



BOARD AGENDA

Orange County Transportation Authority Board Meeting
Orange County Transportation Authority Headquarters
Board Room - Conference Room 07-08
550 South Main Street
Orange, California
Monday, January 14, 2019 at 9:00 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

The agenda descriptions are intended to give members of the public a general summary of items of business to be transacted or discussed. The posting of the recommended actions does not indicate what action will be taken. The Board of Directors may take any action which it deems to be appropriate on the agenda item and is not limited in any way by the notice of the recommended action.

Public Comments on Agenda Items

Members of the public may address the Board of Directors regarding any item. Please complete a speaker's card and submit it to the Clerk of the Board or notify the Clerk of the Board the item number on which you wish to speak. Speakers will be recognized by the Chairwoman at the time the agenda item is to be considered. A speaker's comments shall be limited to three (3) minutes.

Public Availability of Agenda Materials

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

Call to Order

Invocation

Director Delgleize

Pledge of Allegiance

Director Muller



BOARD AGENDA

Special Calendar

Orange County Transportation Authority Special Calendar Matters

1. Administration of the Oath of Office to New and Returning Orange County Transportation Authority Board of Directors

Oath of Office will be administered to new Board Member Doug Chaffee and returning Board Members Lisa A. Bartlett, Tim Shaw, Mark A. Murphy, Richard Murphy, Miguel Pulido, and Michelle Steel.

2. Election of Orange County Transportation Authority Board of Directors Chair

3. Election of Orange County Transportation Authority Board of Directors Vice Chair

4. 2018 Year In Review

A progress report on the 2018 accomplishments of the Orange County Transportation Authority.

Consent Calendar (Items 5 through 21)

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

Orange County Transportation Authority Consent Calendar Matters

5. Approval of Minutes

Approval of the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of December 10, 2018.

6. Approval of Board Member Travel

Approve the travel to Washington, D.C., for Vice Chairman Shaw to travel the week of January 28, 2019 for the Orange County Transportation Authority's Washington advocacy trip focusing on the Orange County Transportation Authority transportation and legislative priorities for the 1st session of the 116th United States Congress.



BOARD AGENDA

7. State of California, Department of Transportation, Incurred Cost Audit - Orange County Transportation Authority

Janet Sutter

Overview

The California Department of Transportation, Division of Local Assistance, has issued a letter notifying the Orange County Transportation Authority of their determination of required corrective actions to be taken to address deficiencies identified in the State of California, Department of Transportation, Incurred Cost Audit, issued April 26, 2016. The Orange County Transportation Authority has been asked to reimburse \$450,393 of right-of-way costs, revise policy and procedure manuals, and obtain staff training by May 2, 2019.

Recommendation

Direct staff to work with the California Department of Transportation, Division of Local Assistance, and to address corrective action recommendations.

8. Orange County Employees Retirement System: Audit of Orange County Transportation Authority Payroll Transmittals

Janet Sutter

Overview

The Internal Audit Department of the Orange County Employees Retirement System has completed an audit of the Orange County Transportation Authority's payroll transmittals and has concluded that payroll transmittals were accurate and complete. The audit, which was completed in April 2018 and issued in November 2018, identified inconsistencies in contribution withholding practices among plan sponsors. To address this, the auditors recommended that Orange County Employees Retirement System management create a contribution policy and apply it uniformly across all plan sponsors.

Recommendation

Receive and file an audit completed by the Internal Audit Department of the Orange County Employees Retirement System, Audit of Orange County Transportation Authority (OCTA) Payroll Transmittals, Report Date: November 12, 2018, as an information item.



BOARD AGENDA

9. **Audit of Oversight Controls and Contract Compliance Related to the Interstate 5 High-Occupancy Vehicle Improvement Project: Pacific Coast Highway to San Juan Creek Road**
Ricco Bonelli/Janet Sutter

Overview

The Internal Audit Department has completed an audit of oversight controls and contract compliance related to Segment 3 of the Interstate 5 High-Occupancy Vehicle Improvement Project. Based on the audit, consultants were procured in compliance with policy; however, some concerns were identified related to amendment processing. Also, invoices were generally paid in compliance with contract terms; however, one consultant was paid more than the contractually allowed amount for a specified task. Finally, a written Project Management Plan outlining the scope of work, constraints, and technical requirements of the project, was not prepared as required.

Recommendation

Direct staff to implement three recommendations provided in the Audit of Oversight Controls and Contract Compliance Related to the Interstate 5 High-Occupancy Vehicle Improvement Project: Pacific Coast Highway to San Juan Creek Road, Internal Audit Report No. 18-512.

10. **91 Express Lanes Corona Customer Service Center Construction Update**
Christina Runge Haidl/Kenneth Phipps

Overview

In May 2018, the Orange County Transportation Authority Board of Directors approved a ten-year lease agreement with the Riverside County Transportation Commission for 5,009 square feet of space, as well as tenant improvement cost sharing, at a facility owned by the Riverside County Transportation Commission. The leased space will accommodate the 91 Express Lanes walk-in customer service center and call center, and the facility will be shared with the Riverside County Transportation Commission. Construction is currently underway and the space is anticipated to be ready for occupancy in the first quarter of 2019.



BOARD AGENDA**10. (Continued)****Recommendation**

Authorize additional funding for Agreement No. C-8-1660 with Riverside County Transportation Commission to cover the additional tenant improvement costs for the 91 Express Lanes Corona Office, located at 301 Corporate Terrace Circle, Corona, California, in an amount not to exceed \$365,000, which represents Orange County Transportation Authority's share of the additional costs.

11. Fiscal Year 2018-19 First Quarter Grant Reimbursement Status Report
Sam Kaur/Andrew Oftelie**Overview**

The Quarterly Grant Reimbursement Status Report summarizes grant activities for the Orange County Transportation Authority Board of Directors. This report focuses on activity for the period of July through September 2018.

Recommendation

Receive and file as an information item.

12. Update on the Loan Agreements with the Cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board
Sam Kaur/Andrew Oftelie**Overview**

The Orange County Transportation Authority Board of Directors authorized loan agreements with the cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board. Per Board of Directors' direction, staff provides annual updates on the status of the agreements.

Recommendation

Receive and file as an information item.



BOARD AGENDA**13. Fiscal Year 2018-19 First Quarter Budget Status Report**

Anthony Baruch/Andrew Oftelie

Overview

The Orange County Transportation Authority's staff has implemented the fiscal year 2018-19 budget. This report summarizes the material variances between the budget and actual revenues and expenses through the first quarter of fiscal year 2018-19.

Recommendation

Receive and file as an information item.

14. Approval of Use of Federal Funds for Orange County Transportation Authority Projects Related to the Federal Fiscal Year 2018-19 Obligation Authority Plan

Ben Ku/Kia Mortazavi

Overview

The federal government requires states to obligate federal funds by September 30 of each year. To ensure the timely commitment of all available federal funding by September 2019, the Orange County Transportation Authority prepares an annual obligation plan and requests corresponding Board of Directors authorization to use federal funds.

Recommendations

- A. Approve the use of \$134.670 million in Congestion Mitigation and Air Quality Improvement Program funds for 201 40-foot replacement buses.
- B. Approve the use of \$5.500 million in Congestion Mitigation and Air Quality Improvement Program funds for the project approval and environmental document phase for the Interstate 5 Improvement Project from Avenida Pico to San Diego County Line Project.
- C. Approve the use of \$0.750 million in Surface Transportation Block Grant Program funds for the South County Multi-Modal Study.



BOARD AGENDA

14. (Continued)

- D. Approve the use of \$7.921 million in Highway Infrastructure Program funds for the Interstate 5 Improvement Project from Oso Parkway to Alicia Parkway to replace Surface Transportation Block Grant Program funds.
- E. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute any necessary amendments and/or agreements to facilitate associated programming actions.

15. Federal Transit Administration Sections 5307, 5310, 5337, and 5339 Program of Projects for Federal Fiscal Year 2018-19

Ben Ku/Kia Mortazavi

Overview

The Orange County Transportation Authority annually prepares a program of projects to secure formula Federal Transit Administration grants for capital projects, capital cost of contracting, and preventive maintenance. The federal fiscal year 2018-19 program, including amendments to prior programs, is presented for review and approval. The federal fiscal year 2018-19 program directs \$91.854 million in federal funds to transit projects, of which \$65.457 million is for bus projects and \$26.397 million is for rail projects.

Recommendations

- A. Approve the federal fiscal year 2018-19 Federal Transit Administration Section 5307 Urbanized Area Formula, Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities, Section 5337 State of Good Repair, and Section 5339 Bus and Bus Facilities program of projects, including federal and local funds, and the use of match credit for projects.
- B. Approve the five-year programming plans for Federal Transit Administration Section 5307, Federal Transit Administration Section 5310, Federal Transit Administration Section 5337, and Federal Transit Administration Section 5339.



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15. (Continued)

- C. Authorize staff to adjust individual project funding consistent with final apportionments and eligibility determinations through the Fixing America's Surface Transportation Act, and direct staff to include updated numbers in grant and programming status reports.
- D. Authorize the Chief Executive Officer to submit the federal fiscal year 2018-19 Federal Transit Administration grant applications to the Federal Transit Administration.
- E. 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.

Orange County Transit District Consent Calendar Matters

16. Agreement for Building Repairs at the Irvine Construction Circle Bus Base George Olivo/James G. Beil

Overview

As part of the Orange County Transportation Authority's Fiscal Year 2018-19 Budget, the Board of Directors approved building repairs at the Irvine Construction Circle Bus Base. Bids were received in accordance with the Orange County Transportation Authority's public works procurement procedures. Board of Directors' approval is requested to execute the agreement.

Recommendations

- A. Find Jazzar Construction Group, Inc., the apparent low bidder, as non-responsive for failure to execute and submit the required certification of restrictions on lobbying form.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-8-1802 between the Orange County Transportation Authority and Fast-Track Construction Corporation, the lowest responsive, responsible bidder, in the amount of \$438,000, for building repairs at the Irvine Construction Circle Bus Base.



BOARD AGENDA

17. Agreement for Bus Ridership Data Collection Services

Jeffrey N. Tatro/Jennifer L. Bergener

Overview

The Orange County Transportation Authority utilizes professional data collection services to perform vital ridership data collection for benchmarking and reporting. Ridership data is one of the primary performance indicators utilized to evaluate service performance and is required by the Federal Transit Administration to be annually reported via the National Transit Database for the allocation of federal funds. Board of Directors' approval is requested to select a firm to assist in bus ridership data collection services.

Recommendations

- A. Approve the selection of National Data & Surveying Services, Inc., doing business as Southland Car Counters, as the firm to provide bus ridership data collection services.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-8-1850 between the Orange County Transportation Authority and National Data & Surveying Services, Inc., doing business as Southland Car Counters, in the amount of \$765,141, to provide bus ridership data collection services for a term of three years with two, one-year option terms.

18. Bus Operations Performance Measurements Report for the First Quarter of Fiscal Year 2018-19

Johnny Dunning, Jr./Jennifer L. Bergener

Overview

The Orange County Transportation Authority operates fixed-route bus and demand-response paratransit service throughout Orange County and into neighboring counties. This report summarizes the year-to-date performance of these transit services provided through the first quarter of fiscal year 2018-19. The established measures of performance gauge the safety, courtesy, reliability, and overall quality of the transit services provided.

Recommendation

Receive and file as an information item.



BOARD AGENDA

Orange County Local Transportation Authority Consent Calendar Matters

19. Amendment to Agreement for Additional Design Services for Interstate 5 Widening Project Between State Route 73 and Oso Parkway

Hamid Torkamanha/James G. Beil

Overview

On June 9, 2014, the Orange County Transportation Authority Board of Directors authorized an agreement with WKE, Inc., for the preparation of plans, specifications, and estimates for the Interstate 5 widening project between State Route 73 and Oso Parkway. An amendment to the existing agreement is required for additional design services.

Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 7 to Agreement No. C-3-2189 between the Orange County Transportation Authority and WKE, Inc., in the amount of \$527,608, for additional design services for the Interstate 5 widening project between State Route 73 and Oso Parkway. This will increase the maximum cumulative obligation of the agreement to a total contract value of \$10,605,710.

20. Consultant Selection for Construction Management Services for the Anaheim Canyon Metrolink Station Improvement Project

Lora Cross/James G. Beil

Overview

On July 23, 2018, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals to provide construction management services related to the construction of improvements at the Anaheim Canyon Metrolink Station. Board of Directors' approval is requested for the selection of a firm to perform the required work.



BOARD AGENDA**20. (Continued)****Recommendations**

- A. Approve the selection of Berg & Associates, Inc., as the firm to provide construction management services for the Anaheim Canyon Metrolink Station Improvement project.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-8-1760 between the Orange County Transportation Authority and Berg & Associates, Inc., as the firm to provide construction management services for the Anaheim Canyon Metrolink Station Improvement project.

21. Construction of the Laguna Niguel to San Juan Capistrano Passing Siding Project

Jason Lee/James G. Beil

Overview

On August 27, 2018, the Orange County Transportation Authority Board of Directors authorized the issuance of an invitation for bids for construction of the Laguna Niguel to San Juan Capistrano Passing Siding project. Bids were received in accordance with the Orange County Transportation Authority's public works procurement procedures. Board of Directors' approval is requested to execute the agreement.

Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-7-2018 between the Orange County Transportation Authority and Reyes Construction, Inc., the lowest responsive, responsible bidder, in the amount of \$16,952,426, for construction of the Laguna Niguel to San Juan Capistrano Passing Siding project.



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21. (Continued)

- B. Authorize the use of \$6,230,000 in state and federal funds made available from project savings at closeout for the Laguna Niguel to San Juan Capistrano Passing Siding project as follows:
 - a. \$2,806,000 in Proposition 116 savings from the Sand Canyon Avenue Railroad Grade Separation and the fiber optics projects;
 - b. \$2,000,000 in Proposition 1B Intercity Rail Improvement funds to replace Transit and Intercity Rail Capital Program funds previously programmed to the project;
 - c. Formula Federal Transit Administration Section 5309 savings from the Control Point 4th Street Project, currently estimated to be \$1,015,000; and
 - d. Congestion Mitigation and Air Quality Improvement Program funds for any remaining funding needs, currently estimated to be \$409,000.
- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute any necessary amendments and/or agreements to facilitate associated programming actions.

Regular Calendar

Orange County Local Transportation Authority Regular Calendar Matters

22. Interstate 405 Improvement Project Update

Jeff Mills/James G. Beil

Overview

The Orange County Transportation Authority is currently underway with the implementation of the Interstate 405 Improvement Project. This report provides a project update.

Recommendation

Receive and file as an information item.



BOARD AGENDA

Discussion Items

- 23. 2018 Chief Executive Officer's Initiatives and Action Plan - End-of-Year Report**
Darrell E. Johnson

Overview

This report summarizes the activities and accomplishments from the 2018 Chief Executive Officer's Initiatives and Action Plan for the fourth quarter of calendar year 2018, and also summarizes the accomplishments for the calendar year. The Chief Executive Officer's Initiatives and Action Plan directly support the values, vision, mission, and goals of the Orange County Transportation Authority Strategic Plan and the 2018 Board Strategic Initiatives.

- 24. Public Comments**

At this time, members of the public may address the Board of Directors regarding any items within the subject matter jurisdiction of the Board of Directors, but no action may be taken on off-agenda items unless authorized by law. Comments shall be limited to three (3) minutes per speaker, unless different time limits are set by the Chairwoman subject to the approval of the Board of Directors.

- 25. Chief Executive Officer's Report**

- 26. Directors' Reports**

- 27. Closed Session**

There are no Closed Sessions scheduled.

- 28. Adjournment**

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, January 28, 2019**, at the Orange County Transportation Authority Headquarters, 550 South Main Street, Board Room - Conference Room 07-08, Orange, California.

Minutes of the
Orange County Transportation Authority
Orange County Transit District
Orange County Local Transportation Authority
Orange County Service Authority for Freeway Emergencies
Board of Directors Meeting

Call to Order

The December 10, 2018 regular meeting of the Orange County Transportation Authority (OCTA) and affiliated agencies was called to order by Chairwoman Bartlett at 9:05 a.m. at the OCTA Headquarters, 550 South Main Street, Board Room – Conference Room 07-08, Orange, California.

Roll Call

Following the Invocation and Pledge of Allegiance, the Clerk of the Board noted a quorum was present, with the following Directors in attendance:

Directors Present: Lisa A. Bartlett, Chairwoman
Tim Shaw, Vice Chairman
Laurie Davies
Barbara Delgleize
Andrew Do
Michael Hennessey
Gene Hernandez
Steve Jones
Jose F. Moreno
Joe Muller
Richard Murphy
Shawn Nelson
Miguel Pulido
Todd Spitzer
Gregory T. Winterbottom
Gerardo De Santos, Acting District Director
California Department of Transportation District 12

Directors Absent: Mark A. Murphy
Michelle Steel

Also Present: Darrell E. 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

Special Calendar

Orange County Transportation Authority Special Calendar Matters

1. Administration of the Oath of Office to New Orange County Transportation Authority Board of Directors

James Donich, General Counsel, administered the Oaths of Office to the new Board of Directors (Board) Gene Hernandez, Jose F. Moreno, and Joe Muller.

2. Presentation of Resolutions of Appreciation for Employees of the Month for December 2018

Darrell E. Johnson, Chief Executive Officer (CEO), presented OCTA Resolutions of Appreciation Nos. 2018-167, 2018-168, and 2018-169 to Antonio Alvarez, Coach Operator, Maichou Aparicio, Maintenance, and Megan LeMaster, Administration, as Employees of the Month for December 2018.

3. Salute to Outgoing Orange County Transportation Authority Board of Directors

Darrell E. Johnson, CEO, presented OCTA Resolutions of Appreciation Nos. 2018-159 and 2018-160 to outgoing Board Members Shawn Nelson and Todd Spitzer.

Director Winterbottom acknowledged that in 2013 Director Nelson did a great job of filling for him as Chairman while he was not available for a Board meeting.

Orange County Local Transportation Authority Special Calendar Matters

4. Adopt Resolutions of Necessity for the Interstate 405 Improvement Project Between State Route 73 and Interstate 605

James Donich, General Counsel, opened with comments about the proposed Resolutions of Necessity (RONs) and 12 affirmative votes are needed to pass this item.

Chairwoman Bartlett opened the public hearing, and Jeff Mills, Program Manager for the Interstate 405 (I-405) Improvement Project, provided a PowerPoint presentation for this item as follows:

- I-405 Improvement Project RON Locations;
- RON No. 2018-164 – Hospitality Properties Trust;
- RON No. 2018-165 – California Department of Transportation (Caltrans) Perlin Development & Engineering Corporation (Perlin);
- RON No. 2018-166 – G6 Hospitality Property; and
- Four Requirements to be Considered to Adopt Resolutions.

4. (Continued)

A discussion ensued regarding:

- For RON 2018-165, on “Slide 8” of the PowerPoint, the large “green” non-exclusive temporary easement is to reconstruct the driveway, and no equipment will be stored in that area.
- For RON 2018-166, on “Slide 9” of the PowerPoint, the “Partial Fee Interest Area” is for the widening of Westminster Boulevard and includes a new sidewalk and reconstruction of the driveway.

Chairwoman Bartlett opened the floor for public comments, and a public comment was heard from Michael Keho, Attorney representing Perlin for RON 2018-165, who stated the following:

- Perlin is a holder of the ground lease area with Caltrans.
- This morning, a letter of objection from Perlin was provided to the Board.
- The required steps have not been appropriately taken as it concerns Perlin’s interest in the property and the steps were highlighted.
- Perlin did not receive a written offer from OCTA about compensation and acquisition of its interests. The written offer was only provided to Caltrans.
- There are multi-million impacts to the ground lease interests with this property.
- Perlin did not receive a written notice about today’s hearing.
- The appraisal provided to Caltrans does not consider what is within the property-take versus the language stated in the RON.
- The property appraisal needs assessment was highlighted.
- Perlin requested an administrative review, written offer for the condemnation of its interests, and to provide Perlin \$5,000 to have its own appraisal of the property interests.

Gary Weisberg, Attorney, OCTA General Counsel Office, stated that the law requires the notice be provided to the property owner of record, which is Caltrans. Additionally, he stated that Caltrans was provided a notice of this hearing, Perlin entered a ground lease with Caltrans 40 years ago, and Perlin’s rights are dictated by the ground lease.

Mr. Weisberg also highlighted how the compensation is handled, and the \$5,000 appraisal reimbursement is provided to the property owner of record. He concluded that OCTA staff followed all requirements under the law for the Board to consider and adopt the RON.

4. (Continued)

A discussion ensued regarding RON 2018-165:

- The lease dictates the relationship between Caltrans and Perlin as the ground tenant.
- Caltrans, as the landlord, has certain obligations and requirements towards its tenant, and the tenant has relinquished certain rights with respect to use of the property.
- Caltrans notified Perlin of today's hearing.
- Clarification that this is not excess property and is classified by Caltrans as operating right-of-way.
- Caltrans has no dispute and followed the required process.

A motion was made by Director Nelson, seconded by Director Hennessey, and declared passed by those present, to close the public hearing. Director Pulido was not present to vote.

A motion was made by Director Winterbottom, seconded by Director Do, and declared passed by those present, to adopt Resolution of Necessity Nos. 2018-164, 2018-165, and 2018-166, and authorize and direct General Counsel to prepare, commence, and prosecute proceedings in eminent domain for the purpose of acquiring necessary right-of-way and real property interests for the Interstate 405 Improvement Project between State Route 73 and Interstate 605.

Director Spitzer voted in opposition.

Director Pulido was not present to vote.

Consent Calendar (Items 5 through 16)

Orange County Transportation Authority Consent Calendar Matters

5. Approval of Minutes

A motion was made by Director Nelson, seconded by Director Delgleize, and declared passed by those present, to approve the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of November 26, 2018.

Directors Hernandez, Moreno, and Muller abstained as newly sworn in Board Members.

Directors Davies, Do, and Pulido were not present to vote on this item.

6. Proposed 2019 Board of Directors Meetings Calendar

A motion was made by Director Nelson, seconded by Director Delgleize, and declared passed by those present, to approve the Orange County Transportation Authority and affiliated agencies 2019 Board of Directors meetings calendar.

Directors Davies, Do, and Pulido were not present to vote on this item.

7. Active Transportation Program Local Project Prioritization

A motion was made by Director Nelson, seconded by Director Delgleize, and declared passed by those present, to:

- A. Approve the additional points assigned to the Orange County 2019 Active Transportation Program projects, consistent with the Orange County Transportation Authority-adopted Active Transportation Program project prioritization and submittal to the Southern California Association of Governments.
- B. Authorize the Chief Executive Officer to approve future scope changes, substitutions, and additions to the final recommended project list.
- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program to facilitate the above actions.

Directors Davies, Do, and Pulido were not present to vote on this item.

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

A motion was made by Director Nelson, seconded by Director Delgleize, and declared passed by those present, to:

- A. Approve delay requests for four projects from the cities of Huntington Beach, Santa Ana, Tustin, and the County of Orange.
- 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.

Directors Davies, Do, and Pulido were not present to vote on this item.

9. 2019 Technical Steering Committee Membership

A motion was made by Director Nelson, seconded by Director Delgleize, and declared passed by those present, to approve the proposed 2019 Technical Steering Committee membership.

Directors Davies, Do, and Pulido were not present to vote on this item.

Orange County Local Transportation Authority Consent Calendar Matters

10. Capital Programs Division - First Quarter Fiscal Year 2018-19 Capital Action Plan Performance Metrics

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

Directors Davies, Do, and Pulido were not present to vote on this item.

11. Contract Change Order for Additional Design and Construction Efforts for the Interstate 405 Improvement Project Between State Route 73 and Interstate 605

Director Hennessey pulled this item and asked about the \$50,000 savings and the City of Fountain Valley (City) water lines pre-existing use.

Jeff Mills, Program Manager for the I-405 Improvement Project, stated that the City's water lines were old, and due to the City's prior rights, OCTA is required to pay for the relocation of the water lines.

11. (Continued)

Mr. Mills also reported that the City agreed to compensate OCTA \$750,000 to relocate the water lines into the new bridge overcrossings, and OCTA agreed to pay \$50,000, which is an offset savings to the I-405 Improvement Project.

A motion was made by Director Hennessey, seconded by Director Delgleize, and declared passed by those present, to authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 17 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$800,000, for additional design and construction efforts related to the relocation of City of Fountain Valley water lines into new bridge overcrossings at Brookhurst Street, Bushard Street, Magnolia Street, and Ward Street.

Director Pulido was not present to vote on this item.

12. Agreement with Grand Jurors Association of Orange County for Recruitment Services for Measure M2 Taxpayer Oversight Committee

A motion was made by Director Nelson, seconded by Director Delgleize, and declared passed by those present, to authorize the Chief Executive Officer to negotiate and execute sole source Agreement No. C-8-2079 between the Orange County Transportation Authority and the Grand Jurors Association of Orange County, in the amount of \$47,500, for managing the annual Taxpayer Oversight Committee recruitment process through June 30, 2023.

Directors Davies, Do, and Pulido were not present to vote on this item.

13. Measure M2 Quarterly Progress Report for the Period of July 2018 Through September 2018

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

Directors Davies, Do, and Pulido were not present to vote on this item.

14. Measure M2 Freeway Environmental Mitigation Program Update

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

Directors Davies, Do, and Pulido were not present to vote on this item.

15. Fiscal Year 2018-19 Measure M2 Annual Eligibility Review

A motion was made by Director Nelson, seconded by Director Delgleize, and declared passed by those present, to approve all local jurisdictions as conditionally eligible for Measure M2 net revenues for the fiscal year 2018-19, and direct staff to return with final eligibility findings for local jurisdictions, pending the adoption and submittal of the fiscal year 2017-18 expenditure reports by local jurisdictions.

Directors Davies, Do, and Pulido were not present to vote on this item.

16. Comprehensive Transportation Funding Programs Semi-Annual Review - September 2018

A motion was made by Director Nelson, seconded by Director Delgleize, and declared passed by those present, to:

- A. Approve adjustments to the Comprehensive Transportation Funding Programs projects and Local Fair Share funds.
- B. Authorize the Chief Executive Officer, or his designee, to negotiate and execute a cooperative agreement between the Orange County Transportation Authority and the City of San Clemente in support of the Americans with Disabilities Act complementary services component of the City of San Clemente's Rideshare Services-Beta Test Program, in an amount not to exceed \$900,000.
- C. Cancel the programming of \$1,649,700 in 2018 Measure M2 Project V funds for the City of San Clemente's Rideshare Services-Beta Test Program.

Directors Davies, Do, and Pulido were not present to vote on this item.

Regular Calendar

Orange County Transportation Authority Regular Calendar Matters

17. OC Active: Project Update

Darrell E. Johnson, CEO, provided opening comments and introduced Paul Martin, Active Transportation Coordinator, who provided a PowerPoint presentation for this item as follows:

- Project Goals;
- Community Engagement;
- Pedestrian Analysis;
- Bikeway Analysis;
- Tools for Local Success; and
- Next Steps.

A discussion ensued regarding:

- Staff was thanked for all the OC Active efforts.
- The heat maps have been distributed to the agencies engineering and planning staff.
- In the last five years, approximately 90 million has been invested into active transportation.
- Director Davies requested each District be provided each of the cities heat map.
- In early 2019, the OC Active plan will be finalized.
- Staff is aware of Director Do's discussions to use the Pacific Electric right-of-way and flood channels for active mobility.
- Director Do expressed his disappointment of not being given the opportunity to provide input for his Supervisorial District about the diverse community's perspectives. He invited OCTA to discuss with him the review done, committees' representatives, and OCTA's outreach to the diverse communities. Additionally, he highlighted how CalOptima conducted an assessment.
- Director Moreno requested to join Director Do's meeting with staff.
- OCTA's outreach to the schools, libraries, and community centers was highlighted. In addition, a survey was distributed by zip code to what the State considers a disadvantage community.

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

Discussion Items

18. 2018 Chief Executive Officer Initiatives and Action Plan - Third Quarter Report

Darrell E. Johnson, CEO, reported the third quarter 2018 CEO's initiatives and action plan.

No action was taken on this information item.

19. Public Comments

There were no public comments.

20. Chief Executive Officer's Report

Darrell E. Johnson, CEO, reported:

State Route 91 Improvement Project:

- Tomorrow night, OCTA will host a public hearing from 5:30 p.m. to 7:30 p.m. at the Rio Vista Elementary School in Anaheim.
- Currently, the project is in the environmental phase.
- Staff will be present at the public hearing to provide project information and answer any questions.

Stuff-A-Bus Toy Drive:

- On Friday, December 14th, OCTA will host the 26th Annual Stuff-A-Bus Toy Drive, in partnership with ABC7 and Southern California firefighters, at the Honda Center in Anaheim.
- OCTA staff will be at the Honda Center from 4:30 a.m. to 6:30 p.m., and the Board is welcome to attend the toy drive.

New Year's Eve Free Bus Service:

- For the 17th year in a row, OCTA will offer free bus rides on New Year's Eve from 6:00 p.m. to 2:30 a.m.
- After Christmas, OCTA will provide a marketing campaign to promote the free service.

Happy Holidays:

- This is OCTA's final 2018 Board meeting, and everyone was wished a very happy and safe holiday season.
- The Board was thanked for its leadership and guidance over 2018.

21. Directors' Reports

Director Davies reported that she attended the recent Women's Transportation Seminar (WTS) - Orange County awards gala. Director Davies congratulated Chairwoman Bartlett for the WTS Woman of the Year award, and OCTA for the WTS innovation of the year award.

Director Davies also reported that she is working with OCTA staff in regard to the OC Flex service and outreach to the school districts in order to encourage using the service during the winter break.

Director Hernandez thanked OCTA staff for the thorough new Board Member orientation, as well as thanked the Clerk of the Board for the orientation materials.

Vice Chairman Shaw welcomed new Directors Hernandez, Moreno, and Muller. He also thanked Directors Nelson and Spitzer for their great leadership on OCTA's Board. Additionally, he thanked Director Nelson, as a Board of Supervisor, for representing the City of La Habra in the Fourth District.

Director Delgleize thanked Directors Nelson and Spitzer for their leadership on the OCTA Board. Additionally, Director Delgleize reported that she, along with Huntington Beach Council Member and city/OCTA staff, recently took an excellent ride on the OC Flex. She asked OCTA to continue marketing the service especially during the Holiday season.

Director Hennessey thanked Directors Nelson and Spitzer for serving on the Board. Additionally, he welcomed the new Directors Hernandez, Moreno, and Muller, as well as thanked Chairwoman Bartlett for her leadership on the Board.

Chairwoman Bartlett congratulated and welcomed new Directors Hernandez, Moreno, and Muller, as well as thanked outgoing Directors Nelson and Spitzer for their years of service on the Board.

Chairwoman Bartlett announced that this is the last 2018 Board meeting and expressed her gratitude to have served as the Chairwoman of the Board. Additionally, she wished everyone a joyous Holiday season and Happy New Year, as well as thanked OCTA staff for all the great work throughout the year.

22. Closed Session

There was no Closed Session scheduled.

23. Adjournment

The meeting adjourned at 10:34 a.m.

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, January 14, 2019**, at the Orange County Transportation Authority Headquarters, 550 South Main Street, Board Room - Conference Room 07-08, Orange, California.

ATTEST:

Laurena Weinert
Clerk of the Board

Lisa A. Bartlett
OCTA Chairwoman



BOARD MEMBER TRAVEL AUTHORIZATION REQUEST

TRAVELER INFORMATION

Traveler Name: * Timothy C. Shaw, Jr.

Employee ID: * 4433

Destination of Trip: * Washington, D.C.

Subject of Trip: * Washington, D.C. Legislative Advocacy Meetings

Description of Trip: *

Vice Chairman Tim Shaw, along with Orange County Transportation Authority (OCTA) Chief Executive Officer, Darrell E. Johnson and Government Relations Staff, will travel to Washington, D.C. January 28-30, 2019, to meet with the Orange County Congressional delegation regarding the OCTA transportation and legislative priorities for the First Session of the 116th U.S. Congress. The group will also meet with Leadership from the Congressional Transportation Committee offices (authorizing and appropriating), as well as Senior Members from the U.S. Department of Transportation.

Departure Date: * 1/28/2019

Return Date: * 1/30/2019

Is this trip outside of California? ☒ Yes

BMTA #: BMTA-052

Board Meeting Date: 1/14/2019

ACCOUNTING CODES

	Registration (7657)	Mileage (7656)	Travel (7655)
Budget FY:	2018	2018	2018
Org Key:		1121	1121
Job Key:		A0001	A0001
JL:		QT5	OFS

ESTIMATED EXPENDITURES

ITEMS COST

Registration: \$ 0.00

Air Travel: \$ 658.00

Auto Rental: \$ 0.00

Hotel Accomodations: \$ 434.40

Meals: \$ 228.00

Mileage: \$ 33.17

Misc: \$ 370.00

Total Estimated Trip Cost: \$ 1,723.57

APPROVAL

Outcome:
☐ TA Approved
☐ TA Rejected

**Board Date
Approved:**

Comments:



COMMITTEE TRANSMITTAL

January 14, 2019

To: Members of the Board of Directors
From: Laurena Weinert, Clerk of the Board
Subject: State of California, Department of Transportation, Incurred Cost Audit-Orange County Transportation Authority

Finance and Administration Committee Meeting of January 9, 2019

Present: Directors Do, Hennessey, Jones, R. Murphy, and Steel
Absent: None

Committee Vote

This item was passed by the Members present.

Committee Recommendation

Direct staff to work with the California Department of Transportation, Division of Local Assistance, and to address corrective action recommendations.



January 9, 2019

To: Finance and Administration Committee

From: Darrell Johnson, Chief Executive Officer
Janet Sutter, Executive Director
Internal Audit Department

Subject: State of California, Department of Transportation, Incurred Cost Audit - Orange County Transportation Authority

Overview

The California Department of Transportation, Division of Local Assistance, has issued a letter notifying the Orange County Transportation Authority of their determination of required corrective actions to be taken to address deficiencies identified in the State of California, Department of Transportation, Incurred Cost Audit, issued April 26, 2016. The Orange County Transportation Authority has been asked to reimburse \$450,393 of right-of-way costs, revise policy and procedure manuals, and obtain staff training by May 2, 2019.

Recommendation

Direct staff to work with the California Department of Transportation, Division of Local Assistance, and to address corrective action recommendations.

Background

In June 2014, the Audits and Investigations Division of the California Department of Transportation (Caltrans) began an incurred cost audit of five Orange County Transportation Authority (OCTA) projects funded through Caltrans. The projects included the Interstate 5 High-Occupancy Vehicle (HOV) project, the Kraemer Avenue Grade Separation project, the Orangethorpe Grade Separation project, the Sand Canyon Grade Separation project, and the State Route 22 HOV project. Funding sources included Congestion Mitigation and Air Quality Improvement funds, Trade Corridor Improvement Funds, and Regional Surface Transportation Program funds.

The audit included review of OCTA's financial management system and transaction testing to ensure compliance with the Caltrans Local Assistance Procedures Manual, and various state and federal regulations.

Fieldwork began in June 2014 and was completed during July 2015. The final audit report was issued to Caltrans' Deputy Director of Modal Programs in April 2016 and required that a corrective action plan be submitted. The corrective action plan, dated September 16, 2016, was issued and indicated that Caltrans' would work with OCTA to further evaluate the recommendations, determine whether certain costs should be recovered, and enhance policies and procedures within six to nine months.

Discussion

On November 20, 2018, Caltrans' Division of Local Assistance (DLA) issued a determination letter detailing corrective actions to be taken by OCTA to address issues identified in the audit from June 2014. The audit covered \$73,745,434 of reimbursed project costs related to five OCTA projects. The determination letter directs OCTA to reimburse Caltrans for \$450,393 in right-of-way costs (0.61 percent of the total reimbursement), and to revise its Real Property Policies and Procedures Manual and its procurement and contract management procedures, and submit them to Caltrans for approval. Finally, the letter directs OCTA staff involved with procurement and contract management to take Caltrans' online procurement training and submit confirmation to Caltrans. Corrective action documentation is to be submitted to Caltrans by May 2, 2019.

Regarding disallowed right-of-way costs, OCTA management and legal counsel disagree with Caltrans fundamental interpretation of relocation assistance law with respect to actual, reasonable, and related expenses for business relocations. The primary disagreement is on the eligibility of costs which are either reasonable expenses for Improvements Pertaining to Realty, or are determined to be actual reasonable and necessary reestablishment expenses at the new business locations. At the time of these business relocations, Federal law limited payments for reasonable and necessary reestablishment expenses related to Improvements Pertaining to Realty at the new location to \$10,000 per business relocation. However, Federal law does not limit necessary actual reasonable and related expenses for reestablishment of personal property at the new business location. Trade fixtures, equipment, machinery, and other items installed for use to conduct the same business at the new location determined to be personal property owned by each of the businesses are eligible for relocation and reestablishment reimbursement when not acquired. The costs associated to relocate these items were determined by OCTA, as the implementing and displacing Agency, to be necessary, actual, reasonable and

related expenses to be reimbursed upon relocation. The costs for these items were not included in the appraised value for the property or business acquisitions.

Caltrans' interpretation is that Improvements Pertaining to Realty are part of the real estate, and the costs to relocate these businesses are not reasonable and related expenses. Caltrans has determined many of the reestablishment expenses should be classified as Improvements Pertaining to Realty, and that total reimbursement should have been limited to \$10,000 per business.

OCTA management strives to minimize hardships and adverse impacts to people and businesses being displaced, and to maintain the economic and social well-being of the community effected by these public projects. In addition, OCTA assures that any unique circumstances of displaced persons or businesses are considered and dealt with fairly and in accordance with State and Federal relocation assistance laws. When relocation of a business is required because of a project, OCTA has followed this premise when interpreting the Federal Regulations.

Federal Regulation 49 CFR 24.301 (g)(1) states "Any owner-occupant or tenant who qualifies as a displaced person (defined at §24.2(a)(9)) and who moves from a dwelling (including a mobile home) or who moves from a business, farm or nonprofit organization is entitled to payment of his or her actual moving and related expenses, as the Agency determines to be reasonable and necessary."

Federal Regulation, 49 CFR 24.301 (g)(3) states that eligible and actual moving expenses include," Disconnecting, dismantling, removing, reassembling, and reinstalling relocated household appliances and other personal property. For businesses, farms or nonprofit organizations this includes machinery, equipment, substitute personal property, and connections to utilities available within the building; it also includes modifications to the personal property, including those mandated by Federal, State or local law, code or ordinance, necessary to adapt it to the replacement structure, the replacement site, or the utilities at the replacement site, and modifications necessary to adapt the utilities at the replacement site to the personal property."

Further, Federal Regulation 49 CFR 24.301 (g)(7) states "Other moving-related expenses that are not listed as ineligible under Sec. 24.305, as the Agency determines to be reasonable and necessary."

OCTA's management and relocation assistance consultants, acting as the displacing Agency, have determined that payments to the relocated businesses to relocate their personal property and Improvements Pertaining to Realty were

actual reasonable and necessary in accordance with State and Federal relocation law.

In addition, both the Real Property Policies and Procedures Manual and procurement and contract management procedures have been revised and updated since the audit period (between July 2011 and December 2013), and OCTA management believes current procedures provide an adequate framework to ensure compliance with State and Federal law and guidelines.

OCTA management is reviewing the determination letter and will develop a response within the timeframe requested.

Summary

Caltrans DLA has issued a determination letter related to the incurred cost audit of funds awarded to OCTA on five projects.

Attachment

- A. Letter from Rihui Zhang, Chief, Division of Local Assistance, to Darrell Johnson, Chief Executive Officer, Orange County Transportation Authority, dated November 20, 2018

Prepared by:



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

DEPARTMENT OF TRANSPORTATION

DIVISION OF LOCAL ASSISTANCE

P.O. BOX 942874, MS-1

SACRAMENTO, CA 94274-0001

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*Making Conservation
a California Way of Life.*

November 20, 2018

Mr. Darrell Johnson
Chief Executive Officer
Orange County Transportation Authority
P.O. Box 14184
Orange, CA 95863-1584

Dear Mr. Johnson:

This letter notifies Orange County Transportation Authority (OCTA) of the California Department of Transportation's (Caltrans) determination for corrective actions regarding deficiencies identified by Audits & Investigations' (A&I's) Incurred Cost Audit, issued on April 26, 2016.

Finding 1: Questioned and Unallowable Right of Way Costs

OCTA improperly paid construction costs in the amount of \$553,293 to relocate and/or replace improvements pertaining to realty affected by the Orangethorpe Grade Separation (Orangethorpe) and State Route (SR) 22 projects.

- OCTA claimed \$181,690 in unallowable costs for reestablishment costs of businesses affected by Orangethorpe.
- OCTA claimed \$342,996 in questioned costs for inappropriately reimbursed general contractor costs and relocation and/or replacement improvements that exceeded fair market value for businesses affected by Orangethorpe.
- OCTA received reimbursement in the amount of \$28,607 for a payment to Southern California Gas Company to relocate a meter in the SR 22 project. Appropriate documentation was not provided.

At the request of the Division of Local Assistance (DLA), a reconciliation was performed by District 12 Right of Way, whereby OCTA produced documentation to support \$102,900 of the questioned costs for Orangethorpe, reducing OCTA's questioned cost liability for the Orangethorpe project from \$553,293 to \$450,393.

Corrective Action: OCTA will reimburse Caltrans the total remaining amount of \$450,393 of ineligible costs for the Orangethorpe and SR 22 projects by May 2, 2019. DLA will work with OCTA to recover costs in the time allotted.

Finding 2: Right of Way Policy and Procedure Exceptions

OCTA's Right of Way (R/W) policies and procedures were not in conformance with federal and state regulations for property acquisitions.

Corrective Action: OCTA must revise its Real Property Policies and Procedures Manual to include the following provisions:

- Property required for projects will be obtained through negotiation and in conformance with the Uniform Act.
- Federal law shall take precedence over state law when there are proceeds from the sale of excess property purchased with federal funds, and said proceeds shall be used for transportation purposes.
- Property owners must sign personal property inventories to ensure the certification of true and complete representation of all personal property to be relocated. Should a property owner refuse to sign, their refusal will be well documented in the file and parcel diary.
- Full signature will be required in relocation parcel diaries.
- A Quality Assurance component will be incorporated for R/W processes with each R/W consultant contract.

DLA will work with OCTA to ensure policies are clearly contained in OCTA's Real Property Policies and Procedures Manual by May 2, 2019.

Finding 3: Contract Management Practices Need Improvement

OCTA did not properly manage two of its professional services contracts.

- Oversight was not provided to ensure that consultants were providing services and billing appropriately under the terms, conditions, and specifications of the contracts.
- OCTA's third-party contracts did not contain federal and state required contract provisions.
- Improper management of the contracts resulted in a total of \$140,138 in disallowed and questioned costs.

Corrective Action: DLA and the Division of Rail and Mass Transportation (DRMT) have decided not to seek full reimbursement for the entire questioned amount for improper procurement. Consistent with the handling of similar findings on local agency contracts procured during this review period, the amount of \$140,138 is being addressed programmatically as concurred by the Federal Highway Administration (FHWA). DLA has updated the consultant selection guidance in Chapter 10 of the Local Assistance Procedures Manual (LAPM), and

developed A&E procurement training for local agencies to address the deficiencies observed statewide. Corrective actions include:

- OCTA must provide DLA with updates to their procurement and contract management procedures for concurrence by May 2, 2019. These updates must address at a minimum: written scopes must clearly define project locations and work to be performed, costs incurred must be allocated to the correct project, contract amendments must occur prior to contract expiration, reimbursed costs must be eligible per contract terms, and all required contract provisions need to be included in the contract. OCTA may refer to Chapter 10 of the LAPM for guidance on procurement and contract management procedures.
- OCTA staff involved with procurement and contract management must take Caltrans DLA online Procurement A&E Contracts training at <http://www.dot.ca.gov/hq/LocalPrograms/AE/index.htm>
- OCTA will provide a list to DLA of the staff who have completed the Procurement A&E Contracts training Modules 1-5. The list shall contain staff names, phone numbers, e-mail addresses, date(s) of completion and verification signature by the OCTA staff's supervisor.

Finding 4: Construction Management Practices Need Improvement

OCTA approved unsupported extra work construction costs, charged extra work to the incorrect contract change orders, did not enforce certain construction contract provisions, and was not consistent in following its own policy regarding construction quantity sheets resulting in questioned costs of \$16,038.

Corrective Action: DLA has decided not to seek reimbursement for the entire questioned amount for improper procurement. The amount of \$16,038 is being addressed programmatically as concurred by FHWA. DLA has updated the contract and procurement management Chapter 10 of the LAPM, and developed A&E procurement training for local agencies to address the deficiencies observed statewide. Corrective actions include:

- OCTA must provide DLA with updates to their procurement and contract management procedures for concurrence by May 2, 2019. These updates must address at a minimum: Construction change orders must be verified to reconcile to work performed, verification of work invoiced to work performed and OCTA must list the name of the reviewer of the construction calculation and quantity sheets. OCTA may refer to Chapter 10 of the LAPM for guidance on procurement and contract management guidance.
- OCTA staff involved with procurement and contract management must take Caltrans, DLA online Procurement A&E Contracts training at <http://www.dot.ca.gov/LocalPrograms/AE/index.htm>.
- OCTA will provide a list to DLA of the staff who have completed the Procurement A&E Contracts training Modules 1-5. The list shall contain staff names, phone numbers, e-mail

Mr. Darrell Johnson
November 20, 2018
Page 4

addresses, date(s) of completion and verification signature by the OCTA staff's supervisor.

Summary of Actions:

OCTA must complete the following:

- Reimburse Caltrans \$450,393 of ineligible R/W costs by May 2, 2019.
- Update OCTA's Real Property Policies and Procedures Manual based on corrective actions in Finding 2 by May 2, 2019.
- Provide DLA with updated procurement and contract management procedures for approval.
- Provide a list to Paula Bersola of the staff who have completed the Procurement A&E Contracts training Modules 1- 5. The list shall contain staff names, phone numbers, e-mail addresses, date(s) of completion, and a verification signature by the County staffs' supervisor.
- Take Caltrans, Division of Local assistance online Procurement A&E Contracts training at <http://www.dot.ca.gov/hq/LocalPrograms/AE/index.htm>.

Please submit all corrective action documentation and any questions to Paula Bersola, Division of Local Assistance, at (916) 651-8911 or paula.bersola@dot.ca.gov.

Sincerely,



RIHUI ZHANG, Chief
Division of Local Assistance

Mr. Darrell Johnson
November 20, 2018
Page 5

- c: Janet Sutter, Executive Director, Internal Audits, Orange County Transportation Authority
Michael Tritz, Deputy Secretary for Audits and Performance Improvement, California State Transportation Agency
Rodney Whitfield, Director, Financial Services, Federal Highway Administration
Susan Bransen, Executive Director, California Transportation Commission
Adnan Maiah, Acting District Director, District 12, Caltrans
Xiaolan Zhou, Deputy District Director, Division of Planning and Local Assistance, District 12, Caltrans
Tifini Tran, District Local Assistance Engineer, Division of Local Assistance, District 12, Caltrans
Ricky Rodriguez, Office Chief, Office of Right of Way and Land Surveys, District 12, Caltrans
Nancy Kataoka, Acting Chief, Division of Accounting, Caltrans
Dara Wheeler, Chief, Division of Rail and Mass Transportation, Caltrans
Ray Zhang, Division Chief, Division of Local Assistance, Caltrans
Mark Samuelson, Assistant Division Chief, Division of Local Assistance, Caltrans
MarSue Morill, Chief, External Audits-Local Governments, Audits and Investigations, Caltrans



COMMITTEE TRANSMITTAL

January 14, 2019

To: Members of the Board of Directors
From: Laurena Weinert, Clerk of the Board
Subject: Orange County Employees Retirement System: Audit of Orange County Transportation Authority Payroll Transmittals

Finance and Administration Committee Meeting of January 9, 2019

Present: Directors Do, Hennessey, Jones, R. Murphy, and Steel
Absent: None

Committee Vote

This item was passed by the Members present.

Committee Recommendation

Receive and file an audit completed by the Internal Audit Department of the Orange County Employees Retirement System, Audit of Orange County Transportation Authority (OCTA) Payroll Transmittals, Report Date: November 12, 2018, as an information item.

NOTE:

An error was found on the title of the January 9, 2019 Finance and Administration Committee meeting agenda as follows:

Orange County Employee's Retirement System: Audit of Orange County Transportation Authority's Payroll Transmittals

The correct title is:

Orange County Employees Retirement System: Audit of Orange County Transportation Authority Payroll Transmittals



January 9, 2019

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Janet Sutter, Executive Director
Internal Audit

Subject: Orange County Employees Retirement System: Audit of Orange County Transportation Authority Payroll Transmittals

Overview

The Internal Audit Department of the Orange County Employees Retirement System has completed an audit of the Orange County Transportation Authority's payroll transmittals and has concluded that payroll transmittals were accurate and complete. The audit, which was completed in April 2018 and issued in November 2018, identified inconsistencies in contribution withholding practices among plan sponsors. To address this, the auditors recommended that Orange County Employees Retirement System management create a contribution policy and apply it uniformly across all plan sponsors.

Recommendation

Receive and file an audit completed by the Internal Audit Department of the Orange County Employees Retirement System, Audit of Orange County Transportation Authority (OCTA) Payroll Transmittals, Report Date: November 12, 2018, as an information item.

Background

The Orange County Transportation Authority (OCTA) is one of thirteen active plan sponsors that submit employer and employee payroll contributions, as well as member information, to the Orange County Employees Retirement System (OCERS) for administration of its pension fund.

OCERS' Internal Audit Department periodically conducts audits of payroll transmittals to ensure accuracy and completeness. This audit covered the period from January 2016 through December 2017.

The audit was conducted in March 2018, and results were presented to OCTA staff at an exit meeting held on April 27, 2018. Issuance of the draft report was delayed at the direction of OCERS' audit committee chairman. The final report was issued on November 12, 2018.

Discussion

During the audit, OCTA's payroll manager inquired about the practice of withholding employee and employer contributions from vacation and sick leave payouts for Legacy¹ employees. OCTA's practice had been to collect employee and employer contributions, since calculations of Final Average Salary (FAS) include these amounts, up to certain caps. OCERS' internal auditor (internal auditor) investigated and found no policies in place to provide direction on these pay items, and observed that practices vary among plan sponsors, with most plan sponsors not withholding contributions.

Since most plan sponsors do not collect these contributions, the actuarial cost of adding the vacation and sick leave payout amounts into FAS is reflected in the contribution rates set by the actuary. At the conclusion of the audit, OCERS' management had not yet provided guidance on the matter, but indicated that they were in the process of reviewing all pay items in order to develop policies.

The internal auditor concluded that OCTA's payroll transmittals were accurate and complete; however, a recommendation was made to OCERS' management to define a payout contribution policy that can be applied uniformly across all plan sponsors. OCERS' management responded that staff is in the process of reviewing and categorizing all pay items and intends to present a policy to the OCERS' Board of Directors for review and approval by the first quarter of 2019.

Summary

The OCERS Internal Audit Department has completed an audit of OCTA's payroll transmittals and has concluded that payroll transmittals were accurate and complete. One recommendation was offered to OCERS' management.

¹ Legacy members participate in plans available by employer and bargaining unit as of 12/31/2012. Legacy members may also include employees hired by an agency prior to 1/1/2013, within 180 days of separating from an eligible reciprocal retirement system.

Attachment

- A. Audit of Orange County Transportation Authority (OCTA) Payroll Transmittals, Report Date: November 12, 2018

Prepared by:

A handwritten signature in dark ink, appearing to read 'Janet Sutter', with a long horizontal flourish extending to the right.

