



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, November 11, 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 Chairman 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 Bartlett

Pledge of Allegiance

Director Mark A. Murphy



BOARD AGENDA**Special Calendar****Orange County Transportation Authority Special Calendar Matters****1. 2019 Veterans Day Appreciation Video**

Video presentation highlighting the annual Veterans Day event held by the Orange County Transportation Authority to honor the military service of employees and their family members.

2. Recognition of the Orange County Transportation Authority's 2019 Management Development Academy Graduates

Angela Sun/Maggie McJilton

The Orange County Transportation Authority's Management Development Academy is an eight-month long development program for employees Grades P - S. The process for selection to the program requires completion of an application, a statement of interest, current resume, a signature of support from the applicant's direct supervisor, and attending a prerequisite course on handling difficult conversations. The participants spend a half-day each month in a program that includes instruction and skill-building in inspiring and motivating others. A key feature of the program this year was the capstone project where the participants explored how managers go from being a good to great manager. They presented their findings to their peers, managers, and executive directors, which came from interviews with Orange County Transportation Authority managers, information from the program, and additional research.

Consent Calendar (Items 3 through 11)

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

Orange County Transportation Authority Consent Calendar Matters**3. Approval of Minutes**

Approval of the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of October 28, 2019.



BOARD AGENDA

4. Public Transportation Agency Safety Plan
Matthew DesRosier/Maggie McJilton

Overview

The Federal Transit Administration published the Public Transportation Agency Safety Plan regulation, 49 CFR Part 673, on July 19, 2018 which took effect the following year, on July 19, 2019. Within this regulation, it is required that every agency receiving funds under the Urbanized Area Formula Program (49 USC Section 5307) must develop, and have adopted by the Board of Directors, a Public Transportation Agency Safety Plan for its transit system no later than July 20, 2020. As part of the regulation, agencies are to implement a Safety Management System risk-based approach.

Recommendation

Receive and file as an informational item.

5. Consultant Selection for the Safe Travels Education Program Campaign
Charlie Larwood/Kia Mortazavi

Overview

Consultant services are required to develop the Safe Travels Education Program campaign. In collaboration with the Orange County Health Care Agency, the project aims to improve safety by hosting education and encouragement activities at 25 public elementary schools serving disadvantaged communities in Orange County. Proposals have been received and evaluated in accordance with the Orange County Transportation Authority's procurement procedures for professional and technical services. Board of Directors' approval is requested for the selection of a firm to perform the required work.

Recommendations

- A. Approve the selection of Alta Planning + Design as the firm to develop the Safe Travels Education Program.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1433 between the Orange County Transportation Authority and Alta Planning + Design, in the amount of \$500,000, to develop the Safe Travels Education Program Campaign for a two-year term.



BOARD AGENDA

Orange County Local Transportation Authority Consent Calendar Matters

6. Capital Programs Division - First Quarter Fiscal Year 2019-20 Capital Action Plan Performance Metrics

James G. Beil

Overview

The Orange County Transportation Authority's Strategic Plan key strategies and objectives to achieve the goals for Mobility and Stewardship include delivery of all Capital Action Plan projects on time and within budget. The Capital Action Plan is used to create a performance metric to assess capital project delivery progress on highway, grade separation, rail, and facility projects. This report provides an update on the Capital Action Plan delivery and performance metrics.

Recommendation

Receive and file as an information item.

7. Contract Change Orders for the Interstate 405 Improvement Project from State Route 73 to Interstate 605

Jeff Mills/James G. Beil

Overview

On November 14, 2016, the Orange County Transportation Authority Board of Directors approved Agreement No. C-5-3843 with OC 405 Partners, a joint venture, for the design and construction of the Interstate 405 Improvement Project from State Route 73 to Interstate 605. Contract change orders are needed to design and construct additional improvements to support the installation of a permanent traffic signal at the intersection of Warner Avenue and Greenleaf Street, provide additional utility work to support Southern California Edison relocations on Milton Avenue, extend water lines at the Talbert Avenue and Brookhurst Street overcrossing bridges, and install additional water valves at the Talbert Avenue, Warner Avenue, and Brookhurst Street overcrossing bridges in the City of Fountain Valley.



BOARD AGENDA**7. (Continued)****Recommendations**

- A. Authorize the Chief Executive Officer to negotiate and execute supplemental Contract Change Order No. 13.1 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$460,327, to design and construct additional improvements to support the installation of a permanent traffic signal at the intersection of Warner Avenue and Greenleaf Street in the City of Fountain Valley.
- B. Authorize the Chief Executive Officer to negotiate and execute supplemental Contract Change Order No. 27.1 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$353,106, to provide additional utility work to support Southern California Edison relocations on Milton Avenue in the City of Westminster.
- C. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 46 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$389,978, to extend water lines adjacent to the Talbert Avenue and Brookhurst Street overcrossing bridges in the City of Fountain Valley.
- D. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 47 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$266,828, to install additional water valves at the Talbert Avenue, Warner Avenue, and Brookhurst Street overcrossing bridges in the City of Fountain Valley.



BOARD AGENDA

8. Amendment to Cooperative Agreement with the City of Costa Mesa for the Interstate 405 Improvement Project

Jeff Mills/James G. Beil

Overview

On March 14, 2016, the Orange County Transportation Authority Board of Directors approved Cooperative Agreement No. C-5-3612 with the City of Costa Mesa for city services required during the design-build implementation of the Interstate 405 Improvement Project. The cooperative agreement needs to be amended for additional city support services during the design and construction of the project.

Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Cooperative Agreement No. C-5-3612 between the Orange County Transportation Authority and the City of Costa Mesa, in the amount of \$249,500, for additional city services for the Interstate 405 Improvement Project. This will increase the maximum obligation of the cooperative agreement to a total value of \$1,256,380.

9. Cooperative Agreement with the California Department of Transportation for the Interstate 5 Widening Project Between Alicia Parkway and El Toro Road

Niall Barrett/James G. Beil

Overview

The Orange County Transportation Authority proposes to enter into a cooperative agreement with the California Department of Transportation for construction capital and construction management support services for Segment 3 of the Interstate 5 widening project between Alicia Parkway and El Toro Road.

Recommendations

- A. Authorize the use of \$4,728,000 in Highway Infrastructure Program funds in place of Measure M2 funds for the Interstate 5 widening project between Alicia Parkway and El Toro Road.



BOARD AGENDA

9. (Continued)

- B. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-1600 between the Orange County Transportation Authority and California Department of Transportation, in the amount of \$136,615,000, comprised of a construction capital share of \$117,000,000, and a construction management services share of \$19,615,000, for Segment 3 of the Interstate 5 widening project between Alicia Parkway and El Toro Road.
- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute or amend all necessary agreements to facilitate the above action.

10. Approval to Release Request for Proposals for Construction Management Support Services for the Interstate 5 Widening Project Between Alicia Parkway and El Toro Road

Niall Barrett/James G. Beil

Overview

The Orange County Transportation Authority has developed a request for proposals to initiate a competitive procurement process to retain a consultant to provide construction management support services for the Interstate 5 widening project between Alicia Parkway and El Toro Road.

Recommendations

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 9-1605 for selection of a consultant to provide construction management support services for the Interstate 5 widening project between Alicia Parkway and El Toro Road.
- B. Approve the release of Request for Proposals 9-1605 to provide construction management support services for the Interstate 5 widening project between Alicia Parkway and El Toro Road.



BOARD AGENDA

Orange County Service Authority For Freeway Emergencies Consent Calendar Matters

11. California Department of Transportation Freeway Service Patrol Program Fund Transfer Agreements

Patrick Sampson/Jennifer L. Bergener

Overview

The Orange County Transportation Authority serves as the administering agency for the Freeway Service Patrol program in Orange County. Funding for the Freeway Service Patrol program is provided annually from the California Department of Transportation through the State Highway Account and the Road Repair and Accountability Act of 2017, also known as Senate Bill 1. Funding agreements are necessary each fiscal year to facilitate the transfer of funds to the Orange County Transportation Authority for the continuance of the Freeway Service Patrol program. Staff is seeking Board of Directors approval to authorize the Chief Executive Officer to negotiate and execute funding each year through fiscal year 2028-29.

Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-1620 between the Orange County Transportation Authority and the California Department of Transportation for fiscal year 2019-20 Freeway Service Patrol Program State Highway Account funding of approximately \$2,294,286.
- B. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-1620 between the Orange County Transportation Authority and the California Department of Transportation for fiscal year 2019-20 Freeway Service Patrol Program Senate Bill 1 funding of approximately \$1,969,345.
- C. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreements between the Orange County Transportation Authority and the California Department of Transportation each year for fiscal years 2020-21 through 2028-29 Freeway Service Patrol Program State Highway Account funding in an amount not to exceed \$20,545,608, for the nine fiscal years.



BOARD AGENDA

11. (Continued)

- D. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreements between the Orange County Transportation Authority and the California Department of Transportation each year for fiscal years 2020-21 through 2028-29 Freeway Service Patrol Program Senate Bill 1 funding in an amount not to exceed \$17,635,726, for the nine fiscal years.

Regular Calendar

Orange County Transportation Authority Regular Calendar Matters

12. Contractor Selection for the Back-Office System and Customer Service Center Operations for the 91 Express Lanes in Orange and Riverside Counties

Kirk Avila/Kenneth Phipps

Overview

On April 22, 2019, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals to retain contractor services to provide a back-office system and customer service center operations for the 91 Express Lanes. Board of Directors' approval is requested for the selection of a firm to perform the required work.

Recommendations

- A. Approve the selection of Cofiroute USA, LLC., as the firm to provide the back-office system and customer service center operations services for the 91 Express Lanes in Orange and Riverside counties.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1177 among the Orange County Transportation Authority, Riverside County Transportation Commission, and Cofiroute USA, LLC., in the amount of \$72,982,804, to provide the back-office system and customer service center operations services for the 91 Express Lanes in Orange and Riverside counties, for an initial term of seven years with two three-year option terms. The designated share for the Orange County Transportation Authority will be \$35,420,566.



BOARD AGENDA

Orange County Local Transportation Authority Regular Calendar Matters

13. Measure M2 2019 Update: Next 10 Delivery Plan Tamara Warren/Kia Mortazavi

Overview

The Measure M2 Next 10 Delivery Plan was approved on November 14, 2016, incorporating the 2016 revenue forecast with a plan for continued acceleration of the delivery of Measure M2 freeway, streets and roads, transit, and environmental projects through the year 2026. With annual updates to the Measure M2 sales tax revenue forecasts, staff reviewed the Next 10 Delivery Plan 2018 update and, once again, confirmed that it remains deliverable. The results of this effort are presented to the Board of Directors.

