Planning (3)
External:
City of Buena Park (1)
City of Irvine (1)

Evaluation Criteria:

Qualifications of the Firm
Staffing and Project Organization
Work Plan
Cost and Price

Weight Factors

20%
25%
30%
25%

Acronym

RFP - Request for Proposal

PROPOSAL EVALUATION CRITERIA MATRIX
RFP 3-2821 Countywide Signal Synchronization Baseline

Iteris, Inc.								
Evaluator Number	1	2	3	4	5	6	Weights	Criteria Score
Qualifications of Firm	4.50	4.00	4.00	4.50	4.00	4.50	4	17.0
Staffing/Project Organization	4.00	4.00	3.50	4.50	4.00	4.00	5	20.0
Work Plan	4.00	4.50	4.50	4.00	4.00	4.50	6	25.5
Cost and Price	5.00	5.00	5.00	5.00	5.00	5.00	5	25.0
Overall Score	87	88	86	90	85	90		88
Kimley-Horn and Associates, Inc.								
Evaluator Number	1	2	3	4	5	6	Weights	Criteria Score
Qualifications of Firm	4.50	4.00	4.00	4.50	4.00	4.00	4	16.7
Staffing/Project Organization	4.00	4.00	4.00	4.00	3.50	4.00	5	19.6
Work Plan	4.00	4.00	4.00	4.00	3.50	4.00	6	23.5
Cost and Price	3.85	3.85	3.85	3.85	3.85	3.85	5	19.3
Overall Score	81	79	79	81	74	79		79

Acronym

RFP - Request for Proposal

CONTRACT HISTORY FOR THE PAST TWO YEARS

RFP 3-2821 Countywide Signal Synchronization Baseline

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Iteris, Inc.						
Contract Type: Contract Task Order	C-4-1316	On-Call Traffic Engineering and Related Services for Regional Traffic Signal Synchronization Program	May 11, 2015	June 30, 2023		\$ 2 414,485
<i>Subconsultants:</i>						
<i>None</i>						
Contract Type: Contract Task Order	C-8-2075	Traffic Operations Analysis Services	April 30, 2019	March 31, 2022		\$ 49,800
<i>Subconsultants:</i>						
<i>None</i>						
Contract Type: Firm-Fixed Price	C-9-1066	Intelligent Transportation Systems and Traffic Engineering Services for Main Street Regional Traffic Signal Synchronization Project	December 23, 2019	December 31, 2023		\$ 610,264
<i>Subconsultants:</i>						
<i>None</i>						
Contract Type: Contract Task Order	C-9-1812	On-Call Traffic Engineering and Related Services for Regional Traffic Signal Synchronization Program	March 9, 2021	August 19, 2022		\$ 1 875,425
<i>Subconsultants:</i>						
<i>Crosstown Electrical & Data, Inc.</i>						
Contract Type: Firm-Fixed Price	C-8-2038	Intelligent Transportation Systems and Traffic Engineering Services for the Katella Avenue Regional Traffic Signal Synchronization Project	June 18, 2020	June 30, 2024		\$ 689,352
<i>Subconsultants:</i>						
<i>Michael Baker International</i>						
<i>National Data and Surveying Services, Inc.</i>						
Total						\$47,639,326.00

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Kimley-Horn and Associates, Inc.						
Contract Type: Contract Task Order	C-4-1806	On-Call Traffic Engineering and Related Services for Regional Traffic Signal Synchronization Program	June 26, 2018	June 30, 2023		\$ 23,414,485
<i>Subconsultants:</i>						
<i>Crosstown Electrical & Data, Inc.</i>						
Contract Type: Firm-Fixed Price	C-0-2172	2009 Traffic Signal Synchronization Master Plan for Orange County Update	May 28, 2020	May 31, 2022		\$ 249,653.00
<i>Subconsultants:</i>						
<i>KOA Corporation</i>						
<i>Rock E. Miller & Associates</i>						
Contract Type: Firm-Fixed Price	C-1-3273	Santa Ana Transit Cooperative Study	April 19, 2021	April 30, 2022		\$ 249,400.00
<i>Subconsultants:</i>						
<i>Cambridge Systematics, Inc.</i>						
<i>Texas A&M Transportation Institute</i>						
Contract Type: Firm-Fixed Price	C-1-3653	Transit Asset Management Plan Update	November 18, 2021	October 31, 2022		\$ 174,860.00
<i>Subconsultants:</i>						
<i>Jacobs Engineering Group, Inc.</i>						
Total						\$24,088,398.00

Acronyms

No. - Number

RFP - Request for Proposal



COMMITTEE TRANSMITTAL

February 12, 2024

To: Members of the Board of Directors

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

Subject: Zero-Emission Bus Pilot Update

Transit Committee Meeting of February 8, 2024

Present: Directors Aitken, Amezcua, Do, Jung, and Klopfenstein

Absent: Directors Harper and Sarmiento

Committee Vote

No action was taken on this item.

Staff Recommendation

Receive and file as an information item.