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



Audit of Orange County Transportation Authority (OCTA) Payroll Transmittals

Report Date: November 12, 2018

Internal Audit Department

David Kim, Director of Internal Audit

Mark Adviento, Internal Auditor

OCERS Internal Audit
Audit of Orange County Transportation Authority Payroll Transmittals
November 12, 2018

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Conclusion / Executive Summary

OCERS' Internal Audit Division has completed an audit of Orange County Transportation Authority (OCTA) payroll transmittals submitted between January 2016 and December 2017. Plan sponsors' payroll transmittals contain payroll data needed for OCERS to calculate a member's future benefit payment.

Internal Audit concludes that the OCTA's payroll transmittals were accurate and complete. However, Internal Audit has made one recommendation to OCERS' management, detailed in the report, in regards to Legacy¹ employees' vacation and/or sick pay cashouts.

Finding #1 (Efficiency/Effectiveness) – OCTA collects both employer and employee contributions for each Legacy employee's annual cashout of accrued vacation hours and/or accrued sick pay hours. However, this is contrary to most of OCERS' plan sponsors who do not collect any employer or employee contributions when a Legacy employee cashes out vacation hours and/or sick pay hours.

- Recommendation – OCERS should define a cashout contribution policy that applies uniformly across OCERS' plan sponsors and their Legacy employees on a go-forward basis.

The details of our findings, recommendations, and management's responses begin on page 5.

¹ Non-PEPRA employees.

Objective, Scope, and Methodology

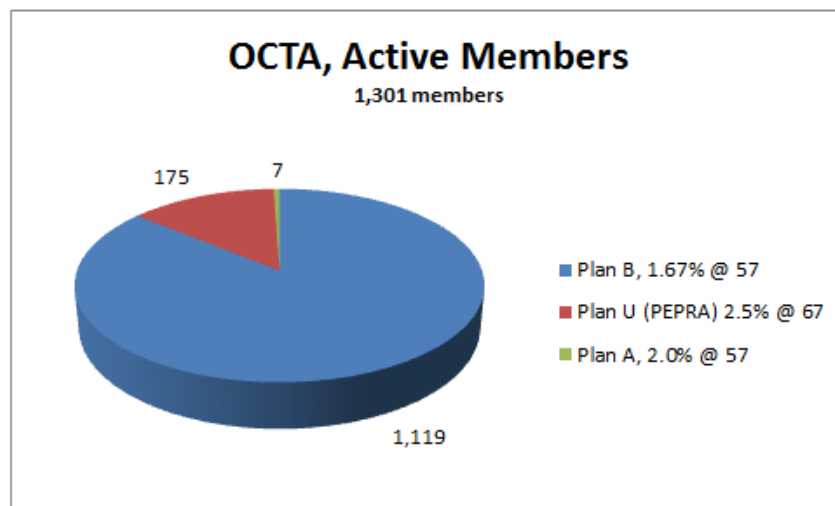
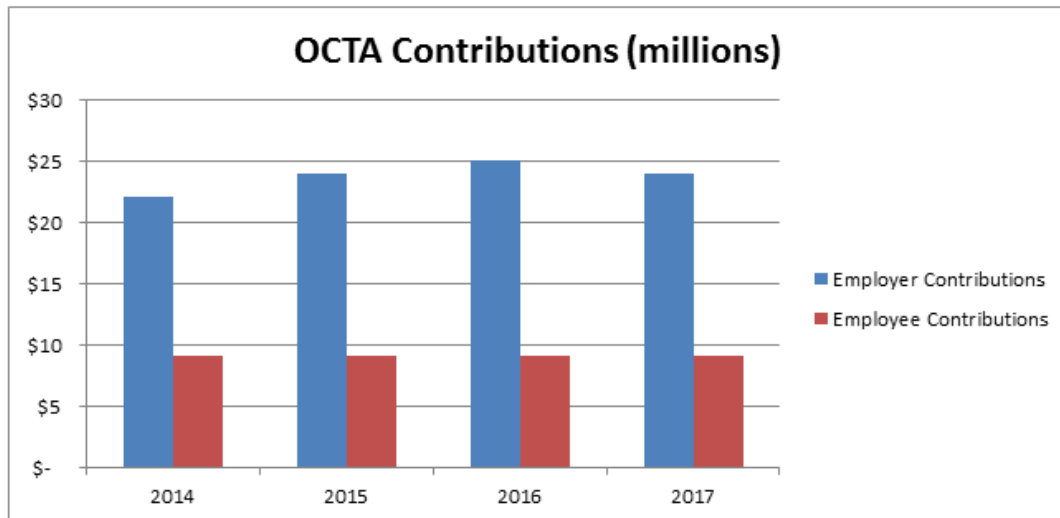
The objective of this audit was to determine that OCTA payroll transmittals submitted electronically to OCERS were accurate and complete.

The scope of the audit included payroll transmittals submitted between January 2016 and December 2017. Internal Audit randomly selected a sample of 60 employee payroll transactions for detailed testing.

Appendix #1 details the audit testing methodology.

Background

The below charts show OCTA's recent employer and employee pension contribution history and active membership population:



For retirement purposes, FAS (Final Average Salary) calculations include base pensionable salary plus pensionable pay items. Since 2014, certain pensionable pay items paid by OCTA to its employees, averaged annually, are listed below:

- Scheduled (i.e. forced) Overtime Pay (\$1.7 million)
- Special Merit Pay (\$1.5 million)
- Certified Mechanic Pay (\$166,000)
- Car Allowance Pay (\$150,000)
- Night Shift Differential Pay (\$131,000)
- Cell Phone Allowance Pay (\$47,000)

The above items accounted for 85% of total premium pay items going back to 2014.

Contributions Related to Vacation and Sick Pay Sellbacks (i.e. Cashouts)

When an individual OCTA Legacy employee annually sells back (i.e., cashes out) accrued vacation hours and/or sick pay hours, both OCTA and the individual employee pay an employer and employee contribution on the cashout to OCERS. Also, when an individual OCTA Legacy employee terminates employment, both OCTA and the employee pay employer and employee contributions to OCERS on the cashout of any remaining vacation hours owed to the employee upon termination.

- OCTA's MOUs and its Personnel and Salary Resolution allow employees to annually sell back (1) up to 120 to 200 hours of accrued vacation hours; and (2) sick pay hours in excess of 80 to 120 accrued sick hours, depending on years of service and MOU or Personnel and Salary Resolution.
- Since 2014, Legacy employee cashouts have annually averaged \$2.8 million from which both employee and employer contributions have been collected (approximately \$950,000 using recent contribution rates).

OCTA's payroll manager indicated that its practice of collecting employer and employee contributions from Legacy employee cashouts has been in place since at least 2004, possibly earlier. OCTA collects contributions on every single hour of vacation pay or sick pay cashed out by a Legacy employee. **During the course of the audit, OCTA inquired of Internal Audit and OCERS' Member Services if OCTA's practice of collecting and paying contributions on vacation and sick pay cash outs by a Legacy employee (and on all vacation hours cashed out upon termination) is a correct practice for an OCERS plan sponsor.**

Member Services informed Internal Audit that the practice of collecting contributions from such cashouts varies across plan sponsors. See **Finding #1** that OCERS should define

a cashout contribution policy that applies uniformly across OCERS' plan sponsors and their Legacy employees on a go-forward basis.

Findings, Recommendations, and Management Responses

Finding #1 (Efficiency/Effectiveness) – OCTA collects both employer and employee contributions for each Legacy employee's annual cashout of accrued vacation hours and/or accrued sick pay hours. However, this is contrary to most of OCERS' plan sponsors who do not collect any employer or employee contributions when a Legacy employee cashes out vacation hours and/or sick pay hours.

Finding Detail

OCERS' actuarial cashout assumption is one of several actuarial assumptions adopted by the OCERS Board upon recommendation from Segal. As a cost-sharing multiple-employer pension plan, OCERS generally applies these actuarial assumptions uniformly across all plan sponsors with some distinctions made for safety versus non-safety plan sponsors.

Specifically, OCERS' actuarial cashout assumption is used by Segal to adjust employer contribution rates and Legacy employee contribution rates. This adjustment “pays” for the actuarial cost of adding vacation pay and sick pay to a Legacy member's FAS calculation upon retirement². For instance, applying the current cashout assumption of a 2.80% addition to FAS for all Legacy non-safety Tier 2 members regardless of employer has resulted in pension contribution costs to employers and Legacy employees that generally fall between:

- 0.3% to 1.4% of pay for employers³
- 0.2% to 0.3% of pay for employees

In addition to the above increases to contribution rates, OCTA **also** collects both employer and employee contributions for each individual Legacy employee cashout of accrued vacation hours and/or sick pay hours. **This practice is contrary to most of OCERS' plan sponsors (including the County of Orange) who do not collect contributions at all (i.e, neither upon annual cashout nor at termination) from individual Legacy employee cashouts of vacation and sick hours. For these other plan sponsors, the**

² Vacation and sick pay to the extent earned, not taken as time off, and permitted to be cashed out by the member's MOU for each year of the member's FAS measuring period.

³ The change in the normal cost rate is spread over only payroll of General Tier 2 members while the change in the unfunded actuarial accrued liability rate is spread over payroll of General members in all Tiers within each Rate Group.

actuarial cash out assumption “pays” for the actuarial cost of adding vacation pay and sick pay to a Legacy member’s FAS calculation upon retirement. Currently, OCERS has no system-wide policy that addresses this difference.

Recommendation to OCERS:

OCERS should define a cashout contribution policy that applies uniformly across OCERS' plan sponsors and their Legacy employees on a go-forward basis.

Management Response:

☒ Agree ☐ Disagree

OCERS is in the process of reviewing and evaluating all pay items in order to categorize and document in policy each item of compensation earnable for Legacy members and pensionable compensation for PEPRA members. OCERS intends to present this policy to the OCERS Board for review and approval by 1st quarter of 2019.

The majority of OCERS' plan sponsors do not apply the contribution rates to cashouts (as does OCTA); instead, they rely on the actuarial cash out assumption (Load Factor) to pay for the actuarial cost of adding vacation pay and sick pay to a Legacy member’s FAS calculation upon retirement. OCERS believes this is the better approach and will incorporate this in the new policy in order to have consistency among all plan sponsors. In addition to the new policy, by 1st quarter of 2019, OCERS intends to distribute a circular letter to all plan sponsors informing them of this approach to not collect contributions on these cashouts.

Categories of Audit Findings:

Critical Control Weaknesses:

These are finding(s) that represent critical exceptions to the audit objective(s) and/or business goals. Such conditions may involve either actual or potential large dollar errors or be of such a nature as to compromise OCERS' reputation or integrity. Management is expected to address Critical Control Weaknesses brought to their attention immediately.

Significant Control Weaknesses:

These are finding(s) that represent a significant deficiency in the design or operation of internal controls. Management is expected to address Significant Control Weaknesses brought to their attention promptly.

Findings:

These are finding(s) concerning (1) internal control, (2) compliance, or (3) efficiency/effectiveness issues in which Internal Audit will recommend to management a corrective action to implement or enhance processes and/or internal controls. Findings are expected to be addressed within six to twelve months.

Appendix #1

Audit Testing Methodology


- Reviewing sections within OCTA MOU's (Memorandum of Understanding) in regards to the OCERS pension plan and OCTA pay practices.
- Verifying members' age of entry in V3 against executed Member Affidavits and Reciprocity verification documents.
- Recalculating employer and employee contributions submitted on OCTA transmittals against Segal's entry-age contribution.
- Tracing employer and employee contributions from OCTA transmittals to V3 records and copies of OCTA employee paystubs.
- Tracing pensionable salaries and pensionable pay items from OCTA transmittals to public pay schedules, employee work history records, and certification documentation maintained by OCTA's Human Resources department.
- Recalculating pensionable pay items on the transmittals against relevant terms stated in MOU's.
- Stratifying pensionable pay items by total per year, and by pay item, going back to the beginning of 2014.
- Reviewing a listing of pay codes in OCTA payroll system to search for pensionable pay items not reported to OCERS.
- Reviewing employee paystubs in our sample of 60 employees for pensionable pay items not reported to OCERS.
- Reviewing final average salary history of recent OCTA retirees for possible signs of pension spiking.
- Consulting with Segal about any actuarial issues.



COMMITTEE TRANSMITTAL

January 14, 2019

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Audit of Oversight Controls and Contract Compliance Related to the Interstate 5 High-Occupancy Vehicle Improvement Project: Pacific Coast Highway to San Juan Creek Road

Finance and Administration Committee Meeting of January 9, 2019

Present: Directors Do, Hennessey, Jones, R. Murphy, and Steel
Absent: None

Committee Vote

This item was passed by the Members present.

Committee Recommendation

Direct staff to implement three recommendations provided in the Audit of Oversight Controls and Contract Compliance Related to the Interstate 5 High-Occupancy Vehicle Improvement Project: Pacific Coast Highway to San Juan Creek Road, Internal Audit Report No. 18-512.



January 9, 2019

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Janet Sutter, Executive Director
Internal Audit

Subject: Audit of Oversight Controls and Contract Compliance Related to the Interstate 5 High-Occupancy Vehicle Improvement Project: Pacific Coast Highway to San Juan Creek Road

Overview

The Internal Audit Department has completed an audit of oversight controls and contract compliance related to Segment 3 of the Interstate 5 High-Occupancy Vehicle Improvement Project. Based on the audit, consultants were procured in compliance with policy; however, some concerns were identified related to amendment processing. Also, invoices were generally paid in compliance with contract terms; however, one consultant was paid more than the contractually allowed amount for a specified task. Finally, a written Project Management Plan outlining the scope of work, constraints, and technical requirements of the project, was not prepared as required.

Recommendation

Direct staff to implement three recommendations provided in the Audit of Oversight Controls and Contract Compliance Related to the Interstate 5 High-Occupancy Vehicle Improvement Project: Pacific Coast Highway to San Juan Creek Road, Internal Audit Report No. 18-512.

Background

The Interstate 5 (I-5) High-Occupancy Vehicle (HOV) Improvement Project (Project) between Avenida Pico in the City of San Clemente and San Juan Creek Road in the City of San Juan Capistrano added HOV lanes in both directions of the I-5 from north of the I-5 Camino de Estrella interchange to south of the San Juan Creek Road undercrossing. The 5.7-mile project was funded by Measure M2, Orange County's voter-approved, half-cent sales tax for

transportation improvements, as well as state and federal funds. The Project was divided into three segments. The audit focused on Segment 3.

Discussion

The Internal Audit Department (Internal Audit) identified four amendments that were back-dated over two months, including one amendment that was back-dated over five months. Three of the four amendments were back-dated to dates that preceded the request for amendment, and one was processed after expiration of the underlying contract. Policy does not currently allow for back-dating of formal amendments. Internal Audit recommended that management enforce policy or update policy to include parameters for back-dating of formal amendments. Management agreed and indicated that training will be conducted to ensure staff are aware of policies and procedures for contract amendments.

Internal Audit also identified overpayment to the design and construction support consultant for one task outlined in the firm-fixed price contract. The contract includes an overall maximum, made up of firm-fixed amounts for each of nine tasks. The consultant submitted several invoices to OCTA, over-billing for one task and reflecting a corresponding elimination of another task. Internal Audit recommended management process formal amendments to reflect changes in firm-fixed pricing of individual tasks and ensure requests for amendments for additional services are processed in a timely manner. Management agreed and indicated that staff will be reminded of the need to request and process amendments in a timely manner.

Finally, Internal Audit noted that a Project Management Plan (PMP) was not prepared for this project. Procedures require that a written PMP be prepared for each project to communicate the scope of work, constraints, and technical requirements to all project participants. Internal Audit recommended management enhance controls to ensure compliance with procedures, or update procedures to reflect intended practices. Management agreed and indicated that staff will be reminded to ensure PMP's are prepared for each project, as required.

Summary

Internal Audit has completed an audit of Interstate 5 HOV Improvement Project: Pacific Coast Highway to San Juan Creek Road and offered three recommendations for improvement.

Attachment

- A. Audit of Oversight Controls and Contract Compliance Related to the Interstate 5 High-Occupancy Vehicle Improvement Project: Pacific Coast Highway to San Juan Creek Road, Internal Audit Report No. 18-512

Prepared by:



Ricco Bonelli
Principal Internal Auditor
714-560-5384

Approved by:



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

ORANGE COUNTY TRANSPORTATION AUTHORITY INTERNAL AUDIT DEPARTMENT



Audit of Oversight Controls and Contract Compliance Related to the Interstate 5 High-Occupancy Vehicle Improvement Project: Pacific Coast Highway to San Juan Creek Road

Internal Audit Report No. 18-512

November 29, 2018



Performed by: Ricco Bonelli, CIA, Principal Internal Auditor
Janet Sutter, CIA, Executive Director

RTB

Distributed to: Jim Beil, Executive Director, Capital Programs
Andrew Oftelie, Executive Director, Finance and Administration
Rose Casey, Virginia Abadessa, Ross Lew, Hamid Torkamanha,
Lance Larson, Alice Rogan, Christina Byrne, Chris Boucly

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**ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERNAL AUDIT DEPARTMENT
Audit of Oversight Controls and Contract Compliance Related to
the Interstate 5 High-Occupancy Vehicle Improvement Project:
Pacific Coast Highway to San Juan Creek Road
November 29, 2018**

Conclusion

The Internal Audit Department (Internal Audit) has completed an audit of oversight controls and contract compliance related to Segment 3 of the Interstate 5 High-Occupancy Vehicle (I-5 HOV) Improvement Project (Project). Based on the audit, project consultants were procured in compliance with Orange County Transportation Authority (OCTA) policy; however, some concerns were identified related to amendment processing. Also, invoices were generally paid in compliance with contract terms; however, one consultant was paid more than the contractually allowed amount for a specified task. Finally, while project progress is monitored and reported, a written Project Management Plan (PMP) outlining the scope of work, constraints, and technical requirements of the I-5 HOV Project was not prepared as required.

Internal Audit also identified instances of letter amendments that were back-dated outside of the limits outlined in procedures; however, since this issue was addressed in Interstate 405: Project Management Contracts, Internal Audit Report No. 18-505, issued July 12, 2018, it was not included as a repeat finding for this audit.

Background

I-5 HOV Project

The I-5 HOV Project between Avenida Pico in the City of San Clemente and San Juan Creek Road in the City of San Juan Capistrano added HOV lanes in both directions of the I-5 from north of the I-5 Camino de Estrella interchange to south of the San Juan Creek Road undercrossing. The 5.7-mile project was funded by Measure M2 (M2), Orange County's voter-approved, half-cent sales tax for transportation improvements, as well as state and federal funds. The project was divided into three segments, Avenida Pico to Avenida Vista Hermosa (Segment 1), Vista Hermosa to Pacific Coast Highway (PCH) (Segment 2), and PCH to San Juan Creek Road (Segment 3). In addition to widening the I-5 to provide for the HOV lanes, Segment 3 also included the widening of the southbound PCH on-ramp to the southbound I-5 to provide for an additional lane. The \$230 million project opened for traffic in March of 2018.

OCTA typically delivers highway projects through five phases of effort. The phases in the process include planning; environmental; design; right-of-way acquisition; and construction. For this Project, OCTA was the lead agency for the planning, environmental, right-of-way, and design phases. OCTA also led the public outreach effort. The California Department of Transportation (Caltrans) was the lead agency for construction of the Project and was responsible for advertisement, bid opening, award, approval, and administration of the construction contract. The construction contractor is Shimmick Construction.

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Project Contracts

In addition to the cooperative agreement between OCTA and Caltrans for construction capital and construction management support, OCTA contracted with Hill International, Inc. (Hill) for construction management services under Agreement No. C-3-1820, TRC Solutions, Inc. (TRC) for design and construction support services under Agreement No. C-1-2544, and Caltrop Communications (Caltrop), which was later acquired by TRC, for public outreach services under Agreement No. C-3-1971.

Project Status Controls

During the environmental and design phase, there were monthly project development team meetings to discuss project issues. Attendees consisted of representatives from OCTA, Caltrans, the environmental or design consultants, and the cities of Dana Point, San Clemente, and San Juan Capistrano.

During the construction phase, weekly construction meetings are held with representatives from OCTA, Caltrans, the construction contractor, and the construction management (CM) consultant. There are also monthly project coordination meetings with representatives from Caltrans, OCTA, and the CM consultant. Caltrans also provides an internal Monthly Construction Progress Report to OCTA.

Invoice Review

Invoices for design, environmental, and CM services are initially reviewed by Project Controls staff based on a standard invoice review checklist. All invoices are also reviewed by the project manager for level-of-effort and for nature of work being performed. If invoices are over the project manager's signing authority, the invoice is routed to management with sufficient signing authority for approval. Accounts Payable reviews the invoices for proper signature authority prior to processing the payment.

**ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERNAL AUDIT DEPARTMENT
Audit of Oversight Controls and Contract Compliance Related to
the Interstate 5 High-Occupancy Vehicle Improvement Project:
Pacific Coast Highway to San Juan Creek Road
November 29, 2018**

Objectives, Scope, and Methodology

The objectives were to ensure that procurements and amendments were handled in accordance with OCTA procurement policies and procedures, consultants and Caltrans provided services in accordance with their contracts, invoices paid to consultants and Caltrans adhered to contract payment provisions and were properly approved, and project administration and oversight controls were adequate.

The methodology consisted of identification and testing of controls to monitor and report project status, review of procurement and contract amendments for compliance with procurement policies and adequate support, and detailed testing of invoices paid on Project-related contracts for contract compliance and evidence of controls.

The scope is limited to the I-5 HOV Project, Segment 3. It included contracts with Hill, TRC, and Caltrop, as well as Agreement Nos. C-3-1504 and C-1-2887 with Caltrans, and all related amendments. The scope also included invoice payments made to Hill, TRC, and Caltrop from January 2016 to mid-2018, invoice payments on Agreement No. C-3-1504 from January 2017 to June 2018, and the sole payment made on Agreement No. C-1-2887 with Caltrans in February 2013.

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

**ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERNAL AUDIT DEPARTMENT
Audit of Oversight Controls and Contract Compliance Related to
the Interstate 5 High-Occupancy Vehicle Improvement Project:
Pacific Coast Highway to San Juan Creek Road
November 29, 2018**

Audit Comments, Recommendations, and Management Responses

Amendment Processing

Four amendments were back-dated over two months, including one amendment that was back-dated over five months. Further, three of the four amendments were back-dated to dates that preceded the request for amendment. Current policy does not allow for back-dating of formal amendments; only letter amendments.

In addition, one amendment was processed after the underlying contract had expired.

Recommendation 1:

Internal Audit recommends management enforce policy or update the policy to include parameters for back-dating of formal amendments. Management should also remind staff that amendments should be requested in a timely fashion to ensure processing before contracts expire.

Management Response (Finance and Administration):

Management agrees with the recommendation to enforce the current policy regarding processing of formal amendments. Contract Administration and Materials Management Department (CAMP) management will conduct training for CAMP staff and review the requirements for processing formal amendments. Staff is also working with the general counsel's office to address the changes in contract templates to eliminate any conflicts related to the interpretation of the "effective dates". CAMP also plans to conduct training for OCTA staff on the amendment process in 2019 through the Procurement 101 training series.

Enforcement of Contract Task-Pricing

The design and construction support consultant submitted invoices, and was paid, amounts that exceeded the firm fixed price for a specified task under the contract.

The contract for design and construction support services with TRC includes a maximum contract obligation amount and lists individual firm fixed prices for each of nine tasks identified in the scope of work. In accordance with contract terms, invoices submitted by TRC specify the task number and corresponding billed amount.

In 2015, two amendments were processed to increase the firm fixed price for Task No. 7 "Construction Support" with a corresponding increase to the contract maximum obligation.

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In 2017, without an amendment, TRC submitted several invoices to OCTA reflecting an increase in the firm fixed price amount for Task No. 7, with no increase to the contract maximum obligation. Instead, TRC reduced the entire firm fixed price of Task No. 8 "Project Close-out" (\$31,566) and increased Task No. 7 by the same amount. Capital Programs Invoice Review Checklists include verification of contract task firm fixed pricing; however, the invoices were authorized for payment.

Internal Audit noted that only four of 21 invoices reviewed were submitted timely. In fact, two invoices, covering multiple months, were submitted immediately after amendments were processed to increase the pricing of individual tasks and the maximum contract obligation.

Recommendation 2:

Internal Audit recommends that changes to firm fixed pricing of individual tasks, as established in the contract, be made through the amendment process. Management should ensure amendments needed for additional services are requested and processed in a timely manner.

Management Response (Capital Programs):

Management agrees with the recommendation to request amendments for changes to firm fixed pricing of individual tasks, as established in contracts which were procured with price as a factor. Management will reinforce with staff the need to request and process amendments for additional services in a timely manner.

Preparation of Project Management Plan

A PMP was not prepared for this project.

The Highway Programs' Program Management Procedures were developed to facilitate the delivery of the M2 Capital Improvement Program and serve as a set of procedures to effectively manage and monitor projects.

These procedures require that a written PMP be prepared for each project to communicate the scope of work, constraints, and technical requirements to all project participants.

**ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERNAL AUDIT DEPARTMENT
Audit of Oversight Controls and Contract Compliance Related to
the Interstate 5 High-Occupancy Vehicle Improvement Project:
Pacific Coast Highway to San Juan Creek Road
November 29, 2018**

Recommendation 3:

Management should either update its procedures to reflect state and federal requirements or enhance controls to ensure that projects comply with all relevant procedures identified in the Program Management Procedures manual.

Management Response (Capital Programs):

Management agrees with the recommendation and will review the relevant procedures from the Program Management Procedures Manual with staff to ensure that projects are in compliance. Project managers will ensure that project management plans are prepared for each project.



COMMITTEE TRANSMITTAL

January 14, 2019

To: Members of the Board of Directors
From: Laurena Weinert, Clerk of the Board
Subject: 91 Express Lanes Corona Customer Service Center Construction Update

Finance and Administration Committee Meeting of December 12, 2018

Present: Directors Hennessey, Jones, and R. Murphy
Absent: Directors Do, Spitzer, and Steel

Committee Vote

Due to lack of quorum, no action was taken on this item.

Staff Recommendation

Authorize additional funding for Agreement No. C-8-1660 with Riverside County Transportation Commission to cover the additional tenant improvement costs for the 91 Express Lanes Corona Office, located at 301 Corporate Terrace Circle, Corona, California, in an amount not to exceed \$365,000, which represents Orange County Transportation Authority's share of the additional costs.



December 12, 2018

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: 91 Express Lanes Corona Customer Service Center Construction Update

Overview

In May 2018, the Orange County Transportation Authority Board of Directors approved a ten-year lease agreement with the Riverside County Transportation Commission for 5,009 square feet of space, as well as tenant improvement cost sharing, at a facility owned by the Riverside County Transportation Commission. The leased space will accommodate the 91 Express Lanes walk-in customer service center and call center, and the facility will be shared with the Riverside County Transportation Commission. Construction is currently underway and the space is anticipated to be ready for occupancy in the first quarter of 2019.

Recommendation

Authorize additional funding for Agreement No. C-8-1660 with Riverside County Transportation Commission to cover the additional tenant improvement costs for the 91 Express Lanes Corona Office, located at 301 Corporate Terrace Circle, Corona, California, in an amount not to exceed \$365,000, which represents Orange County Transportation Authority's share of the additional costs.

Background

The 91 Express Lanes toll road operations includes a customer service center with 29 representatives who handle customer service issues both in person and by phone/internet, as well as handling the transponder inventory. Since April 2003, the customer service center has been located on the first floor of an office building in the City of Corona; however, various maintenance issues at the location, as well as future road construction adjacent to the location, made the location less desirable for future occupancy. This led to a search for a new location for the facility. After much research, it was decided that the best option was to relocate the customer service center to a building already owned by the

Riverside County Transportation Commission (RCTC), and the relocation was subsequently approved by the Orange County Transportation Authority (OCTA) Board of Directors (Board) on May 14, 2018.

OCTA and RCTC became partners in the facility operations of the 91 Express Lanes in November 2015, and in March 2017, RCTC opened the extension of the 91 Express Lanes into Riverside County. An important part of the partnership agreement is that OCTA and RCTC share equally in the cost of lease and tenant improvement expenses.

Discussion

The tenant improvements required at the new location include the construction of a walk-up customer service center and waiting area, a call center that handles all 91 Express Lanes customer-related business, cubicles and office space for 91 Express Lanes staff, technology, infrastructure (including a new stand-by generator), relocation costs, as well as some new furniture, fixtures, and equipment. When the budget for the tenant improvements was originally brought to the OCTA Board in May 2018, it was based on preliminary estimates developed by the engineers working on the design of the project. Due to the limited design detail available at the time the preliminary estimates were developed, several cost assumptions were made. Since then, the designs have been finalized, a revised engineer's estimate has been developed, and competitive bids for the construction contract have been received by RCTC. The revised engineer's estimate and the subsequent construction bids both came in higher than the original preliminary estimates. The cost differences are mostly due to greater than expected costs related to the stand-by generator. The preliminary estimate assumed that the stand-by generator would be located immediately adjacent to the new customer service center building. However, after submitting the requests to the business owners' association for the placement of the generator, the only location that was approved was on an easement on the other side of the development next to the freeway. This caused a significant increase in costs to connect the generator to the building due to the distance from the building and the trenching of cabling involved. Other revised construction costs include electrical and lighting costs, voice/data cabling costs, and contingencies that were further refined as the design progressed from the original concept plans. The additional costs for tenant improvements are estimated at \$365,000, which includes a ten percent contingency.

Fiscal Impact

Funds for OCTA's additional share of the tenant improvements are available within the Fund 36 fiscal year 2018-19 budget.

Summary

Staff is recommending the Board authorize additional funding for Agreement No. C-8-1660 with the Riverside County Transportation Commission to cover OCTA's share of the additional costs for tenant improvements for the 91 Express Lanes Customer Service Center in Corona, in an amount not to exceed \$365,000.

Attachments

None.

Prepared by:



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Express Lanes Programs
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Approved by:



Kenneth Phipps
Deputy Chief Executive Officer
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COMMITTEE TRANSMITTAL

January 14, 2019

To: Members of the Board of Directors
From: Laurena Weinert, Clerk of the Board
Subject: Fiscal Year 2018-19 First Quarter Grant Reimbursement Status Report

Finance and Administration Committee Meeting of January 9, 2019

Present: Directors Do, Hennessey, Jones, R. Murphy, and Steel
Absent: None

Committee Vote

This item was passed by the Members present.

Committee Recommendation

Receive and file as an information item.



January 9, 2019

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Fiscal Year 2018-19 First Quarter Grant Reimbursement Status Report

Overview

The Quarterly Grant Reimbursement Status Report summarizes grant activities for the Orange County Transportation Authority Board of Directors. This report focuses on activity for the period of July through September 2018.

Recommendation

Receive and file as an information item.

Discussion

The Orange County Transportation Authority (OCTA) has secured grant funding from federal and state grant agencies to deliver programs, projects, and services to improve mobility in Orange County. The use of these funds is consistent with capital programming policies approved by the OCTA's Board of Directors (Board). The Quarterly Grant Reimbursement Status Report summarizes awarded/executed, current, and closed grant agreements.

Awarded/Executed Grant Agreements:

During the first quarter, OCTA awarded/executed four formula grants which are summarized below.

Federal Fiscal Year (FFY) 2017 Federal Transit Administration (FTA) Section 5307 Formula Grant Program:

OCTA executed a grant agreement with FTA to secure the OCTA's FTA Section 5307 formula fund allocations for FFY 2017. The grant agreement secures \$65.9 million in federal capital and operating assistance to support salaries and benefits of OCTA's maintenance staff, capital cost of contracting, non-fixed-route paratransit operating assistance, replacement of approximately 24 40-foot

compressed natural gas (CNG) fixed-route buses and the Orange Parking Structure project.

FFY 2017 FTA Section 5310 Enhanced Mobility for Seniors and Disabled:

OCTA executed an FTA grant agreement to secure \$2 million in FTA Section 5310 funds allocated to OCTA for FFY 2017. The funds will be used to support the capital costs of contracting for ACCESS services.

FFY 2017 FTA Section 5337 State of Good Repair:

OCTA executed an FTA grant agreement to secure \$4.3 million in FTA Section 5337 funds allocated to OCTA for FFY 2017. The funds will be used to cover preventative maintenance expenses and the construction phase of the Slope Stabilization project.

FFY 2017 FTA Section 5339 Bus and Bus Facilities Grant Program:

OCTA executed a grant agreement with FTA to secure \$5.2 million in FTA Section 5339 funds allocated to OCTA for FFY 2017. The funds will be used to support 98 engine repowers, as well as the replacement of two 40-foot CNG fixed-route buses serving in the OCTA fleet.

Current Grant Agreements:

OCTA's FTA formula grant agreements total 15, and FTA discretionary grant agreements total three (Attachment A).

The 15 FTA formula grant agreements have a total federal amount of \$375 million. A total of \$307.6 million has been reimbursed, leaving a balance of \$67.4 million. The balance of these 15 FTA formula grant agreements will primarily fund the OC Streetcar, Orange Parking Structure, fixed-route bus procurements, rideshare and vanpool programs, the Laguna Niguel/San Juan Capistrano passing siding project, and rail rehabilitation projects.

The three FTA discretionary grant agreements have a total federal amount of \$17.9 million. A total of \$13.4 million has been reimbursed, leaving a balance of \$4.5 million. The balance of these three FTA discretionary grant agreements will primarily fund a new control point at 4th Street on the OCTA-owned railroad right-of-way (ROW), as well as slope stabilization improvements on the railroad ROW from the City of Laguna Niguel to the City of Lake Forest. The balance will also fund security camera surveillance systems for commuter rail stations and transit facilities located in the cities of Anaheim, Laguna Niguel/Mission Viejo, Orange, Placentia, Santa Ana, and Garden Grove.

The total FTA formula and discretionary grant agreements amount to \$392.9 million. The total amount reimbursed through the first quarter under these grant agreements is \$321.1 million, leaving a balance of \$71.8 million.

OCTA also has 45 State and Federal Highway Administration (FHWA) formula grant agreements (Attachment B) and 10 State discretionary grant agreements (Attachment C).

The 45 State and FHWA formula grant agreements total \$376.6 million. The total amount reimbursed through the first quarter under these other grant agreements is \$269.1 million, leaving a balance of \$107.5 million.

The 10 State discretionary grant agreements total \$8.3 million. A total of \$1.2 million of these discretionary grant agreements has been reimbursed, leaving a balance of \$7.1 million. These State discretionary grant agreements have a defined grant expiration date. Project expenses must be fully paid and reimbursed prior to the grant agreement expiration date.

Combined, the State and FHWA formula and discretionary grants total \$384.9 million. The total amount reimbursed across all these grant agreements equals \$270.3 million, leaving a remaining balance of \$114.6 million.

This report activity is as of September 30, 2018; any grants with a deadline between the quarter end and the date this report is published will be fully reimbursed and closed out. This activity will be reflected in next quarter's report. Additionally, for each of the discretionary grants staff anticipates the remaining balances to be fully reimbursed prior to the grant agreement expiration date.

Grant Agreements Pending Close-out:

There are ten grant agreements totaling \$66.2 million which are pending close-out in the first quarter of fiscal Year (FY) 2018-19. All invoices for these grant agreements have been submitted to the external funding agency for reimbursement, and OCTA is pending final payment and/or approval of close-out documentation. OCTA Board approved reprogramming \$0.4 million of remaining funds from the Sand Canyon Grade Separation Project to the San Juan Creek Bridge Project in July 2017. These grant agreements are summarized in Attachment D.

Closed Grant Agreements:

There are nine grant agreements totaling \$16.6 million that were closed out in the first quarter of FY 2018-19. These grant agreements are summarized in Attachment E.

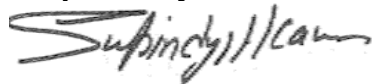
Summary

This report provides an update of the grant agreement funded activities for the first quarter of FY 2018-19, July through September 2018. Staff recommends this report be received and filed as an information item.

Attachments

- A. First Quarter Grant Reimbursement Status Report, July through September 2018, Federal Transit Administration Formula and Discretionary Grant Agreements
- B. First Quarter Grant Reimbursement Status Report, July through September 2018, State and Federal Highway Administration Formula Grant Agreements
- C. First Quarter Grant Reimbursement Status Report, July through September 2018, State Discretionary Grant Agreements
- D. First Quarter Grant Reimbursement Status Report, July through September 2018, Grant Agreements Pending Close-out
- E. First Quarter Grant Reimbursement Status Report, July through September 2018, Closed Grant Agreements

Prepared by:



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Approved by:



Andrew Oftelie
Executive Director,
Finance and Administration
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First Quarter Grant Reimbursement Status Report
July through September 2018

Federal Transit Administration Formula and Discretionary Grant Agreements						
FEDERAL FISCAL YEAR (FFY)	GRANT NUMBER	FEDERAL AMOUNT	FEDERAL AMOUNT REIMBURSED	REMAINING BALANCE	EXPIRATION DATE	
FTA Section 5307 - Urbanized Area Formula Grant Program						
1	CA-90-Y942	\$ 57,746,965	\$ 57,585,288	\$ 161,677	June 2019	
2	CA-90-Z027	53,878,508	53,403,374	475,134	June 2019	
3	CA-90-Z174	55,129,189	55,076,351	52,838	December 2019	
4	CA-2016-032	55,400,721	54,851,726	548,995	December 2019	
5	CA-2018-121	65,884,232	31,771,507	34,112,725	March 2019	
FTA Section 5307 Grant Subtotal		\$ 288,039,615	\$ 252,688,246	\$ 35,351,369		
FTA Section 5307 - Federal Funds flexed from the Federal Highway Administration (FHWA):						
6	CA-95-X131	\$ 2,102,650	\$ 1,464,717	\$ 637,933	December 2019	
7	CA-95-X180	4,260,000	3,795,559	464,441	December 2018	
8	CA-95-X210	12,669,000	11,495,519	1,173,481	June 2019	
9	CA-95-X254	5,657,000	3,885,167	1,771,833	June 2019	
10	CA-95-X286	6,621,000	4,960,403	1,660,597	October 2021	
11	CA-2017-072	31,567,405	10,641,318	20,926,087	June 2021	
FTA Section 5307 Flexed Grant Subtotal		\$ 62,877,055	\$ 36,242,683	\$ 26,634,372		
FTA Section 5310 - Enhanced Mobility of Seniors & Individuals with Disabilities Grant Program						
12	64AM16-00157	\$ 630,416	\$ 148,425	\$ 481,991	March 2019	
FTA Section 5310 Grant Subtotal		\$ 630,416	\$ 148,425	\$ 481,991		
FTA Section 5316 - Jobs Access and Reverse Commute (JARC) Grant Program						
13	CA-37-X113	\$ 13,962,488	\$ 10,320,916	\$ 3,641,572	September 2019	
FTA Section 5316 Grant Subtotal		\$ 13,962,488	\$ 10,320,916	\$ 3,641,572		
FTA Section 5337 - State of Good Repair Grant Program						
14	CA-2018-068	\$ 4,261,029	\$ 3,231,304	\$ 1,029,725	December 2022	
FTA Section 5337 Grant Subtotal		\$ 4,261,029	\$ 3,231,304	\$ 1,029,725		
FTA Section 5339 - Buses and Bus Facilities Grant Program						
15	CA-2018-067	\$ 5,221,160	\$ 5,001,704	\$ 219,456	December 2022	
FTA Section 5339 Grant Subtotal		\$ 5,221,160	\$ 5,001,704	\$ 219,456		
Federal Transit Administration Formula Grants Total		\$ 374,991,763	\$ 307,633,278	\$ 67,358,485		

First Quarter Grant Reimbursement Status Report
July through September 2018

Federal Transit Administration Formula and Discretionary Grant Agreements						
	FEDERAL FISCAL YEAR (FFY)	GRANT NUMBER	FEDERAL AMOUNT	FEDERAL AMOUNT REIMBURSED	REMAINING BALANCE	EXPIRATION DATE
FTA Section 5309 - Discretionary Capital Grant Program						
16	2008	CA-04-0078	\$ 7,021,300	\$ 5,746,168	\$ 1,275,132	February 2019
17	2009	CA-04-0122	4,845,999	3,958,843	887,156	December 2020
18	2012	CA-05-0269	6,000,000	3,714,371	2,285,629	March 2020
FTA Section 5309 Grant Subtotal			\$ 17,867,299	\$ 13,419,382	\$ 4,447,917	
Federal Transit Administration Discretionary Grants Total			\$ 17,867,299	\$ 13,419,382	\$ 4,447,917	
Total Federal Transit Administration Formula and Discretionary Grant Agreements			\$ 392,859,062	\$ 321,052,660	\$ 71,806,402	

Funding Source Notes:

FTA Section 5307 - Urbanized Area Formula Grant Program: Funds are used to fund preventive maintenance, capital cost of contracting, and to purchase revenue vehicles, facility modifications, and bus-related equipment.

FTA Section 5310 - Enhanced Mobility of Seniors & Individuals with Disabilities Grant Program: Formula funding to states for the purpose of assisting nonprofit groups in meeting the transportation needs of the elderly and persons with disabilities.

FTA Section 5316 - Jobs Access and Reverse Commute (JARC) Grant Program: Grants provide funds to support new transit services and to establish mobility management programs to assist low-income individuals.

FTA Section 5337 - State of Good Repair Grant Program: A formula-based State of Good Repair program dedicated to repairing and upgrading the nation's rail transit systems along with high-intensity motor bus systems that use high-occupancy lanes.

FTA Section 5339 - Buses and Bus Facilities Grant Program: A new formula-based program dedicated to support capital projects such as the replacement, rehabilitation, and purchase of buses, vans, and related equipment.

FTA Section 5309 - Discretionary Capital Grant Program: Grants provide for projects that improve efficiency and coordination of transportation systems.

First Quarter Grant Reimbursement Status Report
July through September 2018

State and Federal Highway Administration Formula Grant Agreements						
	FISCAL YEAR (FY)	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE	EXPIRATION DATE
Active Transportation Program (ATP)						
	1	Orange County Active Transportation Plan (PS&E)	\$ 280,000	\$ 218,235	\$ 61,765	April 2019
ATP Subtotal			\$ 280,000	\$ 218,235	\$ 61,765	
Federal Highway Administration Grant Program - Congestion Mitigation & Air Quality (CMAQ)						
	2	Orangethorpe Ave Grade Separation (ROW)	\$ 27,504,000	\$ 24,098,211	\$ 3,405,789	June 2019
	3	Lakeview Ave Grade Separation (ROW)	6,532,000	6,532,000	0	June 2019
	4	I-5 HOV Segment 1, Ave Pico to Vista Hermosa (PS&E)	4,246,000	3,487,076	758,924	June 2020
	5	I-5 HOV Segment 2, Vista Hermosa to PCH (PS&E)	3,687,000	2,036,465	1,650,535	June 2019
	6	I-5 HOV Segment 3, PCH to San Juan Creek Rd (PS&E)	2,067,000	1,558,921	508,079	June 2019
	7	Lakeview Ave Grade Separation (ROW Utility Relocation)	3,135,862	60,901	3,074,961	June 2019
	8	I-5 HOV Segment 1, Ave Pico to Vista Hermosa (ROW)	8,000,000	4,009,067	3,990,933	June 2020
	9	I-5 from the Orange/San Diego County Line to Avenida Pico (PA/ED)	450,000	361,601	88,399	June 2020
	10	I-5, SR-55 to SR-57 (PS&E)	2,800,000	2,319,269	480,731	June 2020
CMAQ Subtotal			\$ 58,421,862	\$ 44,463,512	\$ 13,958,350	
Federal Highway Administration Grant Program - Regional Surface Transportation Program (RSTP)						
	11	Tustin Ave / Rose Dr Grade Separation Project (ROW Utility Relocation)	\$ 2,254,000	\$ 0	\$ 2,254,000	June 2019
	12	Tustin Ave / Rose Dr Grade Separation Project (ROW)	21,494,000	19,594,690	1,899,310	June 2019
	13	Lakeview Ave Grade Separation (ROW)	11,527,563	11,527,563	0	June 2019
	14	Tustin Ave / Rose Dr Grade Separation Project (Construction)	8,700,440	7,941,427	759,013	June 2019
	15	I-5, I-405 to SR-55 (PA/ED)	8,000,000	5,669,451	2,330,549	June 2020
	16	I-5 Segment 2, Oso Pkwy to Alicia Pkwy (PS&E)	10,000,000	9,575,579	424,421	June 2019
	17	I-405, I-5 to SR-55 (PA/ED)	8,000,000	5,923,280	2,076,720	June 2020
	18	I-5 Segment 1, SR-73 to Oso Pkwy (PS&E)	9,101,000	7,942,751	1,158,249	June 2020
	19	I-5 Segment 3, Alicia Pkwy to El Toro Rd (PS&E)	8,044,000	6,175,894	1,868,105	June 2020
	20	SR-91, SR-57 to SR-55 (PA/ED)	7,000,000	3,363,705	3,636,295	June 2020
	21	SR-57, Orangewood to Katella Ave (PA/ED)	2,500,000	1,311,722	1,188,278	June 2021
	22	SR-55, I-5 to SR-91 (PS&E)	5,000,000	1,414,467	3,585,533	June 2022
RSTP Subtotal			\$ 101,621,003	\$ 80,440,530	\$ 21,180,473	
Federal Highway Administration Grant Program - State Transportation Block Grant (STBG)						
	23	I-405, SR-73 to I-605 (Construction)	\$ 1,000	\$ 0	\$ 1,000	June 2021
	24	SR-55, I-405 to I-5 (PS&E)	13,800,000	1,811,197	11,988,803	June 2023
STBG Subtotal			\$ 13,801,000	\$ 1,811,197	\$ 11,989,803	

First Quarter Grant Reimbursement Status Report
July through September 2018

State and Federal Highway Administration Formula Grant Agreements							
	FISCAL YEAR (FY)	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE	EXPIRATION DATE	
Low Carbon Transit Operations Program (LCTOP) - California Department of Transportation (CALTRANS)							
	25	2016	Bus Buy - 40' buses for Bravo!	\$ 3,023,124	\$ 3,018,886	\$ 4,238	December 2018
	26	2017	Bus Bicycle Racks	766,345	0	766,345	June 2021
	27	2017	Fare Discount - Fixed Route	886,480	886,480	0	June 2021
CAP & TRADE LCTOP Subtotal			\$ 4,675,949	\$ 3,905,366	\$ 770,583		
Safe, Accountable, Flexible, Efficient Transportation Equity Act: LU Demo							
	28	2012	Orangethorpe Ave Grade Separation (Construction)	\$ 18,600,000	\$ 17,669,800	\$ 930,200	June 2019
SAFETEA-LU Demo Subtotal			\$ 18,600,000	\$ 17,669,800	\$ 930,200		
SAFETEA-LU: Projects of National and Regional Significance (PNRS)							
	29	2013	Lakeview Ave Grade Separation (Construction)	\$ 9,709,030	\$ 6,954,405	\$ 2,754,625	June 2020
SAFETEA-LU-PNRS Subtotal			\$ 9,709,030	\$ 6,954,405	\$ 2,754,625		
State Proposition 1B California Transit Security Grant Program (CTSGP): Transit System Safety, Security & Disaster Response Account (TSSSDRA)							
	30	2015	Transit Security Operation Center (PS&E)	\$ 2,741,643	\$ 371,462	\$ 2,370,181	March 2019
	31	2015	Video Surveillance System Upgrades (Construction)	100,000	0	100,000	March 2019
	32	2016	Transit Security Operation Center (PA/ED)	3,180,574	0	3,180,574	March 2019
	33	2016	Video Surveillance System Upgrades (Construction)	140,000	0	140,000	March 2019
	34	2017	Bus Maintenance Facility Improvements (Construction)	450,000	0	450,000	March 2019
	35	2017	Rail Rehabilitation (Construction)	380,000	0	380,000	March 2019
	36	2017	San Juan Creek Rail Bridge Replacement (ROW)	160,000	58,950	101,050	March 2019
	37	2017	Transit Security Operation Center (ROW)	26,459	0	26,459	March 2019
	38	2017	Video Surveillance System Upgrades (Construction)	1,800,000	0	1,800,000	March 2019
PROP 1B TSSSDRA Subtotal			\$ 8,978,676	\$ 430,412	\$ 8,548,264		
State Proposition 1B: Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA)							
	39	2015	Fullerton Transportation Center Elevator Project (Construction)	\$ 500,000	\$ 500,000	\$ 0	August 2020
	40	2015	Raymond Ave Grade Separation Project (Construction)	44,234,008	38,057,931	6,176,077	August 2020
PROP 1B PTMISEA Subtotal			\$ 44,734,008	\$ 38,557,931	\$ 6,176,077		
State Proposition 1B: Trade Corridor Improvement Fund (TCIF)							
	41	2012	Orangethorpe Ave Grade Separation (Construction)	\$ 41,632,000	\$ 28,633,857	\$ 12,998,143	June 2019
	42	2012	Tustin Ave / Rose Dr Grade Separation Project (Construction)	30,862,000	21,455,738	9,406,262	June 2019
	43	2013	Lakeview Ave Grade Separation (Construction)	27,628,157	17,713,988	9,914,169	June 2019
PROP 1B TCIF Subtotal			\$ 100,122,157	\$ 67,803,583	\$ 32,318,574		

First Quarter Grant Reimbursement Status Report
July through September 2018

State and Federal Highway Administration Formula Grant Agreements						
	FISCAL YEAR (FY)	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE	EXPIRATION DATE
State Transportation Improvement Plan (STIP) Programming, Planning & Monitoring (PPM)						
44	2017	PPM Program	\$ 1,899,000	\$ 0	\$ 1,899,000	December 2019
STIP PPM Subtotal			\$ 1,899,000	\$ 0	\$ 1,899,000	
State Transportation Improvement Program (PTA)						
45	2016	Orange Transportation Center Parking Structure (Construction)	\$ 13,762,000	\$ 6,867,357	\$ 6,894,643	December 2020
STIP PTA Subtotal			\$ 13,762,000	\$ 6,867,357	\$ 6,894,643	
Total State and Federal Highway Administration Formula Grant Agreements			\$ 376,604,685	\$ 269,122,328	\$ 107,482,357	

First Quarter Grant Reimbursement Status Report
July through September 2018

State Discretionary Grant Agreements						
	FISCAL YEAR (FY)	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE	EXPIRATION DATE
Air Quality Management District (AQMD) Grant Program and Mobile Source Air Pollution Reduction Review Committee (MSRC) / Transportation Control Measure Partners						
1	2015	Bicycle Corridor Improvement	\$ 851,883	\$ 0	\$ 851,883	July 2020
2	2015	Mobile Ticketing	1,553,657	0	1,553,657	December 2018
3	2016	Bus Rehab & Repower - 40' buses	1,470,000	465,000	1,005,000	March 2019
4	2017	Angels Express Train Service	503,272	192,929	310,343	April 2019
5	2017	OC Fair Express	834,222	405,709	428,513	April 2019
MSRC Subtotal			\$ 5,213,034	\$ 1,063,638	\$ 4,149,396	
Highway Safety Plan (HSP) - California Office of Traffic Safety (OTS)						
6	2017	Pedestrian and Bicycle Safety	\$ 75,000	\$ 0	\$ 75,000	November 2018
OTS Subtotal			\$ 75,000	\$ 0	\$ 75,000	
State Highway Account - Sustainable Communities						
7	2017	Active Transportation Count	\$ 177,000	\$ 38,722	\$ 138,278	February 2019
SHA-SC Subtotal			\$ 177,000	\$ 38,722	\$ 138,278	
Systemic Safety Analysis Reporting Program						
8	2016	Systemic Safety Analysis Report	\$ 315,000	\$ 123,025	\$ 191,975	September 2021
SSARP Subtotal			\$ 315,000	\$ 123,025	\$ 191,975	
Transit and Intercity Rail Capital Program						
9	2017	Mobile Ticketing (Construction)	\$ 2,482,000	\$ 0	\$ 2,482,000	November 2019
CAP & TRADE TIRCP Subtotal			\$ 2,482,000	\$ 0	\$ 2,482,000	
Transit Security Grant Program (TSGP) - State Office of Homeland Security						
10	2017	Be The One Campaign	\$ 75,000	\$ 9,907	\$ 65,093	August 2020
TSGP Subtotal			\$ 75,000	\$ 9,907	\$ 65,093	
Total State Discretionary Grant Agreements			\$ 8,337,034	\$ 1,235,292	\$ 7,101,742	

First Quarter Grant Reimbursement Status Report
July through September 2018

Grant Agreements Pending Close-out						
	FISCAL YEAR (FY)	FUNDING SOURCE	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE
1	2017	FTA Section 5310	FTA CA-2018-064	\$ 2,073,024	\$ 2,073,024	\$ 0
2	2010	PROP 116	Sand Canyon Ave Grade Separation (Construction)	22,004,000	21,574,222	429,778
3	2010	PROP 1B HRCSA	Sand Canyon Ave Grade Separation (Construction)	6,618,000	6,618,000	0
4	2011	PROP 1B TCIF	Kraemer Blvd Grade Separation (Construction)	15,513,000	15,508,470	4,530
5	2011	PROP 1B TCIF	Placentia Ave Grade Separation (Construction)	9,550,000	9,548,000	2,000
6	2016	PROP 1B TSSSDRA	Raymond Ave Grade Separation Project (Construction)	200,000	200,000	0
7	2010	RSTP	Sand Canyon Ave Grade Separation (Construction)	8,665,741	8,665,741	0
8	2011	TCRP	Kraemer Blvd Grade Separation (Construction)	1,462,000	1,462,000	0
9	2016	TSGP	Update OCTA's Security and Emergency Plans	68,833	68,833	0
10	2016	TSGP	VIPR and Counter Terrorism Team Operations	71,167	71,167	0
Total Grant Agreements Pending Close-out				\$ 66,225,765	\$ 65,789,457	\$ 436,308

First Quarter Grant Reimbursement Status Report
July through September 2018

Closed Grant Agreements						
	FISCAL YEAR (FY)	FUNDING SOURCE	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE
1	2009	FTA Section 5317	FTA CA-57-X038	\$ 6,387,801	\$ 6,387,801	\$ 0
2	2013	SAFETEA-FHWA Earmark	I-405, SR-73 to I-605 (PS&E)	990,000	990,000	0
3	2009	SAFETEA-LU Demo	I-405, SR-73 to I-605 (PS&E)	446,950	446,950	0
4	2013	SAFETEA-LU Demo	I-405, SR-73 to I-605 (PS&E)	1,891,010	1,891,010	0
5	2013	SAFETEA-TEA-21	I-405, SR-73 to I-605 (PS&E)	5,532,804	5,532,804	0
6	2016	STIP PPM	PPM Program	831,000	831,000	0
7	2015	TSGP	Update OCTA's Security and Emergency Plans	99,964	99,964	0
8	2015	TSGP	VIPR and Counter Terrorism Team Operations	115,536	115,536	0
9	2015	TSGP	Vulnerability Assessment of OCTA's Industrial Control and Comm	300,000	300,000	0
Total Closed Grants				\$ 16,595,065	\$ 16,595,065	\$ 0



COMMITTEE TRANSMITTAL

January 14, 2019

To: Members of the Board of Directors

From: Laurena Weinert, Clerk of the Board

Subject: Update on the Loan Agreements with the Cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board

Finance and Administration Committee Meeting of January 9, 2019

Present: Directors Do, Hennessey, Jones, R. Murphy, and Steel

Absent: None

Committee Vote

This item was passed by the Members present.