Recommendations

- A. Adopt the 2019 Measure M2 Next 10 Delivery Plan with updated financial assumptions.
- B. Direct staff to continue to monitor revenue and project cost impacts that could affect the delivery plan and return to the Board of Directors with changes if necessary.

Discussion Items

14. Measure M2 Interstate 5 Corridor Improvements Kia Mortazavi

Improving the Interstate 5 corridor is one of the corner stones of the Measure M2 Expenditure Plan. Significant improvements to the corridor have been underway since 2011 to address congestion in the corridor. An overview of corridor improvement projects is presented.



BOARD AGENDA

15. 2019 Chief Executive Officer Initiatives and Action Plan - Third Quarter Report

At the end of each quarter of the calendar year, the Chief Executive Officer discusses the activities and accomplishments from the 2019 Chief Executive Officer Initiatives and Action Plan with the Board of Directors. This report summarizes the third quarter activities of calendar year 2019 (July through September). The Chief Executive Officer Initiatives and Action Plan directly support the values, vision, mission, and goals of the Orange County Transportation Authority Strategic Plan and 2019 Chairman of the Board of Directors' Initiatives.

16. 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 Chairman subject to the approval of the Board of Directors.

17. Chief Executive Officer's Report

18. Directors' Reports

19. Closed Session

There are no Closed Sessions scheduled.

20. Adjournment

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, November 25, 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 October 28, 2019 regular meeting of the Orange County Transportation Authority (OCTA) and affiliated agencies was called to order by Chairman Shaw at 9:04 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: Tim Shaw, Chairman
 Steve Jones, Vice Chairman
 Lisa A. Bartlett
 Barbara Delgleize
 Michael Hennessey
 Gene Hernandez
 Jose F. Moreno
 Joe Muller
 Mark A. Murphy
 Richard Murphy
 Miguel Pulido
 Michelle Steel
 Donald P. Wagner
 Gregory T. Winterbottom
 Ryan Chamberlain, District Director
 California Department of Transportation District 12

Director Absent: Doug Chaffee
 Laurie Davies
 Andrew Do

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
 Members of the Press and the General Public

Special Calendar

Orange County Transportation Authority Special Calendar Matters

1. Presentation of Resolutions of Appreciation for Employees of the Month for October 2019

Darrell E. Johnson, Chief Executive Officer (CEO), presented OCTA Resolutions of Appreciation Nos. 2019-080, 2019-081, and 2019-082 to Phillip Nguyen, Coach Operator; Eduardo Ramos, Maintenance; and Neepa Shah, Administration, as Employees of the Month for October 2019.

2. Presentation of the 2019 Orange County Transportation Authority Bus and Maintenance Rodeo Awards

Darrell E. Johnson, CEO, opened with a video of the September 28th OCTA Bus and Maintenance Rodeo event. Mr. Johnson also recognized the Rodeo committee co-chairs Frank Amparan, Bus Operations, and Frank Scholl, Maintenance, for working on the OCTA Rodeo and the American Public Transportation Association (APTA) International Rodeo Committee. Mr. Johnson presented the awards as follows:

Administrative category winners were as follows:

- 3rd place - Logan Selleck, Public Outreach
- 2nd place - Patti Warrick, Marketing
- 1st place - Dustin J. Sifford, Government Relations

Director and Executive category winners were as follows:

- 3rd place - Director Gene Hernandez
- 2nd place - Lance Larson, Executive Director of External Affairs
- 1st place - Ken Phipps, Deputy CEO

Professional category winners were as follows:

- 1st place Bus Operations, Garden Grove Base, had the highest overall score for the Team competition
- 1st place Maintenance Team includes Ray Consiglio, Pat Courchaine, and Chris Jordan
- 1st place Coach Operator was Felipe Michel

Mr. Johnson congratulated the winners, and the professional winners will represent OCTA, in May 2020, at the APTA International Rodeo in San Antonio, Texas.

3. Sacramento Advocate Presentation

Darrell E. Johnson, CEO, provided opening comments and introduced Sacramento advocate Moira Topp of Topp Strategies, LLC, who provided an end of legislative session recap, and an overview of policy issues expected in 2020.

A discussion ensued regarding:

- Sacramento does not have a specific anti-Orange County bias about vehicle miles traveled (VMT) due to OCTA using Measure M2 (M2) and Senate Bill (SB) 1 dollars for freeway improvements, etcetera.
- The Governor's Executive Order about climate change and linking it to SB 1 dollars concerns Speaker Rendon as there are promises made to the voters about SB 1.
- OCTA has concerns that the VMT discussions, in Sacramento, are being done in a vacuum.
- M2 is a balanced program of projects, and OCTA needs to communicate the M2 components to Sacramento.
- Important for OCTA to have a Long-Range Transportation Plan, Comprehensive Business Plan, and include those plans into the Southern California Association of Governments' (SCAG) Regional Transportation Plan.

Consent Calendar (Items 4 through 24)

Darrell E. Johnson, CEO, announced that Consent Item 16 "South County Traffic Relief Effort Update" was always anticipated to be a Regular presentation item, and Item 16 will be heard as part of the Regular Calendar.

Orange County Transportation Authority Consent Calendar Matters

4. Approval of Minutes

A motion was made by Director Hennessey, seconded by Director M. Murphy, and declared passed by those present, to approve the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of October 14, 2019.

Director Pulido was not present to vote on this item.

5. Fiscal Year 2019-20 Internal Audit Plan, First Quarter Update

A motion was made by Director Hennessey, seconded by Director M. Murphy, and declared passed by those present, to receive and file the first quarter update to the Orange County Transportation Authority Internal Audit Department Fiscal Year 2019-20 Internal Audit Plan as an information item.

Director Pulido was not present to vote on this item.

6. Agreement for Federal Strategic Regulatory and Funding Consulting Services

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

- A. Approve the selection of Cardinal Infrastructure, LLC, as the firm to provide strategic consultation to the Orange County Transportation Authority on federal transportation program development, regulatory, and funding processes.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1360 between the Orange County Transportation Authority and Cardinal Infrastructure, LLC, in the amount of \$318,000, for a two-year term, to provide strategic consultation to the Orange County Transportation Authority on federal transportation program development, regulatory, and funding processes.

Director Pulido was not present to vote on this item.

7. Federal Legislative Status Report

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

Director Pulido was not present to vote on this item.

8. Draft Revisions to Orange County Transportation Authority's 2019-20 State and Federal Legislative Platforms

A motion was made by Director Hennessey, seconded by Director M. Murphy, and declared passed by those present, to authorize staff to integrate the recommended revisions to the Orange County Transportation Authority's 2019-20 State and Federal Legislative Platforms and seek further feedback from the Board of Directors, internal staff, and advisory groups, with subsequent drafts to be brought forward in November for final consideration and adoption.

Director Pulido was not present to vote on this item.

9. Agreement for Transportation Needs Assessment

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

- A. Approve the selection of Moore and Associates, Inc., as the firm to conduct a transportation needs assessment.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1505 between the Orange County Transportation Authority and Moore and Associates, Inc., in the amount of \$426,558, to provide a transportation needs assessment for an 18-month term.

Director Pulido was not present to vote on this item.

10. Fiscal Year 2018-19 Fourth Quarter Budget Status Report

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

Director Pulido was not present to vote on this item.

11. Agreement for Budget and Forecasting Software

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

- A. Approve the selection of Clarity Partners, LLC, as the firm to provide budget and forecasting software.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1083 between the Orange County Transportation Authority and Clarity Partners, LLC, in the amount of \$536,067, for a term of three years with two, two-year option terms to provide budget and forecasting software.

Due to a potential conflict of employment, Director M. Murphy did not participate on this item.

Director Pulido was not present to vote on this item.

12. Third Quarter 2019 Investment and Debt Report

Finance and Administration (F&A) Committee Chairman Hennessey pulled this item and stated that the F&A Committee is responsible for overseeing the investment funds as noted in OCTA's Investment Policy. He asked Andrew Oftelie, Chief Financial Officer (CFO), to highlight the recent violation.

Mr. Oftelie provided an overview of the violation, which was due to MetLife Investment Management (MetLife) purchasing a security that did not comply with OCTA's Investment Policy. Mr. Oftelie stated that MetLife self-reported the violation which is non-complainant with OCTA's Investment Policy, and MetLife has been placed on probation for one year.

F&A Committee Chairman Hennessey stated that the F&A Committee developed a new financial dashboard design that is working well.

OCTA's Investment Policy outlines the violation process as follows:

- First, the investment firm is placed on probation for one year.
- A second violation, within the one-year probation period, the firm would come out and meet in-person with the F&A Committee Chairman to explain what happened and how the firm will ensure it does not happen again.
- A third violation, within the one-year probation period, would come forward to the Board of Directors (Board) as an agenda item, and the firm would be subject to removal from OCTA's pool of investment managers.

A motion was made by Director Hennessey, seconded by Director M. Murphy, and declared passed by those present, to receive and file the Quarterly Debt and Investment Report prepared by the Treasurer as an information item.

13. New York Meetings Update - September 2019

Chairman Shaw pulled this item and highlighted the meetings with the New York rating agencies that he, along with, Vice Chairman Jones, F&A Committee Chairman Hennessey, OCTA staff, and OCTA's consultant from Sperry Capital Inc., attended. Chairman Shaw also highlighted Attachments A and B of the Staff Report.

A discussion ensued regarding:

- There has been no formal follow-up from any of the rating agencies.
- Moody's provides an update of the entire toll industry, with key credit considerations for all the entities they rate.
- The rating agencies use the information provided by OCTA to update the key credit considerations, and OCTA's ratings will come at a future date.

13. (Continued)

- OCTA's 91 Express Lanes has an AA- rating, which is the highest rating for a toll road facility.
- The rating agencies are very complimentary of OCTA's 91 Express Lanes.
- Chairman Shaw requested that when the rating agencies come out for a tour of the 91 Express Lanes, that he would like to join the tour.

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

14. First Quarter Fiscal Year 2019-20 Procurement Status Report

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

Director Pulido was not present to vote on this item.

