



# **AGENDA**

## ***Regional Planning and Highways Committee Meeting***

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### **Committee Members**

Lori Donchak, Chair  
Shawn Nelson, Vice Chairman  
Andrew Do  
Barbara Delgleize  
Mark A. Murphy  
Todd Spitzer  
Michelle Steel

Orange County Transportation Authority  
Headquarters  
550 South Main Street  
Board Room – Conf. Room 07  
Orange, California  
**Monday, August 7, 2017 at 10:30 a.m.**

Any person with a disability who requires a modification or accommodation in order to participate in this meeting should contact the OCTA Clerk of the Board, telephone (714) 560-5676, no less than two (2) business days prior to this meeting to enable OCTA to make reasonable arrangements to assure accessibility to this meeting.

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.

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

### **Call to Order**

### **Pledge of Allegiance**

Director Spitzer

#### **1. Public Comments**

### **Special Calendar**

There are no Special Calendar matters.

### **Consent Calendar (Items 2 through 10)**

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



### **2. Approval of Minutes**

Approval of the minutes of the Regional Planning and Highways Committee meeting of July 6, 2017.

### **3. Amendments to Cooperative Agreements with the Cities of Anaheim and Placentia for the OC Bridges Railroad Grade Separation Program**

Ross Lew/James G. Beil

#### **Overview**

On June 8, 2009, the Orange County Transportation Authority Board of Directors approved Cooperative Agreement No. C-9-0412 with the City of Placentia and Cooperative Agreement No. C-9-0413 with the City of Anaheim for traffic engineering services and transportation management planning, environmental re-evaluation, project support, and police services for the implementation of railroad grade separation projects located at Placentia Avenue, Kraemer Boulevard, Orangethorpe Avenue, Tustin Avenue/Rose Drive, and Lakeview Avenue. Board of Directors' approval is requested to amend these cooperative agreements for additional city support services required to complete closeout activities for the OC Bridges Railroad Grade Separation Program.

#### **Recommendations**

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 5 to Cooperative Agreement No. C-9-0412 between the Orange County Transportation Authority and City of Placentia, in the amount of \$161,824, for additional project support services for the Orangethorpe Avenue, Tustin Avenue/Rose Drive, and Lakeview Avenue railroad grade separation projects, and to extend the term of the cooperative agreement through August 1, 2018. This will increase the maximum obligation of the cooperative agreement to a total value of \$1,192,324.
- B. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 7 to Cooperative Agreement No. C-9-0413 between the Orange County Transportation Authority and City of Anaheim, in the amount of \$120,000, for additional project support services for the Orangethorpe Avenue, Tustin Avenue/Rose Drive, and Lakeview Avenue railroad grade separation projects, and to extend the term of the cooperative agreement through August 1, 2018. This will increase the maximum obligation of the cooperative agreement to a total value of \$1,882,550.



#### **4. 2018 State Transportation Improvement Program Overview**

Ben Ku/Kia Mortazavi

##### **Overview**

The State Transportation Improvement Program is a biennial five-year plan of projects adopted by the California Transportation Commission for future allocations of state transportation funds. Every two years, the Orange County Transportation Authority updates the program of projects to be funded through this program. An overview of the 2018 State Transportation Improvement Program process is presented for information purposes.

##### **Recommendation**

Receive and file as an information item.

#### **5. Approval of Use of Federal Funds for Orange County Transportation Authority Projects Related to the Federal Fiscal Year 2017-18 Obligation Authority Plan**

Ben Ku/Kia Mortazavi

##### **Overview**

The federal government requires states to obligate federal transportation funds by September 30 of each year. To ensure the timely commitment of all available federal funding by September 2018, the Orange County Transportation Authority prepares an annual obligation plan, and requests corresponding Board of Directors' authorization for use of the federal funds.

##### **Recommendations**

- A. Approve the use of up to \$28.949 million in Congestion Mitigation and Air Quality Improvement Program funds for the Interstate 5 High-Occupancy Vehicle Lane Project from State Route 55 to State Route 57 in place of an equal amount in State Transportation Improvement Program funds.
- B. Approve the use of \$4.5 million in Congestion Mitigation and Air Quality Improvement Program funds for the Rideshare Program.
- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute any necessary agreements to facilitate associated programming actions.



**6. Measure M2 Comprehensive Transportation Funding Programs - 2018 Annual Call for Projects**

Sam Kaur/Kia Mortazavi

**Overview**

The Comprehensive Transportation Funding Programs Guidelines provide the mechanism for the administration of the annual competitive call for projects for numerous programs, including the countywide Regional Capacity Program (Project O) and the Regional Traffic Signal Synchronization Program (Project P). The 2018 Regional Capacity Program and Regional Traffic Signal Synchronization Program call for projects are presented for review and approval.

**Recommendations**

- A. Approve the proposed revisions to the Comprehensive Transportation Funding Programs Guidelines.
- B. Authorize staff to issue the 2018 annual call for projects for the Regional Capacity Program for approximately \$32 million.
- C. Authorize staff to issue the 2018 annual call for projects for the Regional Traffic Signal Synchronization Program for approximately \$8 million.

**7. Measure M2 Environmental Cleanup Program - 2017 Tier 1 Water Quality Grant Funding Allocations**

Sam Kaur/Kia Mortazavi

**Overview**

The Orange County Transportation Authority's Environmental Cleanup Program provides Measure M2 funding for water quality improvement projects to address transportation-generated pollution. The fiscal year 2017-18 Tier 1 Grant Program call for projects was issued on March 16, 2017. Evaluations have been completed, and a list of projects is presented for review and approval of funding allocations.

**Recommendation**

Approve the 2017 Tier 1 Environmental Cleanup Program funding recommendations to fund 16 projects, in an amount totaling \$3,130,251.



**8. Request to Exercise Second Option Term for On-Call Traffic Engineering Services**

Ronald Keith/Kia Mortazavi

**Overview**

On October 13, 2014, the Orange County Transportation Authority Board of Directors approved agreements with four traffic engineering firms to provide consultant services for on-call traffic engineering for the Measure M2 Regional Traffic Signal Synchronization Program for three years, with two one-year option terms. An amendment to the existing agreements for execution of the second and final option term is requested for continued on-call traffic engineering services related to the implementation of three new signal synchronization projects.

**Recommendation**

Authorize the Chief Executive Officer to execute amendments to the following consultant agreements to exercise the second option term for on-call traffic engineering services: Agreement No. C-4-1804 with Albert Grover & Associates, Agreement No. C-4-1805 with DKS Associates, Agreement No. C-4-1316 with Iteris, Inc., and Agreement No. C-4-1806 with Kimley-Horn and Associates, Inc., in the total amount of \$8,400,031, and extend the term of the agreements through May 31, 2020. This will increase the maximum obligation for all the on-call firms for a total combined aggregate contract value of \$23,414,485.

**9. Guidance for Administration of the Orange County Master Plan of Arterial Highways Related to Complete Streets**

Carolyn Mamaradlo/Kia Mortazavi

**Overview**

On April 3, 2017, proposed revisions to the Master Plan of Arterial Highways Traffic Calming Policy were presented to the Regional Planning and Highways Committee. The Regional Planning and Highways Committee directed the proposed revisions back to the Technical Advisory Committee to address the use of traffic calming measures on higher-volume arterials. The Technical Advisory Committee discussed the item on June 26, 2017 and recommended further restricting the use of traffic calming measures on Major and Principal arterials. The Technical Advisory Committee's recommendation is provided for review and approval.

**Recommendation**

Approve proposed revisions to the Guidance for the Administration of the Orange County Master Plan of Arterial Highways.



### **10. Regional Planning Update - Greenhouse Gas Target Review**

Greg Nord/Kia Mortazavi

#### **Overview**

Regional planning updates are provided periodically to highlight transportation planning issues impacting the Orange County Transportation Authority, and the Southern California region. This update focuses on draft greenhouse gas reduction targets currently proposed by the California Air Resources Board. Once finalized, the Southern California Association of Governments is required to address them as part of the 2020 Regional Transportation Plan and Sustainable Communities Strategy. A discussion of the Orange County Transportation Authority's concerns and actions to date, is provided for informational purposes.

#### **Recommendation**

Receive and file as an information item.

### **Regular Calendar**

### **11. Active Transportation Update**

Paul Martin/Kia Mortazavi

#### **Overview**

The Orange County Transportation Authority coordinates regional active transportation efforts in Orange County. An update on recent and upcoming activities is provided for review.

#### **Recommendation**

Receive and file as an information item.

### **Discussion Items**

### **12. Interstate 405 Improvement Project Update**

Jeff Mills/James G. Beil

The Orange County Transportation Authority, in cooperation with the California Department of Transportation, is implementing the Interstate 405 Improvement Project between State Route 73 and Interstate 605. Staff will provide an update on the project.



# **AGENDA**

## ***Regional Planning and Highways Committee Meeting***

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

**14. Committee Members' Reports**

**15. Closed Session**

There are no Closed Session items scheduled.

**16. Adjournment**

The next regularly scheduled meeting of this Committee will be held at **10:30 a.m. on Thursday, September 7, 2017**, at the Orange County Transportation Authority Headquarters, 550 South Main Street, Board Room - Conference Room 07, Orange, California.



# MINUTES

## Regional Planning and Highways Committee Meeting

### **Committee Members Present**

Lori Donchak, Chair  
Shawn Nelson, Vice Chairman  
Andrew Do  
Barbara Delgleize  
Mark A. Murphy  
Michelle Steel

### **Staff Present**

Darrell Johnson, Chief Executive Officer  
Ken Phipps, Deputy Chief Executive Officer  
Laurena Weinert, Clerk of the Board  
Olga Prado, Assistant Clerk of the Board  
James Donich, General Counsel  
OCTA Staff and Members of the General Public

### **Committee Members Absent**

Todd Spitzer

## **Call to Order**

The July 6, 2017 regular meeting of the Regional Planning and Highways Committee was called to order by Committee Chair Donchak at 10:34 a.m.

## **Pledge of Allegiance**

Director M. Murphy led in the Pledge of Allegiance.

### **1. Public Comments**

No public comments were received.

## **Special Calendar**

There were no Special Calendar matters.

## **Consent Calendar (Items 2 through 5)**

### **2. Approval of Minutes**

A motion was made by Committee Vice Chairman Nelson, seconded by Director M. Murphy, and declared passed by those present, to approve the minutes of the Regional Planning and Highways Committee meeting of June 5, 2017.



# MINUTES

## *Regional Planning and Highways Committee Meeting*

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### **3. Cooperative Agreement with the California Department of Transportation for the Interstate 5 High-Occupancy Vehicle Improvement Project from State Route 55 to State Route 57**

A motion was made by Committee Vice Chairman Nelson, seconded by Director M. Murphy, and declared passed by those present, to authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-7-1817 between the Orange County Transportation Authority and California Department of Transportation, in the amount of \$30,849,000, comprised of a construction capital share of \$26,049,000, and a construction management services share of \$4,800,000, for the Interstate 5 high-occupancy vehicle improvement project between State Route 55 and State Route 57.

### **4. Capital Programming Update**

A motion was made by Committee Vice Chairman Nelson, seconded by Director M. Murphy, and declared passed by those present, to:

- A. Consistent with current Capital Action Plan cost estimates, authorize the use of \$15.479 million in Measure M2 for Interstate 5 widening from State Route 73 to Oso Parkway.
- B. Authorize the following adjustments to replace \$14.374 million in Federal Transit Administration Section 5307, and to fund an increase in the project cost by \$4.133 million for the San Juan Creek Bridge Replacement Project.
  - Increase of \$12.645 million in Proposition 1B Trade Corridor Improvement Fund project cost savings (contingent on actual savings accrued from the OC Bridges projects),
  - Increase of \$3.364 million in Federal Transit Administration Section 5337 State of Good Repair funds,
  - Increase of \$2.376 million in Proposition 116 funds, and
  - Increase of \$0.122 million in Measure M2 funds.
- C. Authorize the use of up to \$7.363 million in Congestion Mitigation and Air Quality Improvement Program funds for the Anaheim Canyon Station Project.
- D. Replace \$2 million in Federal Transit Administration Section 5337 with Measure M2 to support right-of-way activities for the Anaheim Canyon Station Project.



# MINUTES

## Regional Planning and Highways Committee Meeting

### 4. (Continued)

- E. Authorize the use of up to \$6 million in Federal Transit Administration Section 5307 funds for Metrolink preventive maintenance capitalized operations.
- F. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program, and execute or amend all necessary agreements to facilitate the above actions.

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

A motion was made by Committee Vice Chairman Nelson, seconded by Director M. Murphy, and declared passed by those present, to:

- A. Conditionally approve one delay request for the City of Irvine's Peters Canyon Off-Street Bikeway Lighting Improvements Project, contingent on the Orange County Board of Supervisors approval of the right-of-way agreement.
- B. Authorize staff to make all necessary amendments to the Federal Transportation Improvement Program and execute any required agreements or amendments to facilitate the recommendations above.

## **Regular Calendar**

### 6. **OC Active: Project Update**

Paul Martin, Active Transportation Coordinator, Planning, provided a project update on the preparation of the Orange County Transportation Authority's (OCTA) first countywide Active Transportation Plan, branded as OC Active.

Mr. Martin reported that the plan will cover both bicycle and pedestrian improvements, consolidate the regional bikeways into one master document, evaluate and identify the best areas to improve pedestrian travel (including wheelchairs and other mobility devices along sidewalk and street edge), and will ensure coordinated efforts between local jurisdictions. Staff plans to continue to work with local agencies on the technical analysis and community engagement to better identify high-need areas, and will provide an update to the Board of Directors (Board) in July, and return to the Board with preliminary results in early 2018.



# MINUTES

## *Regional Planning and Highways Committee Meeting*

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### 6. (Continued)

Committee Vice Chairman Nelson requested that staff provide a map showing the combined outcome of recent sub-area regional bike corridors in Orange County.

A discussion ensued regarding safety measures due to collisions between bicycles and/or pedestrians and vehicles.

Committee Chair Donchak requested the following:

- Ensure that safety is moved up to the top of the list of priorities.
- How safety improvements are measured.
- Staff works with the various colleges and universities when performing outreach.

A motion was made by Committee Vice Chairman Nelson, seconded by Director Delgleize, and declared passed by those present, to receive and file as an information item.

### 7. **Overview of SB 1 (Chapter 5, Statutes of 2017) - The Road Repair and Accountability Act of 2017**

Darrell Johnson, Chief Executive Officer (CEO), provided opening remarks and introduced Adriann Cardoso, Capital Programming Manager, Planning, as well as Ryan Chamberlain, California Department of Transportation Director, District 12, and OCTA Ex-Officio Board Member.

Mr. Johnson reported that the implementation of SB 1 is moving rather quickly and a number of activities are underway for city funds, funds that OCTA may receive on a formula basis for transit, and competitive funds.

Ms. Cardoso provided a PowerPoint presentation as follows:

- Overview;
- SB 1 Ten-Year Revenue Timeframe;
- Sources of Revenues Ten-Year Estimate (\$ millions);
- Uses – Ten-Year Estimate (\$ millions);
- Competitive Programs;
- Formula Programs;
- Highway User Tax Account and SB 1 Revenues;



# MINUTES

## *Regional Planning and Highways Committee Meeting*

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### 7. (Continued)

- 2017 State Funding Need;
- 2017 State Funding Need – Potential Projects:
  - State Highway,
  - Transit,
  - Goods Movement,
  - Local Highways/Rail-Grade Separations,
  - Active Transportation), and:
- Next Steps.

Committee Vice Chairman Nelson inquired about Slide 7 of the PowerPoint and the difference between “intercity rail” and “commuter rail” as it relates to funding received by OCTA.

Darrell Johnson, CEO, responded that the definition of intercity rail and commuter rail is that the funds flow through the federal definitions.

A short discussion ensued regarding:

- Definition of commuter rail in California.
- Definition of intercity rail.
- Opportunities within the Los Angeles – San Diego – San Luis Obispo Rail Corridor in Orange County to share costs between the intercity and the commuter rail program.

Committee Chair Donchak inquired about Slide 8 of the PowerPoint and the Highway User Tax Account (HUTA) dollar split between the cities and the county, and asked how the split was decided.

Ms. Cardoso responded that the amounts were based on the existing formula for HUTA through statute.

Kia Mortazavi, Executive Director, Planning, explained the way the formula works. Mr. Mortazavi also added that, compared to the rest of the counties in the State, Orange County has a higher proportion of registered vehicles.



# MINUTES

## Regional Planning and Highways Committee Meeting

### 7. (Continued)

A short discussion ensued regarding:

- Limitations on how the county funding can be used.
- Staff is working with its partners at the Self-Help Counties Coalition and the Southern California Association of Governments to weigh in on the guidelines proposed by the California Transportation Commission.
- Staff has communicated with the Technical Advisory Committee and plans to invite Planning and Finance Directors from local agencies to a workshop at OCTA in the August/September timeframe.
- OCTA staff is available as a resource to the cities and county for any questions.

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

## Discussion Items

### 8. Chief Executive Officer's Report

Darrell Johnson, CEO, reported that:

- The Orange County Fair starts July 15, and OCTA will be hosting an event to kick-off the OC Fair Express bus service at the Fullerton Park and Ride at 9:30 a.m., on Saturday, July 15. This year, the OC Fair Express Bus will depart from nine locations throughout Orange County and will run on Saturdays and Sundays from July 15 to August 13. Riders are encouraged to use the OC Bus Mobile App to purchase passes,

In addition, Mr. Johnson reported that OCTA teamed up with the OC Fair and the cost of the OC Fair Express will be \$2.00 each way or 75 cents for seniors or persons with disabilities. Riders using these services will be offered a coupon for \$3.00 OC Fair admission.

### 9. Committee Members' Reports

Committee Chair Donchak reported that a mobility study is underway in South Orange County to look at a variety of options to move vehicles more efficiently. She asked for an update on the project extending the Interstate 5 carpool lane from Avenida Pico to the San Diego County border. In addition, Committee Chair Donchak requested an update on the project description that extends the Interstate 5 high-occupancy vehicle lanes from Avenida Pico to the San Diego County Line



# MINUTES

## *Regional Planning and Highways Committee Meeting*

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### 9. (Continued)

Darrell Johnson, CEO, responded that staff will agendaize her request and present an item to the Committee during the month of August.

### 10. Closed Session

A Closed Session was not conducted at this meeting.

### 11. Adjournment

The meeting adjourned at 11:06 a.m.

The next regularly scheduled meeting of this Committee will be held at **10:30 a.m. on Monday, August 7, 2017**, at the Orange County Transportation Authority Headquarters, 550 South Main Street, Board Room - Conference Room 07, Orange, California.

ATTEST

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Olga Prado  
Assistant Clerk of the Board

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Lori Donchak  
Committee Chair



**August 7, 2017**

**To:** Regional Planning and Highways Committee

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

**Subject:** Amendments to Cooperative Agreements with the Cities of Anaheim and Placentia for the OC Bridges Railroad Grade Separation Program

### **Overview**

On June 8, 2009, the Orange County Transportation Authority Board of Directors approved Cooperative Agreement No. C-9-0412 with the City of Placentia and Cooperative Agreement No. C-9-0413 with the City of Anaheim for traffic engineering services and transportation management planning, environmental re-evaluation, project support, and police services for the implementation of railroad grade separation projects located at Placentia Avenue, Kraemer Boulevard, Orangethorpe Avenue, Tustin Avenue/Rose Drive, and Lakeview Avenue. Board of Directors' approval is requested to amend these cooperative agreements for additional city support services required to complete closeout activities for the OC Bridges Railroad Grade Separation Program.

### **Recommendations**

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 5 to Cooperative Agreement No. C-9-0412 between the Orange County Transportation Authority and the City of Placentia, in the amount of \$161,824, for additional project support services for the Orangethorpe Avenue, Tustin Avenue/Rose Drive, and Lakeview Avenue railroad grade separation projects, and to extend the term of the cooperative agreement through August 1, 2018. This will increase the maximum obligation of the cooperative agreement to a total value of \$1,192,324.
- B. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 7 to Cooperative Agreement No. C-9-0413 between the Orange County Transportation Authority and the City of Anaheim, in the amount of \$120,000, for additional project support services for the

Orangethorpe Avenue, Tustin Avenue/Rose Drive, and Lakeview Avenue railroad grade separation projects, and to extend the term of the cooperative agreement through August 1, 2018. This will increase the maximum obligation of the cooperative agreement to a total value of \$1,882,550.

### ***Discussion***

The Orange County Transportation Authority (OCTA), in coordination with the cities of Anaheim, Fullerton, and Placentia, is implementing the OC Bridges Railroad Grade Separation Program (OC Bridges Program). Undercrossings at Placentia Avenue and Kraemer Boulevard and overcrossings at Orangethorpe Avenue, Tustin Avenue/Rose Drive, and Lakeview Avenue are being implemented directly by OCTA. The City of Fullerton is implementing undercrossings at State College Boulevard and Raymond Avenue.

On June 8, 2009, the OCTA Board of Directors approved Cooperative Agreement No. C-9-0412, in the amount of \$537,500, with the City of Placentia (Placentia) and Cooperative Agreement No. C-9-0413, in the amount of \$370,000, with the City of Anaheim (Anaheim), for traffic engineering services and transportation management planning, environmental re-evaluation, project support, and police services for the implementation of the railroad grade separation projects located at Placentia Avenue, Kraemer Boulevard, Orangethorpe Avenue, Tustin Avenue/Rose Drive, and Lakeview Avenue.

On May 16, 2017, Placentia submitted a letter to OCTA requesting additional funding for project support services to complete closeout activities for the OC Bridges Program. The additional project support services include:

- Additional construction closeout coordination with OCTA and its contractors for the Orangethorpe Avenue, Tustin Avenue/Rose Drive, and Lakeview Avenue grade separations.
- Additional traffic engineering services to review detour and closure plans for the Lakeview Avenue grade separation.
- Additional police services to monitor public traffic during construction.

In response to the request, OCTA and Placentia staff met and negotiated the appropriate level of effort for the work described above. Both agencies agreed that an additional \$161,824 for project support services is sufficient to complete the closeout activities for the Orangethorpe Avenue, Tustin Avenue/Rose Drive, and Lakeview Avenue grade separations.

Proposed Amendment No. 5 is for additional project support services, in the amount of \$161,824, which increases the cooperative agreement value from \$1,030,500 to \$1,192,324 (Attachment A).

On May 18, 2017, Anaheim submitted a letter to OCTA requesting additional funding for project support services to complete closeout activities for the OC Bridges Program. The additional project support services include:

- Additional construction closeout coordination with OCTA and its contractors for the Orangethorpe Avenue, Tustin Avenue/Rose Drive, and Lakeview Avenue grade separations.
- Administrative closeout of right-of-way documents for the Orangethorpe Avenue, Tustin Avenue/ Rose Drive, and Lakeview Avenue grade separations.

In response to the request, OCTA and Anaheim staff met and negotiated the appropriate level of effort for the work described above. Both agencies agreed that an additional \$120,000 for project support services is sufficient to complete the closeout activities for the Orangethorpe Avenue, Tustin Avenue/Rose Drive, and Lakeview Avenue grade separations.

Proposed Amendment No. 7 is for additional project support services, in the amount of \$120,000, which increases the cooperative agreement value from \$1,762,550 to \$1,882,550 (Attachment B).

The additional cost for both cities' project support services will be funded by Measure M2 (M2) funds and is accommodated within the OC Bridges Program budget approved by the Board on November 14, 2016. These additional services also require OCTA to extend the term of both cooperative agreements through August 1, 2018, to allow for the completion of closeout activities.

#### **Fiscal Impact**

The additional funds for the work described in Amendment No. 5 to Cooperative Agreement No. C-9-0412 and Amendment No. 7 to Cooperative Agreement No. C-9-0413 are included in OCTA's Fiscal Year 2017-18 Budget, Capital Programs Division, accounts 0017-7831-SO204-QKC, 0017-7831-SO205-QKC, and 0017-7831-SO206-QKC, and is funded with M2 funds.

***Summary***

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute Amendment No. 5 to Cooperative Agreement No. C-9-0412 with the City of Placentia, in the amount of \$161,824, and Amendment No. 7 to Cooperative Agreement No. C-9-0413 with the City of Anaheim, in the amount of \$120,000, for additional project support services to complete closeout activities for the OC Bridges Program.

***Attachments***

- A. City of Placentia, Cooperative Agreement No. C-9-0412 Fact Sheet
- B. City of Anaheim, Cooperative Agreement No. C-9-0413 Fact Sheet

**Prepared by:**



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



Meena Katakia  
Manager, Contracts Administration and  
Materials Management  
(714) 560-5694

**Approved by:**



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

**City of Placentia  
Cooperative Agreement No. C-9-0412 Fact Sheet**

1. June 8, 2009, Cooperative Agreement No. C-9-0412, \$537,500, approved by the Board of Directors (Board).
  - To provide traffic management planning, traffic engineering, environmental re-evaluation support, project support, and police services for the Placentia Avenue, Kraemer Boulevard, Orangethorpe Avenue, Tustin Avenue/Rose Drive, and Lakeview Avenue railroad grade separation projects.
2. May 9, 2011, Amendment No. 1 to Cooperative Agreement No. C-9-0412, \$136,500, approved by the Board.
  - To increase funding for project support services not accounted for in the original cooperative agreement.
3. June 10, 2013, Amendment No. 2 to Cooperative Agreement No. C-9-0412, \$231,500, approved by the Board.
  - To pay City of Placentia for pavement rehabilitation work to repair city streets used as detour routes during construction of the railroad grade separation projects.
  - To reimburse the City of Placentia for one closed-circuit television camera and other traffic management plan elements.
4. November 10, 2014, Amendment No. 3 to Cooperative Agreement No. C-9-0412, \$125,000, approved by the Board.
  - To provide additional traffic engineering, police, and project support services for the Tustin Avenue/Rose Drive, Orangethorpe Avenue, and Lakeview Avenue railroad grade separation projects.
5. August 8, 2016, Amendment No. 4 to Cooperative Agreement No. C-9-0412, \$0, approved by Contracts Administration and Materials Management Department.
  - To extend the term of the cooperative agreement for 12 months through August 1, 2017 to allow for project completion.
6. August 14, 2017, Amendment No. 5 to Cooperative Agreement No. C-9-0412, \$161,824, pending Board approval.
  - To provide additional traffic engineering, police, and project support services for the Orangethorpe Avenue, Tustin Avenue/Rose Drive, and Lakeview Avenue railroad grade separation projects.

- To extend the term of the cooperative agreement for 12 months through August 1, 2018, to allow for the completion of closeout activities.

Total committed to the City of Placentia after approval of Amendment No. 5 to Cooperative Agreement No. C-9-0412: \$1,192,324.

**City of Anaheim  
Cooperative Agreement No. C-9-0413 Fact Sheet**


1. June 8, 2009, Cooperative Agreement No. C-9-0413, \$370,000, approved by the Board of Directors (Board).
  - To provide traffic management planning, traffic engineering, project support, environmental re-evaluation, and police services for the Placentia Avenue, Kraemer Boulevard, Orangethorpe Avenue, Tustin Avenue/Rose Drive, and Lakeview Avenue railroad grade separation projects.
2. May 9, 2011, Amendment No. 1 to Cooperative Agreement No. C-9-0413, \$249,950, approved by the Board.
  - To increase funding for project support services not accounted for in the original cooperative agreement.
3. June 10, 2013, Amendment No. 2 to Cooperative Agreement No. C-9-0413, \$658,000, approved by the Board.
  - To increase funding by \$350,000, for additional project support services.
  - To increase funding by \$308,000, to reimburse City of Anaheim for pavement rehabilitation work to repair city streets used as detour routes during construction of the railroad grade separation projects.
4. January 30, 2015, Amendment No. 3 to Cooperative Agreement No. C-9-0413, \$0, approved by Contracts Administration and Materials Management (CAMM) Department.
  - To combine the existing funding for traffic engineering, police services, and project support services with no net change in the total combined amounts for these services.
5. November 10, 2014, Amendment No. 4 to Cooperative Agreement No. C-9-0413, \$264,600, approved by the Board.
  - To increase funding by \$264,600, for additional project support services for construction of the grade separation projects.
6. July 11, 2016, Amendment No. 5 to Cooperative Agreement No. C-9-0413, \$0, approved by CAMM Department.
  - To extend the term of the cooperative agreement for 12 months to August 1, 2017 to allow for project completion.

7. September 12, 2016, Amendment No. 6 to Cooperative Agreement No. C-9-0413, \$220,000, approved by the Board.
  - To increase funding by \$220,000, for additional project support services for construction completion of the grade separation projects.
8. August 14, 2017, Amendment No. 7 to Cooperative Agreement No. C-9-0413, \$120,000, pending Board approval.
  - To increase funding by \$120,000, for additional project support services for right-of-way and construction closeout of the grade separation projects.
  - To extend the term of the agreement for 12 months through August 1, 2018 to allow for the completion of closeout activities.

Total committed to the City of Anaheim after approval of Amendment No. 7 to Cooperative Agreement No. C-9-0413: \$1,882,550.



**August 7, 2017**

**To:** Regional Planning and Highways Committee  
**From:** Darrell Johnson, Chief Executive Officer   
**Subject:** 2018 State Transportation Improvement Program Overview

**Overview**

The State Transportation Improvement Program is a biennial five-year plan of projects adopted by the California Transportation Commission for future allocations of state transportation funds. Every two years, the Orange County Transportation Authority updates the program of projects to be funded through this program. An overview of the 2018 State Transportation Improvement Program process is presented for information purposes.

**Recommendation**

Receive and file as an information item.

**Background**

The State Transportation Improvement Program (STIP) is a five-year state funding program that is adopted by the California Transportation Commission (CTC) for transportation projects. The STIP is divided into two major funding categories: the Regional Improvement Program (RIP) and the Interregional Improvement Program (IIP). Seventy-five percent of the program is allocated to the RIP, which is then provided to counties by formula. The remaining 25 percent is provided to the California Department of Transportation (Caltrans) for projects of interregional significance and intercity rail projects through the IIP.

Projects eligible for the STIP must adhere to the STIP Guidelines and the Orange County Transportation Authority (OCTA) Capital Programming Policies (CPP) that were adopted by the Board of Directors (Board) on May 8, 2017 (Attachment A). OCTA is responsible for the development and programming of Orange County's share of the RIP portion of STIP revenues, which is submitted to CTC for approval. OCTA and Caltrans coordinate the development of projects that are considered for inclusion in the RIP and the IIP.

Every two years, the STIP fund estimate (FE) revenues are forecasted and programmed for the following five-year period. The revenue that supports the STIP derives from the price-based excise tax and Federal Highway Trust Fund. The 2018 STIP will include additional support from the Road Repair and Accountability Act of 2017 (SB 1 {Chapter 5, Statutes of 2017}). SB 1 creates several new programs, as well as augments existing funding sources, and is estimated to provide \$52.5 billion for transportation purposes over the next ten years. It was signed into law on April 28, 2017 by the Governor, and will stabilize the STIP, as well as provide an estimated \$100 million annually into the STIP. An overview of SB 1 was submitted to the Board as an information item on July 10, 2017 (Attachment B).

The previous 2016 STIP was approved on May 18-19, 2016, by the CTC. OCTA originally submitted for \$164.8 million in funding for eight projects. Due to the statewide reductions, Orange County's approved STIP contained five projects for Orange County, totaling \$122.6 million, and the Interregional Transportation Improvement Program (ITIP) contained \$3 million for one ITIP project in Orange County (Attachment C). The approved RIP consisted only of carry over projects, deletion of two projects from the 2014 STIP, and a delay of the majority of Orange County's share.

### ***Discussion***

Based on the draft FE, the 2018 STIP covering fiscal year (FY) 2018-19 through FY 2022-23 provides programming capacity of \$2.259 billion statewide, compared with the final 2016 STIP of \$1.3 billion. For Orange County, the draft FE provides new capacity of \$118.591 million. The new capacity, plus existing carry over projects, equals approximately \$236.051 million for the 2018 STIP. The final FE and updated guidelines will be adopted by the CTC in mid-August, and these amounts are subject to change.

Staff will return to the Board in September 2017 with the proposal for an updated program of projects that is consistent with the Board-approved CPP. The updated program of projects may include minor modifications to existing projects as well as new projects.

OCTA will need to consider the updated 2018 STIP guidelines in selecting projects for nomination. The 2018 STIP guidelines include the following changes:

- Additional performance measures will be requested for rail and transit projects;
- Outputs and outcomes will be standardized in the application;
- For new capacity enhancing highway projects, the local agency is required to consider reversible lanes;

- Clarification that operation and maintenance for public private partnership projects are ineligible for STIP funds;
- Design-build projects must be identified at the time of programming or as soon as possible before allocation of funds;
- Semi-annual reports are now required for locally implemented projects.

Staff has scheduled meetings with key stakeholders to solicit input (Attachment D). The meeting with Caltrans is also an opportunity for OCTA to discuss Caltrans' submittal of the IIP and the State Highway Operation and Protection Program. Staff expects to return to the Board next month with specific programming recommendations that are due by September 29, 2017, to the Southern California Association of Governments for modeling purposes, and to the CTC by December 15, 2017.

### **Summary**

OCTA is responsible for the development and programming of the STIP projects for Orange County. With the upcoming 2018 STIP cycle, OCTA staff has started the process to consider priority projects for recommendation to the Board for the Regional Transportation Improvement Program submittal to the CTC.

### **Attachments**

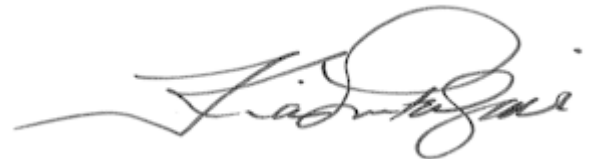
- A. Existing Capital Programming Policies by Fund Source, May 2017
- B. SB 1 (Chapter 5, Statutes of 2017) Overview
- C. Funding Plan for 2016 STIP Recommended Projects – Submitted
- D. 2018 STIP Development Schedule

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**Existing Capital Programming Policies by Fund Source  
May 2017**

Funding Source	Measure M2 (M2) Programming Policies (adopted May 2014)
M2 Programs	
Projects A-M (freeway projects on Interstate 5, State Route 22, State Route 55, State Route 57, State Route 91, Interstate 405, and Interstate 605)	Use projects A-M M2 funding consistent with the M2 Transportation Investment Plan, with the M2020 Plan, and subsequent Board of Directors (Board)-approved plans and updates to the M2 Program. Program funds to projects through formal programming actions.
Freeway Environmental Mitigation Program (Tied to Projects A-M)	Utilize five percent net revenues derived from M2 funding for Projects A-M consistent with the M2 Transportation Investment Plan, with the M2020 Plan, and subsequent Board-approved plans and updates to the M2 Program. Program funds to projects through Board approval actions for needed environmental mitigation projects.
Project N (Freeway Service Patrol)	Use Project N funds for the Freeway Service Patrol Program. Funds are programmed through the annual budget process.
Project O (Regional Capacity Program) and Project P (Regional Signal Synchronization Program)	Use Project O and Project P M2 funding, consistent with the M2 Transportation Investment Plan, and consistent with the Comprehensive Transportation Funding Programs (CTFP) Guidelines. Program funds to projects through the cyclical CTFP call for projects (call) programming recommendations.
Project Q (Local Fair Share Program)	Use Project Q M2 funds consistent with the M2 Transportation Investment Plan. Funds are programmed through the annual budget, but actual disbursements may be adjusted based on the formula distribution of funds.
Project R (High-Frequency Metrolink Service)	Use Project R M2 funding consistent with the M2 Transportation Investment Plan, with the M2020 Plan, with the Comprehensive Business Plan, and subsequent Board-approved plans and updates, to the M2 Program. Program funds to projects through formal programming actions.
Project S (Transit Extensions to Metrolink) and Project T (Metrolink Gateways)	Use Project S and Project T M2 funding, consistent with the M2 Transportation Investment Plan, and consistent with CTFP Guidelines. Program funds to projects through a call.
Project U (Expand Mobility Choices for Seniors and Persons with Disabilities)	Use Project U M2 funds, consistent with the M2 Transportation Investment Plan, the Comprehensive Business Plan, and subsequent Board-approved plans and updates to the M2 Program. Funds are programmed through the annual budget process.
Project V (Community-Based Transit Circulators) and Project W (Safe Transit Stops)	Use Project V and Project W M2 funding, consistent with the M2 Transportation Investment Plan, and consistent with CTFP Guidelines. Program funds to projects through the CTFP call.

## Existing Capital Programming Policies by Fund Source May 2017

Project X (Environmental Cleanup)	<p>Use Project X M2 funding consistent with the M2 Transportation Investment Plan and consistent with CTFP Guidelines. Program funds to projects through the CTFP call.</p> <p>The Environmental Cleanup Program consists of two programs. The Tier 1 Grant Program is designed to mitigate the more visible forms of pollution. Tier 1 consists of funding for equipment purchases and upgrades to existing catch basins and related devices such as screens, filters, and inserts. The Tier 2 Grant Program consists of funding regional, multi-jurisdictional, and capital-intensive projects, such as constructed wetlands, detention/infiltration basins, and bioswales.</p>
Funding Source/Agency	State and Federal Programming Policies (adopted December 2014)
All State and Federal Fund Sources	First priority of all funding sources is to fulfill commitments to M2020 and/or Next 10 projects, specifically M2 projects and to maintain existing the Orange County Transportation Authority's assets in a state of good repair. Consideration will also be given to use state and federal funds for projects that are complementary to M2 projects and that share the program goals to reduce congestion, strengthen the economy, and improve the quality of life. All fund sources must be programmed through formal programming actions.
State	
State Transportation Improvement Program (STIP)/California Transportation Commission (CTC)	Use of STIP funds for M2 freeway, commuter rail, fixed-guideway projects, planning/programming and complementary activities which seek an equitable balance between freeways and transit capital and are consistent with state goals.
Proposition 1A/CTC	All funds are programmed.
Proposition 1B – Competitive Programs Funding/CTC	Maximize the Orange County allocations consistent with each program and ensure the receipt of allocated funds.
Proposition 1B Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA)/California Department of Transportation (Caltrans)	Use PTMISEA funds for commuter rail improvements and to fund existing STIP - Public Transit Administration projects (approximately \$60 million) currently programmed in the 2010 STIP and for eligible OC Bridges projects.
Proposition 1B State-Local Partnership Program (SLPP)/CTC	Use of SLPP for local streets and roads and freeway construction projects, contingent on matching funds availability. Seek equitable balance between freeways and local streets and roads.
Proposition 1B – Transit System Safety, Security and Disaster Response Account (TSSSDRA)/California Governor's Office of Emergency Services	Use TSSSDRA to support capital projects that enhance the safety, security, and emergency response capabilities of transit.
Proposition 116 (CTC)	Use cost savings for commuter or intercity rail capital improvement projects along the Metrolink corridor (between the cities of Buena Park and San Clemente) that are funded with Measure M1 and M2 funds on a first-come, first-served basis.

## Existing Capital Programming Policies by Fund Source May 2017

Cap-and-Trade (Formula) – Low Carbon Transit Operations Program (LCTOP)/Caltrans	Use LCTOP for transit operations or capital for expansion of bus transit service, fare reduction programs, and other bus and commuter rail transit efforts that increase ridership and reduce greenhouse gas (GHG) emissions, where 50 percent of the funds provide benefit for passengers in disadvantaged communities. Funds generated from commuter rail service in Orange County may be used in Orange County for the expansion of commuter rail service, fare reduction programs for commuter rail, and other eligible commuter rail efforts that increase ridership and reduce GHG emissions.
Cap-and-Trade (Competitive) – Transit and Intercity Rail Capital Program (TIRCP)/California State Transportation Agency	Use TIRCP for capital projects that expand bus and rail service to increase ridership and for projects that improve the integration between bus and rail systems. Projects must also reduce GHG emissions.
Cap-and-Trade (Competitive) – Affordable Housing and Sustainable Communities Program (AHSC)/Strategic Growth Council	Use AHSC for fixed-guideway and transit corridor projects that serve disadvantaged communities and reduce greenhouse gas emissions.  *Note – In the guidelines a transit project must be paired with an affordable housing project for Transit Oriented Development program funds.
California Freight Investment Program (CFIP)	Use of CFIP funds first for eligible M2 program projects which meet the requirements and goals of the program, then fund other eligible priority Orange County projects.
National Highway Freight Program	Currently these funds are administered by the state through the CFIP. See above.
Funding Source/Agency	State and Federal Programming Policies (adopted December 2014)
State	
Active Transportation Program (ATP) – Southern California Association of Governments (SCAG) Regional Selection (Formula)/CTC/SCAG	Set-asides: Bicycle and pedestrian projects up to a ten percent set-aside and contingent on ready-to-go projects as submitted through competitive calls.
Federal	
Congestion Mitigation and Air Quality (CMAQ)/Caltrans for Federal Highways Administration (FHWA)	<p>Increase priority of M2 fixed-guideway projects. Use CMAQ funding for:</p> <ul style="list-style-type: none"> <li>• M2 fixed-guideway and/or M2 high-occupancy vehicle or high-occupancy toll operational improvements,</li> <li>• as match to leverage funding for OC Bridges grade separation projects,</li> <li>• vanpool program and rideshare services,</li> <li>• other rail and bus transit capital projects,</li> <li>• traffic light synchronization projects, and</li> <li>• new or expanded bus transit operations (three years of CMAQ funding may be used for the first five years).</li> </ul> <p>Set-asides: Bicycle and pedestrian projects up to a ten percent set-aside and contingent on ready-to-go projects as submitted through competitive calls.</p>

## Existing Capital Programming Policies by Fund Source May 2017

Surface Transportation Block Grant (STBG) Program - Formerly the Regional Surface Transportation Program/Caltrans for FHWA	Use STBG funds for M2 Freeway Program (consistent with M2020 priorities), grade separations, and local streets and roads.
Transportation Alternatives Program (TAP) – CTC/SCAG through ATP	Use 100 percent of annual TAP apportionment for bicycle and pedestrian projects through a competitive call to local agencies. Currently these funds are administered by the state through the ATP. See above.
Federal Transit Administration (FTA) Section 5309 Fixed-Guideway Capital Investment Grants (“New Starts”)/FTA	Prioritize M2 fixed-guideway projects that are following project development requirements consistent with the “New Starts” and/or “Small Starts” process.
FTA Section 5307 Formula/FTA	<p>Use funds in the following order:</p> <p>(1) preventive maintenance, (2) capital cost of contracting, and (3) bus replacement.</p> <p>Set-Asides: Up to 20 percent for paratransit operating assistance; one percent for transit security (unless funded using local, state, or other federal funds); percent of funds generated by rail operations to be used for rail operations and capital projects.</p>
FTA Section 5310 Formula Funds/FTA	Use funds for eligible enhancements to paratransit capital and operations.
FTA Section 5337 Formula Funds/FTA	Use funds for commuter rail rehabilitation/renovation projects; and for capital projects that maintain and/or replace equipment and facilities to keep the commuter rail system in a state of good repair and for preventive maintenance. Use funds generated by bus transit for bus transit capital maintenance.
FTA Section 5339 Formula Funds/FTA	<p>Use funds in the following order:</p> <p>(1) bus replacement, (2) capital maintenance, and (3) other bus capital projects as identified in the bus capital plan.</p>

## **SB 1 (Chapter 5, Statutes of 2017) Overview**

SB 1 (Chapter 5, Statutes of 2017), the Road Repair and Accountability Act of 2017, which was signed by the Governor on April 28, 2017, will provide an estimated \$52.5 billion for transportation purposes over the next ten years, with investments targeted towards fix-it-first purposes on local streets and roads and highways, transit operations and maintenance, capital investments, and active transportation. There is no sunset on the revenue sources included in the bill, with many of the taxes and fees to be indexed for inflation to keep pace with rising costs.

The sources of revenues provided by SB 1 are as follows:

Beginning November 1, 2017

- 12 cent gas tax increase
- 20 cent diesel tax increase
- Four percent increase in the sales tax on diesel

Beginning January 1, 2018

- New transportation improvement fee ranging from \$25-\$175

Beginning July 1, 2019

- Resetting of the price-based excise tax to 17.3 cents

No later than June 30, 2020

- The complete repayment of \$706 million in transportation loans made to the general fund

Beginning July 1, 2020:

- \$100 road improvement fee for zero-emission vehicles starting for 2020 model cars and later

The revenues generated from the above funding tools will be used to provide supplemental funding to many existing programs and create several new funding programs, some of which the Orange County Transportation Authority (OCTA) will be a direct recipient. Overall the revenues are allocated 65 percent to maintain existing transportation infrastructure, 15 percent for public transit, 13 percent for congestion relief, 4 percent in incentives for local transportation funding initiatives, and 4 percent for sustainability measures. The statewide breakdown is as follows:

## SB 1 (Chapter 5, Statutes of 2017) Overview

<b>Funding Program and Purpose</b>	<b>Projected Ten-year Funding</b>
Local Street and Roads – Fix-it-First	\$15 billion
State Highway Maintenance and Rehabilitation – Fix-it-First	\$15 billion
State Highway Bridges and Culverts	\$4 billion
Public Transit Capital and Operations	\$7.5 billion
Trade Corridor improvements	\$3 billion
Congested Corridor Program	\$2.5 billion
State Transportation Improvement Program (STIP) (regional)	\$825 million
STIP (state)	\$275 million
State-Local Partnership Program	\$2 billion
Active Transportation Program	\$1 billion
Local Planning Grants	\$250 million
Freeway Service Patrol	\$250 million
Parks Funding for Agriculture, Off-Highway Vehicles and Boating	\$800 million
Public University Research	\$70 million
Workforce Development Program	\$50 million
<b>TOTAL</b>	<b>\$52.5 billion</b>

It is expected that SB 1 will provide increased formula funding as follows, over a ten-year period:

- A doubling of local street and roads funding for each city and the county, that is to be focused on projects such as rehabilitation and maintenance, grade separations, safety projects, complete street components, and traffic control devices. Cities that achieve a pavement condition index over 80 will have additional flexibility to use their funds for expanded purposes. Based on estimates provided by the California Department of Transportation (Caltrans) , over the next ten years, this translates into about \$535 million for Orange County roads, or about \$53.5 million per year, and about \$706.9 million for Orange County city roads, or about \$70 million per year. Because the various taxes and fees are to be phased in, the allocations will be lower in the first few years. The estimates from the California League of Cities, for example, forecasts that Orange County cities would receive approximately \$56 million in fiscal year 2018-19.
- Based on estimates provided by Caltrans, about \$741 million for the State Highway Operation and Protection Program (SHOPP) will be provided for Orange County, with the same eligibility parameters, guidelines, and reporting requirements as are provided for the local street and roads funding. This estimate is based on average past allocations to Orange County.

## SB 1 (Chapter 5, Statutes of 2017) Overview

- Based on funding estimates provided by the Department of Finance, over \$18 million in new transit funding per year for Orange County, with about \$13 million eligible for transit capital or operations purposes, and over \$5 million annually for capital purposes will be provided. This doubles the amount of transit funding provided to Orange County when compared to existing State Transit Assistance funding.
- The stabilizing of the STIP, which could allow OCTA to reprogram projects previously delayed or prevented from being programmed. Overall, it is expected that over the next ten years, SB 1 will add about \$53 million over previous estimates to the STIP, based on estimates provided by Caltrans.

In addition, OCTA plans to compete for the new programs including trade corridors, state-local partnership, and congested corridors. As guidelines are developed for each program, more detail will be available as to which local projects will be most competitive for each program.

Finally, SB 1 included several project accountability and efficiency reforms:

- The creation of a Senate-confirmed position of Inspector General within Caltrans, appointed by the Governor, to audit and investigate state and local projects to ensure expenditures are done in conformance with existing law.
- Increased California Transportation Commission oversight over Caltrans projects within the SHOPP, with additional performance measures.
- A constitutional measure contained in a companion bill protecting new fees from future diversion contained in SCA 5 (Frazier, D-Oakley).
- Caltrans must implement efficiency measures estimated to generate cost savings of \$100 million.
- The development of an advanced mitigation program for projects receiving state funding.

## Funding Plan for 2016 STIP Recommended Projects - Submitted

SUBMITTED 2016 STIP (In Thousands)	STIP Funding					Other Funding				Total Project Cost
	2016-17	2017-18	2018-19	2019-20	2020-21	Total STIP	RSTP/ CMAQ	M2	Other	
I-5 widening SR-73 to Oso Parkway (Segment 1)			\$ 78,949			\$ 78,949	\$ 28,167	\$ 30,224		\$ 137,340
I-5 HOV Lane SR-55 to SR-57		\$ 28,949				\$ 28,949	\$ 2,800	\$ 5,309		\$ 37,058
I-5 HOV Lane Operational Improvements	\$ 4,708					\$ 4,708			\$ 1,431	\$ 6,139
SR-57 Lambert Road Interchange			\$ 22,100			\$ 22,100		\$ 927	\$ 36,273	\$ 59,300
I-405 Auxiliary Lane SR-133 to Sand Canyon Avenue and Sand Canyon Avenue to University Drive	\$ 2,353	\$ 13,498				\$ 15,851			\$ 528	\$ 16,379
PPM	\$ 1,899	\$ 1,482	\$ 1,481			\$ 4,862				\$ 4,862
SR-57 Truck Climbing Lane					\$ 3,700	\$ 3,700		\$ 600		\$ 4,300
San Juan Creek Bridge Replacement		\$ 5,700				\$ 5,700			\$ 28,500	\$ 34,200
<b>Totals</b>	<b>\$ 8,960</b>	<b>\$ 49,629</b>	<b>\$ 102,530</b>	<b>\$ -</b>	<b>\$ 3,700</b>	<b>\$ 164,819</b>	<b>\$ 30,967</b>	<b>\$ 37,060</b>	<b>\$ 66,732</b>	<b>\$ 299,578</b>

## Existing 2010 STIP

Revised FE 2016 RTIP (In Thousands)	STIP Funding					Other Funding				Total Project Cost
						RSTP/ CMAQ	M2	Other		
	2016-17	2017-18	2018-19	2019-20	2020-21				Total STIP	
I-5 widening SR-73 to Oso Parkway (Segment 1)					\$ 78,030	\$ 28,167	\$ 30,224		\$ 136,421	
I-5 HOV Lane SR-55 to SR-57			\$ 28,949		\$ 28,949	\$ 2,800	\$ 5,309		\$ 37,058	
SR-57 Lambert Road Interchange				\$ 9,000	\$ 9,000		\$ 927	\$ 53,860	\$ 63,787	
I-405 Auxiliary Lane SR-133 to Sand Canyon Avenue and Sand Canyon Avenue to University Drive	\$ 1,800							\$ 528	\$ 2,328	
PPM	\$ 1,899	\$ 1,482	\$ 1,481						\$ 4,862	
Total	\$ 3,699	\$ 1,482	\$ 30,430	\$ 9,000	\$ 78,030	\$ 30,967	\$ 36,460	\$ 54,388	\$ 244,456	

<b>ITIP</b>									
Laguna Niguel to San Juan Capistrano Passing Siding			\$ 3,000			\$ 19,791		\$ 2,483	\$ 25,274

STIP - State Transportation Improvement Program  
 RSTP - Regional Surface Transportation Program  
 CMAQ - Congestion Mitigation and Air Quality  
 M2 - Measure M2  
 I-5 - Interstate 5  
 SR-73 - State Route 73  
 HOV - High-occupancy vehicle  
 SR-55 - State Route 55  
 SR-57 - State Route 57  
 I-405 - Interstate 405  
 SR-133 - State Route 133  
 PPM - Planning, Programming, and Monitoring  
 CTC - California Transportation Commission  
 OCTA - Orange County Transportation Authority  
 FE - Fund Estimate  
 RTIP - Regional Transportation Improvement Program  
 ITIP - Interregional Transportation Improvement Program

**2018 STIP Development Schedule**


- March 15-16, 2017 – CTC fund estimate assumptions and key issues
- May 17, 2017 – CTC approves assumptions
  - June - July 2017 – Meet with internal and external stakeholders
- June 28-29, 2017 – CTC presents draft STIP fund estimate
- August 7, 2017 – OCTA RP&H STIP overview item
- August 14, 2017 – OCTA Board STIP overview item
- By August 16-17, 2017 – CTC adopts STIP fund estimate
- September 7, 2017 – OCTA RP&H STIP/RTIP program of projects approval
- September 11, 2017 – OCTA Board STIP/RTIP program of projects approval
- September 29, 2017 – OCTA STIP/RTIP projects submitted to SCAG for regional modeling analysis
- October 13, 2017 – Caltrans submits draft ITIP
- October 19, 2017 – CTC ITIP hearing – North
- October 24, 2017 – CTC ITIP hearing – South
- By December 15, 2017 – STIP/RTIP submittal due to CTC
- By December 15, 2017 – Caltrans ITIP submittal due to CTC
- January 25, 2018 – CTC STIP hearing South
- February 1, 2018 – CTC STIP hearing North
- February 28, 2018 – CTC publishes staff recommendations
- March 21-22, 2018 – CTC adopts STIP

STIP – State Transportation Improvement Program  
CTC – California Transportation Commission  
OCTA – Orange County Transportation Authority  
RP&H – Regional Planning and Highways Committee  
Board – Board of Directors  
RTIP – Regional Transportation Improvement Program  
SCAG – Southern California Association of Governments  
Caltrans – California Department of Transportation  
ITIP – Interregional Transportation Improvement Program



**August 7, 2017**

**To:** Regional Planning and Highways Committee

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

**Subject:** Approval of Use of Federal Funds for Orange County Transportation Authority Projects Related to the Federal Fiscal Year 2017-18 Obligation Authority Plan

### **Overview**

The federal government requires states to obligate federal transportation funds by September 30 of each year. To ensure the timely commitment of all available federal funding by September 2018, the Orange County Transportation Authority prepares an annual obligation plan, and requests corresponding Board of Directors' authorization for use of the federal funds.