Committee Recommendation

Receive and file as an information item.



January 9, 2019

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Update on the Loan Agreements with the Cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board

Overview

The Orange County Transportation Authority Board of Directors authorized loan agreements with the cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board. Per Board of Directors' direction, staff provides annual updates on the status of the agreements.

Recommendation

Receive and file as an information item.

Background

City of Anaheim

In July 2012, Orange County Transportation Authority (OCTA) entered into a purchase and sale agreement of \$32.5 million with the City of Anaheim (Anaheim) selling real property to enable the construction of the Anaheim Regional Transportation Intermodal Center. Anaheim provided \$1 million as a down payment into escrow, with the remaining \$31.5 million to be paid over a 13-year period. The interest rate on the loan is set at a fixed-interest rate of two percent, with the interest portion of the loan to be paid in the final two years of the loan period. Anaheim uses its Measure M2 (M2) Local Fair Share (LFS) funds to repay the loan, and the funds have been automatically deducted from Anaheim's bimonthly LFS payments since July 2012. The loan repayments will continue to be deducted from M2 LFS payments until the loan balance reaches zero in fiscal year (FY) 2024-25. Should Anaheim become ineligible to receive LFS, or if the LFS funds are insufficient to meet the scheduled payment, California Highway Users Tax Account funds would be utilized to make the payments.

Update on the Loan Agreements with the Cities of Anaheim, *Page 2* Buena Park, Placentia, and the West Orange County Water Board

City of Buena Park

In April 2016, OCTA entered into a purchase and sale agreement of \$1.04 million with the City of Buena Park (Buena Park) selling excess parcel remnants from the Interstate 5 freeway widening project. Buena Park provided \$514,000 as a down payment. Per the agreement, Buena Park will pay the balance over a five-year period until April 2021, with the balance secured by a deed of trust. In April 2017, Buena Park began making annual principal payments of \$105,200 plus interest. The interest calculation is based on OCTA's actual short-term investment portfolio earnings rate for the prior 12-month period, and resets annually. The interest rate for FY 2016-17 was 1.52 percent.

City of Placentia

In February 2010, OCTA entered into a loan agreement with the City of Placentia (Placentia) for \$4.1 million so Placentia could repay California Department of Transportation for ineligible expenditures on rail grade separation projects. The loan amount of \$4.1 million is to be repaid over a 19-year period that began July 1, 2011. The interest rate on the loan is based on OCTA's actual short-term investment portfolio earnings rate for the prior 12-month period, and resets annually. The current interest rate is 2.39 percent. Placentia uses its M2 LFS funds to repay the loan, and the funds are automatically deducted from Placentia's bi-monthly LFS payments. The agreement allows OCTA to withhold 30 percent of Placentia's LFS funds beginning in FY 2011-12. Placentia's contribution increases by one percentage point each FY thereafter until the advance is fully repaid. Placentia's current contribution is 37 percent of their LFS payments. Should Placentia become ineligible to receive LFS, Placentia would be required to pledge other appropriate funding to repay the full amount of the advance and interest thereon.

West Orange County Water Board

In October 2017, OCTA entered into a reimbursement agreement with the West Orange County Water Board (WOCWB) for up to \$4.7 million for the relocation of a pipeline facility necessary to facilitate the Interstate 405 widening project. An amendment to the agreement was approved by the OCTA Board of Directors (Board) on November 27, 2017, to increase the loan amount by \$1.3 million to accommodate the final project cost received by the WOCWB. Per the terms identified in the agreement, the WOCWB will make quarterly payments with the interest rate being equal to the State of California Surplus Money Investment Fund (SMIF). The SMIF interest rate on the September 2018 payment was 1.529 percent. The term of the loan has been structured to not exceed ten years. OCTA began receiving quarterly payments from the WOCWB in June 2018.

Update on the Loan Agreements with the Cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board *Page 3*

Discussion

OCTA continues to withhold payments from M2 LFS funds to repay the loans established with the cities of Anaheim and Placentia. The second annual payment from Buena Park and the second quarterly payment from WOCWB have also been received. OCTA will continue to follow the terms identified in all loan agreements by withholding payments and invoicing responsible parties as applicable. The beginning balance, amount collected, and outstanding balance for each loan can be found on Attachment A.

Summary

The OCTA Board authorized loan agreements with the cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board. Each entity has been making payments per their respective agreements.

Attachment

A. Status of Loan Agreements

Prepared By:



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Approved By:



Andrew Oftelie
Executive Director,
Finance and Administration
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ATTACHMENT A

Status of Loan Agreements

Borrower	Type of Agreement	Time Frame	Interest Rate %*	Beginning Balance	Principal Paid	Interest Paid	Outstanding Balance ¹	Loan Maturity
City of Anaheim	Purchase and Sale Agreement	July 2012 - September 2018	2%	\$ 32,500,000	\$ 17,166,667	\$ -	\$ 15,333,333	May 20, 2025
City of Buena Park	Purchase and Sale Agreement	April 2016 - March 2018	0.79% (4/29/17-6/30/17) 1.52% (7/1/17-4/28/18)	\$ 1,040,000	\$ 724,400	\$ 10,004	\$ 315,600	April 29, 2021
City of Placentia	Loan Agreement	February 2010 - September 2018	2.39%	\$ 4,100,000	\$ 1,449,659	\$ 312,731	\$ 2,777,927	Anticipated by July 2026
WOCWB	Reimbursement Agreement for Utility Relocation	October 2017 - September 2018	1.529%	\$ 5,995,394	\$ 1,809,883	\$ 39,019	\$ 4,185,511	March 1, 2028

WOCWB - West Orange County Water Board

*Interest rate may vary and represents interest rate used on most recent payment calculation.

¹Outstanding balance for Placentia includes \$127,586 of unpaid accrued interest



COMMITTEE TRANSMITTAL

January 14, 2019

To: Members of the Board of Directors
From: Laurena Weinert, Clerk of the Board
Subject: Fiscal Year 2018-19 First Quarter Budget Status Report

Finance and Administration Committee Meeting of January 9, 2019

Present: Directors Do, Hennessey, Jones, R. Murphy, and Steel
Absent: None

Committee Vote

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

Staff Recommendation

Receive and file as an information item.



January 9, 2019

To: Finance and Administration Committee
From: Darrell E. Johnson, Chief Executive Officer
Subject: Fiscal Year 2018-19 First Quarter Budget Status Report

Overview

The Orange County Transportation Authority's staff has implemented the fiscal year 2018-19 budget. This report summarizes the material variances between the budget and actual revenues and expenses through the first quarter of fiscal year 2018-19.

Recommendation

Receive and file as an information item.

Background

The Board of Directors (Board) approved the Orange County Transportation Authority (OCTA) Fiscal Year (FY) 2018-19 Budget on June 11, 2018. The approved budget itemized the anticipated revenues and expenses necessary to deliver OCTA's transportation programs and projects.

The balanced budget as originally approved by the Board in June was \$1.31 billion. Sources of funds were comprised of \$1.07 billion in current FY revenues and \$237.8 million in use of prior year designations. Uses of funds were comprised of \$1.23 billion of current FY expenditures and \$80.3 million of designations.

The Board approved two amendments in the first quarter, increasing the expense budget by \$132.5 million. These amendments brought the total working budget to \$1.44 billion as summarized in Table 1 on the following page.

Table 1 - Working Budget

Date	Description	Amount*
7/1/2018	Adopted Budget	\$ 1,305,861
8/13/2018	Purchase of eight streetcar vehicles and spare parts	51,528
9/24/2018	Construction of the OC Streetcar project	81,000
	<i>Subtotal Amendments</i>	<i>132,528</i>
	Total Working Budget	\$ 1,438,389

*in thousands

Discussion

Staff monitors and analyzes revenues and expenditures versus the working budget. The Quarterly Budget Status Report (Attachment A) provides a summary-level overview of staffing levels and explanations for material budget-to-actual variances within each pertinent OCTA Program. The OCTA programs included in Attachment A are Bus, Commuter Rail, 91 Express Lanes, Motorist and Taxi Services, and Measure M2 (M2).

Total salaries and benefits underran the first quarter budget by \$2.3 million. This is due to vacancies OCTA-wide. As a result, an underrun can be expected to continue, but can change slightly throughout the year based on future net vacancies.

Bus Program operating revenue underran the budget by \$0.2 million, primarily due to sales tax revenue growth coming in lower than projected. Bus Program operating expenses underran the budget by \$2.3 million due to staffing vacancies, contracted fixed-route service, and as-needed services which include bus pass printing, oil filters, and shop supplies. Capital revenue and expense actuals were in alignment with the budget for the first quarter.

Rail Program operating revenue actuals were in alignment with the budget. However, operating expenses underran by \$13.2 million due to contract execution timing with Southern California Regional Rail Authority for OCTA's annual portion of the Metrolink operating subsidy. The contract was executed and first quarter invoices paid after the close of the quarter. Capital revenue for the Rail Program overran by \$5.3 million due to receipt of grant funds which were budgeted in a prior FY for construction of the Orange Transportation Center parking structure project. Capital expenses overran the budget by less than \$0.1 million for the first quarter due to earlier than anticipated contract contingency expenses for construction of the Orange Transportation Center parking structure project.

The 91 Express Lanes operating revenue was aligned with the budget for the first quarter, coming within 1.2 percent of the budgeted amount. Operating expenses underran by \$0.5 million due to expenses for as-needed services on

the toll road operating contract and project management consultant services for the back-office system procurement project being less than anticipated. Capital revenue and expenses each underran the budget by \$0.2 million associated with as-needed contract contingency expense for the electronic toll and traffic management system implementation project.

Revenue and expenses for the Motorist Services Program were in alignment with the budget for the first quarter, each being within two percent of the budgeted amount.

Expenses for the M2 Program underran the budget by \$28 million, primarily due to lower than anticipated project payment requests from the local jurisdictions for Regional Capacity and Regional Traffic Signal Synchronization programs. Another cause of the underrun in M2 expenses is right-of-way acquisition and support services for the Interstate 405 (I-405) Improvement Project being less than anticipated for the first quarter.

Advances for both Local Transportation Authority (LTA) M2 Program sales tax revenue and Local Transportation Fund (LTF) Bus Program sales tax revenue underran the budget by \$5.8 million and \$2.4 million, respectively, through the first quarter of the FY (see Table 2 below). However, it is anticipated that sales tax for the first quarter will continue to be received over the next few months as the California Department of Tax and Fee Administration (CDTFA) continues to process sales tax allocations. Staff is continuing to work with the CDTFA to ensure all sales tax receipts are accounted for and posted against the appropriate quarter.

Table 2 - First Quarter LTA and LTF Sales Tax Revenue						
		Budget		Actual	\$ Variance	% Variance
LTA	\$	82,138,918	\$	76,383,602	\$ (5,755,316)	-7.01%
LTF	\$	42,168,511	\$	39,758,579	\$ (2,409,932)	-5.72%

Summary

Overall, revenue was in alignment with the budget due to a combination of an underrun in sales tax revenue netted against grant revenue received in the first quarter which was connected to the previous FY for the Orange Transportation Center parking structure project. Operating expenses underran the budget by \$46 million, primarily due to an underrun in contributions to local agencies based on the timing of invoices and the quarterly Metrolink operating subsidy payment which occurred after the quarter closed. Capital expenses underran the budget by \$12 million, primarily due to right-of-way acquisition expenditures for the I-405 Improvement Project. Salaries and benefits underran by \$2 million due to vacancies OCTA-wide.

Attachment

A. Quarterly Budget Status Report First Quarter of Fiscal Year 2018-19

Prepared by:

A handwritten signature in black ink, appearing to read 'A. Baruch', written in a cursive style.

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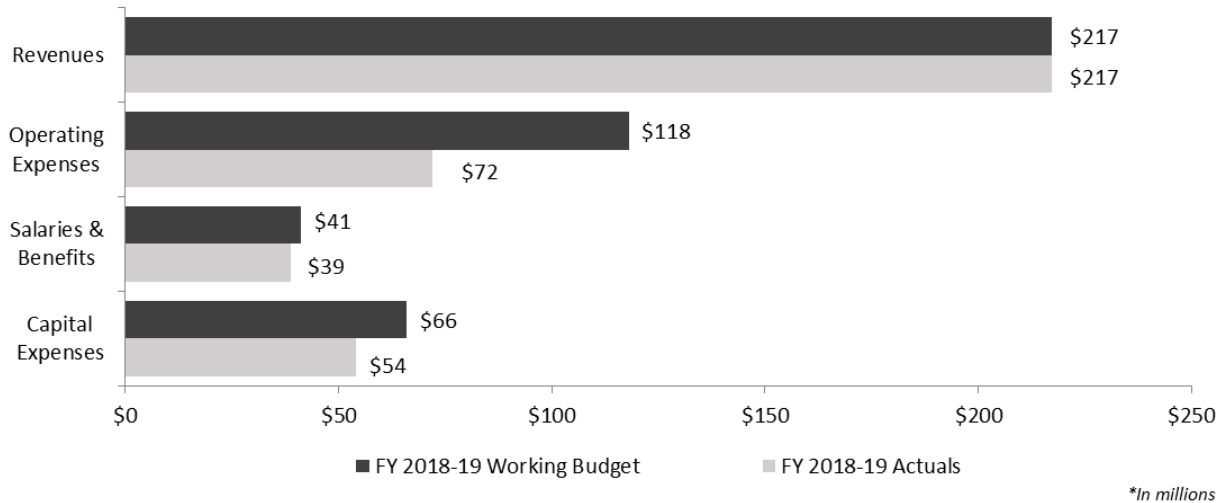
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Quarterly Budget Status Report

First Quarter of Fiscal Year 2018-19



STAFFING

A staffing plan of 1,353 full-time equivalent positions was approved by the Board of Directors (Board) for fiscal year (FY) 2018-19. At the end of the first quarter, 1,225 of these positions were filled, representing a vacancy rate of 9.5 percent.

Staffing Description	Budget	Filled	Vacant	% Vacancy
Coach Operators	639.0	577.0	62.0	9.7%
Maintenance	171.0	146.0	25.0	14.6%
TCU	37.0	36.0	1.0	2.7%
<i>Union Subtotal</i>	<i>847.0</i>	<i>759.0</i>	<i>88.0</i>	<i>10.4%</i>
Bus Operations Support	164.5	153.0	11.5	7.0%
Other Administrative	341.5	313.0	28.5	8.3%
<i>Administrative Subtotal</i>	<i>506.0</i>	<i>466.0</i>	<i>40.0</i>	<i>7.9%</i>
Total OCTA	1,353.0	1,225.0	128.0	9.5%

TOTAL SALARIES AND BENEFITS

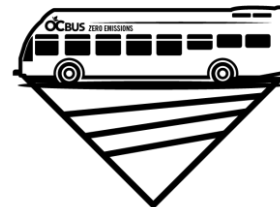
Total salaries and benefits of \$38.8 million were \$2.3 million lower than the budget of \$41.2 million. This variance is comprised of a \$1.2 million underrun in Bus Program salaries and benefits, as well as a \$1.1 million underrun in General Fund salaries and benefits. In both groups, the underruns are the result of vacant positions.

	Budget	Actual	\$ Variance	% Variance
Bus Program	\$ 26,935	\$ 25,686	\$ 1,249	4.6%
General Fund	14,257	13,159	1,098	7.7%
Total	\$ 41,192	\$ 38,845	\$ 2,347	5.7%

PROGRAM VARIANCES

Year-to-date material variances are listed below by program. All dollar amounts in tables are shown in thousands.

Bus Program



	Budget	Actual	\$ Variance	% Variance
Operating				
Revenue	\$ 57,494	\$ 57,325	\$ (169)	-0.3%
Expenses	57,494	55,178	2,317	4.0%
Net Operating	\$ -	\$ 2,147		
Capital				
Revenue	396	350	(46)	-11.7%
Expenses	17	24	(7)	-37.9%
Net Capital	\$ 379	\$ 326		

Operating Revenue: Operating revenue for the Bus Program underran by \$0.2 million. This underrun is the net result of two factors. The first is tied to the receipt of grant revenues for expenditures incurred in the last FY. The second factor is sales tax revenue. Sales tax

receipts through the first quarter underran the budget by \$2.4 million, which is 2.4 percent less than the same period last year. However, it is anticipated that sales tax for the first quarter will continue to be received over the next few months as the California Department of Tax and Fee Administration (CDTFA) continues to process sales tax allocations. Staff is continuing to work with the CDTFA to ensure all sales tax receipts are accounted for and posted against the appropriate quarter.

Operating Expenses: The \$2.3 million underrun in Bus Program operating expenses can be attributed to salaries and benefits (\$1.2 million), contracted fixed-route services (\$0.6 million), and Bus Program as-needed expenditures (\$0.5 million).

Salaries and benefits underran the budget by \$1.2 million. This is primarily due to vacant positions. The vacancy rate at the end of the first quarter was 10.4 percent for Bus Program union employees and 7 percent for Bus Program administrative employees.

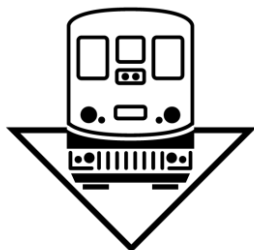
The underrun of \$0.6 million for contracted fixed-route services is due to less revenue hours being operated than anticipated during the development of the budget.

The underrun of \$0.5 million for Bus Program as-needed expenditures includes items such as bus pass printing, oil filters, shop supplies, and other consumables for the fleet of buses. Actual expenses for these items were less than anticipated in the first quarter.

Capital Revenue: Capital revenue underran the budget by less than \$0.1 million due to a reimbursement from Anaheim Transportation Network that was received after the quarter closed.

Capital Expenses: Capital expenses were in alignment with the budget for the first quarter, within \$0.1 million of the budgeted amount.

Rail Program



	Budget	Actual	\$ Variance	% Variance
Operating				
Revenue	\$ 14,203	\$ 14,180	\$ (23)	-0.2%
Expenses	14,203	1,012	13,190	92.9%
Net Operating	\$ -	\$ 13,167		
Capital				
Revenue	-	5,332	5,332	100.0%
Expenses	-	19	(19)	100.0%
Net Capital	\$ -	\$ 5,313		

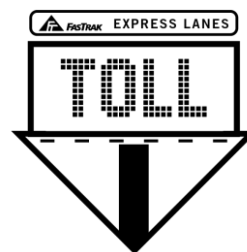
Operating Revenue: Rail Program operating revenue was in alignment with the budget, coming within one percent of the budgeted amount for the first quarter.

Operating Expenses: Rail Program operating expenses underran the budget by \$13.2 million. The underrun is primarily associated with a \$12.8 million underrun caused by contract execution timing with Southern California Regional Rail Authority (SCRRA) for the Metrolink operating subsidy payment. The funding agreement between OCTA and SCRRA for FY 2018-19 annual operating subsidy was not finalized and signed until after the close of the first quarter.

Capital Revenue: The \$5.3 million overrun in Rail Program capital revenue can be attributed to the Orange Transportation Center parking structure project. State capital grant funds for the construction phase of the project were budgeted in a prior FY, but not invoiced and received until the first quarter based on eligible expenses.

Capital Expenses: Rail Program capital expenses overran the budget by less than \$0.1 million due to timing of contract contingency expenses for construction of the Orange Transportation Center parking structure project. A portion of the contingency was utilized in the first quarter, earlier than anticipated.

91 Express Lanes Program



	Budget	Actual	\$ Variance	% Variance
Operating				
Revenue	\$ 14,063	\$ 14,233	\$ 170	1.2%
Expenses	4,576	4,102	474	10.3%
Net Operating	\$ 9,487	\$ 10,131		
Capital				
Revenue	283	77	(206)	-72.7%
Expenses	283	77	206	72.7%
Net Capital	\$ -	\$ -		

Operating Revenue: The 91 Express Lanes operating revenue was aligned with the budget for the first quarter, coming within 1.2 percent of the budgeted amount.

Operating Expenses: The 91 Express Lanes operating expenses underran the budget by \$0.5 million. The underrun is primarily due to the toll road operating contract (\$0.2 million), and project management consultant services (\$0.2 million).

The underrun of \$0.2 million for the toll road operations contract is due to the as-needed portion of the contract coming in less than allotted for the first quarter.

The underrun of \$0.2 million for project management consultant services is associated with the back-office system procurement. Consultant services are utilized as needed and through the first quarter, less of these services were needed than the budgeted amount.

Capital Revenue: Capital revenue for the 91 Express Lanes Program underran the budget by \$0.2 million. Capital revenue is directly tied to capital expenses.

Capital Expenses: Capital expenses for the 91 Express Lanes Program underran the budget by \$0.2 million due to as-needed contract contingency for the Electronic Toll and Traffic Management system implementation project which was not utilized.

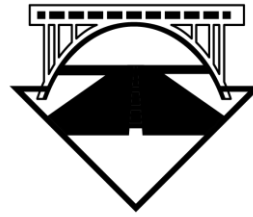
Motorist Services Program



	Budget	Actual	\$ Variance	% Variance
Operating				
Revenue	\$ 1,022	\$ 1,031	\$ 9	0.9%
Expenses	1,022	1,035	(13)	-1.3%
Net Operating	\$ -	\$ (4)		

Operating Revenue and Expenses: Operating revenue and expenses for the Motorist Services Program were aligned with the budget for the first quarter, both coming within two percent of the budgeted amounts.

Measure M2 (M2) Program



Revenue: Local Transportation Authority M2 Program sales tax revenue underran the budget by \$5.8 million. However, it is anticipated that sales tax for the first quarter will continue to be received over the next few months as the California Department of Tax and Fee Administration (CDTFA) continues to process sales tax allocations. Staff is continuing to work with the CDTFA to ensure all sales tax receipts are accounted for and posted against the appropriate quarter.

Mode	Budget	Actual	\$ Variance	% Variance
Streets & Roads	33,652	15,642	18,010	53.5%
Freeways	13,333	4,390	8,943	67.1%
Debt Service	10,315	10,315	0	0.0%
Administration	2,224	1,825	399	17.9%
Transit	2,209	1,587	622	28.2%
Total	\$ 61,733	\$ 33,759	\$ 27,974	45.3%


Expenses: The M2 Program expenditures underran the budget by \$28 million. Streets and Roads contributed \$18 million to the underrun due to lower than anticipated project payment requests from the cities and county for the Regional Capacity and Regional Traffic Signal Synchronization programs. Freeways contributed \$8.9 million to the underrun, primarily due to right-of-way acquisition and support services for the I-405 Improvement project. Transit contributed \$0.6 million to the underrun, primarily due to less than anticipated rail program support services.



COMMITTEE TRANSMITTAL

January 14, 2019

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Approval of Use of Federal Funds for Orange County Transportation Authority Projects Related to the Federal Fiscal Year 2018-19 Obligation Authority Plan

Regional Planning and Highways Committee Meeting of January 7, 2019

Present: Directors Delgleize, M. Murphy, and Steel
Absent: Directors Bartlett, Nelson, Pulido, and Spitzer

Committee Vote

Due to lack of quorum, no action was taken on this item.

Staff Recommendations

- A. Approve the use of \$134.670 million in Congestion Mitigation and Air Quality Improvement Program funds for 201 40-foot replacement buses.
- B. Approve the use of \$5.500 million in Congestion Mitigation and Air Quality Improvement Program funds for the project approval and environmental document phase for the Interstate 5 Improvement Project from Avenida Pico to San Diego County Line Project.
- C. Approve the use of \$0.750 million in Surface Transportation Block Grant Program funds for the South County Multi-Modal Study.
- D. Approve the use of \$7.921 million in Highway Infrastructure Program funds for the Interstate 5 Improvement Project from Oso Parkway to Alicia Parkway to replace Surface Transportation Block Grant Program funds.
- E. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute any necessary amendments and/or agreements to facilitate associated programming actions.



January 7, 2019

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Approval of Use of Federal Funds for Orange County Transportation Authority Projects Related to the Federal Fiscal Year 2018-19 Obligation Authority Plan

Overview

The federal government requires states to obligate federal funds by September 30 of each year. To ensure the timely commitment of all available federal funding by September 2019, the Orange County Transportation Authority prepares an annual obligation plan and requests corresponding Board of Directors authorization to use federal funds.

Recommendations

- A. Approve the use of \$134.670 million in Congestion Mitigation and Air Quality Improvement Program funds for 201 40-foot replacement buses.
- B. Approve the use of \$5.500 million in Congestion Mitigation and Air Quality Improvement Program funds for the project approval and environmental document phase for the Interstate 5 Improvement Project from Avenida Pico to San Diego County Line Project.
- C. Approve the use of \$0.750 million in Surface Transportation Block Grant Program funds for the South County Multi-Modal Study.
- D. Approve the use of \$7.921 million in Highway Infrastructure Program funds for the Interstate 5 Improvement Project from Oso Parkway to Alicia Parkway to replace Surface Transportation Block Grant Program funds.

- E. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute any necessary amendments and/or agreements to facilitate associated programming actions.

Background

The State of California (State) annually receives Congestion Mitigation and Air Quality (CMAQ) Program 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 \$48.872 million in CMAQ funds, and \$41.266 million in STBG funds for regional projects. However, the federal government typically only provides obligation authority (OA) to use approximately 91 percent (\$82.112 million) of the apportioned funds annually. Fortunately, State law allows an agency 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 preserves Measure M2 (M2) and local 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.

In August 2017, the OCTA Board of Directors (Board) approved projects for the federal fiscal year (FFY) 2017-18 OA Plan, which supported OCTA's goal to obligate 100 percent of the OA target. As of September 30, 2018, the end of the FFY, OCTA obligated \$131.213 million, or approximately 164 percent, of OCTA's share of FFY 2017-18 OA. The California Department of Transportation (Caltrans) has reported that, based on OCTA's FFY 2017-18 OA Plan, OCTA received \$20.913 million in additional federal funds. These additional federal funds are available because some states do not spend all their federal transportation funding before the deadline. These funds are reverted back to the federal government, which distributes them to states and agencies that are successful in obligating at least 100 percent of these federal funds through a process known as August redistribution.

On April 25, 2018, the FHWA issued guidance for the Highway Infrastructure Program (HIP). The HIP is a new one-time fund source that was included in the U.S. Department of Transportation Appropriations Act of 2018. Approximately \$1.980 trillion dollars were set aside nationwide and apportioned for activities eligible under Title 23 United States Code STBG Section 133(b)(1)(A), which includes activities such as construction of highways, bridges, and tunnels. These funds are available for obligation until September 30, 2021, and Orange County's apportionment is approximately \$7.921 million.

Discussion

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 FFY. OCTA's FFY 2018-19 OA Plan (Attachment A) consists of 21 projects that were previously approved for federal funding and three candidate projects presented for approval by the Board for use of federal funding. The OA Plan enables OCTA to use all available FFY 2018-19 OA (\$82.026 million) and be able to use up to \$121.336 million in federal OA that may be available from other regions or future years to capture 100 percent of the funds available to Orange County in FFY 2018-19. Staff is also requesting a change of funding source for a previously approved project.

It should be noted that the Fixing America's Surface Transportation Act contains a provision to rescind \$7.569 billion of federal funding in 2020. The rescission will cancel budget authority for transportation programs with unobligated balances prior to September 30, 2019, and stands to impact major programs, including CMAQ funding. The FFY 2018-19 OA plan is designed to obligate all available CMAQ funding prior by September 30, 2019.

For the FFY 2018-19 OA Plan, staff is seeking Board approval to apply federal funds to the following projects:

- 201 40-foot replacement buses - \$134.670 million in CMAQ funds. This project is eligible for federal funding and consistent with OCTA's Capital Programming Policy (CAP) regarding the use of CMAQ funds as it fulfills rail and bus transit capital project priorities. In 2019, 201 40-foot buses within the current fleet will have met their minimum federal useful life. Utilizing federal funds for this purpose allows OCTA to replace buses as planned and retains local transit funding which, in turn, can help stabilize transit funding for the next decade. These funds will be obligated over multiple years as the total amount exceeds what is available annually;
- The project approval and environmental document phase of the Interstate 5 (I-5) Improvement Project from Avenida Pico to the San Diego County Line Project - \$5.500 million in CMAQ funds. This project is eligible and consistent with OCTA's CAP regarding the use of CMAQ funds, as it is complementary to a Measure M project on the I-5 (Project C);

- The South County Multi-Modal Study - \$0.750 million in STBG funds. Funding for this project is consistent with OCTA's CAP regarding the use of STBG funds, as it will identify potential future transportation needs and challenges including arterial congestion, transit connectivity, local streets and roads, and active transportation needs; and

Staff is also requesting a change in funding source, which helps fund a project that was originally planned to be part of the 2018-19 OA Plan:

- The I-5 Improvement Project from Oso Parkway to Alicia Parkway (I-5 Improvement Project) - \$7.921 in HIP funds in FY 2018-19. The HIP funds will replace previously approved STBG funds for this project. While OCTA has not developed a specific policy for the one-time HIP funds, the CAP requires that OCTA maximize use of all State and federal funds to fulfill commitments to M2 projects within the Next 10 Plan. The I-5 Improvement Project is listed as Project C in the Measure M Next 10 Delivery Plan, and scheduled to start construction in early 2019. The STBG funds will be used towards future M2 freeway projects within the Next 10 Plan.

There are several factors that influence OCTA's ability to achieve the planned uses of the above federal funds that are outside of OCTA's control. Being able to reach the goal of 100 percent obligation of funds is contingent upon factors such as funds being available through the Highway Trust Fund, the release of apportionment by the federal government, each project meeting the federal requirements for obligation, staying on budget, and Caltrans and the FHWA providing project-level approvals. Additionally, the Southern California Association of Governments, Caltrans, and the FHWA must approve the inclusion of the new projects into the Federal Transportation Improvement Program. The Capital Funding Program Report detailing the changes to projects is provided in Attachment B.

Summary

Board approval is sought to maximize the use of OCTA's federal funding in FFY 2018-19 for OCTA projects, to preserve leverage M2 and local funds, position OCTA to receive August redistribution funding, and to avoid potential loss of federal funding budget authority.

Attachments

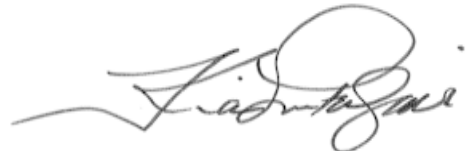
- A. FFY 2018-19 (FY 2019) OA Plan (\$000s)
- B. Capital Funding Program Report

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Approved by:



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FFY 2018-19 (FY 2019) OA Plan (\$000s)

Subject to change by OCTA staff

Agency	Project Location	Project Scope / Description	STBG \$	CMAQ \$	OCTA's Estimated Cumulative OA Balance for FY 2019 ¹	FY 2019 STBG Apportionment	FY 2019 CMAQ Apportionment
			FFY 2018-19 OA		\$ 82,026	\$ 41,266	\$ 48,872
		Estimated Carryover Balance From FFY 2017-18			\$ (8,307)	\$ (9,607)	\$ 27,623
		Return of Loan ¹		\$ (5,724)			
		Subtotal:			\$ 79,443	\$ 31,659	\$ 82,219
Obligate Before May 1, 2019							
OCTA	Various	South County Multi-Modal Study (PSR)	\$ 750		\$ 78,693	\$ 30,909	\$ 82,219
OCTA	Placentia	Lakeview Avenue Grade Separation (ROW)	\$ 6,857	\$ 6,329	\$ 65,507	\$ 24,052	\$ 75,890
OCTA	Placentia	Lakeview Avenue Grade Separation (Construction)	\$ 1,568		\$ 63,939	\$ 22,484	\$ 75,890
OCTA	Placentia	Tustin Avenue/Rose Drive Grade Separation (ROW)	\$ 9,401		\$ 54,538	\$ 13,083	\$ 75,890
OCTA	Placentia	Tustin Avenue/Rose Drive Grade Separation (Construction)	\$ 3,759		\$ 50,779	\$ 9,324	\$ 75,890
OCTA	Placentia, Anaheim	Orangethorpe Avenue Grade Separation (Construction and Construction Engineering)	\$ 3,477		\$ 47,302	\$ 5,847	\$ 75,890
Fullerton	Fullerton	State College Boulevard Grade Separation (Construction)	\$ 5,557	\$ 9,443	\$ 32,302	\$ 290	\$ 66,447
Irvine	Irvine	Peters Canyon Off-Street Bikeway Lighting Improvements (Construction)		\$ 652	\$ 31,650	\$ 290	\$ 65,795
Santa Ana	Santa Ana	BCIP: Bristol Street Protected Bicycle Lanes (Construction)		\$ 2,103	\$ 29,547	\$ 290	\$ 63,692
Santa Ana	Santa Ana	BCIP: Hazard Avenue Protected Bike Lanes (Construction)		\$ 935	\$ 28,612	\$ 290	\$ 62,757
County of Orange / OC Parks	Placentia	BCIP: OC Loop Carbon Creek Channel (Segment D) Bikeway Gap Closure (Final Design)		\$ 1,056	\$ 27,556	\$ 290	\$ 61,701
Costa Mesa	Costa Mesa	BCIP: Fairview Park Multi-purpose Trail (Construction)		\$ 836	\$ 26,720	\$ 290	\$ 60,865
Placentia	Placentia	BCIP: OC Loop Carbon Creek Channel (Segment D) Bikeway Gap Closure (ROW)		\$ 495	\$ 26,225	\$ 290	\$ 60,369
County of Orange	Irvine, Orange	BCIP: Peters Canyon Bikeway Extension (Design)		\$ 884	\$ 25,341	\$ 290	\$ 59,486
Anaheim	Anaheim	BCIP: Nohi Ranch Open Space Trail (ROW)		\$ 439	\$ 24,902	\$ 290	\$ 59,047
Anaheim	Anaheim	BCIP: Nohi Ranch Open Space Trail (Final Design)		\$ 211	\$ 24,691	\$ 290	\$ 58,835
Santa Ana	Santa Ana	BCIP: Bristol Street - Edinger Avenue Class II Bike Lanes (Construction)		\$ 636	\$ 24,055	\$ 290	\$ 58,200
Santa Ana	Santa Ana	BCIP: Citywide Bike Racks (Construction)		\$ 937	\$ 23,118	\$ 290	\$ 57,263
Garden Grove	Garden Grove	BCIP: City of Garden Grove, Bicycle Corridor Improvements (Construction)		\$ 1,018	\$ 22,100	\$ 290	\$ 56,245
County of Orange	Various	BCIP: OC Loop El Cajon Bikeway Gap Closure (Segment H) (Final Design)		\$ 371	\$ 21,729	\$ 290	\$ 55,874
Huntington Beach	Huntington Beach	BCIP: Utica Avenue Bicycle Boulevard (Construction)		\$ 682	\$ 21,047	\$ 290	\$ 55,192
Tustin	Tustin	BCIP: Main Street/El Camino Real Improvements (Construction)		\$ 2,214	\$ 18,834	\$ 290	\$ 52,978
Caltrans	Caltrans	I-5 Improvement Project from Avenida Pico to San Diego County Line (PAED)		\$ 5,500	\$ 13,334	\$ 290	\$ 47,478
OCTA	Various	201 40-Foot Compressed Natural Gas Replacement Buses ²		\$ 134,670	\$ (121,336)	\$ 290	\$ (87,192)
		Total	\$ 31,369	\$ 163,687	\$ (121,336)	\$ 290	\$ (87,192)

¹ In FFY 2010-11, OCTA loaned SANDAG \$7.9 million in CMAQ apportionment for ready-to-go projects. \$2.7 million of that apportionment was returned to OCTA in FFY 2014-15. Additionally, in FFY 2016-17 OCTA loaned SANDAG \$15 million in CMAQ apportionment for ready-to-go projects. SANDAG is scheduled to return the balance of both of these loans for a total of \$20.2 million in CMAQ apportionment in FFY 2018-19. Additionally, OCTA loaned SBCTA \$14.476 million in FFY 2018-19 CMAQ apportionment funds in exchange for FTA Section 5307 funds.

² These funds will be obligated over multiple years.

Acronyms

BCIP - Bicycle Corridor Improvement Program
CMAQ - Congestion Mitigation and Air Quality
FFY - Federal fiscal year
FTA - Federal Transit Administration
FY - Fiscal year
OA - Obligation Authority
I-5 - Interstate 5

OCTA - Orange County Transportation Authority
ROW - Right-of-way
SANDAG - San Diego Association of Governments
SBCTA - San Bernadino County Transportation Authority
STBG - Surface Transportation Block Grant
PAED - Project Approval and Environmental Document
PSR - Project Study Report



Capital Funding Program Report

Pending Board of Directors (Board) Approval - January 14, 2019

Bus Transit Project

Project Title		M Code	Total Funding	State Funds		Federal Funds		Local Funds		
				STIP/Other	State Bonds	RSTP/CMAQ	Other Fed.	M1	M2	Local - Other
Go Local - Step 1		S	\$5,730					\$5,730		
Mobile Ticketing Equipment		S	\$4,036	\$2,482						\$1,554
Project V Community Circulators		V	\$35,089						\$35,089	
Project W Safe Transit Stops (City)		W	\$1,207						\$1,207	
Project W Safe Transit Stops (OCTA)		W	\$370						\$370	
10 Zero Emission Hydrogen Fuel Cell Buses			\$12,914	\$5,607						\$7,307
ACCESS and fixed-route radio systems upgrade			\$22,465		\$16,239		\$4,775			\$1,451
Associated Transportation Improvements			\$556				\$556			
Bus replacement - articulated alternative fuel buses (60')			\$31,105			\$22,250	\$8,855			
Bus replacement (40' and ACCESS)			\$149,009			\$29,198	\$68,139			\$51,672
Capital cost of contracting (ACCESS and contracted fixed-route contracts) ¹			\$305,784				\$142,164			\$163,620
Engine rebuild			\$16,294				\$14,824			\$1,470
Five Hydrogen Fuel Cell Bravo! Buses			\$5,412	\$4,330		\$1,082				
FTA Section 5310 Enhanced Mobility of Seniors & Individuals with Disabilities			\$3,657				\$3,657			
FTA Section 5316 Jobs Access and Reverse Commute			\$13,962				\$13,962			
FTA Section 5317 New Freedom			\$6,388				\$6,388			
Goldenwest Transportation Center parking structure			\$4,000			\$3,400				\$600
Goldenwest Transportation Center surface lot			\$2,000		\$1,200					\$800
Heating Ventilation Unit Replacements			\$448	\$67			\$381			\$927
I-Shuttle Replacement Buses			\$6,600	\$5,673						\$2,143
Mobile Source Air Pollution Reduction Review Committee County Transportation Commission Partnership Program			\$2,319	\$176						
Non-fixed-route paratransit operations assistance			\$240,952				\$48,486			\$192,466
OCTA Transit Security & Operations Center			\$7,772		\$7,772					
Preventive maintenance - including salaries and benefits (includes ATN & Laguna Beach) ¹			\$147,691				\$147,691			
Purchase (201) 40-foot Alternative Fuel Replacement Buses (OCTA) ²			\$229,384			\$134,670	\$47,696			\$47,018
Purchase Replacement Paratransit Vans ¹			\$58,058				\$44,292			\$13,766
Rideshare/vanpool			\$6,732			\$6,732				
Six Bravo! 529 Buses			\$3,595	\$3,046		\$549				
Transit Security Program			\$3,997		\$3,997					
Vanpool Program - capital lease			\$12,838			\$12,838				
VSS Upgrades at OCTA Facilities – Santa Ana, Garden Grove, Anaheim, & Irvine Bases and Administration			\$1,588		\$628		\$960			
Bus Transit Project Totals			\$1,341,952	\$21,381	\$29,836	\$210,719	\$552,826	\$5,730	\$36,666	\$484,794

Board Actions:

1. FTA Sections 5307, 5310, 5337, and 5339 program of projects for FFY 2018-19; updated to reflect FY 18-19 program of projects.
2. Approval of use of federal funds for OCTA projects related to the FFY 2018-19 Obligation Authority Plan: approve the use of \$134.670 million in CMAQ funds for 201 40-foot compressed natural gas replacement buses.

State Funding Total	\$51,217
Federal Funding Total	\$763,545
Local Funding Total	\$527,190
Total Funding (000's)	\$1,341,952



Capital Funding Program Report

Pending Board of Directors (Board) Approval - January 14, 2019

State Highway Project

Project Title		M Code	Total Funding	State Funds		Federal Funds		Local Funds		
				STIP/Other	State Bonds	RSTP/CMAQ	Other Fed.	M1	M2	Local - Other
I-5 from SR-55 to SR-57, Add 1 HOV lane each direction		A	\$39,052			\$33,743			\$5,309	
I-5 (I-405 to SR-55) capacity enhancement		B	\$33,000	\$12,628		\$15,372			\$5,000	
I-5 from SR-73 to El Toro Road Landscaping/Replacement Planting		C	\$12,245	\$6,000					\$6,245	
I-5 Widening (Alicia to El Toro) Seg 3		C	\$179,480	\$79,299		\$49,897			\$50,284	
I-5 Widening (Alicia to El Toro) Segment 2		C	\$205,695			\$47,676	\$7,921		\$150,098	
I-5 Widening (Oso to Alicia) Segment 1		C	\$215,440	\$91,977	\$26,991	\$28,167			\$68,305	
I-5 Widening (SR-73 to Oso) Segment 1										
I-5 at Los Alisos / El Toro: add ramps		D	\$4,400			\$4,400				
SR-55 (I-5 to SR-91)		F	\$5,000			\$5,000				
SR-55 OC Central Corridor Improvements from I-405 to I-5		F	\$410,932	\$80,000		\$103,805	\$46,800		\$110,327	\$70,000
SR-57 Orangewood to Katella		G	\$2,500			\$2,500				
SR-57 Truck Climbing Aux Lane: Lambert -LA County Line		G	\$4,300	\$4,050					\$250	
SR-91 (SR-57 to SR-55) Operational Improvements		I	\$9,000			\$7,000			\$2,000	
I-405 from SR-73 to I-605 Improvements		K	\$1,900,000	\$82,000	\$7,771	\$35,000	\$10,648		\$1,135,651	\$628,930
I-405 (I-5 to SR-55)		L	\$8,000			\$8,000				
I-405 s/b Aux. Lane - University to Sand Canyon and Sand Canyon to SR-133		L	\$2,328	\$2,328						
I-605/ katella Interchange		M	\$1,824						\$1,824	
241/91 Express Lanes (HOT) Connector			\$33,728							\$33,728
SR-74 widening, Calle Entradero-City/County line			\$42,694	\$5,513						\$37,181
SR-74 widening, City/County line to Antonio Parkway			\$40,905	\$10,000		\$5,285				\$25,620
State Highway Project Totals			\$3,150,523	\$373,795	\$34,762	\$345,845	\$65,369		\$1,535,293	\$795,459

State Highway Project Totals

State Funding Total	\$408,557
Federal Funding Total	\$411,214
Local Funding Total	\$2,330,752
Total Funding (000's)	\$3,150,523

State Highway Project Completed

Project Title		M Code	Total Funding	State Funds		Federal Funds		Local Funds		
				STIP/Other	State Bonds	RSTP/CMAQ	Other Fed.	M1	M2	Local - Other
I-5 HOV lane each direction s/o PCH to San Juan Creek Rd.		C	\$70,658		\$20,789	\$11,796			\$38,073	
I-5 HOV lanes: s/o Avenida Pico to s/o Vista Hermosa		C	\$90,441	\$43,735		\$31,741	\$1,600		\$13,365	
I-5 HOV, HOV lanes from s/o Av. Vista Hermosa to s/o PCH		C	\$71,100	\$46,779		\$13,472			\$10,849	
I-5/Route 74 Interchange Landscaping/Replacement Planting		D	\$1,440	\$688			\$752			
I-5/SR-74 Interchange Improvements		D	\$80,300	\$48,683	\$24,109			\$2,500		\$5,008
SR- 57 n/b widening, Katella Avenue to Lincoln Avenue - Landscaping		G	\$2,172						\$2,172	
SR- 57 N/B widening, SR-91 to Yorba Linda Boulevard- Landscaping		G	\$946						\$946	
SR-57 n/b widening, Yorba Linda to Lambert Road landscaping		G	\$1,193						\$1,193	
SR-91 WB connect existing auxiliary lanes, I-5 to SR-57		H	\$62,977		\$27,227				\$35,750	



Capital Funding Program Report

State Highway Project Completed

			State Funds		Federal Funds		Local Funds		
Project Title	M Code	Total Funding	STIP/Other	State Bonds	RSTP/CMAQ	Other Fed.	M1	M2	Local - Other
SR-91 WB connecting existing auxiliary lanes, I-5 to SR-57- Landscaping	H	\$2,290						\$2,290	
SR-91 WB (SR-55 - Tustin Interchange) Improvements	I	\$43,753	\$15,753	\$14,000				\$14,000	
SR-91 eastbound widening, SR-241 to SR-71	J	\$57,773				\$45,911		\$6,942	\$4,920
SR-91 w/b Rte 91/55 - e/o Weir Replacement Planting	J	\$2,898	\$2,898						
SR-91 Widening, SR-55 to Gypsum Canyon (Weir/SR-241)	J	\$76,993	\$22,250	\$54,045				\$698	
SR-57 n/b widening, Katella Avenue to Lincoln Avenue	M1/G	\$35,827		\$24,127				\$11,700	
SR-57 N/B widening, SR-91 to Yorba Linda Boulevard	M1/G	\$51,354		\$39,475				\$11,879	
SR-57 N/B widening, Yorba Linda to Lambert Road	M1/G	\$52,871		\$41,250				\$11,621	
I-405/SR-22/I-605 HOV Connector - Landscaping		\$4,600			\$4,600				
I-5 at Jamboree off ramp and auxiliary lane		\$8,485	\$8,485						
I-5 S/B AT OSO PKWY EXIT LANE & INTRCHNGE IMPROV		\$22,872	\$22,773						\$99
SR-90 Imperial Hwy Enhancement & Mitigation Planting		\$1,669	\$1,669						
HOV Connectors from I-405 and I-605	M1	\$173,091		\$135,430	\$14,787		\$16,200		\$6,674
HOV Connectors from SR-22 to I-405	M1	\$115,878			\$64,375	\$49,625	\$1,878		
State Highway Project Totals		\$1,031,581	\$213,713	\$380,452	\$140,771	\$97,888	\$20,578	\$161,478	\$16,701
State Funding Total		\$594,165							
Federal Funding Total		\$238,659							
Local Funding Total		\$198,757							
Total Funding (000's)		\$1,031,581							

Board Actions:

1. Approve the use of \$7.921 million in HIP funds for the I-5 Improvement Project from Oso Parkway to Alicia Parkway.

Acronyms

ATN - Anaheim Transportation Network

Aux - Auxilliary

CMAQ - Congestion Mitigation Air Quality Improvement Program

E/O - East of

FTA - Federal Transportation Administration

FY - Fiscal Year

FFY - Federal Fiscal Year

HIP - Highway Infrastructure Program

HOT - High-Occupancy Toll

HOV - High-Occupancy Vehicle

I-405 - Interstate 405

I-5 - Interstate 5

I-605 - Interstate 605

M1 - Measure M1

M2 - Measure M2

NB - Northbound

OC - Orange County

OCTA - Orange County Transportation Authority

PCH - Pacific Coast Highway

RSTP - Regional Surface Transportation Program

S/O - South of

SB - Southbound

SR-133 - State Route 133

SR-22 - State Route 22

SR-241 - State Route 241

SR-55 - State Route 55

SR-57 - State Route 57

SR-71 - State Route 71

SR-73 - State Route 73

SR-74 - State Route 74

SR-90 - Imperial Highway

SR-91 - State Route 91

STIP - State Transportation Improvement Program

VSS - Video Surveillance System

WB - Westbound



COMMITTEE TRANSMITTAL

January 14, 2019

To: Members of the Board of Directors

From: Laurena Weinert, Clerk of the Board

Subject: Federal Transit Administration Sections 5307, 5310, 5337, and 5339 Program of Projects for Federal Fiscal Year 2018-19

Transit Committee Meeting of January 10, 2019

Present: Directors Davies, Jones, Pulido, and Winterbottom
Absent: Director Do

Committee Vote

This item was passed by the Members present.