15. Property Insurance Policy Renewal

A motion was made by Director Hennessey, seconded by Director M. Murphy, and declared passed by those present, to authorize the Chief Executive Officer to negotiate and execute Purchase Order No. A44100, in an amount not to exceed \$550,000, to Marsh Risk and Insurance Services, Inc., to purchase property insurance on behalf of the Orange County Transportation Authority for the policy period of December 1, 2019 to December 1, 2020.

Director Pulido was not present to vote on this item.

Orange County Transit District Consent Calendar Matters

17. Amendment to Cooperative Agreement with the City of Anaheim for the Anaheim Canyon Metrolink Rail Station Improvement Project

A motion was made by Director Hennessey, seconded by Director M. Murphy, and declared passed by those present, to authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Cooperative Agreement No. C-4-1714 between the Orange County Transportation Authority and the City of Anaheim, to reimburse the Orange County Transportation Authority in the amount of \$40,840, for work to be included in the Anaheim Canyon Metrolink rail station improvement project, and to increase the amount the Orange County Transportation Authority will reimburse the City of Anaheim by an additional \$100,000 for administrative and inspection costs. This will increase the maximum obligation of the cooperative agreement to a total value of \$273,000.

Director Pulido was not present to vote on this item.

18. Approval to Release Request for Proposals for On-Call Architectural and Engineering Design and Construction Support Services for Transit Facility Projects

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

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 9-1599 for the selection of on-call architectural and engineering design and construction support services for transit facility projects.
- B. Approve the release of Request for Proposals 9-1599 for on-call architectural and engineering design and construction support services for transit facility projects.

Director Pulido was not present to vote on this item.

19. State Transit Assistance Fund and Senate Bill 1 State of Good Repair Claims for Fiscal Year 2019-20

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

- A. Adopt Resolution No. 2019-079 to authorize the filing of State Transit Assistance Fund claims, in the amount of revised estimate of \$38,396,928, or up to the actual allocation published by the State Controller's Office, to support public transportation.
- B. Authorize the filing of Senate Bill 1 State of Good Repair claims, in the amount of the revised estimate of \$5,933,032, or up to the actual allocation published by the State Controller's Office, to help sustain and upgrade the Orange County Transportation Authority's bus system.

Director Pulido was not present to vote on this item.

Orange County Local Transportation Authority Consent Calendar Matters

20. Contract Change Order for Additional Railroad Flagging Allowance for the Laguna Niguel to San Juan Capistrano Passing Siding Project

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

- A. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 2 to Agreement No. C-7-2018 with Reyes Construction, Inc., in the amount of \$2,300,000, to increase the allowance budget for railroad flagging for the Laguna Niguel to San Juan Capistrano Passing Siding Project.
- B. Authorize the use of \$2,300,000 in federal Congestion Mitigation and Air Quality Improvement Program funds.
- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute any necessary agreements and/or amendments to facilitate associated programming actions.

Director Pulido was not present to vote on this item.

21. Amendment to Agreement for the Design of the OC Streetcar Project

A motion was made by Director Hennessey, seconded by Director M. Murphy, and declared passed by those present, to authorize the Chief Executive Officer to negotiate and execute Amendment No. 8 to Agreement No. C-5-3337 between the Orange County Transportation Authority and HNTB Corporation, in the amount of \$1,500,000, and to extend the agreement term by 26 months through February 28, 2022, for continuation of OC Streetcar project design support services during construction. This will increase the maximum cumulative obligation of the agreement to a total contract value of \$20,683,841.

Directors Steel and Wagner voted in opposition of this item.

Director Pulido was not present to vote on this item.

22. Consultant Selection to Provide Preliminary Engineering and Environmental Services for the Orange County Maintenance Facility

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

- A. Approve the selection of Gannett Fleming, Inc., as the firm to provide preliminary engineering and environmental services for the Orange County Maintenance Facility.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1143 between the Orange County Transportation Authority and Gannett Fleming, Inc., for preliminary engineering and environmental services for the Orange County Maintenance Facility.

Director Pulido was not present to vote on this item.

23. Approval to Release Request for Proposals for Continuing Public Outreach for the Interstate 405 Improvement Project

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

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 9-1571 to provide public outreach consulting services for the Interstate 405 Improvement Project between State Route 73 and Interstate 605.
- B. Approve the release of Request for Proposals 9-1571 to select a firm to provide public outreach consulting services for the Interstate 405 Improvement Project between State Route 73 and Interstate 605 for a four-year initial term with an option term of up to 24 months.

Director Pulido was not present to vote on this item.

24. 2019 Measure M2 Sales Tax Forecast

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

Director Pulido was not present to vote on this item.

Regular Calendar

Orange County Local Transportation Authority Regular Calendar Matters

25. Measure M2 Next 10 Plan: Market Conditions Key Indicators Analysis and Forecast

Tami Warren, M2 Manager, Program Management Office, provided opening comments and introduced Dr. Wallace Walrod, Chief Economic Adviser, Orange County Business Council (OCBC) and SCAG, and Dr. Marlon Boarnet, Professor and Chair of the Department of Urban Planning and Spatial Analysis at the Sol Price School of Public Policy at the University of Southern California.

Dr. Walrod and Dr. Boarnet co-presented the PowerPoint presentation as follows:

- OCTA Infrastructure Construction Cost Index (CCI) Model Components;
- Three-Year Moving Average of Year-Over-Year Percent Change in California Department of Transportation (Caltrans) CCI and Building Permits;
- Three-Year Moving Average of Year-Over-Year Percent Change in Caltrans CCI and California Unemployment Rates;
- Forecast and Range of OCTA Infrastructure Cost Increases by Index Value;
- Cost Pressures Are Mixed;
- OCBC Infrastructure Construction Cost Forecast; and
- Orange County's Construction Workforce: Labor Market Flows.

A discussion ensued regarding:

- The 2019 California building permits have decreased and will take several years to increase.
- Riverside and San Bernardino counties are not having the same issues as Orange County with attracting the construction workforce.
- The decrease in construction labor in Orange County is due to:
 - The 2008 Great Recession, and many of the workforce moved to other places or other industries.
 - Not enough affordable workforce housing.
 - The long distance commute to Orange County.
- Potential recession in one to two years.
- The current housing market and economy is interest-rate sensitive, and the federal reserve is monitoring to not go into a recession.

25. (Continued)

- An example was provided on how the Sonoma County wine industry considers economic factors, and within the next several years, the wine industry plans to reduce 50 percent of the wine production.
- City of Santa Ana meets the affordable housing and workforce balance, and Director Pulido asked going forward review of the City of Santa Ana's housing capacity.
- Retail properties are starting to develop housing.
- OCTA uses MuniServices and the three universities blended sales tax revenues forecasting to determine a strategic plan for the M2 projects.
- Next month, the Board will be presented the M2 Next 10 Delivery Plan.
- Cities and developers have advised OCTA, in advance, of future developments.
- OCTA also receives development information through the amended general plans, notices of environmental documents, etcetera.
- At a recent Association of California Cities – Orange County housing forum, an example was given that the Island of Manhattan was built out 120 years ago, and currently there is \$70 billion in construction activities in Manhattan.

A motion was made by Director Delgleize, seconded by Director Moreno, and declared passed by those present, to continue to monitor market conditions and their effects on the advancement of the Next 10 Delivery Plan and provide updates to the Board of Directors as appropriate.

Directors Steel and Winterbottom were not present to vote on this item.

16. South County Traffic Relief Effort Update

Darrell E. Johnson, CEO, provided opening comments and introduced Kurt Brotcke, Director of Strategic Planning, who provided the PowerPoint presentation as follows:

- Background;
- Implemented/Planned Projects and Services;
- Transportation Corridor Agencies (TCA): South County Traffic Relief Effort – Project Study Report – Project Development Support;
- Conflicts with Current & Planned Projects (Areas A, B, C, and D);
- New Concepts:
 - Draft Alternative 22,
 - Draft Alternative 23;
- TCA: South County Traffic Relief Effort – Scoping; and
- Next Steps.

16. (Continued)

Public comments were heard from the following:

1. Council Member Ward, City of San Clemente, stated the following:
 - Since 2015, she has been a Member of the Foothill/Eastern TCA Board, and TCA staff told the TCA Board that staff was working collaboratively with its transportation partners, which is now known not to be true.
 - In 2015, TCA initiated a campaign, designed by its consultants, to further along a project without Board scrutiny.
 - She agendized for discussion the TCA Board to review and discuss the TCA's joint powers authority (JPA) and gave background on how it was not discussed.
 - In 2016, the TCA revoked approval of the Green Alignment.
 - In 2016, she felt it was premature for TCA staff to ask the Board to initiate the south Orange County mobility, environmental review, and preliminary engineering process.
 - For the last two years, TCA engaged in the stakeholder process with 16 identified transportation alternatives. Now, there are 21 alternatives not approved by the TCA Board, which violates TCA's legislative mandate, as well as stated other concerns.
 - OCTA has completed projects to help solve mobility issues throughout the region.
 - Nowhere in the TCA charter or legislation is the TCA allowed to do anything on the Interstate 5 (I-5).
 - There needs to be open discussions about the issues instead of TCA and Caltrans working in secret.
 - TCA has proceeded with the process through contract amendments.
2. Scott Smith, City Attorney for the City of San Clemente, stated the following:
 - TCA was created by statute and a JPA to build two toll roads.
 - TCA created the south Orange County traffic relief effort catchall, which has inconsistencies with the long-term master planning and public funding of infrastructures already underway.
 - TCA's plans are to develop a suburban freeway through the middle of San Clemente on Los Patrones Parkway, which is as an arterial in the County of Orange's master plan.
 - Tolling Los Patrones Parkway would have a negative impact, and San Clemente has concerns with the legality of what is proposed in the pending environmental document.

16. (Continued)

- Caltrans would like to see:
 - TCA's proposed changes because it diverts state money to other things.
 - Developer impact fees, M2, and other local funds to pay for infrastructure that otherwise ought to be paid for by Caltrans.

A very lengthy discussion ensued regarding:

- In 2016, OCTA began studying the south Orange County high-occupancy vehicle (HOV) lanes extension to the San Diego County line, and, thus far, \$625,000 has been spent.
- For draft Alternative 23, OCTA's HOV lanes extension study could be reused for a single lane alternative. If a high-occupancy toll (HOT) lane is introduced, the study would need to be redone.
- Alternatives 11 and 12 are proposed to create HOT lanes on I-5.
- The M2 project on I-5 from El Toro Road to State Route (SR) 73 is in the right-of-way acquisition process. A portion of this project would extend the HOV lanes to the SR-73 and widen most of the general-purpose lanes.