### **Recommendations**

- A. Approve the use of up to \$28.949 million in Congestion Mitigation and Air Quality Improvement Program funds for the Interstate 5 High-Occupancy Vehicle Lane Project from State Route 55 to State Route 57 in place of an equal amount in State Transportation Improvement Program funds.
- B. Approve the use of \$4.5 million in Congestion Mitigation and Air Quality Improvement Program funds for the Rideshare Program.
- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute any necessary agreements to facilitate associated programming actions.

### **Background**

The state annually receives Congestion Mitigation and Air Quality Program Improvement Program (CMAQ) and Surface Transportation Block Grant (STBG) Program apportionments from the Federal Highway Administration (FHWA). The Orange County Transportation Authority (OCTA) receives a share of the apportioned funds, approximately \$44.95 million in CMAQ funds and \$40.39 million in STBG for regional projects. However, the federal government

typically only provides Obligation Authority (OA) to use approximately 91 percent (\$77.65 million total) of the apportioned funds annually. Fortunately, state law allows agencies to use available statewide OA, up to 100 percent of its available apportionment of funds, after May 1 of each year on a first-come first-served basis. This allows OCTA to maximize federal funding for Orange County transportation projects, and reduces the need for Measure M2 (M2) funds. Furthermore, state policy allows agencies to advance OA from future years using expenditure authority from other states that fall behind in federal project delivery.

OCTA's OA Plan consists of federalized projects previously approved by the Board of Directors (Board). Projects included in one year's OA Plan that do not get obligated in that year may roll forward to next year's plan. The OA Plan brings together prior year and current funding candidates into a single plan that describes how OCTA will meet the OA target for a specific fiscal year (FY). This report focuses on the federal fiscal year (FFY) 2017-18 OA Plan that is further described below.

### ***Discussion***

In August 2016, the OCTA Board approved projects for the FFY 2016-17 OA Plan, which supported OCTA's goal to obligate 100 percent of the OA target. As of May 31, 2017, OCTA has obligated \$15.413 million, or 22.8 percent, of FFY 2016-17 OA funds. The following pending projects will allow OCTA to achieve 100 percent obligation when obligated by the FHWA or transferred to the Federal Transit Administration:

- Anaheim Canyon Station – Construction (\$23.163 million);
- State Route 55 (SR-55) Interstate 405 to Interstate 5 (I-5) – Design (\$13.8 million);
- I-5 State Route 73 to Oso Parkway Segment 1 – Right-of-way (ROW) support and capital (\$13.415 million);
- I-5 Alicia Parkway to El Toro Road Segment 3 – ROW support and capital (\$9.419 million);
- OC Streetcar – Construction (\$1.431 million);
- Three Local Agency Bicycle Corridor Improvement Program projects (\$0.86 million):
  - Huntington Beach - Utica Avenue Bicycle Boulevard – Construction (\$0.682 million);
  - San Clemente – Pacific Coast Bicycle Route Signage and Parking Expansion Improvement Project – Construction (\$0.144 million);
  - Costa Mesa – Bicycle Racks at City Facilities – Construction (\$0.034 million).

If these projects are not delivered in FFY 2016-17, they will roll forward into the FFY 2017-18 plan.

In order to maximize FFY 2017-18 federal funding, OCTA has developed the FFY 2017-18 federal OA Plan (Attachment A). Through this plan, OCTA will be prepared to use all of its FFY 2017-18 OA, and may also advance up to \$26.322 million in federal OA from future years. The plan, as designed, may position OCTA to use OA that is not used by other states through a process known as August redistribution. This occurs when the federal government redistributes OA not used by other states to those which have, or will achieve, 100 percent delivery of OA. OCTA will be able to deliver 100 percent of its FFY 2016-17 federal funds if all the projects above are delivered. However, a number of obstacles may prevent 100 percent delivery. Should 100 percent delivery be achieved, OCTA will be eligible to receive a share of the August redistribution.

The California Department of Transportation (Caltrans) notifies agencies how much August redistribution was provided to each county in December. Based on OCTA's FFY 2015-16 OA Plan and delivery, OCTA received \$3.256 million in the August 2016 redistribution.

Previous Board actions have approved the use of federal funds for most of the projects in the FFY 2017-18 OA Plan. In order to complete the FFY 2017-18 OA Plan, Board approval is required to use federal funds for the following projects, which are also included in the Next 10 M2 Delivery Plan:

- \$28.949 million in CMAQ funds for the I-5 High-Occupancy Vehicle (HOV) Lane Project from SR-55 to State Route 57 (SR-57) Project;
- \$4.5 million in CMAQ funds for the Rideshare Program.

Using CMAQ in place of State Transportation Improvement Program (STIP) increases external funding that can support potential freeway project cost increases and helps offset the reduction in M2 due to the recent downturn in forecasted sales tax revenue. The use of CMAQ funds is consistent with OCTA's Capital Programming Policies (CPP) regarding the use of CMAQ for eligible M2 freeway projects. Additionally, using CMAQ funds for the I-5 HOV Lane Project will make \$28.949 million in STIP funds available in FFY 2018-19, two years earlier than the programmed STIP funding.

STIP funds can be used for a variety of projects, but is one of the few remaining fund sources that can be programmed for general purpose lane freeway widening projects. The \$28.949 million in STIP funds will be returned to OCTA's county share and would be available to support future Next 10 M2 freeway projects. These funds will be reprogrammed to another Measure M project as part of the 2018 STIP cycle. Meanwhile this action makes STIP capacity available in FY 2018-19, which is when OCTA anticipates it would advance the I-5 widening from State Route 73 to Oso Parkway Project, which is currently STIP-funded.

CMAQ funds directed to the Rideshare Program will be used to support regional rideshare-vanpool services in Orange County, including ride guides, customer information, and marketing activities. This use of CMAQ is also consistent with the CPP.

***Summary***

OCTA Board approval is sought to use federal funds for OCTA projects in order to preserve M2 funds, maximize the use of OCTA's federal funding in FFY 2017-18, and position OCTA to receive August redistribution funding.

***Attachment***

- A. Proposed OCTA's FFY 2017-18 (FY 2018) OA Plan, (\$000s)

**Prepared by:**



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**Approved by:**



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**Proposed OCTA's FFY 2017-18 (FY 2018) OA Plan  
(\$000s)**

**ATTACHMENT A**

Agency	Project Location	Project Scope / Description	STBG \$	CMAQ \$	OCTA's Estimated Cumulative OA Balance for FY 2018¹
			FFY 2017-18 OA		\$ 77,651
		Estimated Carry Over Balance From FFY 2016-17			\$ (11,235)
		I-5 HOV Segments 1-3 ROW Deobligation		\$ (3,991)	
		<b>Subtotal:</b>			<b>\$ 70,407</b>
<b>Obligate Before May 1, 2017</b>					
OCTA	OCTA	I-5 Oso Parkway to Alicia Parkway (Con Capital) Segment 2 (CON)	\$ 31,820		\$ 38,587
OCTA	OCTA	Grade Separation (Close Out)	\$ 5,000	\$ 5,000	\$ 28,587
OCTA	OCTA	RideShare Services		\$ 4,500	\$ 24,087
Irvine	Irvine	Peters Canyon Off-Street Bikeway Lighting Improvements (CON)		\$ 652	\$ 23,435
Costa Mesa	Costa Mesa	BCIP: 19th Street Bicycle Trail (CON)		\$ 385	\$ 23,050
OCTA	Santa Ana	I-5 HOV SR-55 to SR-57		\$ 28,949	\$ (5,899)
County of Orange	Placentia	BCIP: OC Loop Carbon Creek Channel (Segment D) (ROW)		\$ 495	\$ (6,394)
County of Orange	Westminster, Garden Grove	BCIP: Hazard Avenue Bikeway Project (CON)		\$ 3,000	\$ (9,394)
Dana Point	Dana Point	BCIP: Coast Highway Class 1 Bikeway/Pedestrian Way Extension Phase 2 (CON)		\$ 2,073	\$ (11,467)
Anaheim	Anaheim	BCIP: Nohl Ranch Open Space Trail (ROW)		\$ 439	\$ (11,907)
Tustin	Tustin	BCIP: Main Street/El Camino Real Improvements (CON)		\$ 2,298	\$ (14,205)
Santa Ana	Santa Ana	BCIP: Bristol Street Protected Bicycle Lanes (CON)		\$ 2,103	\$ (16,307)
County of Orange	Irvine, Orange	BCIP: Peters Canyon Extension (Design)		\$ 884	\$ (17,191)
Santa Ana	Santa Ana	BCIP: Hazard Avenue Protected Bike Lanes (CON)		\$ 935	\$ (18,126)
Santa Ana	Santa Ana	BCIP: Edinger Avenue Class II Bike Lanes (CON)		\$ 636	\$ (18,762)
Garden Grove	Garden Grove	BCIP: Bicycle Corridor Improvements (Final Design)		\$ 115	\$ (18,877)
Garden Grove	Garden Grove	BCIP: Bicycle Corridor Improvements (CON)		\$ 999	\$ (19,876)
Dana Point	Dana Point	BCIP: Coast Highway Class 1 Bikeway/Pedestrian Way Extension Project Phase 1 (CON)		\$ 607	\$ (20,483)
Costa Mesa	Costa Mesa	BCIP: Fairview Park Multi-Purpose Trail (CON)		\$ 836	\$ (21,319)
Fullerton	Fullerton	BCIP: Citywide Bicycle and Pedestrian Improvement Project (CON)		\$ 579	\$ (21,898)
Fullerton	Fullerton	BCIP: Wilshire Avenue Bicycle Boulevard (CON)		\$ 2,220	\$ (24,118)
County of Orange	Placentia	BCIP: OC Loop Carbon Creek Channel (Segment D) Bikeway Gap Closure (Final design)		\$ 1,056	\$ (25,174)
Anaheim	Anaheim	BCIP: Nohl Ranch Open Space Trail (Final Design)		\$ 211	\$ (25,385)
Santa Ana	Santa Ana	BCIP: Citywide Bike Racks (CON)		\$ 937	\$ (26,322)
		<b>Total</b>	<b>\$ 36,820</b>	<b>\$ 55,918</b>	<b>\$ (26,322)</b>


OCTA - Orange County Transportation Authority  
FFY - Federal fiscal year  
FY - Fiscal year  
OA - Obligation Authority  
STBG - Surface Transportation Block Grant  
CMAQ - Congestion Mitigation and Air Quality  
I-5 - Interstate 5  
HOW - High-occupancy vehicle

ROW - Right-of-way  
CON - Construction  
BCIP - Bicycle Corridor Improvement Program  
SR-55 - State Route 55  
SR-57 - State Route 57



**August 7, 2017**

**To:** Regional Planning and Highways Committee

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

**Subject:** Measure M2 Comprehensive Transportation Funding Programs – 2018 Annual Call for Projects

### **Overview**

The Comprehensive Transportation Funding Programs Guidelines provide the mechanism for the administration of the annual competitive call for projects for numerous programs, including the countywide Regional Capacity Program (Project O) and the Regional Traffic Signal Synchronization Program (Project P). The 2018 Regional Capacity Program and Regional Traffic Signal Synchronization Program call for projects are presented for review and approval.

### **Recommendations**

- A. Approve the proposed revisions to the Comprehensive Transportation Funding Programs Guidelines.
- B. Authorize staff to issue the 2018 annual call for projects for the Regional Capacity Program for approximately \$32 million.
- C. Authorize staff to issue the 2018 annual call for projects for the Regional Traffic Signal Synchronization Program for approximately \$8 million.

### **Background**

Measure M2 (M2) includes a number of competitive grant programs that provide funding for regional streets and roads projects. The Regional Capacity Program (RCP) provides funding for improvements to the Orange County Master Plan of Arterial Highways. The program provides for intersection improvements and other projects to help improve street operations and reduce congestion. The Regional Traffic Signal Synchronization Program (RTSSP) provides funding for multi-agency, corridor-based signal synchronization throughout Orange County.

These programs allocate funds through a competitive process and target projects that improve traffic flow by considering factors such as degree of congestion relief, cost-effectiveness, and project readiness, among other factors.

On March 22, 2010, the Orange County Transportation Authority (OCTA) Board of Directors (Board) approved guidelines for the Comprehensive Transportation Funding Programs (CTFP), which serve as the mechanism for administration of the RCP and RTSSP under M2. The CTFP Guidelines provide the procedures necessary for Orange County agencies to apply for funding and seek reimbursement for projects that have been allocated funds. Seven annual calls for projects (call) have been issued to date for both the RCP and RTSSP and, collectively, OCTA has provided over \$335 million countywide for capacity and synchronization improvement projects. In preparation for the 2018 annual call, updates to the guidelines have been prepared in close coordination with the Technical Advisory Committee (TAC).

### ***Discussion***

The call schedule and funding amounts are updated to reflect the amounts available for programming (\$32 million for the RCP, \$8 million for the RTSSP). OCTA staff worked with the TAC to determine areas of the program guidelines that needed to be adjusted and reviewed issues that emerged out of the previous calls for projects. In addition, guidelines were reviewed to ensure consistency throughout the document. The proposed modifications to the CTFP Guidelines are included in Attachment A.

The modifications include recommendations made by the Technical Steering Committee (TSC) at the June 14, 2017 meeting. The TAC reviewed and accepted the proposed changes at the June 26, 2017 meeting. A summary of the modifications is included below.

#### **2018 Call Updates**

- Updated RCP call application schedule and funding commitment level (approximately \$32 million in M2 Project O funds).
- Updated RTSSP call application schedule and funding commitment level (approximately \$8 million in M2 Project P funds).

### General Updates

- Precept (number 40): Updated regarding environmental mitigation activities and to be consistent with the Precept 27.
- Revisions made to the application submittal deadlines.
- Clarification added regarding tiered funding approach in Chapter 7.
- Deleted language for specific construction elements not being eligible under Project P through the 2018 call.
- Increased project caps from \$60,000 to \$75,000 per signal and from \$200,000 to \$250,000 per project corridor in Chapter 8.
- Minor modifications and clarification language added in Chapter 8.
- General updates and cleanup throughout the document for consistency.
- Updated Chapter 12 Environmental Cleanup Program Tier 1 Program Guidelines added (approved by the Board in April 2017).

### Next Steps

Following Board approval, staff anticipates sending out letters to notify local agencies of the call. Project applications would be due to OCTA by October 20, 2017. Based on the selection criteria, projects will be prioritized for the TSC/TAC and Board consideration in spring 2018.

Awards would be effective with Board approval and become available starting on July 1, 2018. Some projects may be programmed in subsequent fiscal years (FY) 2019-20 and FY 2020-21, based on schedules provided by local agencies.

### ***Summary***

M2 provides funds for intersection and arterial improvements (through Project O) and signal synchronization (through Project P), in an effort to enhance street operations and reduce congestion. The CTFP serves as the mechanism that OCTA uses to administer the competitive RCP and RTSSP funds. Staff is seeking the approval of proposed modifications to the guidelines and authorization to release the 2018 annual call.

***Attachments***


- A. Measure M - Proposed Modifications to the Comprehensive Transportation Funding Programs Guidelines
- B. Measure M - Draft - Comprehensive Transportation Funding Programs Guidelines - 2018 Call for Projects

**Prepared by:**



Sam Kaur  
Manager, Measure M Local Programs  
(714) 560-5673

**Approved by:**



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



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



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



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

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



## Application Review Process

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

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

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

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

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

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

## M2 Project O Funding

M2 Project O funding will be used for this call.

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



## Funding Estimates

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

## Programming Approach

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

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

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

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



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

### Overview

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

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

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

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

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

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

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



## Section 8.1 - Funding Guidelines

### Objectives

#### Synchronize traffic signals across jurisdictions

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

#### Project Definition

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

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

Applicant agency and owning agency must demonstrate through simulation, or actual vehicle counts showing Origin – Destination that proposed linked corridors for a route. Two linked corridors may also combine at the point of intersection to form a single local Master offset Control Point (T<sub>0</sub>) for future Zone operations.

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

#### Eligible Activities

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

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



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

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

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



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



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

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

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

## Ineligible Expenditures

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

## Funding Estimates

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



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

## Selection Criteria

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

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

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

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

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

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

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

Transportation Significance: Points are earned based on the corridor being on the ~~priority corridor network or the~~ signal synchronization network. (maximum: ~~405~~ points) (Priority signal network will not be a part of the 2018 Call for Projects. No points will be awarded for being on a Priority Corridor.)

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

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

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



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

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

## Table 8-1

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

<b>Vehicle Miles Travelled (VMT) Points: 20</b> <table> <tr> <th>VMT Range</th><th>Points</th></tr> <tr> <td>250+ thousand</td><td>20</td></tr> <tr> <td>200 - 249 thousand</td><td>15</td></tr> <tr> <td>150 - 199 thousand</td><td>10</td></tr> <tr> <td>100 - 149 thousand</td><td>6</td></tr> <tr> <td>50 - 99 thousand</td><td>3</td></tr> <tr> <td>0 - 49 thousand</td><td>1</td></tr> </table> <p>Calculation: ADT x segment length (Applies only to coordinated segments of project)</p>	VMT Range	Points	250+ thousand	20	200 - 249 thousand	15	150 - 199 thousand	10	100 - 149 thousand	6	50 - 99 thousand	3	0 - 49 thousand	1	<b>Project Scale Points: 10</b> <table> <tr> <th>Number of Signals Coordinated by Project Range</th><th>Point</th></tr> <tr> <td>50+</td><td>5</td></tr> <tr> <td>40 - 49</td><td>4</td></tr> <tr> <td>30 - 39</td><td>3</td></tr> <tr> <td>20 - 29</td><td>2</td></tr> <tr> <td>10 - 19</td><td>1</td></tr> <tr> <td>&lt; 10</td><td>0</td></tr> </table> <p><b>AND</b></p> <table> <tr> <th>Percent of Corridor Signals Being Retimed Range</th><th>Point</th></tr> <tr> <td>90% or above</td><td>5</td></tr> <tr> <td>80 - 89%</td><td>4</td></tr> <tr> <td>70 - 79%</td><td>3</td></tr> <tr> <td>60 - 69%</td><td>2</td></tr> <tr> <td>50 - 59%</td><td>1</td></tr> <tr> <td>&lt; 50%</td><td>0</td></tr> </table> <p>Calculation: Number of signals in project divided by total signals in full corridor length</p>	Number of Signals Coordinated by Project Range	Point	50+	5	40 - 49	4	30 - 39	3	20 - 29	2	10 - 19	1	< 10	0	Percent of Corridor Signals Being Retimed Range	Point	90% or above	5	80 - 89%	4	70 - 79%	3	60 - 69%	2	50 - 59%	1	< 50%	0		
VMT Range	Points																																												
250+ thousand	20																																												
200 - 249 thousand	15																																												
150 - 199 thousand	10																																												
100 - 149 thousand	6																																												
50 - 99 thousand	3																																												
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Number of Signals Coordinated by Project Range	Point																																												
50+	5																																												
40 - 49	4																																												
30 - 39	3																																												
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< 10	0																																												
Percent of Corridor Signals Being Retimed Range	Point																																												
90% or above	5																																												
80 - 89%	4																																												
70 - 79%	3																																												
60 - 69%	2																																												
50 - 59%	1																																												
< 50%	0																																												
<b>Economic Effectiveness Points: 10</b> <table> <tr> <th>Cost Benefit (Total \$/VMT) Range*</th><th>Points</th></tr> <tr> <td>&lt; 3</td><td>10</td></tr> <tr> <td>3 - 5</td><td>9</td></tr> <tr> <td>6 - 8</td><td>8</td></tr> <tr> <td>9 - 11</td><td>7</td></tr> <tr> <td>12 - 14</td><td>6</td></tr> <tr> <td>15 - 17</td><td>5</td></tr> <tr> <td>18 - 20</td><td>4</td></tr> <tr> <td>21 - 23</td><td>3</td></tr> <tr> <td>24 - 26</td><td>2</td></tr> <tr> <td>27+</td><td>1</td></tr> </table>	Cost Benefit (Total \$/VMT) Range*	Points	< 3	10	3 - 5	9	6 - 8	8	9 - 11	7	12 - 14	6	15 - 17	5	18 - 20	4	21 - 23	3	24 - 26	2	27+	1	<b>Number of Jurisdictions Points: 20</b> <table> <tr> <th>Total Number of Involved Jurisdictions Range</th><th>Point</th></tr> <tr> <td>5 or more</td><td>20</td></tr> <tr> <td>4</td><td>16</td></tr> <tr> <td>3</td><td>12</td></tr> <tr> <td>2</td><td>8</td></tr> <tr> <td>1</td><td>0</td></tr> </table> <p><b>OR</b></p> <table> <tr> <th>% of Priority Corridor Jurisdictions Involved Range</th><th>Point</th></tr> <tr> <td>100%</td><td>20</td></tr> <tr> <td>75 - 99%</td><td>12</td></tr> <tr> <td>50 - 75%</td><td>6</td></tr> <tr> <td>&lt; 50%</td><td>0</td></tr> </table>	Total Number of Involved Jurisdictions Range	Point	5 or more	20	4	16	3	12	2	8	1	0	% of Priority Corridor Jurisdictions Involved Range	Point	100%	20	75 - 99%	12	50 - 75%	6	< 50%	0
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<b>Project Characteristics Points: 10</b> <table> <tr> <th>Project Feature</th><th>Points</th></tr> <tr> <td>TMC/TOC and motorist information</td><td>2</td></tr> <tr> <td>New or upgraded communications systems</td><td>2</td></tr> <tr> <td>New or upgraded detection</td><td>2</td></tr> <tr> <td>Intersection/field system modernization</td><td>2</td></tr> <tr> <td>Minor signal operational improvements</td><td>2</td></tr> <tr> <td>New Protected/Permissive signals</td><td>3</td></tr> <tr> <td>Adaptive traffic and demonstration projects</td><td>3</td></tr> <tr> <td>TMC/CMC Connections between agencies</td><td>3</td></tr> </table> <p>Points are additive to maximum of 10 points</p>	Project Feature	Points	TMC/TOC and motorist information	2	New or upgraded communications systems	2	New or upgraded detection	2	Intersection/field system modernization	2	Minor signal operational improvements	2	New Protected/Permissive signals	3	Adaptive traffic and demonstration projects	3	TMC/CMC Connections between agencies	3	<b>Current Project Readiness Points: 10</b> <table> <tr> <th>Project Status</th><th>Point</th></tr> <tr> <td>Preliminary Engineering Complete</td><td>5</td></tr> <tr> <td>Re-timing of prior RTSSP project</td><td>3</td></tr> <tr> <td>Implementation within 12 months</td><td>5</td></tr> </table>	Project Status	Point	Preliminary Engineering Complete	5	Re-timing of prior RTSSP project	3	Implementation within 12 months	5																		
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\* Points are additive to category maximum



## Application Process

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

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

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

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

## Application Instructions

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



## OCFundtracker Application Components

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

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

## Minimum Eligibility Requirements

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

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

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

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

or

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

or

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



or

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

## Matching Funds

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

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

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

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



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

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

\*\* In-kind services are subject to audit.

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

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

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

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

## Other Application Materials

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

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



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

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

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

## Lead Agency

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

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

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



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

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

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

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



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

## **Project Cancellation**

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

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

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

## **Project Extensions**

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

## **Audits**

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

## **Data Compatibility**

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



spreadsheet; or 2) JAMAR comma separated value style text file. The data shall then be loaded into the OCTA Roadway Operations and Analysis Database System (ROADS). Any data files containing numeric intersection or node identifiers shall use the same node identification (ID) numbers as is stored in the ROADS database. OCTA shall provide a listing of intersections and corresponding unique node ID numbers. Each count data file shall adhere to the following file naming or csv. As an example, a turning movement count file for the intersection of Harbor Boulevard and Wilson Street in Costa Mesa would be given the filename CostaMesa\_Harbor-Wilson\_4534.csv.

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



## Section 8.2 - 2018 Call for Projects

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

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



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

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

## Applications

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

## Project Submittal

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

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

## Application Review and Program Adoption

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



## Checklist Guide

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

## Sample Resolution Form

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



## Chapter 10 - Reimbursements and Reporting

### Procedures for Receiving Funds

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

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

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

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

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

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



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

### Availability of Funds

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

### Cancellation of Project

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

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



## Section 10.1 - Regional Capacity Program Initial Payment

### Payment Requests

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

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

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

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

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

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

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



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

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



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

### Reimbursement

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

### Calculation of Payment

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

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

Given:

\$160,000 = CTFP Allocation \$40,000 = City Share

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

Calculations:

75% of CTFP allocation = \$160,000 x 0.75 = **\$120,000**.

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

Given:

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



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

Calculations:

Construction costs = \$280,000

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

75% of contract amount = \$200,000 x 0.75 = **\$150,000**.



## Section 10.2 - Regional Capacity Program Final Report and Payment Process

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

### Project Cost Changes

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

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

### Additional Documentation Requirements

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

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



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

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

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

## Timely Final Reports

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

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



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

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

### **Failure to Submit Final Report**

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

### **Excess Right-of-Way**

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

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

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

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

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

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



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

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

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

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

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

***Example:***

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

OCTA grant match rate 75%

**Parcel Costs:**

Cost – Parcel 1: \$300,000

Cost – Parcel 2: \$380,000

Cost – Parcel 3: \$120,000

Cost – Parcel 4: \$100,000

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

Payment with no excess ROW: \$500,000

**Excess right-of-way:**

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

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

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

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

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

OCTA contribution to right-of-way acquisition:

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

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

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



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

### Agency Workforce and Equipment Rental

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

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

#### Technical and/or Field Review

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

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

OCTA may review all phases of the project.

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



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

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

### **Reporting of Local Fair Share**

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



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

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

### Procedures for Receiving Funds

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

Primary Implementation includes the following:

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

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

Monitoring and improving optimized signal timing (required)

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



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

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

## Availability of Funds

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

## Initial Payment Requests for Primary Implementation

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

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

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

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

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



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

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

## Final Payment Requests for Primary Implementation

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

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

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

## Payment Requests for Ongoing Maintenance and Operations

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



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

### Project Final Report

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

#### Example of Reimbursement

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

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

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

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

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

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



## Section 10.4 - Environmental Cleanup Program Reimbursements and Reporting Requirements

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

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

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



**Draft**  
**Comprehensive Transportation Funding Programs Guidelines**  
**2018 Call for Projects**



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## **I. Overview**

On November 6, 1990, Orange County voters approved Measure M, a 20-year half-cent local transportation sales tax. All major transportation improvement projects and programs included in the original Measure M have been completed or are currently underway.

Expected growth demands in Orange County over the next 30 years will require agencies to continue to invest in transportation infrastructure projects. A collaborative effort between County leaders and the Orange County Transportation Authority (OCTA) identified additional projects to fund through an extension of the Measure M program. Voters approved Measure M2 (M2) on November 7, 2006. Ordinance No. 3 (Ordinance) outlines all programs.

### **Background**

A robust freeway network, high occupancy vehicle & toll lanes, a master plan of arterial highways, extensive fixed route and demand response bus service, commuter rail, and bicycle/pedestrian facilities comprise Orange County's transportation system. Future planning efforts are considering high speed rail service as part of a statewide system. Separate agencies manage and maintain each transportation component with a common purpose: mobility.

OCTA is responsible for planning and coordination of county regional transportation components. Local agencies generally oversee construction and maintenance of roadway improvements using a combination of regional and local funding sources derived from grants and formula distributions.

The Comprehensive Transportation Funding Programs (CTFP) represents a collection of competitive grant programs offered to local agencies. OCTA administers a variety of additional funding sources including M2, state/federal gas taxes, and Transportation Development Act (TDA) revenues.

### **Guidelines Overview**

This document provides guidelines and procedures necessary for Orange County agencies to apply for funding of transportation projects contained within the CTFP through a simplified and consistent process. Each program has a specific objective, funding source and set of selection criteria detailed in separate chapters contained within these guidelines.

Guidelines are updated on a periodic basis in coordination with local agencies working through the Technical Steering Committee (TSC) and Technical Advisory Committee (TAC). Modifications to the guidelines are discussed in details with the local agency



representatives during the TSC and TAC meetings held to review and approve the updated guidelines.

Additionally, OCTA may add, modify, or delete non-M2 programs over time to reflect legislative action and funding availability.



## **II . Funding Sources**

### **Renewed Measure M**

M2 is a 30-year, multibillion-dollar program extension of the original Measure M (approved in 1990) with a new slate of planned projects and programs. These include improvements to the County freeway system, streets and roads network, expansion of the Metrolink system, more transit services for seniors and the disabled as well as funding for the cleanup of roadway storm water runoff.

OCTA shall select projects through a competitive process for the Regional Capacity Program (Project O), the Regional Traffic Signal Synchronization (Project P), the various transit programs (Projects S, T, V and W), and the Environmental Cleanup Program (Project X). Each program has a specific focus and evaluation criteria as outlined in the guidelines.

OCTA shall distribute Local Fair Share Program (Project Q) funds on a formula basis to eligible local agencies. The program receives 18 percent of Net Revenues. The formula is based upon three components:

- Fifty percent based upon population
- Twenty-five percent based upon centerline miles on the existing Master Plan of Arterial Highways (MPAH)
- Twenty-five percent based upon local agency's share of countywide taxable sales

Projects that are wholly funded by M2 Fair Share revenues and/or local sources are not subject to a competitive process. However, program expenditures must maintain certain criteria as outlined in the Ordinance and M2 Eligibility Guidelines. Local agencies must conform to annual eligibility requirements in order to receive fair share funding and participate in the CTFP funding process. Key requirements include:

- Timely use of funds (expend within three years of receipt)
- Meet maintenance of effort requirements
- Use of funding on transportation activities consistent with Article XIX of State Constitution (Article XIX)
- Include project in seven-year capital improvement plan (CIP)
- Consistency with MPAH, Pavement Management Program, and Signal Synchronization Master Plan

As indicated above, M2 Fair Share revenues are subject to timely use of funds provisions (must be expended within three years of receipt). If an agency is unable to meet this provision, an extension of up to 24 months can be granted. Requests for extension on the timely use of M2 Fair Share revenues will be made as part of the semi-annual review



process. In addition to a written request, the agency will also submit an expenditure plan of how the funds will be expended.

### **State/Federal Programs**

OCTA participates in state and federal transportation funding programs based on competitive and formula distributions. OCTA typically earmarks this funding for major regional transportation projects. From time to time, OCTA may set aside funding, where permitted, for use by local agencies through a competitive selection process.

### **Call for Projects**

OCTA issues calls for projects annually or on an as needed basis. Secure revenue sources, such as M2, will provide funding opportunities on an annual basis. OCTA will update program guidelines and selection criteria periodically. OCTA may offer limited opportunity funding, such as a state-wide bond issuance or federal grants, consistent with funding source requirements. OCTA may conduct concurrent calls for projects when necessary. Detailed funding estimates, application submittal processes and due dates will be updated for each call for projects and will be included in section V of these guidelines.



### **III. Definitions**

1. The term “agency,” “agencies,” “local agency” or any form thereof shall be described in Precept 2.
2. “Competitive funds” refers to funding grants received through the Comprehensive Transportation Funding Programs (CTFP).
3. The term “complete project” is inclusive of acquiring environmental documents, preliminary engineering, right-of-way acquisition, construction, and construction engineering.
4. The term “cost overrun” in reference to projects awarded through the CTFP shall refer to any and all costs beyond the original estimate that are necessary to complete the approved project scope.
5. The term “encumbrance” or any variation thereof shall mean the execution of a contract or other action (e.g. city council award of a primary contract or issuance of a purchase order and notice to proceed) to be funded by Net Revenues.
6. The term “escalation” or “escalate” is the inflationary adjustment, as determined by the Engineering News Record (ENR) Construction Cost Index (CCI) 20-city average, added to the application funding request (current year basis) for right-of-way and construction phases (see Precept 13).
7. The term “environmental mitigation” is referred to as environmental clean-up/preservation measures made as part of that projects environmental clearance.
8. The term “excess right-of-way” is right-of-way acquired for projects and deemed excess to the proposed transportation use. Excess right-of-way designation shall be acknowledged by applicant during the grant application process.
9. The term “Fast Track” shall refer to projects that apply for both planning and implementation phase funding in a single competitive application/call for projects.
10. The term “Fully Burdened Labor Rates” include Work Force Labor Rate (WFLR) plus overhead (see Chapter 10)
11. The term “funding grant,” “grant,” “project funding,” “competitive funds,” “project programming” shall refer to the total amount of funds approved by the Board through the CTFP competitive process.
12. The term “Gap Closure” shall refer to the construction of a roadway to its full MPAH build-out for the purpose of connecting two existing ends of that roadway by filling in a missing segment or for completing the terminus of an MPAH roadway. This applies to increased roadway capacity only as it relates to vehicular traffic.



13. The term “implementing agency” is the agency responsible for managing the scope, cost and schedule of the proposed project as defined in the grant application.
14. The term “lead agency” shall refer to the agency responsible for the submission of the grant application.
15. The term “Master Funding Agreements” or any form thereof shall refer to cooperative funding agreements described in Precept 4.
16. The term “match rate”, “local match”, “local matching funds”, or any variation thereof, refers to the match funding that an agency is pledging through the competitive process and disposed of through procedures in Chapter 10.
17. A “micro-purchase” is any purchase that does not exceed \$2,500. For the purposes of proof of payment, only an invoice is required.
18. The term “obligate” or any variation thereof shall refer to the process of encumbering funds.
19. “OCFundtracker” refers to the online grant application and payment system used by OCTA to administer the competitive programs awarded through the CTFP. Refer to <https://ocfundtracker.octa.net/>
20. The term “project phase” or any form thereof shall refer to the three distinct project phases (Engineering, right-of-way, and construction) OCTA funds through the CTFP. Additionally, the “engineering phase” shall include the preparation of environmental documents, preliminary engineering, and right-of-way engineering. The “right-of-way phase” shall include right-of-way acquisition, utility relocation and adjustment to private property as contained in the ROW agreements, private improvements taken, TCEs, severance damages, relocation costs that are the legal obligation of the agency, as well as loss of good will, fixtures and equipment including legal cost. The “construction phase” shall include construction and construction engineering. A fourth phase defined as “Operations & Maintenance” applies to select programs and is described more fully in the applicable program chapter.
21. Programming for Project O (Regional Capacity Program) follows a sequential process related to Planning and Implementation elements as described more fully in Chapter 2. The Planning step includes environmental evaluation, planning and engineering activities. The Implementation step includes right of way and construction activities.
22. The term “project phase completion” refers to the date all final 3rd party contractor invoices have been paid and any pending litigation has been adjudicated for either the engineering phase or for the right-of-way phase, and all liens/claims have been



settled for the construction phase. The date of project phase completion will begin the 180-day requirement for the submission of a project final report as required by the M2 Ordinance, Attachment B, Section III.A.9.

23. The term "reasonable" in reference to project phase costs shall refer to a cost that, in its nature and amount, does not exceed that which would normally be incurred under the circumstances prevailing at the time the decision was made to incur the cost. Factors that influence the reasonableness of costs: whether the cost is of a type generally recognized as ordinary and necessary for the completion of the work effort and market prices for comparable goods or services.
24. The term "savings" or "project savings" in reference to projects awarded through the CTFP are any grant funds remaining on a particular project phase after all eligible items within the approved project scope have been reimbursed.
25. "Sustainability", as it applies to capacity enhancing infrastructure projects, refers to project elements that support environmental benefits as recognized through the Envision Process ([www.sustainableinfrastructure.org](http://www.sustainableinfrastructure.org)).
26. The term "Work Force Labor Rates (WFLR)" include direct salaries plus direct fringe benefits.



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## **IV. Precepts**

The OCTA Board of Directors (Board) approved these guidelines on March 22, 2010. The guidelines subsequently have been amended and approved by the Board as needed. The purpose is to provide procedures that assist in the administration of the CTFP under M2 where other superseding documents lack specificity. OCTA, or an agent acting on the authority's behalf, shall enforce these guidelines.

1. All eligible Orange County cities and the County of Orange may participate in the M2 competitive programs and federal funding programs included in the CTFP. Other agencies (e.g. Department of Transportation or local jurisdiction) may participate on a project, however, one local agency shall be designated as the implementing agency, shall be responsible for all funding requirements associated with the project, and shall be the recipient of funds through the program.
2. To participate in the CTFP, OCTA must declare that an agency is eligible to receive M2 Net Revenues which include local fair share distributions. Failure to meet minimum eligibility requirements after programming of funds will result in deferral or cancellation of funding.
3. The lead agency must execute a Master Funding Agreement with the OCTA. OCTA and lead agencies will periodically amend the agreement via letter to reflect funding changes through competitive calls for projects.
4. A separate cooperative funding agreement will be issued for any OCTA-led Regional Traffic Signal Synchronization Program projects.
5. An agency must have a fully executed letter agreement prior to the obligation of funds. Local agencies may be granted pre-award authority for M2 funded projects once the letter agreement is executed. Local agencies, at their own risk, may use this pre-award authority to advance an M2 funded project prior to the programmed year. Reimbursement will be available in the Board approved programmed year (see Chapter 10).
6. For transit programs not covered by the letter agreement process (e.g. Projects S, V and W), pre-award authority is granted upon the Board approval of the funding grant.
7. Local agencies shall scope projects, prepare estimates, and conduct design in cooperation with and in accordance with the standards and procedures required by the local agencies involved with the project (e.g., Caltrans, County, state/federal resource agencies).



8. Local agencies should select consultants based upon established contract management and applicable public contracting practices, with qualification based selection for architectural/engineering (A/E) services, and competitive bidding environments for construction contracts in accordance with the Public Contracts Code. Agencies must meet procurement and contracting requirements of non-M2 funding sources which may exceed those identified in the CTFP.
9. Based upon funding availability, a "Call for Projects" shall be considered annually but may be issued less frequently.
10. In each call cycle, OCTA shall program projects for a three-year period, based upon an estimate of available funds.
11. OCTA will base funding grants on project cost estimates including up to 10 percent contingency for construction. During the programming process, OCTA adds an inflationary adjustment.
12. OCTA shall escalate project grants for years two and three for right-of-way and construction phases only. OCTA will base escalation rates on the Engineering News Record (ENR) Construction Cost Index (CCI) 20-city average.
13. Match rate commitments identified by implementing agencies in the project grant application shall remain constant throughout the project. This includes projects where the programming has been escalated for future years. OCTA and implementing agencies shall not reduce match rate commitments or split the match rate by phase. Actual project contributions by the local agency or OCTA are dependent on final project costs and may not be equal to the match rate if a local agency overmatch exists. Local agency contributions may exceed the committed local match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures cannot be considered when calculating the local match rate.
14. Where a project experiences savings, the local match percentage must be maintained.
15. OCTA shall program funds by fiscal year for each phase of a project.
16. A grant for a specific project shall be cancelled if the funds are not encumbered within the fiscal year the funds are programmed, unless the OCTA Board has granted a delay.
17. Implementing agencies may request a delay not exceeding a total of 24 months per project grant. Agencies shall justify this request, receive City Council/Board of



Supervisor concurrence, and seek approval of OCTA staff the Technical Advisory Committee (TAC), and the Board as part of the semi-annual review process. Extension requests must be received no less than ninety days prior to the encumbrance deadline and are not permitted for projects that seek “fast track” grants.

18. An administrative time extension may be granted for expiring M2 funds for a project that is clearly engaged in the procurement process (advertised but not yet awarded).
19. Funds that have been encumbered shall be used in a timely fashion. For project phases, excluding right-of-way, funds will expire after 36 months from encumbrance. For the right-of-way phase, funds will expire after 36 months from the date of the first offer letter and/or, if contract services are required, 36 months from the contract NTP. Extensions up to 24 months may be granted through the Semi-Annual Review (SAR) process. Extension requests must be received no less than 90 days prior to the encumbrance deadline.
20. Preliminary Engineering allocations can be programmed in two different fiscal years depending on the project schedule and when certain engineering costs will need to occur during the project development and implementation phases. Local agencies can issue a separate NTP on a single contract to ensure compliance with the timely use of funds requirement. Local agencies may also issue separate contracts for the funds programmed in different fiscal years. Local agencies are required to obligate the funds within the same fiscal year of the programming or request a delay at least 90 days prior to the obligation deadline.
21. For all construction projects awarded CTFP funds in excess of \$500,000 and/or exceeding a 90-day construction period schedule, the local agency shall install and remove signage in accordance with OCTA specifications during the construction period. The implementing agency may request OCTA furnished signage or it may choose to provide agency furnished signage so long as said signage conforms to OCTA specifications as follows: Signage shall include an M2 logo that is a minimum of 12” tall, an OCTA logo that is a minimum of 3” tall (image files provided by OCTA upon request), verbiage stating “Street Improvements Funded by Measure M” in Myriad Pro, bold condensed font at 256 pt. and “Your dollars at Work” in Myriad Pro, bold condensed font at 180 pt. Agencies will be required to certify that these signage requirements have been met as part of the initial payment process (see chapter 10).
22. OCTA shall reprogram funds derived from savings or project cancellation based upon final project status. An implementing agency may request to transfer 100 percent of savings of M2 funds between the phases within a project with approval from the



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

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

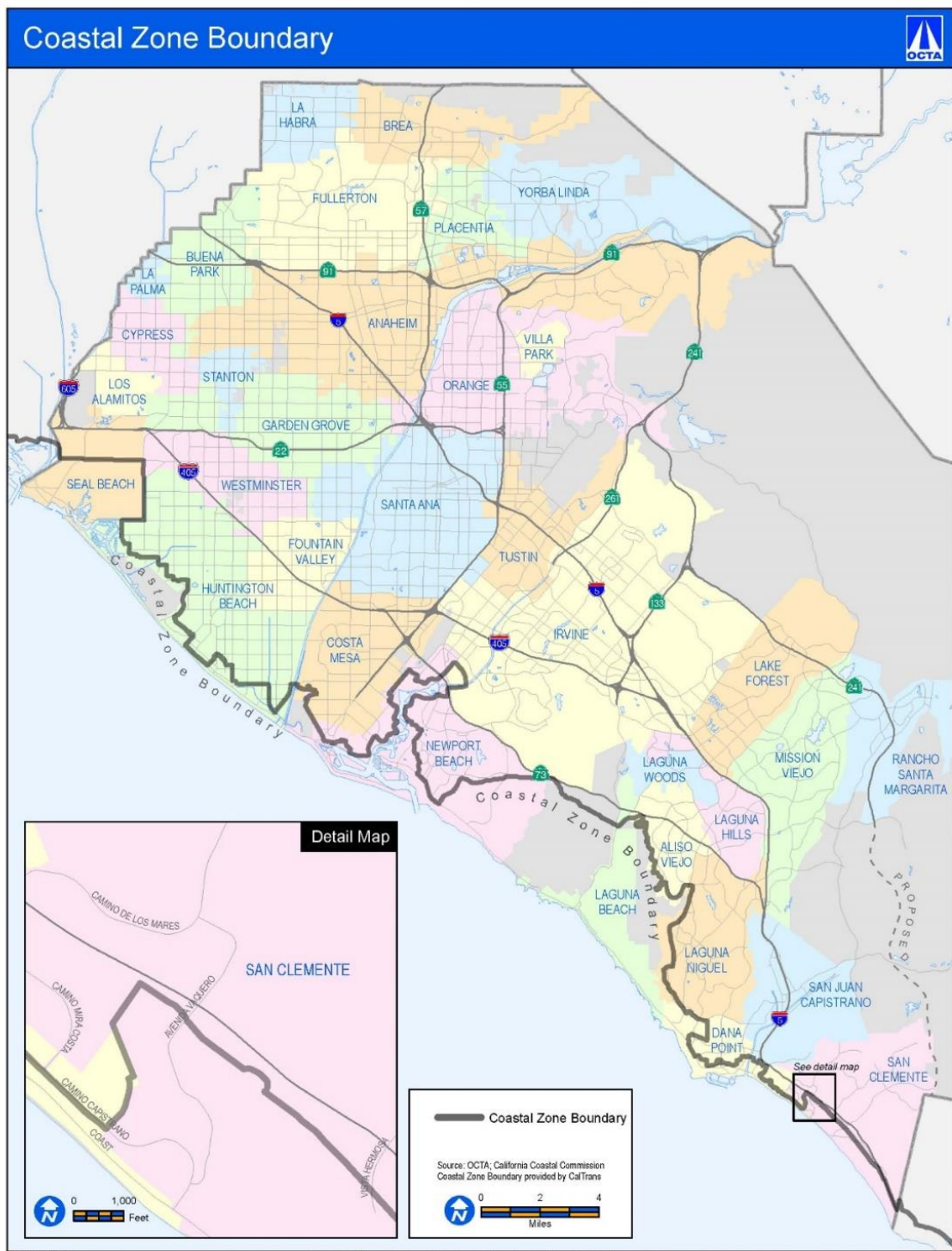


29. Contract change orders are only eligible for reimbursement of work due to unforeseen changed conditions within the original scope of work and not exceeding 10 percent contingency provided in the application cost estimate.
30. OCTA shall evaluate “whole” projects during the initial review process. Subsequent phase application reviews shall not include prior phases in the evaluation unless locally funded and pledged as a match and are subject to OCTA verification. The criteria for ranking project applications is included in these guidelines as part of each program component chapter.
31. Projects that receive competitive CTFP funds shall not use other M2 competitive funds as a local match source. Lead agencies may request project consolidation. The TAC and Board must approve consolidation requests. OCTA shall use the weighted average match rate of the consolidated project’s individual segments.
32. OCTA shall conduct a semi-annual review of all active CTFP projects. All agencies shall participate in these sessions through a process established by OCTA. Currently, OCTA administers the semi-annual review through OCFundtracker. OCTA shall: 1) verify project schedule, 2) confirm project’s continued viability, 3) discuss project changes to ensure successful and timely implementation, and 4) request sufficient information from agencies to administer the CTFP. 5) any potential issues with external fund sources committed as match against the competitive funds.
33. For any project experiencing cost increases exceeding 10 percent of the originally contracted amount, a revised cost estimate must be submitted to OCTA as part of the semi-annual review process. This is applicable even if the increase is within the overall grant amount.
34. Agencies shall submit payment requests to OCTA in a timely fashion. Agencies may request an initial payment for M2 (generally up to 75 percent of programmed amount or eligible expenditures, see Chapter 10) once the funds have been encumbered. The final 25 percent of the available programmed balance will be released upon the submission of an approved final report.
35. The amount withheld pending the submittal of an approved final report shall be capped at \$500,000 per project phase, but shall in no case be less than 10 percent of the grant or the contract amount, whichever is less. Should the 75 percent/25 percent payment distribution ratio result in a final payment retention that exceeds \$500,000, the payment percentages will be adjusted to meet the \$500,000 cap until the 10 percent threshold is reached. At no time will the final payment retention be less than 10 percent.



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

# Exhibit IV-1





## V. 2018 Call for Projects – Regional Capacity Program

The 2018 Call for Projects (call) for Project O – the Regional Capacity Program (RCP) – under M2 will provide approximately **\$32 million** for streets and roads improvements across Orange County.

Funding will be provided for the three RCP funding programs: ACE, ICE, and FAST (see Chapter 7). Chapter 7 details the specific program's intent, eligible project expenditures, ineligible project expenditures, and additional information that may be needed when applying for funds. Each section should be read thoroughly before applying for funding. Application should be prepared for the program that best fits the proposed project.

For this call, OCTA shall program projects for a three-year period (FY 18/19 – 20/21), based upon the current estimate of available funds. For specifics on the funding policies that apply to this call, refer to the Program Precepts as found in Section IV of these guidelines.

### Applications

In order for OCTA to consider a project for funding, applications will be prepared by the lead agency. OCTA shall require agencies to submit both online and hardcopy applications for the 2018 call for projects by **5:00 p.m. on Friday, October 20, 2017. Late submittals will not be accepted.**

The agency must submit the application and any supporting documentation via OCFundTracker (see Chapter 9). Additionally, **three (3) unbound hardcopies** of the application and any supporting documentation must be submitted to OCTA by the application deadline. Hardcopy applications should be mailed to:

OCTA

Attention: Ms. Sam Kaur

600 S. Main Street

P.O. Box 14184 Orange, CA 92863-1584

Hardcopy applications can be hand delivered to:

600 S. Main Street

Orange, CA 92868



## Application Review Process

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

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

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

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

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

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

## M2 Project O Funding

M2 Project O funding will be used for this call.

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



## Chapter 1 - Eligibility

### Overview

To apply for the CTFP, local agencies must fulfill an annual eligibility process. OCTA established this process to ensure that improvements are consistent with regional plans. The cities and county approved a process reflecting the eligibility criteria found in Measure M. Eligibility packages are due to OCTA by June 30 of each year.

In order to receive CTFP and M2 Fair Share funds, OCTA must deem agencies as eligible. OCTA shall annually distribute an eligibility information package to local agencies. Below is a brief list of requirements:

- Adoption of a Capital Improvement Program
- Adoption of a General Plan Circulation Element which does not preclude implementation of the MPAH
- Adoption of a Pavement Management Plan
- Adoption of a Local Traffic Signal Synchronization Plan
- Satisfied Maintenance of Effort requirements
- Approved agreement to expend funds within three years of receipt (based upon date OCTA issues check to local agency)
- Adopt an annual Expenditure Report
- Submit Project Final Report for all Net Revenue projects

The M2 Eligibility Guidelines outline the eligibility requirements in detail. OCTA updates the Eligibility Preparation Manual annually and encourages agencies to use it as a reference when preparing items to meet eligibility requirements (see <http://www.octa.net/pdf/m2Eligibility.pdf>). Agencies will submit a CIP through an electronic database application (see <http://websmartcip.octa.net/>). OCTA develops a manual and workshops to prepare local agency staff for the annual eligibility process.