Director Pulido was not present to vote on this item.

Committee Recommendations

- A. Approve the federal fiscal year 2018-19 Federal Transit Administration Section 5307 Urbanized Area Formula, Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities, Section 5337 State of Good Repair, and Section 5339 Bus and Bus Facilities program of projects, including federal and local funds, and the use of match credit for projects.
- B. Approve the five-year programming plans for Federal Transit Administration Section 5307, Federal Transit Administration Section 5310, Federal Transit Administration Section 5337, and Federal Transit Administration Section 5339.
- C. Authorize staff to adjust individual project funding consistent with final apportionments and eligibility determinations through the Fixing America's Surface Transportation Act, and direct staff to include updated numbers in grant and programming status reports.
- D. Authorize the Chief Executive Officer to submit the federal fiscal year 2018-19 Federal Transit Administration grant applications to the Federal Transit Administration.



Committee Recommendations (Continued)

- E. 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.

NOTE:

An error was found on the title of the January 10, 2019 Transit Committee meeting agenda as follows:

“Federal Transit Administration Sections 5307, 5310, 5337, and 5339 Programs of Projects for Federal Fiscal Year 2018-19”

The correct title is:

“Federal Transit Administration Sections 5307, 5310, 5337, and 5339 **Program** of Projects for Federal Fiscal Year 2018-19”



January 10, 2019

To: Transit Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Federal Transit Administration Sections 5307, 5310, 5337, and 5339 Program of Projects for Federal Fiscal Year 2018-19

Overview

The Orange County Transportation Authority annually prepares a program of projects to secure formula Federal Transit Administration grants for capital projects, capital cost of contracting, and preventive maintenance. The federal fiscal year 2018-19 program, including amendments to prior programs, is presented for review and approval. The federal fiscal year 2018-19 program directs \$91.854 million in federal funds to transit projects, of which \$65.457 million is for bus projects and \$26.397 million is for rail projects.

Recommendations

- A. Approve the federal fiscal year 2018-19 Federal Transit Administration Section 5307 Urbanized Area Formula, Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities, Section 5337 State of Good Repair, and Section 5339 Bus and Bus Facilities program of projects, including federal and local funds, and the use of match credit for projects.
- B. Approve the five-year programming plans for Federal Transit Administration Section 5307, Federal Transit Administration Section 5310, Federal Transit Administration Section 5337, and Federal Transit Administration Section 5339.
- C. Authorize staff to adjust individual project funding consistent with final apportionments and eligibility determinations through the Fixing America's Surface Transportation Act, and direct staff to include updated numbers in grant and programming status reports.

- D. Authorize the Chief Executive Officer to submit the federal fiscal year 2018-19 Federal Transit Administration grant applications to the Federal Transit Administration.
- E. 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.

Background

The Fixing America's Surface Transportation (FAST) Act provides transportation funding for federal fiscal year (FFY) 2015-16 through FFY 2019-20. Under the FAST Act, the Federal Transit Administration (FTA) makes federal formula funds available through four major funding programs:

- 1) FTA Section 5307 Urbanized Area Formula Program (FTA 5307),
- 2) FTA Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program (FTA 5310),
- 3) FTA Section 5337 State of Good Repair Program (FTA 5337), and
- 4) FTA Section 5339 Bus and Bus Facilities Program (FTA 5339).

FTA publishes annual apportionments for these programs, and transit agencies submit grant applications for their respective funds. The Orange County Transportation Authority (OCTA) develops the funding levels for future apportionments based on prior year actual FTA apportionments. The full apportionment for FFY 2018-19 will be released at a later date, and OCTA's funding levels will be adjusted. The selection of projects for FTA funding is based on the current policies outlined in the Capital Programming Policies (Attachment A), federal funding rules and regulations, and OCTA's adopted Comprehensive Business Plan. Project descriptions for the FTA program of projects (POP) are provided in Attachment B.

The FTA requires agencies to have a public participation process for transit POP. OCTA satisfies this requirement through the Southern California Association of Governments' Federal Transportation Improvement Program approval process, which includes a public hearing and meets the FTA requirement.

Discussion

FTA 5307

OCTA expects to receive approximately \$60.534 million in FTA 5307 funds for FFY 2018-19. Staff is proposing the projects/programs listed below for these funds (Attachment C):

- Preventive maintenance (\$22.077 million),
- Capital cost of contracting (\$17.856 million),
- Non-fixed-route paratransit operating assistance (\$12.101 million), and
- Southern California Regional Rail Authority (SCRRA) preventive maintenance (\$8.500 million).

Changes to prior year grants are also reflected in Attachment C. Additionally, OCTA is proposing to utilize 20 percent of the annual FTA 5307 apportionment for non-fixed-route paratransit operating assistance in the FFY 2018-19 POP. Per FTA guidance, a recipient is required to meet two of three conditions in order to increase the use of FTA 5307 from ten percent to 20 percent on non fixed-route paratransit operating assistance. The conditions are as follows:

- Provides an active fixed-route travel training program that is available for riders with disabilities,
- Provides that all fixed-route and paratransit operators participate in a passenger safety, disability awareness, and sensitivity training class on at least a biennial basis, and
- Have memoranda of understanding in place with employers and the American Job Center to increase access to employment opportunities for people with disabilities.

As of FFY 2017-18, OCTA meets the first and second conditions and is; therefore; in compliance with FTA requirements. The five-year programming plan for FTA 5307 projects is provided in Attachment D.

FTA 5310

OCTA expects to receive approximately \$2.176 million in FTA 5310 funds for FFY 2018-19. These funds are recommended to be used for the capital cost of contracting for ACCESS services (Attachment E). In addition, changes to prior year grants are reflected in Attachment E. The five-year programming plan for FTA 5310 projects is provided in Attachment F.

FTA 5337

OCTA expects to receive approximately \$21.728 million in FTA 5337 funds for FFY 2018-19. Staff is proposing the following projects for these funds (Attachment G):

- SCRRRA rehabilitation (\$15.064 million),
- OCTA bus preventive maintenance (\$3.831 million), and
- San Juan Creek Bridge replacement (\$2.833 million),

A five-year programming plan for FTA 5337 projects, focusing on commuter rail projects and OCTA bus preventive maintenance, is provided in Attachment H. In addition, changes to prior year grants are reflected in Attachment G.

The FTA 5337 funds for San Juan Creek Bridge replacement program included in FFY 2016-17 and FFY 2017-18 are increased to replace Trade Corridor Improvement Funds (TCIF) that are no longer available for the project and also to realign funds programmed in prior years to reflect delay in the project. Details and approval of TCIF reprogramming were included in the November 26, 2018 Capital Programming update. OCTA had planned on using \$2.801 million in Proposition 116 funds for the project. However, the Laguna Niguel to San Juan Capistrano Passing Siding Project has an immediate need for additional funds. The Board of Directors (Board) policy for Proposition 116 funds requires these funds go to intercity rail projects on a first come first serve basis. Once final design is complete, OCTA staff will return to the Board with a proposal for an updated funding plan.

FTA 5339

OCTA expects to receive approximately \$7.416 million in FTA 5339 funds for FFY 2018-19. Staff is proposing the following projects for these funds (Attachment I).

- Paratransit Vehicle Replacement Project (\$4.316 million),
- Capital cost of contracting (\$3.100 million).

It should be noted that OCTA's policy for FTA 5339 does not currently include capital cost of contracting, as that type of use was not previously allowed. However, OCTA's priority is to fund transit operations with federal funds whenever possible. An update to the current policy will be proposed to include capital cost of contracting in a future Capital Programming Policy item.

Changes to prior year grants are reflected in Attachment I. A five-year programming plan for FTA 5339 projects, focusing on capital cost of contracting and the paratransit vehicle replacement project, is provided in Attachment J.

FFY 2018-19 FTA POP

The table below summarizes the recommended programming for the FFY 2018-19 FTA POP.

Formula Programs	Bus	Rail	Total
FTA 5307	52,034,009	8,500,000	60,534,009
FTA 5310	2,175,734	-	2,175,734
FTA 5337	3,831,387	17,896,883	21,728,270
FTA 5339	7,415,685	-	7,415,685
Total	\$ 65,456,815	\$ 26,396,883	\$ 91,853,698

Approximately \$4.316 million, or 6.6 percent, of the \$65.457 million in FTA formula funds that is programmed to bus will be used for capital expenses, and \$61.141 million or 93.4 percent will be used for operating expenses.

Next Steps

With Board of Directors (Board) approval, staff will initiate the programming and grant process for the projects included in this report. The changes that are requested in this report have been added to the OCTA Capital Funding Program Report in Attachment K.

Summary

Board approval is necessary to program FTA formula funding for the FFY 2018-19 FTA POP, the five-year programming plan for FTA 5307, 5310, 5337, and 5339, and to make adjustments to prior year programming based on actual apportionments.

Attachments

- A. Capital Programming Policies by Fund Source, May 2017
- B. Orange County Transportation Authority, Federal Transit Administration Program of Projects Description
- C. Program of Projects for FTA Section 5307 Funds (FFY 2017-18 through FFY 2018-19)
- D. Proposed Five-Year Programming Plan for FTA Section 5307 Funds, Urbanized Area Formula Program (FFY 2018-19 through 2022-23)
- E. Program of Projects for FTA Section 5310 Funds (FFY 2017-18 through FFY 2018-19)
- F. Proposed Five-Year Programming Plan for FTA Section 5310 Funds, Enhanced Mobility of Seniors and Individuals with Disabilities Program (FFY 2018-19 through FFY 2022-23)
- G. Program of Projects for FTA Section 5337 Funds (FFY 2016-17 through FFY 2018-19)
- H. Proposed Five-Year Programming Plan for FTA Section 5337 Funds, State of Good Repair Program (FFY 2018-19 through FFY 2022-23)
- I. Program of Projects for FTA Section 5339 Funds (FFY 2017-18 through FFY 2018-19)
- J. Proposed Five-Year Programming Plan for FTA Section 5339 Funds, Bus and Bus Facilities Program (FFY 2018-19 through FFY 2022-23)
- K. Capital Funding Program Report

Prepared by:



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

Funding Source	Programming Policies
All State and Federal Fund Sources	First priority of all funding sources is to fulfill commitments to M2020 and/or Next 10 projects, specifically Measure M2 (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.
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>FTA Section 5307 Formula/FTA use funds in the following order:</p> <ol style="list-style-type: none"> (1) preventive maintenance, (2) capital cost of contracting, (3) bus replacement. <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), and 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 and/or renovation projects, 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> <ol style="list-style-type: none"> (1) bus replacement, (2) capital maintenance, (3) other bus capital projects as identified in the Bus Capital Plan.

Capital Programming Policies by Fund Source
May 2017

State	
Proposition 1B – Competitive Programs Funding/California Transportation Commission (CTC)	Maximize the Orange County allocations consistent with each program and ensure the receipt of allocated funds.
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.

**Orange County Transportation Authority
Federal Transit Administration
Program of Projects Description**

Preventive Maintenance

Maintenance costs including salaries and benefits of maintenance personnel, as well as building and vehicle repair. Preventive maintenance is funded through Federal Transit Administration (FTA) 5307 and FTA 5337 funds

Non Fixed-Route Paratransit Operations Assistance

ACCESS is Orange County Transportation Authority's (OCTA) paratransit service that provides specialized services for passengers who are unable to use OCTA's fixed-route bus service because of functional limitations caused by a disability. The proposed FTA 5307 funds will support operating assistance to continue existing ACCESS service or increase service to meet routine changes in demand.

Capital Cost of Contracting

The capital costs associated with contracting for transit and maintenance services, includes ACCESS paratransit service and contracted fixed-route service of revenue fleet vehicles owned by OCTA. Fixed-route service refers to a vehicle operated along a fixed-route. Eligible components include the capital costs of the vehicles used in the services, as well as the capital component of overhead (e.g., offices and equipment for the provider of the ACCESS paratransit service). Capital cost of contracting is funded through FTA 5307, FTA 5310 and FTA 5339.

Southern California Regional Rail Authority (SCRRA) Preventive Maintenance

The preventive maintenance costs include all maintenance costs, related to rolling stock, vehicles, rail infrastructure, equipment and facilities. Specifically, the costs are defined as all the activities, supplies, materials, labor, services, and associated costs required to preserve or extend the functionality and serviceability of the asset in a cost-effective manner. The proposed FTA 5307 funds will support preventive maintenance costs for SCRRA.

SCRRA Rehabilitation/Renovation

SCRRA Rehabilitation/Renovation Project will rehabilitate and/or replace track, signal, communications, rolling stock, and other equipment and facilities used to keep the commuter rail system in a state of good repair. FTA 5337 funds will support these commuter rail rehabilitation/renovation projects.

Since fiscal year (FY) 2012-13, OCTA's share of the SCRRA Rehabilitation and Renovation Program has been reduced through the Rotem Rail Cars Settlement Plan (Settlement Plan). The Settlement Plan provides OCTA with a total credit of \$33.147 million. Through

Orange County Transportation Authority Federal Transit Administration Program of Projects Description

FY 2017-18, SCRRA member agencies have paid/budgeted approximately \$26.931 million toward OCTA's share of SCRRA rehabilitation and renovation and only the Los Angeles County Metropolitan Transportation Authority has a balance of approximately \$6.216 million to repay OCTA.

San Juan Creek Bridge Replacement

San Juan Creek Bridge is a 100-year old bridge that crosses over San Juan Creek between Control Point (CP) Oso and CP Capistrano on the Orange Subdivision owned by OCTA, in the Pacific Surfliner Corridor. This project will support the replacement and construction of a new bridge that will significantly reduce the amount of maintenance required and will meet current design standards and rail load capabilities. Construction was initially expected to begin in early 2019, but the project construction start has been delayed to May 2020 due to the federal environmental document approval process. Proposed FTA 5337 funds will support the replacement of the bridge. The funding plan is provided below.

Funding in 000s	Total	FTA Section 5337	Demo	Proposition 1B TSSSDRA	Measure M2
Right-of-Way	\$ 1,335			\$ 160	\$ 1,175
Construction	\$ 34,784	\$ 33,871	\$ 913		
TOTAL	\$ 36,119	\$ 33,871	\$ 913	\$ 160	\$ 1,175

TSSSDRA - Transit System Safety, Security and Disaster Response Account

Paratransit Vehicle Replacement Project

The Paratransit Vehicle Replacement Project includes the purchase of 179 23-foot alternative fuel ACCESS paratransit vehicles to replace aging buses in the OCTA transit fleet. The proposed FTA 5339 funds will support the acquisition of these ACCESS paratransit replacement vehicles consistent with the Fleet Outlook and the Comprehensive Business Plan.

Slope Stabilization

The Slope Stabilization Project will help mitigate erosion and prevent rock or mud slides from interfering with rail service in the corridor. The project sites are located in the cities of Irvine, Laguna Hills, Lake Forest, Mission Viejo, and San Juan Capistrano.

Alternative Fuel 40-Foot Replacement Buses

The Alternative Fuel 40-Foot Replacement Buses Project purchased a total of 157 40-foot low floor compressed natural gas-powered New Flyer buses, which replaced aging buses in the OCTA transit fleet.

Program of Projects for FTA Section 5307 Funds (FFY 2017-18 through FFY 2018-19)

(Pending Board approval on January 14, 2019)

FFY 2018-19

Line Item Description	Federal Amount	Local Match	Total	Federal Percentage Share	Statewide Match Credit ³
Preventive Maintenance	22,077,154	-	22,077,154	100%	4,415,431
Capital Cost of Contracting	17,856,090	-	17,856,090	100%	3,571,218
Non Fixed-Route Paratransit Operations Assistance ¹	12,100,765	48,403,060	60,503,825	20%	-
SCRRA Preventive Maintenance	8,500,000	-	8,500,000	100%	1,700,000
FFY 2018-19 Total (All Projects)	\$ 60,534,009	\$ 48,403,060	\$ 108,937,069		\$ 9,686,649

FFY 2017-18 Adjustments

Line Item Description	FFY 2017-18 FTA 5307 Amount	Adjustment Increase (Decrease) ⁴	Revised FTA 5307 Amount	Statewide Match Credit ³
Preventive Maintenance	23,635,883	(2,258,716)	21,377,167	4,275,433
Non Fixed-Route Paratransit Operations Assistance	5,854,638	6,003,045	11,857,683	-
Capital Cost of Contracting ²	20,708,799	(3,000,000)	17,708,799	3,541,760
SCRRA Preventive Maintenance	8,374,341	-	8,374,341	1,674,868
FFY 2016-17 Total (All Projects)	58,573,661	\$ 744,329	\$ 59,317,990	\$ 9,492,061

Notes:

1. The overall project cost requires local and state funds, which are already committed to the project. As a result, the match credit is not used on this project.
2. The project includes \$31.063 million in local OCTA funds.
3. The projects are utilizing statewide match credit which allows projects to be funded with federal funds at 100 percent.
4. Actual apportionments were greater than Board approved FTA 5307 funding. Additionally, OCTA met the requirement that allows up to 20 percent of 5307 to be used for paratransit rather than the previous ten percent.

Acronyms:

FTA - Federal Transit Administration
FFY - Federal fiscal year
Board - Board of Directors
SCRRA - Southern California Regional Rail Authority
OCTA - Orange County Transportation Authority

Proposed Five-Year Programming Plan for FTA Section 5307 Funds
Urbanized Area Formula Program (FFY 2018-19 through FFY 2022-23)

(Pending Board approval on January 14, 2019)

Line Item Description	FFY 2018-19	FFY 2019-20 ³	FFY 2020-21	FFY 2021-22	FFY 2022-23 ⁴
Preventive Maintenance ¹	22,077,154	21,970,035	21,970,035	18,870,035	18,870,035
Capital Cost of Contracting ¹	17,856,090	18,956,090	18,956,090	22,056,090	22,056,090
Non Fixed-Route Paratransit Operations Assistance	12,100,765	12,348,831	12,348,831	12,348,831	12,348,831
SCRRA Preventive Maintenance/Commuter Rail Projects ^{1,2}	8,500,000	8,500,000	8,500,000	8,500,000	8,500,000
FFY 2018-19 to 2022-23 Total (All Projects)	\$ 60,534,009	\$ 61,774,956	\$ 61,774,956	\$ 61,774,956	\$ 61,774,956

Notes:

1. The projects are proposed to use statewide match credit which allows projects to be federally funded at 100 percent.
2. Federal formula funds generated through rail operations will be used for commuter rail projects.
3. FFY 2019-20 is the last year of the Fixing America's Surface Transportation Act.
4. Five years of funding is provided in order to program funds to projects in the Federal Transportation Improvement Program.

Acronyms:

FTA - Federal Transit Administration

FFY - Federal fiscal year

Board - Board of Directors

SCRRA - Southern California Regional Rail Authority

Program of Projects for FTA Section 5310 Funds (FFY 2017-18 through FFY 2018-19)

(Pending Board approval on January 14, 2019)

FFY 2018-19

Line Item Description	Federal Amount	Local Match	Total	Federal Percentage Share	Statewide Match Credit ¹
Capital Cost of Contracting for ACCESS Services	2,175,734	-	2,175,734	100%	435,147
FFY 2017-18 Total (All Projects)	\$ 2,175,734	\$ -	\$ 2,175,734		\$ 435,147

FFY 2017-18 Adjustments

Line Item Description	FFY 2017-18 FTA 5310 Amount	Adjustment Increase (Decrease) ²	Revised FTA 5310 Amount	Statewide Match Credit ¹
Capital Cost of Contracting for ACCESS Services	2,079,618	49,489	2,129,107	415,924
FFY 2016-17 Total (All Projects)	\$ 2,079,618	\$ 49,489	\$ 2,129,107	\$ 415,924

Notes:

1. Projects are utilizing statewide match credit which allows projects to be federally funded at 100 percent.
2. Actual apportionments were greater than Board-approved FTA 5310 funding.

Acronyms:

FTA - Federal Transit Administration

FFY - Federal fiscal year

Board - Board of Directors

Proposed Five-Year Programming Plan for FTA Section 5310 Funds
Enhanced Mobility of Seniors and Individuals with Disabilities Program (FFY 2018-19 through FFY 2022-23)

(Pending Board approval on January 14, 2019)

Line Item Description	FFY 2018-19	FFY 2019-20 ²	FFY 2020-21	FFY 2021-22	FFY 2022-23 ³
Capital Cost of Contracting for ACCESS Services ¹	2,175,734	2,221,207	2,221,207	2,221,207	2,221,207
FFY 2018-19 to 2022-23 Total (All Projects)	\$ 2,175,734	\$ 2,221,207	\$ 2,221,207	\$ 2,221,207	\$ 2,221,207

Notes:

1. The projects are proposed to use statewide match credit which allows projects to be federally funded at 100 percent.
2. FFY 2019-20 is the last year of the Fixing America's Surface Transportation Act.
3. Five years of funding is provided in order to program funds to projects in the Federal Transportation Improvement Program.

Acronyms:

FTA - Federal Transit Administration

FFY - Federal fiscal year

Board - Board of Directors

Program of Projects for FTA Section 5337 Funds (FFY 2016-17 through FFY 2018-19)

(Pending Board approval on January 14, 2019)

FFY 2018-19

Line Item Description	Federal Amount	Local Match	Total	Federal Percentage Share	Statewide Match Credit ²
SCRRA Rehabilitation/Renovation ¹	15,063,858	-	15,063,858	100%	3,012,772
San Juan Creek Bridge Replacement ⁵	2,833,025	-	2,833,025	100%	566,605
OCTA Bus Preventive Maintenance ³	3,831,387	-	3,831,387	100%	6,383,340
FFY 2017-18 Total (All Projects)	\$ 21,728,270	\$ -	\$ 21,728,270	100%	\$ 9,962,717

FFY 2017-18 Adjustments

Line Item Description	FFY 2017-18 FTA 5337 Amount	Adjustment Increase (Decrease) ⁶	Revised FTA 5337 Amount	Statewide Match Credit ²
SCRRA Rehabilitation/Renovation ^{1,5}	15,486,758	(15,486,758)	-	-
San Juan Creek Bridge Replacement ⁵	-	17,594,262	17,594,262	3,518,852
OCTA Bus Preventive Maintenance ³	3,191,698	574,903	3,766,601	753,320
FFY 2016-17 Total (All Projects)	\$ 18,678,456	\$ 2,682,407	\$ 21,360,863	\$ 4,272,173

FFY 2016-17 Adjustments

Line Item Description	FFY 2016-17 FTA 5337 Amount	Adjustment Increase (Decrease) ⁶	Revised FTA 5337 Amount	OCTA Match Credit ⁷
SCRRA Rehabilitation/Renovation ^{1,5}	9,729,853	(7,949,608)	1,780,245	356,049
Slope Stabilization ⁴	2,834,000	(2,834,000)	-	-
San Juan Creek Bridge Replacement ⁵	2,661,037	10,783,608	13,444,645	2,688,929
OCTA Bus Preventive Maintenance ³	3,137,729	-	3,137,729	627,546
FFY 2016-17 Total (All Projects)	\$ 18,362,619	\$ -	\$ 18,362,619	\$ 3,672,524

Notes:

- The Rotem Rail Cars Settlement Plan provides OCTA with a total credit of \$33.147 million. SCRRA member agencies' rolling stock repayment contributions (METRO, SBCTA, and VCTC) reduced amount of funding required from OCTA's share of SCRRA rehabilitation and renovation.
- The projects are utilizing statewide match credit which allows projects to be federally funded at 100 percent.
- Per OCTA's Board policy, FTA Section 5337 funds generated by bus operations are programmed to OCTA bus preventive maintenance. Other funds are FTA 5307.
- The project was funded with prior year FTA 5337 to avoid lapsing funds
- The project has been delayed, so FTA 5337 funds have been moved from FFY 2014-15 through FFY 2016-17 to FFY 2016-17 through FFY 2018-19
- Actual apportionments were greater than Board-approved FTA 5337 funding.
- OCTA receives match credit for the amount of toll revenue used to build or improve public highway facilities in Orange County which allows projects to be federally funded at 100 percent.

Acronyms:

FTA - Federal Transit Administration
FFY - Federal fiscal year
Board - Board of Directors
SCRRA - Southern California Regional Rail Authority
OCTA - Orange County Transportation Authority
METRO - Los Angeles County Metropolitan Transportation Authority
SBCTA - San Bernardino County Transportation Authority
VCTC - Ventura County Transportation Commission

Proposed Five-Year Programming Plan for FTA Section 5337 Funds
State of Good Repair Program (FFY 2018-19 through FFY 2022-23)

(Pending Board approval on January 14, 2019)

Line Item Description	FFY 2018-19	FFY 2019-20 ⁵	FFY 2020-21	FFY 2021-22	FFY 2022-23 ⁶
SCRRA Rehabilitation/Renovation FY 2019-20 ^{1,2}	15,063,858	-	-	-	-
SCRRA Rehabilitation/Renovation FY 2020-21 ^{1,2}	-	18,204,710	-	-	-
SCRRA Rehabilitation/Renovation FY 2021-22 ^{1,2}	-	-	18,204,710	-	-
SCRRA Rehabilitation/Renovation FY 2022-23 ^{1,2}	-	-	-	18,204,710	-
SCRRA Rehabilitation/Renovation FY 2023-24 ^{1,2}	-	-	-	-	18,204,710
San Juan Creek Bridge Replacement ³	2,833,025	-	-	-	-
OCTA Bus Preventive Maintenance ^{1,4}	3,831,387	3,897,286	3,897,286	3,897,286	3,897,286
Total (All Projects)	\$ 21,728,270	\$ 22,101,996	\$ 22,101,996	\$ 22,101,996	\$ 22,101,996

Notes:

1. The projects are utilizing statewide match credit which allows projects to be federally-funded at 100 percent.
2. SCRRA rehabilitation amounts are based on the SCRRA-adopted FY 2016-17 Budget for FY 2016-17 to FY 2018-19 and the OCTA Comprehensive Business Plan thereafter.
3. Additional FTA 5337 totally \$31.039 million is programmed in FFY 2016-17 and FFY 2017-18
4. Per OCTA's Board policy, FTA Section 5337 funds generated by bus operations are programmed to OCTA bus preventive maintenance.
5. FFY 2019-20 is the last year of the Fixing America's Surface Transportation Act.
6. Five years of funding is provided in order to program funds to projects in the Federal Transportation Improvement Program.

Acronyms:

FTA - Federal Transit Administration

FFY - Federal fiscal year

Board - Board of Directors

SCRRA - Southern California Regional Rail Authority

FY - Fiscal year

OCTA - Orange County Transportation Authority

Program of Projects for FTA Section 5339 Funds (FFY 2017-18 through FFY 2018-19)

(Pending Board approval on January 14, 2019)

FFY 2018-19

Line Item Description	Federal Amount	Local Match	Total	Federal Percentage Share	Statewide Match Credit ¹
Capital Cost of Contracting	3,100,000	-	3,100,000	100%	620,000
Paratransit Vehicle Replacement Project	4,315,685	-	4,315,685	100%	863,137
FFY 2018-19 Total (All Projects)	\$ 7,415,685	\$ -	\$ 7,415,685		\$ 1,483,137

FFY 2017-18 Adjustments

Line Item Description	FFY 2017-18 FTA 5339 Amount	FTA 5339 Funding Increase (Decrease) ²	Revised FTA 5339 Amount	Statewide Match Credit ¹
Alternative Fuel 40-Foot Replacement Buses	5,417,476	(374,008)	5,043,468	1,008,694
Capital Cost of Contracting	-	2,086,313	2,086,313	417,263
FFY 2017-18 Total (All Projects)	\$ 5,417,476	\$ 1,712,305	\$ 7,129,781	\$ 1,425,956

Notes:

1. The project is utilizing statewide match credit which allows projects to be federally-funded at 100 percent.
2. Actual apportionments were greater than Board-approved FTA 5339 funding.

Acronyms:

FTA - Federal Transit Administration
FFY - Federal fiscal year
Board - Board of Directors
OCTA - Orange County Transportation Authority

Proposed Five-Year Programming Plan for FTA Section 5339 Funds
Bus and Bus Facilities Program (FFY 2018-19 through FFY 2022-23)

(Pending Board approval on January 14, 2019)

Line Item Description	FFY 2018-19	FFY 2019-20 ²	FFY 2020-21	FFY 2021-22	FFY 2022-23 ³
Capital Cost of Contracting ¹	3,100,000	3,100,000	3,100,000	-	-
Paratransit Vehicle Replacement Project ¹	4,315,685	4,617,504	4,617,504	7,717,504	7,717,504
FFY 2018-19 to 2022-23 Total (All Projects)	\$ 7,415,685	\$ 7,717,504	\$ 7,717,504	\$ 7,717,504	\$ 7,717,504

Notes:

1. The projects are utilizing statewide match credit which allows projects to be federally funded at 100 percent.
2. FFY 2019-20 is the last year of the Fixing America's Surface Transportation Act.
3. Five years of funding is provided in order to program funds to projects in the Federal Transportation Improvement Program.

Acronyms:

FTA - Federal Transit Administration

FFY - Federal fiscal year

Board - Board of Directors



Capital Funding Program Report

Pending Board of Directors (Board) Approval - January 14, 2019

Rail Project

Project Title	M Code	Total Funding	State Funds		Federal Funds		Local Funds		
			STIP/Other	State Bonds	RSTP/CMAQ	Other Fed.	M1	M2	Local - Other
Fullerton Transportation Center Parking Expansion Project	M1/R	\$33,667	\$11,250	\$11,035			\$9,718		\$1,664
Orange Transportation Center Parking Structure	M1/R	\$33,175	\$13,762		\$4,073	\$3,298	\$1,850	\$420	\$9,772
Sand Canyon Avenue Grade Separation Project ³	M1/R	\$62,050		\$28,192	\$10,536		\$3,116	\$5,352	\$14,854
OC Streetcar (Proposed New Starts) ⁴	M1/S	\$407,756	\$25,518		\$54,465	\$162,213		\$165,560	
OC Streetcar Preliminary Studies and Environmental	M1/S	\$7,014				\$341	\$4,977	\$554	\$1,142
Anaheim Canyon Station Improvements	R	\$27,906			\$25,413			\$2,000	\$493
Control Point at 4th Street ⁵	R	\$2,985				\$2,985			
Future Video Surveillance Systems	R	\$217				\$174			\$43
Laguna Niguel to San Juan Capistrano Passing Siding ^{1,6}	R	\$34,060	\$3,000	\$6,734	\$22,756	\$1,015			\$555
Metrolink Preventive Maintenance Capitalized Operation ^{2,7}	R	\$56,874				\$56,874			
Metrolink Rehabilitation/Renovation - fiscal years 2011-12 to 2022-23 ^{2,8}	R	\$160,962				\$160,962			
Metrolink Station and Track Improvements, and Rehabilitation	R	\$2,230				\$1,784			\$446
Placentia Commuter Rail Station	R	\$34,825	\$2,500	\$400	\$50			\$8,000	\$23,875
Positive Train Control (Metrolink)	R	\$39,916		\$34,190		\$5,726			
San Juan Creek Bridge Replacement ^{2,9}	R	\$36,119		\$160		\$34,784		\$1,175	
Slope Stabilization Laguna Niguel-Lake Forest ^{2,10}	R	\$2,334				\$2,000		\$334	
State College Grade Separation (LOSSAN)	R	\$79,284		\$46,000				\$33,284	
Ticket Vending Machines	R	\$6,857							\$6,857
Video Surveillance Systems at Commuter Rail Stations	R	\$4,493		\$140		\$3,594			\$759
M2 Project S Transit Extensions to Metrolink (Rubber Tire)	S	\$733						\$733	
Rail Project Totals		\$1,033,457	\$56,030	\$126,851	\$117,293	\$435,750	\$19,661	\$217,412	\$60,460

State Funding Total	\$182,881
Federal Funding Total	\$553,043
Local Funding Total	\$297,533
Total Funding (000's)	\$1,033,457

Rail Project Completed

Project Title	M Code	Total Funding	State Funds		Federal Funds		Local Funds		
			STIP/Other	State Bonds	RSTP/CMAQ	Other Fed.	M1	M2	Local - Other
Laguna Niguel-Mission Viejo Station Parking Improvements and Expansion (ADA Ramps)	M1/R	\$5,177			\$2,800	\$732	\$1,645		
Metrolink Grade Crossing Safety Improvements (OCX)	M1/R	\$80,618		\$18,250			\$7,600	\$30,710	\$24,058
Metrolink Rolling Stock	M1/R	\$158,009		\$36,300	\$42,230	\$35,390	\$44,089		
Metrolink Service Track Expansion	M1/R	\$119,957		\$51,399			\$68,558		
M2 Project S Fixed-Guideway Anaheim Rapid Connection	M1/S	\$9,924				\$1,516	\$6,000	\$1,286	\$1,122
Anaheim Regional Intermodal Transportation Center (ARTIC) Construction	M1/T	\$184,164	\$29,219		\$33,250	\$40,754	\$43,900	\$35,291	\$1,750
Fullerton Transportation Station Expansion Planning, Environmental PSR	M1/T	\$0			\$0		\$0		
Santa Ana Grade Separation Planning and Environmental PSR	M1/T	\$1,333			\$1,180		\$153		



Capital Funding Program Report

Rail Project Completed

Project Title	M Code	Total Funding	State Funds		Federal Funds		Local Funds		
			STIP/Other	State Bonds	RSTP/CMAQ	Other Fed.	M1	M2	Local - Other
Santa Ana Transportation Station Planning and Environmental PSR	M1/T	\$1,003			\$888		\$115		
17th Street Grade Separation Environmental	R	\$2,476						\$2,476	
Control Point Stadium Crossover	R	\$6,490		\$3,245		\$3,245			
LOSSAN Corridor Grade Separations PSR in Anaheim, Orange, and Santa Ana	R	\$2,699						\$2,699	
Metrolink Grade Crossing Safety Improvements ROW	R	\$3,025						\$3,025	
North Beach Crossings Safety Enhancements	R	\$348		\$166				\$182	
Rail Crossing Signal Lights and Pedestrian Gates	R	\$252		\$252					
Rail Station Platform Safety Improvements (Fullerton, Irvine, and Tustin)	R	\$553		\$553					
Safety Repairs for San Clemente Pier Station	R	\$122		\$122					
San Clemente Beach Trail Crossings Safety Enhancements	R	\$4,999		\$2,170				\$2,251	\$578
Transit Rail Security (Monitors, Fencing, Video Surveillance)	R	\$163		\$163					
Go Local	S	\$7,730					\$7,730		
ARTIC Environmental, ROW, Program Management Support, Site Plan	M1	\$41,369					\$8,869		\$32,500
Fiber Optics Installation (Metrolink) ¹¹	M1	\$23,183		\$10,479		\$10,903	\$1,801		
Laguna Niguel-Mission Viejo Station Parking Expansion (South Lot)	M1	\$4,135		\$695			\$3,440		
Tustin Rail Station Parking Expansion	M1	\$15,390	\$1,100	\$7,181			\$7,109		
Rail Project Totals		\$673,119	\$30,319	\$130,975	\$80,348	\$92,540	\$201,009	\$77,920	\$60,008
State Funding Total		\$161,294							
Federal Funding Total		\$172,888							
Local Funding Total		\$338,937							
Total Funding (000's)		\$673,119							

Board Actions:

1. Agreement for Laguna Niguel to San Juan Capistrano Passing Siding Project: increase project cost by \$3.230 million. Remove \$3.000 million in Transit Intercity Rail Capital Program funds, add \$2.806 million in Proposition 116 savings, add \$2.000 million in Proposition 1B Intercity Rail Capital funds, add \$1.015 million in FTA 5309, and add \$0.409 million in CMAQ.
2. FTA Sections 5307, 5310, 5337, and 5339 POP for FFY 2018-19: updated to reflect FY 2018-19 POP.

Project Notes:

3. Sand Canyon updated total project cost to \$62.050 million based on final Proposition 116 funds. Proposition 116 deallocation is contingent on state approval.
4. OC Streetcar increase of \$108.414 million in M2 per July 2018 OC Streetcar Project Revised Funding Plan Report.
5. Control Point 4th Street was reduced by \$1.015 million in FTA 5309 due to project savings.
6. Passing siding addition of \$1.015 million in FTA 5309 is contingent on FTA approval, addition of \$2.251 million in Proposition 116 is contingent on state approval.
7. Metrolink preventive maintenance increased by \$42.500 million in FTA 5307 consistent with five-year POP.
8. Metrolink rehab/reno increased by \$21.782 million in FTA 5337 consistent with five-year POP.
9. San Juan Creek Bridge increase of \$16.293 million in FTA 5337 consistent with FTA POP item, remove \$2.806 million in Proposition 116, remove \$15.739 million in Trade Corridor Improvement Fund, and increase demo funds by \$0.038 million.
10. Slope Stabilization remove \$2.834 million per FTA POP item.
11. Fiber optics decrease of \$1.821 million in Proposition 116 and increase of \$0.404million in M2 for a total project savings of \$1.417 million. Proposition 116 deallocation is contingent on state approval.



Capital Funding Program Report

Pending Board of Directors (Board) Approval - January 14, 2019

Bus Transit Project

Project Title	M Code	Total Funding	State Funds		Federal Funds		Local Funds		
			STIP/Other	State Bonds	RSTP/CMAQ	Other Fed.	M1	M2	Local - Other
Go Local - Step 1	S	\$5,730					\$5,730		
Mobile Ticketing Equipment	S	\$4,036	\$2,482						\$1,554
Project V Community Circulators	V	\$35,089						\$35,089	
Project W Safe Transit Stops (City)	W	\$1,207						\$1,207	
Project W Safe Transit Stops (OCTA)	W	\$370						\$370	
10 Zero Emission Hydrogen Fuel Cell Buses		\$12,914	\$5,607						\$7,307
ACCESS and fixed-route radio systems upgrade		\$22,465		\$16,239		\$4,775			\$1,451
Associated Transportation Improvements		\$556				\$556			
Bus replacement - articulated alternative fuel buses (60')		\$31,105			\$22,250	\$8,855			
Bus replacement (40' and ACCESS)		\$149,009			\$29,198	\$68,139			\$51,672
Capital cost of contracting (ACCESS and contracted fixed-route contracts) ¹		\$305,784				\$142,164			\$163,620
Engine rebuild		\$16,294				\$14,824			\$1,470
Five Hydrogen Fuel Cell Bravo! Buses		\$5,412	\$4,330		\$1,082				
FTA Section 5310 Enhanced Mobility of Seniors & Individuals with Disabilities		\$3,657				\$3,657			
FTA Section 5316 Jobs Access and Reverse Commute		\$13,962				\$13,962			
FTA Section 5317 New Freedom		\$6,388				\$6,388			
Goldenwest Transportation Center parking structure		\$4,000			\$3,400				\$600
Goldenwest Transportation Center surface lot		\$2,000		\$1,200					\$800
Heating Ventilation Unit Replacements		\$448	\$67			\$381			
I-Shuttle Replacement Buses		\$6,600	\$5,673						\$927
Mobile Source Air Pollution Reduction Review Committee County Transportation Commission Partnership Program		\$2,319	\$176						\$2,143
Non-fixed-route paratransit operations assistance		\$240,952				\$48,486			\$192,466
OCTA Transit Security & Operations Center		\$7,772		\$7,772					
Preventive maintenance - including salaries and benefits (includes ATN & Laguna Beach) ¹		\$147,691				\$147,691			
Purchase (201) 40-foot Alternative Fuel Replacement Buses (OCTA) ²		\$229,384			\$134,670	\$47,696			\$47,018
Purchase Replacement Paratransit Vans ¹		\$58,058				\$44,292			\$13,766
Rideshare/vanpool		\$6,732			\$6,732				
Six Bravo! 529 Buses		\$3,595	\$3,046		\$549				
Transit Security Program		\$3,997		\$3,997					
Vanpool Program - capital lease		\$12,838			\$12,838				
VSS Upgrades at OCTA Facilities – Santa Ana, Garden Grove, Anaheim, & Irvine Bases and Administration		\$1,588		\$628		\$960			
Bus Transit Project Totals		\$1,341,952	\$21,381	\$29,836	\$210,719	\$552,826	\$5,730	\$36,666	\$484,794

State Funding Total	\$51,217
Federal Funding Total	\$763,545
Local Funding Total	\$527,190
Total Funding (000's)	\$1,341,952

Board Actions:

1. FTA Sections 5307, 5310, 5337, and 5339 POP for FFY 2018-19: updated to reflect FY 2018-19 POP.

2. Approval of use of federal funds for OCTA projects related to the FFY 2018-19 Obligation Authority Plan: approve the use of \$134.670 million in CMAQ funds for 201 40-foot compressed natural gas replacement buses.

Acronyms:

M Code: Project Codes in M1 and M2 / STIP - State Transportation Improvement Program / CMAQ - Congestion Mitigation and Air Quality Improvement Program / M1 - Measure 1 / M2 - Measure 2 / PSR - Project Study Report / LOSSAN - Los Angeles-San Diego-San Luis Obispo Rail Corridor / OCX - Rail-Highway Grade Crossing/Safety Enhancement Project / ROW Right-of-Way / FTA - Federal Transit Administration / OCTA - Orange County Transportation Authority / ADA - American with Disabilities Act / POP - Program of Projects / FFY - Federal Fiscal Year / FY - Fiscal Year / VSS Video Surveillance Systems



COMMITTEE TRANSMITTAL

January 14, 2019

To: Members of the Board of Directors
From: Laurena Weinert, Clerk of the Board
Subject: Agreement for Building Repairs at the Irvine Construction Circle Bus Base

Transit Committee Meeting of January 10, 2019

Present: Directors Davies, Jones, Pulido, and Winterbottom
Absent: Director Do

Committee Vote

This item was passed by the Members present.

Director Pulido was not present to vote on this item.

Committee Recommendations

- A. Find Jazzar Construction Group, Inc., the apparent low bidder, as non-responsive for failure to execute and submit the required certification of restrictions on lobbying form.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-8-1802 between the Orange County Transportation Authority and Fast-Track Construction Corporation, the lowest responsive, responsible bidder, in the amount of \$438,000, for building repairs at the Irvine Construction Circle Bus Base.



January 10, 2019

To: Transit Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Agreement for Building Repairs at the Irvine Construction Circle Bus Base

Overview

As part of the Orange County Transportation Authority's Fiscal Year 2018-19 Budget, the Board of Directors approved building repairs at the Irvine Construction Circle Bus Base. Bids were received in accordance with the Orange County Transportation Authority's public works procurement procedures. Board of Directors' approval is requested to execute the agreement.

Recommendations

- A. Find Jazzar Construction Group, Inc., the apparent low bidder, as non-responsive for failure to execute and submit the required certification of restrictions on lobbying form.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-8-1802 between the Orange County Transportation Authority and Fast-Track Construction Corporation, the lowest responsive, responsible bidder, in the amount of \$438,000, for building repairs at the Irvine Construction Circle Bus Base.

Discussion

The Orange County Transportation Authority (OCTA) purchased the Irvine Construction Circle Bus Base from Laidlaw Transportation (Laidlaw) in 2006. Transportation facilities on the property were originally constructed for Laidlaw in 2000. Elements of the existing bus wash building, which were installed during original site construction, are corroded and require replacement. The project consists of replacing steel columns, horizontal wall framing members and tension cables, metal siding, electrical panel enclosure, and related work at the bus wash building to bring the facility into a state of good repair, as noted in the

recently completed facility condition assessment. The repairs are required to ensure functionality of the bus wash for the ACCESS bus fleet.

Procurement Approach

This procurement was handled in accordance with OCTA's Board of Directors-approved procedures for public works projects. These procedures, which conform to both state and federal requirements, require that contracts are awarded to the lowest responsive, responsible bidder after a sealed bidding process.

Invitation for Bids (IFB) 8-1802 was released on July 31, 2018, through OCTA's CAMM NET system. The project was advertised on July 31 and August 7, 2018, in a newspaper of general circulation. A pre-bid conference and job-walk were held on August 9, 2018, and were attended by five firms. Two addenda were issued to provide the pre-bid conference registration sheets and handle administrative issues related to the IFB. On August 30, 2018, two bids were received and publicly opened.

All bids were reviewed by staff from both the Contracts Administration and Materials Management and the Rail Programs and Facilities Engineering departments to ensure compliance with the contract terms and conditions, and technical specifications. The list of bidders and bid amounts is presented below:

<u>Firm and Location</u>	<u>Bid Amount</u>
Jazzar Construction Group, Inc. Irvine, California	\$175,000
Fast-Track Construction Corporation Culver City, California	\$438,000

The apparent low bidder, Jazzar Construction Group, Inc., was found non-responsive for failure to execute the certification of restrictions on lobbying form as required by the bid instructions and by the Federal Transit Administration (FTA), the funding partner. As such, award is being recommended to Fast-Track Construction Corporation as the lowest responsive, responsible bidder.

The engineer's estimate for the project was \$307,000. The recommended firm's bid is 42 percent above the engineer's estimate, due in part to the need for coordination and phasing of the building column replacement. Staff conducted a cost analysis and assessment of the bid components with design consultant, Dahl, Taylor and Associates, Inc. The cost analysis showed the total bid amount is competitive taking into account overall market conditions; the specialized

nature of the work, with added risk associated with temporary shoring of the existing building for new building column installation; added costs for risks associated with current market conditions for subcontractors and pricing commitments; pricing related to costs of steel, which is a large part of the project; geographic location of the bidder, taking into account mobilization and daily portal-to-portal labor travel costs. The cost analysis showed that cost for painting and subcontractor work was also underestimated for the job.

Fast-Track Construction Corporation met the requirements of the IFB, as well as all federal and state requirements. Therefore, after completing a cost analysis of the bid components, staff considers the bid to be competitive.

State law requires award to the lowest responsive, responsible bidder. As such, staff recommends award to Fast-Track Construction Corporation, the lowest, responsive, responsible bidder, in the amount of \$438,000, for building repairs at the Irvine Construction Circle Bus Base.

Fiscal Impact

The project was approved in OCTA's Fiscal Year 2017-18 Budget, Capital Programs, and is FTA 5337 State of Good Repair Grant funded, Revenue Code 0030-6049-D1401-LIK.

Summary

Based on the information provided, staff recommends the Board of Directors authorize the Chief Executive Officer to negotiate and execute Agreement No. C-8-1802 between the Orange County Transportation Authority and Fast-Track Construction Corporation, the lowest responsive, responsible bidder, in the amount of \$438,000, for building repairs at the Irvine Construction Circle Bus Base.

Attachment

None.

Prepared by:

A handwritten signature in blue ink, appearing to read 'George Olivo'.

George Olivo, P.E.
Program Manager
(714) 560-5872

Approved by:

A handwritten signature in blue ink, appearing to read 'James G. Beil'.

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

A handwritten signature in blue ink, appearing to read 'Virginia Abadessa'.

Virginia Abadessa
Director, Contracts Administration and
Materials Management
(714) 560-5623



COMMITTEE TRANSMITTAL

January 14, 2019

To: Members of the Board of Directors
From: Laurena Weinert, Clerk of the Board
Subject: Agreement for Bus Ridership Data Collection Services

Transit Committee Meeting of January 10, 2019

Present: Directors Davies, Jones, Pulido, and Winterbottom
Absent: Director Do

Committee Vote

This item was passed by the Members present.

Director Pulido was not present to vote on this item.

Committee Recommendations

- A. Approve the selection of National Data & Surveying Services, Inc., doing business as Southland Car Counters, as the firm to provide bus ridership data collection services.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-8-1850 between the Orange County Transportation Authority and National Data & Surveying Services, Inc., doing business as Southland Car Counters, in the amount of \$765,141, to provide bus ridership data collection services for a term of three years with two, one-year option terms.



January 10, 2019

To: Transit Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Agreement for Bus Ridership Data Collection Services

Overview

The Orange County Transportation Authority utilizes professional data collection services to perform vital ridership data collection for benchmarking and reporting. Ridership data is one of the primary performance indicators utilized to evaluate service performance and is required by the Federal Transit Administration to be annually reported via the National Transit Database for the allocation of federal funds. Board of Directors' approval is requested to select a firm to assist in bus ridership data collection services.

Recommendations

- A. Approve the selection of National Data & Surveying Services, Inc., doing business as Southland Car Counters, as the firm to provide bus ridership data collection services.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-8-1850 between the Orange County Transportation Authority and National Data & Surveying Services, Inc., doing business as Southland Car Counters, in the amount of \$765,141, to provide bus ridership data collection services for a term of three years with two, one-year option terms.

Discussion

The Orange County Transportation Authority (OCTA) has contracted for ridership data collection, also known as schedule checking, since 2001. One of the primary functions of the contract schedule checkers is to perform required Federal Transit Administration (FTA), National Transit Database (NTD) checks. Random FTA NTD checks are required on a continual basis for OCTA to be eligible for federal funding. The various tasks provided include on-board bus ride checks, street corner checks, and NTD passenger boardings and alightings

by stop, on specific routes, using a random selection process as required by the FTA.

The collection of bus ridership and scheduling information is accomplished by the contractor observing and documenting bus passenger boarding and alighting, and the on-time performance and consistency with the printed scheduled. While onboard, the consultant also makes other observations of the service and documents areas for improvement to the operation.

The use of consultant services to perform the ridership and on-time performance collection and review services, also referred to as schedule checking, has proven to be an efficient and cost-effective way to perform these required reviews. Continued ridership data collection contract services will enable OCTA to perform FTA NTD schedule checks, as well as ride checks, point checks, and special service checks used to analyze and adjust OCTA's bus service to improve service efficiency and better serve OCTA's customers.

Procurement Approach

This procurement was handled in accordance with OCTA Board of Directors (Board)-approved procedures for professional and technical services. Award is recommended to the firm offering the most comprehensive overall proposal considering such factors as staffing and project organization, qualifications, prior experience with similar projects, work plan, as well as cost and price.

On August 7, 2018, Request for Proposals (RFP) 8-1850 was issued electronically on CAMM NET. The project was advertised in a newspaper of general circulation on August 7 and 13, 2018. A pre-proposal conference was held on August 16, 2018, and was attended by one firm. Two addenda were issued to post the pre-proposal conference registration sheets, provide responses to questions received, and make clarifications relative to the RFP.

On September 10, 2018, five proposals were received. An evaluation committee comprised of staff from Contracts Administration and Materials Management, Rail Operations, Scheduling and Bus Operations, and Transit Service Planning departments met to review proposals received for bus ridership data collection services.

The proposals were evaluated based on the following evaluation criteria and weights:

- | | |
|-------------------------------------|------------|
| • Qualifications of the Firm | 30 percent |
| • Staffing and Project Organization | 20 percent |
| • Work Plan | 25 percent |
| • Cost and Price | 25 percent |

Several factors were considered in developing the evaluation criteria. Qualifications of the firm was weighted at 30 percent as the proposing firm needs to have the experience, as well as the necessary resources, to be able to meet the immediate and long-term staffing requirements of this contract. Cost and price were assigned 25 percent to ensure a fair comparison of the proposed solutions for the total contract term, as well as ensuring that OCTA receives value for the services provided. Work plan was also weighted at 25 percent as the firm must be able to demonstrate its understanding of the project scope and provide the resources to perform the different types of checking service needed for this project. Staffing and project organization was weighted at 20 percent as it is critical for the firm to demonstrate it can provide the experienced and qualified individuals needed to achieve the requirements set forth in the scope of work. Based on the evaluation of the proposals, the evaluation committee interviewed all firms listed below in alphabetical order:

Firm and Location

Canete-Medina Consulting Group, Inc. (Canete-Medina)
Los Angeles, California

Innovative Data Acquisitions, LLC (IDAX)
Renton, Washington

National Data & Surveying Services, Inc., doing business as,
Southland Car Counters (Southland)
Orange, California

P.S. Elite Management (P.S. Elite)
Orange, California

Quality Counts, LLC (Quality Counts)
Concord, California

During the interview, each firm had an opportunity to present its qualifications and respond to the evaluation committee questions, which included specific clarification questions relating to its proposal. After considering the responses to the questions asked during the interviews, the evaluation committee reviewed the preliminary ranking and adjusted individual scores. The rankings did not change.