Director Muller stated the following:

- When he arrived on the OCTA Board, the communication between OCTA and TCA was not great.
- There is an opportunity for OCTA and TCA to discuss all the impacts of this item's study.
- Concerned about:
 - M2 funds that have been expended and potentially going back and repurposed for something else;
 - Impacts to other agencies; and
 - Agencies competing environmental documents.
- Have the agencies come together for one study that the taxpayers pay for onetime.
- Felt these discussions should have been completed prior to the studies.
- OCTA, TCA, and Caltrans staff need to have a deeper discussion on the impacts to each agency.
- Gave an example of the SR-241/91 Express Lanes project and that OCTA, TCA, Caltrans, and the Riverside County Transportation Commission met and discussed a mutual draft term sheet.

16. (Continued)

Mr. Johnson, CEO, stated the following:

- The M2 project is six miles, with three construction segments, on I-5 from the El Toro Road and SR-73:
 - All three segments were environmental cleared approximately five years ago;
 - One segment is under construction;
 - On OCTA's behalf, about two weeks ago, Caltrans invitation for bids for the second segment where advertised; and
 - Before this item's study environmental document is completed, in 2025, the construction for the all three segments will be completed.
 - Concerns about this M2 project that was approved by the voters, Caltrans, and OCTA Board.
- The Interstate 405 Improvement Project HOV lanes is a non-funded M2 project.
- TCA and Caltrans south County study efforts are premature.
- Attachment A of the Staff Report is the March 2, 2017 OCTA letter to Michael Kraman, CEO of the TCA, to not interfere with M2.
- Concerned about M2 highways investments not generating the type of improvements OCTA promised the voters.
- If M2 needs to be revised, there is a formal process for the changes.
- The SR-241/91Express Lanes project was a different issue.
- OCTA has a good working relationship with Caltrans.
- OCTA Board direction is to work on the Avenida Pico HOV lanes extension to the San Diego County line with potential construction in May 2025, and OCTA has prepared a full funding plan to bring forward to the Board.
- In December 2019, the Regional Planning and Highways Committee and full Board will be presented a network phasing strategy about opportunities for future pricing, and Caltrans discussions will be included in the strategy.

A comment was heard from Michael Kraman, CEO of the TCA, as follows:

- Agrees with what is being discussed today.
- Excited about the TCA scoping phase of the environmental review process.
- TCA Board directed TCA staff to resolve these types of issues mentioned in the scoping phase which will occur prior to the technical studies and draft documents.
- Caltrans is the lead agency, with TCA as the sponsoring agency.
- TCA respects M2 and very much appreciates the working relationship, at the staff level, that is being developed for this study.

16. (Continued)

- TCA is on record with a letter to OCTA with assurance that TCA will not move forward without OCTA's concurrence in the I-5 corridor where there are M2 projects.
- TCA has an Executive Oversight Committee for this item's project that consist of Caltrans, County of Orange, OCTA, and TCA.
- This item's project development team includes the cities and agencies technical staff, as well as the City Manager Working Group.

Chairman Shaw referenced the following:

- Area A, on Slide 5 of the PowerPoint, and provided concerns about converting M2-funded HOV lanes to HOT lanes, as the conversion violates the voters trust in OCTA.

Director Hennessey stated the following:

- Asked for clarification that the TCA wants to toll the general-purpose lanes, and OCTA staff clarified the following:
 - TCA does not want to toll the general-purpose lanes, and
 - Area C, on Slide 6 of the PowerPoint, was a HOV lane M2 project, opened to traffic in 2018, and the TCA proposes to convert it to HOT lanes with additional widening as one of the alternatives.
- Concerned about the issues with the competing agencies studies.
- SCAG is the Metropolitan Planning Organization (MPO) and below the MPO are regional planning agencies.
- There is a lack of clarity because OCTA is Orange County's planning agency; yet, Caltrans is accepting highway studies from TCA.
- Requested that Mr. Johnson, CEO, Director Chamberlain, and Legislative and Communications Committee Chair Davies meet with David Kim, Secretary of California State Transportation, and Toks Omishakin, Director of Caltrans, to seek counsel on the roles and responsibilities of what OCTA and TCA should be planning.
- Concerns when Caltrans goes outside of the regional planning agency for project partnership.

Director Chamberlain stated the following:

- The reason why Caltrans is allowing two studies, in the same corridor at the same, is because one study is more comprehensive and broader than the other. He explained the differences with the two different studies, and there is no throwaway and bait and switch.
- Caltrans will also be embarking on OCTA's study.
- There are times when OCTA and Caltrans does not agree on a path forward; however, Caltrans, OCTA, and TCA staff are talking on a regular basis about M2 commitments, etcetera.

16. (Continued)

- TCA's sponsored environmental document will include the HOV lanes component from Avenida Pico to the San Diego County line which is 100 percent paid for with non-taxpayers' money.
- OCTA's Avenida Pico to the San Diego County line study is a smaller subset alternative to the TCA study.
- There are inefficiencies with using M2 funds and having TCA pay for a study that may end up being a part of the preferred alternative.
- Caltrans also stated the following:
 - Believes that the most appropriate path forward is to review a holistic and comprehensive set of alternatives for congestion relief in south Orange County.
 - Is the owner operator of the state highway system and has legal authority to convert HOV lanes to HOT lanes irrespective of what funds were used to construct the HOV lanes.
 - A conversion from HOV lanes to HOT lanes would not be done without discussing with OCTA and other parties.
 - There are federal statutes that the HOV lanes performance are to operate at 45 miles per hour or higher or the federal government can sanction Caltrans from receiving federal transportation revenue.
 - There are incentives for 3+ passenger vehicles to drive free in a toll lane.
 - Pricing is an avenue that is being reviewed to move people, goods, and services more efficiently in the regions.
- OCTA has been engaged with Caltrans' managed lane network study and managed lane feasibility study, which were presented to OCTA staff.
- Caltrans will engage with any entity that wants to propose improvements on the state highway system that includes adding lanes and looking at HOV lanes and HOT lanes capacity.

Director Hernandez stated the following:

- Asked for clarification if HOV lanes are less efficient than HOT lanes. Mr. Johnson clarified that HOV lanes can be less efficient in a very urban area.
- The overall authority is Caltrans; however, as elected officials in Orange County, the challenge is to review moving traffic more efficiently and to save the taxpayers' dollars.
- The taxpayers have paid for the highways and a conversion to HOT lanes means that the taxpayer is paying more.
- Concerned for the Orange County taxpayers.

16. (Continued)

Director Wagner stated the following:

- Clarified that there are tax dollars at work instead of no tax dollars. There may be developers fees that end up getting reflected in the cost of the project paid for by the taxpayer, etcetera.
- He appreciated Director Chamberlain stating clear markers as to Caltrans' authority, and there needs to be closer OCTA and TCA cooperation at all levels.
- When going to the State, there needs to be a cooperative approach between all the agencies.

Slide 10 of the PowerPoint next steps were reiterated.

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

Orange County Transportation Authority Regular Calendar Matters

26. Framework for Implementation of the State Route 241/91 Express Lanes Connector

Darrell E. Johnson, CEO, presented this item and highlighted the SR-91 term sheet and SR-91 projects sequencing priorities noted in Attachment C of the Staff Report.

A discussion ensued regarding:

- The SR-91 westbound lane project cannot be done at the same time as the SR-241/91 Express Lanes Connector because Projects 1 and 2 in Attachment C of the Staff Report need to be completed first.
- The term sheet and SR-91 projects sequencing are great examples of how to remedy concerns with the all the agencies involved, as well as ensures that the tax dollars are best being managed.

A motion was made by Director Muller, seconded by Director M. Murphy, and declared passed by those present, to:

- A. Approve the State Route 241/91 Express Lanes Connector term sheet as a framework for future agreements, contingent on all parties agreeing to the term sheet.
- B. Direct staff to work with agencies to prepare associated agreements for Board of Directors' consideration, consistent with the terms included in this report.

Director R. Murphy abstained on this item.

Directors Moreno and Steel were not present to vote on this item.

Discussion Items

27. Public Comments

There were no Public Comments received.

28. Chief Executive Officer's Report

Darrell E. Johnson, CEO, reported the following:

25th Annual Economic Forecast:

- On October 30th, California State University, Fullerton (CSUF) and OCBC are hosting their 25th Annual Economic Forecast Conference.
- CSUF economic sales tax forecasting, along with other universities, are used by OCTA for the planning of M2 projects.
- Mr. Johnson, along with, Andrew Oftelie, CFO, and Directors Bartlett, Davies, Hernandez, and R. Murphy will be attending the conference.

APTA:

- Earlier this month, Mr. Johnson attended APTA's Annual Conference in New York.
- Next year, the APTA Annual Meeting and Expo will be held in Orange County. The Expo only takes place every three years, and OCTA expects approximately 15,000 attendees and 800 exhibitors.
- The 2020 APTA Conference and Expo promotional video was shown to the Board and audience. Additionally, the video was shown at the APTA Conference in New York.

29. Directors' Reports

Director R. Murphy requested a meeting with Mr. Johnson, CEO, about today's Board agenda Item 16, to discuss the City of San Clemente's concerns, and OCTA's and Caltrans' relationship with the TCA.

Director Delgleize thanked the Board for today's vibrant discussions.

Director Winterbottom inquired as to when the APTA promotional video was completed. Mr. Johnson, CEO, stated that the video was finalized approximately six months ago.

29. (Continued)

Chairman Shaw reported on the Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency (LOSSAN) activities as follows:

- He, along with, Al Murray, Chairman of the LOSSAN Board, are the LOSSAN Board Orange County representatives, and last Monday, the Board met in Oxnard.
- The LOSSAN Board voted and approved the 2020 Board/Committee calendar and advanced the negotiations with Amtrak for the federal fiscal year 2020 operating agreement.
- On October 14th, the Pacific Surfliner launched a 13th round trip between Los Angeles and San Diego, as well as highlighted the timeslots and average ridership for the first two weeks of operation.

30. Closed Session

A Closed Session was held as follows:

Pursuant to Government Code Section 54956.9(a) – Conference with General Counsel – Existing Litigation; Elibir Ramos Urena aka Elivier Ramos v. Orange County Transportation Authority – OCSC No. 30-2017-00957255.

Directors Moreno, Pulido, and Steel were not present for the Closed Session item.

There was no report out on the Closed Session item.