February 8, 2024

To: Transit Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Zero-Emission Bus Pilot Update

Overview

On October 8, 2020, the Orange County Transportation Authority Board of Directors approved the purchase of ten hydrogen fuel-cell electric buses and ten plug-in battery-electric buses to gain necessary operational and technological experience in preparation for transitioning the Orange County Transportation Authority's bus fleet to zero-emission technologies. This report provides an update on the zero-emission bus pilot performance and deployment efforts.

Recommendation

Receive and file as an information item.

Background

In 2018, the California Air Resources Board (CARB) passed the Innovative Clean Transit (ICT) rule requiring all public transit agencies to transition their bus fleets to zero-emission technologies by the year 2040. Transit agencies were required to develop and submit a rollout plan that describes how the agency will transition to a zero-emission bus (ZEB) fleet by 2040, with purchasing requirements beginning in 2023. On June 22, 2020, the Orange County Transportation Authority (OCTA) Board of Directors (Board) approved the OCTA ZEB Rollout Plan, which included the deployment of a mix of hydrogen fuel-cell electric buses (FCEB) and plug-in battery-electric buses (BEB) to prepare for compliance with the ICT rule.

In anticipation of the ICT rule, OCTA developed a strategy to pilot both FCEB and BEB technologies using available grant funding. Piloting both technologies will allow OCTA to gain direct experience with operational effectiveness, maintenance, and cost. OCTA has initiated pilots using both technologies, discussed herein. In 2017, OCTA entered into an agreement to utilize grants

provided by CARB and the South Coast Air Quality Management District to purchase ten FCEBs in lieu of compressed natural gas (CNG)-powered buses to replace buses that had reached their useful life. The grant also funded the required supporting infrastructure, including the hydrogen fueling station and maintenance shop upgrades.

On February 9, 2020, OCTA initiated the FCEB pilot, which included ten, 40-foot FCEBs operating in OC Bus fixed-route service, and a hydrogen fueling station, located at the Santa Ana Bus Base, capable of fueling up to 50 buses per day.

On October 12, 2020, the Board approved the purchase of ten plug-in BEBs as a pilot for operation in OC Bus fixed-route service. To support the charging of these vehicles, OCTA is partnering with Southern California Edison (SCE) and the Charge Ready Transport Program to provide electrical infrastructure at the Garden Grove Bus Base. In addition to the equipment being provided by SCE, OCTA is required to provide the BEB charging stations.

On June 14, 2021, the Board approved the purchase of ten, 150-kilowatt (kW) BEB charging stations that will provide power to ten depot charging stations. The chargers can supply power evenly or sequentially to the charging stations. This allows buses to be intelligently charged in a manner tailored to the power and logistical needs of each bus. BEBs can be fully charged in less than four hours.

The first two BEBs arrived in December 2021. After acceptance testing and working through supply chain issues, the buses went into OC Bus fixed-route service in July 2022. The remaining eight buses arrived in December 2022. Delays in receiving the remaining eight BEBs were related to electronic parts shortages and other supply chain issues.

In December 2023, SCE completed the infrastructure upgrades required to install ten BEB charging stations. The charging stations were connected, energized, and made operational immediately following the SCE upgrades. However, during the commissioning and testing of the charging stations certain equipment components were identified as having water corrosion. Due to the high voltage and risk of malfunctioning, the charging station manufacturer requires replacing the affected components to maintain the warranty. The procurement of replacement components is being expedited and the charging stations are expected to be operational in February 2024. In the interim, the BEBs are being charged using pay-per-use level III charging stations, designed to charge light-duty vehicles, installed at both directly-operated bus bases. This results in BEBs taking longer to charge limiting bus usage to four buses per day.

On August 16, 2022, the Federal Transit Administration (FTA) awarded OCTA \$2.5 million in federal funding toward the purchase of ten battery-electric paratransit buses that will replace ten gasoline OC ACCESS cutaway buses. OCTA applied for and was awarded this funding through a competitive FTA grant program.

Discussion

The FCEBs have been in service for four years and the BEBs have been deployed sporadically for the last 18 months due to delays in infrastructure upgrades. The performance data included in this report covers the period beginning February 2020 through December 2023 (46 months). The performance of the ten FCEBs and ten BEBs is measured against the performance of ten CNG buses that were selected during the onset of the pilot to provide comparative performance analytics. General vehicle information on all three bus types is provided in the following chart.

Vehicle Information	FCEB	BEB	CNG
Number of Buses	10	10	10
Manufacturer/Model	New Flyer Xcelsior	New Flyer Xcelsior	New Flyer Xcelsior
Model Year	2018	2020	2016
Bus Cost Each	\$1.3M	\$1.1M	\$580,000
Length	40 feet	40 feet	40 feet
Curb Weight	33,560 pounds	33,500 pounds	30,000 pounds
Propulsion System	Ballard Fuel Cell 85 kW	Siemens Electric Motor 210 kW	Cummins CNG Engine 280 hp
	Siemens Electric Motor 210 kW		Allison Transmission
Energy Storage	Five Composite Fuel Cylinders		Six Composite Fuel Cylinders
	Lithium-Ion Batteries 100 kW	Lithium-Ion Batteries 440kW	
Operating Range	300 miles	200 miles	400 miles

The key performance indicators for the pilot include bus availability, miles between road calls (MBRC), fuel economy, and cost per mile (CPM).