Based on the evaluation of the written proposals, the firms' qualifications, and the information obtained from the interviews, the evaluation committee recommends the selection of Southland, to provide bus ridership data collection services. The following is a brief summary of the proposal evaluation results:

Qualifications of the Firm

Southland was established over 25 years ago and is located in Orange, California, with 70 full-time employees. Southland's proposal demonstrated relevant bus ridership data collection experience on multiple projects. Southland has performed numerous data collection services for clients throughout the United States, including California. Past projects include performing traffic counts for the City of Sacramento, citywide traffic data collection for the City of Santa Ana, collecting biennial data and on-call data collection for the City of Los Angeles, as well as data collection services for OCTA.

P.S. Elite was established in 2010 and is located in Orange, California. The principal has acted as project manager for every data collection project for OCTA while employed at Southland. The firm has provided a range of transit/traffic data collection and project management services, including bus and transit ridership studies and surveys, data collection, quality control, and data entry services.

Canete-Medina has been in business for more than 20 years with 25 regular employees and 200 seasonal employees. The firm has conducted several short-term data collection projects involving transportation surveys, on-board and platform station counts, fare models, and customer satisfaction surveys in the past for agencies such as Chicago Transit and Chicago's Pace Bus. The firm currently works as a consultant for Metra, a commuter railroad in Chicago, Illinois, for On/Off Ridership Counts projects.

IDAX and Quality Counts demonstrated limited experience performing similar work, however; the evaluation committee was interested in their proposed alternative solutions for bus ridership and data collections. IDAX started business in 2013 and has worked on projects from traffic counts to parking lot

projects and general field observations. Quality Counts' experience includes traffic data collections, Automatic Traffic Recorder data collection, pedestrian/bicycle counts, and a number of different surveys for various Transportation agencies.

Staffing and Project Organization

Southland proposed a project team with relevant experience in data collection as required for this project. Southland's proposed project organization plan demonstrated staff will be available to perform all required tasks throughout the duration of the contract.

P.S. Elite proposed an experienced project manager who has successfully completed project management for large scale data collection and data processing efforts for OCTA. The firm plans to hire data collection staff if awarded a contract.

Canete-Medina proposed experienced key personnel with various backgrounds that included successful completion of large project management projects, data collection, and data processing projects. The firm will hire data collection staff for this project if awarded a contract.

IDAX proposed 14 technicians to operate their proprietary geo-based collection software tool for tablets and phones, called Kapturrit. The IDAX staff has experience performing travel time studies, origin-destination studies, and parking. The firm lacks bus ridership and data collection experience; however, staff was interested in their alternative proposed solution.

Quality Count's staffing plan proposed an alternative solution that did not meet the staffing requirement of OCTA's scope of work for schedule checkers and to perform various data entry responsibilities. The firm provided staffing necessary for the video camera solution proposed by the firm.

Work Plan

Southland presented a work plan that addressed all the elements set forth in the scope of work. The proposed work plan identified administration and training practices, sequential tasks and assignments, quality control, and data collection methodology. The firm also discussed its approach and timeline for startup task completion. The firm demonstrated knowledge and understanding of OCTA's data collection requirements in the interview.

P.S. Elite discussed its approach to completing tasks, data collection training, and outlined sequentially the task's assignments. The firm also included a timeline for startup tasks completion and project schedule. The firm responded to all interview questions.

The work plan proposed by Canete-Medina met the requirements identified in the RFP. The firm discussed its approach to conducting bus ridership collection services and its ability to use OCTA's existing software systems and current ride-checking procedures. Interviews reinforced its teams' capabilities and understanding of the project requirements.

IDAX and Quality Counts proposed solutions outside the scope of work. IDAX proposed using a proprietary geo-based collection tool for tablets or mobile phones, and Quality Counts proposed a plan using OCTA's existing on-board cameras to complete the work.

Cost and Price

Pricing scores were based on a formula, which assigns the highest score to the lowest average billable hourly rates and scored the remaining average billable hourly rates based on their relation to the lowest. The RFP requested that firms propose not-to-exceed billable hourly rates for each position listed in the RFP throughout the contract term.

Southland's hourly rates were higher than P.S. Elite; however, Southland's qualifications and background as a firm, key personnel currently on staff, and approach to meeting the project's requirements were considered to outweigh the slightly higher pricing.

Procurement Summary

Based on the evaluation of the written proposals, the firm's qualifications, and information obtained from the interviews, the evaluation committee recommends award of the contract to Southland. Southland submitted a detailed technical proposal that was responsive to all requirements of the RFP.

Fiscal Impact

The project was included in the approved OCTA Fiscal Year 2018-19 Budget, Operations Division, Account 2128-7519-D4106-97S, and is funded through local transportation funds.

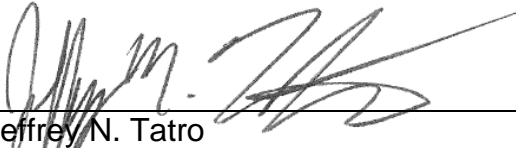
Summary

Based on the information provided, staff recommends the Board authorize the Chief Executive Officer to negotiate and execute Agreement No. C-8-1850, with National Data & Surveying Services, Inc., doing business as Southland Car Counters, in the amount of \$765,141, to provide bus ridership data collection services for a three-year initial term with two, one-year option terms.


Attachments

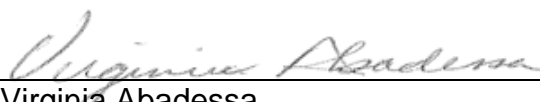
- A. Review of Proposals, RFP 8-1850 Bus Ridership Data Collection
- B. Proposal Evaluation Criteria Matrix, RFP 8-1850 Bus Ridership Data Collection
- C. Contract History for the Past Two Years, RFP 8-1850 Bus Ridership Data Collection


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Review of Proposals
RFP 8-1850 Bus Ridership Data Collection
PRESENTED TO THE TRANSIT COMMITTEE - December 13, 2018
Five proposals were received, five firms were interviewed, one firm is being recommended

Overall Ranking	Proposal Score	Firm and Location	Sub-Contractors	Evaluation Committee Comments	Blended Billable Hourly Rate
1	90	National Data & Surveying Services, Inc. doing business as Southland Car Counters Orange, California	None	Highest-ranked firm overall. Experience in bus ridership data collection. Firm will perform work with existing staff. Firm has over 25 years experience. Discussed approach for performing the services. Firm has performed data collection services for clients throughout California. Firm can implement services without extensive training or disruption to services. Presented approach and responded to interview questions. Firm received good comments from reference checks. Proposed competitive price.	\$22.85
2	80	P.S. Elite Management Orange, California	None	Second-ranked firm overall. Firm was established in 2010 with one employee. Discussed approach for performing the services. Will require recruitment of schedule checking personnel. Project manager has performed the same services for over 22 years. Proposed lowest price. Responded to interview questions.	\$22.50
3	73	Canete-Medina Consulting Group, Inc. Los Angeles, California	Wiltec Rock E. Miller and Associates	Third-ranked firm overall. Experience in transportation planning and management consulting. Relevant experience in bus and train ridership counts and surveys. Firm was established in 1995. Will hire data collectoin staff if selected. Presented approach and responded to interview questions. Firm received good comments from reference checks.	\$36.86
4	54	Quality Counts, LLC Concord, California	None	Firm was founded in 2002 in Portland, Oregon. Proposed utilizing video cameras as a solution. Good reference checks. Proposed high pricing. Responded to interview questions.	\$44.47
5	53	Innovative Data Acquisitions, LLC Renton, Washington	None	Firm was establish in 2013. Firm built a proprietary geo-based collection tool for tablets and phones called Kapturrit. Discussed approach for performing the services using their proprietary device. Proposed highest pricing. Responded to interview questions.	\$49.02

Evaluation Panel

Contracts Administratoin and Materials Management (1)
Scheduling and Bus Operations (2)
Rail Operations (1)
Transit Service Planning (1)

Proposed Criteria

Qualifications of the Firm
Staff and Project Organization
Work Plan
Cost and Price

Weight Factors

30 percent
20 percent
25 percent
25 percent

PROPOSAL EVALUATION CRITERIA MATRIX

RFP 8-1850 Bus Ridership Data Collection

Firm: National Data & Surveying Services, Inc., dba Southland Car Counters						Weights	Overall Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	4.5	4.0	4.5	4.0	4.0	6	25.2
Staffing & Project Organization	4.5	5.0	4.5	5.0	5.0	4	19.2
Work Plan	4.0	4.5	4.0	4.0	4.5	5	21.0
Cost & Price	4.9	4.9	4.9	4.9	4.9	5	24.4
Overall Score	89.4	90.9	89.4	88.4	90.9		90
Firm: P.S. Elite Management						Weights	Overall Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	3.5	3.5	3.0	3.0	3.5	6	19.8
Staffing & Project Organization	3.5	3.5	3.0	3.5	4.0	4	14.0
Work Plan	4.5	4.0	4.0	4.0	4.5	5	21.0
Cost & Price	5.0	5.0	5.0	5.0	5.0	5	25.0
Overall Score	82.5	80.0	75.0	77.0	84.5		80
Firm: Canete-Medina Consulting Group, Inc.						Weights	Overall Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	4.0	4.0	4.0	6	24.00
Staffing & Project Organization	4.0	3.5	4.0	3.0	4.0	4	14.80
Work Plan	4.0	4.0	3.5	3.0	4.0	5	18.50
Cost & Price	3.1	3.1	3.1	3.1	3.1	5	15.55
Overall Score	75.6	73.6	73.1	66.6	75.6		73
Firm: Quality Counts, LLC						Weights	Overall Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	3.5	3.5	3.5	2.0	2.5	6	18.00
Staffing & Project Organization	3.5	3.0	3.5	2.0	2.5	4	11.60
Work Plan	2.5	1.0	2.5	1.0	2.0	5	9.00
Cost & Price	3.1	3.1	3.1	3.1	3.1	5	15.55
Overall Score	63.1	53.6	63.1	40.6	50.6		54
Firm: Innovative Data Acquisitions, LLC						Weights	Overall Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	3.5	3.0	3.0	3.0	3.5	6	19.2
Staffing & Project Organization	3.5	3.0	3.5	3.0	3.5	4	13.2
Work Plan	2.5	2.0	2.0	2.0	2.5	5	11.0
Cost & Price	2.0	2.0	2.0	2.0	2.0	5	10.0
Overall Score	57.5	50.0	52.0	50.0	57.5		53

CONTRACT HISTORY FOR THE PAST TWO YEARS
RFP 8-1850: Bus Ridership Data Collection

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
National Data & Surveying Services, Inc., dba, Southland Car Counters						
Contract Type: Time and Expense Subconsultants: None	C-3-1855	Bus Ridership Data Collection	January 1, 2014	December 31, 2018	N/A	\$ 1,273,483
Contract Type: Firm-Fixed Subconsultants: None	C-7-2044	Onboard Passenger Survey Data Collection and Entry	January 12, 2018	December 31, 2018		\$ 142,650
Sub Total						\$1,416,133
P.S. Elite Management						
Contract Type: N/A Subconsultants: None	None	N/A	N/A	N/A	N/A	\$ -
Sub Total						\$0
Canete-Medina Consulting Group, Inc.						
Contract Type: N/A Subconsultants: None	None	N/A	N/A	N/A	N/A	\$ -
Sub Total						\$0
Quality Counts, LLC						
Contract Type: Firm-Fixed Subconsultants:	C-6-1496	Compile and Collect Traffic Data for	N/A	N/A	N/A	\$ 165,290
Kittelson & Associates		2017 Congestion Management Program				
					\$23,500	
Sub Total						\$165,290
Innovative Data Acquisitions, LLC						
Contract Type: N/A Subconsultants:	None	N/A	N/A	N/A	N/A	
Sub Total						



COMMITTEE TRANSMITTAL

January 14, 2019

To: Members of the Board of Directors
From: Laurena Weinert, Clerk of the Board
Subject: Bus Operations Performance Measurements Report for the First Quarter of Fiscal Year 2018-19

Transit Committee Meeting of January 10, 2019

Present: Directors Davies, Jones, Pulido, and Winterbottom
Absent: Director Do

Committee Vote

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

Staff Recommendation

Receive and file as an information item.



January 10, 2018

To: Transit Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Bus Operations Performance Measurements Report for the First Quarter of Fiscal Year 2018-19

Overview

The Orange County Transportation Authority operates fixed-route bus and demand-response paratransit service throughout Orange County and into neighboring counties. The report summarizes the year-to-date performance of these transit services provided through the first quarter of fiscal year 2018-19. The established measures of performance gauge the safety, courtesy, reliability, and overall quality of the public transit services provided.

Recommendation

Receive and file as an information item.

Background

The Orange County Transportation Authority (OCTA) operates a countywide network of local, community, rail connector, and express bus routes serving over 5,000 bus stops. Fixed-route bus (OC Bus) service operates in a 798 square-mile area, serving more than three million residents in 34 cities and unincorporated areas, with connections to transit services in Orange, Los Angeles, and Riverside counties. OC Bus service operated by OCTA is referred to as directly-operated fixed-route service (DOFR), while routes operated under contract are referred to as contracted fixed-route service (CFR). Using a contract operator, OCTA also provides OC ACCESS, a federally mandated paratransit service, which is a shared-ride program available for people unable to use the OC Bus service because of functional limitations. Performance measures for both, OC Bus and OC ACCESS services, are summarized and reported quarterly.

Discussion

The report provides an update on the performance of the OC Bus and OC ACCESS services by presenting the current trends and comparisons with OCTA-established standards for transit system safety, courtesy, and reliability. OCTA counts preventable vehicle accidents to evaluate system safety, customer complaints to assess courtesy and, uses both on-time performance and miles between road calls (MBRC) to measure service reliability. The report includes year-to-date performance through the first quarter of fiscal year (FY) 2018-19.

- Safety – Both OC Bus and OC ACCESS continue to exhibit strong performance in this area, exceeding the accident frequency standard of no more than one accident per 100,000 miles traveled.
- Customer Service – Customer service is measured by evaluating the number of valid customer complaints received. During this quarter, both fixed route operators performed above the prescribed standards of no more than one complaint per 20,000 riders carried on DOFR, and no more than one complaint per 7,000 riders carried on CFR. OC ACCESS continued to exceed the standard of no more than one valid complaint for every 667 riders carried. These measures indicate strong, positive customer satisfaction.
- Reliability – On-time performance (OTP) for OC Bus service was below target while the OTP for OC ACCESS was above standard. Fixed-route OTP performance can be attributed to several factors including vehicle reliability, driver behavior, high passenger loads, construction, and dynamic traffic conditions. Each service change provides staff with an opportunity to address changes in traffic patterns and impacts to service created by long-term construction projects through the scheduling process. To address other elements impacting OTP, corrective actions implemented to date include conducting route-level analyses to identify specific trouble points, conducting on-board evaluations, conducting on-site timepoint observations, communicating with drivers on problem routes, and coordinating with the various construction project teams to identify impacts to OTP and minimize them during construction.

MBRC for OC ACCESS exceeded the standard while OC Bus service, came in below standard. The completion of the 98 near-zero engine repowers at the end of the second quarter of FY 2018-19 has helped vehicle reliability for both DOFR and CFR. In addition, to address vehicle reliability for CFR, the contractor has provided additional maintenance training and implemented a rigorous quality control process to improve

vehicle repair procedures. In addition, recent staff changes have been made and corporate support has maintained a consistent presence in the maintenance shop. Benefits from the repower as well as the enhanced attention to the maintenance program by the contractor are expected to improve vehicle reliability, reduce road calls, and reduce service interruptions in the third quarter of FY 2018-19.

The report also includes:

- An assessment of the efficiency of OCTA transit operations based on industry standards for ridership, productivity, farebox recovery, and cost per revenue vehicle hour;
- A review of contractor performance for CFR and OC ACCESS services;
- A route-level performance evaluation that includes subsidy per boarding, revenue per boarding, and resource allocation (buses); and
- A status report on the service adjustments implemented under the OC Bus 360° Program.

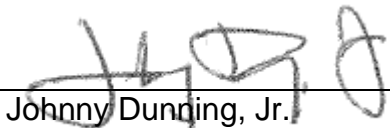
Summary

Through the first quarter of FY 2018-19, the OC ACCESS program continues to show good performance in all areas. The performance of OC Bus service exceeds the safety and customer service standards, but continues to perform below the reliability standard. OCTA staff continue to focus on continuous quality improvement in service reliability as detailed in the report. Service efficiency and route performance remain stable as OC Bus 360° implementation continues. Staff also continue to monitor the established key performance indicators, manage the service contracts pursuant to contract requirements, and work to identify other strategies to improve overall system performance.

Attachment

- A. Bus Operations Performance Measurements Report, First Quarter, Fiscal Year 2018-19

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Approved by:



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Jennifer L. Bergener
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Bus Operations Performance Measurements Report



First Quarter
Fiscal Year 2018-19

About This Report

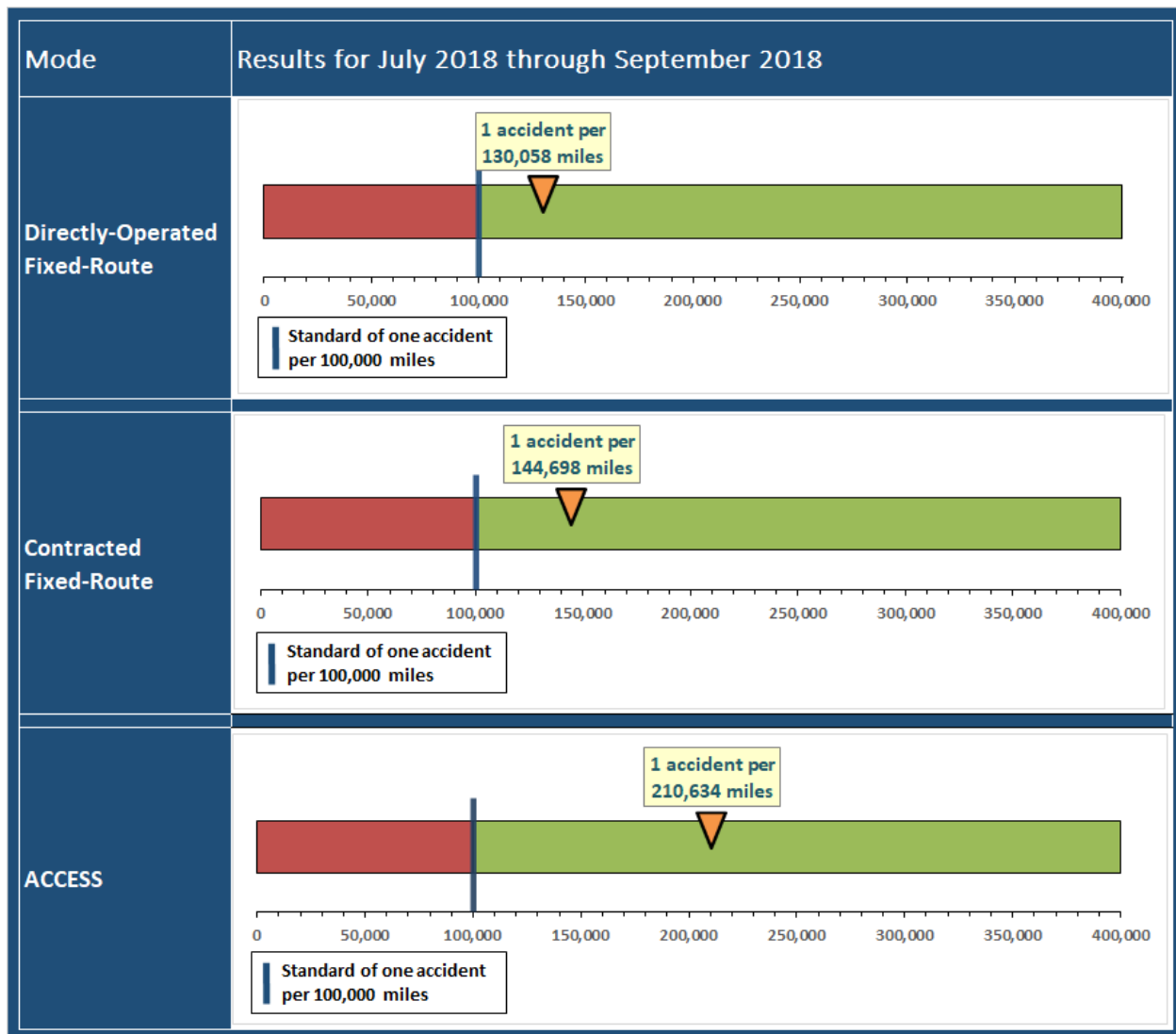
OC Bus service, operated by the Orange County Transportation Authority (OCTA), is a countywide network of local, community, rail connector, and express bus routes serving over 5,000 bus stops. OCTA also operates federally-mandated paratransit service (OC ACCESS), a shared-ride program available for people unable to use the regular OC Bus service because of functional limitations. OC Bus service operated by OCTA is referred to as directly-operated fixed-route (DOFR) service, while OC Bus service operated under contract is referred to as contracted fixed-route (CFR) service. The OC ACCESS program is a contract-operated demand-response service mandated by the Americans with Disabilities Act that is complementary to the fixed-route service and predominately accounts for the overall paratransit services operated by OCTA. OC Bus (DOFR and CFR) and OC ACCESS services make up the bus transit system and are evaluated by the performance measurements summarized in this report on a quarterly basis. This report covers the first quarter of fiscal year (FY) 2018-19 including July, August, and September 2018.

Performance is measured in three categories: Safety, Customer Satisfaction (Courtesy), and Reliability. This report tracks bus system safety, as measured by vehicle accidents; courtesy, as measured by customer complaints; and reliability, as measured by on-time performance (OTP) and miles between road calls (MBRC). Along with these metrics, industry-standard measurements are tracked to assess OCTA bus operations; these measurements include ridership, productivity, farebox recovery ratio (FRR), and cost per revenue vehicle hour (RVH). Graphs accompany the details of each indicator showing the standards or goals and the values for the current reporting period. The following sections provide performance information for OC Bus service, DOFR and CFR, and OC ACCESS service.

Safety: Preventable Vehicle Accidents

Safety is the top priority in the delivery of public transit services. The safety standard for DOFR, CFR, and ACCESS services is no more than one vehicle accident per 100,000 miles. Preventable vehicle accidents are the number of incidents when physical contact occurs between vehicles used for public transit and other vehicles, objects, or pedestrians, and where a coach operator failed to do everything reasonable to prevent the accident.

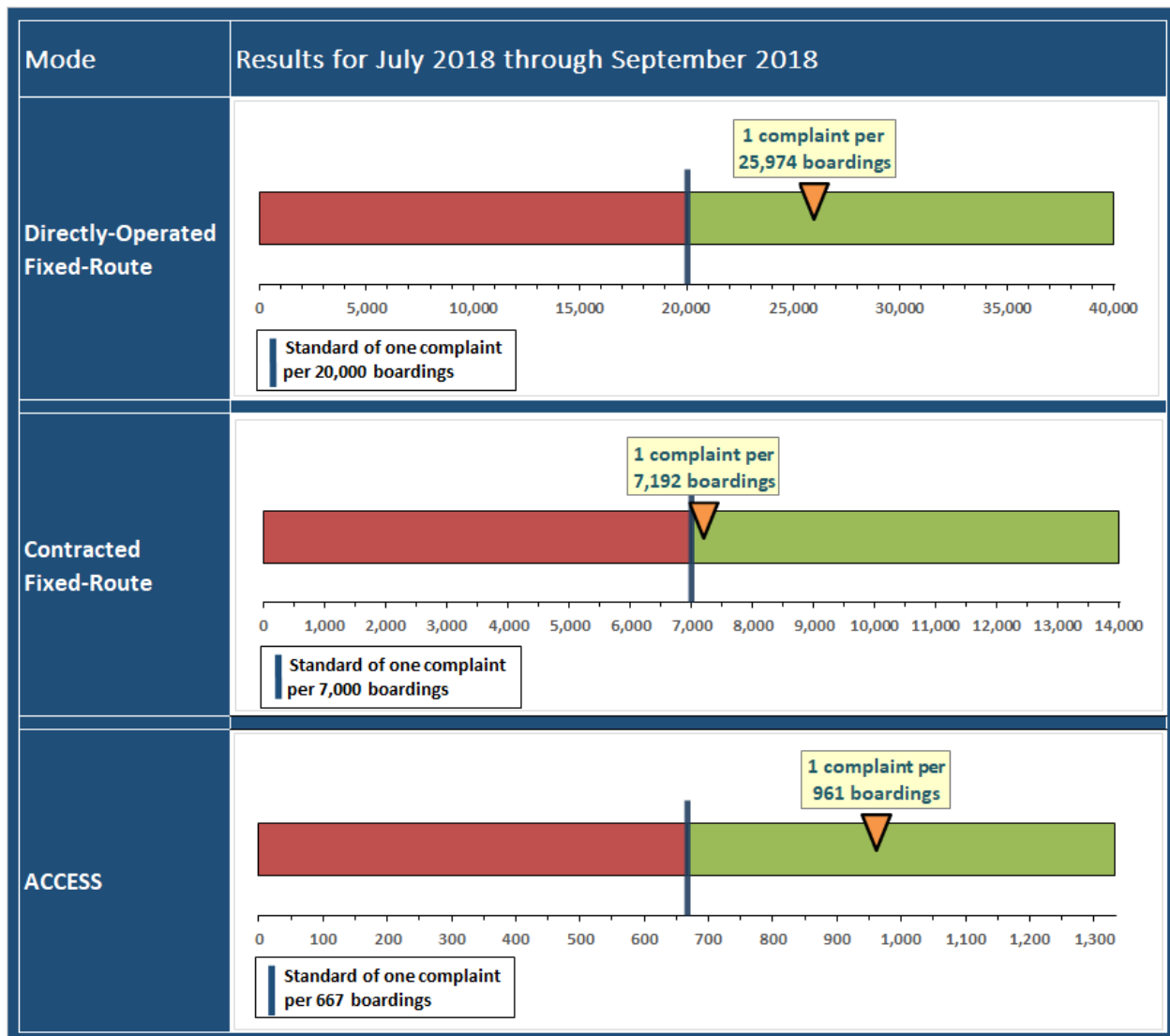
All modes of service exceeded the safety standard through the first quarter of FY 2018-19 with less than one accident per 100,000 boardings.



Courtesy: Customer Complaints

Customer complaints are counts of incidents when a rider reports dissatisfaction with the service. The standard adopted by OCTA for OC Bus service operated by OCTA is no more than one customer complaint per 20,000 boardings; the standard for contracted OC Bus service is no more than one valid complaint per 7,000 boardings; and the contractual standard for OC ACCESS is no more than one valid complaint per 667 boardings.

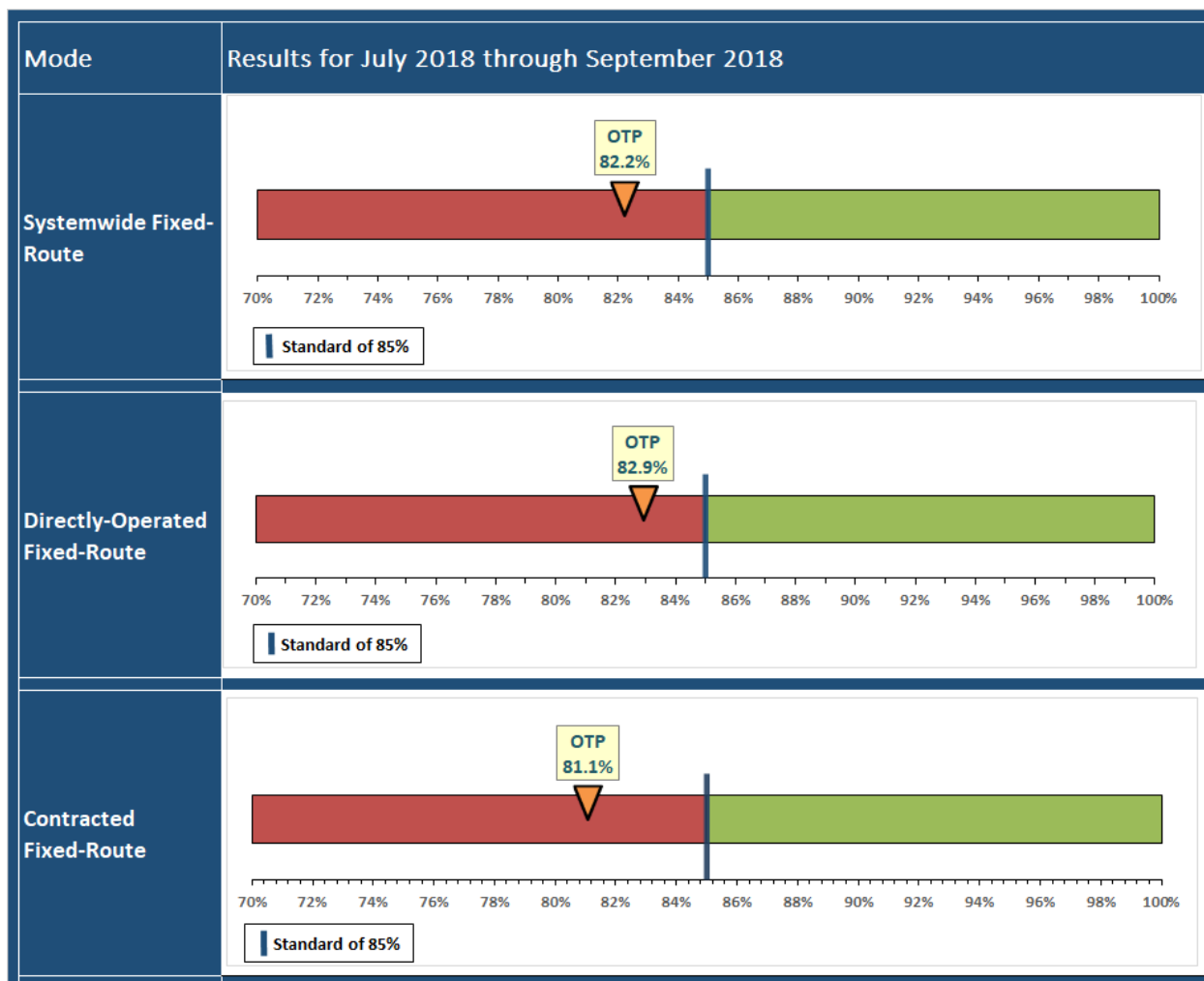
Through the first quarter of FY 2018-19, all modes of service exceeded the courtesy standard with less than one valid complaint per 20,000, 7,000, and 667 boardings, respectively.



Reliability: On-Time Performance

OTP is a measure of performance evaluating the schedule adherence of an OC bus operating in revenue service according to a published schedule. Schedule adherence is tracked by monitoring the departures of vehicles from time points, which are designated locations on a route used to control vehicle spacing as shown in the published schedule. For OC Bus service, a trip is considered on-time if it departs the time point zero minutes early to no more than five minutes late. OCTA's fixed-route system standard for OTP is 85 percent. For OC ACCESS service, OTP is a measure of performance evaluating a revenue vehicle's adherence to a scheduled pick-up time for transportation on a demand-response trip. A trip is considered on-time as long as the vehicle arrives within a 30-minute window. The OC ACCESS OTP standard is 94 percent.

Through the first quarter of FY 2018-19, systemwide fixed-route OTP was 82.2 percent, 2.8 percent below the standard. This marks a 2.4 percent drop from the previous quarter and a 2.3 percent drop from the same quarter last year. Compared to last quarter, OTP for the DOFR fell by 2.4 percent from 85.3 percent to 82.9 percent, lower than the same quarter last year which was 84.7 percent. The OTP for CFR service also fell by 2.4 percent and 3.0 percent compared to last quarter and the same quarter last year, respectively.

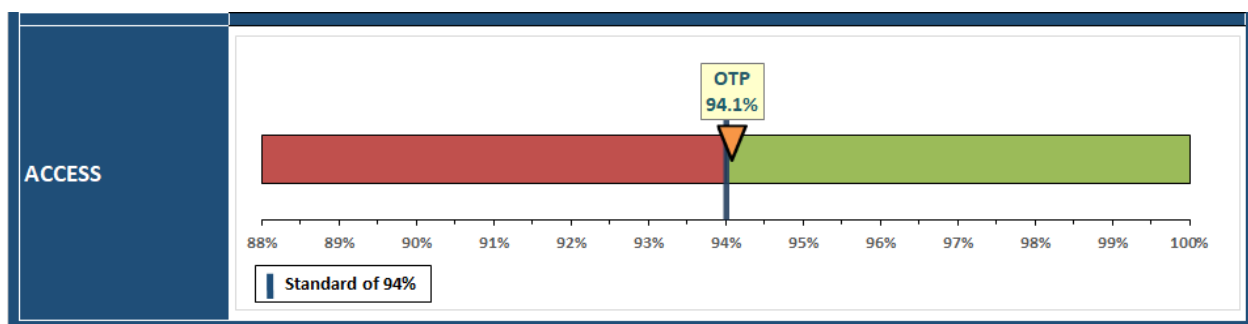


The significant reduction in OTP can be attributed to a number of elements including the seasonal traffic patterns along Pacific Coast Highway, major construction projects affecting local streets and roads (e.g., Interstate 405 (I-405) Project - Bridge Demolition), and other temporary events such as marathons, festivals, and local construction. These events cause delays as existing routing is often affected and detours typically add travel time to the route. During the first quarter of FY 2018-19, the projects listed below had direct impacts on OC Bus Service. This list does not include temporary, daily disruptions that occurred during the quarter.

- Orange Transportation Center parking structure project
- I-405 Bridge demolition at McFadden Avenue, lane reduction at Magnolia Street
- Bus pad installation eastbound/westbound Westminster Boulevard between Harbor Boulevard and Fairview Street
- Bristol Street widening project at 17th Street
- Katella Avenue water main replacement between Disneyland Drive and Haster Street/Anaheim Boulevard
 - With competing construction work along Katella Avenue for new hotel builds
- Fiber-optic work along Haster Street between Katella Avenue and Orangewood Avenue reducing traffic lanes
- Multiple line detours on the July 4th holiday
- Fiesta de Padrias event in downtown Santa Ana

OCTA staff will continue to coordinate with the various project teams to advise of the timeline for service changes and other service impacts during construction to minimize the effects on OTP. In addition, the Scheduling department has been evaluating running time throughout the system to address chronic chokepoints, and operating staff have been evaluating driver performance as it is related to attaining the 85 percent OTP standard. This comprehensive approach has provided staff with more information on routes that require additional running time to be added with the June service change.

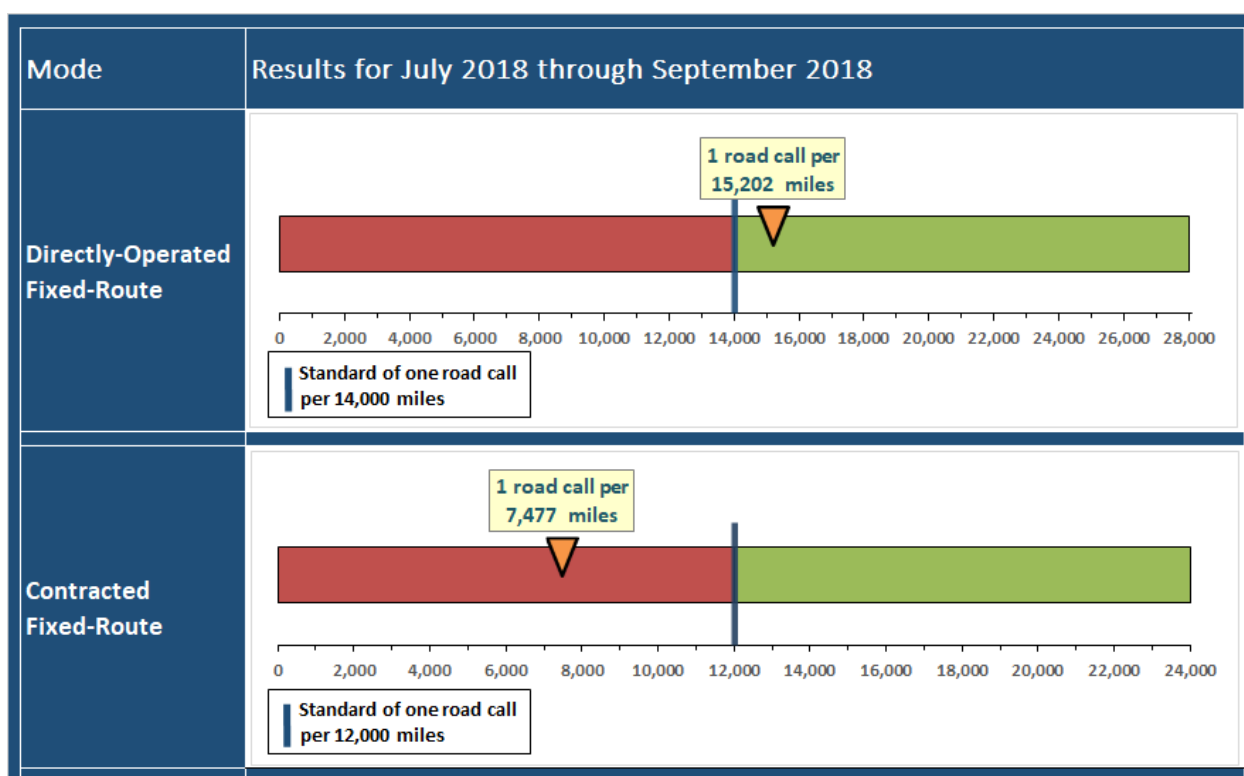
The OTP for OC ACCESS service remained above the standard at 94.1 percent, though it dropped by three-tenths from last quarter and 0.9 percent from the 95 percent reported during the same period last year.



Reliability: Miles Between Road Calls

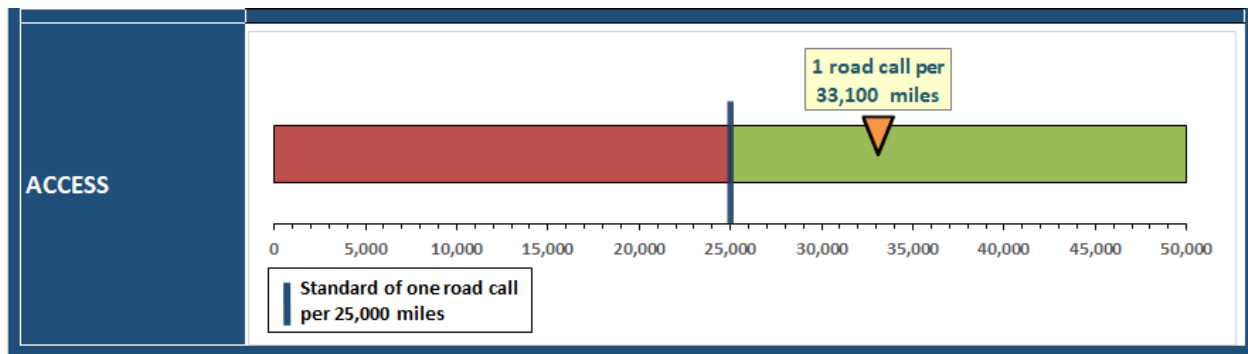
MBRC is a vehicle reliability performance indicator that measures the average distance in miles that a transit vehicle travels before failure of a vital component forces removal of the vehicle from service. Valid mechanical road calls usually cause a delay in service. The standard adopted by OCTA for OC Bus service operated by OCTA is 14,000 MBRC; the standard for OC Bus service operated by the contractor is 12,000 MBRC; and the contractual standard for OC ACCESS is 25,000 MBRC.

Through the first quarter of FY 2018-19, OC Bus services continue to improve in this performance measure. OCTA-operated OC Bus service performed above standard, averaging 15,202 MBRC, a 7.5 percent increase over last quarter and 11.8 percent increase over the first quarter of last year. Some of the increase in MBRC can be credited to a midlife engine replacement campaign underway during the first quarter in addition to seasonal variations, and continued work with the vehicle manufacturer to address warranty-related failures.



CFR did not meet the MBRC standard. Through the first quarter of FY 2018-19, the contractor operated below standard at 7,477 MBRC, a 14 percent fall from the previous quarter and a 7.5 percent fall from the same quarter last year. In an effort to improve MBRC, the contractor has provided additional maintenance training and implemented a rigorous quality control process to improve vehicle repair procedures. In addition, recent staff changes have been made and corporate staff has maintained a consistent presence in the shop. The completion of the 98 near-zero engine repowers in the second quarter of FY 2018-19 included fifty-nine percent of the vehicles operated by contracted services. Benefits from this type of project are expected to improve vehicle reliability, reduce road calls, and reduce service interruptions in the third quarter of FY 2018-19.

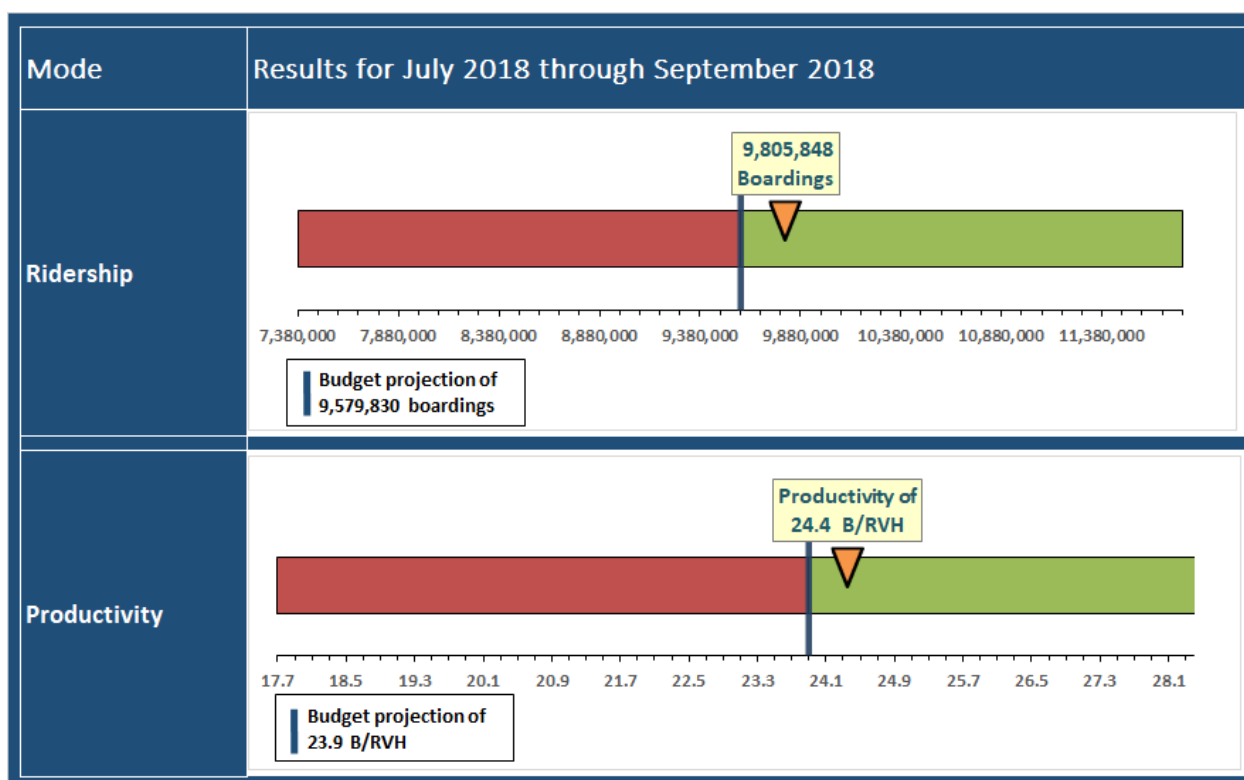
OC ACCESS exceeded the service standard with 33,100 MBRC.



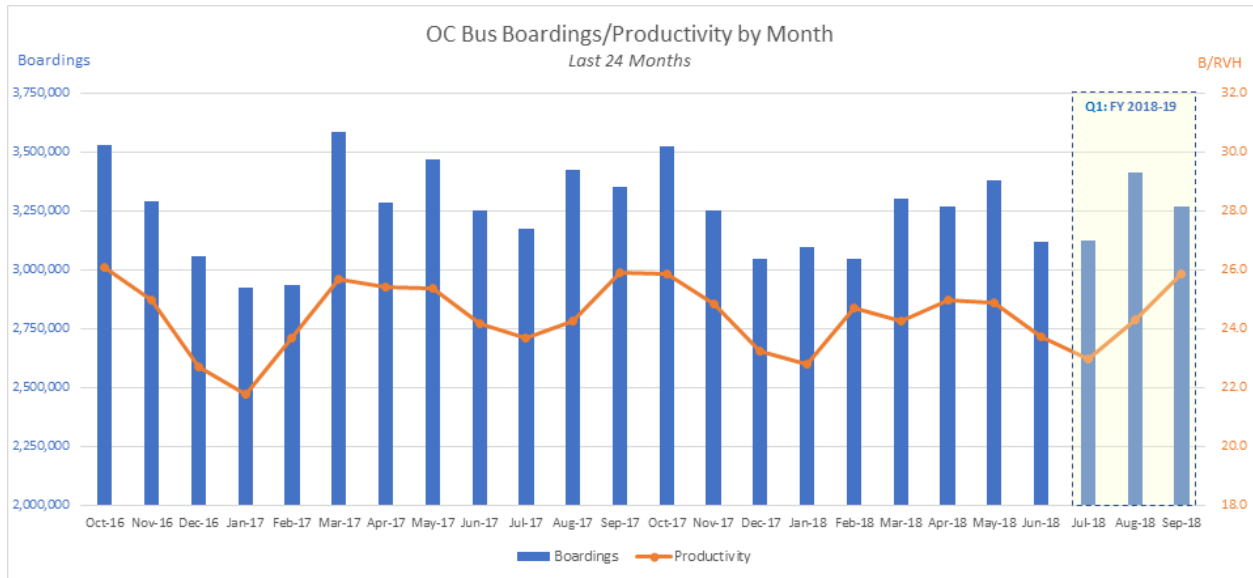
Ridership and Productivity – OC Bus

Ridership (or boardings) is the number of rides taken by passengers using public transit and is influenced by level of service provided, weather, economy, and seasonal variations in demand. Productivity is an industry measure that counts the average number of boardings for each RVH that is operated. A RVH is any sixty-minute increment of time that a vehicle is available for passengers within the scheduled hours of service, excluding deadhead. Boardings per RVH (B/RVH) is calculated by taking the boardings and dividing it by the number of RVH operated.

Through the first quarter of FY 2018-19, ridership and productivity for OC Bus service exceeded the budgeted projections by 2.4 percent and 2.1 percent, respectively. Actions taken as part of the OC Bus 360° Plan, including proactive service marketing and service improvements, are drivers of this favorable trend.



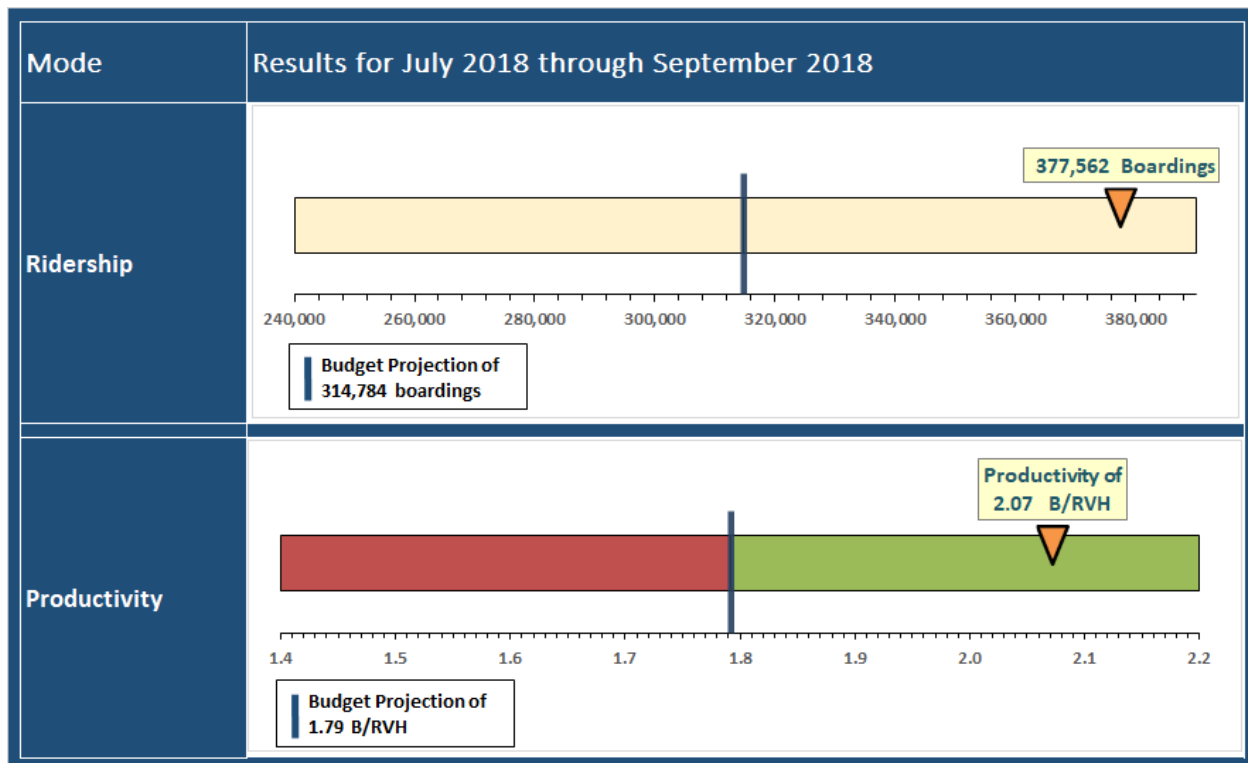
Over the last two years, the ridership and productivity indicate steady positive trends, as shown in the chart below. Ridership tends to peak during the spring and fall when school is in session, and dip during the winter and summer when students are on vacation. Productivity also tends to rise and fall during the same periods. Through the first quarter of FY 2018-19, ridership in August proved to be the high month, consistent with last year, while productivity increased month-over-month through the summer and into the beginning of the 2018-19 school year.



Ridership and Productivity – ACCESS

(Primary Service Provider and Supplemental Taxi)

Through the first quarter of FY 2018-19, the ridership and productivity trends for OC ACCESS continue to indicate increasing demand for this service. ACCESS ridership for the quarter exceeded budgeted projections by over 62,000 boardings, a 19.9 percent increase. Similarly, productivity for ACCESS increased by 0.28 boardings per RVH, a 15.6 percent increase over the budgeted projection at this point of the fiscal year. Though the productivity is good, indicating service efficiency, OCTA staff will continue to look for ways to utilize more cost-effective services such as Same Day Taxi to reduce overall program costs.



Contractor Performance: Fixed-Route

Per Agreement No. C-4-1737 between OCTA and First Transit, Inc. (First Transit), additional measures are tracked to ensure the OC Bus service provided by the contractor meets the standards for safety, customer service, and reliability. When the contractor's monthly or quarterly performance exceeds the standard as set forth in the agreement, financial incentives are paid to the contractor. When the monthly or quarterly performance of the contractor is below the standard as set forth in the agreement, penalties are assessed and must be paid to OCTA by the contractor.

Through the first quarter of FY 2018-19, the overall performance of contracted OC Bus service as determined by the performance categories outlined in the contract, was above standard for the measures of safety and courtesy. With respect to reliability, the performance was below standard.