31. Adjournment

The meeting adjourned at 11:48 a.m.

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, November 11, 2019**, at the OCTA Headquarters, 550 South Main Street, Board Room – Conference Room 07-08, Orange, California.

ATTEST:

Laurena Weinert
Clerk of the Board

Tim Shaw
Chairman



COMMITTEE TRANSMITTAL

October 28, 2019

To: Members of the Board of Directors
From: *RW*
Laurena Weinert, Clerk of the Board
Subject: Public Transportation Agency Safety Plan

Executive Committee Meeting of October 7, 2019

Present: Chairman Shaw, Vice Chairman Jones, and Directors Bartlett,
Do, Hennessey, and M. Murphy
Absent: Director Davies

Committee Vote

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

Staff Recommendation

Receive and file as an informational item.



October 7, 2019

To: Executive Committee
From: Darrell E. Johnson, Chief Executive Officer
Subject: Public Transportation Agency Safety Plan

Overview

The Federal Transit Administration published the Public Transportation Agency Safety Plan regulation, 49 CFR Part 673, on July 19, 2018 which took effect the following year, on July 19, 2019. Within this regulation, it is required that every agency receiving funds under the Urbanized Area Formula Program (49 USC Section 5307) must develop, and have adopted by the Board of Directors, a Public Transportation Agency Safety Plan for its transit system no later than July 20, 2020. As part of the regulation, agencies are to implement a Safety Management System risk-based approach.

Recommendations

Receive and file as an informational item.

Background

The Health, Safety, and Environmental Compliance Department oversees safety compliance programs and has assessed the new Public Transportation Agency Safety Plan (PTASP) regulation for adoption into the Orange County Transportation Authority's (OCTA) compliance activities. Many efforts have been made to date to prepare for the compliance deadline and ensure a Safety Management System (SMS) approach is outlined and implemented under OCTA's future PTASP.

On February 5, 2016, the Federal Transit Administration (FTA) released a Notice of Proposed Rulemaking that outlined the future requirements for a written PTASP for transit systems and the incorporation of a SMS approach. The rule was finalized on July 19, 2018, with an effective date of July 19, 2019. The final rule outlined the requirements of the PTASP and included details on what the FTA would expect as part of an agency's written program and risk-based SMS approach. Understanding the complexity of the new rule and the timeline of events that an agency would need to adhere to, the FTA gave each agency one

year to develop and incorporate their safety oversight strategy. The PTASP is required to be adopted by the Board of Directors (Board) by July 20, 2020.

During the drafting and release of the new rule, oversight responsibilities were also established to clarify the duties of the FTA and local regulatory bodies classified as State Safety Oversight (SSO) agencies (49 CFR Part 674). The SSO for California is the California Public Utilities Commission. The FTA is responsible for the written rule, oversight and certification of the SSO, technical assistance, and auditing an agency's PTASP through the Triennial Audit process. The SSOs are responsible for local enforcement of the rule and the review and approval of the PTASP document. Because of this, OCTA's PTASP will be submitted for acceptance by the SSO prior to adoption by the Board to ensure SSO concurrence.

Discussion

The final PTASP rule provides an outline of the expected SMS requirements that includes four primary components and sixteen subcomponents. The four primary components include Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion.

Component 1: Safety Management Policy

Subcomponents:

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

The Safety Management Policy components consist of, and require, a written statement of policy committing the agency to the plan and the value of safety, a process of reporting unsafe condition, acts, and near misses, a description of the Safety Management Policy communication plan that addresses the means by which the plan and the program will be communicated throughout all levels of the organization, and a section that clearly documents staff's roles, responsibilities, authorities, and accountabilities.

Component 2: Safety Risk Management

Subcomponents:

- Safety risk management process
- Safety hazard / near-miss incident identification and reporting
- Safety risk assessment
- Safety risk mitigation

The second component identified under the rule is Safety Risk Management. This component focuses on an agency's process of identifying and reporting hazards, and formally assessing each individual hazard through a formal risk assessment process. The risk assessment process must be uniformly applied to all known hazards and assess risk towards the agency, employees, the public, and the communities served. Once a hazard is assessed and risk is determined, it is required that the agency then identifies appropriate mitigation strategies to eliminate or lower each risk to an acceptable level as determined by the risk assessment process. Mitigation strategies can include the elimination of the hazard, engineering controls and administrative controls to lower the overall risk, and personal protective equipment, if such risk cannot be lowered enough to control the employee/personal exposure.

Component 3: Safety Assurance

Subcomponents:

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

The third component identified as part of the PTASP requirements is Safety Assurance. The purpose of this component is to monitor an agency's safety performance and establish measurable data to track safety performance goals and objectives. The data captured to ensure compliance should include leading and lagging indicators to ensure resource allocation and mitigation strategies are effective in risk and incident reduction. Through actions such as risk mitigation, safety incident reporting, and incident investigation, an agency's safety trends should reduce as a result. In addition to the performance measurement, this component also requires the agency to establish methods of change control. Overall, Safety Assurance requires OCTA to establish safety performance goals, measure data against those goals, and strive for continuous improvement.

Component 4: Safety Promotion

Subcomponents:

- Safety training program
- Safety communication

The final component of the PTASP is Safety Promotion. This establishes the requirement to have a robust safety training program, including means and methods to communicate safety-related information throughout all levels of the organization. Safety communication should include, but is not limited to, roles

and responsibilities, agency expectations, hazard/risk communication, and safety metric performance updates.

OCTA has taken several steps to initiate its efforts to comply with the new PTASP and SMS requirements. In September 2018, OCTA, in contract with Boyd Caton Group, Inc., completed a PTASP/SMS Gap Analysis to review existing practices and procedures against the new rule. These efforts included a document review of existing policies and procedures, and organizational review of its current safety management practices, and in-person interviews of staff. The product of this effort was a comprehensive report that includes action items and process improvements necessary for compliance.

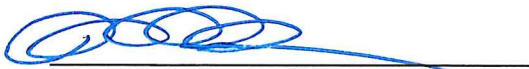
Additionally, in June 2019, the Board approved the fiscal year 2019-20 budget that included an additional full-time employee responsible for the implementation and ongoing management of the PTASP/SMS efforts. This SMS Program Manager will drive compliance efforts through ongoing hazard/risk tracking, data analysis, internal communication, PTASP assessment/reviews, and the goal of continuous improvement.

Currently OCTA is drafting its PTASP with the help of STV Incorporated (STV). A contract with STV was initiated in April 2019 with the end deliverable being an OCTA PTASP that will be submitted to the SSO for review and brought through the Executive Committee and to the Board for approval.

Summary

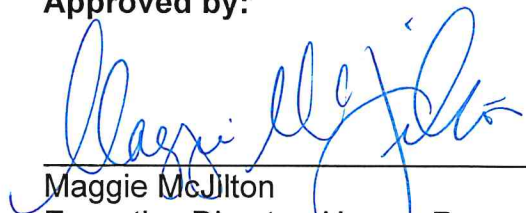
Staff is presenting this as an information item to inform the Executive Committee of the new FTA rule and the requirements for the Authority to establish a written PTASP for its transit system that incorporates an SMS risk-based approach. Staff has been preparing for this rule for several years and is currently drafting a PTASP that will address all required components and subcomponents. The PTASP will come before the Committee for review and discussion and is planned on being brought to the full Board of Directors for approval by May 2020.

Prepared by:



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

Approved by:



Maggie McJilton
Executive Director, Human Resources
and Organizational Development
714-560-5824



COMMITTEE TRANSMITTAL

November 11, 2019

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Consultant Selection for the Safe Travels Education Program Campaign

Regional Planning and Highways Committee Meeting of November 4, 2019

Present: Directors Chaffee, Delgleize, Muller, M. Murphy, R. Murphy, and Pulido

Absent: Director Bartlett

Committee Vote

This item was passed by the Members present.

Directors Chaffee and Pulido were not present to vote on this item.


Committee Recommendations

- A. Approve the selection of Alta Planning + Design as the firm to develop the Safe Travels Education Program.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1433 between the Orange County Transportation Authority and Alta Planning + Design, in the amount of \$500,000, to develop the Safe Travels Education Program Campaign for a two-year term.



November 4, 2019

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: Consultant Selection for the Safe Travels Education Program Campaign

Overview

Consultant services are required to develop the Safe Travels Education Program campaign. In collaboration with the Orange County Health Care Agency, the project aims to improve safety by hosting education and encouragement activities at 25 public elementary schools serving disadvantaged communities in Orange County. Proposals have been received and evaluated in accordance with the Orange County Transportation Authority's procurement procedures for professional and technical services. Board of Directors' approval is requested for the selection of a firm to perform the required work.

Recommendations

- A. Approve the selection of Alta Planning + Design as the firm to develop the Safe Travels Education Program.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1433 between the Orange County Transportation Authority and Alta Planning + Design, in the amount of \$500,000, to develop the Safe Travels Education Program Campaign for a two-year term.

Discussion

The Safe Travels Education Program (STEP) campaign will engage with local city staff and police departments to successfully promote and leverage the education and encouragement activities for walking and biking. A range of STEP activities will be offered based on local interest and time availability for school assemblies, walk/bike to school day events, and training activities directed to both students during and after school, as well as families on nights or weekends. The STEP will also strengthen partnerships with transportation,

health, and public safety officials, and empower schools to continue Safe Routes to School (SRTS) efforts following the project.

The Orange County Transportation Authority (OCTA) will partner with the Orange County Health Care Agency (OCHCA) to administer the STEP campaign. The project funding will be offered at 25 public elementary schools in Orange County serving state-designated disadvantaged communities and where growth in SRTS activities is desired. This project will provide instruction to youth at an early age directly from expert staff with participation by local police representatives and establish safe travel patterns.

A California Transportation Commission (CTC) Active Transportation Program (ATP) grant was secured for \$500,000 to implement the project. The grant is fully funded, and collaboration with the California Department of Transportation and OCHCA is planned.

Procurement Approach

This procurement was handled in accordance with OCTA's 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 July 22, 2019, Request for Proposals (RFP) No. 9-1433 was issued electronically on CAMM NET. The project was advertised in a newspaper of general circulation on July 18 and 22, 2019. A pre-proposal conference was held on July 29, 2019, with eight attendees representing six firms. Three addenda were issued to make available the pre-proposal conference registration sheets, provide responses to questions received, and make clarifications relative to the RFP.