### MPAH Consistency Review and Amendment Process

Through a transfer agreement with the County of Orange, OCTA assumed responsibility for administering the MPAH starting in mid-1995. As the administrator, OCTA is responsible for maintaining the integrity of the MPAH through coordination with cities and the County and shall determine an agency's consistency with the MPAH. In order to provide a mechanism to communicate MPAH policies and procedures, OCTA prepared the *Guidance for the Administration of the Orange County Master Plan of Arterial Highways* (see [http://www.octa.net/pdf/mpah\\_guidlines.pdf](http://www.octa.net/pdf/mpah_guidlines.pdf)). The guidance document is to assist OCTA, the County, and the cities of Orange County to maintain the MPAH as a vital component of transportation planning in the County. The guidance document outlines, in



detail, the MPAH consistency review and amendment process. Agencies can find contact information for OCTA staff assigned to MPAH administration in the manual.

### **Additional Information Regarding MPAH**

The agency's General Plan Circulation Element must be consistent with the MPAH. In order for an agency's circulation element to be consistent with the MPAH, it shall have a planned-carrying capacity equivalent to the MPAH for all MPAH links within the agency's jurisdiction. "Planned capacity" shall be measured by the number of through lanes on each arterial highway as shown on the local circulation element. Agencies are not considered "inconsistent" as a result of existing capacity limitations on arterials which are not yet constructed to the circulation element design.

The agency must also submit a resolution attesting that no unilateral reduction in lanes has been made on any MPAH arterials. For a sample resolution, see the Measure M2 Eligibility Guidelines.



## **Chapter 2 - Project Programming**

### **Program Consolidation**

The M2 RCP improvement categories (ACE, ICE, and FAST) will combine projects into one application review process. The programs of the CTFP will act as the project funding source. The consolidation of programs will help eliminate confusion among the various requirements and allow the greatest flexibility for programming projects. Other funding programs (Projects S, T, V, W, and X) have similar eligibility requirements, but OCTA will evaluate and approve these projects through a separate process.

### **Sequential Programming Process – RCP**

Timely and efficient use of funding is a critical success factor for the CTFP. Historically, agencies were encouraged to develop long term projects spanning three or more years which often led to delays in implementing final project phases. This dynamic led to larger-than-anticipated funding program cash balances and an inability to fund smaller time sensitive projects in the interim.

In response to concerns raised by the Board and the Taxpayers Oversight Committee responsible for M2 oversight, OCTA will use annual calls that serve a near term programming window (3 years), as well as a sequential funding approach for M2 projects. OCTA expects this new approach to aid in a more timely use of funding and limit the potential for unanticipated project completion delays inherent with long lead time projects.

Sequential funding is a two-step process. Step One, also known as the planning phase, includes funding requests for planning/environmental, engineering and right-of-way engineering activities. Step Two, also known as the implementation phase, includes right-of-way engineering/acquisition and construction activities. Right-of-way engineering can be requested in either the planning or implementation phases. Projects must complete the planning phase before an agency requests implementation phase funding during a call for projects. Exceptions to this rule include the following:

- An agency may request implementation funding prior to completion of the planning phase if the jurisdiction can demonstrate that the planning phase activities are underway, are substantially complete and the agency will complete the activities within six months of the start of the new phase programmed year.

OR

- An agency may request a Fast Track approach, seeking funds for planning and implementation phase at the same time. . The agency must demonstrate that the policy variance is necessary due to the project schedule and waiting until the next annual call for projects to apply for implementation phase funding presents undue



hardship or could jeopardize the overall project delivery and milestones. The agency will waive the opportunity to request a project delay under this approach. The Fast Track approach is permitted only for projects that do not have right of way acquisition needs. The Fast Track approach is permitted only for projects that do not have right of way acquisition needs. In no circumstances will the Fast Track option be considered for local agency convenience as this could delay implementation of other projects that are shelf ready.

Each call for projects will cover a three-year period which overlaps subsequent future cycles. Funding targets for each cycle are based upon prior funding commitments, anticipated revenues, reprogramming of unused grants (cancellations and savings), and a set aside for future funding cycles.

As part of each call for projects, OCTA will determine an appropriate balance between grants made for the planning and implementation phases.

### **Tiered Funding**

Project funding for Project O (Regional Capacity Program or RCP) will follow a tiered funding process that differentiates between large and small projects. The tiered process is described in detail in Chapter 7.

### **Funding Projections – Call for Projects**

Revenue estimates for M2 are updated annually. Programming decisions are based upon conservative economic assumptions provided by Southern California academic institutions. In the future, OCTA will add project cancellations and realized savings from completed projects to anticipated revenues for redistribution in the first year of each funding cycle.

### **Project Cost Escalation**

OCTA will escalate approved right-of-way and construction projects in years two and three. The match rate percentage identified by implementing agencies in the project grant application shall remain constant throughout the project. This includes projects where the programming has been escalated for future years. OCTA will base escalation rates for future years on Engineering News Record (ENR) Construction Cost Index 20 City Average (CCI) escalation rates.

### **Programming Adjustments**

OCTA bases funding grants on cost estimates that agencies provide and that OCTA validates against industry norms during the evaluation process. Agencies must provide estimates in current year dollars.



Projects programmed in Year Two or Year Three of each funding cycle include a CCI-based adjustment factor for the right-of-way and construction phases only. Lead agencies shall not receive grant increases. Cost overruns are the responsibility of local agencies and may count against agencies' match rate commitment for eligible activities. Local agencies may request scope adjustments to meet budget shortfalls when the agency can demonstrate substantial consistency and attainment of proposed transportation benefits compared to the original project scope.

When agencies are preparing applications, **all cost estimates must be in current year dollars with Month and Year cited.** OCTA will review each cost estimate thoroughly and will escalate right-of-way and construction costs based on the year OCTA programs the project grant. For example, if an agency's cost estimate lists construction costs for a project and OCTA programs the project for year 3 of the funding cycle, then OCTA will escalate the costs by the CCI-based adjustment factor, compounded annually, beginning in year 1 of the funding cycle.

### **Project Readiness**

In an effort to better utilize project funding and maintain project schedules, programming of funding for CTFP under the sequential approach has been revised. In general, to program grants for Step Two (right-of-way or construction phases), a project must either have:

1. Project-level approval for environmental clearance (CEQA) for M2 programs, (NEPA and CEQA for federally funded programs), or;
2. Exempt (categorically or statutorily) under CEQA and/or NEPA (as applicable).

OCTA may consider exceptions to these programming rules, on a case by case basis, if an agency can confirm that a project will receive environmental clearance prior to project approval of programming for right-of-way and construction. OCTA will not approve any projects for funding for right-of-way and construction without final adopted project level environmental clearance documentation.

### **Programming Policies**

OCTA will not increase grants after the initial programming for each phase except through project savings transfers, where applicable. Project savings are defined as the grant value remaining after one project phase (such as engineering) has been completed. Transfers should be identified during the semi-annual review phase. Formal request of savings transfers must be accompanied by updated information and justification for the intended phase. Scope reductions are not considered project savings. Overall projects savings at the conclusion of a project are returned to the original program for reprogramming in a



subsequent call for projects. This section is intended to clarify rather than replace the transfer policy identified in Precept 22.

In order to receive right-of-way and construction grants, a project must have all environmental clearances in place. OCTA shall not release final payment for the planning stage (includes final design) until confirmation of environmental clearance is provided.

Agencies are responsible for costs that exceed the project grant, maintaining the project schedule, and maintaining the project scope.

An agency's grant will be cancelled if the agency does not encumber the funds within the programmed fiscal year. An agency may request a delay in accordance with the time extension policy described in the precepts.

An agency must have a fully executed Letter Agreement prior to the obligation of funds.

As stated above, an agency's grant is based on the project's cost as requested and programmed with established escalation rates. If project costs escalate beyond original estimates and the agency is unable to cover additional costs, a request to reduce the project scope or limits will be considered where feasible. All requests for changes in scope and limits must be submitted to OCTA in advance of the change. This request will be evaluated on a case-by-case basis and must be approved by the TAC and the Board prior to initiation of the change by the lead agency. The lead agency must submit a letter to OCTA no later than June 30th of the year in which funds are programmed stating the reasons for cost increases, a proposal for project scope or limit reduction, and an explanation of why approval of the request is warranted. The review process is similar to the appeals process mentioned above.

### **Schedule change requests**

Grants approved as part of the CTFP process are subject to timely delivery requirements. Implementation schedules are determined by the lead agency (applicant). Contract work must be awarded prior to the end of the programmed fiscal year to encumber the funds. If work cannot be initiated within this time frame, a request to defer funding may be submitted to OCTA for consideration. Project status is reviewed every six months during the semi-annual review process. Expired project funding is subject to withdrawal from project and reprogramming in a subsequent call for projects.

Funding delays must be submitted to OCTA in conjunction with the semi-annual review process. These reviews are typically held in Fall and Spring. Emergency extensions after the Spring semi-annual review may be considered on a case by case basis, but no less than 90 days prior to the encumbrance deadline. The M2 Ordinance permits a delay for up to 24 months. Implementing agencies may request a one-time delay of up to 24 months per project grant. Agencies shall justify this request, receive City Council/Board of Supervisor concurrence, and seek approval of OCTA staff, the TAC and Board as part



of the semi-annual review process. Projects that are expected to incur extensive delays beyond the parameters of the program should consider cancellation and reapplication at a future date. Advancement requests may be considered during the review process and may be approved subject to funding availability.

### **Timely use of funds**

For project phases, excluding right-of-way, funds will expire after 36 months from encumbrance. For the right-of-way phase, funds will expire after 36 months from the date of the first offer letter. Extensions up to 24 months may be granted through the SAR. Extension requests must be received no less than 90 days prior to the encumbrance deadline. Additional extensions may be considered on a case by case basis for the Regional Capacity Program and the Regional Traffic Signal Synchronization Program.

### **Project Advancements**

Agencies wishing to advance a project by one fiscal year or more may request project advancement. Advancement requests will be considered only if program funds are available. The grant will be de-escalated according to the original escalation rate.

Requests must be submitted as part of the semi-annual review. All advancements will be reviewed by the TAC and approved by the Board. If approved, the agency and project will be required to meet the new fiscal year award or encumbrance deadline.

Should OCTA be unable to accommodate an advancement request due to cash flow constraints, the agency may still move forward with the project using local funding. (See Precept 6) The lead agency must have a fully executed letter agreement prior to beginning work. The lead agency may subsequently seek reimbursement of CTFP funds in the fiscal year in which funds are programmed. Reimbursement shall follow the standard CTFP process (see Chapter 10). Prior approval is not necessary if the project is being advanced through local funds.

### **Semi-Annual Review**

OCTA staff will conduct a comprehensive review of CTFP projects on a semi-annual basis to determine the status of projects. Project updates will be provided by the local agencies and uploaded to OCFundtracker. Follow-up meetings to these updates will be held as needed. Semi-annual project reviews are usually scheduled to occur in March and September of each year.

Projects are reviewed to:

1. Update project cost estimates. For any project experiencing cost increases exceeding 10 percent of the originally contracted amount, a revised cost estimate



must be submitted to OCTA. This is applicable even if the increase is within the overall grant amount.

2. Review the project delivery schedule
3. Determine the project's continued viability
4. Verify project operations and maintenance expenditures (e.g. Environmental Cleanup Program)
5. Discuss any potential issues with external fund sources committed as match against the competitive funds

Prior to each review meeting, OCTA staff will distribute a list of active projects to each local agency. Each agency will be contacted and asked to participate in the upcoming review where each agency's project schedules, cost estimates, and scope will be reviewed. Agencies will be given the opportunity to request program changes (e.g. delaying and advancing funds from one fiscal year to another) and each adjustment will be considered on a case-by-case basis. The agency should be prepared to explain any changes and provide all necessary supporting documentation. Generally, the local agency is responsible for the implementation of the projects as approved by OCTA, however consideration will be given for circumstances beyond the lead agency's control that affect scope, cost, or schedule.

Based on the semi-annual review meetings, OCTA staff will develop and present recommendations for project adjustments to the TAC. Requests for project changes (delays, advancements, scope modifications, etc.) will be considered on an individual basis. The following action plan has been developed for the semi-annual review process:

- Require local agencies to submit status reports, project worksheets, and supporting documentation to OCTA for all project adjustments.
- Require local agencies to abide by **Time Extension Policy**:
  - Agencies may request a delay of up to 24 months per grant. Local agencies will be required to justify this request and seek approval of OCTA staff, the TAC, and the Board as part of the semi-annual review process.
  - Approved schedule changes will require an update of the local jurisdiction's seven-year CIP and the OCTA cooperative funding agreement.
  - Evidence of Council approval (resolution, minute order, or notification) must be provided prior to Board approval of delays.
  - An administrative extension may be granted for expiring M2 funds for a project phase that is clearly engaged in the procurement process (advertised but not yet awarded).
  - Agencies that have requested Fast Track funding cannot request time extensions.



## **Environmental Cleanup Program Operations and Maintenance Reporting**

For Tier 1 of the Environmental Cleanup Program, cash match is required. ~~o~~Ongoing operations and maintenance of the project ~~can~~cannot be pledged as a match ~~(page 12-6)~~. ~~As part of the semi-annual review reporting process, OCTA will verify local agency operations and maintenance expenditures to ensure minimum match rate commitments are being met. Local agencies must complete Form 10-17 (available for download from OCFundtracker) for each ECP grant as part of their semi-annual review updates.~~



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## **Chapter 3 - Safe Transit Stops (Project W)**

### **Purpose**

This is a fixed-scope program, which provides funding for passenger amenities at the 100 busiest bus stops in Orange County determined by average daily weekday passenger boardings (October 2012 data).

#### City-Initiated Bus Stop Improvements

Eighty percent of the available Project W funding (\$4,470,000) will be made available to support city-initiated projects. The Orange County Transportation Authority (OCTA) is functioning as the funding agency for the local bus stop amenity improvements implemented by cities under this program. Local agencies have the authority and responsibility for designing, constructing, and maintaining bus stop improvements. Local agencies will retain local control and responsibility for these improvements including, but not limited to, shelters, lighting, seating, and waste receptacles.

#### OCTA-Initiated Bus Stop Improvements

Twenty percent of available Project W funding (\$1,120,000) is proposed to be directed towards the development and implementation of regional, customer-facing technologies that benefit the 100 busiest stops. Examples include design of the real-time "text4next" system, ticketing vending machines, and other regional elements that benefit the region, as well as the 100 busiest stops. OCTA would implement these passenger amenities working in cooperation with local agencies.

### **Eligible Applicants**

Eligible applicants for the "city-initiated bus stop improvements" funding include the 15 local agencies in Orange County, which have at least one of the top 100 busiest bus stops as defined above. Bus stops on private property would need to be submitted by the city on behalf of the property owner.

### **Application**

Required to Include:

- Proposed maintenance plan;
- Photos of the proposed project site in the weekday AM peak and PM peak period;
- Project design or concept drawings;
- Shelter size and covered passenger waiting area footage; and
- Needs assessment.



## Evaluation Criteria

If sufficient funds are not available during a funding cycle to fund all the projects that are submitted, projects will be prioritized for funding based on a combination of boarding ranking and the needs of each stop.

## Available Funding

Five and a half million on a pay-as-you-go basis is available for Project W between fiscal year (FY) 2012-13 through FY 2019/20. Funding for the city-initiated bus stop improvements will be offered biennially. The amount available through FY 2020, as well as the amount available for each round of funding, is shown below.

Project W Estimated Funding by FY (in thousands)									
FY	12/13	13/14	14/15	15/16	16/17	17/18	18/19	19/20	Total
Total Revenue	\$580	\$610	\$650	\$690	\$720	\$750	\$780	\$810	\$5,590
City-Initiated 80%	\$460	\$490	\$520	\$550	\$580	\$600	\$620	\$650	\$4,470
OCTA-Initiated 20%	\$120	\$120	\$130	\$140	\$140	\$150	\$160	\$160	\$1,120

The first round of funding for Project W funds will target \$950,000 for city-initiated improvements, and \$240,000 for OCTA-initiated improvements. These figures are comprised of the amounts available from FYs 2012-13 and 2013-14.

Project W Funding Available Biennially for City Project Applications and Stops Improved (in thousands)					Total
FYs	12/13 and 13/14	14/15 and 15/16	16/17 and 17/18	18/19 and 19/20	
City Available Funds Biennially	\$950	\$1,070	\$1,180	\$1,270	\$4,470
Bus Stops Improved	30+	35+	35+	TBD	



## **Eligible Costs**

Project W will pay for up to \$20,000 for "normal load stops" and up to \$30,000 for "high load stops.\* A high load stop is where the 90th percentile of boarding events have ten or more passengers waiting. The following expenses are eligible for reimbursement under the program:

### Eligible

- Passenger Waiting Amenities
  - Bus shelters or shade structures (required);
  - Seating/leaning fixtures (required);
  - Waste receptacles (required);
  - Ad displays; and
  - Bus stop lighting.
- Other Amenities
  - Transit/pedestrian information display;
  - Security cameras (monitored by local police department);
  - Bicycle lockers or racks;
  - Mature street trees;
  - Minor improvements to sidewalks necessary to accommodate shelters; and,
  - Installation of electric service on bus shelters for future OCTA uses.

### Not Eligible

- Right-of-way acquisition;
- Planning and design;
- Maintenance; and
- Electricity.

### Other OCTA-Funded Items

- Installation of Bus stop signage;
- Real-time information display improvements will be provided in future; and
- Ticket vending machines can be installed as funding becomes available in future.

\*The average cost of a single width shelter and bench is approximately \$15,000 and the average cost of a double width shelter and bench is \$25,000.



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## **Chapter 4 - Transit Extensions to Metrolink (Project S)**

### **Overview**

This Measure M2 (M2) Program establishes a competitive process to enable local agencies to enhance regional transit capabilities through creation of new connections to the existing Metrolink system. Projects must meet specific criteria in order to compete for funding through this program. In addition, local agencies will be required to demonstrate the ability to fund the local share of operations and maintenance on an ongoing basis using non-Orange County Transportation Authority (OCTA) resources. Public-private partnerships<sup>1</sup> are encouraged but not required.

<sup>1</sup> Public-private partnerships are defined as direct financial contributions or sponsorships for eligible program activities.



## **Section 4.1 – Fixed Guideways**

### **Objectives**

- Expand multi-modal transit options for regional travel by establishing new transit connections to existing Metrolink stations
- Provide new service on a defined route with primary ridership derived from Metrolink patronage

### **Project Participation Categories**

Metrolink provides a vital transit option for travel throughout southern California. Orange County is home to 12 Metrolink stations currently serving residents and commuters for employment, education, and pleasure-based trips. These stations serve diverse destination and trip origination needs. Efficient and convenient access enables the system to thrive and the overall transportation network (all motorized and non-motorized modes) to operate effectively.

Transit needs may differ from one location to the next and projects pursued under this program have significant latitude in how the challenge of delivering enhanced transit service to/from existing Metrolink stations are addressed. The program categories listed below identify key project elements that can be pursued through the Project S funding source. Fixed guideway projects are capital intensive. Additional funding sources may be required to supplement M2 for maximum investment opportunities. Selection criteria will parallel Federal Transportation Administration (FTA) programs such as New Starts or Small Starts wherever possible to aid in streamlining the competitive process. The program categories eligible for funding through the fixed guideway component of Project S are:

- Fixed guideway systems including rolling stock acquisition
- Station/stop improvements (includes signage, furniture, and shelters)
- Maintenance facilities and fueling stations

### **Match Funding Requirements**

Local funding must meet a minimum 10 percent match rate requirement for the whole project comprised of any combination private contributions, advertising revenues, and local discretionary funds. Match funding commitments in excess of 10 percent for one project phase (capital or operations/maintenance) may result in a reduced minimum match rate requirement for another phase subject to Board of Directors (Board) approval. Minimum match rate commitments will be incorporated into a cooperative funding agreement and will apply on an annual basis to the entire service life of the project (typically 5, 7, or 25 years).



## **Eligibility Requirements**

Minimum eligibility and participation requirements must be considered before a project funding application should be submitted. Adherence to strict funding guidelines is required by the M2 Ordinance. Additional standards have been established to provide assurance that M2 funds are spent in the most prudent, effective manner. There is no guarantee that funding will be approved during a particular call for projects. If no acceptable project is identified during a funding cycle, a subsequent call for projects will be scheduled at an appropriate time.

- Applicant must be eligible to receive M2 funding (established on an annual basis) to participate in this program
- Initial call for projects is limited to fixed guideway projects based upon Go Local Step 3 activities (preliminary engineering)
- Agency must have a financial plan outlining a funding strategy for ongoing operations and maintenance (minimum of five years)
- Project applications must be for complete projects (environmental clearance through implementation, where applicable) for evaluation purposes
- Project application must meet minimum competitive score to be deemed eligible and “of merit” (as determined by the OCTA Board)
- Any proposal to duplicate or replace existing local or OCTA service must be clearly detailed
- Complete applications must be approved by the city council and partner agencies prior to submittal to OCTA to demonstrate adequate community and elected official support for initial consideration
- Procurements associated with the project must follow FTA procurement policies
- Agencies submitting for funding must agree to follow the FTA Small Starts/New Starts process

## **Selection Criteria**

Specific selection criteria will be used to evaluate competitive program project applications. (See Table 4.1) Emphasis is placed on projects with firm financial commitments and overall project readiness as shown on the Project S selection criteria. In addition, projects will be evaluated based upon existing and future transit usage, ease of connection, cost effectiveness, and local/regional benefits. Although a minimum 10 percent match rate for capital investments is required, projects that leverage M2 funds with a higher percentage from other sources are encouraged and will be more competitive.



## **Application Process**

Project grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to fully evaluate the project proposal as outline below.

- Complete information application
- Provide funding/operations plan
- Grants subject to a cooperative funding agreement

The funding plan shall include, at a minimum, the following information:

- Financials (funding needs, match rate availability, operations funding assurances, and public-private partnership arrangements)
- Project development and implementation schedule
- Operations and maintenance facility management
- Service coordination plan (scheduling/ticketing for Metrolink and fixed route service)
- Any additional information deemed relevant by the applicant

The last call for projects under this program was held in 2010. No call for projects is envisioned in the immediate future. The Board will determine an appropriate time to authorize additional funding.

## **Application Guidelines**

Project selection is based upon merit utilizing a series of qualitative and quantitative criteria. Candidate projects are required to submit a financial plan with sufficient data to enable an adequate evaluation of the application. Each jurisdiction is provided broad latitude in formatting, content and approach. However, key elements described below must be clearly and concisely presented to enable timely and accurate assessment of the project.

### Financial Details

Each candidate project application must include all phases through construction of facilities. The financial plan will include, at a minimum, the following information:

- Estimated project cost for each phase of development (planning, environmental, permitting, design, right-of-way acquisition, construction, and project oversight)
- Funding request for each phase of project implementation with match commitment and sources clearly identified
- Realistic project schedule for each project phase
- Demonstrated financial commitments for minimum match commitment and ongoing operations (first five years of operation)



- Discussion of contingency planning for revenue shortfalls
- Revenue projections and methodology where on-site commercial activity is expected to support implementation and/or operations costs
- Right-of-way status and strategy for acquisition
- Project's status in current local plans

### Technical Attributes

The formal application must include feasibility and efficacy components to demonstrate transportation benefit to ensure the selected project(s) meet the spirit and intent of M2. Merit will be demonstrated through technical attributes and industry standard methodologies. The following data will be included and fully discussed in the application.

- Planned employment densities per square mile (opening year)
- Planned population densities per square mile (opening year)
- Projected daily transit boardings with projection methodology fully presented
- Percent of projected ridership from commuter rail riders
- Description of all transit modes serviced by the Metrolink station at time of application and projected future mode increase
- Ease of connections to other travel modes (average walking distance)
- Incremental cost per hour of system user benefits (per FTA guidelines)



### Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the information described above, local agencies will be required to submit the following materials:

*Council Resolution:* A Council Resolution authorizing request for funding consideration with a commitment of project local match rate and operating funds as shown in the funding plan.

*Lease/Cost Sharing Agreements:* Copies of leases, sponsorship, and/or advertising revenue documents. Confidential agreements may be included by reference when accompanied by affidavit from City Treasurer or Finance Director.

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

*Operations Plan:* In addition to the financial details indicated in 8.1, the operations plan submitted shall include the following technical data (consistent with FTA guidelines) a route map, draft time table, headways, stop location listing, summary of alternatives (including any special operations – interlining, feeder bus connections, etc.), summary of vehicle types and characteristics, speed profile, fleet size, and any other applicable supporting documentation.

*Approved Land Use Supporting Documentation:* Any documentation which describes the transit supportive land use changes already in place to support the proposed guideway projects.

### **Reimbursements**

This program is administered on a reimbursement basis. Reimbursements will be disbursed upon review and approval of a complete expense report, performance report, and consistent with a cooperative funding agreement.



## **Project Cancellation**

Projects deemed infeasible during the planning process will be cancelled and further expenditures will be prohibited except where necessitated to bring the current phase to a logical conclusion.

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

## **Audits**

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



## **Section 4.2 – Bus and Station Vans**

### **Objectives**

- Expand multi-modal transit options for regional travel by establishing new transit connections to existing Metrolink stations
- Provide new service (shuttle bus and station van) on a defined route with ridership derived from Amtrak/Metrolink patronage

### **Project Participation Categories**

Metrolink provides a vital transit option for travel throughout Southern California. Orange County is home to 11 Metrolink stations currently serving residents and commuters for employment, education, and recreational-based trips. These stations serve diverse destination and trip origination needs. Efficient and convenient access enables the system to thrive and the overall transportation network (all motorized and non-motorized modes) to operate effectively.

Transit needs may differ from one location to the next, and projects pursued under this program have significant latitude on how the challenge of delivering enhanced transit service to/from existing Metrolink stations are addressed. The program categories listed below identify key project elements that can be pursued through the Project S funding source. Selection criteria will parallel Federal Transportation Administration (FTA) programs wherever possible to aid in streamlining the competitive process. The program categories eligible for funding through Project S are:

- Bus leases/purchases for the purposes of providing expanded service to/from a Metrolink station
- Bus stop improvements (including signage, furniture, fare box equipment, and shelters) on the new route
- Maintenance facilities and fueling stations required for the new bus service
- Station vans leases for the purposes of providing expanded service to/from a Metrolink station
- Consistent with FTA guidelines, Americans with Disabilities Act (ADA) complementary paratransit service costs are considered capital costs for the purposes of this program



## **Operating Reserve Incentive**

OCTA has established an operating reserve as part of this program that may be used to offset the costs of operations and maintenance. The operating reserve is subject to the following requirements:

1. OCTA will reserve a total of \$1 million per year in Project S revenue for operations and maintenance distributed on a pro-rata basis
2. The project must have been awarded Project S non-guideway funds through the Project S competitive process and meet a minimum standard of ten boardings per revenue vehicle hour on an ongoing basis for shuttle buses and a 60 percent minimum occupancy for station vans
3. Awarded agencies must submit audited operations and maintenance costs and ridership and fare performance data to OCTA by September 30 of each year for the prior fiscal year
4. OCTA will reimburse awarded agencies on a pro-rata basis but not to exceed \$6 per boarding, not to exceed 90 percent of net operating and maintenance costs (after deducting fares), and no more than \$150,000 per agency or project, whichever is less
5. Participation in the operating reserve is limited to the useful life of the capital purchased with Project S funds

All submitted materials are subject to audit prior to OCTA pro-rata reimbursements. Funds not used in a given year will become available for future calls for projects.

## **Capital Match Rate Funding Requirements**

The Implementing agency must meet a minimum ten percent match requirement for the entire capital project comprised of any combination of private contributions, advertising revenues, and local discretionary funds. Match rate funding commitments in excess of ten percent for one project phase may result in a reduced minimum match rate requirement for another phase subject to Board of Directors (Board) approval. Match funding commitments will be incorporated into the cooperative funding agreement.

## **Eligibility Requirements**

Minimum eligibility and participation requirements must be considered before a project funding application should be submitted. Adherence to strict funding guidelines is required by the M2 Ordinance. Additional standards have been established to provide assurance that M2 funds are spent in the most prudent, effective manner. There is no guarantee that funding will be approved during a particular call for projects. If no



acceptable project is identified during a funding cycle, a subsequent call for projects will be scheduled at an appropriate time.

### **Additional Project S Precepts**

- Applicant must be eligible to receive M2 funding (established on an annual basis) to participate in this program
- The proposed project must be included in the 2011 Transit System Study or have participated in prior Go Local planning efforts
- Agency must have a financial plan outlining a funding strategy for ongoing operations and maintenance (minimum of five years)
- If the service operator is OCTA, and the local agency would retain routing and service-level decisions, or local agencies may propose an alternate service provider
- Letter of commitment for an 80 percent start-up occupancy rate for each station van and documentation supporting the commitment (e.g. letters of interest, proof of van pool request and or survey data). Station van passengers must be Amtrak/Metrolink passengers
- Local agency will be required to enter into a cooperative funding agreement with OCTA
- Project applications must be for complete projects (environmental clearance through implementation, where applicable) for evaluation purposes
- All projects must include meeting ADA requirements, and these costs must be included in the project application
- Project application must meet minimum competitive score to be deemed eligible and “of merit” (as determined by the OCTA Board)
- Any proposal to duplicate or replace existing local or OCTA service must be clearly detailed
- Complete applications must be approved by the city council and partner agencies prior to submittal to OCTA to demonstrate adequate community and elected official support for initial consideration
- Procurements associated with the project must follow FTA procurement policies
- Agencies submitting for funding must agree to follow applicable FTA requirements
- Agencies will be required to submit annual National Transit Database reporting information to OCTA



## **Selection Criteria**

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on projects with firm financial commitments and overall project readiness as shown on the Project S scoring criteria. In addition, projects will be evaluated based upon existing and future usage, ease of connection, cost effectiveness, and local/regional benefits. Although a minimum of ten percent match funding for capital investments is required, projects that leverage M2 funds with a higher match rate are encouraged and will be more competitive.

## **Application Process**

Project grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to fully evaluate the project proposal as outlined below.

- Complete application
- Provide five-year funding/operations plan
- Grants subject to cooperative funding agreement

The funding plan shall include, at a minimum, the following information:

- Financials (funding needs, minimum match commitments, funding availability, operations funding assurances, and public-private partnership arrangements)
- Project development and implementation schedule
- Operations and maintenance facility management
- Service coordination plan (scheduling/ticketing for Metrolink and fixed-route service)
- Any additional information deemed relevant by the applicant

A call for projects for the initial funding cycle was held in 2012. No call for projects is envisioned in the immediate future. The Board will determine an appropriate time to authorize additional funding.

The final approved application (including funding plan) will serve as the basis for any funding agreement required under the program.

## **Application Guidelines**

Project selection is based upon merit utilizing a series of qualitative and quantitative criteria. Candidate projects are required to submit a financial plan with sufficient data to enable an adequate evaluation of the application. Each jurisdiction is provided broad latitude in formatting, content, and approach. However, key elements described below must be clearly and concisely presented to enable timely and accurate assessment of the project.



## Financial Details

Each candidate project application must include all phases through construction of facilities. The financial plan will include, at a minimum, the following information:

- Estimated project cost for each phase of development (planning, environmental, permitting, design, right-of-way acquisition, construction, and project oversight)
- Funding request for each phase of project implementation with match funding amounts and funding sources clearly identified
- Demonstrated financial commitments for minimum match commitments and ongoing operations
- Discussion of contingency planning for revenue shortfalls
- Revenue projections and methodology where commercial activity is expected to support implementation and/or operations costs
- Project readiness status
- Subscriber commitment for proposed station van services
- Right-of-way status and strategy for acquisition
- Project's status in current local plans
- Realistic project schedule for each project phase

## Scoring Criteria

The formal application must include feasibility and efficacy components to demonstrate transportation benefit to ensure the selected project(s) meet the spirit and intent of M2. Merit will be demonstrated through technical attributes and industry standard methodologies. The applications will be evaluated against the criteria identified in the Measure M2 voter pamphlet and fully discussed in the application:

- Match funding and level of commitment from private partners
- Operating subsidy per boarding for opening year
- Annualized cost per incremental passenger trip for opening year
- Project readiness including projected opening year and phase readiness
- Projected daily boardings with projection methodology fully presented
- Percent of projected ridership from commuter rail riders
- Projected average daily occupancy for station vans
- Ease of connections (average travel time to employment and recreation centers served)
- Planned employment densities per square mile for opening year
- Planned population densities per square mile for opening year

## Other Application Materials



Supporting documentation will be required to fully consider each project application. In addition to the information described above, local agencies will be required to submit the following materials:

*Council Resolution:* A Council Resolution authorizing request for funding consideration with a commitment of project local match funding (local sources) and operating funds as shown in the funding plan.

*Lease/Cost Sharing Agreements:* Copies of leases, sponsorship, and/or advertising revenue documents. Confidential agreements may be included for reference when accompanied by affidavit from City Treasurer or Finance Director.

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

*Operations Plan:* In addition to the financial details indicated in Section 9.1, the operations plan submitted shall include the following technical data: a route map, draft time table, headways, stop location listing, summary of vehicle types and characteristics, speed profile, fleet size, and any other applicable supporting documentation.

*Approved Land Use Supporting Documentation:* Any documentation which describes the transit supportive land use changes already in place to support the proposed guideway projects.

## **Reimbursements**

The capital program is administered on a reimbursement basis. Capital reimbursements will be disbursed upon review and approval of a complete expense report, performance report, and consistent with the cooperative funding agreement. Local agency revenues provided to OCTA for ongoing operating assistance will be in accordance with terms identified in the cooperative funding agreement.

## **Project Cancellation**

Projects deemed infeasible during the planning process will be cancelled and further expenditures will be prohibited except where necessitated to ~~bring the current phase to a logical conclusion~~conclude the current phase.

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



## **Audits**

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



**Table 4-1**  
**Point Breakdown for Transit Extensions to Metrolink (Project S)**  
*(For Fixed Guideway Preliminary Engineering Call for Projects Only)*

Financial Commitment/Partnership (20 points)		Transit Usage/Congestion Relief (16 points)	
<b>Match funding</b> <i>(Complete Project; Capital)</i>		<b>Percent of Ridership from Commuter Rail Riders</b> <i>(Opening Year)</i>	
>=30%	6	>=50%	8
29% to 20%	4	49% to 40%	6
19% to 11%	2	39% to 30%	4
10% <i>(Program Minimum)</i>	0	29% to 20%	2
		<20%	0
<b>Five-Year Operations Funding Plan Submitted and OCTA Concurrence with Assumptions*</b>		<b>Projected Average Daily Ridership</b> <i>(Opening Year)</i>	
Yes	10	>=10,000	8
No	0	9,999 to 8,500	6
<b>Level of Commitment from Private Partners</b>		7,999 to 6,500	4
Binding Agreement	4	6,499 to 5,000	2
Commitment Letter	2	<5,000	0
Project Readiness (8 points)		Ease of Connections (14 points)	
<b>Opening Year</b>		<b>Number of Transit Modes Provided at Metrolink Station</b> <i>(Opening Year)</i>	
By 2015	4	>9	8
By 2016	3	9 to 8	6
By 2017	2	7 to 6	4
By 2018	1	<6	2
<b>Land Acquired for Total Project</b>		<b>Average Walking Distance to Proposed Connections</b> <i>(From Metrolink Station; Feet; Opening Year)</i>	
Yes	4	<250	6
No	0	251 to 500	4
<b>Regional/Local Benefits (16 points)</b>		501 to 750	2
<b>Regional: Planned Employment</b> <i>(Jobs/Square Mile; Opening Year)**</i>		>500	1
>15,500	8	<b>Cost Effectiveness (16 points)</b>	
15,500 to 13,001	6	<b>Incremental Cost per Hour of System User Benefit****</b>	
13,000 to 8,500	4	\$15 to \$17.99	16
<8,500	2	\$18 to \$20.99	12
<b>Regional: Daily Vehicle Miles Traveled Reduction</b> <i>(Opening Year)***</i>		\$21 to \$23.99	8
>2,000	4	>\$24	4
2,000 to 1,501	3	<b>Approved Land Use (5 points)</b>	
1,500 to 1,000	2	<b>Included in City Council-Approved Plan</b>	
<1,000	1	Yes	5
<b>Local: Planned Population</b> <i>(Persons/Square Mile; Opening Year)**</i>		No	0
>11,000	4	<b>Safety (5 points)</b>	
10,999 to 7,000	3	<b>At-Grade Rail Crossings</b>	
6,999 to 3,500	2	No	5
<3,500	1	Yes	0

\* May assume first three-years Congestion Mitigation Air Quality funded and no Project S funds for operations

\*\* Average within 1/4 mile of each station

\*\*\* Total within 2 miles of proposed route (one mile buffer)

\*\*\*\*Incremental cost per hour of system user benefit from FTA "Summit" Program (in opening and horizon years)



**Table 4-2**  
**Point Breakdown for Transit Extension to Metrolink (Project S)**  
*(For Bus and Station Van Program Only)*

M2 Eligible	Yes	No
In Go Local Planning and/or 2011 Transit Study	Yes	No
Five-year Operations and Maintenance Plan	Yes	No
Total Project Cost (information only)	\$	(capital)

Financial Commitment/Partnership (18 points)	
Match funding (capital)	
≥50%	10 points
40% - 49%	8 points
30% - 39%	6 points
20% - 29%	4 points
11% - 19%	2 points
Level of commitment from private partners	
Binding agreement	8 points
Commitment letter	4 points

Cost Effectiveness (20 points)	
Operating subsidy per boarding opening year	
≤\$4.50	10 points
\$4.51 - \$8.50	8 points
\$8.51 - \$14.99	6 points
\$14.50 - \$18.00	4 points
Annualized cost per incremental passenger opening year	
≤\$7.00	10 points
\$7.01 - \$11.20	8 points
\$11.21 - \$14.20	6 points
\$14.21 - \$17.99	4 points
≥\$18.00	2 points

Project Readiness (20 points)	
Estimated opening year	
By 2012	10 points
By 2013	8 points
By 2014	4 points
By 2015	2 point
Phase readiness	
Planning and environmental complete	10 points
ROW acquired or not applicable	5 points
Maintenance facilities available	1 points

Local/Regional Benefit (12 points)	
Planned employment densities per square mile (within 1/4 mile of route) opening year	
>15,000	6 points
10,001 - 15,000	4 points
5,001 - 10,000	2 points
1,001 - 5,000	1 points

Transit Usage - Shuttle Bus (20 points)	
Projected average daily boardings (first year)	
≥300	10 points
201 - 299	8 points
101 - 200	6 points
31 - 100	4 points
≤30	2 points
Percent of projected ridership from commuter rail	
≥70%	10 points
50% - 69%	6 points
30% - 49%	3 points

Transit Usage - Station Van (20 Points)	
Projected average daily occupancy (first year)	
≥100%	10 points
90% - 99%	8 points
80% - 89%	6 points
Percent of projected ridership from commuter rail	
100%	10 points
<100%	0 points

Community Connections (10 points)	
Average travel time to station from employment/activity center	
1 - 10 minutes	5 points
11 - 15 minutes	4 points
16 - 20 minutes	3 points
21 - 30 minutes	2 points
Connectivity/activity centers served by project	
Senior center(s)	1 point
Schools	1 point
Retail centers (over 000k feet)	1 point
Special event venues	1 point
Major employment centers	1 point
Connections to existing service	1 point

5 points maximum	Planned population densities per square mile (within 1/4 mile of route) for opening year	
	>10,000	6 points
	7,001 - 10,000	4 points
	4,001 - 7,000	2 points
	501 - 4,000	1 points



## **Chapter 5 - Metrolink Gateways (Project T)**

### **Overview**

This M2 program establishes a competitive process for local agencies to convert Metrolink stations into regional gateways for enhanced operations related to high-speed rail service. Projects must meet specific criteria in order to compete for funding through this program. In addition, local agencies will be required to demonstrate the ability to fully fund operations on an ongoing basis using non-OCTA resources. Public-private partnerships<sup>2</sup> are encouraged but not required.

### **Objectives**

- Convert Metrolink stations(s) to regional gateways that connect Orange County with planned future high-speed rail systems.
- Deliver improvements that are necessary to connect planned future high-speed rail systems to stations(s) on the Orange County Metrolink route.

### **Project Participation Categories**

Multi-modal transit facilities provide expanded transportation options for regional and long distance travel. These “hubs” provide a vital link in the mobility chain. Availability of viable stations is a critical consideration for high speed rail service implementation. Each host community has unique needs and expectations related to high-speed rail systems. Conditions will differ from one location to the next and projects pursued under this program have significant latitude in how they address the challenge of delivering supporting facilities for high speed rail services. Converting a station may include modifying and/or relocating the station. The program categories listed below identify key project elements that can be pursued through the Project T funding source. Public-private partnerships and local funding sources may be used to leverage these elements.

- Station and passenger facilities necessary to support planned high-speed rail system<sup>3</sup>
- Parking structures related to expanded high-speed rail service
- Track improvements (e.g., track, switching, signal equipment)
- Traffic control enhancements for ingress/egress from public roadways

<sup>2</sup> Public-private partnerships are defined as direct financial contributions or right-of-way dedications for eligible program activities.

<sup>3</sup> Program should not build retail or other leasable space. Mixed Use and TOD elements will be the responsibility of others.



- Aesthetics limited to 10 percent of the Project T funds (specifically limited to: landscaping, non-standard lighting, and on-site signage)
- On-site public art expenses limited to one percent of Measure M funds in order to improve the appearance and safety of the facility
- Off-site improvements cannot exceed 5 percent of Measure M funding request<sup>4</sup>
- Bond financing costs
- Construction Management (not to exceed 15 percent of construction cost)

Commercial facilities that are not transit related are not eligible for Measure M funds.

### **Eligibility Requirements**

Minimum eligibility and participation requirements must be considered before a project funding application should be submitted. Adherence to strict funding guidelines is required by the Ordinance. Additional standards have been established to provide assurance that M2 funds are spent in the most prudent, effective manner. There is no guarantee that funding will be approved during a particular call for projects. If no acceptable project is identified during a funding cycle, a subsequent call for projects will be scheduled at an appropriate time.

- Station must be included as part of a planned future high-speed rail system.
- Station must be identified in constrained or unconstrained chapters of the 2008 Regional Transportation Plan for the initial M2 funding cycle
- Agency must demonstrate sufficient funding for first five years of operation with financial plan outlining funding strategy for ongoing operations and maintenance (cannot include OCTA funding sources)
- Project applications must be for complete projects (environmental clearance through construction)
- Project application must meet minimum competitive score to be deemed eligible and “of merit” (as determined by OCTA Board of Directors)
- Capital improvements must adhere to public bidding requirements
- Complete applications must be approved by the applicant City Council prior to submittal to OCTA to demonstrate adequate community and elected official support for initial consideration
- Applicant must be eligible to receive Measure M funding (established on an annual basis) to participate in this program

<sup>4</sup> “Off-site” improvements adjacent to the project site such as monumentation, traffic control, etc.



## **Funding Estimates**

The program will make an estimated \$186 million (nominal dollars) available during the initial 21-year period of the program (Fiscal Year 2011 through 2031). For the initial call for projects, bonds were issued in fiscal year (FY) 2011 and FY 2012, making the maximum net programming amount of \$82.3 million available after deducting for bond costs. Funding for the remaining nine-year period of M2 will not be programmed until a future call for projects is warranted. This approach provides a hedge against economic uncertainty and preserves funding for future system expansion.

## **Selection Criteria**

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on projects with firm funding commitments and overall project readiness as shown on Table 5-1. In addition, projects will be evaluated based upon existing and future transit usage, intermodal connectivity, and community land use attributes. Although a local match commitment is not required, projects that leverage M2 funds with at least 10 percent from other sources are encouraged and will be more competitive.

## **Application Process**

Project grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to fully evaluate the project proposal as outline below.

Complete information application

- Provide funding/operations plan
- Grants subject to a cooperative funding agreement

A call for projects for the initial funding cycle was issued in January 2009. The need for a future call will be determined by the OCTA Board of Directors. Complete project applications must be submitted by the established due date to be considered eligible for consideration.

The funding plan shall include, at a minimum, the following information:

- Financials (Funding needs, match rate funding availability, operations funding assurances, public-private partnership arrangements, bond financing projections)
- Project development and implementation schedule
- High speed rail ridership projections
- Any additional information deemed relevant by the applicant

Applications will be reviewed by the Authority for consistency, accuracy and concurrence. Once applications have been completed in accordance with the program requirements,



the projects will be scored, ranked and submitted to the T2020 Committee and Board of Directors for consideration and funding approval.

The final approved application (including Financial Plan) will serve as the basis for any funding agreement required under the program.

### **Reimbursements**

This program is administered on a reimbursement basis for capital improvements, planning design, right-of-way acquisition, and related bond financing costs. Reimbursements will be disbursed upon review and approval of a complete expense report, performance report, and consistent with the executed cooperative agreement.

### **Status Reports**

Projects selected for funding will be subject to submittal of an annual financial plan update in order to receive project reimbursement payments during the following fiscal year. The updated financial plan will be due as a supplement to the annual Measure M eligibility process (typically due on June 30<sup>th</sup>).

### **Project Cancellation**

Projects deemed infeasible during the planning process will be cancelled and further expenditures will be prohibited (except where necessitated to bring the current phase to a logical conclusion). Right-of-way acquired for projects which are cancelled prior to construction will require repayment to the contributing funding program(s) within a reasonable time as determined by the Board.

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

### **Audits**

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

Proceeds from the sale of excess right-of-way acquired with program funding must be paid back to the project fund as described in the executed funding agreement.



## **Application Guidelines**

Funding grants provided through M2 are determined through a competitive application process. Project selection is based upon merit utilizing a series of qualitative and quantitative criteria. Candidate projects are required to submit a financial plan with sufficient data to enable an adequate evaluation of the application. Each jurisdiction is provided broad latitude in formatting, content and approach. However, key elements described below must be clearly and concisely presented to enable timely and accurate assessment of the project.

## **Financial Details**

Each candidate project must include all phases through construction of facilities and implementation of service. The financial plan will include, at a minimum, the following information:

- Estimated project cost for each phase of development (planning, environmental, permitting, design, right-of-way acquisition, construction, and project oversight)
- Funding request for each phase of project implementation with match funding amounts and sources clearly identified
- Realistic project schedule for each project phase
- Demonstrated financial commitments for match funding and ongoing operations (through first five years of operation)
- Discussion of contingency planning for revenue shortfalls
- Revenue projections and methodology where on-site commercial activity or advertising revenue is expected to support implementation and/or operations costs
- Right-of-way status and strategy for acquisition
- Revenue sharing proposals (where applicable)

## **Technical Attributes**

The formal application must include feasibility and efficacy components to demonstrate transportation benefit to ensure the selected project(s) meet the spirit and intent of M2. Merit will be demonstrated through technical attributes and industry standard methodologies. The following site-specific data will be included and fully discussed in the application:

- Current employment estimates within five mile radius of project site (cite reference)
- Freeway lane miles within five mile radius of site (provided by OCTA upon request)
- Planned job density within 1,500' radius of project boundary based upon current General Plan



- Planned housing density within 1,500' radius of project boundary based upon current General Plan
- Daily transit boardings within five mile radius of project boundary (include rail and fixed route bus/shuttle)
- Daily transit boardings growth within five mile radius of project boundary with projection methodology fully presented for opening day operations
- Description of all transit modes serviced by the site at time of application
- Discussion of new transit modes (including high speed rail) served by the site as a result of proposed project (opening day)
- Service coordination plan (how will proposed project facilitate transfer between transit services?)

### **Other Application Materials**

Supporting documentation will be required to fully consider each project application. In addition to the funding plan described above, local agencies will be required to submit the following materials:

Council Resolution: A Council Resolution authorizing request for funding consideration with a commitment of project match funding (local sources) and operating funds as shown in the funding plan.

Lease/Cost Sharing Agreements: Copies of leases, cost sharing (match funding), and/or land dedication documents. Confidential agreements may be included by reference when accompanied by affidavit from City Treasurer or Finance Director.

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



**TABLE 5-1**

**Point Breakdown for Metrolink Gateways (Project T)  
Maximum Points = 100**

Financial Commitment (30 points)		Transit Usage (20 points)	
<b>Total Project Cost (information only)</b>		<b>Existing transit boardings (within 5 miles)</b>	
\$ (capital)	(No Points)	>75,000 a day	4 points
		50,000 to 75,000 a day	3 points
		25,000 to 49,000 a day	2 points
		<25,000 a day	1 point
<b>Percent of M2 for capital</b>		<b>Transit boardings growth (within 5 miles)</b>	
50% or less	16 points	>20,000 daily increase	8 points
51% to 65%	12 points	15,000 to 20,000 daily increase	6 points
66% to 80%	8 points	10,000 to 14,900 daily increase	4 points
81% to 90%	4 points	<10,000 daily increase	2 points
<b>Level of commitment from private partners</b>		<b>Consistent ridership projections</b>	
Investment agreement (binding)	8 points	100% to 110% of OCTAM*	
Commitment letters	2 points	111% to 120% of OCTAM	
		121% to 140% of OCTAM	
		<i>*Projections below OCTAM get 8 points</i>	
<b>OCTA concurrence with financial assumptions/analysis</b>			
Yes	6 points		
No	0 points		
Readiness (20 points)		Intermodal Connections (18 points)	
<b>High-speed rail system status</b>		<b>Number of current transit modes provided</b>	
In constrained 2008 RTP	10 points	>6	5 points
Added in unconstrained RTP	2 points	4 to 6	3 points
		<4	1 point
<b>Land acquired for total project</b>		<b>Future increase in the number of transit modes</b>	
Yes	5 points	>5 added	10 points
No	0 points	3 to 5 added	6 points
		<3 added	2 points
<b>Project design status</b>		<b>OCTA concurrence with intermodal analysis</b>	
Design complete	5 points	Yes	3 points
Environmental complete	3 points	No	0 points
PSR equivalent complete	1 point		
Regional Markets / Land Use (12 points)			
<b>Adjacent freeway lane miles (within five miles)</b>			
>500 lane miles	3 points		
400 to 500 lane miles	2 points		
<400 lane miles	1 point		
<b>Current employment (within 5 miles)</b>			
>350,000	3 points		
200,000 to 350,000	2 points		
<200,000	1 point		
<b>Planned job density within 1,500 feet</b>			
>2.0 avg. floor area ratio	3 points		
1.5 to 2.0 avg. floor area ratio	2 points		
<1.5 avg. floor area ratio	1 point		
<b>Planned housing density within 1,500 feet</b>			
>35 dwelling units/acre			
20 to 35 dwelling units/acre			
<20 dwelling units/acre			

\* OCTAM - Orange County Transportation Analysis Model



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## **Chapter 6 - Community Based Transit/Circulators (Project V)**

### **Overview**

The Measure M2 (M2) Project V- Community-Based Transit/Circulators Program establishes a competitive process to enable local jurisdictions to develop community based local transit services that complement regional transit services, and meet needs in areas not adequately serviced by regional transit. Projects must meet specific criteria in order to compete for funding through this program. In addition, local jurisdictions will be required to demonstrate the ability to provide funding match for capital and ongoing local share of operations and maintenance using non-Orange County Transportation Authority (OCTA) resources<sup>1</sup>. Public-private partnerships<sup>2</sup> are encouraged but not required. Local jurisdictions may partner with each other.