Table 1 provides the penalties and incentives assessed to the contractor, by quarter, for FY 2018-19. The incentives paid to date, a total of \$3,200, reflect the outstanding performance related to courtesy. For the first quarter, the total penalties assessed to the contractor totaled \$262,041, largely due to poor performance in preventive maintenance (\$137,841), which likely contributed to the high number of missed trips (\$80,000) and road calls.

Table 1:	Performance Categories	FY19 Q1	FY19 Q2	FY19 Q3	FY19 Q4	FYTD 19
Penalties	On-Time Performance	\$ (7,000)				\$ (7,000)
	Valid Complaints: Per 7,000 boardings	\$ (2,900)				\$ (2,900)
	Unreported Accident	\$ (20,000)				\$ (20,000)
	Accident Frequency Ratio	\$ -				\$ -
	Key Positions	\$ -				\$ -
	CHP Terminal Inspections	\$ -				\$ -
	Reports	\$ -				\$ -
	Preventive Maintenance	\$ (137,841)				\$ (137,841)
	Road Calls	\$ (14,300)				\$ (14,300)
	Vehicle Damage: Per vehicle per day	\$ -				\$ -
	Missed Trips	\$ (80,000)				\$ (80,000)
	Total	\$ (262,041)				\$ (262,041)
Incentives	On-Time Performance	\$ -				\$ -
	Valid Complaints: Per 7,000 boardings	\$ 3,200				\$ 3,200
	Accident Frequency Ratio	\$ -				\$ -
	Total	\$ 3,200				\$ 3,200
Prior Periods	Road Calls	\$ (100)				\$ (100)
Adjustment	Total	\$ (100)				\$ (100)
All	Total	\$ (258,941)				\$ (258,941)

Contractor Performance: OC ACCESS

(Primary Service Provider and Supplemental Taxi)

Per Agreement No. C-2-1865 between OCTA and MV Transportation, Inc. (MV), additional measures are tracked to ensure the OC Bus service provided by the contractor meets the standards for safety, customer service, and reliability. When the contractor's monthly or quarterly performance exceeds the standard as set forth in the agreement, financial incentives are paid to the contractor. When the monthly or quarterly performance of the contractor is below the standard as set forth in the agreement, penalties are assessed and must be paid to OCTA by the contractor.

As presented in this report, the overall performance of the contractor providing OC ACCESS service through the first quarter of FY 2018-19 is above standard for all measures. Table 2 below lists, by quarter, the penalties and incentives assessed to the OC ACCESS contractor as established in the agreement. Over the quarter, there were no incentives awarded to the contractor, however, \$71,725 of penalties were assessed for call center hold times, issues with preventive maintenance, excessively late trips, and OTP.

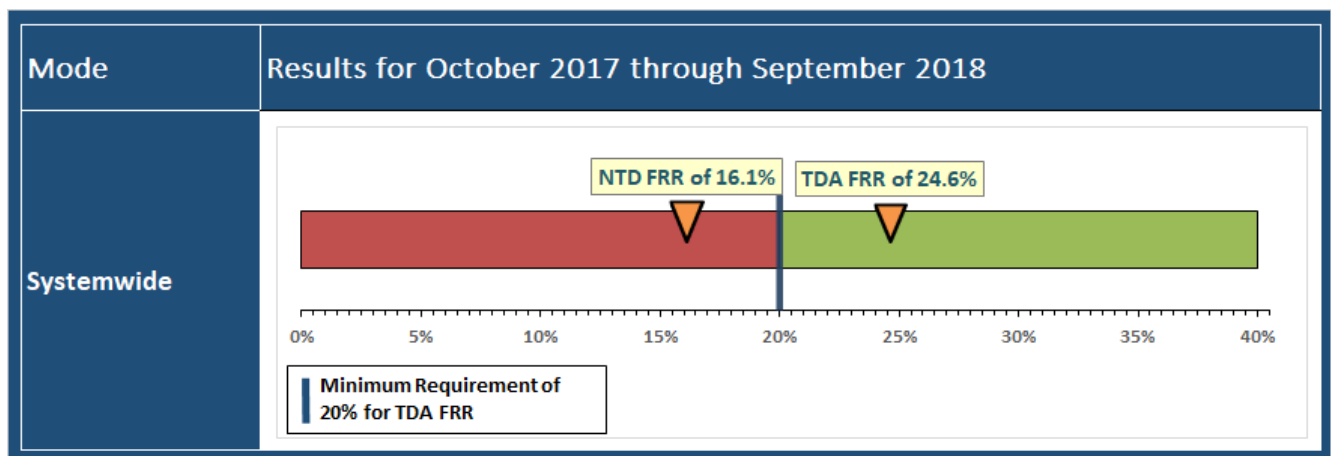
Table 1:	Performance Categories	FY19 Q1	FY19 Q2	FY19 Q3	FY19 Q4	FYTD 19
Penalties	Passenger Productivity	\$ -				\$ -
	On-Time Performance	\$ (10,000)				\$ (10,000)
	Customer Comments	\$ -				\$ -
	Call Center Hold Times	\$ (33,000)				\$ (33,000)
	Excessively Late Trips	\$ (10,000)				\$ (10,000)
	Missed Trips	\$ (5,000)				\$ (5,000)
	Unreported Accident	\$ -				\$ -
	Preventive Maintenance	\$ (13,725)				\$ (13,725)
	Road calls	\$ -				\$ -
	Reports	\$ -				\$ -
	Key Positions	\$ -				\$ -
	CHP Terminal Inspections	\$ -				
	Vehicle Damage	\$ -				
	Total	\$ (71,725)				\$ (71,725)
Incentives	Passenger Productivity	\$ -				\$ -
	On-Time Performance	\$ -				\$ -
	Excessively Late Trips	\$ -				\$ -
	Missed Trips	\$ -				\$ -
	Total	\$ -				\$ -
Prior Periods	Customer Comments	\$ 1,100				\$ 1,100
Adjustment	Total	\$ 1,100				\$ 1,100
All	Total	\$ (70,625)				\$ (70,625)

Farebox Recovery Ratio

FRR is a measure of the proportion of operating costs recovered by passenger fares, calculated by dividing the farebox revenue by total operating expenses. A minimum FRR of 20 percent for all service is required by the Transportation Development Act in order for transit agencies to receive their full share of the state sales tax available for public transit purposes.

In an effort to minimize seasonal fluctuations, data shown below reflects actuals over the last 12 months from October 2017 through September 2018.

FRR, based on the National Transit Database definition in which only passenger fares are included under revenue, did not meet the 20 percent goal. However, as a result of the passage of Senate Bill No. 508 (SB 508), OCTA was able to adjust the FRR to include local funds. SB 508 states, “If fare revenues are insufficient to meet the applicable ratio of fare revenues to operating cost required by this article, an operator may satisfy that requirement by supplementing its fare revenues with local funds. As used in this section, “local funds” are any non-federal or non-state grant funds or other revenue generated by, earned by, or distributed to an operator.” After incorporating property tax revenue, advertising revenue, and Measure M fare stabilization, the adjusted FRR was 24.6 percent, a drop of 0.6 percent from the previous quarter and a 0.8 percent drop from the same quarter last year.



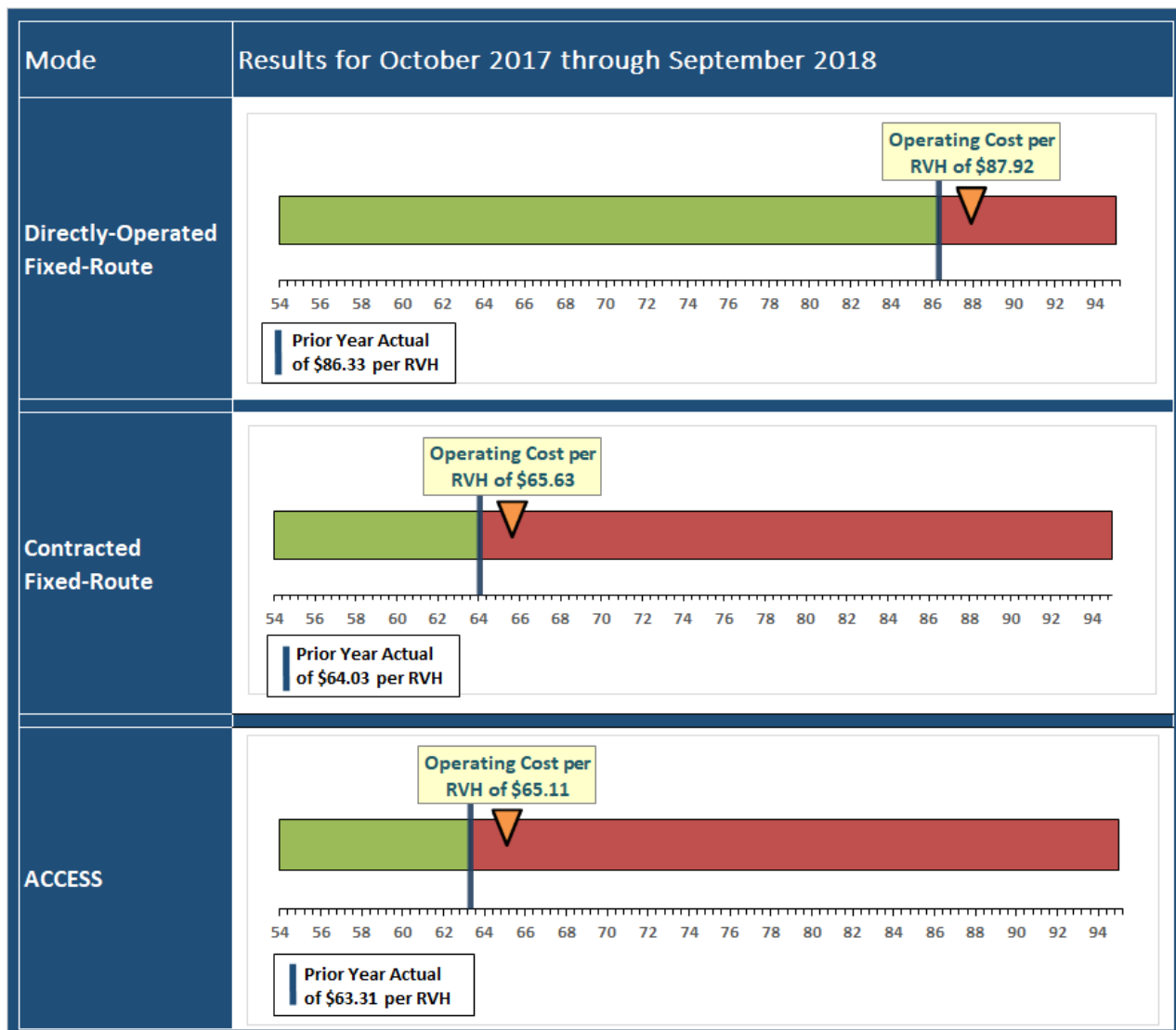
Note:

- National Transit Database (NTD) FRR consists of only passenger fares
- Transportation Development Act (TDA) FRR includes passenger fares, property tax revenue, advertising revenue and Measure M fare stabilization

Operating Cost per Revenue Vehicle Hour

Cost per RVH is one of the industry standards used to measure the cost efficiency of transit service. It is derived by dividing operating expenses by RVH. In order to provide a more comparable illustration, all metrics below are calculated based on direct operating cost, which excludes capital, general administrative, and other overhead costs.

Similar to the FRR, the statistics below depict actuals over the last 12 months. All modes operated at a higher cost per RVH than the same 12-month period of the prior year with 1.84 percent increase in DOFR, 2.50 percent increase in CFR, and 2.84 percent increase in OC ACCESS. The increase in DOFR was primarily due to the execution of the new coach operator labor contract. A signing bonus was expensed in May 2018, along with a salary increase. The increases in CFR and OC ACCESS cost per RVH were primarily associated with the increase in the contracted rates as included in the First Transit and MV agreements for each new FY. Another factor that contributed to the increase in OC ACCESS cost is the increase in gasoline prices.



Performance Evaluation by Route

Continuing efforts are underway to better understand and address ridership trends. The OC Bus 360° Plan, approved by the OCTA Board of Directors (Board) in March 2016, included several strategies to stimulate fixed-route ridership. These strategies include targeted marketing, a discounted summer youth pass, development of a mobile ticketing application, re-branding the fixed-route fleet, and improved travel time through the use of express-type service on local routes. Major route adjustments were implemented in both October 2016 and February 2018. All adjustments were developed based on route-level performance. Staff continue to track the impact of these adjustments on ridership and productivity while considering other strategies to further improve service performance. Performance evaluation is important because it provides:

- A better understanding of where resources are being applied;
- A measure of how well services are being delivered;
- A measure of how well these services are used; and
- An objective basis for decisions regarding future service changes and service deployment.

The tables on the following pages summarize route-level performance through the first quarter in FY 2018-19. The first three tables present the route-level performance sorted by routes with the highest net subsidy per boarding to routes with a lower net subsidy per boarding, and the remaining three tables present the same information sorted by routes that have the highest boardings to routes with a lower level of boardings.

A route guide listing all of the routes and their points of origin and destination is provided on the last page of this report. Route types are grouped by route numbers as follows:

- Routes 1 to 99: Local routes
- Routes 100 to 199: Community routes
- Routes 200 to 299: Intra-county express routes
- Routes 400 to 499: Stationlink routes
- Routes 500 to 599: Bravo! routes
- *Routes 600 to 699: Seasonal routes (these are not included on the following charts)*
- Routes 700 to 799: Inter-county express routes



OCTA Operating Statistics By Route for Local and Community Services (Sorted by Subsidy per Boarding)
Fiscal Year 2018-19 Through Q1

Route	Zone	Farebox	Subsidy per Boarding	Direct Subsidy	Indirect Subsidy	"Capital Subsidy" Per Boarding	Revenue per Boarding	Boardings	CostVSH	Direct CostVSH	CostVSM	BoardVSH	VSH	Bus Count		
														40 FT	32 FT	60 FT
021	N	8.4%	\$ 11.58	\$ 6.57	\$ 4.03	\$ 0.98	\$ 0.97	16,927	\$ 107.86	\$ 65.75	\$ 7.95	9.32	1,815	2	-	-
085	S	9.1%	11.18	6.35	3.90	0.93	1.03	17,911	100.39	64.22	8.17	8.90	2,012	2	-	-
087	S	8.8%	10.48	5.97	3.67	0.84	0.93	17,016	105.40	65.32	7.02	9.97	1,706	-	2	-
001	S	8.2%	10.24	5.93	3.77	0.54	0.87	153,627	147.96	95.25	9.13	14.00	10,977	10	-	-
076	C	9.5%	9.35	5.27	3.35	0.73	0.90	22,783	133.17	84.87	11.33	13.98	1,630	2	-	-
153	N	10.3%	9.10	5.35	3.21	0.54	0.98	30,649	99.27	64.05	8.11	10.40	2,947	2	-	-
178	C	11.1%	8.40	4.82	2.89	0.69	0.96	24,243	99.94	64.13	8.04	11.52	2,104	2	-	-
177	S	12.8%	8.00	4.58	2.75	0.67	1.07	21,245	99.60	64.10	7.71	11.86	1,791	-	2	-
167	C	12.6%	7.52	4.25	2.55	0.72	0.98	46,616	99.52	64.03	8.40	12.77	3,650	4	-	-
082	S	15.8%	7.01	3.46	2.13	1.42	1.05	17,561	111.92	66.53	7.92	16.86	1,042	3	-	-
083	C	11.9%	6.96	3.95	2.51	0.50	0.87	165,189	141.13	90.74	7.79	19.23	8,591	10	-	-
024	N	14.0%	6.85	3.74	2.30	0.81	0.99	30,848	99.55	64.07	7.82	14.18	2,176	3	-	-
086	C	13.8%	6.78	3.79	2.33	0.66	0.98	38,078	99.92	64.16	7.72	14.09	2,702	3	-	-
091	S	15.1%	6.73	3.81	2.34	0.58	1.09	101,408	101.17	64.51	7.02	13.96	7,265	7	-	-
079	C	13.0%	6.71	3.85	2.36	0.50	0.93	99,291	99.73	64.09	8.79	13.95	7,116	6	-	-
090	S	15.7%	6.43	3.49	2.14	0.80	1.05	82,859	103.87	65.02	6.92	15.57	5,323	8	-	-
050	N	12.5%	6.14	3.46	2.20	0.48	0.81	313,023	151.73	97.00	12.94	23.46	13,342	4	-	9
129	N	16.0%	6.08	3.39	2.03	0.66	1.04	50,296	101.49	64.46	8.35	15.71	3,201	4	-	-
560	C	13.2%	6.03	3.34	2.12	0.57	0.83	190,153	142.81	91.13	12.33	22.71	8,375	13	-	-
056	N	12.5%	5.86	3.44	2.19	0.23	0.81	108,463	139.08	88.65	13.16	21.58	5,025	3	-	-
143	N	15.3%	5.77	3.39	2.03	0.35	0.98	47,586	99.62	64.09	8.70	15.57	3,056	2	-	-
059	C	15.7%	5.69	3.15	1.94	0.60	0.95	139,771	103.18	64.74	9.20	17.10	8,173	10	-	-
150	C	16.9%	5.56	3.00	1.80	0.76	0.98	43,905	103.06	64.60	10.17	17.86	2,458	4	-	-
054	N	14.5%	5.54	3.10	1.97	0.47	0.86	302,361	138.29	88.20	12.57	23.28	12,987	17	-	-
026	N	15.2%	5.39	3.09	1.90	0.40	0.90	104,357	101.44	64.35	9.88	17.22	6,059	5	-	-
072	C	15.4%	5.38	3.05	1.94	0.39	0.91	128,144	134.00	85.54	10.82	22.75	5,634	6	-	-
055	C	16.7%	5.37	3.06	1.94	0.37	1.00	335,056	138.79	88.52	12.37	23.14	14,481	15	-	-
089	S	17.2%	5.17	2.93	1.80	0.44	0.98	95,021	99.93	64.17	8.04	17.51	5,427	5	-	-
025	N	17.3%	5.17	2.83	1.74	0.60	0.96	97,911	100.73	64.32	8.36	18.25	5,364	7	-	-
037	N	15.2%	5.13	2.92	1.85	0.36	0.86	277,237	138.64	88.45	11.34	24.64	11,252	12	-	-
071	N	17.1%	4.97	2.85	1.75	0.37	0.95	179,474	100.15	64.24	8.00	18.04	9,949	8	-	-
029	N	17.5%	4.39	2.53	1.61	0.25	0.88	520,354	139.21	88.87	11.96	27.73	18,767	14	-	1
030	N	18.0%	4.29	2.44	1.50	0.35	0.86	166,668	99.60	64.14	7.70	20.75	8,034	7	-	-
543	N	17.9%	4.27	2.40	1.53	0.34	0.86	242,954	140.04	89.38	12.45	29.25	8,305	10	-	-
047	C	19.4%	4.22	2.40	1.52	0.30	0.94	550,922	138.16	88.10	12.31	28.38	19,409	20	-	-
035	N	18.8%	4.04	2.21	1.36	0.47	0.83	211,127	102.96	64.69	8.94	23.39	9,025	12	-	-
070	C	20.3%	3.95	2.19	1.35	0.41	0.90	243,319	104.09	65.00	8.43	23.43	10,385	12	-	-
057	C	20.0%	3.90	2.19	1.39	0.32	0.90	519,977	144.81	92.42	13.49	32.29	16,104	-	13	-
060	C	18.7%	3.81	2.19	1.39	0.23	0.82	496,711	138.00	88.12	11.95	31.37	15,834	14	-	-
033	N	18.7%	3.78	2.19	1.34	0.25	0.81	100,963	100.22	64.21	8.09	23.10	4,370	3	-	-
053X	C	20.3%	3.78	2.16	1.37	0.25	0.90	163,926	126.31	80.32	12.24	28.51	5,750	5	-	-
046	N	21.9%	3.64	2.03	1.25	0.36	0.92	163,983	100.41	64.25	8.67	23.94	6,848	7	-	-
043	N	21.5%	3.53	2.01	1.28	0.24	0.90	549,594	135.94	86.55	13.53	32.42	16,954	16	-	-
038	N	21.3%	3.50	1.95	1.20	0.35	0.85	283,105	101.55	64.49	8.28	25.41	11,141	12	-	-
053	C	21.0%	3.47	1.99	1.26	0.22	0.87	375,155	141.28	89.95	15.15	34.34	10,925	10	-	-
057X	C	22.8%	3.42	1.89	1.20	0.33	0.91	276,562	126.43	80.44	11.80	31.64	8,740	-	7	-
042	N	22.4%	3.09	1.75	1.08	0.26	0.82	385,948	101.15	64.38	9.09	27.74	13,913	12	-	-
066	C	24.3%	3.02	1.72	1.10	0.20	0.91	532,011	136.86	87.21	13.21	36.73	14,486	13	-	-
064X	C	24.2%	2.75	1.58	1.01	0.16	0.83	151,813	126.33	80.34	12.16	36.98	4,106	3	-	-
064	C	24.4%	2.69	1.56	0.99	0.14	0.82	408,089	137.67	87.68	14.11	40.84	9,993	7	-	-

(1) Total bus count (426) is based on PM weekday equipment requirements.

(2) Bus count for routes 53X, 57X and 64X are estimated based on total route 53, 57 and 64 equipment requirements.

(3) C under Zone is Central County, N is North County and S is South County.



OCTA Operating Statistics By Route for Express Service (Sorted by Subsidy per Boarding)
Fiscal Year 2018-19 Through Q1

Route	Zone	Farebox	Subsidy per Boarding	Direct Subsidy	Indirect Subsidy	"Capital Subsidy" Per Boarding	Revenue per Boarding	Boardings	CostVSH	Direct CostVSH	CostVSM	BoardVSH	VSH	Bus Count		
														40 FT	32 FT	60 FT
211	C	2.9%	\$ 40.28	\$ 18.92	\$ 14.84	\$ 6.52	\$ 0.99	4,384	\$ 108.12	\$ 63.84	\$ 6.30	3.11	1,409	-	4	-
213	N	2.8%	38.91	17.24	13.53	8.14	0.88	3,511	126.44	68.38	7.20	3.99	879	-	4	-
721	N	5.4%	38.18	21.11	12.72	4.35	1.93	5,751	217.63	141.44	8.46	6.09	945	3	-	-
701	C	9.6%	27.10	14.37	8.66	4.07	2.45	6,138	248.71	161.49	10.31	9.76	629	3	-	-
206	C	5.5%	23.02	9.25	7.26	6.51	0.96	3,292	133.32	73.57	6.99	7.63	432	-	3	-
794	C	29.5%	18.15	7.87	6.17	4.11	5.87	8,115	163.21	99.24	6.11	8.20	990	4	-	-

(1) Total bus count (426) is based on PM weekday equipment requirements.

(2) C under Zone is Central County, N is North County and S is South County.



OCTA Operating Statistics By Route for Stationlink Service (Sorted by Subsidy per Boarding)
Fiscal Year 2018-19 Through Q1

Route	Zone	Farebox	Subsidy per Boarding	Direct Subsidy	Indirect Subsidy	"Capital Subsidy" Per Boarding	Revenue per Boarding	Boardings	CostVSH	Direct CostVSH	CostVSM	BoardVSH	VSH	Bus Count		
														40 FT	32 FT	60 FT
463	C	5.4%	\$ 22.85	\$ 8.98	\$ 7.91	\$ 5.96	\$ 0.96	5,597	\$ 132.73	\$ 73.29	\$ 12.75	7.43	753	4	-	-
480	C	10.9%	10.24	4.09	3.60	2.55	0.94	6,529	132.40	73.33	11.41	15.35	425	2	-	-
473	C	12.2%	9.71	3.64	3.21	2.86	0.95	8,734	135.47	73.56	12.61	17.37	503	3	-	-
453	N	10.7%	9.17	3.65	3.22	2.30	0.82	7,252	137.33	74.14	20.54	17.85	406	2	-	-
472	C	14.0%	7.81	2.79	2.46	2.56	0.85	9,765	128.26	72.51	10.43	21.04	464	3	-	-
462	C	16.4%	5.86	2.65	2.33	0.88	0.98	9,510	121.50	70.93	18.01	20.40	466	1	-	-

(1) Total bus count (426) is based on PM weekday equipment requirements.

(2) C under Zone is Central County, N is North County and S is South County.



OCTA Operating Statistics By Route for Local and Community Services (Sorted by Boardings)
Fiscal Year 2018-19 Through Q1

Route	Zone	Farebox	Subsidy per Boarding	Direct Subsidy	Indirect Subsidy	"Capital Subsidy" Per Boarding	Revenue per Boarding	Boardings	CostVSH	Direct CostVSH	CostVSM	BoardVSH	VSH	Bus Count		
														40 FT	32 FT	60 FT
047	C	19.4%	\$ 4.22	\$ 2.40	\$ 1.52	\$ 0.30	\$ 0.94	550,922	\$ 138.16	\$ 88.10	\$ 12.31	28.38	19,409	20	-	-
043	N	21.5%	3.53	2.01	1.28	0.24	0.90	549,594	135.94	86.55	13.53	32.42	16,954	16	-	-
066	C	24.3%	3.02	1.72	1.10	0.20	0.91	532,011	136.86	87.21	13.21	36.73	14,486	13	-	-
029	N	17.5%	4.39	2.53	1.61	0.25	0.88	520,354	139.21	88.87	11.96	27.73	18,767	14	-	1
057	C	20.0%	3.90	2.19	1.39	0.32	0.90	519,977	144.81	92.42	13.49	32.29	16,104	-	-	13
060	C	18.7%	3.81	2.19	1.39	0.23	0.82	496,711	138.00	88.12	11.95	31.37	15,834	14	-	-
064	C	24.4%	2.69	1.56	0.99	0.14	0.82	408,089	137.67	87.68	14.11	40.84	9,993	7	-	-
042	N	22.4%	3.09	1.75	1.08	0.26	0.82	385,948	101.15	64.38	9.09	27.74	13,913	12	-	-
053	C	21.0%	3.47	1.99	1.26	0.22	0.87	375,155	141.28	89.95	15.15	34.34	10,925	10	-	-
055	C	16.7%	5.37	3.06	1.94	0.37	1.00	335,056	138.79	88.52	12.37	23.14	14,481	15	-	-
050	N	12.5%	6.14	3.46	2.20	0.48	0.81	313,023	151.73	97.00	12.94	23.46	13,342	4	-	9
054	N	14.5%	5.54	3.10	1.97	0.86	0.86	302,361	138.29	88.20	12.57	23.28	12,987	17	-	-
038	N	21.3%	3.50	1.95	1.20	0.35	0.85	283,105	101.55	64.49	8.28	25.41	11,141	12	-	-
037	N	15.2%	5.13	2.92	1.85	0.36	0.86	277,237	138.64	88.45	11.34	24.64	11,252	12	-	-
057X	C	22.8%	3.42	1.89	1.20	0.33	0.91	276,562	126.43	80.44	11.80	31.64	8,740	-	-	7
070	C	20.3%	3.95	2.19	1.35	0.41	0.90	243,319	104.09	85.00	8.43	23.43	10,385	12	-	-
543	N	17.9%	4.27	2.40	1.53	0.34	0.86	242,954	140.04	89.38	12.45	29.25	8,305	10	-	-
035	N	18.8%	4.04	2.21	1.36	0.47	0.83	211,127	102.96	64.69	8.94	23.39	9,025	12	-	-
560	C	13.2%	6.03	3.34	2.12	0.57	0.83	190,153	142.81	91.13	12.33	22.71	8,375	13	-	-
071	N	17.1%	4.97	2.85	1.75	0.37	0.95	179,474	100.15	64.24	8.00	18.04	9,949	8	-	-
030	N	18.0%	4.29	2.44	1.50	0.35	0.86	166,668	99.60	64.14	7.70	20.75	8,034	7	-	-
083	C	11.9%	6.96	3.95	2.51	0.50	0.87	165,189	141.13	90.74	7.79	19.23	8,591	10	-	-
046	N	21.9%	3.64	2.03	1.25	0.36	0.92	163,983	100.41	64.25	8.67	23.94	6,848	7	-	-
053X	C	20.3%	3.78	2.16	1.37	0.25	0.90	163,926	126.31	80.32	12.24	28.51	5,750	5	-	-
001	S	8.2%	10.24	5.93	3.77	0.54	0.87	153,627	147.96	95.25	9.13	14.00	10,977	10	-	-
064X	C	24.2%	2.75	1.58	1.01	0.16	0.83	151,813	126.33	80.34	12.16	36.98	4,106	3	-	-
059	C	15.7%	5.69	3.15	1.94	0.60	0.95	139,771	103.18	64.74	9.20	17.10	8,173	10	-	-
072	C	15.4%	5.38	3.05	1.94	0.39	0.91	128,144	134.00	85.54	10.82	22.75	5,634	6	-	-
056	N	12.5%	5.86	3.44	2.19	0.23	0.81	108,463	139.08	88.65	13.16	21.58	5,025	3	-	-
026	N	15.2%	5.39	3.09	1.90	0.40	0.90	104,357	101.44	64.35	9.88	17.22	6,059	5	-	-
091	S	15.1%	6.73	3.81	2.34	0.58	1.09	101,408	101.17	64.51	7.02	13.96	7,265	7	-	-
033	N	18.7%	3.78	2.19	1.34	0.25	0.81	100,963	100.22	64.21	8.09	23.10	4,370	3	-	-
079	C	13.0%	6.71	3.85	2.36	0.50	0.93	99,291	99.73	64.09	8.79	13.95	7,116	6	-	-
025	N	17.3%	5.17	2.83	1.74	0.60	0.96	97,911	100.73	64.32	8.36	18.25	5,364	7	-	-
089	S	17.2%	5.17	2.93	1.80	0.44	0.98	95,021	99.93	64.17	8.04	17.51	5,427	5	-	-
090	S	15.7%	6.43	3.49	2.14	0.80	1.05	82,859	103.87	65.02	6.92	15.57	5,323	8	-	-
129	N	16.0%	6.08	3.39	2.03	0.66	1.04	50,296	101.49	64.46	8.35	15.71	3,201	4	-	-
143	N	15.3%	5.77	3.39	2.03	0.35	0.98	47,586	99.62	64.09	8.70	15.57	3,056	2	-	-
167	C	12.6%	7.52	4.25	2.55	0.72	0.98	46,616	99.52	64.03	8.40	12.77	3,650	4	-	-
150	C	16.9%	5.56	3.00	1.80	0.76	0.98	43,905	103.06	64.60	10.17	17.86	2,458	4	-	-
086	C	13.8%	6.78	3.79	2.33	0.66	0.98	38,078	99.92	64.16	7.72	14.09	2,702	3	-	-
024	N	14.0%	6.85	3.74	2.30	0.81	0.99	30,848	99.55	64.07	7.82	14.18	2,176	3	-	-
153	N	10.3%	9.10	5.35	3.21	0.54	0.98	30,649	99.27	64.05	8.11	10.40	2,947	2	-	-
178	C	11.1%	8.40	4.82	2.89	0.69	0.96	24,243	99.94	64.13	8.04	11.52	2,104	2	-	-
076	C	9.5%	9.35	5.27	3.35	0.73	0.90	22,783	133.17	84.87	11.33	13.98	1,630	2	-	-
177	S	12.8%	8.00	4.58	2.75	0.67	1.07	21,245	99.60	64.10	7.71	11.86	1,791	-	2	-
085	S	9.1%	11.18	6.35	3.90	0.93	1.03	17,911	100.39	64.22	8.17	8.90	2,012	2	-	-
082	S	15.8%	7.01	3.46	2.13	1.42	1.05	17,561	111.92	66.53	7.92	16.86	1,042	3	-	-
087	S	8.8%	10.48	5.97	3.67	0.84	0.93	17,016	105.40	65.32	7.02	9.97	1,706	-	2	-
021	N	8.4%	11.58	6.57	4.03	0.98	0.97	16,927	107.86	65.75	7.95	9.32	1,815	2	-	-

(1) Total bus count (426) is based on PM weekday equipment requirements.

(2) Bus count for routes 53X, 57X and 64X are estimated based on total route 53, 57 and 64 equipment requirements.

(3) C under Zone is Central County, N is North County and S is South County.



OCTA Operating Statistics By Route for Express Service (Sorted by Boardings)
Fiscal Year 2018-19 Through Q1

Route	Zone	Farebox	Subsidy per Boarding	Direct Subsidy	Indirect Subsidy	"Capital Subsidy" Per Boarding	Revenue per Boarding	Boardings	CostVSH	Direct CostVSH	CostVSM	BoardVSH	VSH	Bus Count		
														40 FT	32 FT	60 FT
794	C	29.5%	\$ 18.15	\$ 7.87	\$ 6.17	\$ 4.11	\$ 5.87	8,115	\$ 163.21	\$ 99.24	\$ 6.11	8.20	990	4	-	-
701	C	9.6%	27.10	14.37	8.66	4.07	2.45	6,138	248.71	161.49	10.31	9.76	629	3	-	-
721	N	5.4%	38.18	21.11	12.72	4.35	1.93	5,751	217.63	141.44	8.46	6.09	945	3	-	-
211	C	2.9%	40.28	18.92	14.84	6.52	0.99	4,384	108.12	63.84	6.30	3.11	1,409	-	4	-
213	N	2.8%	38.91	17.24	13.53	8.14	0.88	3,511	126.44	68.38	7.20	3.99	879	-	4	-
206	C	5.5%	23.02	9.25	7.26	6.51	0.96	3,292	133.32	73.57	6.99	7.63	432	-	3	-

(1) Total bus count (426) is based on PM weekday equipment requirements.

(2) C under Zone is Central County, N is North County and S is South County.



OCTA Operating Statistics By Route for Stationlink Service (Sorted by Boardings)
Fiscal Year 2018-19 Through Q1

Route	Zone	Farebox	Subsidy per Boarding	Direct Subsidy	Indirect Subsidy	"Capital Subsidy" Per Boarding	Revenue per Boarding	Boardings	CostVSH	Direct CostVSH	CostVSM	BoardVSH	VSH	Bus Count		
														40 FT	32 FT	60 FT
472	C	14.0%	\$ 7.81	\$ 2.79	\$ 2.46	\$ 2.56	\$ 0.85	9,765	\$ 128.26	\$ 72.51	\$ 10.43	21.04	464	3	-	-
462	C	16.4%	5.86	2.65	2.33	0.88	0.98	9,510	121.50	70.93	18.01	20.40	466	1	-	-
473	C	12.2%	9.71	3.64	3.21	2.86	0.95	8,734	135.47	73.56	12.61	17.37	503	3	-	-
453	N	10.7%	9.17	3.65	3.22	2.30	0.82	7,252	137.33	74.14	20.54	17.85	406	2	-	-
480	C	10.9%	10.24	4.09	3.60	2.55	0.94	6,529	132.40	73.33	11.41	15.35	425	2	-	-
463	C	5.4%	22.85	8.98	7.91	5.96	0.96	5,597	132.73	73.29	12.75	7.43	753	4	-	-

(1) Total bus count (426) is based on PM weekday equipment requirements.

(2) C under Zone is Central County, N is North County and S is South County.

Route

Reference

Table

Route	Route Description	Main Street	Route Category
1	Long Beach - San Clemente	via Pacific Coast Hwy	LOCAL
21	Buena Park - Sunset Beach	via Valley View St/ Bolsa Chica Rd	LOCAL
24	Buena Park - Orange	via Malvern Ave/ Chapman Ave/ Tustin Ave	LOCAL
25	Fullerton - Huntington Beach	via Knott Ave/ Goldenwest St	LOCAL
26	Fullerton - Placentia	via Commonwealth Ave/ Yorba Linda Blvd	LOCAL
29	La Habra - Huntington Beach	via Beach Blvd	LOCAL
30	Cerritos - Anaheim	via Orangethorpe Ave	LOCAL
33	Fullerton - Huntington Beach	via Magnolia St	LOCAL
35	Fullerton - Costa Mesa	via Brookhurst St	LOCAL
37	La Habra - Fountain Valley	via Euclid St	LOCAL
38	Lakewood - Anaheim Hills	via Del Amo Blvd/ La Palma Ave	LOCAL
42	Seal Beach - Orange	via Seal Beach Blvd/ Los Alamitos Blvd/ Lincoln Ave	LOCAL
43	Fullerton - Costa Mesa	via Harbor Blvd	LOCAL
46	Los Alamitos - Orange	via Ball Road/ Taft Ave	LOCAL
47	Fullerton - Balboa	via Anaheim Blvd/ Fairview St	LOCAL
50	Long Beach - Orange	via Katella Ave	LOCAL
53/53X	Anaheim - Irvine	via Main St	LOCAL
54	Garden Grove - Orange	via Chapman Ave	LOCAL
55	Santa Ana - Newport Beach	via Standard Ave/ Bristol St/ Fairview St/ 17th St	LOCAL
56	Garden Grove - Orange	via Garden Grove Blvd	LOCAL
57/57X	Brea - Newport Beach	via State College Blvd/ Bristol St	LOCAL
59	Anaheim - Irvine	via Kraemer Blvd/ Glassell St/ Grand Ave/ Von Karman Ave	LOCAL
60	Long Beach - Tustin	via Westminster Ave/ 17th St	LOCAL
64/64X	Huntington Beach - Tustin	via Bolsa Ave/ 1st St	LOCAL
66	Huntington Beach - Irvine	via McFadden Ave/ Walnut Ave	LOCAL
70	Sunset Beach - Tustin	via Edinger Ave	LOCAL
71	Yorba Linda - Newport Beach	via Tustin Ave/ Red Hill Ave/ Newport Blvd	LOCAL
72	Sunset Beach - Tustin	via Warner Ave	LOCAL
76	Huntington Beach - John Wayne Airport	via Talbert Ave/ MacArthur Blvd	LOCAL
79	Tustin - Newport Beach	via Bryan Ave/ Culver Dr/ University Ave	LOCAL
82	Foothill Ranch - Rancho Santa Margarita	via Portola Pkwy/ Santa Margarita Pkwy	LOCAL
83	Anaheim - Laguna Hills	via S Fwy/ Main St	LOCAL
85	Mission Viejo - Laguna Niguel	via Marguerite Pkwy/ Crown Valley Pkwy	LOCAL
86	Costa Mesa - Mission Viejo	via Alton Pkwy/ Jeronimo Rd	LOCAL
87	Rancho Santa Margarita - Laguna Niguel	via Alicia Pkwy	LOCAL
89	Mission Viejo - Laguna Beach	via El Toro Rd/ Laguna Canyon Rd	LOCAL
90	Tustin - Dana Point	via Irvine Center Dr/ Moulton Pkwy/ Golden Lantern St	LOCAL
91	Laguna Hills - San Clemente	via Paseo de Valencia/ Camino Capistrano/ Del Obispo St	LOCAL
129	La Habra - Anaheim	via La Habra Blvd/ Brea Blvd/ Birch St/ Kraemer Blvd	COMMUNITY
143	La Habra - Brea	via Whittier Blvd/ Harbor Blvd/ Brea Blvd/ Birch St	COMMUNITY
150	Santa Ana - Costa Mesa	via Fairview St/ Flower St	COMMUNITY
153	Brea - Anaheim	via Placentia Ave	COMMUNITY
167	Orange - Irvine	via Irvine Ave/ Hewes St/ Jeffrey Rd	COMMUNITY
177	Foothill Ranch - Laguna Hills	via Lake Forest Dr/ Muirlands Blvd/ Los Alisos Blvd	COMMUNITY
178	Huntington Beach - Irvine	via Adams Ave/ Birch St/ Campus Dr	COMMUNITY
206	Santa Ana - Lake Forest Express	via S Fwy	EXPRESS BUS
211	Huntington Beach - Irvine Express	via 405 Fwy	EXPRESS BUS
213	Brea - Irvine Express	via 55 Fwy	EXPRESS BUS
453	Orange Transportation Center - St. Joseph's Hospital	via Chapman Ave/ Main St/ La Veta Ave	STATIONLINK
462	Santa Ana Regional transportation Center - Civic Center	via Santa Ana Blvd/ Civic Center Dr	STATIONLINK
463	Santa Ana Regional transportation Center - Hutton Centre	via Grand Ave	STATIONLINK
472	Tustin Metrolink Station - Irvine Business Complex	via Edinger Ave/ Red Hill Ave/ Campus Dr/ Jamboree Rd	STATIONLINK
473	Tustin Metrolink Station - U.C.I.	via Edinger Ave/ Harvard Ave	STATIONLINK
480	Irvine Metrolink Station - Lake Forest	via Alton Pkwy/ Bake Pkwy/ Lake Forest Dr	STATIONLINK
543	Fullerton Transportation Center - Santa Ana	via Harbor Blvd	BRAVO
560	Santa Ana - Long Beach	via 17th St/ Westminster Blvd	BRAVO
701	Huntington Beach - Los Angeles Express	via 405 Fwy/ 605 Fwy/ 105 Fwy/ 110 Fwy	EXPRESS BUS
721	Fullerton - Los Angeles Express	via 110 Fwy/ 91 Fwy	EXPRESS BUS
794	Riverside / Corona - South Coast Metro Express	via 91 Fwy/ 55 Fwy	EXPRESS BUS

OC Bus 360° Plan: Performance to Date

To address declining bus ridership, in 2015, the Board endorsed a comprehensive action plan (Plan), known as OC Bus 360°. This effort included a comprehensive review of current and former rider perceptions, a peer review panel that reviewed OCTA's performance and plans, new branding and marketing tactics tied to rider needs, upgraded bus routes and services to better match demand and capacity, technology solutions to improve passenger experience, and pricing, as well as other revenue changes to stimulate ridership, and provide new funding.

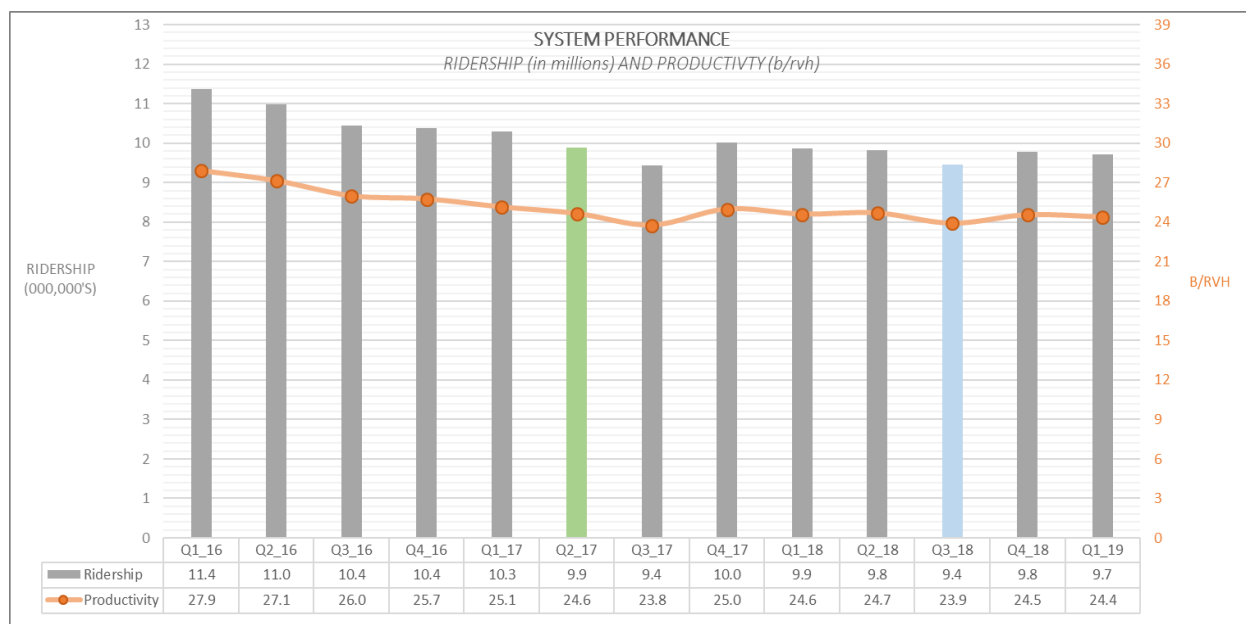
Extensive work was invested by OCTA divisions to implement the Plan. These efforts included:

- Implementation of new and faster bus routes;
- Redeployment of services in June 2016, October 2016, October 2017, and February 2018, to improve efficiencies and build ridership;
- Competitively-awarded grants to local agencies through Project V for transit services tailored to community needs;
- Implementation of a promotional fare and college pass program;
- Rollout of new technologies, such as mobile ticketing, real-time bus arrival information, and a microtransit service; and
- Extensive marketing, public outreach, and promotional campaigns.

Impact of the Service Changes

Of the series of approved bus service changes under the OC Bus 360° Plan, the changes implemented in October 2016 and February 2018 were the most significant and tracked for overall plan impact. Provided below is a series of charts that show overall system performance over the last 13 quarters and the impact of these route adjustments (*October 2016 marked by green bar; February 2018 marked by blue bar*). In this review, performance is measured by change in average weekday boardings for routes that were improved and average B/RVH for routes that were reduced. This analysis is necessary and on-going to gauge the effectiveness of the recommended changes and overall plan.

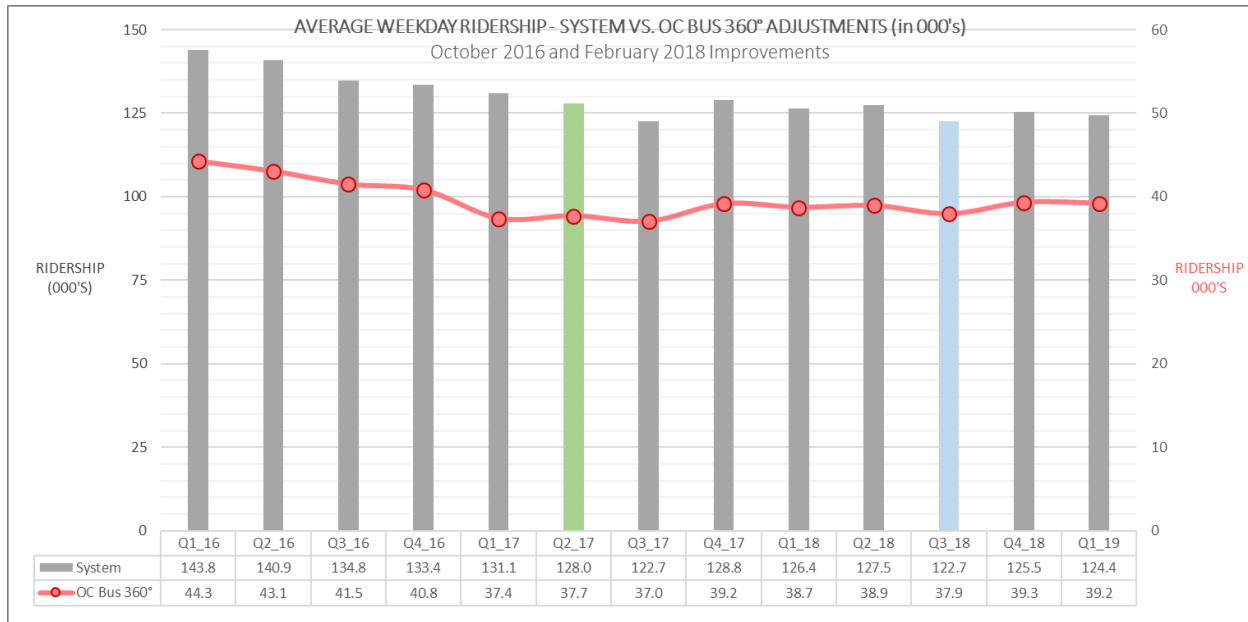
The trend of overall system ridership and productivity is provided on the following chart. Of note is the difference in the productivity numbers provided here compared to the productivity numbers provided in previous reports. This variation is due to the actions taken to correct an inadvertent omission of recovery time in the dashboard. Data was not captured for several routes with distinct operational characteristics (remote layover zones). The added time to the total RVH accounts for the slight drop in the quarterly boardings per RVH.



Through the first quarter of FY 2018-19, ridership and productivity are down slightly compared to last quarter, but are generally constant with respect to the quarterly trend over the past two years, since the October 2016 service change.

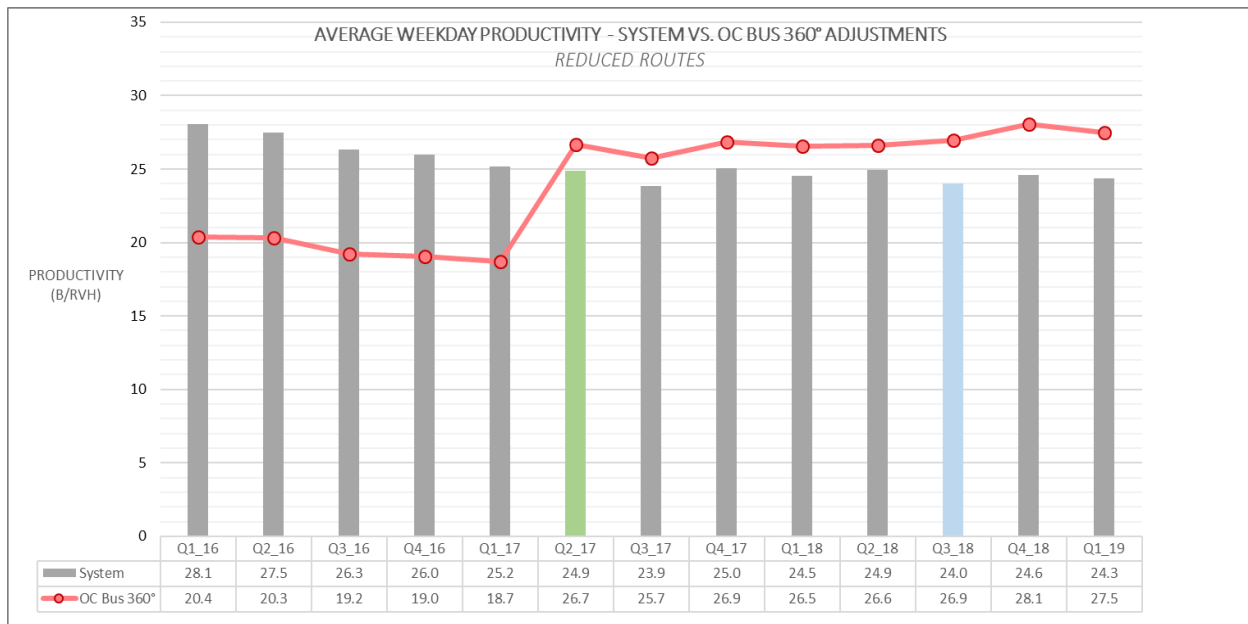
- Ridership was 0.5 percent lower than the previous quarter, and 1.5 percent lower than the same quarter last FY.
- Productivity over the first quarter fell by 0.7 percent from last quarter and was 0.9 percent lower than the same quarter last year.

Overall, the adjustments implemented under the OC Bus 360° Plan are trending steadily. The following chart compares the system trend against the group of routes improved in October 2016 and February 2018. The adjustments implemented in October 2016, though now mature, continue to show steady growth. Comparing the results of the first quarter of FY 2018-19 with the first quarter of FY 2017-18, the collective average weekday ridership on the eight improved routes has increased from 9,652 boardings to 11,510, a 16.1 percent jump. Three routes serving La Habra/Fountain Valley, Sunset Beach/Tustin, and Yorba Linda/Newport Beach, respectively, account for nearly 88 percent of the average weekday increase associated with the October 2016 service change. Service changes of this kind generally mature in a timeframe between 18 to 24 months. Therefore, the changes implemented in October 2016 will continue to be tracked, but will not be specifically identified in future reports. The adjustments implemented in February 2018 will be specifically tracked with respect to OC Bus 360° updates.