On September 4, 2019, five proposals were received. An evaluation committee comprised of OCTA staff from Contracts Administration and Materials Management, Strategic Planning, Rideshare Marketing, as well as an external representative from OCHCA met to review the submitted proposals.

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

- | | |
|-------------------------------------|------------|
| • Staffing and Project Organization | 35 percent |
| • Qualifications of the Firm | 25 percent |
| • Work Plan | 20 percent |
| • Cost and Price | 20 percent |

Several factors were considered in developing the evaluation criteria weights. Staffing and project organization was weighted the highest as the qualifications of the project manager and other key personnel are very important to the successful and timely delivery of the project, and qualifications of the firm was weighted high to evaluate the firm's experience in performing work of a similar scope and size. Equally weighted were the work plan, as well as cost and price criteria, 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 technical approach to the project is critical to the successful performance of the project. Cost and price ensure OCTA receives value for the services provided.

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

Firm and Location

Alta Planning + Design (Alta Planning)
Los Angeles, California

Safe Moves
Van Nuys, California

On September 25, 2019, the evaluation committee interviewed the two short-listed firms. The interviews consisted of a presentation allowing each team to present its qualifications, highlight its proposal, and respond to evaluation committee questions. Questions were asked relative to the proposed project team's experience in securing commitment from schools and law enforcement, how their approach could sustain progress, and on-going momentum concerning stakeholders' SRTS programs, as well as developing metrics to evaluate success of the project.

After considering the responses to the questions asked during the interviews, the evaluation committee reviewed the preliminary ranking and made adjustments to the scores. The rankings did not change.

Based on the evaluation of written proposals and interviews, staff recommends Alta Planning as the firm to develop the STEP campaign. The following is a summary of the proposal evaluation results.

Qualifications of the Firm

The two short-listed firms are established firms with relevant experience and extensive resources. The firms demonstrated experience in the development of similar SRTS activities.

Alta Planning was founded in 1996, and has experience working on SRTS at the local and national levels promoting safe and convenient ways for children and families to get to and from schools. Alta Planning has nearly two decades of SRTS-related experience assisting schools, school districts, and other jurisdictions to identify SRTS campaigns that best serve communities. The firm has completed similar SRTS non-infrastructure activities, which includes citywide programs for the City of Rialto, a community engagement process for the City of Santa Ana, and created a menu of potential education activities for elementary school principals for the City of Anaheim's three SRTS projects. The firm also assisted the East Central Wisconsin Regional Planning Commission with communications and public relations to promote their regional SRTS Program.

Safe Moves is a non-profit organization established in 1983 and has planned and executed comprehensive SRTS programs at state, county, and city levels. The firm recently developed a number of SRTS programs that increased walking and bicycling in California cities that include Long Beach, Mountain View, and Stockton. The firm also has experience working with school districts, governmental departments, law enforcement, and city councils conducting SRTS programs.

Staffing and Project Organization

The firms proposed qualified project managers and key personnel with relevant experience.

Alta Planning proposed an experienced team that includes a principal-in-charge with over 13 years experience collaborating with communities on SRTS projects. The principal-in-charge is currently involved with the Oregon Department of Transportation SRTS, Alameda SRTS, and San Bernardino County SRTS programs. The proposed project manager has ten years of experience working on SRTS projects and is currently working on the Oceanside SRTS, San Bernardino County SRTS, and Solano County SRTS programs.

The assistant project manager has worked on various SRTS projects as well, including the Irvine Citywide Safety Plan, OCTA Partnerships with Police Project, and the Riverside Active Transportation Plan. During the interview, the firm demonstrated the team's expertise and understanding in the development of STEP campaigns.

Safe Moves' proposed project manager has worked in SRTS for 36 years on projects including the Los Angeles Department of Transportation, Santa Clara SRTS, Alameda Public Works SRTS, Fremont SRTS, and others. The program coordinator has over three years of experience specializing in program coordination for SRTS on projects, such as Alameda Public Works SRTS, Palo Alto SRTS, Glendale SRTS, and others. The project manager described the firm's involvement in SRTS programs at the interviews and spoke of the firm's approach to implementing a successful STEP.

Work Plan

Both firms met the requirements of the RFP and effectively discussed the approach to completing the STEP identified in the scope of services.

Alta Planning presented a work plan that detailed their project understanding and approach. The firm discussed identifying backup schools in case one of the initially identified 25 schools is unable to continue with the program. The proposal discussed both short-term and long-term strategies with a six-step program showcasing the firm's vision for successful implementation of the STEP campaign. The work plan demonstrated an understanding of the project objectives and clearly described how to strengthen partnerships with transportation, health, and public safety officials, and empowering school champions to continue SRTS efforts following the project. During the interview, the firm elaborated on a few of the planned activities, such as bike rodeos, family bike events, bicycle or pedestrian safety education, and after-school safety education, and provided examples of where the approach was used in the past. As required by the grant, the firm will use the Orange County Conservation Corps (OCCC) to provide staff support at STEP engagement events, such as walking school bus events and school campus bike rodeos.

Safe Moves' work plan demonstrated understanding of the project objectives, and the firm presented a detailed approach to completing the work as outlined in their summary of each task. The firm's work plan addressed each task but was general in the overall project approach. Safe Moves proposes conducting interactive hands-on pedestrian and bicycle safety events utilizing a simulated city-course called "Safe Moves City." As required by the grant, the firm plans to use OCCC to assist working with students on educational and encouragement activities.

Cost and Price

Pricing scores were based on a formula which assigned the highest score to the lowest firm-fixed price for the two-year term and scored the other proposals' firm-fixed price based on their relation to the lowest firm-fixed price. Although Alta Planning's proposed firm-fixed price was not the lowest, it was within the independent cost estimate.

Procurement Summary

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 Alta Planning as the top-ranked firm to develop the STEP campaign. Alta Planning submitted a comprehensive proposal that was responsive to all requirements of the RFP and, in the interview, the firm further highlighted Alta Planning's qualifications, staffing experience, and technical approach to the work plan.

Fiscal Impact

The project is included in the approved fiscal year 2019-20 budget for the Planning Division (Account No. 1531-7519-A4530-0QB). The CTC ATP Grant Program is funding 100 percent of the project.

Summary

Based on the information provided, staff recommends the Board authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1433 with Alta Planning, in the amount of \$500,000, for consultant services to develop the STEP campaign for a two-year term.

Attachments

- A. Review of Proposals, RFP 9-1433 Safe Travels Education Program Campaign
- B. Proposal Evaluation Criteria Matrix (Short-Listed Firms), RFP 9-1433 Safe Travels Education Program Campaign
- C. Contract History for the Past Two Years, RFP 9-1433 Safe Travels Education Program Campaign

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Review of Proposals

RFP 9-1433 Safe Travels Education Program Campaign

Presented to the Regional Planning and Highways Committee

Five proposals were received, two firms were interviewed, one firm is being recommended

Overall Ranking	Proposal Score	Firm & Location	Sub-Contractors	Evaluation Committee Comments	Firm-Fixed Price
1	84	Alta Planning + Design Los Angeles, California	C&R Consulting Latino Health Access Walk 'n Rollers Orange County Conservation Corps	Planning experience and direct engagement with youth in schools. Applicable experience and knowledge of funding programs and associated constraints. Safe Routes to School (SRTS) planning for 19 years. Provided a step-by-step outline on achieving work plan objectives. Presently works with the cities of Anaheim, Costa Mesa, Irvine, Oceanside, and Santa Ana with SRTS. Staff demonstrates a balance of expertise between planning, outreach, education, and law enforcement.	\$500,000.00
2	81	Safe Moves Van Nuys, California	KOA Orange County Conservation Corps	Worked with various agencies, school districts, organizations, and cities. Collateral meets requirements, but is not graphically appealing. Concern regarding depth of team to deliver project of this scale. Experience with SRTS programs and education. The project key personnel was unable to attend. Winner of several awards from the cities of Long Beach, Mountain View, and Stockton.	\$479,810.00

Evaluation Panel

Internal:

Contracts Administration and Materials Management (1)

Transportation Planning (2)

Marketing (1)

External:

Orange County Health Care Agency (1)

Proposed Criteria

Staff and Project Organization

Qualifications of the Firm

Work Plan

Cost and Price

Weight Factors

35 percent

25 percent

20 percent

20 percent

RFP - Request for proposals

PROPOSAL EVALUATION CRITERIA MATRIX (Short-Listed Firms)
RFP 9-1433 Safe Travels Education Program Campaign

Alta Planning + Design						Weightings	Overall Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	4.50	4.00	4.00	4.50	4.50	5	22
Staffing/Project Organization	4.00	4.00	4.00	4.00	3.00	7	27
Work Plan	4.00	4.50	4.00	4.50	4.00	4	17
Cost and Price	4.80	4.80	4.80	4.80	4.80	4	19
Overall Score	85.7	85.2	83.2	87.7	78.7		84
Safe Moves						Weightings	Overall Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	4.00	4.00	3.50	4.50	4.00	5	20
Staffing/Project Organization	4.00	3.50	3.50	4.00	4.00	7	27
Work Plan	3.50	3.50	3.50	3.50	3.50	4	14
Cost and Price	5.00	5.00	5.00	5.00	5.00	4	20
Overall Score	82.0	78.5	76.0	84.5	82.0		81

Range of scores for the non-shortlisted firm was 30 to 73.

CONTRACT HISTORY FOR THE PAST TWO YEARS**RFP 9-1433: Safe Travels Education Program Campaign**

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Alta Planning + Design Contract Type: Time and Expense <i>Subconsultants: Safe Routes to School National Partnership Robert Wall Consulting, LLC, dba FW Focus Productions Local Government Commission</i> Contract Type: Firm-Fixed <i>Subconsultants: None</i>	C61418	Active Transportation Consultant	February 28, 2017	January 31, 2019		\$150,000.00
	C81433	Safety	April 17, 2018	November 30, 2018		\$75,000.00
Contract Type: Time and Expense <i>Subconsultants: Fehr & Peers T. Y. Lin International Corwin Bales, dba C&R Consultants</i>	C81759	Active Transportation Consultant	November 27, 2018	August 31, 2021		\$225,000.00
Sub Total						\$450,000.00
Safe Moves Contract Type: N/A <i>Subconsultants:</i>						
Sub Total						\$0



COMMITTEE TRANSMITTAL

November 11, 2019

To: Members of the Board of Directors
From: *RW*
Laurena Weinert, Clerk of the Board
Subject: Capital Programs Division – First Quarter Fiscal Year 2019-20
Capital Action Plan Performance Metrics

Executive Committee Meeting of November 4, 2019

Present: Chairman Shaw, Vice Chairman Jones, and Directors Davies,
Hennessey, and M. Murphy
Absent: Directors Bartlett and Do

Committee Vote

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

Staff Recommendation

Receive and file as an informational item.