Regional Transit: Regional Transit services are provided by OCTA, specifically through routes 1 through 99 (and excluding those route sections that perform less than 10 boardings per revenue vehicle hour). Additional information on OCTA routes and schedules can be accessed from OCTA website at [www.octa.net](http://www.octa.net).

### **Objectives**

- To provide community transit service that is safe, clean and convenient.
- To encourage new, well-coordinated, flexible transportation systems customized to each community's needs.
- To develop local bus transit services such as community-based circulators, shuttles, and bus trolleys that complement regional bus and rail service.
- To meet transportation needs in areas not served by regional transit.

### **Project Participation Categories**

Transit needs may differ from one location to the next, and projects pursued under this program have significant latitude on how the challenge of delivering community based transit will be delivered. The program categories listed below identify key project elements that can be pursued through the Project V funding source. The program categories eligible for funding through Project V are:

Planning for new service (Up to \$50,000 per agency)

<sup>1</sup> Fairshare revenues are considered non-OCTA resources.

<sup>2</sup> Public-private partnerships are defined as direct financial contributions or sponsorships for eligible program activities



- Need for Community-Based Transit/Circulator Services
- Origin and Destination Studies
- Surveys and Marketing Research
- Development of Proposed Service Plans
- Transit Coordination Studies

### Capital

- Bus and vehicle leases/purchases for the purposes of providing community based circulators, shuttles, and trolleys
- Equipment for the deployment, implementation and use of Project V-funded services, including but not limited to:
  - Bike racks
  - Software
  - Communications equipment
  - Fare collection equipment
  - Passenger amenities
  - Americans with Disabilities Act (ADA) equipment for vehicles
- Maintenance facilities and fueling stations required for the new transit service
- Bus stop improvements (including signage, furniture, and shelters) for Project V funded service stops only.

### Operations and Maintenance

- Fixed route, deviated fixed route, demand responsive, seasonal community transit and shuttle services including administration, operations and maintenance of services
- Services to be operated by OCTA. Local agencies may propose an alternate service provider which will be considered at the discretion of OCTA
- Parking leases needed in response to expanded transit services
- Special event shuttle services for events that will create significant congestion
- Other flexible and innovative transit services contingent on the service plan and anticipated service performance
- Marketing efforts including expenditures related to service schedules, marketing materials such as flyers and brochures, and community outreach efforts. Project V contributions for marketing will be capped at \$25,000 for the startup cost and up to \$10,000 annually thereafter for the remaining grant period.

Agencies may be awarded a total from all project categories of no more than \$550,000 annually for a period of up to seven years per project.



## **Ineligible Categories**

Project V funds may not be used for the following:

- right of way acquisition
- to supplant existing transit services (subject to the Regional Transit definition in Section 1)
- fare subsidies

## **Project Category Requirements**

All projects funded through Project V must comply with the Comprehensive Transportation Funding Programs Guidelines, unless specifically noted in the agreement with the local agency and must comply with applicable state and federal laws, including American with Disabilities Act (ADA) requirements for transit services.

### Planning for New Service

Cities must provide a scope of work for the proposed planning document requesting Project V funds. The scope must include project need and goals and objectives for the proposed or considered service. OCTA transit planning staff must be included in the development of any planning documents funded through the Project V planning category. Planning documents must include specific recommendations for community-based transit/circulator services that can be implemented within the operating subsidy provided through Project V and must consider coordination with existing services. Plans may also consider ways to eliminate duplication of service or to improve service by combining resources. Progress on planning projects must be reported to OCTA through the semi-annual review process. Agencies will be required to submit all data and planning documents to OCTA in order to receive final payment.

### Capital

Project V funding is available to offset the costs of purchasing or leasing vehicles, equipment and other amenities as described in Section 3.2. Progress on capital projects must be reported to OCTA through the semi-annual review process. Agencies must inspect vehicle purchases to ensure they meet specifications prior to final acceptance and withhold retention until warranty issues and/or final acceptance is met. If vehicles are sold before the end of their useful life or if service is discontinued, agencies shall repay OCTA the same percentage of the sale price or estimated value based on straight line depreciation of asset consistent with the Project V percentage of the initial purchase.



## Operations and Maintenance

OCTA has established an operating reserve as part of this program that may be used to support the costs of operations and maintenance. The operating reserve is subject to the following requirements:

- For seasonal community shuttles, fixed route service, event shuttle and similar services, the project must meet a minimum performance standard. The Project V funded service must achieve the performance standard of 6 passenger boardings per revenue vehicle hour (RVH) within the first 12 months of operations and must achieve the 10 passenger boardings per RVH within the first 24 months of operations and every year thereafter. For other proposed transit services such as vanpool, demand responsive, deviated fixed route service or another innovative service delivery model, a different ridership service standard may be required consistent with the type of service being proposed. Local agencies may propose an alternative ridership measure or standard, other than those listed above, which would be considered on a case by case basis.
- As part of the Project V service, local agencies must develop strategies to measure ridership satisfaction and on-time performance and must achieve an 85% on-time performance on an ongoing basis and rider satisfaction must be 90% satisfied based on customer surveys.
- Awarded agencies must submit operations and maintenance costs and ridership and fare performance data to OCTA on a quarterly basis. The OCTA Transit Committee will be provided with summarized information from these reports on a quarterly basis.
- OCTA will reimburse awarded agencies on a pro-rata basis but not to exceed \$9 per boarding, not to exceed 90 percent of net operating and maintenance costs whichever is less. The \$9 per boarding may increase annually by an OCTA-approved inflationary factor.
- Consistent with Federal Transit Administration guidelines, Americans with Disabilities Act (ADA) complementary paratransit service is required for certain types of transit operations. For Project V funded services, paratransit services will be covered with Project V funds through the OCTA Board policy. Agencies receiving Project V funds will be required to adopt a paratransit plan prior before starting operations.

## **Agency Match Requirements**

Local funds are required to provide a minimum 10% non-OCTA match for all Project V components (see section 5.3 for instances where a higher match may be required for



operations and maintenance). The match may be comprised of any combination of private contributions, advertising revenues, local discretionary funds and farebox revenue. Farebox revenue cannot be used for capital match. The match may not be made up of in-kind services. Capital match funding commitments in excess of ten percent are eligible for additional points. The OCTA contribution for Operations and Maintenance will not exceed \$9 per boarding, therefore actual match provided by the local agency may be greater than 10% depending on the ridership. Agency match commitments will be incorporated into the funding agreement.

### **Eligibility Requirements**

Minimum eligibility and participation requirements must be considered before a project funding application should be submitted. Adherence to strict funding guidelines is required by the M2 Ordinance. Additional standards have been established to provide assurance that M2 funds are spent in the most prudent, effective manner. There is no guarantee that funding will be approved during a particular call for projects. If no acceptable project is identified during a funding cycle, a subsequent call for projects will be scheduled at an appropriate time.

- Applicant must be eligible to receive M2 funding (established on an annual basis) to participate in this program
- Support recommendations from Transit System Study, OCTA Short Range Transit Plan, Go Local planning efforts and goals of the Sustainable Communities Strategy
- Supplement rather than supplant existing transit services and emphasize service to areas not served by transit
- Demonstrate local share of operations and maintenance funding for specific time horizon
- Demonstration of cost reasonableness for new bus stop improvements
- Agency must have a financial plan outlining a funding strategy for ongoing operations and maintenance (minimum of five years)
- The service operator is OCTA. Local agencies may propose an alternate service provider which will be considered at the discretion of OCTA
- Local agency will be required to enter into a cooperative funding agreement with OCTA
- All projects must include meeting ADA requirements, and these costs must be included in the project application
- Complete applications must be approved by the city council and partner jurisdictions prior to submittal to OCTA to demonstrate adequate community and elected official support for initial consideration



- Local agencies will be required to submit appropriate National Transit Database data to OCTA or local agency's operator must submit directly to the National Transit Database.

## **Application Process**

Project V allocations are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to fully evaluate the project proposal. An application for any proposed service must include a detailed funding/operations plan. Note that as described in Section 3.1, Project V funds are eligible for the development of a detailed funding/operations plan prior to submittal of an application for operation of the proposed service.

The project application for capital and operations and maintenance shall include, at a minimum, the following information:

- Project need, goals and objectives
- Project development and implementation schedule
- Funding plan (funding needs, match funding availability, operations funding assurances, and public-private partnership arrangements)
- Ongoing service and operations plan
- Operations and maintenance facility management
- Any additional information deemed relevant by the applicant
- Ridership Projection
- Coordination with existing services such as OCTA transit services, existing Project V services, Metrolink, I-Shuttle, Anaheim Transportation Network and/or Senior Mobility Program

The project application for planning for new projects shall include a scope of work for the proposed planning document requesting Project V funds. The scope must include project need and goals and objectives for the proposed or considered service.

Complete project applications must be submitted by the established due date to be eligible for consideration.

Applications will be reviewed by OCTA for consistency, accuracy, and concurrence. For applications completed in accordance with the program requirements, the projects will be scored, ranked and submitted to the Executive Committee, and the Board for consideration and funding approval. The process is expected to be concluded by June 30, 2016.

The final approved application (including funding plan) will serve as the basis for any funding agreement required under the program. The approved projects will be subject to



the Comprehensive Transportation Funding Programs (CTFP) Guidelines for project delivery requirements.

## **Application Guidelines**

Project selection is based upon merit utilizing a series of qualitative and quantitative criteria. Candidate projects are required to submit a financial plan with sufficient data to enable an adequate evaluation of the application. Each jurisdiction is provided broad latitude in formatting, content, and approach. However, key elements described below must be clearly and concisely presented to enable timely and accurate assessment of the project.

### **Financial Details**

Each candidate project application must include all phases through construction of facilities. The financial plan will include, at a minimum, the following information:

- Estimated project cost for each phase of development (planning, environmental, permitting, design, right-of-way acquisition, equipment and vehicle acquisition, construction, and project oversight)
- Preliminary cost estimates for operations and maintenance should be coordinated with OCTA.
- Funding request for each phase of project implementation with match funding amounts and funding sources clearly identified
- Demonstrated financial commitments for match funding and ongoing operations
- Discussion of contingency planning for revenue shortfalls
- Revenue projections and methodology where commercial activity is expected to support implementation and/or operations costs
- Project readiness status
- Realistic project schedule for each project phase

### **Scoring Criteria**

Specific selection criteria will be used to evaluate the competitive program project applications. Emphasis is placed on projects with firm financial commitments and overall project readiness as shown in the Project V scoring criteria. In addition, projects will be evaluated based upon ridership projections, areas served, cost effectiveness and local/regional benefits.

The formal application must include feasibility and efficacy components to demonstrate transportation benefit to ensure the selected project(s) meet the spirit and intent of M2. Merit will be demonstrated through technical attributes and industry standard methodologies. The following data will be included and fully discussed in the application:



- Matching funds
- Level of commitment from non-applicant partners
- Operating cost per boarding for opening year
- Annualized cost per incremental passenger trip for opening year
- Project readiness including projected opening year and phase readiness
- Projected daily boardings with projection methodology fully presented
- Community connections; connections to fixed route bus and rail
- Planned employment densities per square mile for opening year
- Planned population densities per square mile for opening year
- Projected annual visitors served by seasonal route
- Other Local and Regional Benefits
- Agency experience

#### Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the information described above, local agencies will be required to submit the following materials:

*Council Resolution:* A council resolution authorizing request for funding consideration with a commitment of project match funding (local sources) and operating funds as shown in the funding plan.

*Lease/Cost Sharing Agreements:* Copies of leases, sponsorship, and/or advertising revenue documents. Confidential agreements may be included for reference when accompanied by affidavit from city treasurer or finance director.

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

*Operations Plan:* In addition to the financial details indicated in 8.1, the operations plan submitted shall include the following technical data: a route map, draft time table, headways, stop location listing, summary of vehicle types and characteristics, speed profile, fleet size, and any other applicable supporting documentation.

#### **Reimbursements**

The planning, capital and marketing and outreach programs are administered on a reimbursement basis. Planning, capital and marketing and outreach reimbursements will



be disbursed upon review and approval of a complete expense report, performance report, and consistent with the cooperative funding agreement. Local agency revenues provided to OCTA for ongoing operating assistance will be in accordance with terms identified in the cooperative funding agreement. If the agency uses an operator other than OCTA, then operations will be administered on a reimbursement basis.

### **Project Cancellation**

Projects deemed infeasible during the planning process will be cancelled and further expenditures will be prohibited except where necessitated to bring the current phase to a logical conclusion.

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

### **Audits**

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



**Table 6-1**  
**Point Breakdown for Community Based Transit/Circulators (Project V)**

A. M2 Eligible	Yes	No
B. In Go Local Planning and/or 2011 Transit Study, Supports Goals of Sustainable Communities Strategy	Yes	No
C. Minimum five year operations and maintenance plan	Yes	No
D. Total Project Cost (information only)	<div>\$ (Capital)</div>	
Financial Commitment/Partnership (18 points)		
Match Funding (Capital)		
≥50%	10 points	
40% - 49%	8 points	
30% - 39%	6 points	
20% - 29%	4 points	
11% - 19%	2 points	
Level of Commitment from non applicant for O & M and Capital		
Binding Agreement	8 points	
Commitment Letter	4 points	
Cost-Effectiveness (20 points)		
Operating Cost per Boarding Opening Year		
<\$6.00	10 points	
\$6.01 - \$8.99	8 points	
\$9.00 - \$11.99	6 points	
\$12.00 - \$15.00	4 points	
Annualized operating and capital cost per boarding opening year		
<\$7.00	10 points	
\$7.01 - \$10.00	8 points	
\$10.01 - \$13.00	6 points	
\$13.01 - \$16.00	4 points	
\$16.01 - \$20.00	2 points	
Project Readiness (20 points)		
Estimated Opening Year		
By 2014	10 points	
By 2015	8 points	
By 2016	4 points	
By 2017	2 points	
Phase Readiness		
Planning and Environmental complete	10 points	
ROW acquired or not applicable	5 points	
Maintenance facilities available	1 points	
Community Connections (13 points maximum)		
Connectivity/Activity Centers Served by Project		
Senior center(s)	1 point	
Schools	1 point	
Retail centers	1 point	
Special event venues	1 point	
Major employment centers (over 250 persons)	1 point	
Connections to existing service	1 point	
Fixed-Route Bus/Rail Connections (8 points)		
Number of fixed-route bus/rail connections (w/in 1/4 mile of route)		
≥8 connections	8 points	
6 - 7 connections	6 points	
3 - 4 connections	4 points	
1 - 2 connections	2 points	
Transit Usage (10 points)		
Projected Average Daily Boardings (first year)		
>300	10 points	
201 - 299	8 points	
101 - 200	6 points	
50 - 100	4 points	
Local/Regional Benefit (9 points)		
Planned Employment Densities per Square Mile (within 1/4 mile of route) Opening Year		
>10,001	4 points	
5,001 - 10,000	2 points	
1,001 - 5,000	1 point	
Planned Population Densities per Square Mile (within 1/4 mile of route) for Opening Year		
>7,001	4 points	
4,001 - 7,000	2 points	
501 - 4,000	1 point	
Projected Annual Visitors Served by Seasonal Route (4 points)		
>500,000	4 points	
250,000 - 499,000	3 points	
249,000-100,000	2 points	
99,000-50,000	1 point	
Agency Experience (2 points maximum)		
Previously Operated Community Based Service		
Shuttles or trolleys	1 Point	
Vans or community circulator	1 Point	
Any other service complementing regional bus and rail service	1 Point	
O & M - Operations and maintenance		
ROW - Right-of-Way		



## **Chapter 7 - Regional Capacity Program (Project O)**

### **Introduction**

The RCP is a competitive program that will provide more than \$1 billion over a thirty-year period. The RCP replaces the Measure M local and regional streets and roads competitive programs (1991-2011).

Although each improvement category described in this chapter has specific eligible activities, the use of RCP funding is restricted to and must be consistent with the provisions outlined in Article XIX. The California State Controllers Guidelines Relating to Gas Tax Expenditures, which implements Article XIX, will provide additional clarification.

The MPAH serves as the backbone of Orange County's arterial street network. Improvements to the network are required to meet existing needs and address future demand. The RCP is made up of three (3) individual program categories which provide improvements to the network:

- The ACE improvement category complements freeway improvement initiatives underway and supplements development mitigation opportunities on arterials throughout the MPAH.
- The ICE improvement category provides funding for operational and capacity improvements at intersecting MPAH roadways.
- The FAST focuses upon street to freeway interchanges and includes added emphasis upon arterial transitions to interchanges.

Projects in the arterial, intersection, and interchange improvement categories are selected on a competitive basis. All projects must meet specific criteria in order to compete for funding through this program.

Also included under the RCP is the Rail Grade Separation Program (RGSP), which is meant to address vehicle delays and safety issues related to at-grade rail crossings. Seven rail crossing projects along the MPAH network were identified by the CTC to receive TCIF. TCIF allocations required an additional local funding commitment. The RGSP captures these prior funding commitments. Future calls for projects for grade separations are not anticipated.



## Funding Estimates

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

## Programming Approach

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

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

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

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



	Category 1 (60%)	Category 2 (40%)
Tier I >=50 points	<ul style="list-style-type: none"><li>• \$0 - \$5 million</li><li>• Score at least 50 points</li><li>• Logical, standalone project</li><li>• Unallocated balance shifts to Tier II for programming</li></ul>	<ul style="list-style-type: none"><li>• \$5+ million request</li><li>• Score at least 50 points</li><li>• Logical, standalone project</li><li>• Unallocated balance shifts to Tier II for programming</li></ul>
Tier II < 50 points	<ul style="list-style-type: none"><li>• Balance of unallocated funds from Tier I prioritization</li><li>• Request can be of any dollar value to compete in Tier II</li><li>• Multiple segments of the same project cannot be submitted under both categories.</li></ul>	

If a project is partially funded under Tier I, additional funding will not be considered under Tier II.



## **Section 7.1 - Arterial Capacity Enhancements (ACE)**

### **Overview**

The MPAH serves as the backbone of Orange County's arterial street network. Improvements to the network are required to meet existing needs and address future traffic demand. The ACE improvement category complements freeway improvement initiatives underway, supplements development mitigation activities and enables improvements based upon existing deficiencies.

Projects in the ACE improvement category are selected on a competitive basis. Projects must meet specific criteria in order to compete for funding through this program.

### **Objectives**

- Complete MPAH network through gap closures and construction of missing segments
- Relieve congestion by providing additional roadway capacity where needed
- Provide timely investment of M2 Revenues
- Leverage funding from other sources

### **Project Participation Categories**

The ACE category provides capital improvement funding (including planning, design, right-of-way acquisition and construction) for capacity enhancements on the MPAH for the following:

- Gap closures – the construction of a roadway to its full MPAH build-out for the purpose of connecting two existing ends of that roadway by filling in a missing segment or for completing the terminus of an MPAH roadway. This applies to increased roadway capacity only as it relates to vehicular traffic.
- Roadway widening where additional capacity is needed
- New roads / extension of existing MPAH facility

### **Eligible Activities**

- Planning, environmental clearance
- Design
- Right-of-way acquisition
- Construction (including curb-to-curb, lighting, drainage, etc.)



## Potentially Eligible Items

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs. Application review and approval does not guarantee the eligibility of all items.

- Direct environmental mitigation for projects funded by ACE (subject to limitations identified in precepts)
- Storm drains/catch basins/detention basins/bioswales/other pollutant discharge mitigation devices
- Sound walls (in conjunction with roadway improvement mitigation measures)
- Aesthetic improvements including landscaping within the project right-of-way (eligible improvements up to 10 percent of construction costs, provided costs are reasonable for the transportation benefit)
- ITS infrastructure (advance placement in anticipation of future project)
- Rehabilitation and/or resurfacing of existing pavement when necessitated by proposed improvement (such as change in profile and cross section)
- Improvements to private property if part of a right-of-way settlement agreement
- Utility relocation where the serving utility has prior rights as evidenced by a recorded legal document
- Roadway grading within the right-of-way (inclusive of any temporary construction easements and/or right-of-way agreement related improvements) should not exceed a depth for normal roadway excavation (e.g. structural section). Additional grading (e.g. over excavation for poor soil conditions) will be considered on a case by case basis. Agencies shall provide supporting documentation (e.g. soils reports, right-of-way agreements) to justify the additional grading.
- Additional right-of-way to accommodate significant pedestrian volumes or bikeways shown on a Master Plan of Bikeways or in conjunction with the "Complete Streets" effort. These will be considered for eligibility on a case by case basis during the application process.
- Installation of a pedestrian activated traffic signal where necessitated by pedestrian traffic warrants or other engineering criteria.

Environmental mitigation will be allowed only as required for the proposed roadway improvement, and only as contained in the environmental document. Program participation in environmental mitigation shall not exceed 25 percent of the total eligible construction costs.



Longitudinal storm drains are eligible for program participation when the storm drain is an incidental part (cost is less than 25 percent of the total eligible construction cost) of an eligible improvement. Program participation shall not exceed 10 percent of the cost of storm drain longitudinal/parallel and main lines. Storm drain inlets, connectors, laterals and cross culverts shall have full participation in ACE Program funding. Storm drains outside standard MPAH right-of-way widths are not eligible, excluding catch basins within reasonable distance and in general proximity to a project intersection (e.g. within ten feet of the curb return). Catch basins and drainage systems extending into adjacent areas (including public streets) shall not be eligible past the first catch basin designated by aforementioned criteria.

The relocation of detention basins/bioswales are potentially eligible dependent on prior rights and will be given consideration on a case by case basis (see utility relocations below).

Soundwalls are eligible only if they are required as part of the environmental mitigation for the proposed project and the Measure M contribution to the cost of soundwalls shall not exceed 25 percent of the total eligible project costs. Aesthetic enhancements and landscaping in excess of minimum environmental mitigation requirements are subject to limitations described in this section above.

Roadway grading will be eligible for structural sections within the roadway right of way. Additional grading required within the project limits will be subject to OCTA's review. OCTA will make the determination based on the additional documentation provided to demonstrate local agency's financial obligation to pay for such improvements. Rough roadway grading must be complete prior to project start.

### **Utility Relocations**

The expenses associated with the relocation of utilities are eligible for RCP reimbursement only when all conditions listed below have been met:

- The relocation is made necessary due to conflict with proposed improvements.
- The facility to be relocated is within the project right-of-way.
- It has been determined that the local agency is legally liable for either a portion of or all of the relocation costs.

Liability can be determined by property rights, franchise rights/agreements, state and local statutes/ordinances, permits, a finding by the local agency's counsel, or other recorded legal document. Documentation providing proof of the local agency's liability for the costs of utility relocation must be submitted with an initial payment request (see Chapter 10). Utilities funded through enterprise funds shall not be eligible for reimbursement.



If a relocation is eligible to be reimbursed, and to be performed by the utility owner or by the utility owner's contractor, the work should be included in the right-of-way phase costs and clearly identified in the project application submittal. For eligible relocations to be performed during the construction phase by the local agency's contractor, the work should be included in the plans and specifications similar to other construction activities. Adjustment of existing utilities to grade (e.g. water valves, manhole frames and covers), due to new roadway cross sections are generally eligible in the construction phase subject to the limitations previously described. New or relocated fire hydrants are ineligible.

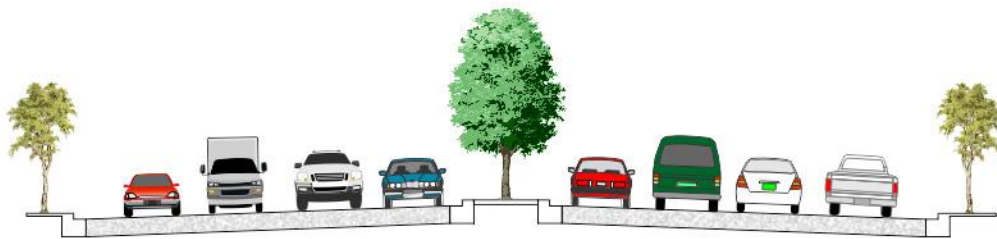
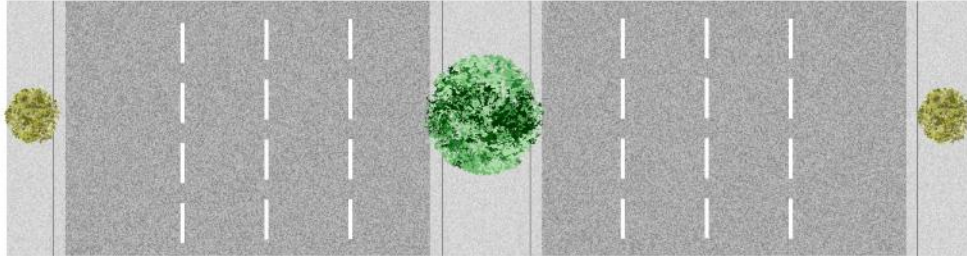
In all cases, eligible costs shall only include "in-kind" relocation. No reimbursements will be made for betterments above the cost of "in-kind" relocation. Additionally, costs submitted for program reimbursement must include any salvage credits received.

### **Ineligible Expenditures**

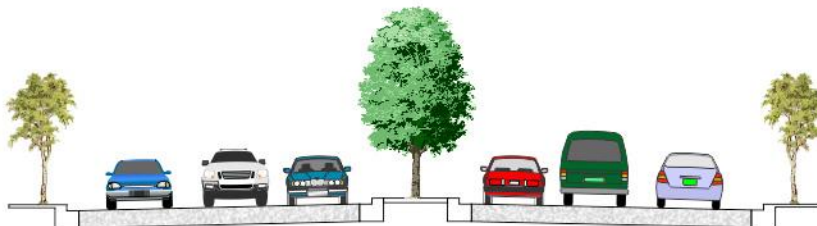
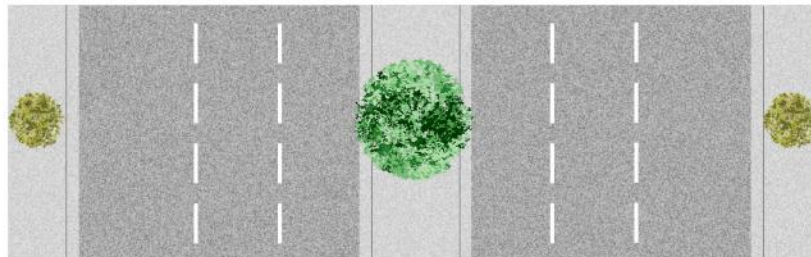
Items that are not eligible under the ACE Program are:

- Grading outside of the roadway right-of-way not related to a temporary construction easement or right-of-way agreement.
- Rehabilitation (unless performed as component of capacity enhancement project)
- Reconstruction (unless performed as component of capacity enhancement project)
- Grade Separation Projects
- Enhanced landscaping and aesthetics (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape)
- Right-of-way acquisition and construction costs for improvements greater than the typical right-of-way width for the applicable MPAH Roadway Classification. (See standard MPAH cross sections in Exhibit 7-1) Where full parcel acquisitions are necessary to meet typical right-of-way requirements for the MPAH classification, any excess parcels shall be disposed of in accordance with the provisions of these guidelines, State statutes as outlined in Article XIX and the California State Controllers Guidelines Relating to Gas Tax Expenditures.
- Utility Betterments
- Construction of new utilities

**Exhibit 7-1**  
**Standard MPAH Cross Sections**

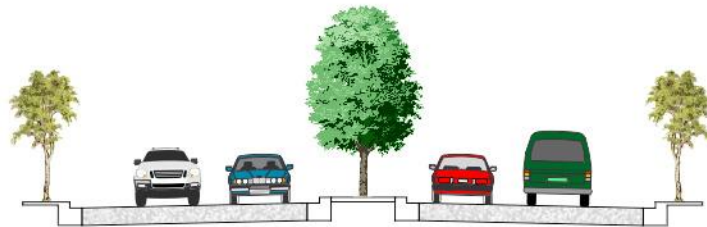
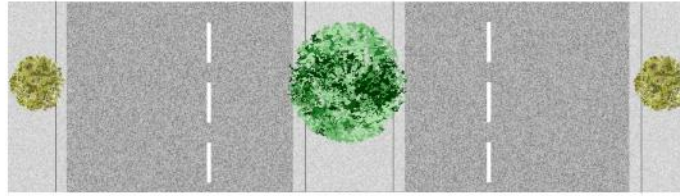


PRINCIPAL  
144 FT  
(8 LANES, DIVIDED)

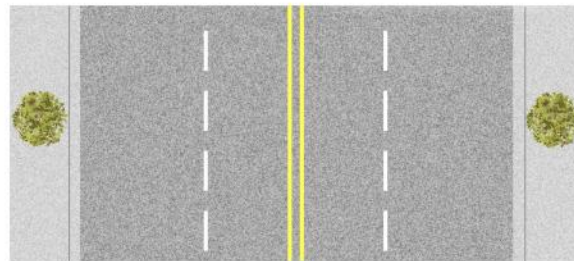


MAJOR  
120FT  
(6 LANES, DIVIDED)

**Exhibit 7-1 *continued***  
**Standard MPAH Cross Sections**

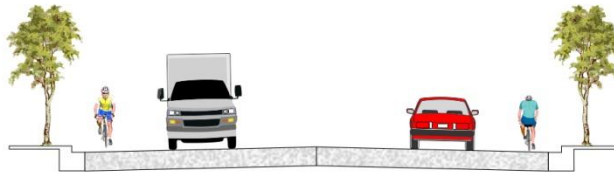
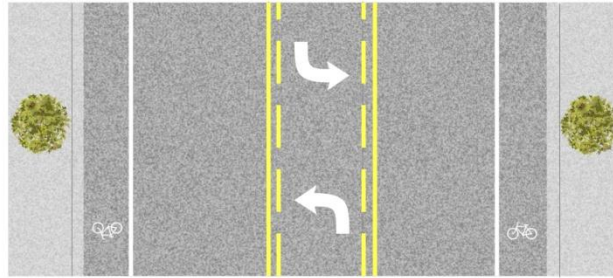


PRIMARY  
100 FT  
(4 LANES, DIVIDED)

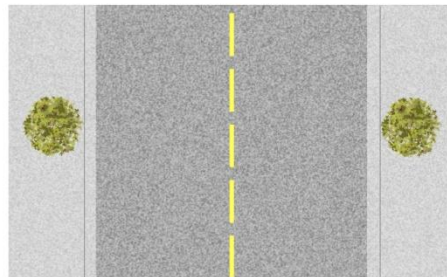


SECONDARY  
80 FT  
(4 LANES, UNDIVIDED)

**Exhibit 7-1 *continued***  
**Standard MPAH Cross Sections**



**DIVIDED COLLECTOR**  
**80 FT**  
**(2 LANES, DIVIDED)**



**COLLECTOR**  
**56 FT**  
**(2 LANES, UNDIVIDED)**



## Master Plan of Arterial Highway Capacities

Below are the approximate roadway capacities that will be used in the determination of level of service:

<u>Type of Arterial</u>	<u>Level of Service</u>				
	<b>A</b> .51 - .60 v/c	<b>B</b> .61 - .70 v/c	<b>C</b> .71 - .80 v/c	<b>D</b> .81 - .90 v/c	<b>E</b> .91 - 1.00 v/c
8 Lanes Divided	45,000	52,500	60,000	67,500	75,000
6 Lanes Divided	33,900	39,400	45,000	50,600	56,300
4 Lanes Divided	22,500	26,300	30,000	33,800	37,500
4 Lanes (Undivided)	15,000	17,500	20,000	22,500	25,000
<u>2 Lanes Divided</u>	<u>9,000</u>	<u>12,000</u>	<u>15,000</u>	<u>20,000</u>	<u>22,000</u>
2 Lanes (Undivided)	7,500	8,800	10,000	11,300	12,500

*Note: Values are maximum Average Daily Traffic*

## Selection Criteria

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on existing usage, proposed Vehicle Miles Traveled (VMT), level of services benefits, local match rate funding and overall facility importance. Technical categories and point values are shown on Tables 7-1 and 7-2. Data sources and methodology are described below.

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts for the proposed segment for comparison purposes. The agency must submit the project projected ADT, current ADT, the delta, and justification of the increase. Regarding "current" counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. Projects submitted without "current counts" will be considered incomplete and non-responsive. Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the preceding 36 months. **Note:** New facilities must be modeled through OCTAM and requests should be submitted to OCTA a minimum of six (6) weeks prior to application submittal deadline. **This deadline is September 98, 2016-2017 for the 2017-2018**



**Call for Projects.** If modeling requests are not submitted six (6) weeks prior to the application submittal deadline, the application will not be considered. For agencies where event, weekend, or seasonal traffic presents a significant issue, Average Annual Daily Traffic (AADT) counts can be used, provided the agency gives sufficient justification for the use of AADT.

VMT: Centerline length of segment proposed for improvement multiplied by the existing ADT for the proposed segment length. Measurement must be taken proximate to capacity increase. VMT for Improvements covering multiple discrete count segments are calculated on a weighted average basis.

Current Project Readiness: This category is additive. Points are earned for the highest qualifying designation at the time applications are submitted

- Right-of-Way (All easements and titles) – applies where no right-of-way is needed for the project or where all right-of-way has been acquired/dedicated.
- Right-of-Way (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication or orders of immediate possession have been received by the jurisdiction.
- Final Design (PS&E) – applies where the jurisdiction's City engineer or other authorized person has approved the final design.
- Preliminary design (35 percent level) – will require certification from the City Engineer and is subject to verification.
- Environmental Approvals – applies where all environmental clearances have been obtained on the project.

Cost Benefit: Total project cost (including unfunded phases) divided by the existing ADT (or modeled ADT for new segments).

Funding Over-Match: The percentages shown apply to match rates above a jurisdiction's minimum local match rate requirement. M2 requires a 50 percent local match for RCP projects. This minimum match can be reduced by up to 25 percentage points if certain eligible components are met. If a jurisdiction's minimum match target is 30 percent and a local match of 45 percent is pledged, points are earned for the 15 percent over-match differential. The pledged amount is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project.

Transportation Significance: Roadway classification as shown in the current MPAH.

MPAH Needs Assessment Category: Segment designation as shown in the RCP Needs Assessment study.



Operational Attributes (within the roadway): This category is additive. Each category, except Active Transit Routes, must be a new feature added as a part of the proposed project.

- Pedestrian Facilities: Placement of a new sidewalk where **none currently exists** along an entire segment of proposed project.
- Meets MPAH configuration: Improvement of roadway to full MPAH standard for the segment classification.
- Active Transit Route(s): Segments served by fixed route public transit service.
- Bus Turnouts: Construction of bus turnouts.
- Bike Lanes: Installation of new bike lanes (Class I or II)
- Median (Raised): Installation of a mid-block raised median where none exists today. Can be provided in conjunction with meeting MPAH standards.
- Remove On-street Parking: Elimination of on-street parking in conjunction with roadway widening project. Can be provided in conjunction with meeting MPAH standards and installation of new bike lanes.
- Sustainability Elements: Includes the use of recycled materials during the roadway construction process (recycled aggregate or rubberized asphalt) or the installation of solar lighting within the roadway cross section. Other elements of sustainability may be considered on a case by case basis.
- Water Conservation: Includes elements that reduce water consumption. Such as the replacement of existing landscaping with hardscape and/or "California Native" drought tolerant type landscaping; the replacement of existing sprinklers with drip irrigation systems; the installation of new "grey" or recycled water systems where such does not currently exist.
- Safety Improvements: Project features that increase the safety of pedestrians. These elements can include the new installation of: median barriers, curb extensions, residential traffic diverters, pedestrian crossing islands, pedestrian activated signals, crosswalk enhancements, safety signage, and the addition, modification, or improvement of existing pedestrian signals. Other elements of safety may be considered on a case by case basis.
- Other (Golf cart paths in conformance with California Vehicle Code and which are demonstrated to remove vehicle trips from roadway).

Improvement Characteristics: Select one characteristic which best describes the project:

- Gap Closures: the construction of a roadway to its full MPAH build-out for the purpose of connecting two existing ends of that roadway by filling in a missing segment or for completing the terminus of an MPAH roadway. This applies to increased roadway capacity only as it relates to vehicular traffic.



- New Facility/Extensions: Construction of new roadways.
- Bridge crossing: Widening of bridge crossing within the project limits.
- Adds capacity: Addition of through traffic lanes.
- Improves traffic flow: Installation of a median, restricting cross street traffic, adding midblock turn lanes, or elimination of driveways.

LOS Improvement: This category is a product of the existing or projected LOS based upon volume/capacity– or v/c -- and LOS improvement “with project”. **Projects must meet a minimum existing or projected LOS of “D” (.81 v/c) “without project” condition to qualify for priority consideration for funding.** Existing LOS is determined using current 24-hour traffic counts (averaging AM/PM peaks) for the proposed segment. However, for projects where traffic volumes follow unconventional patterns, unidirectional volumes may be proposed as an acceptable alternate methodology for determining LOS. If unidirectional volumes are used for level of service calculations, ADT for the proposed direction of improvement shall serve as the basis for ADT, cost benefit and vehicle miles travelled (VMT) scoring categories. Projects that do not meet the minimum LOS “D” can be submitted, but are not guaranteed consideration as part of the competitive process.

If during the competitive process, it is determined that additional programming capacity exists after all eligible projects with LOS “D” have been funded, a consideration of projects with a minimum LOS “C” (.71 v/c) may be undertaken. Such consideration will be at the discretion of OCTA. Projects with an LOS better than “C” (.70 v/c) will not be considered.

## **Application Process**

Project grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to evaluate the project proposal as outlined below. Detailed instructions and checklists are provided in Chapter 9.

### **Complete application**

- Funding needs by phase and fiscal year
- Local committed match funding source, confirmed through city council resolution or minute order
- Supporting technical information (including current traffic counts)
- Project development and implementation schedule
- Right-of-way status and detailed plan for acquisition/disposal of excess right-of-way. The right-of-way acquisition/disposal plan must be submitted using the “right-of-way acquisition/disposal plan” form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.



- Any additional information deemed relevant by the applicant
- Grants subject to Master Funding Agreement

Calls are expected to be issued on an annual basis, or as determined by the Board. Complete project applications must be submitted by the established due date to be considered eligible for consideration.

Applications will be reviewed by OCTA for consistency, accuracy and concurrence. Once applications have been completed in accordance with the program requirements, the projects will be scored, ranked and submitted to the TSC, TAC and Board for consideration and funding approval.

### **Minimum Eligibility Requirements**

Projects must have an existing or projected LOS "D" (.81 v/c) or worse to qualify for priority consideration for funding in this program.

All project roadways must be identified on the MPAH network. Local streets not shown on the MPAH are not eligible for funding through this program.

### **New Facilities**

New facilities must be modeled through OCTAM. A local agency planning on submitting a request for funding for a new facility must submit a modeling request a minimum of six (6) weeks prior to the application submittal deadline. If modeling requests are not submitted six (6) weeks prior to the application submittal deadline, the application associated with the related project will not be considered. Any request for modeling **must be submitted to OCTA no later than September 98, 2016-2017** for the 2018<sup>7</sup> Call for Projects.

Facility Modeling: For consistency purposes, all proposed new facilities will be modeled by OCTA using the most current version of OCTAM. Applicants may supplement their application with a locally-derived model with OCTAM used for validation purposes. The facility will be modeled with the lane capacity reflected in the application.

Average Daily Trips Determination: OCTAM will provide an "existing" ADT using a "with project" model run under current conditions. The ADT for the proposed segment will serve as the ADT value to be considered in the application.

LOS Improvement: LOS on existing facilities may be positively or negatively affected by a proposed new roadway segment through trip redistribution. A current condition model run is generated "with" and "without" the proposed project. The intent is to test the efficacy of the proposed segment. A comparison of these before and after project runs (using current traffic volumes) yields potential discernable changes in LOS. The greatest benefit is generally on a parallel facility directly adjacent to the proposed project. Trip



distribution changes generally dissipate farther from the project. For evaluation purposes, the segment LOS (determined through a simple volume / capacity calculation) for the “with” and “without project” will be used for the existing LOS and LOS improvement calculations.

## Matching Funds

Local agencies are required to provide local match funding for each phase of the project. As prescribed by the M2 Ordinance, the minimum local match requirement is 50 percent with potential to reduce this amount if certain eligibility requirements are met. The amount pledged during the application process is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project. Actual project contributions by the local agency are dependent on final project costs and may not be equal to the committed match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures do not contribute to the local match rate.

## Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the funding plan described above, local agencies will be required to submit the following materials:

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

Project Documentation: If proposed project has completed initial planning activities (such as Project Study Report (PSR) or equivalent, Environmental Impact Report (EIR), or design), evidence of approval should be included with the application. Satisfactory evidence includes project approval signature page, engineer-stamped site plan, or other summary information to demonstrate completion or planning phases. An electronic copy of the PSR and/or environmental document must be supplied as applicable. The applicant will be asked for additional detailed information if necessary to adequately evaluate the project application.

Pavement Management Supporting Documentation: The M2 Ordinance provides for a 10 percent reduction in the required local match if the agency can demonstrate a measurable improvement in Pavement Condition Index (PCI) (1-point increase or greater) over the previous reporting period, or if the agency can demonstrate a PCI that is within the



highest 20 percent of the scale (PCI of 75 or greater). If an agency is electing to take the 10 percent local match reduction, **supporting documentation indicating either the PCI improvement or PCI scale must be provided.**

Project Summary Information: With each application being recommended for funding, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for review and discussion purposes. The presentation shall be no more than three (3) slides and should contain, at a minimum, a project description, project benefits, location map, and cost estimate. **OCTA staff will request the PowerPoint when/if a project is recommended for funding.**

## **Reimbursements**

This program is administered on a reimbursement basis for capital improvements, planning, design, and right-of-way acquisition. Reimbursements will be disbursed upon review and approval of an acceptable initial payment submittal, final report, and consistency with Master Funding Agreement or cooperative agreement if federal funds are awarded. The reimbursement process is more fully described in Chapter 10 of this manual.

## **Project Cancellation**

If a local agency decides to cancel a project, for whatever reason, the agency shall notify OCTA as soon as possible. Projects deemed infeasible during the planning phase shall bring that phase to a logical conclusion, file a final report, and cancel remaining phases so that remaining funds can be reprogrammed without penalty. All right-of-way funding received for property acquisition prior to cancellation shall be repaid upon cancellation even if property has been acquired. All construction funding received prior to cancellation shall be repaid upon cancellation.

Cancelled projects will be eligible to reapply upon resolution of issues that led to original project termination. Agencies can resubmit an application for funding consideration once either the cancellation of the existing funding grant has been approved by the OCTA Board or is in the process of approval through the semi-annual review. In the event the OCTA Board does not approve the cancellation, the lead agency will be required to withdraw the application.

## **Audits**

All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation, which may include repayment, reduction in overall grant, and/or other sanctions to be determined. Audits shall be



conducted by OCTA's Internal Audit department or other authorized agent either through the normal annual process or on a schedule to be determined by the Board (see Chapter 11).

Proceeds from the sale of excess right-of-way acquired with program funding must be paid back to the project fund as described in Chapter 10 and the Master Funding Agreement.



TABLE 7-1

## Regional Capacity Program Street Widening

	Category	Points Possible	Percentage	
<b><i>Facility Usage</i></b>				<b>25%</b>
	Existing ADT	10	10%	
	Existing VMT	10	10%	
	Current Project Readiness	10	5%	
<b><i>Economic Effectiveness</i></b>				<b>20%</b>
	Cost Benefit	10	15%	
	Funding Over-Match	5	5%	
<b><i>Facility Importance</i></b>				<b>20%</b>
	Transportation Significance	5	5%	
	MPAH Assessment Category	5	10%	
	Operational Efficiency	10	5%	
<b><i>Benefit</i></b>				<b>35%</b>
	Improvement Characteristics	10	10%	
	Level of Improvement and Service	25	25%	
<b>TOTAL</b>		<b>100</b>	<b>100%</b>	



**Table 7-2**  
**ACE SCORING CRITERIA**  
**Point Breakdown for Arterial Capacity Enhancement Projects**  
**Maximum Points = 100**

<b>Facility Usage</b>		<b>Points: 25</b>
Existing ADT		
<u>Range</u>	<u>Points</u>	
45+ thousand	10	
40-44 thousand	8	
35 - 39 thousand	6	
30 - 34 thousand	5	
25 - 29 thousand	4	
20 - 24 thousand	3	
15 - 19 thousand	2	
10-14 thousand	1	
<10 thousand	0	
VMT		
<u>Range</u>	<u>Points</u>	
31+ thousand	10	
26-30 thousand	8	
22-25 thousand	6	
18-21 thousand	5	
14-17 thousand	4	
11-13 thousand	3	
8-10 thousand	2	
4-7 thousand	1	
<4,000 thousand	0	
Current Project Readiness	Max Points: 10	
	<u>Points</u>	
Environmental Approvals	2	
Preliminary Design (35%)	2	
Right Of Way (All offers issued)	2	
Final Design (PS&E)	4	
Right Of Way (All easement and titles)	5	
Points are additive, Design and ROW limited to highest qualifying designation		

<b>Economic Effectiveness</b>		<b>Points: 15</b>
Cost Benefit (Total \$/ADT)		
<u>Range*</u>	<u>Points</u>	
<99	10	
100 - 149	9	
150 - 199	7	
200 - 249	5	
250 - 299	4	
300 - 349	3	
350 - 399	2	
400 - 499	1	
500+	0	
Funding Over-Match (local match/project cost) minus minimum local match requirement		
<u>Range*</u>	<u>Points</u>	
25+ %	5	
20 - 24 %	4	
15 - 19 %	3	
10 - 14 %	2	
5-9 %	1	
0-4 %	0	
*Range refers to % points above agency minimum requirement		

<b>Facility Importance</b>		<b>Points: 20</b>
Transportation Significance		
<u>Range</u>	<u>Points</u>	
Principal or CMP Route	5	
Major	4	
Primary	3	
Secondary	2	
Collector	1	
MPAH Assessment Category		
<u>Range</u>	<u>Points</u>	
Category 1	5	
Category 2	4	
Category 3	3	
Category 4	2	
Category 5	1	
Operational Attributes (within the roadway)	Maximum 10 points	
	<u>Points</u>	
Pedestrian Facilities (New)	3	
Meets MPAH Configs.	3	
Bike Lanes (New)	3	
Active Transit Route(s)	2	
Bus Turnouts	2	
Median (Raised)	2	
Remove On-Street Parking	2	
Water Conservation Elements	2	
Safety Improvements	2	
Sustainability	2	
Other	2	

<b>Benefit:</b>		<b>Points: 35</b>
<u>Improvement Characteristics</u>		<u>Points</u>
Gap Closure	10	
New Facility/Extension	8	
Bridge Crossing	8	
Adds Capacity	6	
Improves Traffic Flow	2	
LOS Improvement	Max Points: 25	
Calculation: LOS Imp x LOS Starting Pt.		
Existing LOS Starting Point		
<u>Range</u>	<u>Points</u>	
1.01+	5	
.96 - 1.00	4	
.91 -. 95	3	
.86-.90	2	
.81-.85	1	
LOS Improvement W/Project (exist. volume)		
<u>Range</u>	<u>Points</u>	
.20+	5	
.16 -.19	4	
.1 -.15	3	
.05 -.09	2	
.01 -.05	1	



## **Section 7.2 - Intersection Capacity Enhancements (ICE)**

### **Overview**

The MPAH serves as the backbone of Orange County's arterial street network. Intersections at each intersecting MPAH arterial throughout the County will continue to require improvements to mitigate current and future needs. The ICE improvement category complements roadway improvement initiatives underway and supplements development mitigation opportunities.

Projects in the ICE improvement category are selected on a competitive basis. Projects must meet specific criteria in order to compete for funding through this program.

For the purposes of the ICE improvement category, the limits of an intersection shall be defined as the area that includes all necessary (or planned) through lanes, turn pockets, and associated transitions required for the intersection. Project limits of up to a maximum of 600 feet for each intersection leg are allowable. Projects that, due to special circumstances, must exceed the 600-foot limit, shall include in their application the request for a technical variance. The project shall be presented to the Technical Steering Committee by the local agency to request approval of the variance.

### **Objectives**

- Improve MPAH network capacity and throughput along MPAH facilities
- Relieve congestion at MPAH intersections by providing additional turn and through lane capacity
- Improve connectivity between neighboring jurisdiction by improving operations
- Provide timely investment of M2 revenues

### **Project Participation Categories**

The ICE category provides capital improvement funding (including planning, design, right-of-way acquisition and construction) for intersection improvements on the MPAH network for the following:

- Intersection widening – constructing additional through lanes and turn lanes, extending turn lanes where appropriate, and signal equipment
- Street to street grade separation projects



## **Eligible Activities**

- Planning, environmental clearance
- Design (plans, specifications, and estimates)
- Right-of-way acquisition
- Construction (including bus turnouts, curb ramps, median, and striping)

## **Potentially Eligible Items**

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs. Application review and approval does not guarantee the eligibility of all items.

- Required environmental mitigation for projects funded by ICE
- Storm drains/catch basins/detention basins/bioswales/other pollutant discharge mitigation devices
- Sound walls (in conjunction with roadway improvement mitigation measures)
- Aesthetic improvements including landscaping within the project right-of-way (eligible improvements up to 10 percent of construction costs, provided costs are reasonable for the transportation benefit)
- Signal equipment (as incidental component of program), including the installation or upgrade of pedestrian countdown heads
- Bicycle detection systems
- Rehabilitation and/or resurfacing of existing pavement when necessitated by proposed improvement (such as change in profile and cross section)
- Improvements to private property if part of a right-of-way settlement agreement
- Utility relocation where the serving utility has prior rights as evidenced by a recorded legal document and are located within the roadway right-of-way.
- Roadway grading within the right-of-way (inclusive of any temporary construction easements and/or right-of-way agreement related improvements) should not exceed a depth for normal roadway excavation (e.g. structural section). Additional grading (e.g. over excavation for poor soil conditions) will be considered on a case by case basis. Agencies shall provide supporting documentation (e.g. soils reports, right-of-way agreements) to justify the additional grading.

## **Ineligible Items**

- Grading outside of the roadway right-of-way not related to a temporary construction easement or right-of-way agreement.



- Right-of-way acquisition greater than the typical right-of-way width for the applicable MPAH Roadway Classification. Additional turn lanes not exceeding 12 feet in width needed to maintain an intersection LOS D requiring right-of-way in excess of the typical right-of-way width for the applicable MPAH classification shall be fully eligible. Where full parcel acquisitions are necessary to meet typical right-of-way requirements for the MPAH classification any excess parcels shall be disposed of in accordance with State statutes and the acquisition/disposal plan submitted in accordance with these guidelines.
- Enhanced landscaping and aesthetic improvements (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape).

Environmental mitigation will be allowed only as required for the proposed roadway improvement and only as contained in the environmental document. Program participation in environmental mitigation shall not exceed 25 percent of the total eligible project costs.

Longitudinal storm drains are eligible for program participation when the storm drain is an incidental part (cost is less than 25 percent of the total eligible improvement cost) of an eligible improvement. Program participation shall not exceed 10 percent of the cost of storm drain longitudinal/parallel and main lines. Storm drain inlets, connectors, laterals and cross culverts shall have full participation in ICE improvement category funding. Storm drains outside standard MPAH right-of-way widths are not eligible, excluding catch basins within reasonable distance and in general proximity to a project intersection (e.g. within ten feet of the curb return). Catch basins and drainage systems extending into adjacent areas (including public streets) shall not be eligible past the first catch basin.

Soundwalls are eligible only if they are required as part of the environmental clearance for the proposed project and shall not exceed 25 percent of the total eligible project costs. Aesthetic enhancements and landscaping in excess of minimum environmental mitigation requirements are subject to limitations described in the "Potentially Eligible Item" section above.