Bus availability, which is a measure of reliability, is the percentage of days the buses are available compared to the total number of days that the buses are planned for revenue service. Buses available for service may be used in revenue service, training, special events, or they may be available but not used. Buses unavailable for service may have had mechanical issues with the propulsion system (fuel-cell system, electric drive system, engine), regular scheduled maintenance, or required unscheduled repairs.

The OCTA performance standard for bus availability is 80 percent. However, for new bus technology, especially during a pilot, availability can be challenging as the system issues are analyzed and buses are out of service for a longer period. For 2023, both the FCEBs and BEBs fell below the target at 52 percent and 66 percent respectively, while CNG buses fell just below the goal at 78 percent.

The FCEBs did not achieve the goal mainly due to electrical issues. The FCEBs dropped slightly from 55 percent availability in 2022 to 52 percent availability in 2023. Most of the downtime was related to unscheduled maintenance related to batteries and electrical management systems. In addition, a growing number of supply chain issues heavily impacted the FCEB availability. It has become common to see FCEBs out of service for 60-100 days at a time waiting for parts.

The BEBs achieved 66 percent availability in the last year. The BEBs have also experienced electrical issues and long wait times for parts. As of this report, a replacement battery pack has a lead time of 135 days.

MBRC is a measurement of bus reliability. A road call is defined as a revenue vehicle mechanical or system failure that causes the bus to be replaced in route or causes a significant delay in the bus schedule.

The OCTA performance standard for MBRC is 14,000 miles. The ten CNG buses declined in reliability as expected due to the engine and transmission reaching their end of useful life. A mid-life overhaul is scheduled for each of these buses, consistent with OCTA maintenance practices. Once the mid-life overhaul is completed, MBRCs are expected to improve. Last year, the CNG buses achieved 12,844 MBRCs but the average over the last four years remains above the goal at 24,581.

The FCEBs did not meet the standard, achieving only 4,717 MBRCs. Taking into consideration that this is new technology and only 30 FCEBs were built by this manufacturer at the time of delivery, peak performance may not yet be realized. However, the MBRCs appear to be in line with other agencies operating FCEBs.

In the early months of the pilot there were a variety of issues including software and calibration issues, but more recently most of the road failures are related to electrical components, like battery and electrical management system failures. In terms of the fuel cell performance, it is performing very well, and very little maintenance is required.

The BEBs also did not meet the standard, achieving 4,593 MBRCs. The BEBs are experiencing a variety of issues as expected for a bus under two years old, but the primary issues are battery related, such as battery failures and electrical management system failures.

Fuel economy is a measurement of how efficiently the fuel is being used by the propulsion system. Because CNG is measured in therms, hydrogen is measured in kilograms, and battery power in kW, fuel types are converted to a common measurement. In this case, all three technologies are measured in miles per diesel gallon equivalent (mpdge). CNG buses are averaging 3.91 mpdge, while FCEBs have more than doubled that with an average of 8.92 mpdge. The BEBs are achieving the highest mpdge with an average of 17.05 mpdge.

OCTA calculates total CPM for each technology by tracking parts and labor cost and fuel cost. CPM is used due to being the lowest common denominator. Assigning a daily, weekly, or monthly cost value can vary as a result of buses being assigned to various routes with varying miles.

The parts and labor CPM for FCEBs increased in 2023, exceeding that of CNG for the first time since the pilot began. The primary reasons for the increase are related to the buses being out of warranty and increasing parts cost. The parts and labor CPM for FCEBs is currently \$1.84, compared to \$1.65 for CNG buses. The BEB had a lower cost than both FCEBs and CNG buses at \$1.40, bearing in mind that these buses have been in service for less than two years.

FCEB fuel cost significantly increased from 2022 to 2023 by 131 percent due to cost increases in the option year of the hydrogen fueling station operations and maintenance (O&M) agreement. O&M and the leasing of certain equipment was included in the first three years of the hydrogen fueling station agreement. In 2023, the first option year was exercised triggering a \$300,000 annual O&M cost and \$51,000 leasing cost. These costs were combined with the cost of liquid hydrogen fuel and estimated cost of electricity usage totaling \$2.50 CPM. CNG CPM decreased from 2022 to 2023 by 64 percent mainly due to lower cost for renewable natural gas. CNG CPM in 2022 was \$0.79, in 2023 \$0.28. BEB remained steady at \$0.41 CPM. However, it is important to note that with electricity, cost is based on kW usage and due to current rate structures, as that usage increases the cost per kW also increases, which will affect the CPM. The BEB fuel CPM is expected to increase when all ten buses are in service.

Combining parts and labor cost and fuel cost results in the FCEB total CPM increasing 101 percent from 2022 to 2023. The total CPM in 2023 for the FCEB is \$4.34, compared to CNG bus at \$1.93, and BEB at \$1.80. Since BEBs share many of the same components with the FCEBs and electricity rates will increase with increased usage, the BEB CPM is expected to increase.