- The system average for average weekday ridership during the first quarter was 124,388, a 0.9 percent drop compared to the previous quarter and a 1.6 percent drop from the same quarter last year.
- The improved routes collectively (October 2016 and February 2018 improvements) had 39,220 average weekday boardings over the quarter.
 - 0.3 percent drop under the 39,326 average weekday boardings reported the previous quarter, but
 - 1.3 percent higher than the 38,714 boardings reported during the same quarter last year.
 - Trend is similar to systemwide average weekday ridership

Improved system and route productivity are the goals for services that are *reduced* or *eliminated* under the OC Bus 360° Plan – making low performing routes more productive. In February 2018, more routes were reduced or eliminated to improve productivity. The following chart compares the system productivity trend against the productivity of the group of routes that were reduced/eliminated in October 2016 and February 2018.



During the first quarter of FY 2018-19, the collective reductions are yielding observable improvements in productivity compared to the system average.

- The system average for weekday productivity was at 24.3 B/RVH.
 - The reduced services collectively are performing considerably above the system average, by 13.2 percent
 - The reduced services collectively had an average weekday productivity above 27.5 B/RVH, down by 2.1 percent from the fourth quarter of last year, but 3.8 percent higher than the first quarter of last year (before the February 2018 service change).

Other OC Bus 360° Initiatives

OC FLEX Pilot Program

OC FLEX is an on-demand service offered under a one-year pilot. OC FLEX is a curb-to-curb shuttle service available in two zones in Orange County, seven days a week, that began in October 2018 in select areas that, to date, have been unable to productively support fixed-route bus service. One zone includes parts of Huntington Beach and Westminster, while the other zone includes parts of Aliso Viejo, Laguna Niguel, and Mission Viejo. The service is operated under a contract with Keolis. The service introduces a new vehicle type and is consistent with the OC Bus 360 Program as it will test new rider markets while matching resources with demand. Rides are primarily booked using a mobile app on a smart phone, but trips may also be booked by phone through the Keolis reservation center. Inside each OC FLEX zone, riders are able to take unlimited rides to work, school, for recreation, entertainment, or other purposes for \$4.50 per day using the OC Flex mobile app, or \$5 per day if paying cash onboard. Riders are also able to transfer between OC FLEX and OC Bus to create first mile and last mile service. Over the course of the pilot, OCTA staff will be tracking ridership, productivity, average wait times, shared rides, and customer satisfaction. Staff will provide the Board with an update after six months of service and annual after completion of the

pilot project. The evaluation after one year of operation will help determine if one or both pilot zones should continue to operate and if this service model should be considered for additional areas.

College Pass Program

The College Pass Program started in August 2017, with students from Santa Ana College and continuing education students from Santa Ana College and Santiago Canyon College. The College Pass Program uses a shared cost strategy where all students pay a transportation fee, whether they ride or not. These fees were approved by students who voted to support the fees in a referendum and are collected by the colleges.

From August 2017 to September 30, 2018, the College Pass Program has realized 1.5 million boardings with 9,750 unique students participating. In November and December 2017, a survey was conducted to further evaluate the effectiveness of the pass program. To determine if students were new riders, the survey asked if students had ridden the bus prior to the start of the College Pass Program. Survey results indicated that 14 percent of students from Santa Ana College were new riders who did not ride the bus prior to implementation of the College Pass program. Additionally, 26 percent of continuing education students responded that they were new riders who did not ride the bus prior to the pass program.

The college pass program has stabilized the ridership on the routes that directly serve Santa Ana College and Santiago Canyon College as well as other routes that connect students to these schools. Because of the interest among students generated by the availability of the College Pass Program for continuing education students, a referendum was held, and students voted to support expansion of the College Pass Program to include all students from Santiago Canyon College, making the program available to all eligible students in the Rancho Santiago Community College District in August 2018. A survey will be conducted toward the end of the school year to evaluate the program and help determine the number of new riders attained from expanding the college pass program at Santiago Canyon College.



COMMITTEE TRANSMITTAL

January 14, 2019

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Amendment to Agreement for Additional Design Services for Interstate 5 Widening Project Between State Route 73 and Oso Parkway

Regional Planning and Highways Committee Meeting of January 7, 2019

Present: Directors Delgleize, M. Murphy, and Steel

Absent: Directors Bartlett, Nelson, Pulido, and Spitzer

Committee Vote

Due to lack of quorum, no action was taken on this item.

Staff Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 7 to Agreement No. C-3-2189 between the Orange County Transportation Authority and WKE, Inc., in the amount of \$527,608, for additional design services for the Interstate 5 widening project between State Route 73 and Oso Parkway. This will increase the maximum cumulative obligation of the agreement to a total contract value of \$10,605,710.



January 7, 2019

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Amendment to Agreement for Additional Design Services for Interstate 5 Widening Project Between State Route 73 and Oso Parkway

Overview

On June 9, 2014, the Orange County Transportation Authority Board of Directors authorized an agreement with WKE, Inc., for the preparation of plans, specifications, and estimates for the Interstate 5 widening project between State Route 73 and Oso Parkway. An amendment to the existing agreement is required for additional design services.

Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 7 to Agreement No. C-3-2189 between the Orange County Transportation Authority and WKE, Inc., in the amount of \$527,608, for additional design services for the Interstate 5 widening project between State Route 73 and Oso Parkway. This will increase the maximum cumulative obligation of the agreement to a total contract value of \$10,605,710.

Discussion

The Interstate 5 (I-5) widening project between State Route 73 (SR-73) and Oso Parkway (Project) is part of the Measure M2 (M2) freeway program, Project C, and is being advanced through the Next 10 Delivery Plan approved by the Orange County Transportation Authority (OCTA) Board of Directors (Board) in November 2016.

The Project will add general purpose lanes in each direction on I-5 between SR-73 and Oso Parkway, re-establish existing auxiliary lanes, reconstruct the Avery Parkway interchange, and convert existing carpool lanes to continuous access. Additional Project scope has been identified which requires further

Amendment to Agreement for Additional Design Services for Interstate 5 Widening Project Between State Route 73 and Oso Parkway

design effort. An amendment to the Project design contract is recommended, and the additional design services will include the following:

In accordance with Agreement No. C-3-2189 and as required by the California Department of Transportation (Caltrans), the freeway widening will be designed to meet the latest standard plans and specifications (SP&S), procedures, and requirements. In October 2018, the SP&S were updated to revise certain design standards governing freeway design. Caltrans required that the Project plans be revised to meet the new standards which affected eight retaining walls and a bridge within the Project limits.

The freeway widening will require construction of new retaining walls and bridges with pile driving. Vibration from pile driving may affect existing nearby non-highway facilities; therefore, monitoring is required to reduce the risk of potential property damage claims. WKE, Inc. (WKE) will develop specifications for vibration monitoring survey of existing nearby non-highway facilities. WKE will also coordinate with two other segments of the I-5 widening project and obtain approval of the specifications from Caltrans.

To eliminate impacts to the existing slope, an additional retaining wall approximately 100 feet long is needed to be designed by WKE. The new retaining wall requires only a temporary construction easement instead of a permanent slope easement. This would result in an estimated cost savings of \$500,000, and eliminates a need for future slope maintenance by Caltrans.

Caltrans is responsible for the Project's ROW acquisition and certification. WKE's services are required to support Caltrans ROW, including survey staking, revisions to legal descriptions, plats and appraisal maps, preparation of resolution of necessity packages, and meetings.

Procurement Approach

This procurement was handled in accordance with OCTA's Board-approved procedures for architectural and engineering services which conform to both state and federal laws. The original firm-fixed price agreement was issued on March 2, 2015, in the amount of \$8,449,511. The agreement was amended previously as shown in Attachment A. It has become necessary to amend the existing agreement to include additional design services so that the plans, specifications, and estimates can be finalized.

OCTA staff negotiated the required level of effort with WKE to provide the additional design services. OCTA found WKE's price proposal, in the amount of \$527,608 to be fair and reasonable relative to the negotiated level of effort.

Amendment to Agreement for Additional Design Services for Interstate 5 Widening Project Between State Route 73 and Oso Parkway *Page 3*

Proposed Amendment No. 7 to Agreement No. C-3-2189 will increase the total contract value to \$10,605,710.

Fiscal Impact

Funding for the Project is included in OCTA's Fiscal Year 2018-19 Budget, Capital Programs Division, Account 0017-7519-FC102-06W, and is funded with a combination of federal Surface Transportation Block Grant and local M2 funds.

Summary

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute Amendment No. 7 to Agreement No. C-3-2189 between the Orange County Transportation Authority and WKE, Inc., to increase funding, in the amount of \$527,608, for additional design services for the Interstate 5 widening project between State Route 73 to Oso Parkway.

Attachment

- A. WKE, Inc., Agreement No. C-3-2189 Fact Sheet

Prepared by:



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Approved by:



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**WKE, Inc.
Agreement No. C-3-2189 Fact Sheet**

1. June 9, 2014, Agreement No. C-3-2189, \$8,449,511, approved by the Board of Directors (Board).
 - Agreement was executed on March 2, 2015, to prepare plans, specifications, and estimates (PS&) for the Interstate 5 (I-5) widening project between State Route 73 and Oso Parkway (Project).
2. June 9, 2016, Amendment No. 1 to Agreement No. C-3-2189, \$195,202, approved by Contracts Administration and Materials Management (CAMM) Department.
 - Additional retaining walls design to accommodate widening within Project limits.
 - Additional geotechnical investigation to map current stability conditions of the slope area located on the east side of I-5/Crown Valley Parkway interchange and for design of new retaining walls.
 - Additional traffic analysis to evaluate modifications to lane configuration at Avery Parkway and Camino Capistrano.
3. January 5, 2017, Amendment No. 2 to Agreement No. C-3-2189, \$243,854, approved by CAMM Department.
 - Design of new retaining walls to reduce impact on right-of-way (ROW).
 - Additional surveying and design services at Avery Parkway and Marguerite Parkway.
4. April 3, 2017, Amendment No. 3 to Agreement No. C-3-2189, \$249,920, approved by CAMM Department.
 - Design a California Department of Transportation (Caltrans) communication facility per California building codes.
5. June 13, 2017, Amendment No. 4 to Agreement No. C-3-2189, \$249,852, approved by CAMM Department.
 - Additional design and geotechnical services to accommodate the second lane truck turn on Crown Valley Parkway and I-5 northbound off ramp.
 - Additional traffic analysis.
 - Installation of two groundwater monitoring wells.
 - Additional potholing and surveying for identification and validation of underground utilities.

6. November 13, 2017, Amendment No. 5 to Agreement No. C-3-2189, \$449,702, approved by the Board on November 6, 2017.
 - Provide additional design services to complete PS&E for the Project.
7. November 2, 2018, Amendment No. 6 to Agreement No. C-3-2189, \$240,061, approved by CAMM Department.
 - Provide additional design and geotechnical services for pavement revisions.
 - Additional ROW engineering services
8. Amendment No. 7 to Agreement No. C-3-2189, \$527,608, pending Board approval.
 - Provide additional design services to meet October 2018 updates to the Caltrans Highway Design Manual.
 - Provide additional ROW maps, surveying, and coordination services.

Total funds committed to WKE, Inc., after approval of Amendment No. 7 to Agreement No. C-3-2189: \$10,605,710.



COMMITTEE TRANSMITTAL

January 14, 2019

To: Members of the Board of Directors

From: Laurena Weinert, Clerk of the Board

Subject: Consultant Selection for Construction Management Services for the Anaheim Canyon Metrolink Station Improvement Project

Transit Committee Meeting of January 10, 2019

Present: Directors Davies, Jones, Pulido, and Winterbottom
Absent: Director Do

Committee Vote

This item was passed by the Members present.

Director Pulido was not present to vote on this item.

Committee Recommendations

- A. Approve the selection of Berg & Associates, Inc., as the firm to provide construction management services for the Anaheim Canyon Metrolink Station Improvement project.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-8-1760 between the Orange County Transportation Authority and Berg & Associates, Inc., as the firm to provide construction management services for the Anaheim Canyon Metrolink Station Improvement project.



January 10, 2019

To: Transit Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Consultant Selection for Construction Management Services for the Anaheim Canyon Metrolink Station Improvement Project

Overview

On July 23, 2018, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals to provide construction management services related to the construction of improvements at the Anaheim Canyon Metrolink Station. Board of Directors' approval is requested for the selection of a firm to perform the required work.

Recommendations

- A. Approve the selection of Berg & Associates, Inc., as the firm to provide construction management services for the Anaheim Canyon Metrolink Station Improvement project.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-8-1760 between the Orange County Transportation Authority and Berg & Associates, Inc., as the firm to provide construction management services for the Anaheim Canyon Metrolink Station Improvement project.

Discussion

The Anaheim Canyon Metrolink Station (Station) is located on the Southern California Passenger and Freight Rail Network Olive Subdivision, which is owned by the Orange County Transportation Authority (OCTA). The Station is served by Metrolink's Inland Empire – Orange County Line. OCTA, the City of Anaheim (City), and the Southern California Regional Rail Authority (SCRRA) wish to make improvements at the Station that will include construction of a second main track and platform, lengthening of the existing platform, improvements to pedestrian circulation, and additional ticket vending machines, benches, and shade structures. The Station improvement project (Project) will increase the

capacity of the Station to accommodate additional rail service in the future, as well as improve reliability, on-time performance, and enhance safety.

On August 24, 2014, the OCTA Board of Directors (Board) approved Cooperative Agreement No. C-4-1714 with the City, and Cooperative Agreement No. C-4-1715 with SCRRA to define roles, responsibilities, and funding for the Project. OCTA is the lead agency on the design and construction phase of the Station improvements and track work; SCRRA is the lead agency on the design of the signal, communication systems, and positive train control, as well as design review and design support during construction. The City will also provide general design review.

The Project has been environmentally cleared through the California Environmental Quality Act and National Environmental Protection Act process, and final plans, specifications, and estimates are anticipated to be completed in early 2019.

The selected construction management (CM) firm will provide a review of the plans and specifications prior to advertisement for construction, and CM services, including quality inspections, acceptance testing, and other professional services as needed.

Procurement Approach

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

On July 23, 2018, the Board authorized the release of Request for Proposals (RFP) 8-1760, which was electronically issued on CAMM NET. The Project was advertised on July 23 and 30, 2018, in a newspaper of general circulation. A pre-proposal conference was held on July 26, 2018, with 29 attendees representing 23 firms. Three addenda were issued to make available the pre-proposal conference registration sheets, provide responses to questions received, and handle administrative issues related to the RFP.

On September 11, 2018, six proposals were received. An evaluation committee consisting of staff from the Contracts Administration and Materials Management and Rail Programs departments, as well as representatives from SCRRRA and the City met to review all submitted proposals. The proposals were evaluated based on the following evaluation criteria and weights:

- Qualifications of the Firm 25 percent
- Staffing and Project Organization 40 percent
- Work Plan 35 percent

The evaluation criteria and weights are consistent with those developed for similar A&E procurements for CM services. In developing these weights, several factors were considered. The greatest importance was given to the staffing and project organization of the firm, as the qualifications of the project manager and resident engineer, as well as other key personnel are critical to the successful completion of the Project. Similarly, high importance was given to the work plan criterion to emphasize the importance of the team's understanding of the Project, its challenges, and its approach to implementing the various elements of the scope of work. The final criterion, qualifications of the firm, evaluated the firm's experience in performing work of a similar scope and size.

The evaluation committee reviewed and discussed all proposals based on the evaluation criteria and short-listed the two most qualified firms listed below in alphabetical order:

Firm and Location

AndersonPenna Partners, Inc. (APP)
Newport Beach, California

Berg & Associates, Inc. (Berg)
San Pedro, California

On October 9, 2018, the evaluation committee interviewed the two short-listed firms. The interviews consisted of a presentation, allowing each firm to present its qualifications, highlight its personnel, and respond to evaluation committee questions. In general, each team's presentation addressed the requirements of the RFP, highlighted the project team's experience in working on related projects, and stressed the firm's commitment to the success of the Project. Also highlighted were staffing plans, work plans, and perceived Project issues. Each firm was asked some general questions related to the potential challenges and risks of the Project, along with previous experience of handling contractor claims and disputes. In addition, each team was asked specific clarification questions related to its proposal. After considering the responses to the questions asked during the interview, the evaluation committee adjusted the preliminary scores for both firms; however, Berg remained as the top-ranked firm with the highest cumulative score.

Based on the evaluation of written proposals and information obtained from the interviews, staff recommends Berg as the firm to provide CM services for the Project. This firm ranked highest among the proposing firms because of the team's relevant experience in CM services for railroad projects and familiarity with SCRRA's requirements. Berg's proposed team consists of highly-qualified key personnel with relevant experience in rail-related CM services. The firm demonstrated an excellent understanding of the project requirements and presented a comprehensive work plan addressing key issues that are critical to the success of the Project. The following is a brief summary of the proposal evaluation results.

Qualifications of the Firm

Berg has been providing complete CM and inspection services for public agencies since 1980. The firm has 30 employees and six offices that are all located within California, including an office in the City. Berg has provided a variety of CM support services that include contract administration and engineering, project oversight, and quality assurance services to various public agencies, including SCRRA, Alameda Corridor Transportation Authority, and the City of Fullerton. The projects completed for these agencies had similar project characteristics to the Anaheim Canyon project, such as working within live railroad tracks, signal coordination, and construction of a new passenger platform within an active station. Berg has worked with OCTA on the Raymond Avenue Railroad Grade Separation project to provide CM services that include utility coordination, geotechnical engineering, and quality assurance services. Berg proposed to utilize three subconsultants to provide additional support in the areas of health and safety monitoring, surveying services, and soils and materials testing.

APP was founded in 2005 and specializes in providing construction, program and project management, construction inspection, and civil engineering design services. APP has 58 employees and four offices, which includes its headquarters office in the City of Newport Beach. The firm has experience working with OCTA on the State College Boulevard Grade Separation project and the Los Angeles – San Diego – San Luis Obispo Slope Stabilization project. APP has also worked with other public agencies, including the cities of Anaheim, Seal Beach, and Tustin, as well as the Irvine Ranch Water District and Costa Mesa Sanitary District. APP proposed to utilize six subconsultants to provide project controls services, rail inspection services, hazardous materials testing, soils and materials testing, quality assurance services, and safety and electrical inspection.

Staffing and Project Organization

Berg proposed a project team with relevant experience in the areas of station, rail, and structure project experience. The proposed project manager has 37 years of experience in all aspects of CM that range from the conceptual stage

through final construction, including Metrolink stations, track installations, and heavy rail improvements. The project team's key staff have worked together on several projects in the past, including the Burbank Airport North Metrolink Station project, Los Angeles Union Station Platform 7 Restoration project, and the Raymond Avenue Railroad Grade Separation project where similar services were provided. The project team's key staff members years of experience range from 20 years to 37 years, with expertise in CM, contract administration, engineering services, and documentation and compliance with the applicable standards and guidelines to ensure that all project activities are addressed and completed. During the interview, the project team discussed its roles on the Project and the tasks the project team would be responsible for handling, as well as responded to the evaluation committee's questions.

APP proposed a project team with experience in various disciplines of CM, civil engineering, and design services. The proposed project manager has 34 years of experience related to CM and civil engineering. The project team members have individually worked on related projects such as the State College Boulevard Railroad Grade Separation project, Sand Canyon Avenue Railroad Grade Separation project, and the Long Beach Transit Mall Improvements project. The project team's key staff members years of experience range from 13 years to 38 years, with expertise in design and CM. During the interview, the project team discussed the potential project issues and responded to the evaluation committee's questions, but did not expand on the project team's direct experience in working on projects of similar kind.

Work Plan

Berg presented a comprehensive work plan that addressed how the tasks of the scope of work would be completed. The firm demonstrated its understanding of the Project by presenting solutions to potential issues such as signal coordination, sound and dust pollution to nearby residents, and limited access to the Project site during construction. The work plan stated the importance of maintaining operations of the existing Station and controlling the traffic flow in the City's streets during construction of the Project. The firm discussed its approach for coordination efforts with the various project stakeholders, which include OCTA, the City, Metrolink, BNSF Railway, and utility companies. The firm also addressed the importance of safety while working within an active railroad corridor. The firm's approach to safety monitoring includes internally preparing a construction safety plan and reviewing the contractor's safety plan to ensure it complies and meets the applicable agencies' requirements. Berg proposed several enhancements, such as utilizing drone technology to survey and document construction progress, using specially created software to map the as-built progress in real time, and using mobile applications to improve efficiency on the Project. Additionally, during the interview, the firm detailed the

specific planning activities that would need to be completed for construction to begin.

APP presented its approach to providing CM services by discussing the various tasks that would be completed in its work plan. The firm discussed its understanding of the Project by sequentially breaking down the work activities that would be completed during the three construction phases, and identified special issues and possible solutions. Detailed discussion about the potential issues included the need for coordination with project stakeholders, traffic impacts, and working on, and next to a live railroad corridor. APP presented enhancements to the Project, such as daily inspector's reports to capture the work performed and pre-activity meetings to review the tasks that would need to be completed daily for better Project efficiency. During the interview, APP highlighted its approach to mitigating the Project issues by utilizing the team's experience in handling similar situations on previous projects.

Procurement Summary

Based on the evaluation of the written proposals and information obtained during the interviews, the evaluation committee recommends the selection of Berg as the top-ranked firm to provide CM services for the Project. Berg demonstrated outstanding relevant experience and submitted a comprehensive proposal that was responsive to the requirements of the RFP. Berg presented a detailed and thorough interview, supporting the firm's experience, staffing, work plan, and a thorough understanding of the overall Project.

Fiscal Impact

The Project is included in OCTA's Fiscal Year 2018-19 Budget, Capital Programs Division, Account 0018-9085-C-5061-0JR, and is funded with federal Congestion Mitigation and Air Quality Improvement funds.


Summary

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute Agreement No. C-8-1760 with Berg & Associates, Inc., as the firm to provide construction management services for the Anaheim Canyon Metrolink Station Improvement project.

Attachments

- A. Review of Proposals, RFP 8-1760 Construction Management Services for the Anaheim Canyon Metrolink Station Improvement Project
- B. Proposal Evaluation Criteria Matrix (Short-Listed), RFP 8-1760 Construction Management Services for the Anaheim Canyon Metrolink Station Improvement Project
- C. Contract History for the Past Two Years, RFP 8-1760 Construction Management Services for the Anaheim Canyon Metrolink Station Improvement Project

Prepared by:



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Approved by:



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Executive Director, Capital Programs
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Virginia Abadessa
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Review of Proposals
RFP 8-1760 Construction Management Services for the Anaheim Canyon Metrolink Station Improvement Project
Presented to Transit Committee - December 13, 2018

6 proposals were received, 2 firms were interviewed, 1 firm is being recommended

Overall Ranking	Overall Score	Firm & Location	Subcontractors	Evaluation Committee Comments
1	87	Berg & Associates, Inc. San Pedro, California	Citadel Environmental Services Guida Surveying, Inc. Smith-Emery Laboratories	Experience in construction management services including inspection services, testing coordination, and constructability and bidability reviews. Proposed project manager has 37 years of construction management experience, including heavy rail improvements, Metrolink light-rail station construction, track installations, and grade separation projects. Proposed project team has demonstrated experience working together on projects of similar size and scope. Demonstrated an understanding of the Anaheim Canyon Metrolink Station, the project site constraints, as well as the various stakeholders along the project site. Demonstrated an understanding of project key issues, risks, and mitigation measures. Demonstrated a thorough understanding of Metrolink and Federal Transit Administration requirements. Firm and subconsultants have worked together on several similar projects throughout Los Angeles and Orange County. Presented an in-depth technical approach and provided thorough responses to questions during the interview.
2	74	AndersonPenna Partners, Inc. Newport Beach, California	APSI Construction Management Ghirardelli Associates Kroner Environmental Ninyo & Moore, Inc. Psomas Virginkar & Associates, Inc.	Experience in construction management services, including inspection services, civil engineering design, and labor compliance services. Proposed project manager has 34 years of experience in construction management and civil engineering. Proposed project team has experience in construction management services on public transportation projects. Demonstrated an understanding of the Anaheim Canyon Metrolink Station and the potential issues during construction. Did not expand on project team's experience related to working on projects of a similar nature. Presented technical approach to completing the project and responded to interview questions.

Evaluation Panel: Five Members

Internal:

Contracts Administration and Materials Management (1)
Rail Programs (2)

External:

City of Anaheim (1)
Southern California Regional Rail Authority (1)

Evaluation Criteria:

Qualifications of the Firm
Staffing and Project Organization
Work Plan

Weight Factors

25%
40%
35%

PROPOSAL EVALUATION CRITERIA MATRIX (Short-Listed)**RFP 8-1760 Construction Management Services for the Anaheim Canyon Metrolink Station Improvement Project**

Berg & Associates, Inc.							
Evaluator Number	1	2	3	4	5	Weights	Criteria Score
Qualifications of Firm	5.0	4.5	5.0	4.0	4.0	5	22.5
Staffing/Project Organization	4.5	4.0	4.5	4.0	4.5	8	34.4
Work Plan	4.5	4.5	4.5	4.0	4.0	7	30.1
Overall Score	93	86	93	80	84		87

AndersonPenna Partners, Inc.							
Evaluator Number	1	2	3	4	5	Weights	Criteria Score
Qualifications of Firm	3.5	3.5	3.5	3.5	3.5	5	17.5
Staffing/Project Organization	4.0	3.5	3.5	3.5	4.0	8	29.6
Work Plan	4.0	3.5	3.5	4.0	4.0	7	26.6
Overall Score	78	70	70	74	78		74

The range of scores for the non-short-listed firms was 49-66.

CONTRACT HISTORY FOR THE PAST TWO YEARS
RFP 8-1760

Construction Management Services for the Anaheim Canyon Metrolink Station Improvement Project

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Berg & Associates, Inc.						
Contract Type: Time and Expense	C-6-1304	Construction management services for Placentia Metrolink Commuter Rail Station Project	September 1, 2017	August 31, 2020	N/A	\$ 1,771,075
<i>Subconsultants:</i>						
<i>Amec Foster Wheeler Environmental and Infrastructure, Inc.</i>						
<i>Craig Raines Landscape</i>						
<i>Ninyo & Moore</i>						
<i>Towill, Inc.</i>						
<i>Kevin Byers</i>						
Sub Total						\$1,771,075

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
AndersonPenna Partners, Inc.						
Contract Type: Firm Fixed Price	C-5-3086	Design services, environmental and construction support for the Los Angeles - San Diego - San Luis Obispo right-of-way slope stabilization	October 20, 2015	December 31, 2018		\$ 778,460
<i>Subconsultants:</i>					\$ 147,046.00	
<i>Shannon & Wilson, Inc.</i>					\$ 119,661.00	
<i>Atkins Global, Inc.</i>					\$ 46,793.00	
<i>Kelsurveys, Inc.</i>						
<i>None</i>						
Sub Total						\$778,460



COMMITTEE TRANSMITTAL

January 14, 2019

To: Members of the Board of Directors

From: Laurena Weinert, Clerk of the Board

Subject: Construction of the Laguna Niguel to San Juan Capistrano Passing Siding Project

Transit Committee Meeting of January 10, 2019

Present: Directors Davies, Jones, Pulido, and Winterbottom
Absent: Director Do

Committee Vote

This item was passed by the Members present.

Director Pulido was not present to vote on this item.

Committee Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-7-2018 between the Orange County Transportation Authority and Reyes Construction, Inc., the lowest responsive, responsible bidder, in the amount of \$16,952,426, for construction of the Laguna Niguel to San Juan Capistrano Passing Siding project.
- B. Authorize the use of \$6,230,000 in state and federal funds made available from project savings at closeout for the Laguna Niguel to San Juan Capistrano Passing Siding project as follows:
 - a. \$2,806,000 in Proposition 116 savings from the Sand Canyon Avenue Railroad Grade Separation and the fiber optics projects;
 - b. \$2,000,000 in Proposition 1B Intercity Rail Improvement funds to replace Transit and Intercity Rail Capital Program funds previously programmed to the project;
 - c. Formula Federal Transit Administration Section 5309 savings from the Control Point 4th Street Project, currently estimated to be \$1,015,000; and
 - d. Congestion Mitigation and Air Quality Improvement Program funds for any remaining funding needs, currently estimated to be \$409,000.



Committee Recommendations (Continued)

- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute any necessary amendments and/or agreements to facilitate associated programming actions.



January 10, 2019

To: Transit Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Construction of the Laguna Niguel to San Juan Capistrano Passing Siding Project

Overview

On August 27, 2018, the Orange County Transportation Authority Board of Directors authorized the issuance of an invitation for bids for construction of the Laguna Niguel to San Juan Capistrano Passing Siding project. Bids were received in accordance with the Orange County Transportation Authority's public works procurement procedures. Board of Directors' approval is requested to execute the agreement.

Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-7-2018 between the Orange County Transportation Authority and Reyes Construction, Inc., the lowest responsive, responsible bidder, in the amount of \$16,952,426, for construction of the Laguna Niguel to San Juan Capistrano Passing Siding project.
- B. Authorize the use of \$6,230,000 in state and federal funds made available from project savings at closeout for the Laguna Niguel to San Juan Capistrano Passing Siding project as follows:
 - a. \$2,806,000 in Proposition 116 savings from the Sand Canyon Avenue Railroad Grade Separation and the fiber optics projects;
 - b. \$2,000,000 in Proposition 1B Intercity Rail Improvement funds to replace Transit and Intercity Rail Capital Program funds previously programmed to the project;
 - c. Formula Federal Transit Administration Section 5309 savings from the Control Point 4th Street Project, currently estimated to be \$1,015,000; and

- d. Congestion Mitigation and Air Quality Improvement Program funds for any remaining funding needs, currently estimated to be \$409,000.
- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute any necessary amendments and/or agreements to facilitate associated programming actions.

Discussion

The Orange County Transportation Authority (OCTA), in coordination with the Southern California Regional Rail Authority (SCRRA) and the cities of Laguna Niguel (LN) and San Juan Capistrano, proposes the addition of approximately 1.8 miles of new passing siding railroad track adjacent to the existing main track between milepost (MP) 193.9 and MP 195.7 (Project). The preliminary engineering was completed in January 2013, and the environmental documents were prepared and approved in compliance with the California Environmental Quality Act and the National Environmental Policy Act in February 2014 and March 2014, respectively. The Project design was completed in August 2018.

The Los Angeles – San Diego – San Luis Obispo (LOSSAN) rail corridor serves Metrolink commuter trains, Amtrak intercity trains, BNSF Railway and Union Pacific freight trains, and is identified as the second most heavily traveled intercity passenger rail corridor in the nation. OCTA owns the rail right-of-way (ROW) between the San Diego County Line and Fullerton Junction. Metrolink, serving as the railroad operator on OCTA railroad ROW, approves and maintains the track, signal, and communications infrastructure. The segment of the LOSSAN rail corridor north of the Project between LN and Los Angeles is a double-track or triple-track main-line. A transition to single-track occurs just south of the LN/Mission Viejo (LN/MV) Metrolink Station, and the single-track continues for most of the remaining distance to the San Diego County Line. The Project would reduce existing train congestion at the LN/MV Metrolink Station, thereby providing more reliable LOSSAN rail corridor operations. The Project would not affect the number or frequency of trains operating along the LOSSAN rail corridor. The Project location and limits are shown on Attachment A.

In partnership with SCRRA, OCTA will lead the construction of track, structures, and other civil improvements, and SCRRA will lead the construction of the signals, communications, and wayside positive train control facilities in support of the Project under Cooperative Agreement No. C-6-1615.

Procurement Approach

This procurement was handled in accordance with Board of Directors' (Board)-approved procedures for public works projects. These procedures, which conform to federal and state requirements, require that after a public opening of a sealed bid process, the contract be awarded to the lowest responsive, responsible bidder.

The Invitation for Bids (IFB) 7-2018, as previously approved by the Board, was released on August 27, 2018, through OCTA's CAMM NET system. The Project was advertised on August 27 and September 3, 2018, in a newspaper of general circulation. A pre-bid conference was held on September 6, 2018, and was attended by 19 firms. Eight addenda were issued to provide pre-bid conference information, respond to questions, and handle administrative issues related to the IFB. On October 23, 2018, seven bids were received and publicly opened.

All bids were reviewed by staff from both Contracts Administration and Materials Management and the Rail Programs departments to ensure compliance with the contract terms, conditions, and technical specifications. The list of bidders and bid amounts are listed below:

<u>Firm and Location</u>	<u>Bid Amount</u>
Reyes Construction, Inc. Pomona, California	\$16,952,426
Rockforce Construction, LLC Lake Forest, California	\$17,522,233
OHL USA, Inc. Irvine, California	\$18,311,249
Ortiz Enterprises, Inc. Irvine, California	\$18,916,938
Herzog Contracting Corp. Saint Joseph, Missouri	\$19,576,792
Michels Corporation Brownsville, Wisconsin	\$19,721,386
Balfour Beatty Infrastructure, Inc. Fairfield, California	\$21,626,519

The engineer's estimate for the Project was \$14,040,000. The bid submitted by Reyes Construction, Inc., (Reyes) the lowest responsive, responsible bidder, is 20.7 percent higher than the engineer's estimate. In reviewing the differences between the engineer's estimate and the bid prices, various factors were evaluated. In analyzing the lowest bid, most of the higher bid prices were attributed to track and structures construction items. The track items, such as the rail, rail switches, and ballasts represented more than two-thirds of the cost variance with the remaining one-third of the cost variance associated with structural items. The increased construction costs have likely been impacted by current market conditions, such as shortages in availability of skilled labor and increasing material costs for steel and concrete. Additionally, the scope of work requires work to be performed within the existing railroad ROW adjacent to an active track with limited access to the working area. Safety considerations also require workers to intermittently stop work when trains pass through the working zone. Requirements to reduce rail service disruption to accommodate the various planned events also will limit the contractor's ability to phase the work.

Reyes has met the federal and state requirements. Therefore, after completing a cost analysis of the bid components, current market conditions, restrained work conditions on active rail track, and the increased scheduling and coordination requirements, staff considers the bid to be fair and reasonable.

State law requires award to the lowest responsive, responsible bidder. Staff recommends award to Reyes, as the lowest responsive, responsible bidder, in the amount of \$16,952,426.

Fiscal Impact

The Project was approved in OCTA's Fiscal Year 2018-19 Budget, Capital Programs Division, Account 0018-9084-C5051-TZ2, and is funded with federal, state, and local funds.

The original Project estimated cost was \$30,830,000 (includes preconstruction costs). To award the construction of the Project to the lowest responsive, and responsible bidder, the total Project costs will increase by \$3,230,000, to a total of \$34,060,000, due to the increase in construction and construction contingency costs. In addition, \$3,000,000 in Transit and Intercity Rail Capital Program (TIRCP) funds previously programmed to the Project are no longer available due to a miscommunication from the state regarding TIRCP projects programmed to the LOSSAN Rail Corridor Agency. As a result, the state made \$2,000,000 in Proposition 1B Intercity Rail Improvement funds available to the Project. Staff is proposing to use a combination of additional state Proposition 116 funds, Formula Federal Transit Administration (FTA) Section 5309 funds, and Congestion Mitigation and Air Quality Improvement

Program (CMAQ) funds for the remaining funding need, which are available due to savings on completed projects. Use of the additional state and federal funding is contingent on state and federal agency approvals. Also, the specific amount of available FTA 5309 funding is an estimate, and the final funding amount is still in progress. Any funding not provided through FTA 5309 can be made up with CMAQ savings from other projects.

The use of these funds for the Project is consistent with the Board-approved Capital Programming Policies, which directs the use of Proposition 116 cost savings for commuter or intercity rail capital improvement projects, the use of Formula FTA 5309 funds for commuter rail maintenance, rehabilitation, and capital projects, and the use of CMAQ for rail and bus transit capital projects.

A Capital Funding Program Report detailing the changes to projects is provided as Attachment B.

Summary

Based on the information provided, staff recommends the Board of Directors to authorize the Chief Executive Officer to negotiate and execute Agreement No. C-7-2018 with Reyes Construction, Inc., as the lowest responsive, responsible bidder, in the amount of \$16,952,426, for the Laguna Niguel to San Juan Capistrano Passing Siding project, and approve the use of Proposition 116, Federal Transit Administration Section 5309, and Congestion Mitigation and Air Quality Improvement Program savings from other intercity and commuter rail projects to fully fund the Project.

Attachments

- A. Project Location Map
- B. Capital Funding Program Report

Prepared by:



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(714) 560-5833

Approved by:

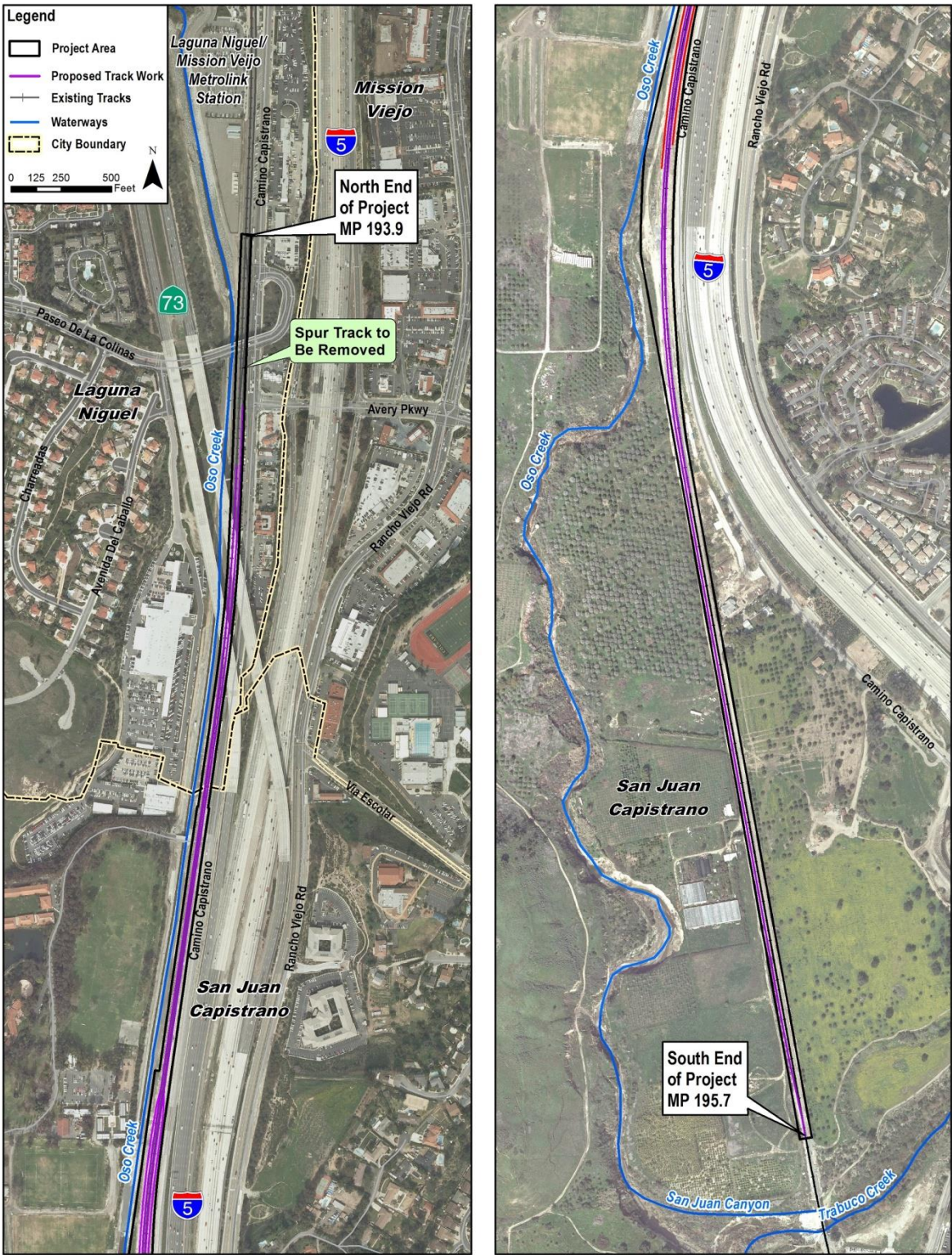


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Project Location Map





Capital Funding Program Report

Rail Project

Project Title	M Code	Total Funding	State Funds		Federal Funds		Local Funds		
			STIP/Other	State Bonds	RSTP/CMAQ	Other Fed.	M1	M2	Local - Other
Fullerton Transportation Center Parking Expansion Project	M1/R	\$33,667	\$11,250	\$11,035			\$9,718		\$1,664
Orange Transportation Center Parking Structure	M1/R	\$33,175	\$13,762		\$4,073	\$3,298	\$1,850	\$420	\$9,772
Sand Canyon Avenue Grade Separation Project ³	M1/R	\$62,050		\$28,192	\$10,536		\$3,116	\$5,352	\$14,854
OC Streetcar (Proposed New Starts) ⁴	M1/S	\$407,756	\$25,518		\$54,465	\$162,213		\$165,560	
OC Streetcar Preliminary Studies and Environmental	M1/S	\$7,014				\$341	\$4,977	\$554	\$1,142
Anaheim Canyon Station Improvements	R	\$27,906			\$25,413			\$2,000	\$493
Control Point at 4th Street ⁵	R	\$2,985				\$2,985			
Future Video Surveillance Systems	R	\$217				\$174			\$43
Laguna Niguel to San Juan Capistrano Passing Siding ^{1,6}	R	\$34,060	\$3,000	\$6,734	\$22,756	\$1,015			\$555
Metrolink Preventive Maintenance Capitalized Operation ^{2,7}	R	\$56,874				\$56,874			
Metrolink Rehabilitation/Renovation - fiscal years 2011-12 to 2022-23 ^{2,8}	R	\$160,962				\$160,962			
Metrolink Station and Track Improvements, and Rehabilitation	R	\$2,230				\$1,784			\$446
Placentia Commuter Rail Station	R	\$34,825	\$2,500	\$400	\$50			\$8,000	\$23,875
Positive Train Control (Metrolink)	R	\$39,916		\$34,190		\$5,726			
San Juan Creek Bridge Replacement ^{2,9}	R	\$36,119		\$160		\$34,784		\$1,175	
Slope Stabilization Laguna Niguel-Lake Forest ^{2,10}	R	\$2,334				\$2,000		\$334	
State College Grade Separation (LOSSAN)	R	\$79,284		\$46,000				\$33,284	
Ticket Vending Machines	R	\$6,857							\$6,857
Video Surveillance Systems at Commuter Rail Stations	R	\$4,493		\$140		\$3,594			\$759
M2 Project S Transit Extensions to Metrolink (Rubber Tire)	S	\$733						\$733	
Rail Project Totals		\$1,033,457	\$56,030	\$126,851	\$117,293	\$435,750	\$19,661	\$217,412	\$60,460
State Funding Total		\$182,881							
Federal Funding Total		\$553,043							
Local Funding Total		\$297,533							
Total Funding (000's)		\$1,033,457							

Rail Project Completed

Project Title	M Code	Total Funding	State Funds		Federal Funds		Local Funds		
			STIP/Other	State Bonds	RSTP/CMAQ	Other Fed.	M1	M2	Local - Other
Laguna Niguel-Mission Viejo Station Parking Improvements and Expansion (ADA Ramps)	M1/R	\$5,177			\$2,800	\$732	\$1,645		
Metrolink Grade Crossing Safety Improvements (OCX)	M1/R	\$80,618		\$18,250			\$7,600	\$30,710	\$24,058
Metrolink Rolling Stock	M1/R	\$158,009		\$36,300	\$42,230	\$35,390	\$44,089		
Metrolink Service Track Expansion	M1/R	\$119,957		\$51,399			\$68,558		
M2 Project S Fixed-Guideway Anaheim Rapid Connection	M1/S	\$9,924				\$1,516	\$6,000	\$1,286	\$1,122
Anaheim Regional Intermodal Transportation Center (ARTIC) Construction	M1/T	\$184,164	\$29,219		\$33,250	\$40,754	\$43,900	\$35,291	\$1,750
Fullerton Transportation Station Expansion Planning, Environmental PSR	M1/T	\$0			\$0		\$0		
Santa Ana Grade Separation Planning and Environmental PSR	M1/T	\$1,333			\$1,180		\$153		



Capital Funding Program Report

Rail Project Completed

Project Title	M Code	Total Funding	State Funds		Federal Funds		Local Funds		
			STIP/Other	State Bonds	RSTP/CMAQ	Other Fed.	M1	M2	Local - Other
Santa Ana Transportation Station Planning and Environmental PSR	M1/T	\$1,003			\$888		\$115		
17th Street Grade Separation Environmental	R	\$2,476						\$2,476	
Control Point Stadium Crossover	R	\$6,490		\$3,245		\$3,245			
LOSSAN Corridor Grade Separations PSR in Anaheim, Orange, and Santa Ana	R	\$2,699						\$2,699	
Metrolink Grade Crossing Safety Improvements ROW	R	\$3,025						\$3,025	
North Beach Crossings Safety Enhancements	R	\$348		\$166				\$182	
Rail Crossing Signal Lights and Pedestrian Gates	R	\$252		\$252					
Rail Station Platform Safety Improvements (Fullerton, Irvine, and Tustin)	R	\$553		\$553					
Safety Repairs for San Clemente Pier Station	R	\$122		\$122					
San Clemente Beach Trail Crossings Safety Enhancements	R	\$4,999		\$2,170				\$2,251	\$578
Transit Rail Security (Monitors, Fencing, Video Surveillance)	R	\$163		\$163					
Go Local	S	\$7,730					\$7,730		
ARTIC Environmental, ROW, Program Management Support, Site Plan	M1	\$41,369					\$8,869		\$32,500
Fiber Optics Installation (Metrolink) ¹¹	M1	\$23,183		\$10,479		\$10,903	\$1,801		
Laguna Niguel-Mission Viejo Station Parking Expansion (South Lot)	M1	\$4,135		\$695			\$3,440		
Tustin Rail Station Parking Expansion	M1	\$15,390	\$1,100	\$7,181			\$7,109		
Rail Project Totals		\$673,119	\$30,319	\$130,975	\$80,348	\$92,540	\$201,009	\$77,920	\$60,008

State Funding Total	\$161,294
Federal Funding Total	\$172,888
Local Funding Total	\$338,937
Total Funding (000's)	\$673,119

Board Actions:

1. Agreement for Laguna Niguel to San Juan Capistrano Passing Siding Project: Increase project cost by \$3.230M. Remove \$3.000M in Transit Intercity Rail Capital Program funds, add \$2.806M in Prop 116 savings, add \$2.000M in Prop 1B Intercity Rail Capital funds, add \$1.015M in FTA 5309, and add \$0.409M in CMAQ.

2. Federal Transit Administration Sections 5307, 5310, 5337, and 5339 Program of Projects for Federal Fiscal Year 2018-19: Updated to reflect FY18-19 Program of Projects

Project Notes:

- Sand Canyon updated total project cost to \$62.050M based on final Prop 116 funds. Prop 116 deallocation is contingent on State Approval.
- OC Streetcar increase of \$108.414M in M2 per July 2018 OC Streetcar Project Revised Funding Plan report.
- Control Point 4th Street was reduced by \$1.015M in FTA 5309 due to project savings.
- Passing Siding addition of \$1.015M in FTA 5309 is contingent on FTA approval, addition of \$2.251M in Prop 116 is contingent on State Approval.
- Metrolink Preventive Maintenance increased by \$42.500M in FTA 5307 consistent with 5-Year POP.
- Metrolink Rehab/Reno increased by \$21.782M in FTA 5337 consistent with 5-Year Program of Projects.
- San Juan Creek Bridge increase of \$16.293M in FTA 5337 consistent with FTA Program of Projects item, remove \$2.806M in Prop 116, remove \$15.739M in Trade Corridor Improvement Fund, and increase Demo funds by \$0.038M.
- Slope Stabilization remove \$2.834M per FTA POP item.
- Fiber Optics decrease of \$1.821M in Prop 116 and increase of \$0.404M in M2 for a total project savings of \$1.417M. Prop 116 deallocation is contingent on State approval

Acronyms:

M Code - Project Codes in Measure M1 and M2
 STIP - State Transportation Improvement Program
 RSTP - Regional Surface Transportation Program
 CMAQ - Congestion Mitigation and Air Quality Improvement Program
 M1 - Measure M1
 M2 - Measure M2
 PSR - Project Study Report
 LOSSAN - Los Angeles-San Diego-San Luis Obispo Rail Corridor
 OCX - Rail-Highway Grade Crossing/Safety Enhancement Project
 ROW - Right-of-Way
 FTA - Federal Transit Administration
 OCTA - Orange County Transportation Authority
 ADA - Americans with Disabilities Act



COMMITTEE TRANSMITTAL

January 14, 2019

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Interstate 405 Improvement Project Update

Regional Planning and Highways Committee Meeting of January 7, 2019

Present: Directors Delgleize, M. Murphy, and Steel

Absent: Directors Bartlett, Nelson, Pulido, and Spitzer

Committee Vote

Due to lack of quorum, no action was taken on this item.

Staff Recommendation

Receive and file as an information item.



January 7, 2019

To: Regional Planning and Highways Committee
From: Darrell E. Johnson, Chief Executive Officer
Subject: Interstate 405 Improvement Project Update

Overview

The Orange County Transportation Authority is currently underway with the implementation of the Interstate 405 Improvement Project. This report provides a project update.

Recommendation

Receive and file as an information item.

Background

The Orange County Transportation Authority (OCTA), in cooperation with the California Department of Transportation, and the cities of Costa Mesa, Fountain Valley, Huntington Beach, Seal Beach, and Westminster, is implementing the Interstate 405 (I-405) Improvement Project between State Route 73 (SR-73) and Interstate 605 (I-605) (Project). The Project will add one general purpose lane from Euclid Street to I-605, consistent with Measure M2 Project K, and will add an additional lane in each direction that will combine with the existing high-occupancy vehicle lane to provide dual express lanes in each direction of I-405 from SR-73 to I-605, otherwise known as the 405 Express Lanes.

On November 14, 2016, the OCTA Board of Directors (Board) awarded the design-build (DB) contract to OC 405 Partners (OC405), a joint venture. OCTA executed the DB contract with OC405 and issued Notice to Proceed (NTP) No. 1 on January 31, 2017. NTP No. 1 was a limited NTP for mobilization, design, and administrative activities. On July 26, 2017, the Transportation Infrastructure Finance and Innovation Act (TIFIA) loan agreement was executed between OCTA and the United States Department of Transportation (USDOT). On July 27, 2017, OCTA issued NTP No. 2 to OC405. NTP No. 2 was a full NTP for all activities, including construction.

Discussion

A number of activities are ongoing as the final design, right-of-way (ROW) acquisition, utility relocations, and construction activities continue to advance. The following provides a more detailed status of Project activities.

Tolling Contracts

On February 26, 2018, the Board selected Kapsch TrafficCom USA, Inc., (Kapsch) to provide toll lanes system integration services for design, installation, operation, and maintenance of the electronic toll and traffic management system on both the 405 and 91 Express Lanes. Kapsch is currently under contract and is working closely with the design-builder to deliver fully functional express lanes upon opening in 2023.

Staff will initiate the development of a request for proposals for the back office support and customer service center contract for the 405 Express Lanes, and plans to seek Board approval for its release in late 2019.

TIFIA Loan

On July 26, 2017, OCTA executed a TIFIA loan agreement with the USDOT for up to \$628.93 million. Pursuant to the terms identified in the loan agreement, OCTA staff submits periodic reimbursement requisitions to the USDOT Build America Bureau and Federal Highway Administration. OCTA received the first and second TIFIA loan disbursements in April and December 2018, respectively.

Design

The final design is approximately 75 percent complete overall and is anticipated to be fully complete in 2019.