The relocation of detention basins/bioswales/other pollutant discharge mitigation devices are potentially eligible dependent on who has prior rights and will be given consideration on a case by case basis (see utility relocations below).

Roadway grading is eligible for structural sections. OCTA assumes rough roadway grading is complete prior to project start and is considered an ineligible item.

### **Utility Relocations**

The expenses associated with the relocation of utilities are eligible for RCP reimbursement only when all conditions listed below have been met:

- The relocation is made necessary due to conflict with proposed improvements.



- The facility to be relocated is within the project right-of-way.
- It has been determined that the local agency is legally liable for either a portion of or all of the relocation costs.

Liability can be determined by property rights, franchise rights/agreements, state and local statutes/ordinances, permits, a finding by the local agency's counsel, or other recorded legal document. Documentation providing proof of the local agency's liability for the costs of utility relocation must be submitted with an initial payment request (see Chapter 10). Utilities funded through enterprise funds shall not be eligible for reimbursement.

If a relocation is eligible to be reimbursed, and to be performed by the utility owner or by the utility owner's contractor, the work should be included in the right-of-way phase costs and clearly identified in the project application submittal. For eligible relocations to be performed during the construction phase by the local agency's contractor, the work should be included in the plans and specifications similar to other construction activities. Adjustment of existing utilities to grade (e.g. water valves, manhole frames and covers), due to new roadway cross sections are generally eligible in the construction phase.

In all cases, eligible costs shall only include "in-kind" relocation. No reimbursements will be made for betterments above the cost of "in-kind" relocation. Additionally, costs submitted for program reimbursement must include any salvage credits received.

### **Selection Criteria**

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on existing usage, LOS benefits, local match funding, and overall facility importance. Technical categories and point values are shown on Tables 7-3 and 7-4. Data sources and methodology are described below.

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts for the proposed segment for comparison purposes. The agency must submit the project projected ADT, current ADT, the delta, and justification of the increase. Regarding "current" counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the preceding 36 months. Project applications without "current" counts will be deemed incomplete and non-responsive. Average ADT for the east and west legs of the intersection will be added to the average ADT for the north and south legs.



For agencies where event or seasonal traffic presents a significant issue, Average Annual Daily Traffic (AADT) counts can be used, provided the agency gives sufficient justification for the use of AADT.

Current Project Readiness: This category is additive. Points are earned for each satisfied readiness stage at the time applications are submitted.

- Right-of-Way (all easements and titles) – applies where no right-of-way is needed for the project or where all right-of-way has been acquired/dedicated.
- Right-of-Way (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication or orders of immediate possession have been received by the jurisdiction. Documentation of right-of-way possession will be required with application submittal.
- Final Design (PS&E) – applies where the jurisdiction's City Engineer or other authorized person has approved the final design.
- Preliminary design (35 percent level) – will require certification from the City Engineer and is subject to verification.
- Environmental Approvals – applies where all environmental clearances have been obtained on the project.

Cost Benefit: Total project cost (included unfunded phases) divided by the existing ADT (or modeled ADT for new segments).

Funding Over-Match: The percentages shown apply to match rates above a jurisdiction's minimum match rate requirement. M2 requires a 50 percent local match for RCP projects. This minimum match can be reduced by up to 25 percentage points if certain eligible components are met. If a jurisdiction's minimum match target is 30 percent and a local match of 45 percent is pledged, points are earned for the 15 percent over-match. The pledged amount is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project.

Coordination with Contiguous project: Projects that complement a proposed arterial improvement project with a similar implementation schedule earn points in this category. This category is intended to recognize large projects that segregate intersection components from arterial components for funding purposes.

Transportation Significance: Roadway classification as shown in the current MPAH.

MPAH Needs Assessment Category: Segment designation as shown in the RCP Needs Assessment study.

Operational Attributes (within the roadway): This category is additive. Each category must be a new feature added as a part of the proposed project.

- Bike Lanes: Extension of bike lanes (Class I, II, or IV) through intersection



- Bus Turnouts: Construction of a bus turnout as a new feature.
- Lowers density: Addition of through travel lanes.
- Channels traffic: Addition and/or extension of turn pockets (other than free right turn).
- Free right turn: installation of new free right or conversion of an existing right turn to free right
- Protected/permissive left turn: Convert from protected to protected/permissive
- Pedestrian Facilities: Placement of a new sidewalk if none currently exists.
- Grade separations: Street to street grade separations and do not apply to rail grade separation projects which are covered by the grade separation program category.
- Sustainability Elements: Includes the use of recycled materials during the roadway construction process (recycled aggregate or rubberized asphalt) or the installation of solar lighting within the roadway cross section. Other elements of sustainability may be considered on a case by case basis.
- Water Conservation: Includes elements that reduce water consumption. Such as the replacement of existing landscaping with hardscape and/or "California Native" drought tolerant type landscaping; the replacement of existing sprinklers with drip irrigation systems; the installation of new "grey" or recycled water systems where such does not currently exist.
- Safety Improvements: Project features that increase the safety of pedestrians. These elements can include the new installation of: median barriers, curb extensions, residential traffic diverters, pedestrian crossing islands, pedestrian activated signals, crosswalk enhancements, safety signage, and the addition, modification, or improvement of existing pedestrian signals. Other elements of safety may be considered on a case by case basis.

LOS Improvement: This category is a product of the existing or projected LOS based upon volume/capacity-- or v/c -- and LOS improvement "with project" using Intersection Capacity Utilization (ICU) calculation with 1,700 vehicles per lane per hour and a .05 clearance interval. Calculations will be based upon "current" arterial link and turning movement counts projected to opening year. **Projects must meet a minimum existing or projected LOS of "D" (.81 v/c) to qualify for priority consideration for funding.** Existing LOS is determined using current 24-hour traffic counts/turning movements (averaging AM/PM peaks) for the proposed segment utilizing Intersection Capacity Utilization (ICU) methodology and using 1,700 vehicles per lane/per hour and a .05 clearance interval.

For projects where traffic volumes follow unconventional patterns (e.g. unidirectional congestion, large disparity between AM and PM peaks, etc.) HCM 2010 may be proposed as an alternate methodology for determining LOS. HCM calculations must use SYNCHRO and be supported with complete calculation documentation using standard industry



approaches and current signal timing plans. If an alternative methodology is proposed, all analysis **must be submitted to OCTA for review no later than September 9, 2016** for the 2017 Call for Projects. OCTA will contract with an independent third party firm to review the technical analysis. The cost for the review will be charged to the applicant.

Projects that do not meet the minimum LOS "D" can be submitted, but are not guaranteed consideration as part of the competitive process.

If during the competitive process, it is determined that additional programming capacity exists after all eligible projects with LOS "D" have been funded, a consideration of projects with a minimum LOS "C" (.71 v/c) may be undertaken. Such consideration will be at the discretion of OCTA. Projects with an LOS better than "C" (.70 v/c) will not be considered.

## **Application Process**

Project grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to evaluate the project proposal as outlined below. Detailed instructions and checklists are provided in Chapter 9.

- Complete application
  - Funding needs by phase and fiscal year
  - Local match funding source, confirmed through city council resolution or minute order
  - Supporting technical information (including current arterial link and turning movement counts)
  - Project development and implementation schedule
  - Right-of-way status and a detailed plan for acquisition/disposal of excess right-of-way. The right-of-way acquisition/disposal plan must be submitted using the "right-of-way acquisition/disposal plan" form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.
  - Any additional information deemed relevant by the applicant
- Grants subject to master funding agreement

Calls for projects are expected to be issued on an annual basis, or as determined by the Board. Complete project applications must be submitted by the established due date to be considered eligible for consideration.

Applications will be reviewed by OCTA for consistency, accuracy, and concurrence. Once applications have been completed in accordance with the program requirements, the projects will be scored, ranked and submitted to the TSC, TAC and Board for consideration and funding approval.



## Minimum Eligibility Requirements

Projects must have an existing or projected LOS "D" (.81 v/c) or worse to qualify for priority consideration for funding in this program.

All project roadways must be identified on the MPAH network. Local streets not shown on the MPAH are not eligible for funding through this program.

## Matching Funds

Local agencies are required to provide local match funding for each phase of the project. As prescribed by the M2 Ordinance, the minimum local match requirement is 50 percent with potential to reduce this amount if certain eligibility requirements are met. The amount pledged during the application process is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project. Actual project contributions by the local agency are dependent on final project costs and may not be equal to the committed match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures do not contribute to the local match rate.

## Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the funding plan described above, local agencies will be required to submit the following materials:

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

Project Documentation: If proposed project has completed initial planning activities (such as PSR or equivalent, EIR, or design), evidence of approval should be included with the application. Satisfactory evidence includes project approval signature page, engineer-stamped site plan, or other summary information to demonstrate completion or planning phases. An electronic copy of the PSR and/or environmental document must be supplied as applicable. The applicant will be asked for additional detailed information only if necessary to adequately evaluate the project application.

Pavement Management Supporting Documentation: The M2 Ordinance provides for a 10 percent reduction in the required local match if the agency can demonstrate a measurable improvement in PCI (1 point or greater) over the previous reporting period, or if the



agency can demonstrate a PCI that is within the highest 20 percent of the scale (PCI of 75 or greater). If an agency is electing to take the 10 percent match rate reduction, supporting documentation indicating either the PCI improvement or PCI scale must be provided.

Project Summary Information: With each application being recommended for funding, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for review and discussion purposes. The presentation shall be no more than three (3) slides and should contain, at a minimum, a project description, project benefits, location map, and cost estimate. **OCTA staff will request the PowerPoint when/if a project is recommended for funding.**

## **Reimbursements**

This program is administered on a reimbursement basis for capital improvements, planning, design, and right-of-way acquisition. Reimbursements will be disbursed upon review and approval of an acceptable initial payment submittal, final report and consistency with Master Funding Agreement or cooperative agreement. The reimbursement process is more fully described in Chapter 10 of this manual.

## **Project Cancellation**

If a local agency decides to cancel a project, for whatever reason, the agency shall notify OCTA as soon as possible. Projects deemed infeasible during the planning phase shall bring that phase to a logical conclusion, file a final report, and cancel remaining phases so that remaining funds can be reprogrammed without penalty. Right-of-way funding received for property acquisition prior to cancellation shall be repaid upon cancellation even if property has been acquired. Construction funding received prior to cancellation shall be repaid upon cancellation.

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

## **Audits**

All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall grant, and/or other sanctions to be determined. Audits shall be conducted by OCTA's Internal Audit department or other authorized agent either through the normal annual process or on a schedule to be determined by the Board (see Chapter 11).



Proceeds from the sale of excess right-of-way acquired with program funding must be paid back to the project fund as described in Chapter 10 and the Master Funding Agreement.



TABLE 7-3

## Regional Capacity Program Intersection Improvement

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



## Table 7-4

### ICE SCORING CRITERIA Point Breakdown for Intersection Capacity Enhancement Projects Maximum Points = 100

Facility Usage		Points: 25
ADT		
Range*		Points
60+ thousand		15
55 - 59 thousand		13
50 - 54 thousand		11
45 - 49 thousand		9
40 - 44 thousand		7
35 - 39 thousand		5
30 - 34 thousand		3
25 - 29 thousand		1
* AVG ADT for east and west legs plus AVG ADT for north and south legs of intersection		
Current Project Readiness	Max Points: 10	
Range*		Points
Environmental Approvals		2
Preliminary Design (35%)		2
Right Of Way (All offers issued)		2
Final Design (PS&E)		4
Right Of Way (All easement and titles)		5
Points are additive, Design and ROW limited to highest qualifying designation		
Economic Effectiveness		Points: 20
Cost Benefit (Total \$/ADT)		
Range*		Points
<20		10
21 - 30		9
31 - 50		7
51 - 75		5
76 - 100		3
>100		1
* = total cost / average ADT		
Funding Over-Match (local match/project cost) minus minimum local match requirement		
Range		Points
25+ %		5
20 - 24 %		4
15 - 19 %		3
10 - 14 %		2
5-9 %		1
0-4 %		0
Coordination with Contiguous Project		
Range		Points
yes		5
no		0
Coordination with ACE project with similar implementation schedule.		
Facility Importance		Points: 30
Transportation Significance		
Range		Points
Principal or CMP Route		5
Major		4
Primary		3
Secondary		2
Collector		1
MPAH Assessment Category		
Range		Points
Category 1		5
Category 2		4
Category 3		3
Category 4		2
Category 5		1
Operational Attributes (within the roadway)	Max Points: 20	
Grade separations		10
Bus turnouts		4
Bike lanes		4
Ped. facilities (new)		4
Free right		4
Lowers density		3
Channels traffic		3
Protected/Permissive left turn		2
Water Conservation Elements		2
Safety Improvements		2
Sustainability		2
Benefit:		Points: 25
LOS Improvement		Max Points: 25
Calculation: LOS Imp x LOS Starting Pt.		
Existing LOS (Peak Hour)		
Range		Points
1.01+		5
.96 - 1.00		4
.91 - .95		3
.86-.90		2
.81 - .85		1
LOS Reduction W/Project (exist. volume)		
Range		Points
.20+		5
.16 - .19		4
.10 - .15		3
.05 - .09		2
.01 - .05		1



## **Section 7.3 - Freeway Arterial/Streets Transitions (FAST)**

### **Overview**

The MPAH serves as the backbone of Orange County's arterial street network. Current and future needs at existing interchanges along MPAH highways and freeways will need to be addressed in order to improve connectivity between freeways and MPAH arterials. The interchange improvement program complements roadway improvement initiatives underway as well and supplements development mitigation opportunities.

Projects in the FAST improvement category are selected on a competitive basis. Projects must meet specific criteria in order to compete for funding through this program.

### **Objectives**

- Improve transition to and from Orange County freeways
- Provide timely investment of M2 revenues

### **Project Participation Categories**

The FAST category provides capital improvement funding (including planning, design, right-of-way acquisition and construction) for interchange improvements on the MPAH network for the following:

- MPAH facility interchange connections to Orange County freeways (including on-ramp, off-ramp and arterial improvements)

### **Eligible Activities**

- Planning, environmental clearance
- Design
- Right-of-way acquisition
- Construction (including ramps, intersection and structural improvements/reconstruction incidental to project)
- Signal equipment (as incidental component of the program)

### **Potentially Eligible Items**

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs. Application review and approval does not guarantee the eligibility of all items.

- Direct environmental mitigation for projects funded by FAST (details below)



- Storm drains/catch basins/detention basins/bioswales/other pollutant discharge mitigation devices (details below)
- Aesthetic improvements including landscaping within the project right-of-way (eligible improvements up to 10 percent of construction costs, provided costs are reasonable for the transportation benefit)
- Rehabilitation and/or resurfacing of existing pavement when necessitated by proposed improvement (such as change in profile and cross section)
- Improvements to private property if part of a right-of-way settlement agreement
- Utility relocation where the serving utility has prior rights as evidenced by a recorded legal document
- Roadway grading within the right-of-way should not to exceed a depth for normal roadway excavation (e.g. structural section) or as required by temporary construction easements, and/or right-of-way agreement related improvements. Additional grading (e.g. over excavation for poor soil conditions) will be considered on a case by case basis.
- Auxiliary lanes if necessitated by interchange improvements
- Soundwalls (in conjunction with roadway improvement mitigation measures)

Environmental mitigation will be allowed only as required for the proposed roadway improvement, and only as contained in the environmental document. Program participation in environmental mitigation shall not exceed 25 percent of the total eligible project costs.

Longitudinal storm drains are eligible for program participation when the storm drain is an incidental part (cost is less than 25 percent of the total eligible improvement cost) of an eligible improvement. Program participation shall not exceed 10 percent of the cost of storm drain longitudinal/parallel and main lines. Storm drain inlets, connectors, laterals and cross culverts shall have full participation in FAST improvement category funding. Storm drains outside standard MPAH right-of-way widths are not eligible, excluding catch basins within reasonable distance and in general proximity to a project intersection (e.g. within ten feet of the curb return). Catch basins and drainage systems extending into adjacent areas (including public streets) shall not be eligible past the first catch basin.

Soundwalls are eligible only if they are required as part of the environmental mitigation for the proposed project and shall not exceed 25 percent of the total eligible project cost. Aesthetic enhancements and landscaping in excess of minimum environmental mitigation requirements are eligible at up to 10 percent of the total eligible construction costs, provided costs are reasonable for the transportation benefit.

The relocation of detention basins/bioswales are potentially eligible dependent on prior rights and will be giving consideration on a case by case basis (see utility relocations below).



Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any temporary construction easements). OCTA assumes rough roadway grading is complete prior to project start and is considered an ineligible item.

### **Utility Relocations**

The expenses associated with the relocation of utilities are eligible for RCP reimbursement only when:

- The relocation is made necessary due to conflict with proposed improvements.
- The facility to be relocated is within the project right-of-way.
- It has been determined that the local agency is legally liable for either a portion of or all of the relocation costs.

Liability can be determined by property rights, franchise rights/agreements, state and local statutes/ordinances, permits, a finding by the local agency's counsel, or other recorded legal document. Documentation providing proof of the local agency's liability for the costs of utility relocation must be submitted with an initial payment request (see Chapter 10). Utilities funded through enterprise funds shall not be eligible for reimbursement.

If a relocation is eligible to be reimbursed, and to be performed by the utility owner or by the utility owner's contractor, the work should be included in the right-of-way phase costs and clearly identified in the project application submittal. For eligible relocations to be performed during the construction phase by the local agency's contractor, the work should be included in the plans and specifications similar to other construction activities. Adjustment of existing utilities to grade (e.g. water valves, manhole frames and covers), due to new roadway cross sections are generally eligible in the construction phase.

In all cases, eligible costs shall only include "in-kind" relocation. No reimbursements will be made for betterments above the cost of "in-kind" relocation. Additionally, costs submitted for program reimbursement must be reduced by any salvage credits received.

### **Ineligible Projects**

- Seismic retrofit projects (unless combined with eligible capacity enhancements)
- Enhanced landscaping and aesthetics (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape).

### **Selection Criteria**

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on existing usage, level of services benefits, local match



funding and overall facility importance. Technical categories and point values are shown on Tables 7-5 and 7-6. Data sources and methodology are described below.

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts and ramp volumes projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts for the proposed segment for comparison purposes. The agency must submit the project projected ADT, current ADT, the delta, and justification of the increase. Regarding “current” counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the preceding 36 months. Project applications without “current” counts will be deemed incomplete and non-responsive. Average ramp intersection volume for each interchange ramp will be used for the current counts. New facilities will rely on projected ramp volume based upon Caltrans approved projection.

For agencies where event or seasonal traffic presents a significant issue, Average Annual Daily Traffic (AADT) counts can be used, provided the agency gives sufficient justification for the use of AADT.

Current Project Readiness: This category is additive. Points are earned for each satisfied readiness stage at the time applications are submitted.

- Right-of-Way (all easements and titles) – applies where no right-of-way is needed for the project or where all right-of-way has been acquired/dedicated).
- Right-of-Way (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication have been received by the jurisdiction.
- Final Design (PS&E) – applies where the jurisdiction’s City engineer or other authorized person has approved the final design.
- Preliminary design (35 percent level) – will require certification from the City engineer and is subject to verification.
- Project Approvals/Environmental Documentation (PA/ED) – applies where a Project Report-level analysis has been completed and environmental approvals have been attained.

Cost Benefit: Total project cost (including unfunded phases) divided by the existing ADT (or modeled ADT for new segments).

Funding Over-Match: The percentages shown apply to match rates above a jurisdiction’s minimum local match requirement. M2 requires a 50 percent local match for RCP projects. This minimum match can be reduced by up to 25 percentage points if certain eligible components are met. If a jurisdiction’s minimum match target is 30 percent and a local



match of 45 percent is pledged, points are earned for the 15 percent over-match. The pledged amount is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project.

Coordination with Freeway Project: Interchanges planned to coincide with or accommodate programmed freeway improvements receive points in this category.

Transportation Significance: Roadway classification as shown in the current MPAH.

MPAH Needs Assessment Category: Segment designation as shown in the RCP Needs Assessment study.

Operational Efficiencies: This category is additive. Each category, except Active Transit Routes, must be a new feature added as a part of the proposed project.

- Eliminate left turn conflicts: Ramp intersection reconfiguration which does not permit left turns onto ramps.
- Coordinated signal: Ramp intersections within a coordinated corridor where coordination did not previously exist.
- Add turn lanes: Increase in number of turn lanes on arterial.
- Add traffic control: Signalization of ramp intersection.
- Enhanced ramp storage: Extension or widening of existing ramp to improve off-street storage capacity.
- Pedestrian facilities: Add crosswalk and or sidewalk to ramp or bridge crossing within context of interchange improvements.
- Active Transit Route: facility contains a currently active OCTA transit route
- Sustainability Elements: Includes the use of recycled materials during the roadway construction process (recycled aggregate or rubberized asphalt) or the installation of solar lighting within the roadway cross section. Other elements of sustainability may be considered on a case by case basis.
- Water Conservation: Includes elements that reduce water consumption. This includes the replacement of existing landscaping with hardscape and/or "California Native" drought tolerant type landscaping; the replacement of existing sprinklers with drip irrigation systems; the installation of new "grey" or recycled water systems where such does not currently exist.
- Safety Improvements: Project features that increase the safety of pedestrians. These elements can include the new installation of: intersection median barriers, curb extensions, pedestrian crossing islands, crosswalk enhancements, safety signage, and the addition, modification, or improvement of existing pedestrian signals. Other elements of safety may be considered on a case by case basis.

LOS Improvement: This category is a product of the existing or projected LOS based upon volume/capacity-- or v/c -- and LOS improvement "with project" for arterial based



improvements and ICU for intersection based improvements. **Projects must meet a minimum existing or projected LOS of "D" (.81 v/c) to qualify for priority consideration for funding.** Existing LOS is determined using current 24-hour traffic counts/turning movements (averaging AM/PM peaks) for the proposed segment. However, for projects where traffic volumes follow unconventional patterns (e.g. unidirectional congestion, large disparity between AM and PM peaks, etc.) alternate methodologies for determining LOS can be proposed as discussed Section 7.1 (ACE) and Section 7.2 for ICE. If HCM 2010 is proposed for intersections as an alternative methodology, all analysis must be submitted to OCTA no later than September 9, 2016 and the cost for independent review shall be reimbursed by the applicant. Projects that do not meet the minimum LOS "D" can be submitted, but are not guaranteed consideration as part of the competitive process.

If during the competitive process, it is determined that additional programming capacity exists after all eligible projects with LOS "D" have been funded, a consideration of projects with a minimum LOS "C" (.71 v/c) may be undertaken. Such consideration will be at the discretion of OCTA. Projects with an LOS better than "C" (.70 v/c) will not be considered.

Improvement Characteristics: Select the attribute that best fits your project definition.

- New facility: New interchange where none exists.
- Partial facility: New interchange which does not provide full access.
- Interchange reconstruction: improvement of existing interchange to provide additional arterial capacity (widening of overcrossing or undercrossing).
- Ramp reconfiguration: Widening of ramp or arterial to improve turning movements or other operational efficiencies.
- Ramp metering: Installation of metering on ramp.

## **Application Process**

Project grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to evaluate the project proposal as outlined below.

- Complete application
  - Funding needs by phase and fiscal year
  - Local match funding source
  - Supporting technical information
  - Project development and implementation schedule
  - Right-of-way status and a detailed plan for acquisition/disposal of excess right-of-way. The right-of-way acquisition/disposal plan must be submitted using the "right-of-way acquisition/disposal plan" form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.



- Any additional information deemed relevant by the applicant
- Grants subject to a Master Funding Agreement or cooperative agreement if federal funds are awarded

Calls for projects are expected to be issued on an annual basis, or as determined by the OCTA Board of Directors. Complete project applications must be submitted by the established due date to be considered eligible for consideration.

Applications will be reviewed by OCTA for consistency, accuracy and concurrence. Once applications have been completed in accordance with the program requirements, the projects will be scored, ranked and submitted to the TAC and Board for consideration and funding approval.

### **Minimum Eligibility Requirements**

Projects must have an existing or projected LOS "D" (.81 v/c) or worse to qualify for priority consideration for funding in this program. Worst peak hour period is used for this evaluation and eligibility purposes.

### **Matching Funds**

Local agencies are required to provide local match funding for each phase of the project. As prescribed by the M2 Ordinance, a 50 percent minimum local match is required. A lower local match may be permitted if certain eligibility criteria are met. The amount pledged during the application process is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project. Actual project contributions by the local agency are dependent on final project costs and may not be equal to the committed match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures do not contribute to the local match rate.

### **Reimbursements**

This program is administered on a reimbursement basis for capital improvements, planning, design, and right-of-way acquisition. Reimbursements will be disbursed upon review and approval of an acceptable initial payment submittal, final report and consistency with Master Funding Agreement. The reimbursement process is described in Chapter 10.

### **Caltrans Coordination**

Caltrans is not eligible to submit applications or receive payment under this program. Only cities or the County of Orange may submit applications and receive funds. This program was designed to benefit local agencies.



Coordination with Caltrans will be essential for most, if not all, of the projects submitted for this program. Local agencies should therefore establish contacts with the Caltrans District 12 Office (Project Development Branch) to ensure that candidate projects have been reviewed and approved by Caltrans. All other affected agencies should be consulted as well.

**Agencies submitting projects for this program must have confirmation from Caltrans that the proposed improvement is consistent with other freeway improvements as evidenced by and agreement or other formal document.**

Applications should be submitted so that interchange projects are done in conjunction with construction of other freeway improvements whenever possible. However, if the interchange project can be done in advance of the freeway project, verification and/or supporting documentation must be submitted showing the interchange improvement has merit for advanced construction and that it will be compatible with the freeway design and operation. Additionally, the interchange improvements should take into account the ultimate freeway improvements if the interchange is to be improved in advance.

### **Project Cancellation**

If a local agency decides to cancel a project, for whatever reason, the agency shall notify OCTA as soon as possible. Projects deemed infeasible during the planning phase shall bring that phase to a logical conclusion, file a final report, and cancel remaining phases so that remaining funds can be reprogrammed without penalty. Right-of-way funding received for property acquisition prior to cancellation shall be repaid upon cancellation even if property has been acquired. Construction funding received prior to cancellation shall be repaid upon cancellation.

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

### **Audits**

All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall grant, and/or other sanctions to be determined. Audits shall be conducted by OCTA's Internal Audit department or other authorized agent either through the normal annual process or on a schedule to be determined by the Board (see Chapter 11).

Proceeds from the sale of excess right-of-way acquired with program funding must be paid back to the project fund as described in Chapter 10 and Master Funding Agreement.



## Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the funding plan described above, local agencies will be required to submit the following materials:

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

Project Documentation: If proposed project has completed initial planning activities (such as PSR or equivalent, EIR, or design), evidence of approval should be included with the application. Satisfactory evidence includes project approval signature page, engineer-stamped site plan, or other summary information to demonstrate completion of planning phases. An electronic copy of the PSR and/or environmental document must be supplied as applicable. The applicant will be asked for additional detailed information only if necessary to adequately evaluate the project application.

Pavement Management Supporting Documentation: The M2 Ordinance provides for a 10 percent reduction in the required local match if the agency can demonstrate a measurable improvement in PCI (1 point or greater) over the previous reporting period, or if the agency can demonstrate a PCI that is within the highest 20 percent of the scale (PCI of 75 or greater). If an agency is electing to take the 10 percent local match rate reduction, supporting documentation indicating either the PCI improvement or PCI scale must be provided.

Project Summary Information: With each application being recommended for funding, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for review and discussion purposes. The presentation shall be no more than three (3) slides and should contain, at a minimum, a project description, project benefits, location map, and cost estimate. **OCTA staff will request the PowerPoint when/if a project is recommended for funding.**



TABLE 7-5

## Freeway/Arterial Street Transitions Interchange Improvements

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



**Table 7-6**

**FAST SCORING CRITERIA**  
**Point Breakdown for Freeway/Arterial Street Transitions Program**  
**Maximum Points = 100**

<b>Facility Usage</b>		<b>Points: 20</b>
ADT (Arterial plus daily ramp exit volume)		
<u>range</u>	<u>Points</u>	
55+ thousand	10	
50 - 54 thousand	9	
45 - 49 thousand	8	
40 - 44 thousand	6	
35 - 39 thousand	4	
30 - 34 thousand	3	
25 - 29 thousand	2	
20 - 24 thousand	1	
<10 - 19 thousand	0	
Current Project Readiness		Max. 10
<u>range</u>	<u>Points</u>	
Right Of Way (All easement and titles)	6	
Right Of Way (All offers issued)	4	
Final Design (PS&E)	4	
PA/ED	2	
Project Study Report or Equiv.	1	
Points are additive, ROW is highest qualifying designation		

<b>Economic Effectiveness</b>		<b>Points: 25</b>
Cost Benefit (Total \$/ADT)		
<u>range</u>	<u>Points</u>	
<20	10	
20-39	8	
40-79	6	
80-159	4	
160-319	2	
320-640	1	
>640	0	
Funding Over-Match (local match/project cost) minus minimum local match requirement		
<u>range</u>	<u>Points</u>	
30+ %	10	
25-29 %	8	
20-24 %	6	
15-19 %	4	
10-14 %	2	
0-9 %	1	
Range refers to % points above agency min. req.		
Coordination with Freeway Project		
<u>Range</u>	<u>Points</u>	
yes	5	
no	0	

<b>Facility Importance</b>		<b>Points: 25</b>
Transportation Significance		
<u>range</u>	<u>Points</u>	
Principal or CMP Route	5	
Major	4	
Primary	3	
Secondary	2	
Collector	1	
MPAH Assessment Category		
<u>range</u>	<u>Points</u>	
Category 1	5	
Category 2	4	
Category 3	3	
Category 4	2	
Category 5	1	
Operational Attributes (within the roadway)		Max. 15
<u>range</u>	<u>Points</u>	
Eliminate left turn conflict	3	
Coordinated signal	2	
Add turn lanes	3	
Add traffic Control	1	
Enhanced ramp storage	3	
Pedestrian Facilities (New)	3	
Water Conservation Elements	2	
Safety Improvements	2	
Sustainability	2	

<b>Benefit</b>		<b>Points: 30</b>
LOS Improvement		Max: 20
Calculation: Ave LOS Imp + Ave LOS Starting Pt.		
LOS Reduction W/Project (exist. volume)		
<u>range</u>	<u>Points</u>	
.20+	10	
.16-.19	8	
.1-.15	6	
.05-.09	4	
<.05	2	
Existing LOS		
<u>range</u>	<u>Points</u>	
1.06+	10	
1.01 - 1.05	8	
.96 - 1.00	6	
.91 -. 95	4	
.86-.90	2	
.81 -.85	1	
Improvement Characteristics		
<u>range</u>	<u>Points</u>	
New facility (full interchange)	10	
New facility (partial interchange)	8	
Interchange reconstruction	6	
Ramp reconfiguration	4	
Ramp metering	2	



## **Section 7.4 - Regional Grade Separation Program (RGSP)**

### **Background**

Seven rail crossing projects along the Master Plan of Arterial Highways (MPAH) network were identified by the CTC to receive Trade Corridors Improvement Funds (TCIF). These TCIF allocations required an additional local funding commitment. To meet this need, the Board approved the commitment of \$160 million in Regional Capacity Program funds to be allocated from M2. The RGSP captures these prior funding commitments.

Future calls for projects for grade separations are not anticipated.



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

### Overview

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

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

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

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

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

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

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



## Section 8.1 - Funding Guidelines

### Objectives

#### Synchronize traffic signals across jurisdictions

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

#### Project Definition

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

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

Applicant agency and owning agency must demonstrate through simulation, or actual vehicle counts showing Origin – Destination that proposed linked corridors for a route. Two linked corridors may also combine at the point of intersection to form a single local Master offset Control Point (T<sub>0</sub>) for future Zone operations.

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

#### Eligible Activities

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

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



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

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

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



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



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

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

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

### **Ineligible Expenditures**

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

### **Funding Estimates**

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



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

## **Selection Criteria**

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

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

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

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

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

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

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

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

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

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

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



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

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



## Table 8-1

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

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



## Application Process

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

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

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

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

## Application Instructions

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



## OCFundtracker Application Components

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

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

## Minimum Eligibility Requirements

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

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

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

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

or

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

or

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



or

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

## Matching Funds

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

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

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

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



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

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

\*\* In-kind services are subject to audit.

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

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

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

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

### **Other Application Materials**

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

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



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

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

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

## **Lead Agency**

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

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

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



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

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

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

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



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

### **Project Cancellation**

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

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

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

### **Project Extensions**

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

### **Audits**

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

### **Data Compatibility**

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



spreadsheet; or 2) JAMAR comma separated value style text file. The data shall then be loaded into the OCTA Roadway Operations and Analysis Database System (ROADS). Any data files containing numeric intersection or node identifiers shall use the same node identification (ID) numbers as is stored in the ROADS database. OCTA shall provide a listing of intersections and corresponding unique node ID numbers. Each count data file shall adhere to the following file naming or csv. As an example, a turning movement count file for the intersection of Harbor Boulevard and Wilson Street in Costa Mesa would be given the filename CostaMesa\_Harbor-Wilson\_4534.csv.

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



## Section 8.2 - 2018 Call for Projects

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

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



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

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

## Applications

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

## Project Submittal

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

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

## Application Review and Program Adoption

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



## **Checklist Guide**

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

## **Sample Resolution Form**

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



## Exhibit 8-1

### Project P Regional Traffic Signal Synchronization Program Application Checklist

Project P Application Checklist	Included
RTSSP Online Application – submitted through OCFundTracker	
<ol style="list-style-type: none"> <li>1. Vehicle Miles Traveled</li> <li>2. Benefic Cost Ratio</li> <li>3. Project Characteristics</li> <li>4. Transportation Significance</li> <li>5. Maintenance of Effort</li> <li>6. Project Scale</li> <li>7. Number of Jurisdictions</li> <li>8. Current Project Readiness</li> <li>9. Funding Over-Match</li> </ol>	
<b>Section 1: Key technical information</b>	
<ol style="list-style-type: none"> <li>a. Project limits of the corridor to synchronize</li> <li>b. Designation of the corridor to synchronize: priority corridor, signal synchronization network corridor, or master plan of arterial highways corridor</li> <li>c. Project start date and end date, including any commitment to operate signal synchronization beyond the three year grant period</li> <li>d. Signalized intersections that are part of the project</li> <li>e. Traffic Forum members</li> </ol>	
<b>Section 2: Lead agency</b>	
<b>Section 3: Resolutions of support from the project's Traffic Forum members</b>	
<b>Section 4: Preliminary plans for the proposed project</b>	
<p>The plans shall include details about both phases of the project: <u>Primary Implementation</u> and the <u>Ongoing Maintenance and Operation</u>. The plan should be organized using the following setup.</p> <p><u>Primary Implementation</u> shall include details about the following:</p> <ol style="list-style-type: none"> <li>a. Developing and implementing optimized signal synchronization timing (required)</li> <li>b. Producing a Before and After Study for the proposed project (required)</li> <li>c. Proposed signal improvements (optional): <ol style="list-style-type: none"> <li>i. New or upgraded detection</li> <li>ii. New or upgraded communication systems</li> <li>iii. Intersection/field system modernization and replacement</li> <li>iv. Minor signal operation improvements</li> <li>v. Traffic management centers</li> <li>vi. Real-time traffic actuated operations and demonstration projects</li> </ol> </li> </ol> <p><u>Ongoing Maintenance and Operation</u> will begin after the <u>Primary Implementation</u> of the project is completed. It shall include details about the following:</p> <ol style="list-style-type: none"> <li>a. Monitoring and improving optimized signal timing (required)</li> <li>b. Communications and detection support (optional)</li> </ol>	
<b>Section 5: Total Proposed Project Cost by Task</b>	
<b>Section 6: Project Schedule by Task for the 3 Year Grant Period</b>	
<b>Section 7: Matching Funds</b>	
<b>Section 8: Environmental clearances and other permits</b>	
<b>Section 9: Calculations used to Develop Selection Criteria Inputs</b>	
<b>Section 10: Any additional information deemed relevant by the applicant</b>	



## **EXHIBIT 8-2**

### **Sample Resolution for Candidate Orange County Regional Transportation Signal Synchronization Program Projects**

A resolution of the \_\_\_\_\_ City Council approving the submittal of \_\_\_\_\_ improvement project(s) to the Orange County Transportation Authority for funding under the competitive Measure M2 Regional Transportation Signal Synchronization Program.

**THE CITY COUNCIL OF THE CITY OF \_\_\_\_\_ HEREBY RESOLVES, DETERMINES, AND ORDERS AS FOLLOWS THAT:**

**WHEREAS, the Measure M2 Regional Traffic Signal Synchronization Program targets over 2000 signalized intersections across Orange County to maintain traffic signal synchronization, improve traffic flow, and reduce congestion across jurisdictions; and**

**WHEREAS, the City of \_\_\_\_\_ has been declared by the Orange County Transportation Authority to meet the eligibility requirements to receive revenues as part of Measure M2;**

**WHEREAS, the CITY must include all projects funded by Net Revenues in the seven-year Capital Improvement Program as part of the Renewed Measure M Ordinance eligibility requirement.**

**WHEREAS, the CITY authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the Orange County Transportation Authority Board of Directors.**

**WHEREAS, the City of \_\_\_\_\_ has currently adopted a Local Signal Synchronization Plan consistent with the Regional Traffic Signal Synchronization Master Plan as a key component of local agencies' efforts to synchronizing traffic signals across local agencies' boundaries; and**

**WHEREAS, the City of \_\_\_\_\_ will provide matching funds for each project as required by the Comprehensive Transportation Funding Programs Procedures Manual; and**

**WHEREAS, the City of \_\_\_\_\_ will not use Renewed Measure M funds to supplant Developer Fees or other commitments; and**

**WHEREAS, the City of \_\_\_\_\_ desires to implement multi-jurisdictional signal synchronization listed below; and**

**NOW, THEREFORE, BE IT RESOLVED THAT:**

**The City Council of the City of \_\_\_\_\_ hereby requests the Orange County Transportation Authority allocate funds in the amounts specified in the City's application to said City from the Transportation Signal Synchronization Program. Said funds shall be matched by funds from said City as required and shall be used as supplemental funding to aid the City in signal synchronization along the following street(s):**



## Chapter 9 - Application Materials

### Project Submittal

RCP and RTSSSP calls for projects are planned annually. A separate application package must be completed for each individual project and uploaded to OCFundtracker. Only one application may be submitted for each individual project. Multiple variations of the same application (e.g. with different local match rates) will not be considered. **Three (3) unbound copies** of each application should also be mailed to:

OCTA

Attention: Ms. Sam Kaur  
550 S. Main Street  
P.O. Box 14184  
Orange, CA 92863-1584

Hardcopy applications can be hand delivered to:

Attention: Ms. Sam Kaur  
600 S. Main Street  
Orange, CA 92868

### Application Review and Program Adoption

1. OCTA staff will conduct a preliminary review of all applications for completeness and accuracy, request supplemental information (i.e., plans, aerial/strip maps, CEQA forms) for projects that appear to rank well during initial staff evaluations, and prepare a recommended program for the TSC. In addition, OCTA may hire a consultant(s) to verify information within individual applications such as, but not limited to, project scope, cost estimates, ADT and LOS. These applications will be selected through a random process.
2. The TSC will receive and evaluate the project applications and funding grants.
3. Based on recommendations from the TSC, a program will be presented to the TAC for review and endorsement.
4. Recommendations from the TAC will be presented to the Board, who will approve projects for funding under the CTFP.
5. OCTA shall distribute copies of the approved program to all participating local agencies with any qualifying conditions stipulated for the jurisdiction's funded project(s).



## Project Guidelines

The following guidelines will be used in reviewing project applications. Any application that does not meet these minimum guidelines must include an explanation of why the guidelines were not met.

6. The travel lane width should be no less than 11 feet (12 feet if adjacent to a raised median or other obstruction) for all arterial highways.
7. For divided roadways, the minimum median width should be no less than 10 feet to allow for turning movements. Divided roadways are defined as those with either a painted or raised median.
8. Arterial highways that are designated for uses in addition to automobile travel (e.g., bicycle, pedestrian, parking) shall provide additional right-of-way consistent with local jurisdiction standards to facilitate such uses.
9. An eight-lane roadway should provide for a continuous median, protected dual or single left-turn pockets as warranted at signalized intersections, single left-turn pockets at non-signalized intersections, and a right-turn lane at signalized intersections where determined necessary by traffic volumes. Right-of-way for a free right-turn lane should be provided at locations warranted by traffic demand.
10. A six-lane divided roadway should provide a continuous median, protected dual or single left-turn pockets as warranted by existing traffic at all signalized intersections, and single left-turn pockets at non-signalized intersections. A right-turn option lane should also be provided as warranted by traffic demand.
11. A four-lane divided roadway should provide a continuous median, protected dual or single left-turn pockets at all signalized intersections, and a left-turn pocket at all non-signalized intersections. A right-turn lane should also be provided as warranted by traffic demand.
12. A four-lane undivided roadway shall provide for a single left-turn pocket at all intersections as warranted by traffic demand.

## Application Instructions

A single application should be submitted for each phase of a project. **If funding is requested under multiple program components for a single project (i.e., arterials and intersections) a separate application must be prepared for each request.** Final applications MUST be submitted via OCFundtracker and in hard copy format.



## Checklist Guide

Since each funding program has slightly different application requirements, an "Internal Application Checklist Guide" has been provided for the three programs under the RCP (Exhibits 9-1, 9-2, and 9-3). The checklist guide identifies the basic forms and documentation required for each of the program components. In addition, items required at the time of project submittal are differentiated from supplemental items due later. The appropriate checklist should be provided as a cover sheet for **each** application submitted. For any items that are required for the candidate project or program that are missing or incomplete, an explanation should be included in a cover letter with the application. In addition to this checklist guide, please review the **Attachments/Additional Information** section of each program component for a description of supplementary documentation which may be required to support your agency's project application in specific cases.

## Attachments

### OC Fundtracker Application

Agencies must submit a copy of the OCFundtracker application and scoring information with all application submittals. This document is created within the OCFundtracker web-based application.

### "Project Cost Estimate" Form

Include a separate attachment listing all expenditures and costs for the project. Accurate unit prices and a detailed description of work, including design, will be critical when the candidate project is reviewed. For example, design applications should include major tasks that will be performed. Right-of-way cost estimate should include parcel information (including project area needed), improvements taken, severance damages, right-of-way engineering, appraisal and legal costs. Construction should include a listing of all bid items including a maximum 10 percent allowance for contingencies and a maximum 15 percent allowance for construction engineering/project management. The anticipated disbursement of costs (e.g., Agency, Other, Non-Eligible) must also be completed. Agencies should reference the program from which funding is expected to be allocated when completing this portion of the form. Each of the funding programs described in these guidelines may have differing matching fund requirements.

If more than one project phase is requested to be funded, a separate project cost estimate form is to be completed for each phase, or each phase must be clearly indicated and a subtotal prepared on this form. Separate forms should also be prepared if funding for project phases is being requested over multiple fiscal years.



## **"Sample Resolution" Form**

A resolution or minute action must be approved by the local jurisdiction's governing body prior to the Board approval of grant funds. A sample resolution is included as Exhibit 9-4. The mechanism selected shall serve as a formal request for CTFP funds and states that matching funds will be provided by the agency, if necessary. All project requests must be included in this action. **If a *draft* copy of the resolution is provided, the local jurisdiction must also provide the date the resolution will be finalized by the local jurisdiction's governing body.**

## **Pavement Management Supporting Documentation**

The M2 Ordinance provides for a 10 percent reduction in the required local match if the agency can demonstrate a measurable improvement in PCI (1 point or greater) over the previous reporting period, or if the agency can demonstrate a PCI that is within the highest 20 percent of the scale (PCI of 75 or greater). If an agency is electing to take the 10 percent match rate reduction, supporting documentation indicating either the PCI improvement or PCI scale must be provided.

## **Right-of-way Acquisition/Disposal Plan**

For all projects requesting right-of-way phase funding, a detailed plan for acquisition/disposal of excess right-of-way, along with any reasonable labor costs expected, must be included. The right-of-way acquisition/disposal plan and labor cost estimate must be submitted using the "right-of-way acquisition/disposal plan" form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.

## **Project Summary Information**

For each application that is recommended for funding, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for TAC review and discussion purposes. The presentation shall be no more than three (3) slides and should contain, at a minimum, a project description, project benefits, location map, and cost estimate. **OCTA staff will request the PowerPoint when/if a project is recommended for funding.**

## **Additional Information**

The following documentation should be included with your completed project application:

If a project includes more than one jurisdiction and is being submitted as a joint application, one agency shall act as lead agency and must provide a resolution of support from the other agency.

1. Letters of support for the candidate project (optional).



2. Geotechnical\materials reports for all applicable candidate projects (e.g., widening, intersection improvement, new roadway). The reports should contain sufficient detail for an accurate assessment of improvements needed and costs, since funding will be jeopardized if a project is unable to meet proposed schedule and costs.
3. Preliminary plans, if available for the project. The plans (1"=40' preferred) should include:
  - a. Existing and proposed right-of-way (include plat maps and legal descriptions for proposed acquisitions).
  - b. Agency boundaries, dimensions and station numbers.
  - c. Existing and proposed project features such as: pavement width and edge of pavement, curb, gutter and sidewalk, raised median, driveway reconstruction, signal pole locations, etc.
  - d. Typical cross sections.
  - e. Proposed striping.
  - f. Structural sections per the materials report.
  - g. Proposed traffic signals, storm drains, bridges, railroad crossing improvements, safety lighting, etc.
  - h. If requesting funds for traffic signals, include a traffic signal warrant(s) prepared by the City Traffic Engineer or City Engineer.
  - i. If the project includes construction, relocation, alteration or widening of any railroad crossing or facility, include a copy of the letter of intent sent to the railroad, a copy of which must be sent to the Public Utilities Commission (PUC). Any project including work of interest to a railroad will not be considered for eligibility until the railroad and PUC have been notified.
  - j. If the project is proposed as a staged project and additional funds will be necessary in subsequent calls for projects, the preliminary project statement should be accompanied with a complete preliminary estimate and schedule for the completion of the entire project.
  - k. If the project is proposed as a safety improvement, provide justifying accident data for the past three years and show the expected decrease in intersection or mid-block accident rate.
4. Current 24-hour traffic counts (taken for a typical mid-week period within the preceding 12-month period) for the proposed segment. Projects submitted without "current counts" will be considered incomplete and non-responsive.



**Exhibit 9-1**  
**Arterial Capacity Enhancement (ACE)**  
**CTFP Application Checklist Guide**

**Planning – Environmental & Engineering**

- CTFP Online Application – submitted through OCFundtracker
- Project Description, Scope of Work and Project Limits
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- ADT Counts and LOS Calculations
- Aerial Photo w/ Proposed Improvements Shown

**Right-of-Way**

- CTFP Online Application – submitted through OCFundtracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Detailed right-of-way Acquisition/Disposal Plan using the OCTA provided right-of-way acquisition/disposal plan form available for download at <https://ocfundtracker.octa.net>.
- Cost Estimate for Complete Project - ALL PHASES
  - Estimated right-of-way Cost by Parcel (Land, Improvements Taken, Severance, Goodwill, Incidental Expenses)\*
- General Application Sample Resolution
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Aerial Strip Map w/ Existing and Proposed Improvements Shown
  - Include right-of-way Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans\*
- ADT and LOS Calculations

**Construction**

- CTFP Online Application – submitted through OCFundtracker
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report \*
- Approved Project Construction Plans\*
- ADT and LOS Calculations

***NOTE: To qualify for the 10 percent local match discount for measureable improvement of PCI, please include documentation from the last two PMP biennial Measure M Eligibility submittals that provide average PCI for Overall System.***

***\*Items are due after first application review. OCTA staff will contact you regarding those projects that will require this additional information.***



## **Exhibit 9-2**

### **Intersection Capacity Enhancement (ICE)**

#### **CTFP Application Checklist Guide**

##### **Planning – Environmental & Engineering**

- CTFP Online Application – submitted through OCFundtracker
- Project Description, Scope of Work and Project Limits
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- Aerial Photo w/ Proposed Improvements Shown

##### **Right-of-Way**

- CTFP Online Application – submitted through OCFundtracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Detailed right-of-way Acquisition/Disposal Plan using the OCTA provided right-of-way acquisition/disposal plan form available for download at <https://ocfundtracker.octa.net>.
- Cost Estimate for Complete Project - ALL PHASES
  - Estimated right-of-way Cost by Parcel (Land, Improvements Taken, Severance, Goodwill, Incidental Expenses) \*
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Aerial Strip Map w/ Existing and Proposed Improvements Shown
  - Include right-of-way Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans\*

##### **Construction**

- CTFP Online Application – submitted through OCFundtracker
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report \*
- Approved Project Construction Plans\*

***NOTE: To qualify for the 10 percent local match discount for measureable improvement of PCI, please include documentation from the last two PMP biennial Measure M Eligibility submittals that provide average PCI for Overall System.***

***\*Items are due after first application review. OCTA staff will contact you regarding those projects that will require this additional information.***



## Exhibit 9-3

### Freeway Arterial/Streets Transition (FAST)

#### CTFP Application Checklist Guide

##### **Planning – Environmental & Engineering**

- CTFP Online Application – submitted through OCFundtracker
- Project Description, Scope of Work and Project Limits
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, ADT for arterial and ramp exit volumes
- Caltrans Letter of Support
- Aerial Photo w/ Proposed Improvements Shown

##### **Right-of-Way**

- CTFP Online Application – submitted through OCFundtracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Detailed right-of-way Acquisition/Disposal Plan using the OCTA provided right-of-way acquisition/disposal plan form available for download at <https://ocfundtracker.octa.net>.
- Cost Estimate for Complete Project - ALL PHASES
  - Estimated right-of-way Cost by Parcel (Land, Improvements Taken, Severance, Goodwill, Incidental Expenses) \*
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Aerial Strip Map w/ Existing and Proposed Improvements Shown
  - Include right-of-way Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans\*

##### **Construction**

- CTFP Online Application – submitted through OCFundtracker
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report \*
- Approved Project Construction Plans\*

***NOTE: To qualify for the 10 percent local match discount for measureable improvement of PCI, please include documentation from the last two PMP biennial Measure M Eligibility submittals that provide average PCI for Overall System.***

***\*Items are due after first application review. OCTA staff will contact you regarding those projects that will require this additional information.***



## Exhibit 9-4

### Sample Resolution for Candidate Orange County Comprehensive Transportation Programs Projects

A resolution of the \_\_\_\_\_ City Council approving the submittal of \_\_\_\_\_ improvement project(s) to the Orange County Transportation Authority for funding under the Comprehensive Transportation Program

THE CITY COUNCIL OF THE CITY OF \_\_\_\_\_ HEREBY RESOLVES, DETERMINES, AND ORDERS AS FOLLOWS THAT:

- (a) WHEREAS, the City of \_\_\_\_\_ desires to implement the transportation improvements listed below; and
- (b) WHEREAS, the City of \_\_\_\_\_ has been declared by the Orange County Transportation Authority to meet the eligibility requirements to receive M2 "Fair Share" funds; and
- (c) WHEREAS, the City's Circulation Element is consistent with the County of Orange Master Plan of Arterial Highways; and
- (d) WHEREAS, the City of \_\_\_\_\_ will provide a minimum in \_\_% in matching funds for the \_\_\_\_\_ project as required by the Orange County Comprehensive Transportation Funding Programs Guidelines; and
- (e) WHEREAS, the Orange County Transportation Authority intends to allocate funds for transportation improvement projects within the incorporated cities and the County; and
- (f) WHEREAS, the City of \_\_\_\_\_ will not use M2 funds to supplant Developer Fees or other commitments; and
- (g) WHEREAS, the City/County must include all projects funded by Net Revenues in the seven-year Capital Improvement Program as part of the Measure M2 Ordinance eligibility requirement.
- (h) WHEREAS, the City/County authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the Orange County Transportation Authority Board of Directors.