Hydrogen Fuel Station Update

For the last two years, the hydrogen fueling station has performed consistently well, matching the performance of the CNG fueling station. Monthly meetings with the fueling station provider are held to ensure incidents are discussed and resolved immediately. Although the hydrogen fueling station is performing well, there are times when the station is out of service resulting in buses not being fueled and not deployed into service. The CNG fueling station also goes down at times; however, fueling can be accomplished by sending buses to another base. Currently there is no backup fueling infrastructure, public or private, available for hydrogen. OCTA has plans to build a second hydrogen fueling station that will provide the infrastructure resiliency needed to ensure fuel is available for FCEB deployments and will support a larger fleet.

Summary

After four years, much has been gained in terms of knowledge and experience from the ZEB pilot program. Although the performance of the ZEBs does not match the performance of the CNG buses, there is a greater understanding of the differences between the technologies, what components need improvement to improve reliability, and where training can be developed to help mitigate issues. Understanding the various costs to operate and maintain ZEBs helps drive financial planning and advocacy for funding and lowering costs, such as the need to find solutions to lower the cost of hydrogen fuel and electricity infrastructure.

The next steps are to expand the ZEB pilot program by procuring 40 additional FCEBs, ten additional BEBs, and ten battery-electric vans for paratransit service. This will require additional infrastructure, which will include procuring a second hydrogen fuel station, ten additional BEB charging stations, and charging stations for the battery-electric vans. The pilot expansion will allow OCTA to accelerate its operational and technological experience to shape and define the fleet mix required to meet the service demands of Orange County when utilizing ZEBs as well as move closer to transitioning the fleet to 100 percent zero-emission. Staff will continue to provide updates to the Board on the performance of the ZEB fleet and of any changes to the ZEB Pilot Program.

Attachment

None.

Prepared by:



Cliff Thorne
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Approved by:



Johnny Dunning, Jr
Chief Operating Officer
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Zero-Emission Bus Pilot Update

Background

- December 2018, the California Air Resources Board passed the Innovative Clean Transit (ICT) rule
 - Requires transitioning to zero-emission bus fleet by 2040
 - Purchasing requirements begin in 2023
- June 2020, the OCTA Board of Directors (Board) approved the OCTA Zero-Emission Bus (ZEB) Rollout Plan
 - Includes a mix of zero emission technologies
- February 2020, OCTA initiated the Fuel Cell Electric Bus (FCEB) Pilot
 - Ten 40-foot FCEBs, a hydrogen fueling station, maintenance shop upgrades
 - Grant funded \$13.2M - California Air Resources Board and South Coast Air Quality Management District
- July 2022, OCTA initiated the Battery Electric Bus (BEB) Pilot
 - Started with two BEBs, eight more arrived in December 2022
 - Grant funded \$10.3M - California Transportation Commission Solutions for Congested Corridors Program (SCCP) under SB 1 (Chapter 5, Statutes of 2017) and the Low Carbon Transit Operations Program (LCTOP)
- August 2022, Battery Electric Paratransit Bus Pilot
 - FTA awarded \$2.5M for ten battery-electric paratransit buses and infrastructure
 - Grant funded \$2.5M - FTA's Buses and Bus Facilities, and Low and No Emission Vehicle programs

ZEB Pilot Buses

Vehicle Information	FCEB	BEB	CNG
Number of Buses	Ten	Ten	Ten
Manufacturer/Model	New Flyer Xcelsior	New Flyer Xcelsior	New Flyer Xcelsior
Model Year	2018	2020	2016
Bus Cost Each	\$1.3M	\$1.1M	\$580,000
Length	40 feet	40 feet	40 feet
Curb Weight	33,560 pounds	33,500 pounds	30,000 pounds
Propulsion System	Ballard Fuel Cell 85 kW	Siemens Electric Motor 210 kW	Cummins CNG Engine 280 hp
	Siemens Electric Motor 210 kW		Allison Transmission
Energy Storage	Five Composite Fuel Cylinders		Six Composite Fuel Cylinders
	Lithium-Ion Batteries 100 kW	Lithium-Ion Batteries 440kW	
Operating Range	300 miles	200 miles	400 miles

*FCEB – Fuel Cell Electric Buses
 *BEB – Battery Electric Buses
 *CNG – Compressed Natural Gas



FCEB

- Deployed in February 2020
- Same standard equipment as the OCTA CNG Bus
- Fuel cell acts as an onboard battery charger
- Operated 1,037,910 miles
- Usable operating range 250 miles
- Operates on 80% of OCTA routes
- Refuel in six to ten minutes, similar to CNG



BEB

- Deployed in December 2022
- Same standard equipment as the OCTA CNG bus
- 100% battery electric
- Operated 145,618 miles
- Usable operating range 150 miles
- Operates on 20% of OCTA routes
- Recharge in four hours



Key Performance Indicators

Bus Availability

- Percentage of days the buses are available compared to the total number of days that the buses are planned for revenue service

Miles Between Road Calls

- A road call is defined as a revenue vehicle mechanical or system failure that causes the bus to be replaced in route or causes a significant delay in the bus schedule