November 4, 2019

To: Executive Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Capital Programs Division - First Quarter Fiscal Year 2019-20
Capital Action Plan Performance Metrics

Overview

The Orange County Transportation Authority's Strategic Plan key strategies and objectives to achieve the goals for Mobility and Stewardship include delivery of all Capital Action Plan projects on time and within budget. The Capital Action Plan is used to create a performance metric to assess capital project delivery progress on highway, grade separation, rail, and facility projects. This report provides an update on the Capital Action Plan delivery and performance metrics.

Recommendation

Receive and file as an information item.

Background

The Orange County Transportation Authority (OCTA) Capital Programs Division is responsible for project development and delivery of highway, grade separation, rail, and facility projects from the beginning of the environmental approval phase through construction completion. Project delivery commitments reflect defined project scope, costs, and schedules. Project delivery commitments shown in the Capital Action Plan (CAP) are key strategies and objectives to achieve the Strategic Plan goals for Mobility and Stewardship.

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

Discussion

The Capital Programs Division objective is to deliver projects on schedule and within the approved project budget. Key project cost and schedule commitments are captured in the CAP, which is regularly updated with new projects and project status (Attachment A). The CAP is categorized into four key project groupings; freeway projects, grade separation projects, rail and station projects, and facility projects. Schedule milestones are used as performance indicators of progress in project delivery. The CAP performance metrics provides a FY snapshot of the milestones targeted for delivery in the budgeted FY and provides transparency and performance measurement of capital project delivery.

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

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

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

Advertise for Construction	The date a construction contract is advertised for bids.
Award Contract	The date the construction contract is awarded.
Construction Complete	The date all construction work is completed, and the project is open to public use.

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



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

Status on the Interstate 405 (I-405) Improvement Project and the OC Streetcar Project are provided to the OCTA Board of Directors (Board) on a quarterly basis.

CAP milestones achieved in the first quarter FY 2019-20 include:

Freeway Projects

- The Interstate 5 (I-5) widening between State Route 73 (SR-73) and Oso Parkway was advertised for construction bids. This is the southernmost of three segments of I-5 widening between SR-73 and El Toro Road. The California Department of Transportation (Caltrans) opened bids for construction on October 15, 2019, and the apparent low bid of \$107,993,733 was submitted by Ortiz Enterprises, Inc., of Irvine, California. This apparent low bid is 3.27 percent below the \$111,640,144 engineer's estimate of bid items. Caltrans is currently reviewing the bid for responsiveness and determination to award the contract.

The following CAP milestone missed the planned delivery through the first quarter of FY 2019-20:

The complete design milestone for the Anaheim Canyon Metrolink Station expansion project missed the first quarter. Complete design, construction ready, and advertise construction milestones are now planned to be met in the second quarter. An amendment to the construction phase cooperative agreement with the City of Anaheim was required to include additional scope of work to extend a sewer line encasement under the railroad ROW and to adjust city reimbursement costs for oversight and approval services. Negotiations are also underway with adjacent property owners to obtain access for construction vehicles into the access-constrained railroad ROW prior to construction.

CAP Updates and Recap of FY 2019-20 Performance Metrics

The CAP has been updated to reflect the State Route 91 widening project between State Route 55 (SR-55) and State Route 57 being split into three segments post environmental clearance for final design and construction.

The performance metrics snapshot provided at the beginning of FY 2019-20 reflects 19 planned major project delivery milestones to be accomplished, two of which were scheduled in the first quarter. The CAP and performance metrics have been updated to reflect both milestones achieved and missed through the first quarter of the FY (Attachment B). One of the two (50 percent) of the planned milestones through the first quarter of the FY was achieved.

FY 2019-20 Performance Metrics Risks

Staff will continue monitoring construction market indicators and recent construction bid pricing within the region and update cost estimates and funding plans as appropriate.

The construction contract to widen I-5 for the addition of carpool lanes from Pacific Coast Highway to San Juan Creek Road was fully accepted by Caltrans in March 2019. The contractor submitted a construction contract claim which Caltrans is working to resolve, and additional construction funding may be required for resolution. Staff will assess Caltrans proposed claim resolution and final project costs to determine if supplemental funding will be required.

The I-5 widening from Alicia Parkway to El Toro Road milestones for construction ready, advertise construction, and award contract, which were all planned to be completed this FY, have been delayed three months due to delays in securing possession of ROW required for construction. The Construction Ready milestone is now planned in the third quarter, Advertise Construction milestone

in the fourth quarter, and the Award Contract milestone will slip into the first quarter of FY 2020-21.

The complete environmental milestone for the I-5 El Toro Interchange project planned for the second quarter this FY has been delayed. There is a lack of concurrence on the project alternatives released for public comment between the key stakeholder cities of Laguna Hills, Laguna Woods, and Lake Forest. Discussions with the three cities on a path forward are ongoing and a new environmental completion schedule has not been established.

The complete environmental milestone for the I-5 widening from I-405 to SR-55 is planned for completion in December 2019. Fact sheets for exceptions to mandatory and advisory design standards have been submitted to Caltrans for final review and approval. There is risk in achieving Caltrans approval of these exceptions to design standards which may impact the complete environmental milestone.

Final design and ROW acquisition are underway for the SR-55 widening from I-405 to I-5. However, Caltrans recently informed OCTA that it will not be preparing the required exceptions to design standards as documented in Cooperative Agreement No. C-7-1753. The work includes preparation and approval of fact sheets for exceptions to mandatory and advisory design standards. This task was included in Caltrans' effort to environmentally clear the additional scope of work for a second carpool lane. OCTA's design consultant will need to take over this effort, and there is risk in achieving Caltrans approval of the exceptions to design standards which may impact completion of final design.

Advertising the Placentia Metrolink Station project for construction bids in the third quarter of FY 2019-20 remains dependent on successful negotiation of the Metrolink/BNSF Railway (BNSF) Shared Use Agreement (SUA). Metrolink and BNSF are negotiating a memorandum of understanding (MOU) for the SUA terms and conditions. OCTA has been informed that an agreement on the MOU will allow BNSF to finalize cost estimates and approvals for the station while the final SUA is prepared and executed by all Metrolink member agencies. Construction cost increases realized during the delays will be addressed when BNSF costs are received. Required programming or funding changes will be brought to the OCTA Board for consideration and approval prior to release of the invitation for construction bids.

Summary

Capital project delivery continues to progress and is reflected in the CAP. The planned FY 2019-20 performance metrics created from forecast project schedules will be used as a general project delivery performance indicator throughout the FY. Staff will continue to manage project costs and schedules across all project phases to meet project delivery commitments and report quarterly.

Attachments

- A. Capital Action Plan, Status Through September 2019
- B. Capital Programs Division, Fiscal Year 2019-20 Performance Metrics Through September 2019

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Capital Action Plan

Status Through September 2019

Updated: October 18, 2019

Capital Projects	Cost Baseline/Forecast (millions)	Schedule Plan/Forecast							
		Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
Freeway Projects:									
I-5, Pico to Vista Hermosa	\$113.0	Jun-09	Dec-11	Jun-11	Oct-13	Feb-14	Oct-14	Dec-14	Aug-18
Project C	\$83.5	Jun-09	Oct-11	Jun-11	Oct-13	May-14	Sep-14	Dec-14	Aug-18
I-5, Vista Hermosa to Pacific Coast Highway	\$75.6	Jun-09	Dec-11	Jun-11	Feb-13	Jun-13	Oct-13	Dec-13	Mar-17
Project C	\$75.6	Jun-09	Oct-11	Jun-11	May-13	Aug-13	Feb-14	Jun-14	Jul-17
I-5, Pacific Coast Highway to San Juan Creek Road	\$70.7	Jun-09	Dec-11	Jun-11	Jan-13	May-13	Aug-13	Oct-13	Sep-16
Project C	\$75.5	Jun-09	Oct-11	Jun-11	Jan-13	Apr-13	Aug-13	Dec-13	Jul-18
I-5, I-5/Ortega Interchange	\$90.9	Sep-05	Jun-09	Jan-09	Nov-11	Mar-12	Jun-12	Aug-12	Sep-15
Project D	\$79.8	Sep-05	Jun-09	Jan-09	Dec-11	Apr-12	Jun-12	Aug-12	Jan-16
I-5, I-5/Ortega Interchange (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project D	N/A	N/A	N/A	Jan-14	Oct-14	Feb-15	Aug-15	Sep-15	Sep-16
I-5, SR-73 to Oso Parkway	\$151.9	Sep-11	Jun-14	Mar-15	Jan-18	May-18	Aug-18	Dec-18	Jan-24
Project C & D	\$196.1	Oct-11	May-14	Mar-15	Aug-18	May-19	Aug-19	Dec-19	Feb-25
I-5, Oso Parkway to Alicia Parkway	\$196.2	Sep-11	Jun-14	Nov-14	Jun-17	Dec-17	Feb-18	Jun-18	Nov-23
Project C & D	\$203.1	Oct-11	May-14	Nov-14	Dec-17	Jun-18	Nov-18	Mar-19	Nov-23
I-5, Alicia Parkway to El Toro Road	\$133.6	Sep-11	Jun-14	Mar-15	Jun-18	Dec-18	Jan-19	May-19	Jun-23
Project C	\$184.1	Oct-11	May-14	Mar-15	May-19	Feb-20	Jun-20	Sep-20	Oct-24
I-5, SR-73 to El Toro Road (Landscape)	TBD	N/A	N/A	TBD	TBD	TBD	TBD	TBD	TBD
Project C	\$12.4	N/A	N/A	Jul-22	Mar-24	Jul-24	Sep-24	Nov-24	Jun-26
I-5, I-5/El Toro Road Interchange (on hold)	TBD	Apr-17	Nov-19	TBD	TBD	TBD	TBD	TBD	TBD
Project D	TBD	Apr-17	TBD	TBD	TBD	TBD	TBD	TBD	TBD
I-5, I-405 to SR-55	TBD	May-14	Aug-18	TBD	TBD	TBD	TBD	TBD	TBD
Project B	TBD	May-14	Feb-20	TBD	TBD	TBD	TBD	TBD	TBD
I-5, SR-55 to SR-57	\$38.1	Jul-11	Jun-13	Jun-15	Mar-17	Jul-17	Sep-17	Dec-17	Apr-21
Project A	\$41.5	Jun-11	Apr-15	Jun-15	Jun-17	Dec-17	Mar-18	Nov-18	Apr-21
SR-55, I-405 to I-5	\$410.9	Feb-11	Nov-13	Sep-17	Apr-20	Dec-20	Apr-21	Jul-21	Aug-25
Project F	\$410.9	May-11	Aug-17	Sep-17	Apr-20	Dec-20	Apr-21	Jul-21	Aug-25
SR-55, I-5 to SR-91	TBD	Dec-16	Jan-20	TBD	TBD	TBD	TBD	TBD	TBD
Project F	TBD	Dec-16	Apr-20	TBD	TBD	TBD	TBD	TBD	TBD
SR-57 Northbound (NB), Orangewood Avenue to Katella Avenue	TBD	Apr-16	Dec-18	TBD	TBD	TBD	TBD	TBD	TBD
Project G	TBD	Apr-16	Mar-19	TBD	TBD	TBD	TBD	TBD	TBD
SR-57 (NB), Katella Avenue to Lincoln Avenue	\$78.7	Apr-08	Jul-09	Jul-08	Nov-10	Mar-11	May-11	Aug-11	Sep-14
Project G	\$38.0	Apr-08	Nov-09	Aug-08	Dec-10	Apr-11	Jul-11	Oct-11	Apr-15