NOW, THEREFORE, BE IT RESOLVED THAT:

The City Council of the City of \_\_\_\_\_ hereby requests the Orange County Transportation Authority allocate funds in the amounts specified in the City's application to said City from the Comprehensive Transportation Programs. Said funds shall be matched by funds from said City as required and shall be used as supplemental funding to aid the City in the improvement of the following street(s):

ADOPTED BY THE CITY COUNCIL on \_\_\_\_\_, 20\_\_\_\_.

SIGNED AND APPROVED on \_\_\_\_\_, 20\_\_\_\_.

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City Clerk

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Mayor



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## Chapter 10 - Reimbursements and Reporting

### Procedures for Receiving Funds

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

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

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

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

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

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



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

### **Availability of Funds**

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

### **Cancellation of Project**

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

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



## **Section 10.1 - Regional Capacity Program Initial Payment**

### **Payment Requests**

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

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

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

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

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

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

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



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

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



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

### **Reimbursement**

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

### **Calculation of Payment**

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

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

Given:

\$160,000 = CTFP Allocation \$40,000 = City Share

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

Calculations:

75% of CTFP allocation = \$160,000 x 0.75 = **\$120,000**.

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

Given:

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



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

Calculations:

Construction costs = \$280,000

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

75% of contract amount = \$200,000 x 0.75 = **\$150,000**.



## Section 10.2 - Regional Capacity Program Final Report and Payment Process

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

### Project Cost Changes

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

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

### Additional Documentation Requirements

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

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



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

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

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

### **Timely Final Reports**

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

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



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

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

### **Failure to Submit Final Report**

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

### **Excess Right-of-Way**

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

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

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

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

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

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



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

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

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

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

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

***Example:***

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

OCTA grant match rate 75%

**Parcel Costs:**

Cost – Parcel 1: \$300,000

Cost – Parcel 2: \$380,000

Cost – Parcel 3: \$120,000

Cost – Parcel 4: \$100,000

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

Payment with no excess ROW: \$500,000

**Excess right-of-way:**

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

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

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

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

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

**OCTA contribution to right-of-way acquisition:**

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

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

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



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

### Agency Workforce and Equipment Rental

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

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

#### Technical and/or Field Review

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

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

OCTA may review all phases of the project.

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



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

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

### **Reporting of Local Fair Share**

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



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

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

### **Procedures for Receiving Funds**

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

Primary Implementation includes the following:

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

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

Monitoring and improving optimized signal timing (required)

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



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

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

### **Availability of Funds**

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

### **Initial Payment Requests for Primary Implementation**

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

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

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

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

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



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

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

### **Final Payment Requests for Primary Implementation**

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

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

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

### **Payment Requests for Ongoing Maintenance and Operations**

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



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

### **Project Final Report**

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

#### **Example of Reimbursement**

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

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

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

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

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

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



## Section 10.4 - Environmental Cleanup Program Reimbursements and Reporting Requirements

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

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

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



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## **Chapter 11 - Audits**

### **Independent Audit Process Overview**

Independent audits of CTFP projects may be initiated by OCTA's Internal Audit Department (or agent thereof). The project information on file at OCTA will serve as the primary source of information for each audit. However, additional information may be requested of local agencies.

Accurate records detailing specific expenditures for each CTFP project must be maintained by local agencies. These records must show that proper accounting and cash management procedures were followed, the project was completed in accordance with the application and the CTFP guidelines, and that all records and documentation related to the project were adequately maintained. Consistent with the M2 Ordinance, local agencies must also establish a separate fund accounting system for Measure M funds transactions and expenditures.

Local agencies must maintain a complete set of records in accordance with generally accepted accounting principles, and with reasonable notice, shall permit the authorized representatives of OCTA to inspect and audit all work, materials, payroll, contracts, books, accounts, and other data and for a period of five (5) years after final payment by OCTA for CTFP projects. For the Local Fair Share program, it shall be for a period of five (5) years after expenditure of funds or five (5) years after final payment of debt service where local fair share revenues were pledged, whichever is longer. OCTA has the right to reproduce any such books, records, and accounts. The provision with respect to audits should be extended to/and included in contracts with the local agency's contractor(s).

### **Record Requirements to Demonstrate Compliance**

A description of the required records is given below.

#### **Contracts**

For all contract expenses the following records must be maintained:

1. The original executed contract
2. Evidence the procurement of contracted public works and architectural and engineering services followed applicable state laws and local agency procurement requirements
3. All contractor invoices received
4. All contract change order documents
5. Proof of payment to contractors
6. Project "as built" or other final plans



7. Sign-off on completion by Local Agency (letter of acceptance)

### **Materials and other**

For all materials and other miscellaneous expenses charged to the Comprehensive Transportation Programs project, the following records must be maintained:

1. Original invoice and purchase order
2. Proof of delivery
3. Evidence of reasonableness of price, if total cost of purchase is over \$1,000
4. Proof of payment

### **Direct labor**

For all direct labor charged to a project, including engineering labor, the following records must be maintained:

1. Summary time sheets showing total time charged to the project by the different individuals working on it
2. Individual time sheets or time cards showing the total time worked by the individual for each period (day, week, etc.) and the different tasks to which the individual's time was charged
3. Personnel files showing the individuals' pay rates
4. Payroll reports showing the computations of paychecks for the applicable periods

### **Equipment**

Equipment rental charges related to a project shall be documented by the following records:

1. Vendor's or local agency's invoice showing hours, rate, and type of equipment and location of rented equipment
2. Evidence of quotes obtained to determine best rate (documented phone quotes are acceptable)
3. Documentation of project need for equipment

### **Local agency force work**

For all construction phase work performed by local agency forces and the decision that local agency forces could perform the work more cost effectively or timely than a contractor must be documented.



## **Chapter 12 - Environmental Cleanup Program (Project X)**

### **Overview**

The Project X/Environmental Cleanup Program (ECP) provides for Measure M2 (M2) revenues to improve overall water quality in Orange County from transportation-generated pollution. Specifically, the Orange County Local Transportation Authority's Ordinance No. 3 (M2 Ordinance) dated July 24, 2006, provides 2 percent of gross M2 revenue dedicated to protecting Orange County beaches and waterways from the conveyance of urban runoff associated with transportation-generated pollution. The M2 ECP 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 M2 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 the ECP 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 M2 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 leaching 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 and pesticides), sediment, nutrients (nitrogen and phosphorus), litter, oxygen demanding substances (decaying



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

The M2 ECP 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 the ECP 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 M2 funding consideration. Some upgrades and expansions may be eligible. The eligibility of the project and its components will be determined during the evaluation process. Contact the Program Manager for details.

In May 2010, the Orange County Transportation Authority (OCTA) Board of Directors (Board) approved a two-tiered approach to fund the M2 ECP. Specifically, the funding plan called for up to \$19.5 million in Tier 1 grants on a "pay-as-you-go" basis through fiscal year (FY) 2017-18, and up to \$38 million in Tier 2 grants via bonding through FY 2014-15.



## **Section 12.1 – 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 the 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, five 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.

### **Tier 1 Project Types**

The 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 drift wood. 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 sedimentation 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. Subsequent to 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**

ECP funds can be used to implement street and highway-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. Applicants eligible for ECP 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 with an 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 M2 Ordinance requirements, an eligible applicant must be the lead agency for the funding application. Per Chapter 9, 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 Comprehensive Transportation Funding Program (CTFP) Guidelines regarding the provisions below:

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



- Schedule Change Requests
- Project Advancements
- Semi-Annual Review

Refer to Chapter 2 for explanations of the above provisions.

### **Funding Estimates**

A total of up to \$19.5 million is available for the Tier 1 Grant Program over a seven-year window from FY 2011-12 through FY 2017-18. Approximately \$3.1 million is available for the 2017 Tier 1 call for projects.

The maximum amount for the Tier 1 Grant Program is \$500,000 per project. The maximum amount that an applicant can receive in a funding period is \$500,000.

### **Matching Funds**

For the Tier 1 Grant Program, a minimum local match of 20 percent 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.

### **Overmatch**

For the Tier 1 Grant Program, administering agencies may “overmatch” ECP 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 minimum funding match will be given an additional one-half point for every five percent 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 ECP 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 of the contract award or programmed amount at contract award. OCTA will disburse the final payment, approximately 25 percent of eligible funds, after approval of the final report. Further information on reimbursements can be located within Chapter 10 of these Guidelines.

### **Scope Reductions/Modifications and Cost Savings**

Any proposed scope reductions of an approved project must be submitted to OCTA to ensure consistency with the Tier 1 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 ECP 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 the subsequent call of projects.

Any minor scope modifications, such as BMP device quantities and/or the adjustment of device locations, must be submitted to OCTA for administrative approval prior to the implementation of the project. The proposed modifications must mitigate the same pollutants, affect the same waterways, and meet all other provisions as stipulated in these guidelines.

### **2017 Tier 1 Call for Projects**

2017 Tier 1 Call for Projects applications must be received by OCTA **no later than 5:00 PM, May 17, 2017**. Projects that do not award construction contracts by June 30, 2018 will not be considered. OCTA allocates funds on July 1 of each year. Tier 1 projects are not eligible for delay requests, please refer to precept number 17 for additional information. Funds will become available upon execution of a letter agreement.

After the 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 summer 2017. 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 12-1) with the following categories:

- Problem and source identification
- Project design
- Operations and maintenance
- Project benefits
- Performance metrics
- Project implementation and readiness
- Secondary attributes\*

\*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 ten bonus points associated with up to five points related to a cash overmatch, and up to five points related to eligible agencies that have previously funded the implementation of structural BMP’s to mitigate pollutant loading. Previous projects funded by M2 Competitive Grant funds cannot be used for bonus points consideration. Proof of documentation such as invoices or payment request must be available on the purchase of the equipment or services provided by vendors. The latter bonus points are based on the ECAC’s recommendations that previous local funding of structural BMPs should be acknowledged and rewarded. See Exhibit 12-1 for scoring categories and point distribution.



## Exhibit 12-1 (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. List each receiving waterway associated with this project. If the receiving waterway is on the 303(d) list of impaired waters, identify the pollutant(s) for which it is listed. (2 points per waterway; 3 points if waterway is 303(d) listed, up to 12 points)	12
3. List the pollutant(s) that would be addressed by the proposed project <i>and</i> the source(s) generating those pollutants. (2 points per pollutant and source, 3 points if the addressed pollutant is on the 303(d) list for any receiving waterways identified in Question 2, up to 16 points)	16
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 the OCTA Board of Directors approval. (up to 6 points):  Less than 4 Months (6 points) 4 - 8 months (4 points) 8 - 12 months (2 points) More than 12 months (1 point)	6
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 operations and maintenance 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. <b>BONUS:</b> How many different Tier 1 type BMPs are currently installed within the local agency's jurisdiction, excluding BMPs funded by previous ECP grants. (1 point per BMP type, up to 5 points)	5
12. <b>BONUS:</b> 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
Note: overmatch bonus points can only be granted to projects with a cash match.	
	<hr/>
	110



## 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
- Joint-Application (if applicable)
- Proposed Schedule
- Project Management
- Description and Scope of Proposed Project
- Integrated Regional Water Management Plan identification (if applicable)
- Water Bodies and 303(d) Listings
- Project Readiness
- Performance Metrics
- Detailed Project Estimate

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 BMP
- Precise maps to show tributary drainage area and proposed location(s) for BMP installation
- Digital project site photos
- Project master schedule
- Preliminary agreements with joint and/or third party entities if part of the funding application
- A city council resolution. A final resolution authorizing request for funding consideration with a commitment of local match funding must be provided with the project application. **If a draft copy of the resolution is provided, the local agency must also provide the date the resolution will be finalized by the local agency's governing body.** A final copy of the City Council approved resolution must be provided at least four (4) weeks **PRIOR** to the consideration of programming recommendations by OCTA's Board.

For the Tier 1 Grant Program, an unbound original and two copies (total of three) of the completed application form and supporting documentation are to be submitted, plus a



CD/DVD copy of the complete application materials. Use separate sheets of paper if necessary.

There is no maximum length for proposals. All pages must be numbered and printed on 8 1/2 x 11 sheets of white paper. 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.



## **Exhibit 12-2 (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).

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.

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.

WHEREAS, OCTA has established the procedures and criteria for reviewing proposals; and

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

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

WHEREAS, the (ADMINISTERING AGENCY) will maintain and operate the equipment acquired and installed; and

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

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

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;

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.

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.

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**

- ECP funds must be for capital improvement. Construction management and project management cannot exceed 15 percent of the total construction costs.
- ECP 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. (For example, a homeowner association can apply for funding through an eligible agency if the proposed project is connected to a public facility.)
- 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 considerations.

## **Ineligible Expenditures**

- Operations and maintenance costs are not eligible expenditures. Operations and maintenance costs cannot be utilized as a source of matching funds.
- ECP funds are not to be used for planning.
- 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.
- 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 10 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 approving bodies 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 11 for independent audit requirements beyond the technical and/or field review.

### **Additional Information**

Completed applications and questions regarding these procedures and criteria should be directed to:

By mail:

Sam Kaur

Orange County Transportation Authority

P.O. Box 14184

Orange, CA 92863-1584

Tel: (714) 560-5907

Fax: (714) 560-5673

In person:

Orange County Transportation Authority

600 South Main Street

Orange, CA 92863-1584



## **Section 12.2 - Tier 2 Grant Program**

The Tier 2 Grant Program consists of funding larger (projects treating catchment areas of 50 acres or greater), potentially multi-jurisdictional, capital-intensive structural treatment best management practice (BMP) projects. Proposed projects covering smaller catchment areas which are otherwise eligible are not prohibited from the application process and will be regarded as eligible for consideration if the proposed project can demonstrate highly significant water quality improvement benefits (greater than other competing larger scale proposed projects) and cost-effectiveness under the scoring criteria guidelines. Tier 2 funds are designed to fund large-scale BMP construction projects. Examples include constructed wetlands, detention/infiltration basins and other large-scale 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.

### **Pre-Application Process**

In order to facilitate a jurisdiction's best use of the Environmental Cleanup Program, Project X (ECP) funds, Tier 2 applicants may engage in a pre-application process with the Orange County Transportation Authority (OCTA) staff in order 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 for projects (call) and one week prior to the application deadline date. Subsequent to the call deadline, applicants will not be able to change the content of their application or scope of the project.

### **Eligible Applicants**

ECP funds can be used to implement street and highway-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. Applicants eligible for ECP funds include the 34 Orange County cities plus the County of Orange. Eligible applicants must meet the transportation requirements discussed in the Measure M2 (M2) Ordinance.

For Tier 2 multi-agency collaborations, M2 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 jointly apply with an M2 eligible Orange County city and/or the County of Orange. Joint applicants must contribute to the project in some capacity (monetary contribution, time contribution, etc).



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 M2 Ordinance requirements, an eligible applicant must be the lead agency for the funding application. Per Chapter 9, if a project includes more than one jurisdiction and is being submitted as a joint application, one agency shall act as lead agency and must provide a resolution of support from the other agency. 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 Combined Transportation Funding Program (CTFP) Guidelines. For example, to apply for CTFP programs, 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 ECP 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 in terms of approach with Chapter 2 of this CTFP Guidelines regarding the provisions below:

- Program Consolidation
- Sequential Programming Process
- Funding Projections
- Programming Adjustments
- Project Cost Escalation
- Project Readiness
- Programming Policies
- Schedule Change Requests
- Project Advancements
- Semi-Annual Review

Refer to Chapter 2 for explanation of the above provisions.

### **Funding Estimates**

The Tier 2 program was funded beginning in winter 2012-13 using bond financing revenues with up to \$38 million allocated through fiscal year (FY) 2014-15. Beyond FY 2014-15, funding will be based on a pay-as-you-go basis. The maximum amount that



an individual project may receive of the initial \$38 million in Tier 2 funding is capped at \$5 million per project.

For the second Tier 2 call, approximately \$24.7 million is expected to be available. Applicants may request allocation of funds in either FY 2013-14 or FY 2014-15. Depending on the outcome of the first two Tier 2 calls, there may be a third call if there are residual funds available after the first two calls.

### **FY 2013-14 Tier 2 Implementation Timeline**

The Tier 2 call will be open for 90 days. The FY 2013-14 Tier 2 applications must be received by OCTA **no later than 5:00 PM, September 20, 2013**. OCTA is seeking applications for projects, which can be awarded no later than June 30, 2014 for the FY 2013-14 funding cycle, or by June 30, 2015 for the FY 2014-15 funding cycle. Projects that do not obligate funds by the dates/cycles listed above will not be considered. Funds allocated by OCTA for each awarded project will be available on July 1<sup>st</sup> of that funding cycle year.

After the Tier 2 applications are reviewed by OCTA, an advisory panel will review and rank projects. Following review and recommendation by the Environmental Cleanup Allocation Committee (ECAC), a recommended priority list of projects will be forwarded to the OCTA Board for approval. Funds allocated for projects are final once approved by the OCTA Board of Directors (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 (50) percent of the project phase cost is required. These matching funds can be provided by cash contributions or in-kind services. Construction management and project management cannot exceed 15 percent of construction costs. Previously completed phases of a project may not be attributed to the match. Prior expenditures cannot be used as matching funds. In-kind services can include salaries and benefits for employees who work directly on the project. In-kind services for O&M cannot be pledged as a match.

### **Potential to reduce matching funds up to 30 percent**

- Project readiness (i.e., environmental [5 percent], design [5 percent] or right-of-way (ROW) acquisition (5 percent) – up to 15 percent reduction. Note: 5 percent match reduction for ROW acquisition cannot be claimed if no ROW acquisition is required for the project.
- O&M commitment beyond ten years: Five years above commitment for a total of 15 years (10 percent reduction) or ten years above commitment for a total of 20 years (15 percent reduction).

If a joint application among agencies and/or third party entities 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.

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 a resolution) project O&M financial commitment and sustainability for ten years and is subject to an OCTA semi-annual (twice yearly) review process over the ten-year period. BMP O&M costs cannot be used for the match or in-kind services. Applicants must include as part of the O&M Plan project assessment and monitoring of performance. A documented 15- or 20-year draft BMP O&M Plan (submitted with application) will be eligible for a 10 percent or 15 percent matching funds reduction, respectively. Please refer to the County of Los Angeles Stormwater Best Management Practice Design and Maintenance Manual <[http://dpw.lacounty.gov/DES/design\\_manuals/](http://dpw.lacounty.gov/DES/design_manuals/)> for guidance.

Refer to Chapter 10 for reimbursement details. Sufficient documentation including council resolutions, purchase orders, invoices, and payroll records must be submitted with the funding request to enable OCTA to verify total project expenditures and eligible costs.

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.



## **Eligible Expenditures**

- ECP 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 of total grant amount (i.e., funds requested) may be allocated to preliminary project design, environmental, or engineering costs.
- Tier 2 projects must meet the transportation nexus as outlined previously in this chapter.
- Eligible jurisdictions may use in-kind services to meet all or part of the matching funds requirement. These services can include salaries and benefits for employees of the eligible jurisdiction who perform work on the project or programs. Only those employees' salaries and benefits working directly on the project will be considered for the matching requirement. For Tier 2, construction management and project management cannot exceed 15 percent of the total construction costs.
- ECP 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 (For example, a homeowner's association can apply for funding through an eligible agency if the proposed project is connected to a public facility).

## **Ineligible Expenditures (including, but not limited to)**

- Non-capital expenses for enhancements such as education, recreation, etc. are not eligible for Tier 2 grant funding.
- Expenditures prior to letter agreement execution cannot be considered eligible for funding or match.
- Benches
- Landscaping not directly related to improving water quality
- Trails/sidewalks, unless contributing to water quality improvement
- Lighting
- O&A (as in-kind match)
- Planning activities beyond ten percent of grant request
- Replacement of existing water quality features

## **Overmatch**

For the Tier 2 Grant Program, administering agencies may "overmatch" ECP projects (up to 25 percent); that is, additional cash match dollars may be provided for the project. Applicants will receive additional points in the evaluation process for over matching with cash contributions. Proposals that exceed the 50 percent minimum funding match will be given an additional one point for every five percent over the minimum cash match (up to five bonus points). Overmatch must be a cash contribution and cannot be from another competitive M2 grant program.



Additionally, administering agencies must commit to cover any future cost overruns if the project is underfunded. Any work not eligible for ECP 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.

*Expenditures incurred prior to letter agreement execution cannot be credited towards the matching fund threshold.*

## **Reimbursements**

For the Tier 2 Grant Program, OCTA will release funds through two payments. The initial payment will constitute 75 percent of the contract award or programmed amount at time of award. OCTA will disburse the final payment, approximately, 25 percent of eligible funds, after approval of the final report. Further information on reimbursements can be located within Chapter 10 of the CTFP Guidelines.

## **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 ECP 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 for the subsequent call.



## **Tier 2 Selection Criteria**

OCTA will evaluate all proposals that meet the mandatory prerequisites based on competitive selection criteria 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, exclusive of five bonus points associated with a cash “overmatch,” which was discussed in a previous section. Tier 2 selection criteria include both technical scoring criteria –70 percent weighting – and non-technical scoring criteria –30 percent weighting.

A focus on several overarching concepts is emphasized in the funding guidelines and scoring criteria:

- Focus on a clear and measureable transportation nexus, defined as total lane miles in the project catchment area, as defined by the Master Plan of Arterial Highways
- 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), expressed in terms of cost-benefit
- 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 following information, which is to be completed within the Tier 2 Grant Application Form (Exhibit 12-2), is required by OCTA to evaluate and select projects. A checklist is included in the Tier 2 Grant Application Form to assist eligible agencies in assembling project proposals:

- Project Title
- Lead Agency Information
- Joint-Application (if applicable)
- Funding Request/Match Commitment
- Proposed Schedule
- Project Management
- Integrated Regional Water Management Plan identification (if applicable)



- Description of Proposed Project
- Project Priority
- Funding Cycle preference
- Performance Metrics (Project Specific Information)
- Funding Information

In addition, the following exhibits are required to be included within the submitted proposal:

- Project design or concept drawings, including preliminary design calculations, of proposed BMP
- Estimates of pollutant load reduction, calculated using Structural BMP Prioritization Analysis Tool (SBPAT) or equivalent
- Precise maps to show tributary drainage area and proposed location(s) for BMP installation
- Disposition of environmental clearance and permitting
- Discussion and disposition of long term maintenance agreement
- Discussion of multiple benefits
- Discussion of funding leveraging/overmatch
- Digital project site photos
- A project master schedule
- Preliminary agreements with joint and/or third party entities if part of the funding application
- A draft resolution (final due prior to OCTA Executive Committee and Board approval)
- A ten-year draft BMP O&M Plan. Applicants may propose up to a 20 draft year BMP O&M Plan (if applicant desires match reduction)

*Information can be completed utilizing the grant application exhibit.* For the Tier 2 Grant Program, an unbound original and two copies (total of three) of the completed application form and related exhibits are to be submitted, plus a CD/DVD copy of the complete application. Use separate sheets of paper if necessary.

There is no maximum length for proposals. All pages must be numbered and printed on 8 1/2 x 11 sheets of white paper. 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.*

## **Reporting and Reimbursement**

The Tier 2 Grant Program is consistent with Chapter 10 of the CTFP Guidelines regarding the process and requirements of reimbursements and reporting including semi-annual



reviews. Upon completion of project construction, a final BMP O&M Plan is required to be submitted along with the final report.

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.

### **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 11 for independent audit requirements beyond the technical and/or field review.

### **Additional Information**

Completed applications and questions regarding these procedures and criteria should be directed to:

By mail:

Dan Phu

Orange County Transportation Authority

P.O. Box 14184

Orange, CA 92863-1584

Tel: (714) 560-5907

Fax: (714) 560-5794

In person:

Orange County Transportation Authority

600 South Main Street

Orange, CA 92863-1584



**Exhibit 12-3**  
**ECP Tier 2 Grant Application**

**Project Title:** \_\_\_\_\_

<b>Lead Agency Information</b>  (Project Administrator responsible for day-to-day project implementation)  Name:  Title:  Address:  Phone:  Email:	<b>FUNDING/MATCH SUMMARY</b>  TOTAL PROJECT COST (TPC) \$ _____  Complete section "i." on next page to calculate amounts below  TOTAL FUNDS REQUESTED \$ _____  APPLICANT MATCH % _____ % (50% min. minus reductions) _____ %  OVERMATCH COMMITMENT (must be cash and cannot be from a competitive M2 grant program) \$ _____  APPLICANT MATCH AMOUNT  Project is part of a larger effort (circle)  Yes / No	
<b>Joint Applicant / Third Party:</b>  Name:  Title:  Agency:  Address:  Phone:  Email:	<b>Joint Applicant / Third Party:</b>  Name:  Title:  Agency:  Address:  Phone:  Email:	<b>Joint Applicant / Third Party:</b>  Name:  Title:  Agency:  Address:  Phone:  Email:



**Exhibit 12-3 (continued)**  
**ECP Tier 2 Grant Application**

**i. Funding Request/Match Commitment:**

<b>Total Funds Requested (\$5 million max)</b>	\$ _____	
<b>Match Reduction Percentages (30% max)*</b> Project Readiness up to 15% Draft Operations and Maintenance (O&M) Plan up to 15%	<b>Applicant Match</b>	<b>Match Calculation</b>
<ul style="list-style-type: none"> <li>Minimum Required Match Percent (50% of the total eligible project cost)</li> </ul>	50%	50%
Project Readiness (check box if applicable) <input type="checkbox"/> CEQA Certification (must be certified) <input type="checkbox"/> Construction Documents Complete <input type="checkbox"/> ROW Acquired (only if required for this project)	5% reduction 5% reduction 5% reduction	Subtract <input type="text"/> % Subtract <input type="text"/> % Subtract <input type="text"/> %
Draft O&M Plan (10-year Plan Required) <ul style="list-style-type: none"> <li>O&amp;M Beyond 10 years: 15 years (10% reduction) or 20 years (15% reduction)</li> </ul>	10% or 15% reduction	Subtract <input type="text"/> %
Calculated Applicant Match Percentage	_____ %	
Applicant Overmatch Percentage (must be cash and cannot be from a competitive M2 grant program; see Part Two, #7)	_____ %	
Applicant Match Amount (Total Eligible Project Cost x Match Percentage)	\$ _____	
<b>Estimated Eligible Grant Funded Expenditures**</b>	<b>Amount</b>	<b>Percentage</b>
<ul style="list-style-type: none"> <li>Construction</li> </ul>	\$ _____	_____ %
<ul style="list-style-type: none"> <li>Project Management/Construction Management (max 15% of Construction Cost)</li> </ul>	\$ _____	_____ %
<ul style="list-style-type: none"> <li>Preliminary Project Design, Environmental, &amp; Engineering (max 10% of Total Funds Requested)</li> </ul>	\$ _____	_____ %
Total Eligible Expenditures (Cannot exceed total funds requested plus match amount)	\$ _____	

\* Match reduction(s) require verification by evaluation committee.

\*\* Provide if available. This information will be required for payment verification at time of invoicing.



**Exhibit 12-3 (continued)**  
**ECP Tier 2 Grant Application**

**i. Proposed Schedule:** Provide an estimate of the project's proposed schedule:

	Start Date	Completion Date
Third Party/Joint Applicant Agreement (must be executed prior to contract award date)		
Environmental Document		
Design and Permitting (if applicable)		
ROW (if applicable)		
Award of Contract		
Construction		
O&M (10 years minimum 15 or 20 years for match reduction)		

**ii. Project Management**

Provide an assessment of the management capabilities of the Applicant/Lead Agency. At a minimum, include an organization chart (as attachment), showing key project individuals who will be responsible for ensuring that the project is completed and has long-term sustainability.

--

**iii. Partnerships**

State in what capacity the joint applicant/third party will be contributing to the project (monetary contribution, time contribution, etc.) and explain the process and timing of the agreement between your agency and the joint applicant/third party.

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**Exhibit 12-3 (continued)**  
**ECP Tier 2 Grant Application**

**i. Transportation Nexus**

Describe how the project meets the transportation nexus definition. See page 12-1 and 12-2.

**ii. Existing Water Quality Expenditures**

Describe how the project supplements and does not supplant funding from other sources of transportation related water quality projects and programs (see Overview on page 12-1 for further details) This question may not apply to all projects.

**iii. Integrated Regional Water Management Plan (IRWMP)**

Is the proposed project identified in an existing IRWMP?    Yes \_\_\_\_\_ No \_\_\_\_\_

**iv. Description of Proposed Project**

Describe the project and why it is important for controlling transportation-related pollutants to a watershed(s).



**Exhibit 12-3 (continued)**  
**ECP Tier 2 Grant Application**

**ii. Project Details:**

<b>INFORMATION REQUIRED</b>	<b>INPUT</b>
1. Project Location (Street Address or Lat-Long)	
2. Project BMP Type (use CASQA or equivalent definition)	
3. Project Design Criteria. Select one: - Volume-based BMP (24-hour rainfall volume) - Flow-based BMP (design 1-hour intensity)	
4. Project Site Map	Provide as attachment (provide as geographic information service (GIS) file or in Google Earth format)
5. Project Tributary Drainage Area	Provide as attachment (provide as GIS file or in Google Earth format)

**iii. Project Priority**

**If submitting an application for more than one project, is this project your agency's priority?**

Yes \_\_\_\_\_ No \_\_\_\_\_

**iv. Funding Cycle**

**If awarded funding, in which funding cycle would you like to receive funds? (Check one)**

\_\_\_\_\_ FY 2013-14 (contract must be awarded by June 30, 2014 and funds would be available July 1, 2014)

\_\_\_\_\_ FY 2014-15 (contract must be awarded by June 30, 2015 and funds would be available July 1, 2015)



**Exhibit 12-3 (continued)**  
**ECP Tier 2 Grant Application**

**Part Two: Project Specific Information (scored)**

**Each proposal can receive up to 105 points, inclusive of five bonus points associated with overmatch commitment. Tier 2 selection criteria includes both technical scoring criteria (70 percent weighting) and non-technical scoring criteria (30 percent weighting)**

- 1) Transportation Priority Index (5/100 pts – Coordination with OCTA required to determine points)

*The Transportation Priority Index (TPI) is developed based on density of roadway lane miles within pre-defined catchment areas. OCTA will provide geospatial information (through ArcGIS and/or Google Earth) that will allow applicants to establish this point score based solely on project location/address.*

Points (5 max)

**(To be completed by OCTA)**

- 2) Water Quality Need Analysis (40/100 pts – Coordination with OCTA required to determine points)

*a) The Environmental Cleanup Allocation Committee (ECAC) agreed upon criteria upon which water quality Catchment Prioritization Index (CPI) scores were established. CPI scores quantify water quality need using the GIS-based Structural BMP Prioritization and Analysis Tool (SBPAT) and Orange County land use and receiving water data. OCTA will provide geospatial information (through ArcGIS and/or Google Earth) that will allow applicants to establish this point score based solely on project location/address.*

Points (30 max)

**(To be completed by OCTA)**

*b) The OCTA team reviewed County monitoring data and regulatory (303d) impairment lists to establish indices of water quality need based on receiving water quality. OCTA will provide geospatial information (through ArcGIS and/or Google Earth) that will allow applicants to establish this point score based solely on project location/address.*

Points (10 max)

**(To be completed by OCTA)**



**Exhibit 12-3 (continued)**  
**ECP Tier 2 Grant Application**

3) BMP Performance (25/100 pts – **Coordination with OCTA required to determine points**)

a) For Wet Weather (25 pts), develop water quality load reduction index (WQLRI)

A	B	C *	D *
Pollutant Family	Relative Contribution to CPI Score from SBPAT Prioritization Output	Avg. Annual Load Reduction from SBPAT Analysis Output (units vary, max 100)	Weighted Load Reduction (B x C)
Volume	___%		
Metals	___%		
Bacteria	___%		
Nutrients	___%		
TSS	___%		
	___%	dimensionless WQLRI (sum)	

\* OCTA to complete

WQLRI/Total Project Cost **(to be completed by OCTA):**

Wet Weather Project Quantile **(to be completed by OCTA):**

Wet-Weather Points Allocated **(to be completed by OCTA):**


b) For Dry Weather (25 pts), estimate total dry-weather volume mitigated (include supplemental calculation package, including basis for estimates)

Proposed BMP Technology	
Estimated Total Dry Weather Flow Rate (cfs)	
Estimated Total Dry Weather Flow Rate Mitigated (cfs)	
Estimated Percentage of Dry-Weather Flow Removed or Avoided (MG/yr)	
Estimated Percentage of Dry-Weather Flow Treated to Water Quality Standards (MG/yr)	
Estimated Total Dry Weather Flow Volume Fully Mitigated (MG/year)	

Mitigated Dry Weather Volume/Total Project Cost

**(to be completed by OCTA):**

Dry-Weather Project Quantile **(to be completed by OCTA):**

Dry-Weather Points Allocated **(to be completed by OCTA):**


c) Total BMP Performance Score **(all to be completed by OCTA)**

Wet-Weather Points Allocated (from a)

Dry-Weather Points Allocated (from b)

Total Points Allocated (max 25 points)




**Exhibit 12-3 (continued)**  
**ECP Tier 2 Grant Application**

- 4) Multiple-Benefits (semi-qualitative analysis) (10/100 pts max from subcategories *a, b, c, d, e*)  
Any benefit above and beyond water quality improvement (load reduction benefit) should be addressed in these questions. All subcategories may not apply to your project.

*a) Drainage (5 points maximum)*

*How does the project increase levels of protection or mitigate a flooding problem?*

*b) Recreational (5 points maximum)*

*How does the project provide a recreational benefit to the community?*

*c) Habitat (5 points maximum)*

*How does the project provide a habitat benefit?*



**Exhibit 12-3 (continued)**  
**ECP Tier 2 Grant Application**

d) Water Resources (5 points maximum)

*Is there a potential water resources sustainability benefit? Describe.*

e) Other (5 points maximum)

*Describe any other benefit your project provides not previously addressed in a through d.*

5) Project Readiness (10 points maximum)

*Describe the project's readiness (i.e., how far along is the project with regard to concept development, cost estimates, design, environmental compliance, construction documents).*



**Exhibit 12-3 (continued)**

**ECP Tier 2 Grant Application**

6) Policy (10/100 points maximum from subcategories *a* and *b*)

a) Multi-Jurisdictional Project with Regional Benefit (maximum 10 points)

*If the project is multi-jurisdictional, describe how it would provide a regional benefit.*

b) Community Support and Benefit (maximum 5 points)

*Community support could include but not be limited to third parties who are either directly or indirectly involved with the project. For example, if a project is located adjacent to a private development, the homeowners' association could write a letter of support for the project. Likewise, community organizations may also write letters of support for the project. Does the project have community support and how will it provide a benefit?*

7) BONUS POINTS: Ability to Leverage Funding (5 points maximum, 1 point per 5%, maximum 25%)

*Will your agency provide matching funds above the minimum?*



### Part Three: Funding

<b>Project Title:</b> _____	<b>Phone:</b> _____
<b>Contact:</b> _____	<b>Email:</b> _____
<b>Agency:</b> _____	

#### Local Match Detail

Cash Contribution	_____
In-Kind Services *	_____
Other Grants	_____
<b>Total</b>	<b>Match</b>
<b>Commitment</b>	\$ -

#### Source(s) of Local Match

- \*In-Kind Services (excluding O&M):** Salaries and benefits for employees who will perform work on the proposed project are eligible as a matching requirement. Please provide details on how in-kind services are calculated. Identify the Fiscal Year(s) of In-Kind expenditure and amount for each year. Do not use acronyms.

--

- Other grants and/or funding:** This may include fair share funds, non-ECP state or federal grant funds, local city funds, general funds, developer fees, etc. Please list the name and amount of any respective non-ECP grants that are proposed as a match. If there are other grant type(s), include the status of each.

--



## **Part Four: Tier 2 Grant Program Resolution**

### *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.

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.

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.

WHEREAS, OCTA has established the procedures and criteria for reviewing proposals; and

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

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

WHEREAS, the (ADMINISTERING AGENCY) will maintain and operate the equipment acquired and installed; and

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

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

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;

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 any additional costs over the identified programmed amount.



## **Tier 2 Checklist**


### **Mandatory Application Items (check all items included in this package)**

- \_\_\_\_\_ Application (Parts 1 - 3)
- \_\_\_\_\_ Environmental Document (if applicable)
- \_\_\_\_\_ Preliminary Cooperative Agreement (if applicable)
- \_\_\_\_\_ Project Cost Estimate
- \_\_\_\_\_ Maps
- \_\_\_\_\_ Design / Concept Drawing
- \_\_\_\_\_ Digital Project Site Photos
- \_\_\_\_\_ Project Schedule
- \_\_\_\_\_ Draft Resolution
- \_\_\_\_\_ Applicable Exhibits (refer to Tier 2 Guidelines)



**August 7, 2017**

**To:** Regional Planning and Highways Committee

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

**Subject:** Measure M2 Environmental Cleanup Program – 2017 Tier 1 Water Quality Grant Funding Allocations

### **Overview**

The Orange County Transportation Authority's Environmental Cleanup Program provides Measure M2 funding for water quality improvement projects to address transportation-generated pollution. The fiscal year 2017-18 Tier 1 Grant Program call for projects was issued on March 16, 2017. Evaluations have been completed, and a list of projects is presented for review and approval of funding allocations.

### **Recommendation**

Approve the 2017 Tier 1 Environmental Cleanup Program funding recommendations to fund 16 projects, in an amount totaling \$3,130,251.

### **Background**

In May 2010, the Orange County Transportation Authority (OCTA) Board of Directors (Board) approved a two-tiered approach to fund the Measure M2 (M2) Environmental Cleanup Program (ECP). The funding plan called for up to \$19.5 million in Tier 1 grants on a "pay-as-you-go" basis through seven funding cycles. Approximately \$2.8 million has been available for each cycle of Tier 1 calls for projects (call). The fiscal year (FY) 2017-18 call is the seventh cycle.

The Tier 1 Grant Program is designed to remove the more visible forms of pollutants, such as litter and debris, which collect on roadways and in catch basins, or "storm drains", prior to being deposited in waterways and the ocean.

These funds are available for Orange County eligible local agencies to purchase equipment and upgrades for existing catch basins and other related best management practices (BMP) that supplement current requirements.

Examples include screens, filters, and inserts for catch basins, as well as other devices designed to remove the above mentioned pollutants. Proposed projects must demonstrate a direct nexus to the reduction of transportation-related pollution as developed and defined by the Environmental Cleanup Allocation Committee (ECAC).

The Board has approved funding for 138 projects through six Tier 1 calls, totaling approximately \$17 million. Staff has estimated that over one million cubic feet of trash has been captured as a result of the installation of Tier 1 devices since the inception of the Tier 1 Program in 2011.

### ***Discussion***

The Board issued the FY 2017-18 Tier 1 call on March 16, 2017. Twenty-four applications were submitted from 21 cities and the County of Orange prior to the May 17, 2017 deadline (Attachment A). Applications were reviewed and evaluated by the Chairman of ECAC, an ECAC member, as well as OCTA staff. The applications were ranked based on the following Board-approved criteria:

- Proposed project's effectiveness at removing trash and debris;
- Identification of the affected waterway(s) and the pollutant(s) treated by the proposed BMP;
- Operations and maintenance plan adequate to maintain the efficiency of the proposed BMP for regularly scheduled inspections, maintenance, and cleaning/disposal of pollutants;
- Clear and detailed work plan with a specific implementation period;
- Project readiness.

The evaluation team recommends 16 projects for funding based on total points earned (Attachment B). The Tier 1 proposals recommended for funding consist primarily of catch basin and screen projects. A brief summary is provided below.

- Catch basin inserts and other debris screens or inserts (14 projects): These screens or insert units prevent debris from entering the storm drain system;
- Underground storm water detention and infiltration system (one project): Install an underground, pre-manufactured detention and infiltration system, and repave the lot utilizing pervious surfaces. Reinforced concrete storm water conveyance pipes will direct visible trash and debris to the detention system;

- Hydrodynamic separator (one project): A hydrodynamic separator is a manhole type concrete and steel structure that is effective in capturing pollutants such as trash, sediment, nutrients, and more.

As part of this grant program, local agencies agree to contribute a minimum cash match of 20 percent of the project cost. Given the amount of funding available for each call cycle and the competitive nature of this program, applications are evaluated and scored based upon the thoroughness of the responses to application questions related to water quality benefits of the proposed project. Attachment A also includes projects that were beyond the funding capacity of this cycle. Staff will continue outreach efforts to the sponsor agencies and offer assistance on how their applications can be strengthened.

Staff will also work with the ECAC to evaluate and recommend changes to the funding guidelines for the 2018 call. Guideline changes are expected to return to the Board for approval by December 2017.


### ***Summary***

The proposed programming recommendations for the M2 ECP Tier 1 Water Quality Grant Program are presented for approval. Funding for 16 projects, totaling \$3,130,251, in M2 funds is proposed. Staff is seeking Board approval of the programming recommendations presented.

### ***Attachments***

- A. 2017 M2 Environmental Cleanup Program Tier 1 Call for Projects – Applications Received
- B. 2017 M2 Environmental Cleanup Program Tier 1 Call for Projects – Programming Recommendations

**Prepared by:**



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**Approved by:**



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

**2017 M2 Environmental Cleanup Program Tier 1 Call for Projects - Applications Received**

Agency	Project	Final Score	Funding	Cumulative
Placentia	Catch Basin Inserts Project - Phase IV	97	\$ 160,000	\$ 160,000
Buena Park	Buena Park Full Capture Catch Basin Insert Project	92	\$ 302,165	\$ 462,165
Yorba Linda	Arterial Roadway CPS Project	92	\$ 70,400	\$ 532,565
Anaheim	Modjeska Park Underground Storm Water Detention and Infiltration System	92	\$ 500,000	\$ 1,032,565
Tustin	City of Tustin Catch Basin Retrofit Program	87	\$ 169,556	\$ 1,202,121
Aliso Viejo	Aliso Viejo Stormwater Litter Control Project - Phase V	86	\$ 423,396	\$ 1,625,517
La Habra	Installation of Full Capture Trash Inserts in Catch Basins	85	\$ 177,288	\$ 1,802,805
Cypress	Catch Basin Inserts Project - CPS	84	\$ 107,912	\$ 1,910,717
Laguna Hills	Laguna Hills ARS Screen Project - Phase VI	82	\$ 120,000	\$ 2,030,717
Orange	Orangewood Avenue BioClean Unit Installation	82	\$ 300,000	\$ 2,330,717
Villa Park	Catch Basin Enhancement Project - Round 3	80	\$ 175,000	\$ 2,505,717
Lake Forest	CPS and ARS Catch Basin Retrofit - Phase VII	80	\$ 106,800	\$ 2,612,517
Irvine	Irvine Spectrum Catch Basin CPS Installation	77	\$ 30,720	\$ 2,643,237
Costa Mesa	Costa Mesa CPS Installation	76	\$ 43,544	\$ 2,686,781
Mission Viejo	Mission Viejo TRAP: Crown Valley to South City Limit	73	\$ 278,235	\$ 2,965,016
Laguna Niguel	Laguna Niguel Catch Basin Installation Project	72	\$ 165,235	\$ <b>3,130,251</b>

**UNFUNDED (Insufficient funding)**

Newport Beach	Polaris Drive Trash Mitigation Project	69	\$ 500,000	\$ 3,630,251
County of Orange	Bandalong Litter Trap and Boom System, Bolsa Chica Channel, Phase II	66	\$ 500,000	\$ 4,130,251
San Clemente	Trafalgar Canyon Runoff Treatment Project	65	\$ 11,176	\$ 4,141,427
Westminster	Beach Boulevard Median and Curb Inlet Improvement	59	\$ 374,000	\$ 4,515,427

**UNFUNDED (Projects ineligible to receive M2 funds)**

Westminster	Premier and Barney Storm Drain System	0	\$ 140,000	\$ 4,655,427
San Juan Capistrano	Storm Water Treatment Project (Camino Capistrano)	0	\$ 193,000	\$ 4,848,427

**UNFUNDED (Projects withdrawn by applicant)**

Santa Ana	Bristol Street Phase IIIA - Civic Center Drive to Washington Avenue	0	\$ 240,000	\$ 5,088,427
Santa Ana	Bristol Street Phase IV - Warner Avenue to Saint Andrew Place	0	\$ 240,000	\$ 5,328,427

M2 - Measure M2

CPS - Connector Pipe Screen

ARS - Automatic Retractable Screen

TRAP - Trash and Runoff Abatement Project

**Total M2 Funds Requested: \$ 5,328,427**

**2017 M2 Environmental Cleanup Program Tier 1 Call for Projects - Programming Recommendations**

**ATTACHMENT B**

Agency	Project	Project Description	Final Score	Funding	Cumulative
Placentia	Catch Basin Inserts Project - Phase IV	Install automatic retractable screens and and connector pipe screens in 95 catch basins.	97	\$ 160,000	\$ 160,000
Buena Park	Buena Park Full Capture Catch Basin Insert Project	Install 218 catch basin inserts.	92	\$ 302,165	\$ 462,165
Yorba Linda	Arterial Roadway Connector Pipe Screens Project	Install 184 connector pipe screens.	92	\$ 70,400	\$ 532,565
Anaheim	Modjeska Park Underground Storm Water Detention & Infiltration System	Install an underground, pre-manufactured detention and infiltration system.	92	\$ 500,000	\$ 1,032,565
Tustin	City of Tustin Catch Basin Retrofit Program	Install 108 round curb inlet basket inserts.	87	\$ 169,556	\$ 1,202,121
Aliso Viejo	Aliso Viejo Stormwater Litter Control Project - Phase V	Install 290 round catch basin inserts.	86	\$ 423,396	\$ 1,625,517
La Habra	Installation of Full Capture Trash Inserts in Catch Basins	Install 343 connector pipe screens.	85	\$ 177,288	\$ 1,802,805
Cypress	Catch Basin Inserts Project - CPS	Install 218 catch basin inserts.	84	\$ 107,912	\$ 1,910,717
Laguna Hills	Laguna Hills ARS Screen Project - Phase VI	Install automatic retractable screens in 76 catch basins.	82	\$ 120,000	\$ 2,030,717
Orange	Orangewood Avenue BioClean Unit Installation	Install a hydrodynamic separator unit.	82	\$ 300,000	\$ 2,330,717
Villa Park	Catch Basin Enhancement Project - Round 3	Install 109 catch basin inserts.	80	\$ 175,000	\$ 2,505,717
Lake Forest	CPS & ARS Catch Basin Retrofit - Phase VII	Retrofit 55 catch basins with connector pipe screens and automatic retractable screens.	80	\$ 106,800	\$ 2,612,517
Irvine	Irvine Spectrum Catch Basin Connector Pipe Screen Installation	Install 100 connector pipe screens.	77	\$ 30,720	\$ 2,643,237
Costa Mesa	Costa Mesa Connector Pipe Screen Installation	Install 142 connector pipe screens.	76	\$ 43,544	\$ 2,686,781
Mission Viejo	Mission Viejo Trash and Runoff Abatement Project (TRAP): Crown Valley to South City Limit	Install automatic retractable screens and connector pipe screens in 54 catch basins, and conversion from spray to drip irrigation.	73	\$ 278,235	\$ 2,965,016
Laguna Niguel	Laguna Niguel Catch Basin Installation Project	Install 149 automatic retractable screens.	72	\$ 165,235	\$ 3,130,251

M2 - Measure M2

CPS - Connection Pipe Screen


ARS - Automatic Retractable Screen

TRAP - Trash and Runoff Abatement Project



**August 7, 2017**

**To:** Regional Planning and Highways Committee

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

**Subject:** Request to Exercise Second Option Term for On-Call Traffic Engineering Services

### **Overview**

On October 13, 2014, the Orange County Transportation Authority Board of Directors approved agreements with four traffic engineering firms to provide consultant services for on-call traffic engineering for the Measure M2 Regional Traffic Signal Synchronization Program for three years, with two one-year option terms. An amendment to the existing agreements for execution of the second and final option term is requested for continued on-call traffic engineering services related to the implementation of three new signal synchronization projects.

### **Recommendation**

Authorize the Chief Executive Officer to execute amendments to the following consultant agreements to exercise the second option term for on-call traffic engineering services: Agreement No. C-4-1804 with Albert Grover & Associates, Agreement No. C-4-1805 with DKS Associates, Agreement No. C-4-1316 with Iteris, Inc., and Agreement No. C-4-1806 with Kimley-Horn and Associates, Inc., in the total amount of \$8,400,031, and extend the term of the agreements through May 31, 2020. This will increase the maximum obligation for all the on-call firms for a total combined aggregate contract value of \$23,414,485.

### **Discussion**

On October 13, 2014, the Orange County Transportation Authority (OCTA) Board of Directors (Board) approved a bench of four pre-qualified consultants to provide on-call traffic engineering support to OCTA. The consultants' scope of services supports OCTA's efforts in the implementation of multi-jurisdictional signal synchronization projects as part of the Measure M2 (M2) Regional Traffic Signal Synchronization Program (RTSSP). These services will provide support for three competitive calls for projects (call) in 2014, 2015, and 2016. A summary of projects from the 2014 and 2015 calls is included in Attachment A.

All RTSSP projects are designed to span over a minimum of three years. Approximately one year is allowed for data collection, design, analysis, and the implementation of new optimized coordination/synchronization timing. This is coupled with the installation of required control and communications infrastructure (primary implementation {PI} phase). Immediately following is a mandated two years for maintenance of the communications and detection systems, and monitoring of the new signal timing installed in the PI phase, known as ongoing monitoring and maintenance phase.

The projects are assigned to one of the pre-approved consultants through a negotiated contract task order on a rotational basis. The initial rotational sequence was determined by the relative scoring of the four consultants during the procurement process.

The 2016 call was approved by the Board on April 11, 2016. The 2016 call funded seven regionally significant projects. The respective applicant agencies requested that OCTA administer and implement three of these projects. These three corridors target 128 signalized intersections, spanning a total of 40 miles. These three projects will improve traffic flow by optimizing travel times on these high-volume corridors. Table 1 shows the three corridors and their respective details.

Table 1

Project Corridors – 2016 Calls – OCTA-Administered			
Arterials	Project Intersections	Project Miles	Participating Agencies
Brookhurst Street	58	16.7	6
El Toro Road	20	7.1	3
Magnolia Street	50	16.2	7

The 2016 call projects are programmed for fiscal year (FY) 2017-18. Each project takes three years to complete, and the request to extend the term from May 31, 2019 to May 31, 2020 takes the programmed year into account.

***Procurement Approach***

The original procurement was handled in accordance with OCTA's Board-approved procedures for architectural and engineering services that conform to both federal and state laws. On October 13, 2014, the Board approved the agreements with Albert Grover & Associates, DKS Associates, Iteris, Inc., and Kimley-Horn and Associates, Inc., for an initial term of three years, with two one-year option terms. The total maximum cumulative payment obligation of the initial term was \$4,000,000.

For the implementation of the 2015 call for Project P, Amendment No. 1 exercised the first option term for OCTA-administered projects, extended the agreements through May 31, 2019, and added funding, in the amount of \$11,014,454. With the approval of the respective amendments to each of the four consultants for Option Term No. 1, the total combined aggregate contract value for implementation of Project P projects administered by OCTA increased to \$15,014,454.