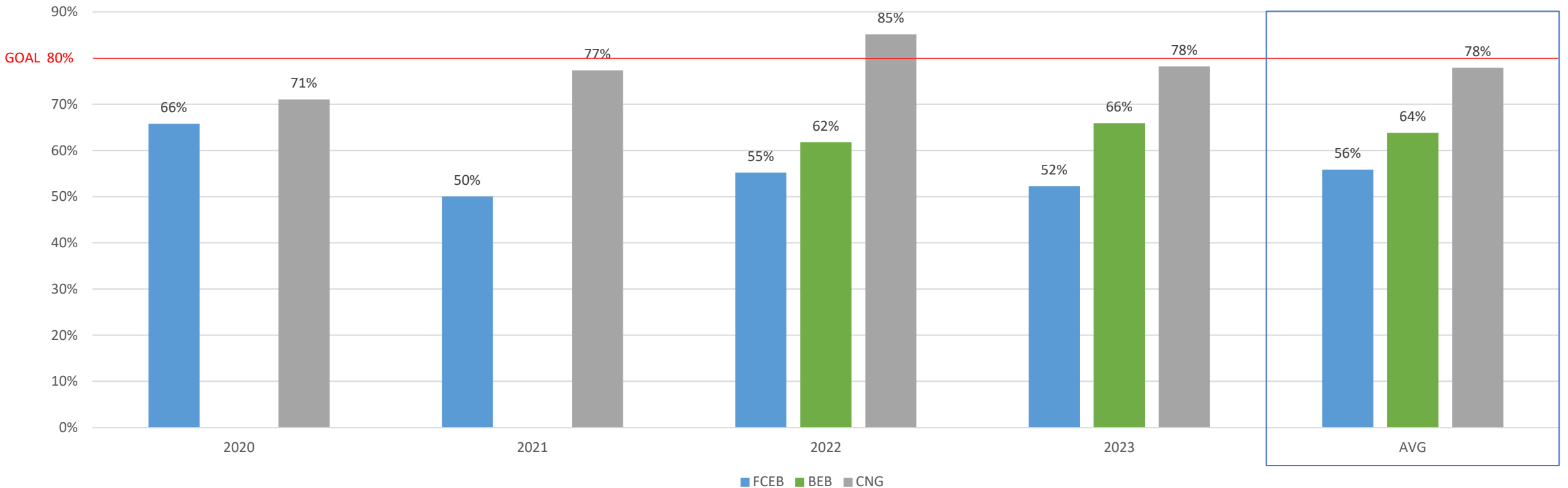
Fuel Economy

- Fuel economy is a measurement of how efficiently the fuel is being used by the propulsion system

Cost Per Mile (CPM)

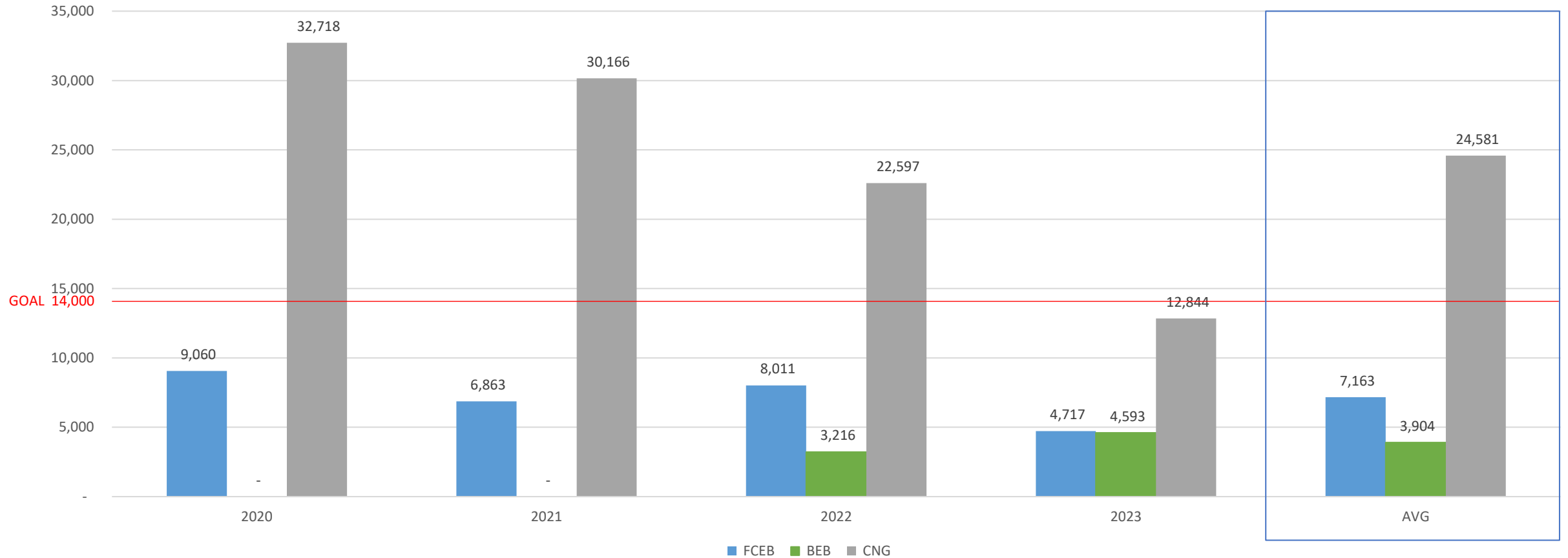
- OCTA calculates total CPM for each technology by tracking parts and labor cost and fuel cost
- CPM is the lowest common denominator between the three technologies