ROW Acquisition

Construction of the Project will impact 288 properties, including 179 residential properties, 71 commercial/industrial properties, 37 public properties, and one railroad property. There are 287 properties identified as partial acquisitions and one property identified as a full acquisition at the owner's request. The real property requirements for the partial acquisitions are comprised of a combination of fee acquisitions, permanent easements, temporary construction easements (TCE), permanent and temporary ground lease reductions, and access control rights needed to construct the proposed highway and express lane improvements for the Project. The full-fee acquisition, partial-fee

acquisitions, permanent easements, and TCEs are required for roadway and bridge construction, soundwalls and retaining walls, drainage systems, and for the installation of above-ground and underground facilities, including electrical, telecommunication, water, sewer, gas, and storm drain systems.

The ROW acquisition program is currently on schedule. Of the 288 total parcels impacted, the following summarizes the status of the ROW acquisition:

- 276 offers presented,
- 236 agreements or possession (82 percent of 288 total parcels impacted),
- 54 resolutions of necessity approved.

Utility Relocations

There are currently 102 utilities that require relocation as part of the Project. OCTA is coordinating with the 22 impacted utility companies to identify and resolve issues. There are several utility relocation challenges that staff continues to focus on as utilities are a shared risk between OCTA and OC405.

Construction

OC405 began construction on March 6, 2018. Initial construction activities included restriping portions of the freeway and setting up concrete barriers on the outside of the freeway to protect work areas for activities such as tree removals and grading. These initial construction activities are generally complete. Clearing and grubbing, including tree and ground cover removal, and rough grading activities have also advanced in the last quarter. More recently, significant roadway construction activities, such as installation of drainage systems and paving operations, have begun.

Bridge construction continued in September 2018 as the Slater Avenue bridge was closed to traffic on both sides of I-405 and the bridge was demolished. The bridge will be closed for approximately 12 months as the new bridge is built at this location. The Slater Avenue bridge and the McFadden Avenue bridge, which was fully demolished in August 2018, are anticipated to be complete and open to traffic in late 2019.

At Goldenwest Street, a minor partial demolition of the bridge was performed in November 2018. This is a two-stage bridge, which means traffic will be maintained on the remaining portion of the bridge while the first half of the new bridge is constructed.

In December 2018, both the Bolsa Chica Road and Magnolia Street bridges were partially demolished. These are also two-stage bridges.

Looking ahead, 2019 will be a busy year for bridge construction. Construction is anticipated to begin in the spring at the Fairview Road and Bolsa Avenue bridges, both of which are two-stage bridges. In the summer, construction is anticipated to begin on the Heil pedestrian overcrossing and the Westminster Boulevard bridge. The Westminster Boulevard bridge is a two-stage bridge while the Heil pedestrian overcrossing will be built on a new alignment over I-405 as the existing pedestrian overcrossing generally remains in service during the construction of the new pedestrian overcrossing. In late 2019, construction is anticipated to begin on the Talbert Avenue and Bushard Street bridges. Both Talbert Avenue and Bushard Street are one-stage bridges, which means the bridges will be closed to traffic on both sides of I-405 during demolition and reconstruction.

Project Cost/Contingency

The overall Project cost remains \$1.9 billion, and the Project contingencies have been approximately 27 percent expended to date. This is in line with the percent complete for the Project from both a time and earned value standpoint.

Public Outreach

OCTA has hosted four neighborhood meetings in the last quarter to provide constituents with information about the McFadden Avenue, Slater Avenue, Bolsa Chica Road, and Magnolia Street bridge demolitions. Each meeting featured a brief Project update followed by details of upcoming traffic shifts, demolition activities, road closures, and detours. Outreach staff included members fluent in Vietnamese and Spanish that provided information to attendees in these languages as needed. More than 20,000 flyers were distributed to residents and businesses near the bridges to notify of the meetings.

In addition, flyers were canvassed to the same constituents prior to major construction activities such as demolition and pile driving. All collateral provided to the community includes telephone helpline numbers for Vietnamese and Spanish speakers. Staff also utilized targeted social media advertisements, automated calls and text alerts, email updates and partnerships with Diverse Community Leaders, area Chambers of Commerce, and corridor cities to advise the community about construction activities. Staff also coordinated with OCTA Bus Operations and Central Communications to ensure detour routes were in place in advance of the bridge closures and rider alerts were prepared.

Additional outreach efforts included participation at events such as the Costa Mesa Community Run, Fountain Valley Mayor's Breakfast, Huntington Beach Chamber of Commerce's AM Connect, and the Rossmore Winter Festival. The outreach team will next be participating in the upcoming Tet festivals next month.

As bridge demolition activities have ramped up, staff has fielded an average of 120 inquiries per month from the public, responding to questions about sound wall design, bridge reconstruction, landscaping plans, and aesthetic details. Staff has leveraged those communications to continue building a database of email, text, and automated call alert recipients, and to boost the Project's following on social media.

The Project's mobile app is being soft-launched January 2019. The app builds on the success of the Project's interactive map, providing live traffic conditions, the latest Project news, photos, and streaming video from the field, complete closure and detour information, and full Project details and background. The app will be showcased at the upcoming Diverse Community Leaders and Stakeholder Working Group meetings.

Next Steps

Staff will continue to work closely with the design-builder as design and construction continue. This involves completing portions of the final design, obtaining permits, utility relocation coordination, and construction activities. Additionally, the ROW acquisition program will continue as planned.

Summary

Final design and construction continue to advance. Currently, final design, ROW acquisition, public outreach, and other activities are in process to continue the construction phase of the Project.

Attachment

None.

Prepared by:



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Approved by:



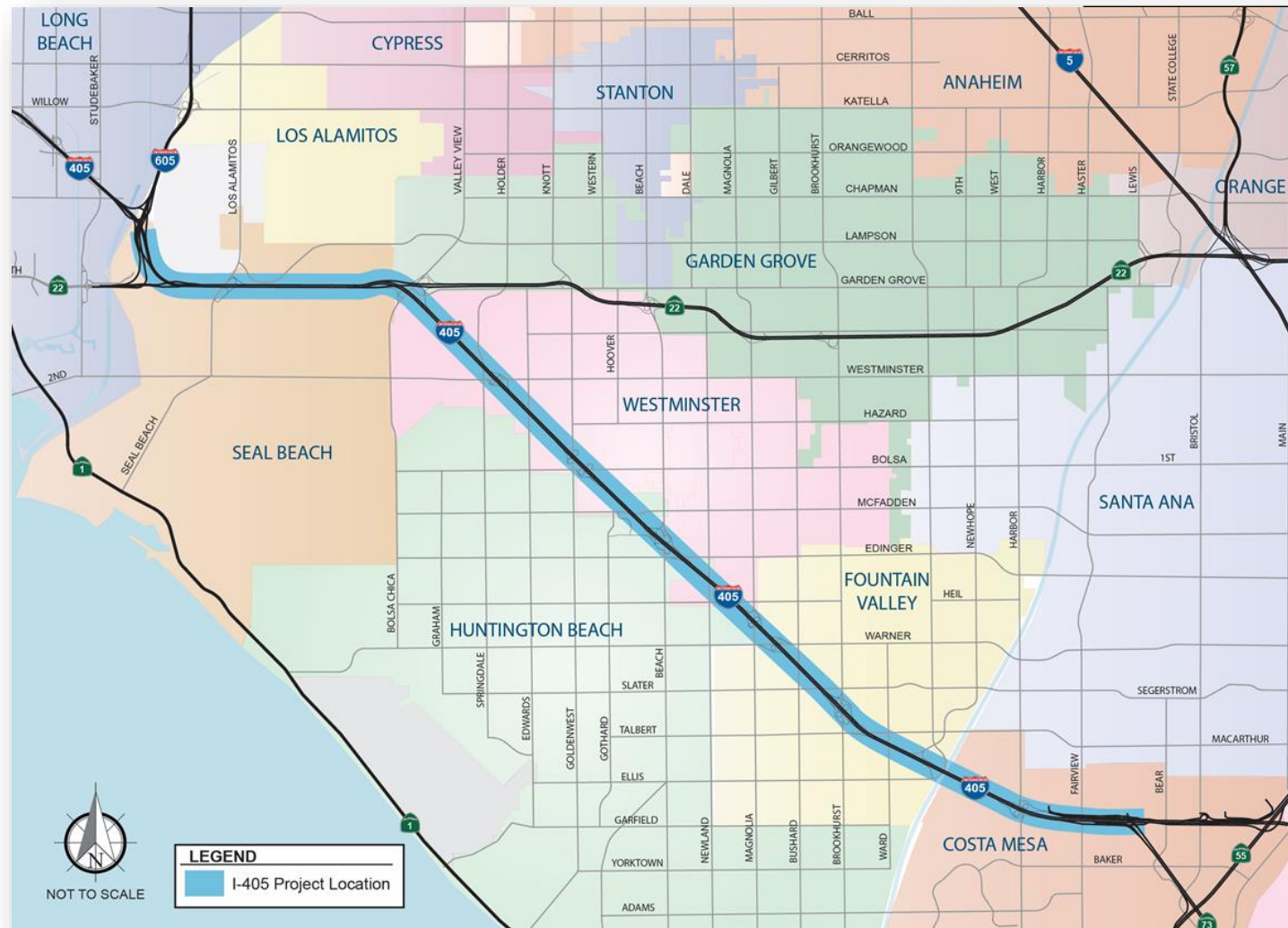
James G. Beil, P.E.
Executive Director, Capital Programs
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Interstate 405 Improvement Project Update



Project Location and Key Features



Background



- On November 14, 2016, the Orange County Transportation Authority (OCTA) Board of Directors (Board) awarded the design-build contract to OC 405 Partners (OC405)
- On January 31, 2017, OCTA executed the contract with OC405 and issued Notice to Proceed (NTP) No. 1
- On June 26, 2017, the Board approved the Transportation Infrastructure Finance and Innovation Act (TIFIA) loan
- On July 27, 2017, OCTA issued NTP No. 2 to OC405

Project Update



General

- Second TIFIA loan disbursement received in December 2018 for \$122 million
- Speed limit reduced to 55 miles per hour in construction zone

Design

- Project design approximately 75 percent complete
- Design anticipated to be fully complete in 2019

Right-of-Way

- 288 parcels impacted – on schedule overall
- 276 offers presented
- 236 agreements or possession (82 percent of total parcels needed)
- 54 resolutions of necessity adopted by the Board

Construction Update



Storm water treatment measures



Overhead sign removal

Construction Update



Goldenwest and McFadden embankments

Construction Update



Slater Avenue full bridge demolition – September 2018

Construction Update



Bolsa Chica Road partial bridge demolition – December 2018

2019 Look Ahead for Bridge Construction



Early 2019

- Fairview Road overcrossing (replace in 2 stages)
- Harbor Boulevard undercrossing (widen freeway bridge)
- Bolsa Avenue overcrossing (replace in 2 stages)

Mid 2019

- Heil Avenue pedestrian overcrossing (replace in 1 stage)
- Westminster Boulevard overcrossing (replace in 2 stages)
- Santa Ana River bridge (widen freeway bridge)

Late 2019

- Talbert Avenue overcrossing (replace in 1 stage)
- Bushard Street overcrossing (replace in 1 stage)

McFadden Avenue overcrossing and Slater Avenue overcrossing anticipated to be complete and open to traffic in late 2019

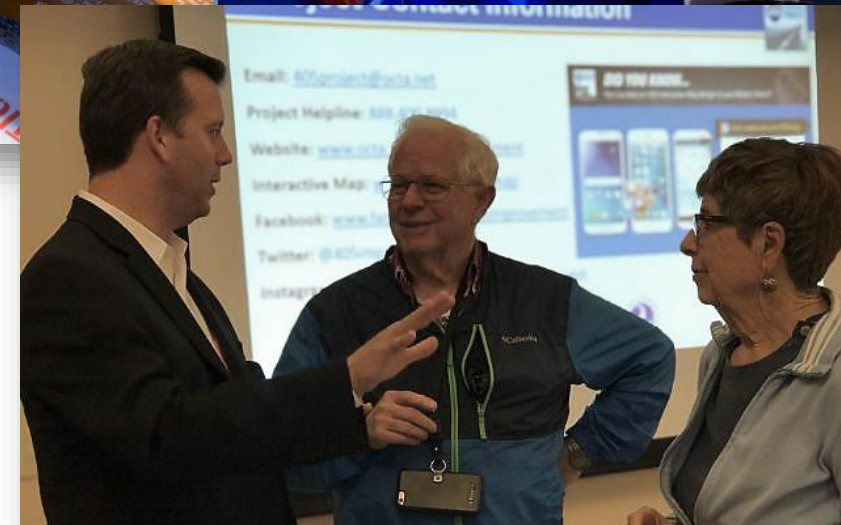
Bridge Construction Map



Outreach in 2018



- Groundbreaking Event
- Open Houses
- Community Events
 - Tet Festivals
 - Westminster Spring Festival
 - Fountain Valley Summerfest
 - Westminster National Night Out
 - Costa Mesa Community Run
 - Rossmoor Winter Festival
- Neighborhood Meetings
 - Slater Avenue
 - McFadden Avenue
 - Bolsa Chica Road
 - Magnolia Street
- School and Business Outreach
- Stakeholder Meetings and Briefings



Engagement Strategies

- Face-to-Face
 - Neighborhoods
 - Businesses
 - Schools
- Canvassing Flyers
 - Major Activities
- Online
 - Interactive Map
 - Social Media
 - Project Website
- Smartphone
 - Mobile App
 - Waze
 - Helplines in English, Spanish, Vietnamese



Outreach Look Ahead for 2019



- Neighborhood Meetings
 - Fairview Road
 - Goldenwest Street
 - Bolsa Avenue
 - Heil Avenue (pedestrian)
 - Bushard Street
 - Talbert Avenue
- Diverse Community Leaders
- Stakeholder Working Group
- Upcoming Events
 - Tet Festivals
 - Westminster Spring Festival
 - Fountain Valley Summerfest





January 14, 2019

To: Members of the Board of Directors

From: Darrell E. Johnson, Chief Executive Officer 

Subject: 2018 Chief Executive Officer's Initiatives and Action Plan – End-of-Year Report

The 2018 Chief Executive Officer's (CEO) Initiatives (Attachment A) and Action Plan (Attachment B) were presented to the Orange County Transportation Authority's (OCTA) Board of Directors (Board) on February 26, 2018. Updates on the action plan are provided quarterly, and this year-end report for 2018 consists of ten initiatives, implemented through 66 programs, and monitored through 84 milestones. The Action Plan supports the 2018 OCTA Board Strategic Initiatives (Attachment C), and OCTA's Strategic Plan goal areas of mobility, public service, fiscal sustainability, stewardship, and organizational excellence.

End-of-Year Status and Highlights

By the end of 2018, 74 of 84 milestones were completed. Attachment B provides a summary of all 84 milestones and highlights the ten milestones (in orange) that carried over into 2019. Some milestones slipped due to a combination of external influences, such as coordination with outside agencies and/or internal scheduling issues.

Major accomplishments in 2018 are highlighted below.

CEO Initiative 1: Enhance Safety and Security Measures

- Facility Security Camera System: On May 14, 2018, the Board approved the selection of the firm to perform the installation of a video surveillance system at the Santa Ana and Garden Grove bus bases. The contractor received the notice to proceed on June 18, 2018.
- OCTA Cybersecurity: Throughout 2018, OCTA's Information Systems (IS) Department conducted cyber security intrusion testing, including penetration testing and phishing campaigns. Recommendations for improvements were brought to management and installation of security measures and software was implemented to prevent IS intrusion.

CEO Initiative 2: Cultivate Organizational Excellence

- Collective Bargaining Agreement: On May 14, 2018, the Board ratified and approved the Coach Operator's agreement.

CEO Initiative 3: Implement the Transit Vision of Orange County

- Phase II, Mobile Ticketing System for Fixed-Route Buses: In February 2018, Phase II, installation of mobile readers on active fleet vehicles was completed. The mobile readers allow passengers to use smartphones to be scanned to board the bus.
- Micro-Transit Demonstration Project: On March 26, 2018, the Board approved the firm to provide operation and maintenance services for the micro-transit (OC Flex) Pilot Program. In mid-August, the Board approved the proposed fare structure. OC Flex service started on October 15, 2018, in the Huntington Beach service area and started in south county (Aliso Viejo/Mission Viejo) on October 20, 2018.
- Project V Community Circulators: On June 25, 2018, the Board approved a recommended \$6.8 million in funding for Project V community-based transit circulator projects.
- Hydrogen Fuel Cell Bus Purchases: On September 24, 2018, OCTA received the first hydrogen fuel cell bus.

CEO Initiative 4: Ready the OC Streetcar Project for Construction

- OC Streetcar Project:
 - On March 26, 2018, the Board approved the firm to provide eight streetcar vehicles contingent upon successful completion of a pre-award audit to confirm compliance with Federal Buy America requirements.
 - On September 24, 2018, the Board approved the award of the construction contract. Notice to proceed for construction was given in mid-November 2018.
 - On November 30, 2018, the Federal New Starts grant agreement was formally executed.

CEO Initiative 5: Begin Construction of the I-405 Design-Build Project

- Interstate 405 (I-405) Design-Build Project:
 - On January 26, 2018, a ground-breaking ceremony was held in Costa Mesa to begin construction on the I-405 Design-Build Project.
 - On November 12, 2018, the Board adopted the 2018 Measure M2 (M2) Plan of Finance for the I-405 project.

CEO Initiative 6: Deliver Capital Projects

- Interstate 5 (I-5) Widening from Avenida Pico to San Juan Creek Road: In April 2018, new carpool lanes on the I-5 from Avenida Pico to San Juan Creek Road was opened to traffic.
- State Route 73 to Oso Parkway Design Project: On October 22, the Board approved the release of the request for proposals for construction management support and approved a cooperative agreement between OCTA and the California Department of Transportation for construction capital and construction management services for this project.
- Hydrogen Fueling Station at the Santa Ana Base: On November 13, 2017, the Board authorized the CEO to negotiate and execute the contract for the construction, operation, and maintenance of a hydrogen fueling station. On January 25, 2018, the contract was awarded and notice to proceed was issued on January 25, 2018.

CEO Initiative 7: Modernize the 91 Express Lanes Toll Management Systems

- 91 Express Lanes - 405 Express Lanes: On February 26, 2018, the Board approved the contract award for the Toll System Integrator.
- State Route 91 (SR-91) Implementation Plan: On June 11, 2018, the Board approved the 2018 SR-91 Implementation Plan.

CEO Initiative 8: Develop Sustainable Plans and Programs Based on Future Growth Projections.

- Transit Master Plan: On February 12, 2018, the Transit Master Plan (OC Transit Vision) final report was delivered to the Board for consideration.

- Next 10 Delivery Plan: On September 10, 2018, the Board received the M2 Market Conditions Key Indicators Analysis and Forecast for delivery of the Next 10 Delivery Plan. On September 10, 2018, the Board adopted the 2018 M2 Next 10 Delivery Plan with revised financial assumptions. On November 26, 2018, the Board received the M2 Sales Tax Forecast.
- Long Range Transportation Plan (LRTP): On November 12, 2018, the Board received the final LRTP and directed staff to submit it to SCAG.

CEO Initiative 9: Promote Environmentally Friendly Initiatives

- Bicycle Safety Training Program: On April 17, 2018, the contract for a bicycle safety training program was awarded.
- Active Transportation: On December 10, 2018, the Board was presented the countywide active transportation plan.

CEO Initiative 10: Secure a Viable Financial Future

- SB 1 (Chapter 5, Statutes of 2017): On January 22, 2018, the Board approved funding recommendations for the SB 1 State of Good Repair program for fiscal year (FY) 2017-18 funds. On April 26, 2018, the Board received the California Transportation Commission (CTC) recommendations for three SB 1 programs. On May 18, 2018, the Board received the CTC approval of awards for three SB 1 programs. On August 13, 2018, the Board approved funding recommendations for SB 1 funding for FY 2018-19 and FY 2019-20.
- Revise the Comprehensive Business Plan (CBP): On September 24, 2018, the Board approved the FY 2018 - 19 CBP.

DJ:lw
Attachments

2018

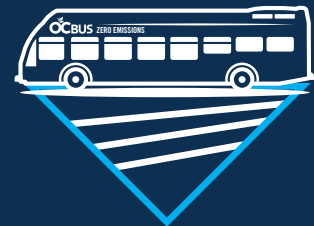
CEO INITIATIVES



ENHANCE SAFETY
AND SECURITY
MEASURES



CULTIVATE
ORGANIZATIONAL
EXCELLENCE



IMPLEMENT THE
TRANSIT VISION OF
ORANGE COUNTY



READY THE
OC STREETCAR PROJECT
FOR CONSTRUCTION



BEGIN CONSTRUCTION
OF THE I-405
DESIGN BUILD PROJECT



DELIVER CAPITAL
PROJECTS



MODERNIZE THE
91 EXPRESS LANES
TOLL MANAGEMENT
SYSTEMS



DEVELOP SUSTAINABLE
PLANS AND PROGRAMS
BASED ON FUTURE
GROWTH PROJECTIONS



PROMOTE
ENVIRONMENTALLY
FRIENDLY INITIATIVES



SECURE A
VIALE FINANCIAL
FUTURE



2018 CEO INITIATIVES AND ACTION PLAN

JANUARY 14, 2019



10 CEO INITIATIVES FOR 2018

1. Enhance Safety and Security Measures
2. Cultivate Organizational Excellence
3. Implement the Transit Vision of Orange County
4. Ready the OC Streetcar Project for Construction
5. Begin Construction of the I-405 Design-Build Project
6. Deliver Capital Projects
7. Modernize the 91 Express Lanes Toll Management Systems
8. Develop Sustainable Plans and Programs Based on Future Growth Projections
9. Promote Environmentally Friendly Initiatives
10. Secure a Viable Financial Future

2018 CEO Initiatives and Action Plan

Ten CEO Initiatives

1. Enhance Safety and Security Measures (10 Milestones)
2. Cultivate Organizational Excellence (14 Milestones)
3. Implement the Transit Vision of Orange County (11 Milestones)
4. Ready the OC Streetcar Project for Construction (5 Milestones)
5. Begin Construction of the I-405 Design-Build Project (4 Milestones)
6. Deliver Capital Projects (13 Milestones)
7. Modernize the 91 Express Lanes Toll Management Systems (3 Milestones)
8. Develop Sustainable Plans and Programs Based on Future Growth Projections (12 Milestones)
9. Promote Environmentally Friendly Initiatives (6 Milestones)
10. Secure a Viable Financial Future (6 milestones)

2018 CEO Milestone Summary

66 Projects/Programs, 84 Milestones

<i>Number of Milestones by Quarter</i>	
Q1	10 Milestones
Q2	24 Milestones
Q3	22 Milestones
Q4	28 Milestones
Total	84 Milestones

<i>Number of Milestones by Division</i>	
1. Capital Division	21 Milestones
2. Executive Office	8 Milestones
3. External Affairs Division	3 Milestones
4. Finance and Administration Division	12 Milestones
5. Human Resources and Organizational Development Division	10 Milestones
6. Planning Division	21 Milestones
7. Transit Division	9 Milestones
Total	84 Milestones

On Track	Completed	Timetable Adjusted	At Risk	Carryover	Board Initiatives Supported
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Initiative 1: Enhance Safety and Security Measures

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
1. <i>Safety Value</i>	Milestone: Incorporate the newly adopted Safety Value as one of HR's employee performance evaluation criteria - Q1. Note: Halogen employee reviews have "Safety" as a core value that each employee is required to be assessed against.	HROD				
2. <i>Drug and Alcohol Program</i>	Milestone: Revise and update OCTA's Drug and Alcohol Program Manual – Q2. Note: On April 9, 2018, the Board approved updates to the Drug and Alcohol Policy.	HROD				
3. <i>Emergency Operations Plans</i>	Milestone: Present to ESC the updated Emergency Operations Plans – Q3. Note: Emergency Operations Plans have been completed. Presented to ESC in Q3.	EXEC				
4. <i>Safety Management System Readiness</i>	Milestone: Conduct a third-party SMS readiness/compliance gap analysis for presentation to the ESC – Q3. Note: On September 24, 2018, the SMS readiness and compliance gap analysis was presented to ESC.	HROD				
5. <i>Safety Security Emergency Preparedness Plan</i>	Milestone: Present the SSEPP plan to ESC – Q3. Note: The SSEPP plan has been completed. Presented to ESC in Q3.	EXEC				
6. <i>Transit System Vulnerability Assessment</i>	Milestone: Present to ESC the completed project assessment – Q3. Note: The vulnerability assessment, led by OCTA Information Systems Department has been completed. Presented to ESC in Q3.	EXEC				
7. <i>Crisis Communication</i>	Milestone: Update and distribute the Crisis Communication Plan – Q3. Note: Distribution of the plan was accomplished on September 18, 2018.	EXEC				

On Track	Completed	Timetable Adjusted	At Risk	Carryover	Board Initiatives Supported
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Initiative 1: Enhance Safety and Security Measures, continued

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
8. <i>Facility Security Camera System</i>	Milestone: Begin construction of upgrades to security camera systems at the Santa Ana and Garden Grove Bus Bases - Q3. Note: On January 22, 2018, the Board approved the request to issue the RFP for installation of the new video surveillance camera system at the Santa Ana and Garden Grove bus bases. On May 14, 2018 the Board approved the selection of the firm to perform installation of the video surveillance system at the Santa Ana and Garden Grove bus bases. Contractor received the NTP on June 18, 2018.	CAP				
9. <i>Transit Security Operations Center</i>	Milestone: Complete TSOC environmental – Q4. Note: This project will carry over to Q1, 2019. CEQA public comment ended on November 30, 2018. Consultant will address comments until January 2019.	CAP				
10. <i>Cybersecurity</i>	Milestone: Conduct cyber security intrusion testing throughout the year. Make cyber recommendations to ESC throughout the year and install security measures and software to prevent intrusion. Report to ESC quarterly - Q4. Note: Penetration testing and phishing campaigns were completed in October 2018. Quarterly Cybersecurity updates were given to ESC.	F&A				

Initiative 2: Cultivate Organizational Excellence

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
1. <i>Early Career Program</i>	Milestone: Implement Early Career Program courses – Q2. Note: Early career attendees started their first session the week of May 7th, 2018.	HROD				
2. <i>Succession Planning</i>	Milestone: Implement development plans – Q2. Note: Development plans are complete and implemented.	HROD				
3. <i>Personnel and Salary Resolution</i>	Milestone: Board approval of the PSR – Q2. Note: On June 11, 2018, the Board approved the PSR for FY 2018-19.	HROD				

On Track	Completed	Timetable Adjusted	At Risk	Carryover	Board Initiatives Supported
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Initiative 2: Cultivate Organizational Excellence, continued

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
4. <i>Collective Bargaining Agreement</i>	Milestone: Board approval of Coach Operator's agreement – Q2. Note: On February 26, 2018, agreement update went to the Board. On March 26, 2018, a closed session was held to update the Board on the agreement. On April 9, 2018, a closed session was held to update the Board on the agreement. On May 14, 2018, the Board ratified and approved the Coach Operator's agreement.	HROD				
5. <i>Carryover 2017- IS System Upgrades</i> <i>Complete Lawson Upgrade</i>	Milestone: Upgrade Lawson Software, go live – Q2. Note: Lawson upgrade is underway. The schedule has slipped due to design implementation issues. As of December 3, 2018, the Lawson upgrade is complete.	F&A				
6. <i>OCTA Attitudinal and Awareness Survey</i>	Milestone: Deliver to the Board the results of the OCTA Attitudinal and Awareness Survey – Q2. Note: On August 27, 2018, Board received the results of the Attitudinal and Awareness study survey.	EA				
7. <i>Employee Benefits</i>	Milestone: Renewal of the employee benefits contracts through the California State Association of Counties – Q3. Note: On August 27, 2018, the Board authorized several amendments and contracts for employee healthcare benefits.	HROD				
8. <i>IS Risk Assessment</i>	Milestone: Conduct a comprehensive risk assessment of the OCTA information systems environment and incorporate results into the FY 2018-19 Internal Audit Plan – Q3. Note: The IS Risk Assessment has been completed and results incorporated into FY 2018-19 Audit Plan. On August 27, 2018 the Board approved the draft FY 2018-19 Internal Audit Plan.	EXEC				
9. <i>Metrics Dashboard</i>	Milestone: Demonstrate Metrics Dashboard to ESC – Q3. Note: The metrics dashboard has been built and is in the user acceptance phase. On October 8, 2018, ESC received a demonstration of the new Executive Metrics Dashboard.	PLN				

On Track	Completed	Timetable Adjusted	At Risk	Carryover	Board Initiatives Supported
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Initiative 2: Cultivate Organizational Excellence, continued

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
10. 2018 Employee Engagement Survey	Milestone: Conduct and deliver the Employee Engagement Survey. Report results to ESC and then OCTA - Q4. Note: Survey of employees was conducted in October 2018 and the CEO presented the results to ESC and OCTA through the CEO Connection seminars.	HROD				
11. Employee Engagement Survey Action Plan	Milestone: Present to ESC quarterly progress on the implementation of the 2017 Employee Engagement Action Plan – Q4. Note: The Engagement Action Plan was presented to the ESC quarterly. The engagement plan proved successful as improvements in almost all categories were seen on the 2018 Employee Engagement Survey.	HROD				
12. OCTA Desktop Replacement	Milestone: Replace old desktops with new desktops and operating systems – Q4. Note: The IS Department has completed migration to Windows 10 using new PC's.	F&A				
13. Legislative Platforms	Milestone: Board approval of 2019 State and Federal Platforms – Q4. Note: On June 25, 2018, the Board approved the preparation plan and timeline for the State and Federal Legislative Platforms. On September 24th, initial drafts of the platforms were presented to the Board for review. On November 26, 2018, the Board adopted the State and Federal Legislative Platforms.	EA				
14. Federal/State Legislative Reports	Milestone: Present to the Board monthly Federal/State Legislative Reports – Q4. Note: The Board received the State and Federal Reports on the following dates: February 26th, March 26th, April 23rd, May 25th, June 25th, July 23rd, August 27th, September 24, October 22, November 26.	EA				

On Track	Completed	Timetable Adjusted	At Risk	Carryover	Board Initiatives Supported
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Initiative 3: Implement the Transit Vision of Orange County

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
1. <i>Carryover 2017 - Phase II, Mobile Ticketing System for Fixed-Route Buses</i>	Milestone: Complete Phase II installation of mobile readers on active fleet vehicles – Q1. Note: Completed. All readers have been installed.	F&A				
2. <i>OC ACCESS Online</i>	Milestone: Launch OC ACCESS Online – Q1. Note: OC ACCESS launched in Q1.	OPS				
3. <i>Same Day Taxi Service</i>	Milestone: Board award of consultant services for the same day taxi services - Q2. Note: On February 12, 2018, the Board approved the release of the request for proposals for taxi service providers. On July 23, 2018, the Board approved the selection of the contractor to provide Same-Day Taxi service to ACCESS-eligible customers.	OPS				
4. <i>Project V Community Circulators</i>	Milestone: Board award of grants to Community Circulator services – Q2. Note: On January 22, 2018 the Board directed staff to return with revised Project V Guidelines for a potential call for projects. On February 12, 2018, the Board approved Project V Guidelines and call for projects. On June 25, 2018 the Board approved a recommended \$6.8 million in funding for Project V community-based transit circulator projects. On July 23, 2018, the Board received the Project V ridership report.	PLN				
5. <i>Freeway Service Patrol</i>	Milestone: Board award of selected FSP providers for FSP services - Q2. Note: On February 12, 2018, the Board approved the release of the request for proposals for FSP services for four service areas. On May 25, 2018, the Board approved two firms to provide FSP throughout Orange County. In addition, the Board authorized the CEO to enter into a cooperative agreement with the California Highway Patrol for the supervision of the FSP.	OPS				
6. <i>Hydrogen Fuel Cell Bus Purchases</i>	Milestone: Receive first article, hydrogen bus – Q3. Note: On September 24, 2018, OCTA received the first hydrogen fuel cell bus.	OPS				

On Track	Completed	Timetable Adjusted	At Risk	Carryover	Board Initiatives Supported
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Initiative 3: Implement the Transit Vision of Orange County, continued

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
7. <i>Micro-Transit Demonstration Project</i>	Milestone: Implement OC Flex Service – Q3. Note: On March 26, 2018, the Board approved the firm to provide operation and maintenance services for the micro-transit pilot program. On August 13, 2018, the Board received an update on the pilot program and approved the proposed fare structure. OC Flex service started on October 15, 2018 in the Huntington Beach service area and started in south county (Aliso Viejo/Mission Viejo) on October 20, 2018.	OPS				
8. <i>iShuttle Project V</i>	Milestone: Accept delivery of new iShuttle buses for expanded iShuttle service – Q3. Note: On June 25, 2018 the Board authorized an amendment to the agreement with First Transit for expansion of iShuttle service. OCTA received and accepted 7 iShuttle buses on December 31, 2018.	OPS				
9. <i>Carryover 2017 - Near Zero NOx Emission Engines</i>	Milestone: Complete engine re-power on 98 New Flyer buses - Q4. Note: All engine re-powers have been completed.	OPS				
10. <i>Hydrogen Fuel Cell Bus Purchases</i>	Milestone: Begin receiving remaining nine production buses - Q4. Note: The charging system that is part of the fuel cell isn't working properly. This item will carryover to Q2, 2019	OPS				
11. <i>EZ Wallet Demonstration</i>	Milestone: Initiate a demonstration project of EZ Wallet – Q4. Note: Initiation of the demonstration project will carryover to Q1, 2019.	OPS				

On Track	Completed	Timetable Adjusted	At Risk	Carryover	Board Initiatives Supported
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Initiative 4: Ready the OC Streetcar Project for Construction

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
1. Carryover 2017 - OC Streetcar Project	Milestone: Board award of the contract for the manufacturing and delivery of the streetcar rail vehicles - Q1. Note: On March 26, 2018, the Board approved the firm to provide eight streetcar vehicles contingent upon successful completion of a pre-award audit to confirm compliance with Federal Buy America requirements.	OPS				
2. OC Streetcar Project	Milestone: Board approval to release the RFP for the management and operations of the OC Streetcar - Q1 Note: On November 12, 2018, the Board approved the release of the OC Streetcar O&M RFP.	OPS				
3. Carryover 2017 - OC Streetcar Project.	Milestone: Execute the Federal New Starts Capital Investment Grant Program full funding grant agreement - Q2. Note: On November 30, 2018, the Federal New Starts grant agreement was formally executed.	EA				
4. OC Streetcar Project	Milestone: Board award of the construction contract - Q2. Note: On March 26, 2018, the Board received an OC Streetcar update. On July 9, 2018, the Board approved the revised OC Streetcar Project funding plan and authorized the use of up to \$108.41 million in additional M2, Project S, program funding. On September 24, 2018 the Board approved the award of the construction contract for the OC Streetcar Project.	CAP				
5. OC Streetcar Project	Milestone: Begin construction of the OC Streetcar Project - Q3. Note: On September 24, 2018, the Board approved the award of the construction contract. NTP for construction was given in mid-November 2018.	CAP				

On Track	Completed	Timetable Adjusted	At Risk	Carryover	Board Initiatives Supported
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Initiative 5: Begin Construction of the I-405 Design-Build Project

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
1. I-405 Design-Build Project	Milestone: Begin construction of the I-405 Design-Build Project - Q1. Note: On January 26, 2018, a ground-breaking ceremony was held in Costa Mesa to begin construction on the I-405 Design-Build Project.	CAP				
2. Carryover 2017 - 405 Express Lanes. Back-Office System, Customer Service, and Traffic Operations Staffing	Milestone: Board approval to release the RFP for the back-office system, customer service and traffic operations staffing - Q3. Note: The original intent of this RFP was to combine the services for the 405 Express Lanes and 91 Express Lanes into one procurement. After further review, the decision has been made to separate the RFP and have two procurements – one for the 405 Express Lanes and the other for the 91 Express Lanes. The approval for the release of the 91 Express Lanes RFP is anticipated in Q1 of 2019. The approval for the release of the 405 Express Lanes RFP has not been determined but will be in either late 2019 or 2020.	EXEC				
3. I-405 Design-Build Project	Milestone: Present to the Board an update on the implementation of the Plan of Finance for the I-405 project – Q4. Note: On November 12, 2018, the Board adopted the 2018 M2 Plan of Finance.	F&A				
4. I-405 Design-Build Project	Milestone: Acquire and deliver 143 ROW parcels for construction to the design-build per contract commitments – Q1-Q4. Note: On the dates indicated below, the Board adopted resolutions of necessity on several properties within the construction area (February 26th, March 26th, May 14th, June 25th, July 23rd, August 13, September 24, October 22, November 22, December 10).	CAP				

On Track	Completed	Timetable Adjusted	At Risk	Carryover	Board Initiatives Supported
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Initiative 6: Deliver Capital Projects

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
1. Carryover 2017 - Hydrogen Fueling Station at the Santa Ana Base	Milestone: Award fueling station construction contract - Q1. Issue NTP for design and construction of fueling station - Q1. Note: On November 13, 2017, the Board authorized the CEO to negotiate and execute the contract for the construction, operation, and maintenance of a hydrogen fuel station. On January 25, 2018, contract was awarded. NTP was issued on January 25, 2018.	CAP				
2. OC Go: I-5, SR-73 to Oso Parkway Design Project	Milestone: Complete 100% design - Q1. Note: 100% design completed in August 2018. On October 22, the Board approved a cooperative agreement between OCTA and Caltrans for construction capital and construction management. On October 22, the Board approved the release of the RFP for construction management support services.	CAP				
3. I-5 Widening from Avenida Pico to San Juan Creek Road	Milestone: Open the new carpool lanes on I-5 from Pico to San Juan Creek Road - Q2. Note: Carpool lanes were opened to traffic in April 2018.	CAP				
4. OC Go: I-5, SR-55 to SR-57	Milestone: Advertise for Construction bids for this project - Q2. Note: On May 8, 2018, the opening for construction bids for this project was advertised and eight bids were received. However, all bidders were subsequently deemed "unresponsive" as each did not meet the bidding requirements. The project was re-advertised on August 27, 2018 and new bids were received. On November 29th the construction contract was awarded.	CAP				
5. Anaheim Canyon PSE	Milestone: Professional engineering services. Deliverable will be the 60% PS&E - Q3. Note: On July 23, 2018 the Board approved the release of the RFP for construction management services for the Anaheim Canyon Metrolink Station Improvement Project. On July 27, 2018, the 60% PS&E was delivered.	CAP				

On Track	Completed	Timetable Adjusted	At Risk	Carryover	Board Initiatives Supported
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Initiative 6: Deliver Capital Projects, continued

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
6. OC Go: I-5, Alicia Parkway to El Toro Road	Milestone: Complete 100% design - Q3. Note: Anticipated 100% design completion is scheduled for April 2019. This milestone will carryover to 2019.	CAP				
7. Placentia Metrolink Station	Milestone: Board award of construction contract - Q3 (subject to BNSF approval). Note: BNSF agreement is being negotiated. This milestone will carryover to 2019.	CAP				
8. Carryover 2017 - Hydrogen Fueling Station. Construct hydrogen fueling station at the Santa Ana Base.	Milestone: Commission into service the Hydrogen Fueling Station at the Santa Ana Base - Q4 Note: Under final review by OCFA for permitting. Final construction and commission of fueling station will occur in 2019.	CAP				
9. Carryover 2017 - San Juan Capistrano Passing Siding Project.	Milestone: Begin construction - Q4. Note: On August 27, 2018, the Board approved the release of the IFB for construction of the Laguna Niguel to San Juan Capistrano Passing Siding Project. Bids for this project came in higher than the engineers estimate. Project budget will be revised, and construction will be brought to the Board in January 2019. Carryover to 2019.	CAP				
10. OC Go: I-5, I-405 to SR-55	Milestone: Complete the environmental document – Q4. Note: On May 25, 2018, the Board received an update on the project. This project has been delayed until mid-2019 due to lack of agreement over design variations needed to limit ROW impacts to businesses and communities.	CAP				
11. OC Go: I-5, Oso Parkway to Alicia Parkway	Milestone: Caltrans award of construction contract - Q4. Note: On February 12, 2018, the Board authorized execution of a cooperative agreement with Caltrans for construction management services for this project. On February 12, 2018, the Board received an update to this project. On February 26, 2018, the Construction Management RFP was released. On August 13, 2018, the Board approved the construction management support services for this project. Bids for the construction contract will be opened in January 2019. Carryover to 2019.	CAP				

On Track	Completed	Timetable Adjusted	At Risk	Carryover	Board Initiatives Supported
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Initiative 6: Deliver Capital Projects, continued

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
12. OC Go: I-605/Katella Avenue Interchange	Milestone: Complete the environmental document - Q4. Note: Environmental phase of this project was completed in October 2018.	CAP				
13. OC Go: SR-57 NB - Orangewood to Katella	Milestone: Circulate the Environmental Document for public comment - Q4. Note: On September 10, 2018, the Board received an update on the SR-57 Northbound Improvement Project. The public review/circulation period was held from October 11th to November 9th, with a Public Hearing on October 25th.	CAP				

Initiative 7: Modernize the 91 Express Lanes Toll Management Systems

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
1. 91 Express Lanes - 405 Express Lanes	Milestone: Board award of contractor for the ETM system for the 91 Express Lanes 405 Express Lanes - Q1. Note: On February 26, 2018, the Board approved the contract award for the Toll System Integrator.	EXEC				
2. SR-91 Implementation Plan	Milestone: Present for Board approval the SR-91 Implementation Plan - Q2 Note: On April 23, 2018, the Board received an update on the 91 Express Lanes. On May 25, 2018, the Board received an update on the SR-91 ridership patterns. On June 11, 2018, the Board approved the 2018 SR 91 Implementation Plan.	PLN				
3. OCTA Credit Rating	Milestone: Present to the Board OCTA's current credit rating against outstanding debt - Q4. Note: An update to the Board was provided on August 13, 2018.	F&A				

On Track	Completed	Timetable Adjusted	At Risk	Carryover	Board Initiatives Supported
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Initiative 8: Develop Sustainable Plans and Programs Based on Future Growth Projections

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
1. <i>Transit Master Plan</i>	Milestone: Present to Board the Final Transit Master Plan - Q1. Note: On February 12, 2018, the Transit Master Plan (OC Transit Vision) final report was delivered to the Board for consideration.	PLN				
2. <i>OC Bus 360°, Biannual Progress Report</i>	Milestone: Present to Transit Committee the OC Bus 360° update - Q2. Note: On April 23, 2018, the Board received an update on the OC Bus 360° Program. On June 11, 2018, the Board received an update on the implementation of the OCTA Corridor Studies.	PLN				
3. <i>STIP</i>	Milestone: Present to Board the CTC approval of 2018 STIP - Q2. Note: On April 9, 2018, the Board was presented with the 2018 STIP update. On May 18, 2018, the Board was presented the CTC approved projects with an award of \$92.5 million.	PLN				
4. <i>Streets and Roads</i>	Milestone: Award up to \$8 million for the RTSSP to provide intersection improvements - Q2. Note: On June 11, 2018, the Board approved the award of \$8.9 million for six projects. On September 10, 2018, the Board approved program funds for six projects as part of the 2018 call for projects.	PLN				
5. <i>Streets and Roads</i>	Milestone: Award up to \$32 million for streets projects through the M2 Regional Capacity Program - Q2. Note: On June 11, 2018, the Board approved the award of \$32 million for 11 local agency projects.	PLN				
6. <i>ITS Strategic Deployment Plan</i>	Milestone: Award consultant services contract to update the ITS Strategic Deployment Plan - Q3. Note: Awarded on April 9, 2018	PLN				

On Track	Completed	Timetable Adjusted	At Risk	Carryover	Board Initiatives Supported
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Initiative 8: Develop Sustainable Plans and Programs Based on Future Growth Projections

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
7. Next 10 Delivery Plan	Milestone: Present to Board the Next 10 Plan market conditions review – Q3. Note: On June 11, 2018, the Board received the M2 Quarterly Progress Report for Q3 of FY 2017-18. On September 10, 2018, the Board received the M2 Market Conditions Key Indicators Analysis and Forecast for delivery of the Next 10 Plan. On September 10, 2018 the Board adopted the 2018 M2 Next 10 Delivery Plan with revised financial assumptions. On October 8, 2018, the M2 quarterly report was presented to the Board. On November 26, 2018, the Board received the M2 Sales Tax Forecast. On December 10, 2018, the Board received the M2 Quarterly Report for Q1, FY 2018-19.	PLN				
8. TAM Plan	Milestone: Complete TAM Plan - Q3. Note: On September 24, 2018, the Board approved the TAM plan which was delivered as an attachment to the CBP.	PLN				
9. Transit Corridor Study	Milestone: Board award of consultant services for the Transit Corridor Study – Q4. Note: On July 23, 2018, the Board awarded the contract for consultant services.	PLN				
10. LRTP	Milestone: Present to the Board the final plan -Q4. Note: On February 12, 2018, the Board received an update to the 2018 LRTP. On April 9, the Board received an update on the 2018 LRTP. On August 13, 2018, the Board directed staff to release the draft 2018 LRTP for public review. On November 12, 2018, the Board received the final LRTP and directed staff to submit it to SCAG.	PLN				
11. OC Bus 360°, Biannual Progress Report	Milestone: Present to Transit Committee the OC Bus 360° update - Q4. Note: On November 26, 2018, the Board received a status report on major OC Bus 360° elements.	PLN				
12. LA Metro Collaboration	Milestone: Collaborate with LA Metro on regional plans and report as required throughout the year - Q4. Note: On September 10, 2018, the Board received and M2 Market Analysis which included an LA Metro Report.	PLN				

On Track	Completed	Timetable Adjusted	At Risk	Carryover	Board Initiatives Supported
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Initiative 9: Promote Environmentally Friendly Initiatives

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
1. <i>Bicycle Safety Training Program</i>	Milestone: Award contract for bicycle safety training program - Q2. Note: Contract signed on April 17, 2018.	PLN				
2. <i>OC Go Environmental Programs</i>	Milestone: Freeway Mitigation Program – Finalize resource management plans for the remaining two properties – EOC Q3. Note: On August 13, 2018, the Board received an update on the Freeway Mitigation Program. Plans have been completed as of end of August. Division will present to EOC in November.	PLN				
3. <i>OC Go Environmental Programs</i>	Milestone: Fund the environmental program endowment and provide quarterly reports to the Board – Q1–Q4. Note: The annual deposit to the endowment was made on August 14, 2018. On September 24, 2018, the quarterly report was presented to the Board. The last quarterly report for the year is scheduled for the November 14th Finance and Administration Committee and November 26, 2018 Board meeting.	F&A				
4. <i>Active Transportation</i>	Milestone: Present to Board the OC Active Transportation Plan - Q4. Note: On December 10, 2018, the Board was presented the countywide active transportation plan.	PLN				
5. <i>BCIP</i>	Milestone: Release BCIP call for projects - Q4. Note: On September 24, 2018, the Board approved the guidelines for the 2019 BCIP call for projects for up to \$25 million.	PLN				
6. <i>OC Go Environmental Programs</i>	Milestone: Allocate M2 Environmental Cleanup Program Tier 1 Water Quality Grant Funding - Q4. Note: On March 12, 2018, released Tier 1 call for projects. On August 13, 2018, the Board approved the 2018 Tier 1 Environmental Cleanup Program recommendations to fund 12 projects. On September 10, 2018, the Board approved revised recommendations for the funding of the 12 projects.	PLN				

On Track	Completed	Timetable Adjusted	At Risk	Carryover	Board Initiatives Supported
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Initiative 10: Secure a Viable Financial Future

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
1. Carryover 2017 - Revise the CBP	Milestone: Board approval of the CBP - Q2. Note: On September 24, 2018, the Board approved the FY 2018 - 19 CBP.	F&A				
2. Commercial Banking	Milestone: Board approval of new commercial banking contract - Q2. Note: On May 25, 2018, the Board approved the selection of the firm (Bank) to provide commercial banking services for a five-year initial term.	F&A				
3. FY 2018-19 Budget Adoption	Milestone: Board adoption of the OCTA FY 2018 - 19 Budget - Q2. Note: On June 11, 2018, the Board approved the FY 2018-19 budget.	F&A				
4. I-405 Design-Build Project	Milestone: Request first TIFIA loan disbursement - Q2. Note: Completed in April 2018.	F&A				
5. CAFR	Milestone: Present to the Board the FY 2017-18 CAFR, which includes audited financial statements earning and unmodified audit opinion - Q4. Note: On November 26, 2018, the Board received the fiscal year 2017-18 CAFR and the 91 Express Lanes Fund Financial statements.	F&A				
6. SB 19 Chapter 5, Statutes of 2007)	Milestone: Ensure fair distribution of SB 1 funding to Orange County projects. Report to Administration and Finance Committee as needed - Q1-Q4 Note: On January 22, 2018, the Board approved funding recommendations for the SB 1 State of Good Repair program for FY 2017-18 funds. April 9, 2018, the Board received an SB 1 update. On April 26, 2018, the Board received the CTC recommendations for three SB 1 programs. On May 18, 2018, the Board received the CTC approval of awards for three SB 1 programs. On August 13, 2018, the Board approved funding recommendations for SB 1 funding for FY 2018-19 and FY 2019-20.	PLN				

On Track	Completed	Timetable Adjusted	At Risk	Carryover	Board Initiatives Supported
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Acronyms

BCIP – Bicycle Corridor Improvement Program	M2 – Measure M2
BNSF – Burlington Northern Santa Fe	NB - Northbound
Board – Board of Directors	NTP – Notice to Proceed
CAFR – Comprehensive Annual Financial Report	O&M – Operations and Maintenance
Caltrans – California Department of Transportation	OCFA – Orange County Fire Authority
CAP – Capital Programs	OCTA – Orange County Transportation Authority
CBP – Comprehensive Business Plan	OPS - Operations
CEO – Chief Executive Officer	PLN – Planning
CEQA – California Environmental Quality Act	PS&E – Plan Specifications and Estimates
CTC – California Transportation Commission	PSR – Personnel and Salary Resolution
EA – External Affairs	Q1 – First Quarter
EOC – Environmental Oversight Committee	Q2 – Second Quarter
ESC – Executive Steering Committee	Q3 – Third Quarter
ETTM – Electronic Toll and Traffic Management	Q4 – Fourth Quarter
EXEC – Executive Office	RFP – Request for Proposal
F&A – Finance and Administration	ROW – Right-of-Way
FSP – Freeway Service Patrol	RTSSP – Regional Transportation Signal Synchronization Program
FY – Fiscal Year	SR-55 – State Route 55
HROD – Human Resources and Organizational Development	SR-57 – State Route 57
HR – Human Resources	SR-73 – State Route 73
I-405 – Interstate 405	SR-91 – State Route 91
I-5 – Interstate 5	SMS – Safety Management System
I-605 – Interstate 605	SSEPP – Safety Security Emergency Preparedness Plan
IS – Information Systems	STIP – State Transportation Improvement Program
IFB – Invitation for Bid	TIFIA – Transportation Infrastructure Finance and Innovation Act
ITS – Intelligent Transportation System	TAM – Transit Asset Management
L RTP – Long-Range Transportation Plan	TSOC – Transit Security Operations Center
LA Metro – Los Angeles County Metropolitan Transportation Authority	

2018

BOARD STRATEGIC INITIATIVES



DELIVER CAPITAL
PROJECTS



MAXIMIZE FUNDING
OPPORTUNITIES



DEVELOP SUSTAINABLE
TRANSPORTATION PLANS



STRENGTHEN REGIONAL
PARTNERSHIPS



MODERNIZE
TRANSIT SERVICES



CHAMPION FISCAL
RESPONSIBILITY