For the implementation of the 2016 call for Project P, the proposed respective amendments to each of the four consultants exercise the second and final option term for OCTA-administered projects, extends the agreements through May 31, 2020, and adds funding, in the amount of \$8,400,031. With the approval of the respective amendments to each of the four consultants, the total combined aggregate contract value for implementation of Project P projects administered by OCTA will be \$23,414,485.

Only three of the four firms on the on-call traffic engineering bench will be assigned signal synchronization projects as part of the 2016 call. However, the master agreement will be amended for all four firms to ensure that adequate capacity among the consultants exists to perform the work and project price negotiations are met.

**Fiscal Impact**

Funds for this project are included in OCTA's Planning Division FY 2017-18 Budget, 0017-7519-SP001-P57, and are funded through M2. These funds will be utilized to fund 80 percent of the cost for these projects. The participating agencies on each respective project are responsible for the required 20 percent of matching funds.

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**Summary**

Staff is recommending the Chief Executive Officer negotiate and execute amendments to the respective cooperative agreements to exercise the second and final option term to: Agreement No. C-4-1804 with Albert Grover & Associates, Agreement No. C-4-1805 with DKS Associates, Agreement No. C-4-1316 with Iteris, Inc., and Agreement No. C-4-1806 with Kimley-Horn and Associates, Inc., in the total amount of \$8,400,031, for a total combined aggregate contract value of \$23,414,485, and to extend the term of the agreements through May 31, 2020, to implement projects in support of the M2 RTSSP.

**Attachments**

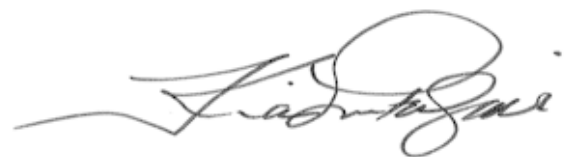
- A. History and Status of OCTA-led RTSSP Projects, Call for 2014 and 2015
- B. Albert Grover & Associates, Agreement No. C-4-1804 Fact Sheet
- C. DKS Associates, Agreement No. C-4-1805 Fact Sheet
- D. Iteris, Inc., Agreement No. C-4-1316 Fact Sheet
- E. Kimley-Horn and Associates, Inc., Agreement No. C-4-1806 Fact Sheet

**Prepared by:**



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## History and Status of OCTA-led RTSSP Projects Call for 2014 and 2015

The 2014 call for Project P was approved by the Board on April 13, 2014. Two of ten projects approved for funding are being administered and implemented by OCTA. Of these two projects, La Paz Road completed the PI phase and is now in the 24 month ongoing maintenance phase. Bristol Street is near completion on the PI phase. New signal synchronization timing and associated infrastructure should be complete by October 2017. These two projects total 18 miles and target 77 signals. A CTO for each respective project, as part of the initial term of the on-call traffic engineering services contracts, was issued to two of the four respective consultants as shown in Table 1.

Table 1

Project P Corridors – FY 2014				
Arterials	Project Intersections	Project Miles	Participating Agencies	CTO Consultants
Bristol Street	45	10	3	Iteris, Inc.
La Paz Road	32	8	3	Albert Grover & Associates

The 2015 call was approved by the Board on April 14, 2015, funding ten regionally significant projects. Applicant agencies requested that OCTA lead four of these projects. These four corridors target 185 signalized intersections spanning a total of 50 miles. These four projects will improve traffic flow by optimizing travel times on these high-volume corridors. A CTO, as part of the first option term of the on-call traffic engineering services contracts, was issued to all four of the consultants. Table 2 shows the four corridors and the respective details.

Table 2

Project P Corridors – FY 2015				
Arterials	Project Intersections	Project Miles	Participating Agencies	CTO Consultants
Chapman Avenue	55	14	3	Kimley-Horn and Associates
Westminster Avenue/ 17 <sup>th</sup> Street	63	16	6	DKS Associates
Coast Highway	27	9	1	Iteris, Inc.
Alicia Parkway	40	11	4	Albert Grover & Associates

These four projects began in June of 2016. Final design and construction has begun, and the PI on these projects is expected to be completed by the first quarter of 2018.

OCTA – Orange County Transportation Authority  
 RTSSP – Regional Traffic Signal Synchronization Program  
 Call – Call for Projects  
 Board – Board of Directors  
 PI – Primary Implementation  
 CTO – Contract Task Order  
 FY – Fiscal Year

**Albert Grover & Associates  
Agreement No. C-4-1804 Fact Sheet**

1. October 13, 2014, Agreement No. C-4-1804, in the amount of \$4,000,000 (shared among Albert Grover & Associates, DKS Associates, Iteris, Inc., and Kimley-Horn and Associates, Inc.), approved by the Board of Directors (Board).
  - Agreement No. C-4-1804, was executed on May 28, 2015, to provide on-call traffic engineering services.
2. December 17, 2015, Letter Amendment No. 1 to Agreement No. C-4-1804 was approved by Contracts Administration & Materials Management and Capital Projects, amending Article 5 – payment – Paragraph B, Exhibit B – Schedule I – hourly rate schedules for Albert Grover & Associates only.
  - Letter Amendment No. 1 to Agreement No. C-4-1804 effective date October 30, 2015.
3. May 9, 2016, Amendment No. 2 to Agreement No. C-4-1804, in the amount of \$11,014,454 (shared among Albert Grover & Associates, DKS Associates, Iteris, Inc., and Kimley-Horn and Associates, Inc.), was approved by the Board.
  - Amendment No. 2 to Agreement No. C-4-1804, was executed on July 14, 2016 to exercise the first option term extending the agreement through May 31, 2019.
4. August 14, 2017, an amendment to Agreement No. C-4-1804, in the amount of \$8,400,031 (shared among Albert Grover & Associates, DKS Associates, Iteris, Inc., and Kimley-Horn and Associates, Inc.), pending Board approval.
  - Amendment to Agreement No. C-4-1804, exercise the second option term extending the agreement through May 31, 2020.

Total combined maximum obligation of \$23,414,485 shared among: Albert Grover & Associates, Agreement No. C-4-1804, DKS Associates, Agreement No. C-4-1805, Iteris, Inc., Agreement No. C-4-1316, and Kimley-Horn and Associates, Inc., Agreement No. C-4-1806.

**DKS Associates  
Agreement No. C-4-1805 Fact Sheet**

1. October 13, 2014, Agreement No. C-4-1805, in the amount of \$4,000,000 (shared among Albert Grover & Associates, DKS Associates, Iteris, Inc., and Kimley-Horn and Associates, Inc.), approved by the Board of Directors (Board).
  - Agreement No. C-4-1805, was executed on September 30, 2015, to provide on-call traffic engineering services.
2. May 9, 2016, Amendment No.1 to Agreement No. C-4-1805 in the amount of \$11,014,454 (shared among Albert Grover & Associates, DKS Associates, Iteris, Inc., and Kimley-Horn and Associates, Inc.), was approved by the Board.
  - Amendment No. 1 to Agreement No. C-4-1805, was executed on July 14, 2016 to exercise the first option term extending the agreement through May 31, 2019.
3. August 14, 2017, amendments in the amount of \$8,400,031 (shared among Albert Grover & Associates, DKS Associates, Iteris, Inc., and Kimley-Horn and Associates, Inc.), pending Board approval.
  - Amendment to Agreement No. C-4-1805, exercise the second option term extending the agreement through May 31, 2020.

Total combined maximum obligation of \$23,414,485 shared among: Albert Grover & Associates, Agreement No. C-4-1804, DKS Associates, Agreement No. C-4-1805, Iteris, Inc., Agreement No. C-4-1316, and Kimley-Horn and Associates, Inc., Agreement No. C-4-1806.

**Iteris, Inc.  
Agreement No. C-4-1316 Fact Sheet**

1. October 13, 2014, Agreement No. C-4-1316, in the amount of \$4,000,000 (shared among Albert Grover & Associates, DKS Associates, Iteris, Inc., and Kimley-Horn and Associates, Inc.), approved by the Board of Directors (Board).
  - Agreement No. C-4-1316, was executed on May 11, 2015, to provide on-call traffic engineering services.
2. May 9, 2016, Amendment No.1, to Agreement No. C-4-1316, in the amount of \$11,014,454 (shared among Albert Grover & Associates, DKS Associates, Iteris, Inc., and Kimley-Horn and Associates, Inc.), was approved by the Board.
  - Amendment No. 1 to Agreement No. C-4-1316 was executed on July 14, 2016, to exercise the first option term extending the agreement through May 31, 2019.
3. August 14, 2017, amendments in the amount of \$8,400,031 (shared among Albert Grover & Associates, DKS Associates, Iteris, Inc., and Kimley-Horn and Associates, Inc.), pending Board approval.
  - Amendment to Agreement No. C-4-1316, exercise the second option term extending the agreement through May 31, 2020.

Total combined maximum obligation of \$23,414,485 shared among: Albert Grover & Associates, Agreement No. C-4-1804, DKS Associates, Agreement No. C-4-1805, Iteris, Inc., Agreement No. C-4-1316, and Kimley-Horn and Associates, Inc., Agreement No. C-4-1806.

**Kimley-Horn and Associates, Inc.  
Agreement No. C-4-1806 Fact Sheet**

1. October 13, 2014, Agreement No. C-4-1806, in the amount of \$4,000,000 (shared among Albert Grover & Associates, DKS Associates, Iteris, Inc. and Kimley-Horn and Associates, Inc.), was approved by the Board of Directors (Board).
  - Agreement No. C-4-1806 was executed on September 14, 2015, to provide on-call traffic engineering services.
2. May 9, 2016, Amendment No. 1 to Agreement No. C-4-1806, in the amount of \$11,014,454 (shared among Albert Grover & Associates, DKS Associates, Iteris, Inc., and Kimley-Horn and Associates, Inc.), was approved by the Board.
  - Amendment No. 1 to Agreement No. C-4-1806, was executed on July 14, 2016, to exercise the first option term extending the agreement through May 31, 2019.
3. August 14, 2017, amendments in the amount of \$8,400,031 (shared among Albert Grover & Associates, DKS Associates, Iteris, Inc., and Kimley-Horn and Associates, Inc.), pending Board approval.
  - Amendment to Agreement No. C-4-1806, exercise the second option term extending the agreement through May 31, 2020.

Total combined maximum obligation of \$23,414,485 shared among: Albert Grover & Associates, Agreement No. C-4-1804, DKS Associates, Agreement No. C-4-1805, Iteris, Inc., Agreement No. C-4-1316, and Kimley-Horn and Associates, Inc., Agreement No. C-4-1806.



**August 7, 2017**

**To:** Regional Planning and Highways Committee

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

**Subject:** Guidance for Administration of the Orange County Master Plan of Arterial Highways Related to Complete Streets

### **Overview**

On April 3, 2017, proposed revisions to the Master Plan of Arterial Highways Traffic Calming Policy were presented to the Regional Planning and Highways Committee. The Regional Planning and Highways Committee directed the proposed revisions back to the Technical Advisory Committee to address the use of traffic calming measures on higher-volume arterials. The Technical Advisory Committee discussed the item on June 26, 2017 and recommended further restricting the use of traffic calming measures on Major and Principal arterials. The Technical Advisory Committee's recommendation is provided for review and approval.

### **Recommendation**

Approve proposed revisions to the Guidance for the Administration of the Orange County Master Plan of Arterial Highways.

### **Background**

The Guidance for Administration of the Orange County Master Plan of Arterial Highways (Guidance) was initially developed to provide local jurisdictions and the Orange County Transportation Authority (OCTA) with a common set of policies and procedures for the administration of the Master Plan of Arterial Highways (MPAH). Revisions have been made over the years to ensure that the Guidance is compliant with state and federal requirements. This includes a major update conducted in 2012 in conjunction with the California Complete Streets Act. To continue supporting complete streets implementation, staff began working with a Technical Advisory Committee (TAC) Ad Hoc group in September 2016 to develop proposed revisions to the Guidance's traffic calming policy. A summary of work to date and recommendations is detailed below.

***Discussion***

On May 25, 2016, the OCTA TAC appointed an Ad Hoc Committee to develop potential revisions to the MPAH traffic calming policy. Currently, the MPAH Guidance conditionally allows traffic calming measures on two-lane roads (i.e. Collectors and Divided Collectors as defined in the table below). In recognition of the potential safety enhancements and mobility benefits, the Ad Hoc Committee sought to expand allowances for traffic calming measures on MPAH facilities. Over the course of three meetings, the Ad Hoc Committee developed proposed revisions to the Guidance. These revisions focused on further defining traffic calming and clarifying how various types of traffic calming measures are administered on MPAH facilities.

MPAH Classification	Description
Collector	Two lanes, undivided
Divided Collector	Two lanes, divided
Secondary	Four lanes, undivided
Primary	Four lanes, divided
Major	Six lanes, divided
Principal	Eight lanes, divided

On February 22, 2017, the TAC approved the Ad Hoc Committee's proposed policy revisions and directed staff to advance them to the OCTA Regional Planning and Highways Committee (RPH) for consideration and approval. In April 2017, the RPH discussed the TAC recommendations which proposed to prohibit the use of vertical speed control measures on higher-volume arterials, but offered more flexibility for horizontal speed control measures. Horizontal speed control measures cause vehicles to slow down by adding slight bends in the roadway. In contrast, vertical speed control measures use raised physical features to slow vehicles. The RPH raised concerns specifically about the use of horizontal speed control measures on Major and Principal arterials.

In response to the RPH's concerns, OCTA staff reconvened the TAC Ad Hoc Committee on May 24, 2017. The Ad Hoc Committee agreed that horizontal speed control measures are generally not appropriate for higher-volume arterials, and few local agencies would use the added flexibility in the proposed policy. Therefore, the TAC Ad Hoc Committee recommended the restriction of horizontal traffic calming measures on Major and Principal arterials. This change is illustrated in Attachment A. To manage speeds on higher-volume arterials, local jurisdictions maintain the option to narrow travel lanes or install intersection control measures such as roundabouts, as long as the number of through lanes are maintained.

The use of traffic calming measures on MPAH facilities under the revised proposed traffic calming policy would maintain the following tenets:

- For Collectors and Divided Collectors, vertical speed control measures (e.g. speed humps) and horizontal speed control measures (e.g. chicanes) are permitted.
- For Secondary and higher arterials, vertical speed control measures are prohibited. For Secondary and Primary arterials, horizontal speed control measures may be conditionally permitted.
- For all MPAH facilities, volume control measures (e.g. street closures and diverters) that discourage or eliminate through traffic are prohibited.

These basic tenets are reflected in the proposed changes to the Guidance, which are detailed in Attachment B (redlined version) and Attachment C (clean version).

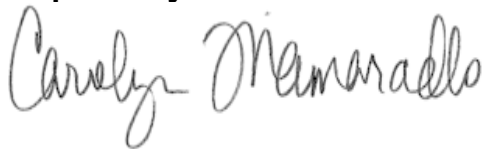
### ***Summary***

Over the past year, the Technical Advisory Committee has developed proposed revisions to the traffic calming policy in the Guidance for Administration of the Orange County Master Plan of Arterial Highways. In response to concerns raised by the Orange County Transportation Authority Regional Planning and Highways Committee, the Technical Advisory Committee has recommended changes to the previously-recommended traffic calming policy that would now prohibit the use of speed control measures on Major and Principal arterials.

***Attachments***

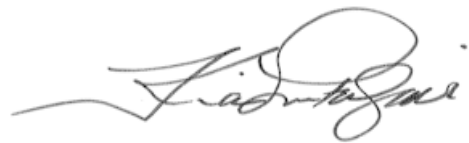
- A. Existing and Proposed Policies
- B. Draft Proposed Revisions to the Guidance for the Administration of the Orange County Master Plan of Arterial Highways – Redlined
- C. Draft Proposed Revisions to the Guidance for the Administration of the Orange County Master Plan of Arterial Highways – Clean

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# Existing and Proposed Policies

# Existing Policy

	<b>Collector</b> (Two Lanes Undivided)	<b>Divided Collector</b> (Two Lanes Divided)	<b>Secondary</b> (Four Lanes Undivided)	<b>Primary</b> (Four Lanes Divided)	<b>Major</b> (Six Lanes Divided)	<b>Principal</b> (Eight Lanes Divided)
<b>Traffic Calming Measures</b>	Conditional Use		Prohibited			

# Previously-Recommended Policy (April 2017)

	<b>Collector</b> (Two Lanes Undivided)	<b>Divided Collector</b> (Two Lanes Divided)	<b>Secondary</b> (Four Lanes Undivided)	<b>Primary</b> (Four Lanes Divided)	<b>Major</b> (Six Lanes Divided)	<b>Principal</b> (Eight Lanes Divided)
<b>Speed Control Measures</b> (Horizontal Measures)	Allowed (Revised Policy)		Conditional (New Policy)			
<b>Speed Control Measures</b> (Vertical Deflections)			Prohibited (Clarified-Previous Policy Maintained)			
<b>Volume Control Measures</b>	Prohibited (Clarified-Previous Policy Maintained)					

# Currently-Proposed Policy (August 2017)

	<b>Collector</b> (Two Lanes Undivided)	<b>Divided Collector</b> (Two Lanes Divided)	<b>Secondary</b> (Four Lanes Undivided)	<b>Primary</b> (Four Lanes Divided)	<b>Major</b> (Six Lanes Divided)	<b>Principal</b> (Eight Lanes Divided)
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## **Draft Proposed Revisions to the Guidance for the Administration of the Orange County Master Plan of Arterial Highways - Redlined**

### **2.0 GOALS AND POLICIES**

The following goals and policies are intended to serve as recommended countywide guidelines and to provide direction to local agencies that opt to implement the MPAH. A goal is a general expression of countywide values and sets the long range vision for the relationship among transportation and land use. A policy is a specific statement that facilitates decision making regarding issues, process, and constraints.

#### ***1. Goal: Provide a Countywide Circulation (Arterial Highway) System to Accommodate Regional Travel Demand***

##### **Policies:**

- 1.1 OCTA will review the circulation plans of the cities and the County bi-annually to determine consistency with the MPAH in order to determine eligibility for Measure M2 Net Revenues as well as programs—including the CTFP.
- 1.2 OCTA will coordinate with various regional agencies (i.e., Caltrans (State), the Southern California Association of Governments (SCAG), the Transportation Corridor Agencies, etc.) on various studies relating to freeway, toll way and transportation corridor planning, construction, and improvement in order to facilitate the planning and implementation of an integrated regional circulation system.
- 1.3 OCTA will coordinate planning of the arterial highway system cooperatively with cities, the County, SCAG, neighboring counties and neighboring cities in adjacent counties to works towards the consistency of regional transportation networks.
- 1.4 OCTA will coordinate with local agencies on their respective safety efforts, to encourage a balanced approach to providing for regional travel demand and addressing the needs of all users of the road.

#### ***2. Goal: Provide an Arterial Highway System that Supports Land Use Policies of the County and Cities***

##### **Policies:**

- 2.1 The MPAH will encourage a coordinated arterial highway system that is in balance with the General Plan Land Use Elements of the cities and County.
- 2.2 The MPAH will encourage an arterial highway system designed to serve as part of a balanced transportation system (auto, rail, transit, bus, truck, bicycle, pedestrian, etc.).
- 2.3 OCTA will encourage local jurisdictions to consider and evaluate all mobility needs when requesting modifications to the MPAH<sup>9</sup>.

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- 2.4 OCTA will encourage and assist all local jurisdictions to adopt comprehensive [traffic transportation](#) improvements, phasing and financing plans, in order to assist in countywide implementation of the MPAH.
- 2.5 OCTA will work with the cities and County through the Orange County CTFP to implement the MPAH and foster interagency cooperation toward anticipating and effectively meeting the regional transportation needs of Orange County.
- 2.6 OCTA will monitor local agencies to ensure that the arterial highway system is implemented in a manner that supports the implementation of adopted overall land use policies and that is consistent with financing capabilities.
- 2.7 OCTA prefers the use of analytical methods, in conformance with the Congestion Management Program (CMP), to aid in transportation planning and impact evaluation and encourage the development and utilization of sub-area models to address detailed transportation issues.

For amendments contemplating Complete Streets implementation, multi-modal analysis of peak period person-trip capacity can potentially be accommodated as an acceptable form of analysis, so long as it ~~is~~:

- [is](#) consistent with the latest peer-reviewed and professionally accepted state of practice;
  - includes ongoing commitment and performance measurement to enable effective ongoing utilization of Complete Streets capacity enhancements such as transit and bike facilities;
  - ~~use~~ is approved by OCTA prior to conducting MPAH related analyses; and satisfies OCTA's need for technical justification in support of an MPAH amendment.
- 2.8 OCTA will use the most recently adopted Orange County Projections (OCP) forecasts for projections of future year population, housing, and employment.
  - 2.9 OCTA will use the Orange County Transportation Analysis Model (OCTAM) forecasts as the regional traffic forecasts for vehicle and transit ridership along the MPAH, and require local agencies to use OCTAM as a basis for data required in local and sub-area studies conducted by local agencies. The OCTAM must be consistent with SCAG's regional model as required by the CMP.
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2.13 OCTA will adhere to the recommended processes identified in these Guidelines. However, the OCTA Board has discretion to amend, modify, and/or waive components of these Guidelines, as may be determined by the OCTA Board to be appropriate to address unique concerns<sup>10</sup>.

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<sup>10</sup> These concerns may include, without limitation, documentation of impasse with respect to achieving consensus on a proposed amendment, documentation of severe environmental impacts, regional mobility concerns, or significant and sustained public opposition.

# **Draft Proposed Revisions to the Guidance for the Administration of the Orange County Master Plan of Arterial Highways - Redlined**

## **5.0 MPAH CONSISTENCY REVIEW PROCESS**

For a local agency to be eligible for participation in Measure M2 ~~Net-net Revenues~~ revenues, as well as programs—including the CTFP, the agency's General Plan circulation element must be consistent with the MPAH. MPAH consistency policies are described below, followed by a description of the procedural steps OCTA will utilize in reviewing MPAH consistency. The MPAH consistency policies are based on the "Renewed Measure M Eligibility Guidelines" Section 3.4 dated (April, 2011), and included in this *MPAH Guidance* as **Appendix 7**.

### **5.1 MPAH CONSISTENCY POLICIES**

1. For an agency's Circulation Element to be consistent with the MPAH, it shall have the minimum planned carrying capacity equivalent to the MPAH for all MPAH links within the agency's jurisdiction. "Planned carrying capacity" shall be measured by the number of ~~through-through~~ lanes on each arterial highway as shown on the local Circulation Element.
2. Agencies are not considered inconsistent as a result of existing capacity limitations on arterials not yet constructed to the ultimate capacity shown on the MPAH.
3. Every two years each local agency must submit a resolution adopted by the governing body attesting that no unilateral reduction in lanes has been made on any MPAH arterial.
4. A roadway on the MPAH that has been unilaterally removed from or downgraded on the local agency's circulation element and/or does not meet the minimum capacity criteria may result in the local agency becoming ineligible to participate in Measure M2 Net Revenues as well as programs—including the CTFP. A local agency's eligibility status may be reinstated upon completion of a cooperative study to resolve the inconsistency. Additionally, the local agency can also re-establish eligibility upon restoring its Circulation Element to its previous state of MPAH consistency.
5. A local agency that unilaterally reduces the number of existing and/or planned ~~through-through~~ lanes on an MPAH arterial built to its ultimate configuration to less than the ultimate capacity shown on the MPAH, shall be inconsistent with the MPAH from the date the governing body action is taken. Unilateral action shall mean physical actions such as striping, signing, or physical restrictions executed by the local agency.<sup>23</sup>

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<sup>23</sup> The MPAH does not specify minimum lane widths. Narrowing of travel lanes is not restricted provided the number of through lanes is maintained.

## **Draft Proposed Revisions to the Guidance for the Administration of the Orange County Master Plan of Arterial Highways - Redlined**

6. A temporary reduction of existing through lanes is permitted if, prior to taking this action, a local agency can demonstrate to OCTA that such action is temporary and can be justified for operational reasons and the agency enters into a binding agreement to restore capacity upon demand by OCTA. OCTA may also determine that the local agency remain eligible on a conditional basis. If the local agency is found ineligible, it shall regain eligibility upon physical restoration of the arterial to its original state, consistent with the MPAH.

~~7. Traffic calming measures shall not be used on arterials classified as Secondary and above on the MPAH. Traffic calming measures may be allowed only on Divided Collectors and Collectors, where it can be demonstrated the calming measures will not reduce vehicle carrying capacity below the actual and projected traffic volumes for the segment and the increased traffic volume on affected MPAH facilities does not result in an intersection level of service (LOS) worse than LOS "D" or the General Plan standard adopted by the affected jurisdiction.<sup>24</sup>~~

7. Traffic calming on regional arterials can most efficiently be achieved through lane narrowings and roundabouts. These are not restricted on MPAH facilities (as long as the number of through lanes are maintained).<sup>25</sup>

The use of other types of traffic calming measures on MPAH facilities ~~The use of traffic calming measures<sup>26</sup> on MPAH facilities shall be administered per the following:~~

- a. For Collectors and Divided Collectors, traffic calming achieved by the speed control measures listed below is permitted ~~vertical speed control measures (e.g. speed humps) and horizontal speed control measures (e.g. chicanes) are permitted.:~~

~~—Vertical deflections (e.g. speed humps and raised crosswalks)~~

~~—Horizontal measures (e.g. traffic circles and chicanes)~~

- b. For Secondary and higher arterials, vertical speed control measures are prohibited. For Secondary and Primary arterials, horizontal speed control measures may be conditionally permitted.

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<sup>24</sup> ~~Policy approved by OCTA Board on April 13, 1998.~~

<sup>25</sup> Definitions:

- Lane narrowings - achieve speed reductions by narrowing the roadway, usually accompanied by plantings, street furniture, or other vertical elements to draw attention to the constriction and visually bound the space. Includes neckdowns/bulbouts, center island narrowings, and chokers.
- Roundabouts – similar to traffic circles but typically used on higher volume arterials as a form of intersection control; often in replacement of traffic signals or all-way STOP signs.

<sup>26</sup> Traffic calming is defined as the combination of mainly physical measures that reduce the negative effects of motor vehicle use, alter driver behavior and improve conditions for non-motorized street users.

## **Draft Proposed Revisions to the Guidance for the Administration of the Orange County Master Plan of Arterial Highways - Redlined**

i. Prior to implementation, a local agency must demonstrate to OCTA that the horizontal speed control measures will not be a detriment to traffic operations for actual and projected traffic volumes. Multi-modal traffic operations, including safety analysis, shall be considered. Existing and long-range roadway segment analysis shall be considered, along with intersection level of service standards, if applicable. OCTA approvals will remain contingent upon the local agency subsequently satisfying the requirements of the California Environmental Quality Act.

c. For all MPAH facilities, ~~Traffic calming achieved by the volume control measures (e.g. street closures and diverters)~~ listed below ~~are typically implemented to discourage or eliminate through traffic and shall not be used to~~ are therefore prohibited ~~restrict through movements on MPAH facilities.~~<sup>27</sup>

8. \_\_\_\_\_

~~Full and half street closures~~

~~Diverters~~

~~Median barriers~~

~~Forced turn islands~~

See Appendix 8 for additional detail.

9-8. \_\_\_\_\_ To be eligible for Measure M2 “fair share” funds, a local agency must adopt a General Plan Circulation Element that does not preclude implementation of the MPAH.

10-9. \_\_\_\_\_ A local agency shall be considered conditionally consistent if it requests a change to the MPAH and enters into a Cooperative Study to analyze the request. No change shall be made to the local agency's Circulation Element until after the Cooperative Study is complete and agreement is reached on the proposed amendment.

### **5.2 MPAH CONSISTENCY REVIEW PROCEDURES**

1. On June 30 of every odd year, a local agency wishing to establish eligibility for Measure M2 Net Revenues as well as programs—including the CTFP shall submit to the OCTA Manager of Local Programming the following:

A. A resolution in a format consistent with **Appendix 8** adopted by the governing body of the local agency.

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<sup>27</sup> The MPAH does not restrict the use of volume control measures on non-MPAH streets and driveways that connect to/from the MPAH network.

# **Draft Proposed Revisions to the Guidance for the Administration of the Orange County Master Plan of Arterial Highways - Redlined**

## **APPENDIX 8 TRAFFIC CALMING MEASURES**

Traffic calming on regional arterials can most efficiently be achieved through *lane narrowings* and *roundabouts*. These types of traffic calming measures are not restricted on MPAH facilities (as long as the number of through lanes are maintained).<sup>30</sup>

The following table illustrates how the use of other types of traffic calming measures are administered on MPAH facilities.

	<u>Collector</u> (two-lane, undivided)	<u>Divided Collector</u> (two-lane, divided)	<u>Secondary</u> (four-lane, undivided)	<u>Primary</u> (four-lane, divided)	<u>Major</u> (six-lane, divided)	<u>Principal</u> (eight-lane, divided)
<u>Speed Control Measures (horizontal)</u>	Permitted		Conditionally Permitted		Prohibited	
<u>Speed control Measures (vertical)</u>			Prohibited			
<u>Volume Control Measures</u>	Prohibited					

<sup>30</sup> Definitions:

- Lane narrowings: achieve speed reductions by narrowing the roadway, usually accompanied by plantings, street furniture, or other vertical elements to draw attention to the constriction and visually bound the space. Includes neckdowns/bulbouts, center island narrowings, and chokers.
- Roundabouts: similar to traffic circles but typically used on higher volume arterials as a form of intersection control; often in replacement of traffic signals or all-way STOP signs.

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The tables below list various examples of each type of traffic calming measure in order of increasing restriction of their use on MPAH facilities. The consideration of traffic calming measures on MPAH facilities remain subject to the MPAH Consistency Policies and local agency sponsorship.

<b><u>HORIZONTAL SPEED CONTROL MEASURES</u></b>		
<b><u>Traffic circles</u></b>	<u>Raised islands, placed in intersections, around which traffic circulates. They are sometimes called intersection islands. They are usually circular in shape and landscaped in their center islands, though not always. They are typically controlled by YIELD signs on all approaches.</u>	<ul style="list-style-type: none"> <li>• <u>Permitted on Collectors &amp; Divided Collectors</u></li> <li>• <u>Conditionally permitted on Secondary &amp; Primary Arterials</u></li> <li>• <u>Prohibited on Major &amp; Principal Arterials</u></li> </ul>
<b><u>Chicanes</u></b>	<u>Curb extensions that alternate from one side of the street to the other, forming S-shaped curves. They are also referred to as deviations, serpentine, reversing curves, or twists. European manuals recommend shifts in alignment of at least one lane width, deflection angles of at least 45 degrees, and center islands to prevent drivers from taking a straight “racing line” through the feature.</u>	
<b><u>Lateral Shifts</u></b>	<u>Curb extensions on otherwise straight streets that cause travel lanes to bend one way and then bend back the other way to the original direction of travel. They are occasionally referred to as axial shifts, staggerings, or jogs.</u>	
<b><u>Realigned Intersections</u></b>	<u>Changes in alignment that convert T-intersections with straight approaches into curving streets that meet at right angles. A former “straight through” movement along the top of the T becomes a turning movement. Realigned intersections are sometimes called modified intersections.</u>	

<b><u>VERTICAL SPEED CONTROL MEASURES</u></b>		
<b><u>Speed humps</u></b>	<u>Rounded raised areas placed across the road. They are also referred to as road humps and undulations.</u>	<ul style="list-style-type: none"> <li>• <u>Permitted on Collectors &amp; Divided Collectors</u></li> <li>• <u>Prohibited on Secondary &amp; Higher Arterials</u></li> </ul>
<b><u>Speed tables</u></b>	<u>Flat-topped speed humps often constructed with brick or other textured materials on the flat section. They are also called trapezoidal humps, speed platforms, and, if marked for pedestrian crossing, raised crosswalks or raised crossings. Speed tables are typically long enough for the entire wheelbase of a passenger car to rest on top.</u>	

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<b><u>Raised intersections</u></b>	<u>Flat raised areas covering entire intersections, with ramps on all approaches and often with brick or other textured materials on the flat section. They are also called raised junctions, intersection humps, or plateaus. They usually rise to sidewalk level, or slightly below to provide a “lip” for the visually impaired.</u>	
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<b><u>VOLUME CONTROL MEASURES<sup>31</sup></u></b>		
<b><u>Full Street Closures</u></b>	<u>Barriers placed across a street to close the street completely to through traffic, usually leaving only sidewalks or bicycle paths open. They are also called cul-de-sacs or dead ends. The barriers may consist of landscaped islands, walls, gates, side-by-side bollards, or any other obstructions that leave an opening smaller than the width of a passenger car.</u>	<ul style="list-style-type: none"> <li><u>Prohibited on MPAH facilities</u></li> </ul>
<b><u>Half Street Closures</u></b>	<u>Barriers that block travel in one direction for a short distance on otherwise two-way streets. They are also sometimes called partial closures or one-way closures.</u>	
<b><u>Diverter</u></b>	<u>Barriers placed diagonally across an intersection, blocking through movement. They are also called full diverters or diagonal road closures. Diverters are usually staggered to create circuitous routes through neighborhoods.</u>	
<b><u>Median Barriers</u></b>	<u>Raised islands located along the centerline of a street and continuing through an intersection so as to block through movement at a cross street. They are also referred to as median diverters or occasionally as island diverters.</u>	
<b><u>Forced Turn Islands</u></b>	<u>Raised islands that block through movements on approaches to an intersection and direct traffic to turn through the intersection.</u>	

Traffic calming can be achieved by speed control measures, which include those examples listed below and may be considered on MPAH facilities, subject to MPAH Consistency Policies and local agency sponsorship.

	<b><u>Example</u></b>	<b><u>Definition</u></b>
<b><u>VERTICAL</u></b>	<u>PERMITTED ON COLLECTORS AND DIVIDED COLLECTORS</u> <u>PROHIBITED ON SECONDARY AND HIGHER MPAH ROADWAYS</u>	
	<u>Speed humps:</u>	<u>Rounded raised areas placed across the road. They are also referred to as road humps and undulations.</u>

<sup>31</sup> The MPAH does not restrict the use of volume control measures on non-MPAH roadways and driveways that connect to/from the MPAH network.

## **Draft Proposed Revisions to the Guidance for the Administration of the Orange County Master Plan of Arterial Highways - Redlined**

	<u>Speed tables:</u>	<u>Flat topped speed humps often constructed with brick or other textured materials on the flat section. They are also called trapezoidal humps, speed platforms, and, if marked for pedestrian crossing, raised crosswalks or raised crossings. Speed tables are typically long enough for the entire wheelbase of a passenger car to rest on top.</u>
	<u>Raised intersections:</u>	<u>Flat raised areas covering entire intersections, with ramps on all approaches and often with brick or other textured materials on the flat section. They are also called raised junctions, intersection humps, or plateaus. They usually rise to sidewalk level, or slightly below to provide a "lip" for the visually impaired.</u>
<b>HORIZONTAL MEASURES</b>	<u>PERMITTED ON COLLECTORS AND DIVIDED COLLECTORS CONDITIONALLY PERMITTED ON SECONDARY AND HIGHER MPAH ROADWAYS</u>	
	<u>Traffic circles<sup>32</sup>:</u>	<u>Raised islands, placed in intersections, around which traffic circulates. They are sometimes called intersection islands. They are usually circular in shape and landscaped in their center islands, though not always. They are typically controlled by YIELD signs on all approaches.</u>
	<u>Chicanes:</u>	<u>Curb extensions that alternate from one side of the street to the other, forming S-shaped curves. They are also referred to as deviations, serpentine, reversing curves, or twists. European manuals recommend shifts in alignment of at least one lane width, deflection angles of at least 45 degrees, and center islands to prevent drivers from taking a straight "racing line" through the feature.</u>
	<u>Lateral shifts:</u>	<u>Curb extensions on otherwise straight streets that cause travel lanes to bend one way and then bend back the other way to the original direction of travel. They are occasionally referred to as axial shifts, staggerings, or jogs.</u>
	<u>Realigned intersections:</u>	<u>Changes in alignment that convert T-intersections with straight approaches into curving streets that meet at right angles. A former "straight through" movement along the top of the T becomes a turning movement. Realigned intersections are sometimes called modified intersections.</u>

Traffic calming achieved by volume control measures shall not be used to restrict through movements on MPAH facilities<sup>33</sup> and include the following:

	<u>Measure</u>	<u>Definition</u>
	<u>PROHIBITED ON MPAH FACILITIES</u>	

<sup>32</sup> Traffic circles are distinguished from roundabouts. Roundabouts are often used to substitute traffic signals or all-way STOP signs as a form of intersection control. Roundabouts are not considered traffic calming measures, but rather, an alternative intersection control method that can be considered on arterial highways. However, when the use of a roundabout results in a reduction in lane capacity, an agency is still subject to the MPAH Consistency Policies, particularly with regard to maintaining the number of through lanes.

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<u>Forced turn islands:</u>	<u>Raised islands that block certain movements on approaches to an intersection. They are sometimes called forced turn channelizations, pork chops, or in their most common incarnation, right turn islands.</u>

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##### **Policies:**

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2. Agencies are not considered inconsistent as a result of existing capacity limitations on arterials not yet constructed to the ultimate capacity shown on the MPAH.
3. Every two years each local agency must submit a resolution adopted by the governing body attesting that no unilateral reduction in lanes has been made on any MPAH arterial.
4. A roadway on the MPAH that has been unilaterally removed from or downgraded on the local agency's circulation element and/or does not meet the minimum capacity criteria may result in the local agency becoming ineligible to participate in Measure M2 Net Revenues as well as programs—including the CTFP. A local agency's eligibility status may be reinstated upon completion of a cooperative study to resolve the inconsistency. Additionally, the local agency can also re-establish eligibility upon restoring its Circulation Element to its previous state of MPAH consistency.
5. A local agency that unilaterally reduces the number of existing and/or planned through-lanes on an MPAH arterial built to its ultimate configuration to less than the ultimate capacity shown on the MPAH, shall be inconsistent with the MPAH from the date the governing body action is taken. Unilateral action shall mean physical actions such as striping, signing, or physical restrictions executed by the local agency.<sup>23</sup>

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<sup>23</sup> The MPAH does not specify minimum lane widths. Narrowing of travel lanes is not restricted provided the number of through lanes is maintained.

## **Draft Proposed Revisions to the Guidance for the Administration of the Orange County Master Plan of Arterial Highways - Clean**

6. A temporary reduction of existing through lanes is permitted if, prior to taking this action, a local agency can demonstrate to OCTA that such action is temporary and can be justified for operational reasons and the agency enters into a binding agreement to restore capacity upon demand by OCTA. OCTA may also determine that the local agency remain eligible on a conditional basis. If the local agency is found ineligible, it shall regain eligibility upon physical restoration of the arterial to its original state, consistent with the MPAH.
7. Traffic calming on regional arterials can most efficiently be achieved through lane narrowings and roundabouts. These are not restricted on MPAH facilities (as long as the number of through lanes are maintained).<sup>25</sup>

The use of other types of traffic calming measures on MPAH facilities shall be administered per the following:

- a. For Collectors and Divided Collectors, vertical speed control measures (e.g. speed humps) and horizontal speed control measures (e.g. chicanes) are permitted.
- b. For Secondary and higher arterials, vertical speed control measures are prohibited. For Secondary and Primary arterials, horizontal speed control measures may be conditionally permitted.
  - i. Prior to implementation, a local agency must demonstrate to OCTA that the horizontal speed control measures will not be a detriment to traffic operations for actual and projected traffic volumes. Multi-modal traffic operations, including safety analysis, shall be considered. Existing and long-range roadway segment analysis shall be considered, along with intersection level of service standards, if applicable. OCTA approvals will remain contingent upon the local agency subsequently satisfying the requirements of the California Environmental Quality Act.
- c. For all MPAH facilities, volume control measures (e.g. street closures and diverters) are typically implemented to discourage or eliminate through traffic and are therefore prohibited.<sup>27</sup>

See **Appendix 8** for additional detail.

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<sup>25</sup> Definitions:

- Lane narrowings - achieve speed reductions by narrowing the roadway, usually accompanied by plantings, street furniture, or other vertical elements to draw attention to the constriction and visually bound the space. Includes neckdowns/bulbouts, center island narrowings, and chokers.
- Roundabouts – similar to traffic circles but typically used on higher volume arterials as a form of intersection control; often in replacement of traffic signals or all-way STOP signs.

<sup>27</sup> The MPAH does not restrict the use of volume control measures on non-MPAH streets and driveways that connect to/from the MPAH network.

## **Draft Proposed Revisions to the Guidance for the Administration of the Orange County Master Plan of Arterial Highways - Clean**

8. To be eligible for Measure M2 “fair share” funds, a local agency must adopt a General Plan Circulation Element that does not preclude implementation of the MPAH.
9. A local agency shall be considered conditionally consistent if it requests a change to the MPAH and enters into a Cooperative Study to analyze the request. No change shall be made to the local agency's Circulation Element until after the Cooperative Study is complete and agreement is reached on the proposed amendment.

### ***5.2 MPAH CONSISTENCY REVIEW PROCEDURES***

1. On June 30 of every odd year, a local agency wishing to establish eligibility for Measure M2 Net Revenues as well as programs—including the CTFP shall submit to the OCTA Manager of Local Programming the following:
  - A. A resolution in a format consistent with **Appendix 8** adopted by the governing body of the local agency.
  - B. A copy of the local agency's current Circulation Element that shows all arterial highways and their individual arterial designations. Any proposed changes and/or requests for changes to the MPAH should also be included.
2. OCTA shall review the materials submitted, and determine whether the local agency Circulation Elements are consistent with the MPAH, meaning they have a minimum planned carrying capacity equivalent to the MPAH for all MPAH links within the local agency's jurisdiction.
3. Upon completion of the review, OCTA shall prepare a report to OCTA Board for approval, including recommendations on consistency findings and funding eligibility determinations.

# Draft Proposed Revisions to the Guidance for the Administration of the Orange County Master Plan of Arterial Highways - Clean

## APPENDIX 8 TRAFFIC CALMING MEASURES

Traffic calming on regional arterials can most efficiently be achieved through *lane narrowings* and *roundabouts*. These types of traffic calming measures are not restricted on MPAH facilities (as long as the number of through lanes are maintained).<sup>30</sup>

The following table illustrates how the use of other types of traffic calming measures are administered on MPAH facilities.

	Collector (two-lane, undivided)	Divided Collector (two-lane, divided)	Secondary (four-lane, undivided)	Primary (four-lane, divided)	Major (six-lane, divided)	Principal (eight-lane, divided)
Speed Control Measures (horizontal)	Permitted		Conditionally Permitted		Prohibited	
Speed control Measures (vertical)			Prohibited			
Volume Control Measures	Prohibited					

### <sup>30</sup> Definitions:

- Lane narrowings: achieve speed reductions by narrowing the roadway, usually accompanied by plantings, street furniture, or other vertical elements to draw attention to the constriction and visually bound the space. Includes neckdowns/bulbouts, center island narrowings, and chokers.
- Roundabouts: similar to traffic circles but typically used on higher volume arterials as a form of intersection control; often in replacement of traffic signals or all-way STOP signs.

## Draft Proposed Revisions to the Guidance for the Administration of the Orange County Master Plan of Arterial Highways - Clean

The tables below list various examples of each type of traffic calming measure in order of increasing restriction of their use on MPAH facilities. The consideration of traffic calming measures on MPAH facilities remain subject to the MPAH Consistency Policies and local agency sponsorship.

<b>HORIZONTAL SPEED CONTROL MEASURES</b>		
<b>Traffic circles</b>	Raised islands, placed in intersections, around which traffic circulates. They are sometimes called intersection islands. They are usually circular in shape and landscaped in their center islands, though not always. They are typically controlled by YIELD signs on all approaches.	<ul style="list-style-type: none"> <li>• Permitted on Collectors &amp; Divided Collectors</li> <li>• Conditionally permitted on Secondary &amp; Primary Arterials</li> <li>• Prohibited on Major &amp; Principal Arterials</li> </ul>
<b>Chicanes</b>	Curb extensions that alternate from one side of the street to the other, forming S-shaped curves. They are also referred to as deviations, serpentine, reversing curves, or twists. European manuals recommend shifts in alignment of at least one lane width, deflection angles of at least 45 degrees, and center islands to prevent drivers from taking a straight "racing line" through the feature.	
<b>Lateral Shifts</b>	Curb extensions on otherwise straight streets that cause travel lanes to bend one way and then bend back the other way to the original direction of travel. They are occasionally referred to as axial shifts, staggerings, or jogs.	
<b>Realigned Intersections</b>	Changes in alignment that convert T-intersections with straight approaches into curving streets that meet at right angles. A former "straight through" movement along the top of the T becomes a turning movement. Realigned intersections are sometimes called modified intersections.	

<b>VERTICAL SPEED CONTROL MEASURES</b>		
<b>Speed humps</b>	Rounded raised areas placed across the road. They are also referred to as road humps and undulations.	<ul style="list-style-type: none"> <li>• Permitted on Collectors &amp; Divided Collectors</li> <li>• Prohibited on Secondary &amp; Higher Arterials</li> </ul>
<b>Speed tables</b>	Flat-topped speed humps often constructed with brick or other textured materials on the flat section. They are also called trapezoidal humps, speed platforms, and, if marked for pedestrian crossing, raised crosswalks or raised crossings. Speed tables are typically long enough for the entire wheelbase of a passenger car to rest on top.	
<b>Raised intersections</b>	Flat raised areas covering entire intersections, with ramps on all approaches and often with brick or other textured materials on the flat section. They are also called raised junctions, intersection humps, or plateaus. They usually rise to sidewalk level, or slightly below to provide a "lip" for the visually impaired.	


## Draft Proposed Revisions to the Guidance for the Administration of the Orange County Master Plan of Arterial Highways - Clean

<b>VOLUME CONTROL MEASURES<sup>31</sup></b>		
<b>Full Street Closures</b>	Barriers placed across a street to close the street completely to through traffic, usually leaving only sidewalks or bicycle paths open. They are also called cul-de-sacs or dead ends. The barriers may consist of landscaped islands, walls, gates, side-by-side bollards, or any other obstructions that leave an opening smaller than the width of a passenger car.	<ul style="list-style-type: none"> <li>Prohibited on MPAH facilities</li> </ul>
<b>Half Street Closures</b>	Barriers that block travel in one direction for a short distance on otherwise two-way streets. They are also sometimes called partial closures or one-way closures.	
<b>Diverters</b>	Barriers placed diagonally across an intersection, blocking through movement. They are also called full diverters or diagonal road closures. Diverters are usually staggered to create circuitous routes through neighborhoods.	
<b>Median Barriers</b>	Raised islands located along the centerline of a street and continuing through an intersection so as to block through movement at a cross street. They are also referred to as median diverters or occasionally as island diverters.	
<b>Forced Turn Islands</b>	Raised islands that block through movements on approaches to an intersection and direct traffic to turn through the intersection.	

<sup>31</sup> The MPAH does not restrict the use of volume control measures on non-MPAH roadways and driveways that connect to/from the MPAH network.



**August 7, 2017**

**To:** Regional Planning and Highways Committee  
**From:** Darrell Johnson, Chief Executive Officer   
**Subject:** Regional Planning Update - Greenhouse Gas Target Review

### **Overview**

Regional planning updates are provided periodically to highlight transportation planning issues impacting the Orange County Transportation Authority and the Southern California region. This update focuses on draft greenhouse gas reduction targets currently proposed by the California Air Resources Board. Once finalized, the Southern California Association of Governments is required to address them as part of the 2020 Regional Transportation Plan and Sustainable Communities Strategy. A discussion of the Orange County Transportation Authority's concerns and actions to date, is provided for informational purposes.

### **Recommendation**

Receive and file as an information item.

### **Background**

In 2008, SB 375 (Chapter 728, Statutes of 2008) was enacted to encourage more sustainable development through coordinated land use and transportation planning. SB 375 addresses this by tasking the California Air Resources Board (CARB) with setting greenhouse gas (GHG) reduction targets for passenger vehicles. Each of California's 18 metropolitan planning organizations (MPOs), including the Southern California Association of Governments (SCAG), was assigned targets for 2020 and 2035 that must be addressed through a Sustainable Communities Strategy (SCS) within their Regional Transportation Plans (RTP). If the targets are not met, the MPOs must develop a financially unconstrained Alternative Planning Strategy detailing how the targets could be met.

In 2010, the SCAG region was assigned eight percent and 13 percent per capita GHG emission reductions from 2005 levels to be met by 2020 and 2035, respectively. SCAG's first SCS to address these targets was included in the 2012 RTP. In this plan, SCAG exceeded the targets with reductions of nine percent for 2020 and 16 percent for 2035. These reductions were predicated on assumptions that local jurisdictions would encourage more compact growth patterns, especially multi-family housing and employment closer to transit. It also assumed expansion of transit, increased investments in active transportation, and mileage-based user fees.

However, as 2020 draws closer, there is less time for these types of assumptions to impact actual travel behavior and development patterns. This became apparent in SCAG's 2016 RTP, where the SCS narrowly met the 2020 target of eight percent per capita, indicating a decline from the nine percent reduction in the 2012 RTP. Conversely, since 2035 was almost 20 years out, this lead time allowed SCAG to implement more refined strategies that produced an 18 percent reduction by 2035, again exceeding the 2035 target (13 percent).

### ***Discussion***

Currently, CARB is reviewing GHG emission reduction targets for MPOs throughout California. This review is optional after four years, but is required by statute every eight years. Statute also requires that the review use a consultative process involving MPOs. This allows MPOs to recommend targets prior to CARB staff proposing draft targets. It should also be noted that this review is only focusing on the 2035 targets, since 2020 is nearing.

SCAG worked collaboratively with the San Diego Association of Governments, the Sacramento Area Council of Governments, and the Bay Area's Metropolitan Transportation Commission to develop a joint recommendation for the revised 2035 target. These agencies make up the four largest MPOs in the state, representing about 85 percent of the state's population. The focus of their analysis was on identifying targets that are ambitious, but achievable within a financially constrained RTP/SCS. This collaboration resulted in all four MPOs agreeing to recommend a target reduction of 18 percent per capita by 2035.

In developing the recommended target, each of the MPOs tested what might be achieved beyond approved SCS documents by expanding on assumptions for land use, transportation expenditures, and user fees. These "stress tests" ignored financial constraints and other limiting policies in order to explore all potential avenues for additional GHG emission reductions. In general, strategies that can be implemented at the local and regional level provided few benefits and had high costs. For example, SCAG's stress test determined that an additional investment of \$10 billion in regional strategies would only achieve an additional 2.5 percent reduction in GHG emissions.

Common findings from the MPOs also showed that state initiatives were more effective than regional initiatives, which highlights the need for the state to provide more support and funding if they want to see larger emission reductions. Specifically, these tests showed that statewide clean vehicle technology programs have the greatest effect on reducing GHG emissions. Unfortunately, CARB does not allow SCSs to take credit for reductions from these programs. This is because the SCS and clean technology improvements are independent strategies in the Scoping Plan, each contributing toward the statewide GHG emission goals. However, when conducting federally-required RTP emissions analyses, both must be accounted for, which creates a challenge for MPOs.

Clean technology strategies reduce the cost of driving, making it more attractive and increasing vehicle miles traveled (VMT). This VMT increase from improved fuel efficiency is referred to as the “rebound effect”. RTPs must report this VMT increase, but also must report the SCS-related GHG emission reductions separate from the clean technology strategies for state-required analyses. This is to avoid double counting reductions from Scoping Plan strategies. Therefore, MPOs must disregard the GHG reductions associated with clean technology strategies, while still accounting for the rebound effect’s VMT increase. SCAG estimates that this results in a GHG emissions increase of about five percent.