Bus Availability



Downtime Reasons	FCEB	BEB	CNG	Description
Propulsion System	5.8%	2.5%	2.3%	Engine, Trans, Batteries, Fuel Cell
Unscheduled Maintenance	25.6%	33.4%	16.3%	General Repairs
Scheduled Maintenance	11.7%	1.0%	3.3%	Preventive Maintenance, Training, Special Events

Miles Between Road Calls



Fuel Economy

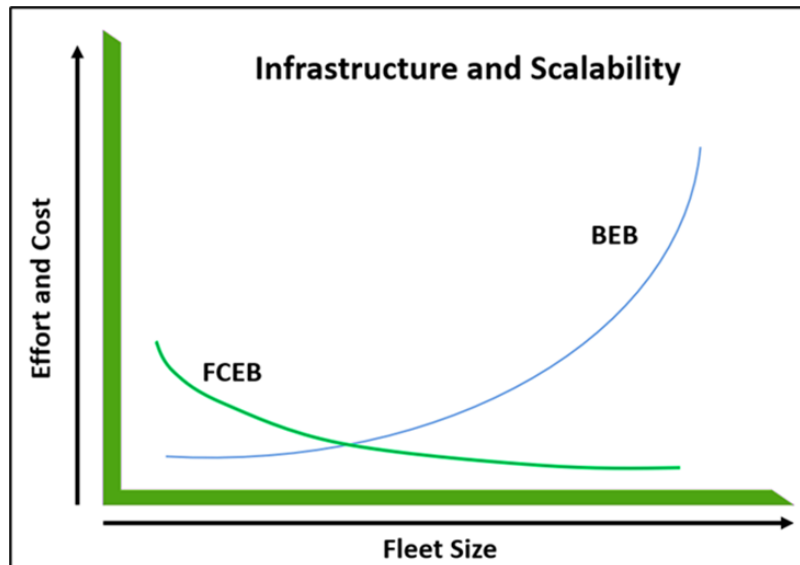
Measurement	FCEB	BEB	CNG
Miles per diesel gallon equivalent	8.92	17.05	3.91
Miles per kilogram equivalent	7.9	13.63	3.57
Miles per kilowatt	0.24	0.46	0.11