Since SCAG’s 2016 RTP/SCS achieved an 18 percent reduction in GHG emissions for 2035, the additional 2.5 percent reduction from the \$10 billion investment assumed in SCAG’s stress test could increase GHG reduction potential to 20.5 percent by 2035. However, SCAG’s rebound effect estimate would increase GHG emissions by about five percent, putting SCAG’s 2035 reduction estimate at 15.5 percent.

About half of the cost identified in SCAG’s stress test is addressed through the Los Angeles County Metropolitan Transportation Authority’s Measure M sales tax program, and leaves a \$5 billion shortfall to get to a 15.5 percent GHG emission reduction by 2035. Knowing that CARB is in need of further reductions to address the statewide GHG reduction goals set by SB 32 (Chapter 249, Statutes of 2016), 40 percent below 1990 levels by 2030 for all sectors, SCAG recommended an ambitious reduction target of 18 percent. However, to achieve this, SCAG notes that the state must be proactive with supportive strategies and funding.

SCAG submitted their recommendation to CARB in early April 2017, and in mid-June CARB released draft targets. The draft targets maintained the 2020 target of eight percent, but increased the 2035 target to 21 percent (from 13 percent). This increases the gap that the SCAG region needs to address from 2.5 percent (based on SCAG’s recommended 18 percent target,

which assumes SCAG identifies funding to cover the \$5 billion shortfall) to 5.5 percent. SCAG does not believe this is achievable without unprecedented support from the state, in terms of funding and strategies to reduce vehicle miles traveled.

CARB justifies the increase over the SCAG recommendation through the following claims:

- The rebound effect will only result in a one percent increase (rather than SCAG's estimate of five percent);
- Funding will be made available through SB 1 (Chapter 5, Statutes of 2017), the GHG cap-and-trade funds, the Volkswagen Settlement, and "statewide pricing" (probably referring to a potential shift to a mileage-based user fee);
- New and enhanced SCS strategies; and,
- Revised modeling methodologies that better account for emission reductions from SCSs.

SCAG is coordinating with CARB to discuss the differences in assumptions regarding the rebound effect. This is the primary point of divergence between SCAG's recommendation and CARB's draft target. They will also need to resolve differences in assumptions regarding opportunities to enhance existing strategies. In general, SCAG's stress test seems to account for any opportunities to enhance strategies included in the 2016 RTP/SCS.

CARB assumes that over \$53 billion in new funding will be made available over the next ten years through the programs mentioned above. The vast majority of this would come from SB 1 (\$52.4 billion). However, SCAG's 2016 RTP/SCS already assumes that the gas tax would be raised ten cents per gallon, beginning in 2020. Therefore, the new funds generated through SB 1 are largely accounted for in the 2016 RTP/SCS. Furthermore, cap-and-trade funding distributed through the Greenhouse Gas Reduction Fund program has been unreliable to date, and the SCAG region has not received its fair share.

OCTA submitted comments on the draft targets proposed by CARB (Attachment A). These comments emphasize the need to clarify discrepancies between SCAG's and CARB's assumptions, and encourages CARB to rely on input from MPOs. CARB is only now preparing to gather input on the effectiveness of SCS strategies. There is also active legislation, SB 150 (Allen, D-Santa Monica), which proposes that CARB monitor and report on the progress of SCS implementation by September 1, 2018. Until CARB documents and evaluates the effectiveness of SCS strategies, they should defer to the MPO recommendations, as they are the agencies most familiar with SCS issues and emission reduction capabilities.

The public comment period for CARB's draft targets closed on July 28, 2017. CARB will consider all comments received, and make revisions as they see appropriate before presenting their recommendations to the CARB Governing Board in October 2017. Once finalized, MPOs throughout the state will be required to address the revised targets beginning in 2018, which first impact the 2020 RTP/SCS for the SCAG region. CARB has the option to review the targets again for 2022, and must review them again for 2026.

### ***Summary***


The California Air Resources Board is proposing to raise the targets for greenhouse gas emission reductions by 2035 from 13 percent to 21 percent for the Southern California Association of Governments (SCAG). Although the four largest metropolitan planning organizations, including SCAG, collaborated on studies that determined that 18 percent would be ambitious yet achievable, the California Air Resources Board believes more can be done. This belief is based on assumptions that the CARB derived independently, while trying to achieve the recently established statewide goal of a 40 percent reduction below 1990 levels in greenhouse gas emissions by 2030 across all sectors.

OCTA submitted comments to the CARB, encouraging them to establish goals that are achievable. Furthermore, the comments encourage them to avoid basing the targets on optimistic assumptions about sustainability strategies before actual performance data becomes available.

### ***Attachment***

- A. Letter dated July 19, 2017, Clerk of the Board, California Air Resources Board, Proposed Update to SB 375 (Chapter 728, Statutes of 2008) Greenhouse Gas Emission Reduction Targets and Environmental Analysis

**Prepared by:**



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*Darrell Johnson*  
Chief Executive Officer

July 19, 2017

Clerk of the Board  
California Air Resources Board  
1001 I Street  
Sacramento, CA 95814

**Re: Proposed Update to the SB 375 (Chapter 728, Statutes of 2008)  
Greenhouse Gas Emission Reduction Targets and Environmental  
Analysis**

Dear Clerk of the Board:

The Orange County Transportation Authority (OCTA) appreciates the opportunity to review and provide comments on the updated greenhouse gas (GHG) emission reduction targets (targets) and the environmental analysis, proposed by the California Air Resources Board (CARB). OCTA agrees with CARB's approach to focus the review on the 2035 targets, as 2020 is fast approaching, and metropolitan planning organizations (MPOs) throughout the state are facing significant challenges to meet the current 2020 targets.

Considering these challenges, and the current lack of data regarding the effectiveness of implemented projects and programs that support goals of Sustainable Communities Strategies (SCS), OCTA respectfully requests that CARB take a more conservative approach in this review cycle. As CARB is aware, the targets are eligible to be reviewed again in just four years, and the review process would benefit greatly from data collected through anticipated SCS implementation monitoring efforts. Therefore, OCTA encourages CARB to collect and analyze this data before making drastic changes to the targets.

The CARB draft staff report titled "Proposed Update to the SB 375 (Chapter 728, Statutes of 2008) GHG Emission Reduction Targets" notes under "Next Steps" that CARB intends to track SCS implementation efforts and outcomes to understand whether the SCS strategies are working. Moreover, the current version of SB 150 (Allen, D-Santa Monica), if passed, would require that CARB prepare a report by September 1, 2018, assessing the progress made by MPOs in meeting their targets.

This documentation and analysis, whether required by law or conducted as a CARB initiative, would greatly serve the target review process, and help to ensure that the targets remain ambitious and achievable within financially constrained Regional Transportation Plans and SCSs. Through discussions with the Southern California Association of Governments (SCAG) and other SCAG region stakeholders, there is a common concern that CARB's proposed targets are not achievable.

Clerk of the Board  
July 19, 2017  
Page 2

At the June 21, 2017, workshop conducted by CARB, several discrepancies between SCAG and CARB target evaluations were discussed that are causing much of this concern. These discrepancies need to be discussed with SCAG and resolved before any further action is taken by CARB to advance the current proposed targets.

SCAG's assumptions were derived through a collaborative effort between SCAG, the San Diego Association of Governments, the Bay Area's Metropolitan Transportation Commission, and the Sacramento Area Council of Governments. This collaboration served to provide CARB with insights through a bottom-up approach for identifying ambitious and achievable targets. OCTA is requesting that CARB reconsider using the targets recommended by these MPOs.

The MPOs have the greatest understanding of opportunities, issues, and modeling capabilities for developing and analyzing an SCS. Further, these agencies have consistently included all feasible GHG emission reduction strategies and best practices to address the current targets, so there is no reason to believe they would do anything less in future SCSs. Therefore, establishing exceedingly high targets does nothing but put these regions at risk of not achieving their targets.

OCTA is requesting that CARB relies on the insights and recommendations that have been provided by the MPOs for the 2018 target setting process. Until sufficient data is gathered and reviewed through the aforementioned monitoring reports, the statutorily required consultative process with the MPOs is the best available measure of what should be considered ambitious and achievable. Should you have any questions regarding this letter, please contact Greg Nord, Principal Transportation Analyst, at (714) 560-5885 or [gnord@octa.net](mailto:gnord@octa.net).

Sincerely,



Darrell Johnson  
Chief Executive Officer

DJ:gn

c: OCTA Board of Directors;  
OCTA Executive Staff;  
Hassan Ikhata, Executive Director, SCAG;  
Marnie Primmer, Executive Director, OCCOG



***August 7, 2017***

**To:** Regional Planning and Highways Committee

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

**Subject:** Active Transportation Update

### ***Overview***

The Orange County Transportation Authority coordinates regional active transportation efforts in Orange County. An update on recent and upcoming activities is provided for review.

### ***Recommendation***

Receive and file as an information item.

### ***Background***

The Orange County Transportation Authority (OCTA) Board of Directors (Board) receives updates on regional active transportation annually. These efforts support the OCTA role in expanding and promoting active transportation. This report provides an update on regional bicycle and pedestrian planning, educational efforts, and collaboration with law enforcement agencies.

### ***Discussion***

#### **Regional Bikeways Planning**

Between 2011 and 2016, OCTA prepared four sub-area studies identifying 41 regional bikeway corridors. Forty percent of these regional bikeways have already been locally implemented, while the remaining segments require project development and funding to complete. The estimated amount of funding for completion is between \$400 million and \$500 million. Highlighted segments of the regional bikeways have received funding for enhancements or new bikeways,

as shown in Attachment A. Funding has been secured by local agencies for various phases of work, such as project design, right-of-way acquisition, and/or construction.

Funding opportunities to implement local and regional bikeways have primarily come from the OCTA administered Bicycle Corridor Improvement Program and the state administered Active Transportation Program (ATP). SB 1 (Chapter 5, Statutes of 2017), the Road Repair and Accountability Act of 2017, provides significant funding that may be used towards bicycle and pedestrian projects. OCTA will participate in upcoming workshops related to SB 1 and will encourage local agencies to pursue future ATP funding opportunities.

### OC Loop

The OC Loop envisions a 66-mile regional bikeway network serving the north and central portions of Orange County. It is comprised of the regional bikeway corridors identified in the regional bikeways strategies. Over the past few decades, multiple agencies have worked independently to implement portions of the OC Loop, completing about 70 percent. When complete, the OC Loop will primarily be an off-street system that will utilize the existing off-street trails along the San Gabriel River, Coyote Creek, Union Pacific Railroad corridor, The Tracks at Brea, and the Santa Ana River.

In 2015, the County of Orange (County) completed a feasibility study that provides recommendations and cost estimates on closing gaps along the OC Loop. Based on the engineering recommendations, OCTA prepared the OC Loop 70/30 Plan, which provides an executive level summary fact sheet with estimated improvement costs for each segment of the OC Loop. Additional information can be found on the OC Loop website at [www.octa.net/ocloop](http://www.octa.net/ocloop).

The County staff has continued to pursue funding to advance OC Loop segments, and recently, Segment F, in the Yorba Linda area was implemented by the County. The roughly one mile segment travels through a residential neighborhood, and implementation consisted primarily of wayfinding signage and sidewalk improvements. Attachment B shows the OC Loop Segments.

OCTA is also facilitating the negotiations between Union Pacific Railroad (UPRR) and the cities of Brea and La Habra to secure an easement for the OC Loop Segments A and B. OCTA is coordinating the plan reviews and approvals with the California Public Utilities Commission and UPRR. OCTA will continue to coordinate with the County and local cities to advance projects to bring the OC Loop to completion.

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### Go Human

Since 2015, OCTA has partnered with the Southern California Association of Governments (SCAG) to develop the marketing campaign and encouragement events for the Go Human campaign. Go Human is the branding for the SCAG campaign to improve safety and encourage more active transportation travel. SCAG worked with the City of Westminster to develop the Go Human “Experience Hoover” event in 2016, and four additional events were hosted in 2017:

- Garden Grove – Re:Imagine Garden Grove (April 1);
- Brea – Experience the Tracks at Brea (May 27);
- OC Parks, Anaheim and Yorba Linda – Connect the Loop (June 10);
- Santa Ana – 18<sup>th</sup> Annual Cinco de Mayo Festival (May 5).

Go Human events have provided temporary demonstrations of separated bikeways, celebrated new trails, or supported open streets events, such as the third annual event conducted in Garden Grove. Attendance varies as marketing for each event is in scale with dedicated agency resources. Each event has a set of goals developed by the local agency, such as exhibiting a new design concept, or bringing a large number of people to a community festival.

Based on the respective event goals, local agencies have expressed support with the SCAG collaboration and for Go Human events. An additional Go Human demonstration is being considered by OC Public Works in fall 2017 to illustrate a barrier-separated bikeway concept along Hazard Avenue, which aligns with a project that has received bikeways funding from OCTA.

### OC Active

In early 2017, the Board approved the consultant selection to develop the first countywide ATP, called OC Active. Funding for OC Active is primarily provided through a state ATP Cycle 2 grant.

OC Active will evaluate needs, as well as recommend active transportation (bicycle and pedestrian) improvements for all 35 local jurisdictions in Orange County. Currently, few Orange County cities have started or completed a pedestrian plan. OC Active will include analysis to identify pedestrian improvement areas and will incorporate all regional and local bikeway planning work conducted to date by OCTA and local jurisdictions.

The list of improvement recommendations will be tied to goals and metrics, and be developed based on both community input, as well as technical analyses throughout the process. OC Active will also provide information and analysis required by the state guidelines for ATPs. By prioritizing improvements, OC Active will help guide local agency efforts to secure funding to implement infrastructure improvements. These results will also help guide countywide funding and program decisions.

As discussed with the Board in July 2017, the project goals and public engagement plan have been developed. Utilizing the goals and engagement plan, technical analysis has now commenced and preliminary results will be presented to the Board in early 2018, with study completion planned for summer 2018.

#### Systemic Safety Analysis Report (SSAR)

In early 2017, the OCTA Board authorized consultant support to develop a SSAR for Orange County. Funding for the SSAR is primarily provided through a state Highway Safety Improvement Program grant.

The Orange County SSAR will be developed in partnership with local agencies and include an analysis of bicycle and pedestrian related collisions spanning the Orange County roadway network. It will identify incident trends and potential locations with high crash occurrences based on roadway and intersection type. The analysis will help recognize the risk factors related to bicycle and pedestrian collisions, and will be used to develop a list of potential infrastructure and non-infrastructure solutions. These recommended solutions will be based on nationally published crash reduction information and could include traffic control devices, warning beacons, improved lighting, enhanced signage, and refuge islands for bicyclists and pedestrians.

Staff will provide updates to the Board during development of the SSAR, which is anticipated to take 18 months. Contract negotiations are underway now, and the consultant is expected to begin work in late 2017.

#### Active Transportation Counts Framework Study

In early 2016, OCTA hired a consultant to develop an Active Transportation Counts Framework Study (Framework). Funding for the Framework is primarily provided through the California Department of Transportation (Caltrans) Sustainable Transportation Planning Grant Program.

While significant investments have been made to improve active transportation in Orange County, there is a lack of quantitative data and analysis regarding traffic flow, exposure rates, and collisions related to walking and biking. The Framework will develop goals, evaluate equipment needs, recommend collection locations, document capital and maintenance costs, and provide recommendations for data management.

Consultant work began in June 2017, and the Framework is anticipated to take 12 months, with ongoing coordination and collaboration with Caltrans, the County, and local jurisdictions.

### Education

Since February 2016, OCTA staff have pursued and secured over \$900,000 in grant funding for efforts to evaluate and plan for improved facilities for people walking and biking. The topics covered by the grants include planning, enforcement, evaluation, and education. The Office of Traffic Safety (OTS) Highway Safety Program provided grant funds to OCTA in federal fiscal year (FFY) 2016-17 for creation of safety videos, and OTS has indicated OCTA has been recommended for funding in FFY 2017-18 for distribution of reflectors, bike lights, bike helmets, and bike skills training courses directly to community members. OCTA will continue to coordinate with OTS to complete the safety videos and to advance the next grant for bike skills training and safety materials distribution.

### Enforcement

In early 2017, SCAG selected OCTA for competitive grant funding of the Partnerships with Police (PWP) Project. The PWP Project will utilize local collision data to identify dangerous behaviors and provide a training program developed collaboratively with local enforcement staff to improve active transportation throughout Orange County. The PWP Project will initiate a forum for open dialogue with law enforcement staff to clarify and address common issues and questions related to active transportation.

The grant application was prepared with letters of support from six different Orange County police departments, including the Orange County Sheriff's Department. The project is expected to begin in fall 2017, and will begin with a presentation to the Orange County Chiefs' and Sheriff's Association for input and participation.

***Summary***

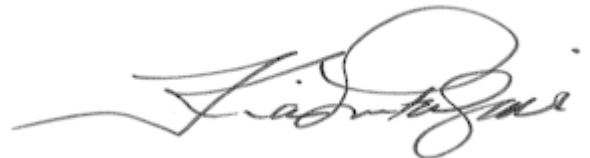
OCTA has advanced planning, education, encouragement, and enforcement efforts to improve active transportation throughout Orange County. Coordination and collaboration continues between SCAG, Caltrans, and community members to encourage and support people walking and bicycling within Orange County.

***Attachments***

- A. Regional Bikeways Progress Maps, North County and South County
- B. OC Loop Segments Map

**Prepared by:**

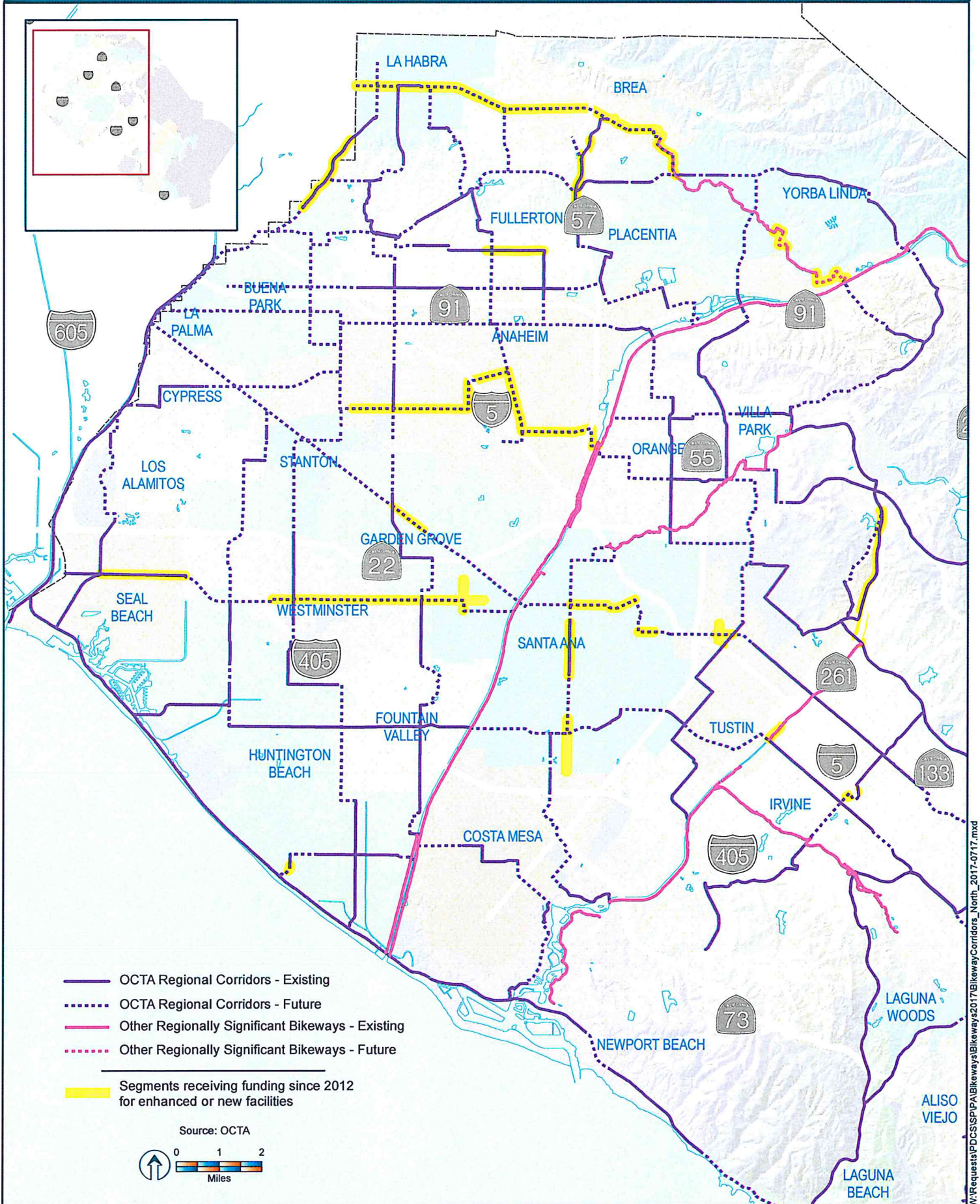
Paul Martin  
Principal Transportation Analyst  
(714) 560-5386

**Approved by:**

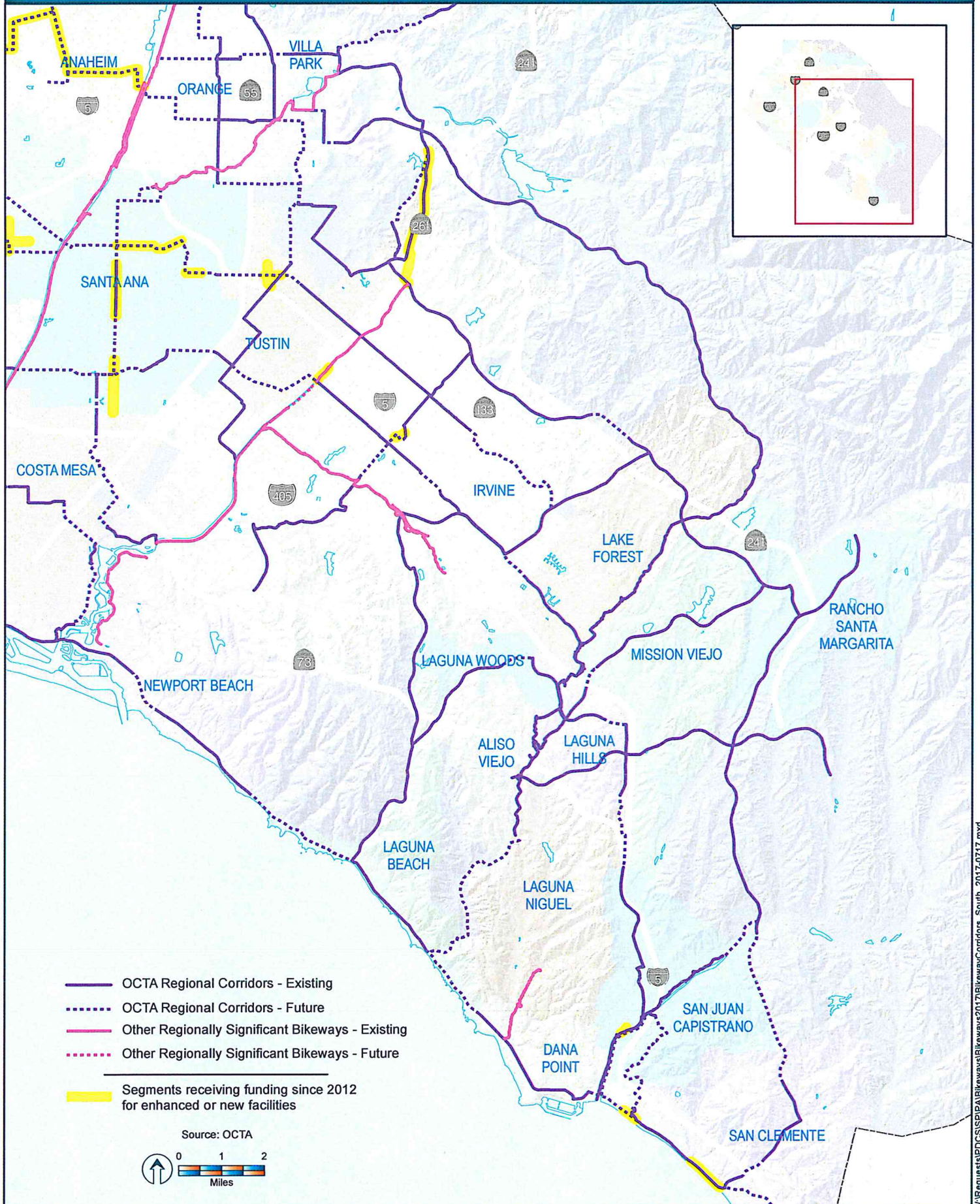
Kia Mortazavi  
Executive Director, Planning  
(714) 560-5741

# Regional Bikeways Progress Maps North County and South County

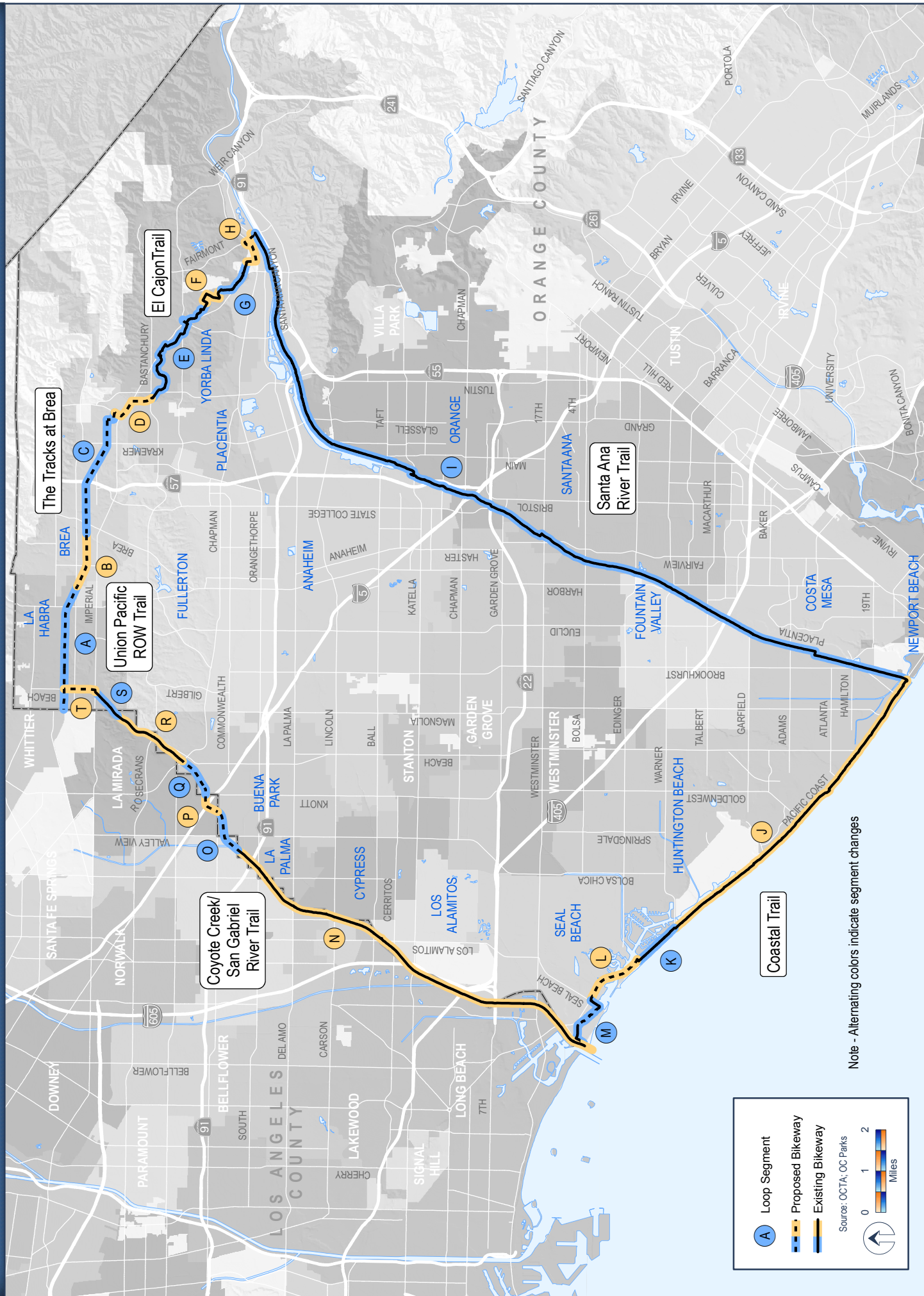
# Regional Bikeway (North County) - Progress Map



# Regional Bikeway (South County) - Progress Map



# OC Loop Segments Map



Note - Alternating colors indicate segment changes

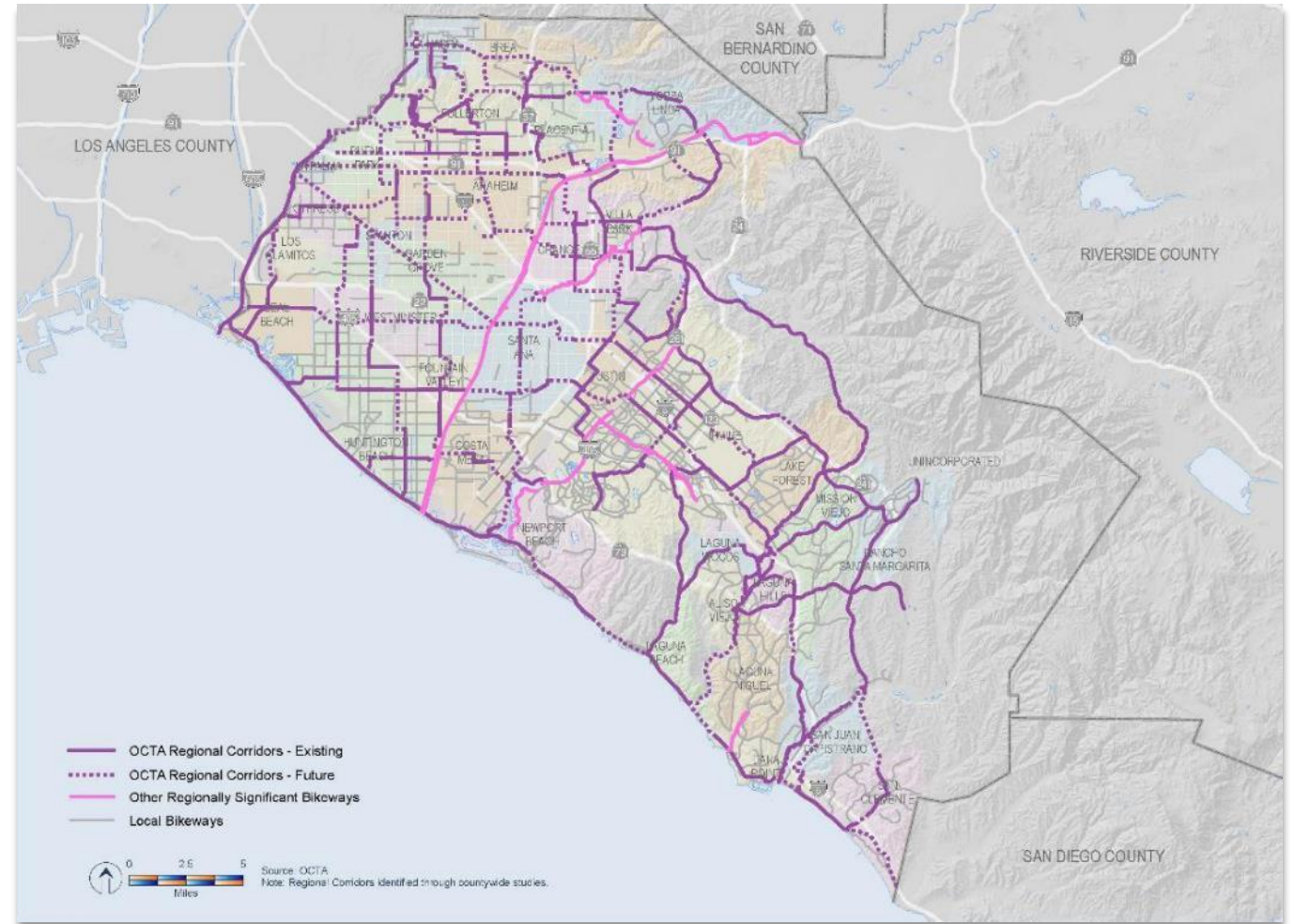
# Active Transportation Update



# Regional Bikeways Network

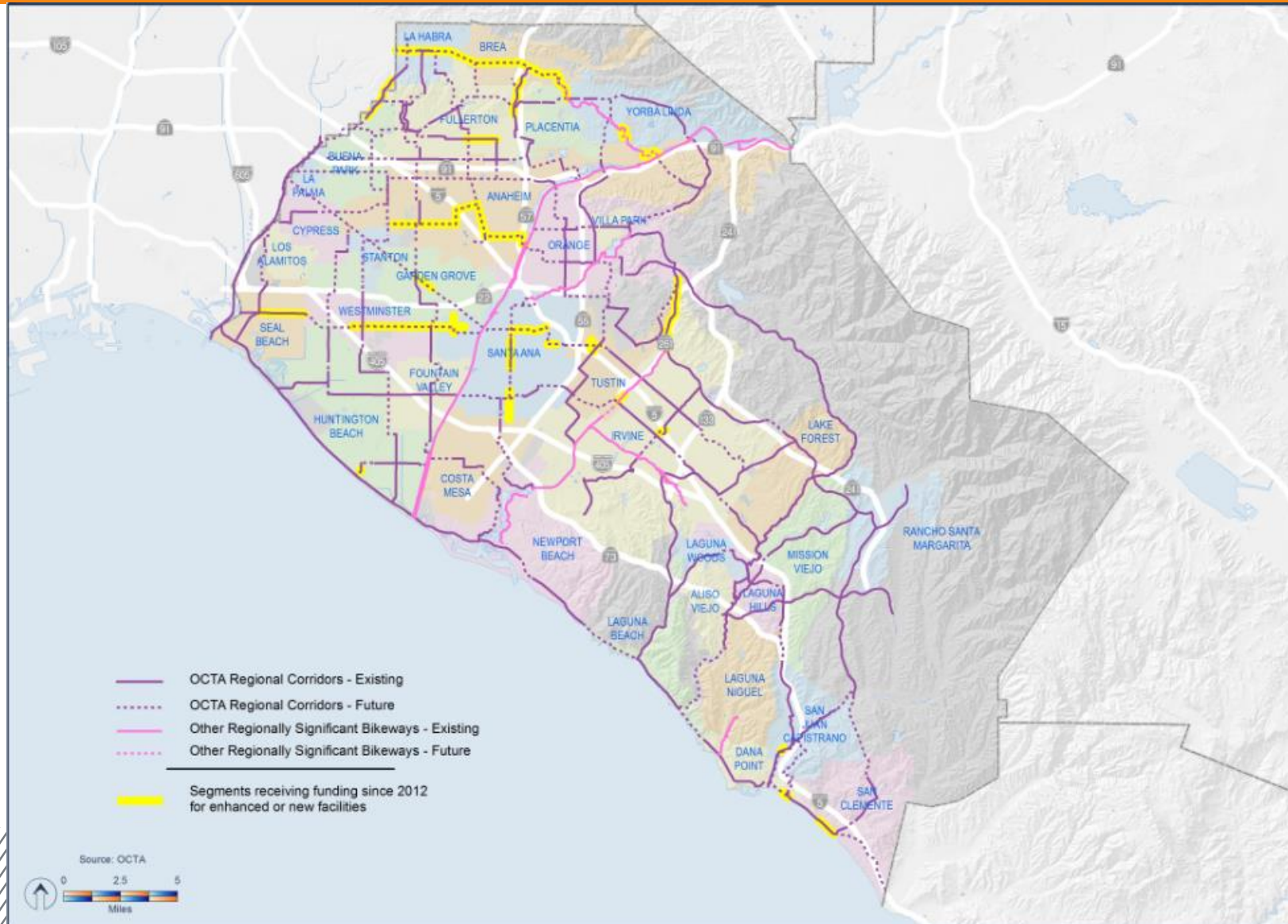
## Backbone System

- 41 regional corridors
- 500 miles in length
- 40 percent built
- \$400 million - \$500 million to complete



OCTA – Orange County Transportation Authority

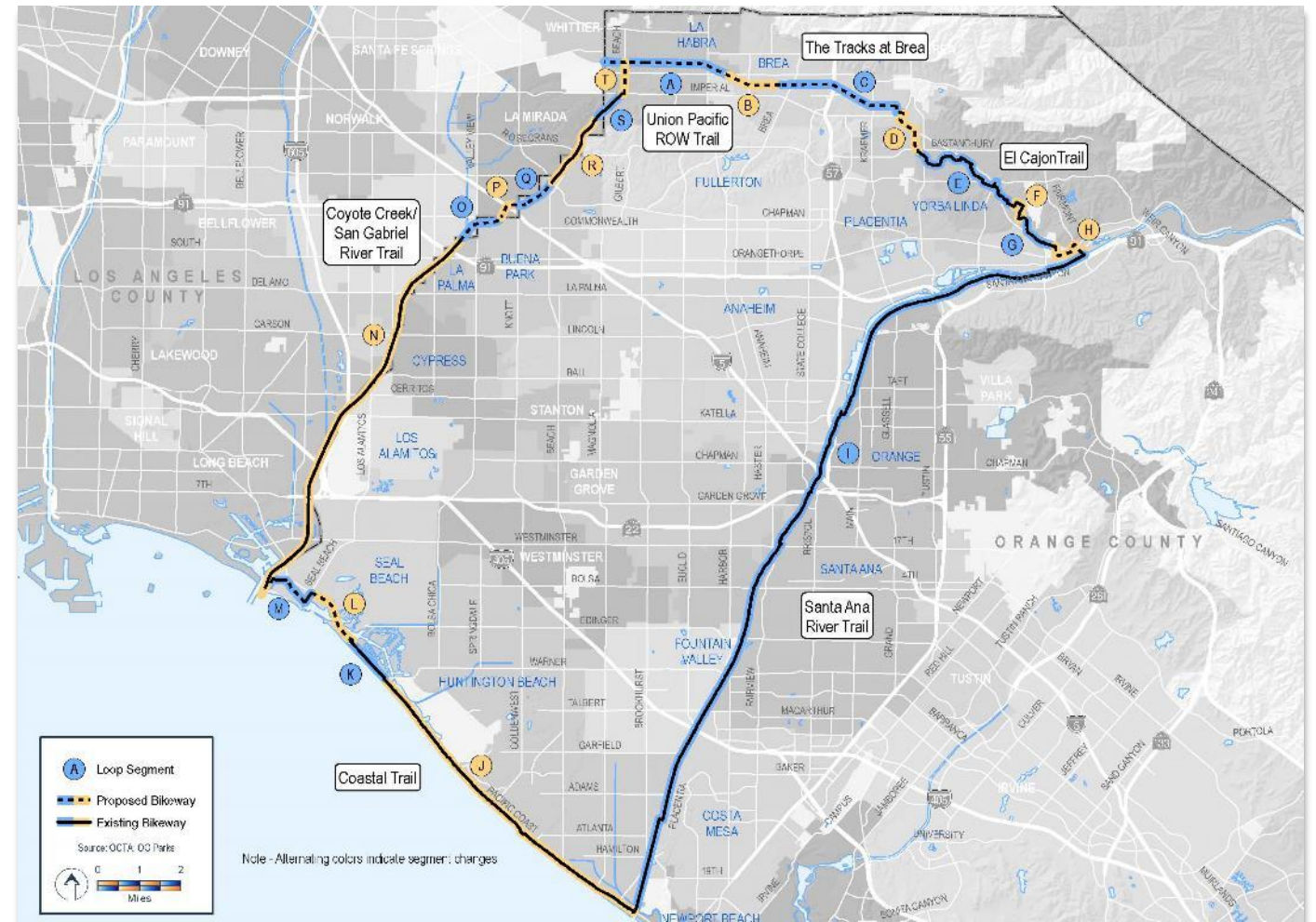
# Regional Bikeways Network - Progress



# OC Loop

## Advancing Segments

- Recent Completions
  - City of Huntington Beach (Segment K)
  - City of Yorba Linda (Segment F)
- Engineering Studies Planned/Underway
  - City of La Habra (Segments A) and City of Brea (Segment B)
  - City of Brea (Segment D), City of Yorba Linda (Segment H)
  - City of Buena Park (Segments O, P, and Q)



# Go Human Events

## 2017 Events

- Re: Imagine Garden Grove (April 1)
- Experience the Tracks at Brea (May 27)
- Connect the Loop (June 10)
- Cinco de Mayo (May 5)
- Hazard Avenue (Coming Soon)



Source: City of Garden Grove

## Project Status

- Community Engagement
  - Surveys
  - Outreach Events
  - Working Group Meetings
- Technical Analysis
  - Inventory Bike Plans
  - Evaluate Pedestrian Network



# Additional Planning Studies

## Systemic Safety Analysis

- Engineering Solutions to Address Common Bicycle and Pedestrian Crash Types

## Counts Framework Study

- Framework for Bicycle and Pedestrian Data Collection



# Education

## Office of Traffic Safety Funding:

- 2017: Safety Videos
- 2018: Bicycle Skills Training and Safety Materials



# Enforcement

## Partnerships With Police

- Southern California Association of Governments Funding
- Training Program for Officers
  - Crash History/Trends
  - Laws and Regulations
- Effort Begins - Fall 2017

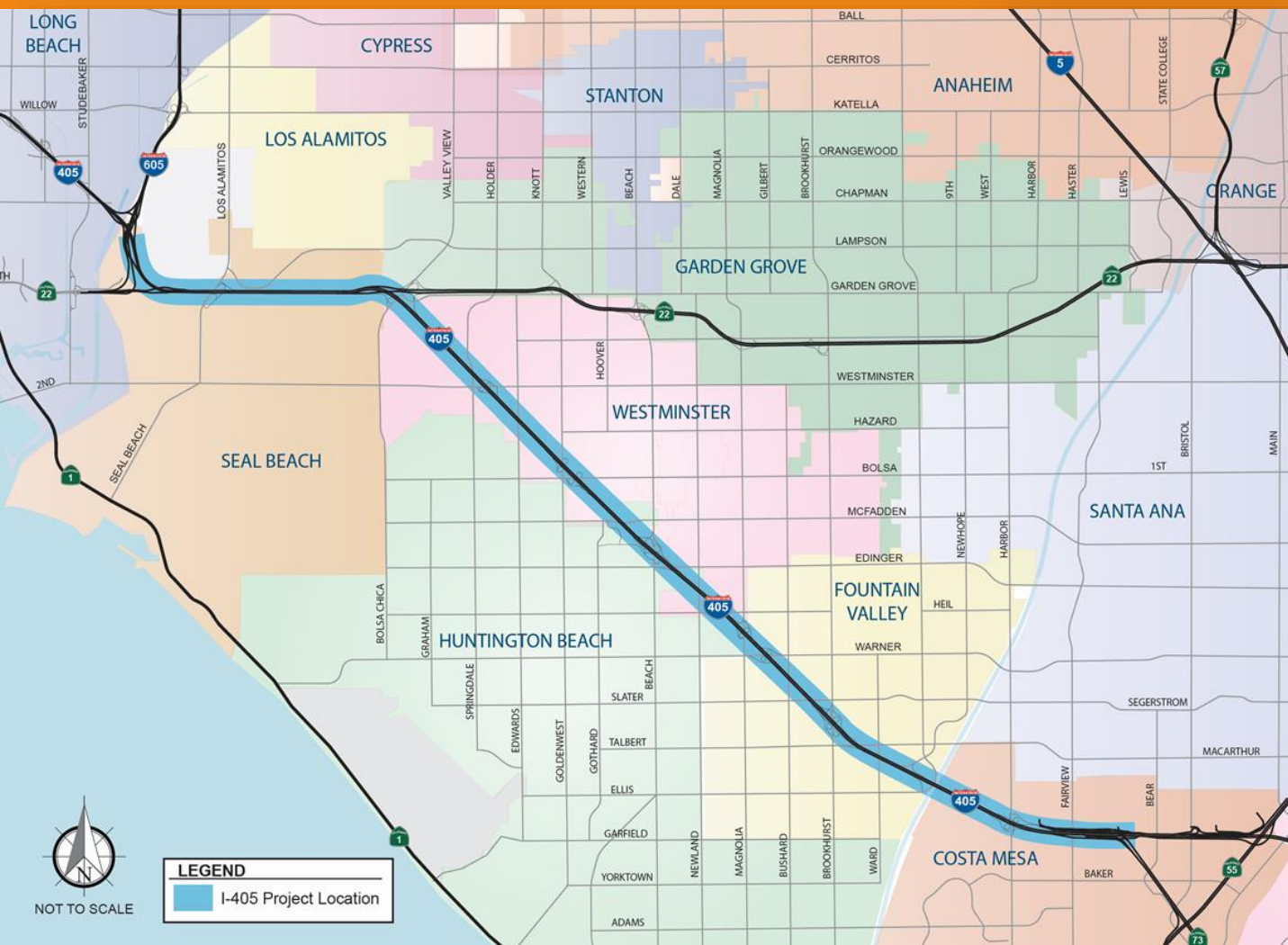




# Interstate 405 Improvement Project Update

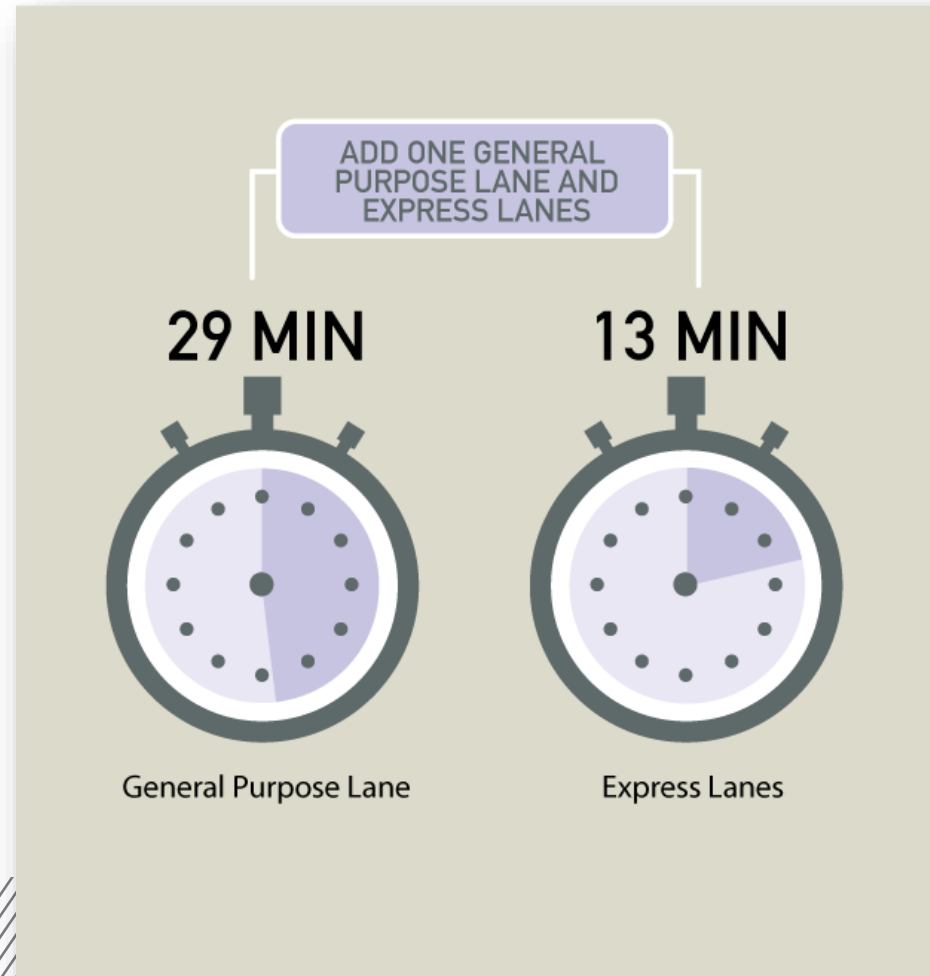


# Project Location and Key Features



# Project Travel Time Benefits

2040 travel time from State Route 73 to Interstate 605



# Background

- On November 14, 2016, the Orange County Transportation Authority (OCTA) Board of Directors (Board) awarded the design-build (DB) contract to OC 405 Partners
- On January 31, 2017, OCTA executed the contract with OC 405 Partners and issued Notice to Proceed (NTP) No. 1
- On June 26, 2017, the Board approved the Transportation Infrastructure Finance and Innovation Act (TIFIA) loan

# Financing Update

- Build America Bureau Council on Credit and Finance recommended approval of the TIFIA loan to the Secretary of Transportation on June 29, 2017
- Investment grade ratings received from rating agencies in mid July 2017
- Secretary of Transportation approved the TIFIA loan on July 17, 2017
- TIFIA loan closed on July 26, 2017

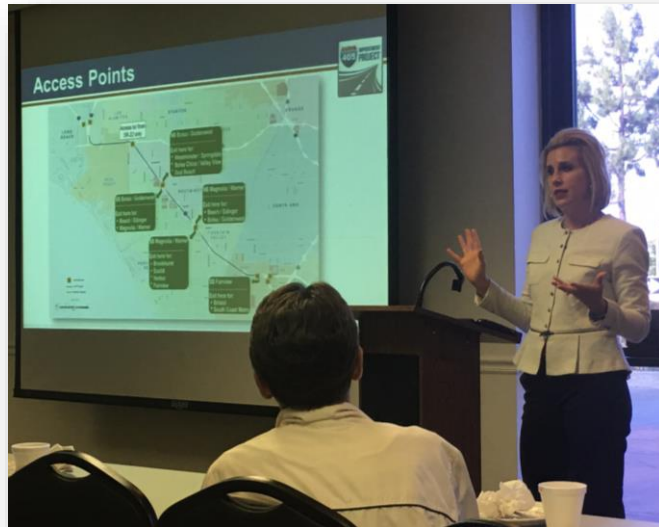
# Project Update

- On July 27, 2017, OCTA issued NTP No. 2 to OC 405 Partners
- DB current tasks include:
  - Final Baseline Schedule – construction anticipated to begin in early 2018
  - Design
- Development of Toll Lanes System Integrator procurement documents
  - Request for proposals (RFP) release anticipated for August 28, 2017
- Right-of-way, utility relocations, and other risk items proceeding well
  - Potential OCTA Board resolutions of necessity anticipated to begin October 2017, as needed

# Preliminary Bridge Construction Timeline



# Public Outreach Update



## Pre-Construction Activities

Please be advised, dates are subject to change based on inclement weather and other operational factors.

### Huntington Beach

**Utility Location and Drill Exploration Activities:** Intermittent pre-construction activities will occur between 9 a.m. and 3 p.m., Monday to Friday, July 10 to 14.

#### Locations

On the NB and SB shoulders of the I-405 freeway, crews will be near:

- o Beach Boulevard
- o McFadden Avenue
- o Magnolia Street

Please be advised that these activities may be loud.



# Next Steps

Activity/Milestone	Completion Date
<b>DB Implementation</b>	
Final baseline schedule	Late 2017
Groundbreaking ceremony and beginning of construction	Early 2018
Design and construction	2017-2023
Project, including 405 Express Lanes, opens	2023
<b>Toll Lanes System Integrator Procurement</b>	
Release RFP	August 28, 2017
Award contract	Early 2018