Fuel Cost	FCEB	BEB	CNG
Per kg, kW, Therm, respectively	\$22.25	\$0.17	\$1.08

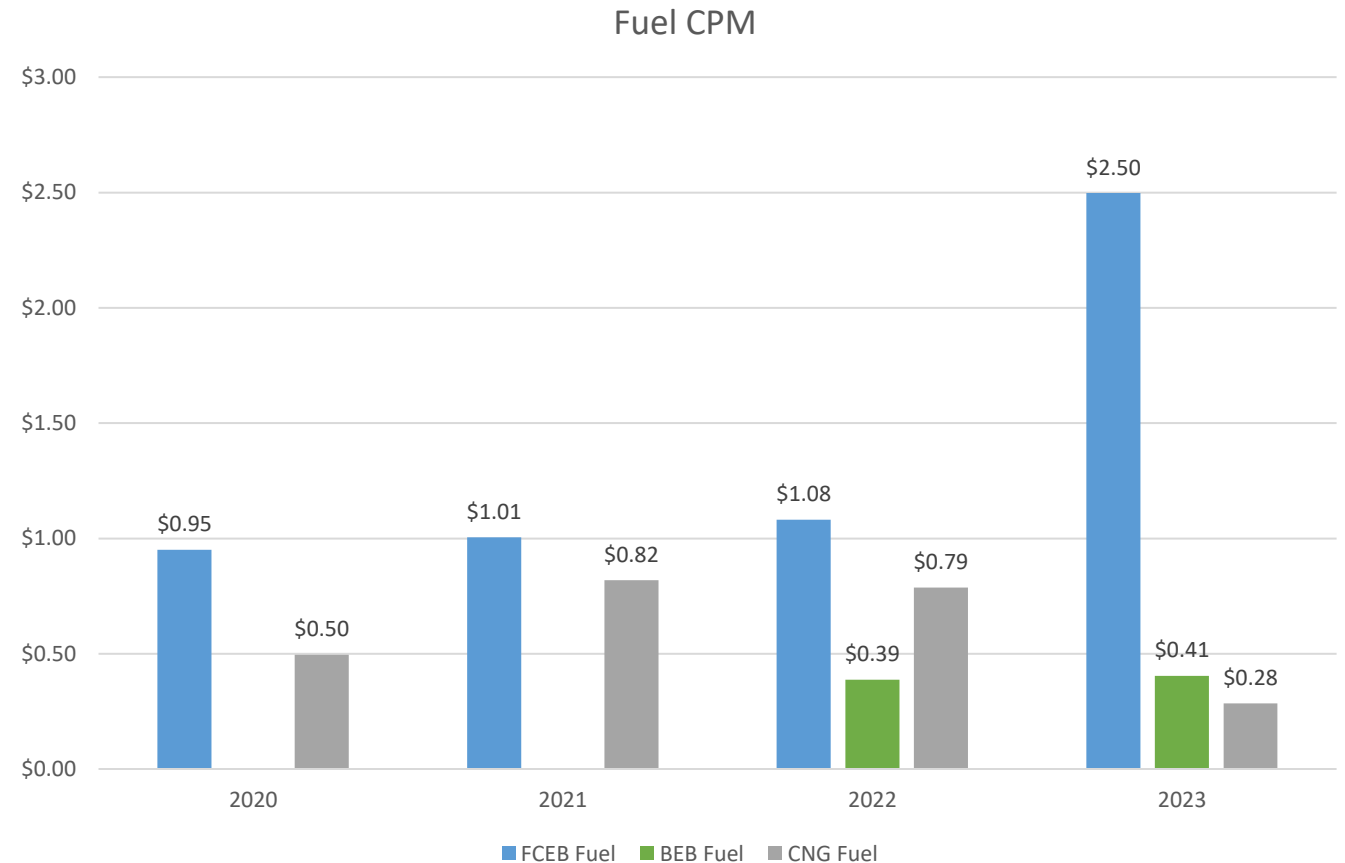


Cost per Mile

- FCEB fuel cost increased 131% due to O&M agreement
- CNG fuel cost decreased 64% due to lower renewable natural gas prices
- BEB electricity cost remained neutral, but will increase when bus chargers are activated

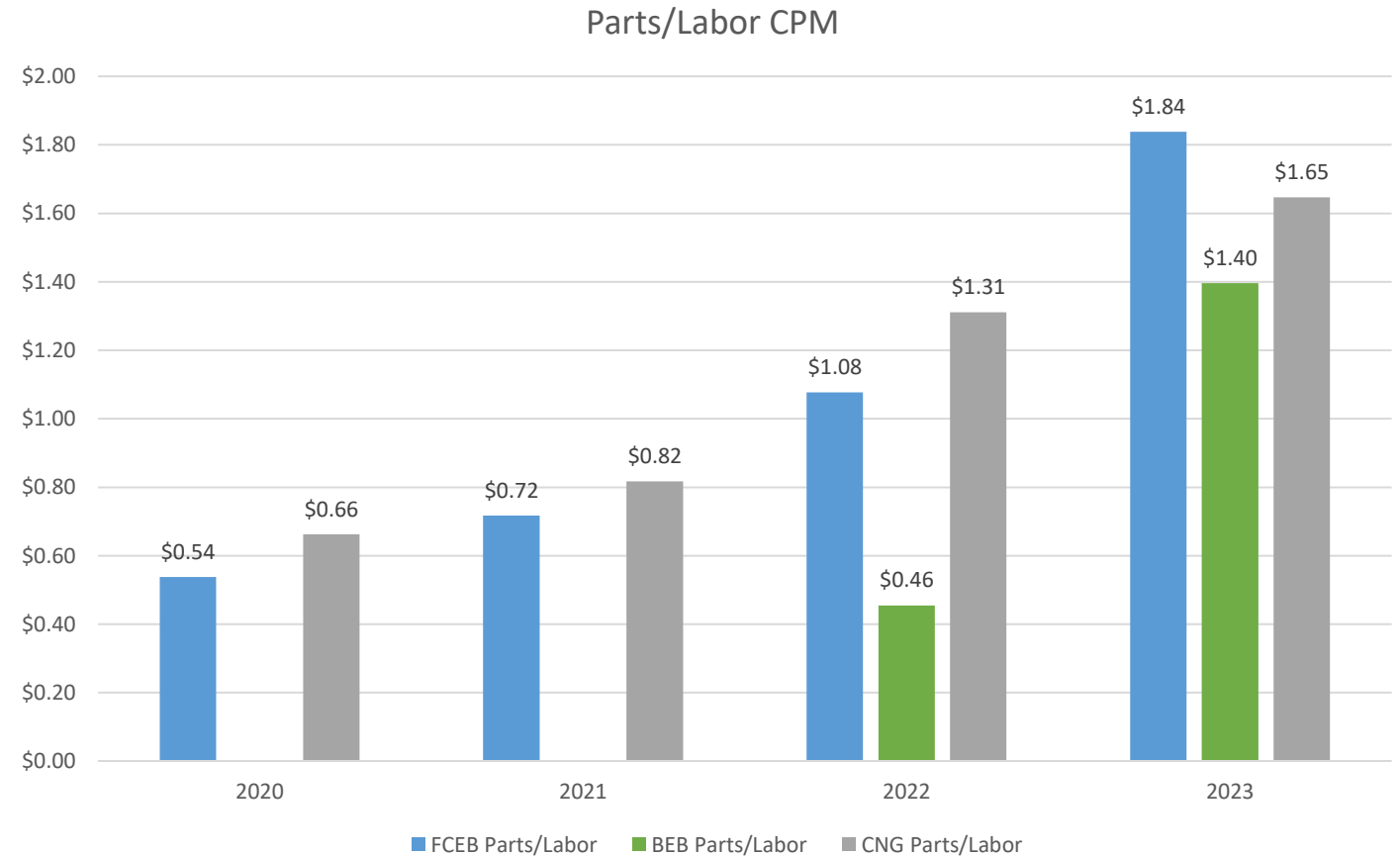


*O&M – Operations and Maintenance



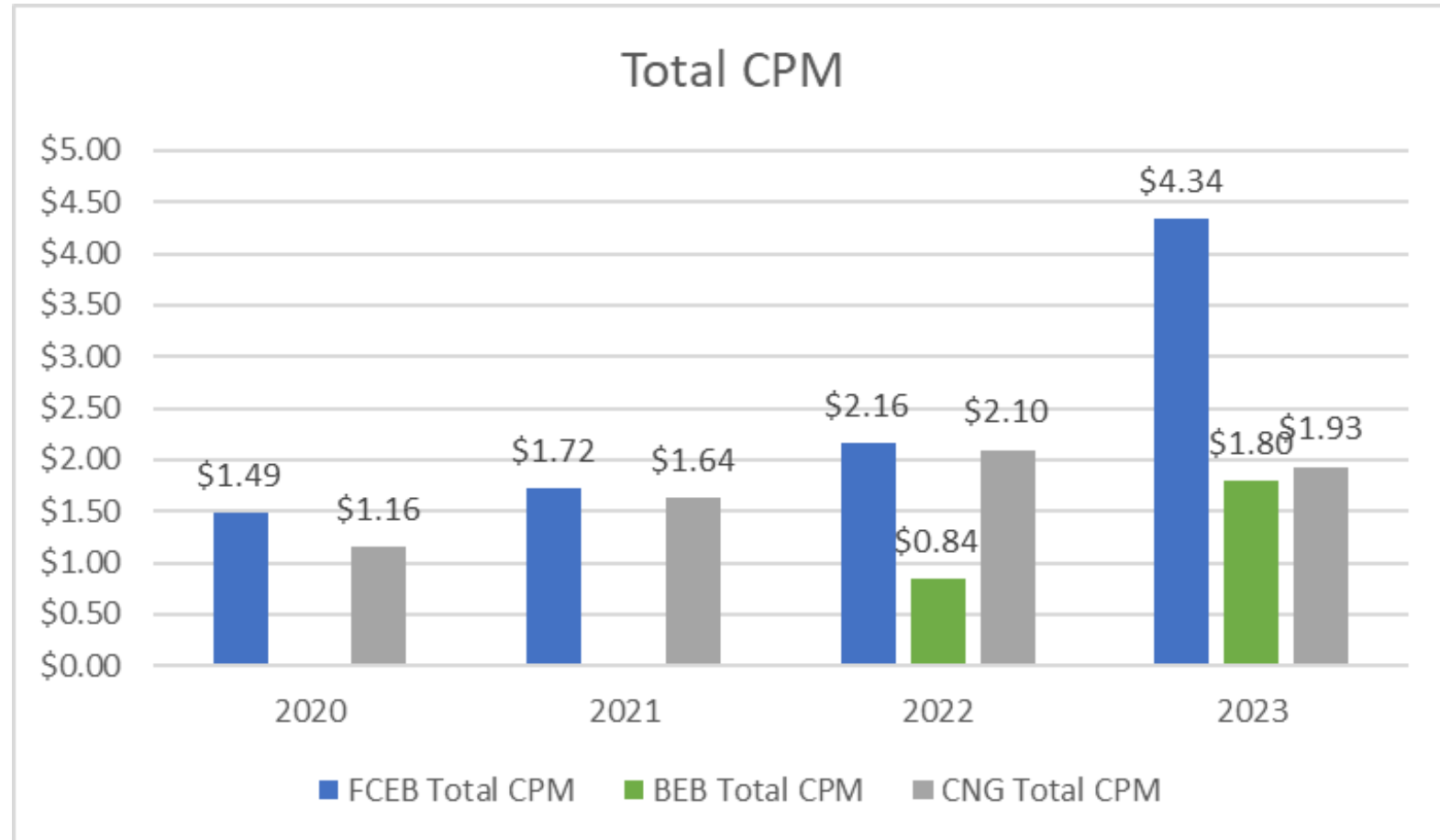
Cost per Mile (Cont.)

- CNG normal increases due to age
- FCEB increased due to increases in parts
- BEB increased due to failures outside the warranty



Cost per Mile (Cont.)

- Total CPM includes
 - Fuel CPM
 - Parts and Labor CPM
- FCEB four-year average
 - \$2.43, 42% > CNG
- BEB two-year average
 - \$1.32, 23% < CNG



Infrastructure



BEB Charging Stations

- Located at the Garden Grove Base
- Ten charging stations
- 50-150kW each
- Fully operational in February 2024

Hydrogen Fueling Station

- Located at the Santa Ana Base
- Two dispensers
- 50 buses per day
- Fully operational since 2020



Next Steps

- Expand ZEB Pilot
 - 40 additional 40ft FCEBs
 - Ten additional 40ft BEBs
 - Ten battery electric paratransit buses/vans
- Add Infrastructure
 - Second H2 Fueling Station at Garden Grove Base
 - Ten additional BEB Charging Stations at Santa Ana Base
 - Battery Charging Stations for battery electric paratransit buses/vans