Capital Action Plan

Status Through September 2019

Updated: October 18, 2019

Capital Projects	Cost Baseline/Forecast (millions)	Schedule Plan/Forecast									
		Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction		
SR-57 (NB), Katella Avenue to Lincoln Avenue (Landscape) Project G	N/A N/A	N/A N/A	N/A N/A	N/A May-09	N/A Jul-10	N/A Jun-17	N/A Jul-17	N/A Sep-17	N/A Jun-18		
SR-57 (NB), Orangethorpe Avenue to Yorba Linda Boulevard Project G	\$80.2 \$52.3	Aug-05 Aug-05	Dec-07 Dec-07	Feb-08 Feb-08	Dec-09 Jul-09	Apr-10 Dec-09	Jun-10 May-10	Oct-10 Oct-10	May-14 Nov-14		
SR-57 (NB), Yorba Linda Boulevard to Lambert Road Project G	\$79.3 \$54.1	Aug-05 Aug-05	Dec-07 Dec-07	Feb-08 Feb-08	Dec-09 Jul-09	Apr-10 Mar-10	Jun-10 May-10	Oct-10 Oct-10	Sep-14 May-14		
SR-57 (NB), Orangethorpe Avenue to Lambert Road (Landscape) Project G	N/A N/A	N/A N/A	N/A N/A	N/A Oct-14	N/A Aug-17	N/A Dec-17	N/A Jan-18	N/A Feb-18	N/A Apr-19		
SR-57 (NB), Lambert Road to Tonner Canyon Project G	TBD TBD	TBD Jul-20	TBD Jan-23	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD		
SR-91 Westbound (WB), I-5 to SR-57 Project H	\$78.1 \$59.2	Jul-07 Jul-07	Apr-10 Jun-10	Oct-09 Mar-10	Feb-12 Apr-12	Jul-12 Aug-12	Aug-12 Oct-12	Nov-12 Jan-13	Apr-16 Jun-16		
SR-91 Westbound (WB), I-5 to SR-57 (Landscape) Project H	N/A N/A	N/A N/A	N/A N/A	N/A Nov-14	N/A Aug-16	N/A Dec-16	N/A Feb-17	N/A Mar-17	N/A Nov-17		
SR-91, SR-55 to Lakeview Avenue (Segment 1) Project I	TBD \$102.5	Jan-15 Jan-15	Oct-18 Jun-20	TBD Feb-20	TBD Nov-22	TBD Jun-23	TBD Aug-23	TBD Dec-23	TBD Jul-27		
SR-91, La Palma Avenue to SR-55 (Segment 2) Project I	TBD \$223.1	Jan-15 Jan-15	Oct-18 Jun-20	TBD Jul-20	TBD Mar-23	TBD Oct-23	TBD Dec-23	TBD Apr-24	TBD Nov-27		
SR-91, Acacia Street to La Palma Ave (Segment 3) Project I	TBD \$109.7	Jan-15 Jan-15	Oct-18 Jun-20	TBD Oct-20	TBD Jul-23	TBD Feb-24	TBD Apr-24	TBD Aug-24	TBD Mar-28		
SR-91 (WB), Tustin Interchange to SR-55 Project I	\$49.9 \$42.5	Jul-08 Jul-08	Jul-11 May-11	Jul-11 Jun-11	Mar-13 Feb-13	Jul-13 Apr-13	Aug-13 Jun-13	Oct-13 Oct-13	Jul-16 Jul-16		
SR-91, SR-55 to SR-241 Project J	\$128.4 \$79.7	Jul-07 Jul-07	Jul-09 Apr-09	Jun-09 Apr-09	Jan-11 Aug-10	Apr-11 Dec-10	Jun-11 Feb-11	Sep-11 May-11	Dec-12 Mar-13		
SR-91, SR-55 to SR-241 (Landscape) Project J	N/A N/A	N/A N/A	N/A N/A	N/A May-12	N/A Feb-13	N/A Apr-13	N/A Jul-13	N/A Oct-13	N/A Feb-15		
SR-91 Eastbound, SR-241 to SR-71 Project J	\$104.5 \$57.8	Mar-05 Mar-05	Dec-07 Dec-07	Jul-07 Jul-07	Dec-08 Dec-08	Mar-09 May-09	May-09 Jun-09	Jul-09 Aug-09	Nov-10 Jan-11		
91 Express Lanes to SR-241 Toll Connector	TBD TBD	N/A Nov-13	N/A TBD	N/A Dec-16	N/A TBD	N/A TBD	N/A TBD	N/A TBD	N/A TBD		
I-405, I-5 to SR-55 Project L	TBD TBD	Dec-14 Dec-14	Jul-18 Aug-18	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD		
I-405, SR-55 to I-605 (Design-Build) Project K	\$1,900.0 \$1,900.0	Mar-09 Mar-09	Mar-13 May-15	Mar-14 Mar-14	Nov-15 Nov-15	Feb-16 Feb-16	Mar-16 Mar-16	Nov-16 Nov-16	May-23 May-23		

Capital Action Plan

Status Through September 2019

Updated: October 18, 2019

Capital Projects	Cost	Schedule								
	Baseline/Forecast (millions)	Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction	
I-405/SR-22 HOV Connector	\$195.9	N/A	N/A	Sep-07	Sep-09	Mar-10	May-10	Aug-10	Aug-14	
I-405/I-605 HOV Connector	\$120.9	N/A	N/A	Sep-07	Jun-09	Sep-09	Feb-10	Jun-10	Mar-15	
I-405/I-605 HOV Connector	\$260.4	N/A	N/A	Sep-07	Sep-09	Mar-10	May-10	Oct-10	Jan-15	
I-405/SR-22/I-605 HOV Connector (Landscape)	\$172.6	N/A	N/A	Sep-07	Sep-09	Feb-10	May-10	Oct-10	Mar-15	
I-405/SR-22/I-605 HOV Connector (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
I-605, I-605/Katella Interchange	N/A	N/A	N/A	Jun-08	May-09	Feb-16	May-16	Jul-16	Feb-18	
I-605, I-605/Katella Interchange	TBD	Aug-16	Nov-18	TBD	TBD	TBD	TBD	TBD	TBD	
Project M	TBD	Aug-16	Oct-18	TBD	TBD	TBD	TBD	TBD	TBD	
Grade Separation Projects:										
Sand Canyon Avenue Railroad Grade Separation	\$55.6	N/A	Sep-03	Jan-04	Jul-10	Jul-10	Oct-10	Feb-11	May-14	
Project R	\$61.9	N/A	Sep-03	Jan-04	Jul-10	Jul-10	Oct-10	Feb-11	Jan-16	
Raymond Avenue Railroad Grade Separation	\$77.2	Feb-09	Nov-09	Mar-10	Aug-12	Nov-12	Feb-13	May-13	Aug-18	
Project O	\$125.6	Feb-09	Nov-09	Mar-10	Dec-12	Jul-13	Oct-13	Feb-14	May-18	
State College Boulevard Railroad Grade Separation (Fullerton)	\$73.6	Dec-08	Jan-11	Jul-06	Aug-12	Nov-12	Feb-13	May-13	May-18	
Project O	\$100.3	Dec-08	Apr-11	Jul-06	Feb-13	May-13	Sep-13	Feb-14	Mar-18	
Placentia Avenue Railroad Grade Separation	\$78.2	Jan-01	May-01	Jan-09	Mar-10	May-10	Mar-11	Jun-11	Nov-14	
Project O	\$64.5	Jan-01	May-01	Jan-09	Jun-10	Jan-11	Mar-11	Jul-11	Dec-14	
Kraemer Boulevard Railroad Grade Separation	\$70.4	Jan-01	Sep-09	Jan-09	Jul-10	Jul-10	Apr-11	Aug-11	Oct-14	
Project O	\$63.8	Jan-01	Sep-09	Feb-09	Jul-10	Jan-11	Jun-11	Sep-11	Dec-14	
Orangethorpe Avenue Railroad Grade Separation	\$117.4	Jan-01	Sep-09	Feb-09	Dec-11	Dec-11	Feb-12	May-12	Sep-16	
Project O	\$108.2	Jan-01	Sep-09	Feb-09	Oct-11	Apr-12	Sep-12	Jan-13	Oct-16	
Tustin Avenue/Rose Drive Railroad Grade Separation	\$103.0	Jan-01	Sep-09	Feb-09	Dec-11	Mar-12	May-12	Aug-12	May-16	
Project O	\$98.3	Jan-01	Sep-09	Feb-09	Jul-11	Jun-12	Oct-12	Feb-13	Oct-16	
Lakeview Avenue Railroad Grade Separation	\$70.2	Jan-01	Sep-09	Feb-09	Oct-11	Oct-12	Feb-13	May-13	Mar-17	
Project O	\$110.6	Jan-01	Sep-09	Feb-09	Jan-13	Apr-13	Sep-13	Nov-13	Jun-17	
17th Street Railroad Grade Separation	TBD	Oct-14	Jun-16	TBD	TBD	TBD	TBD	TBD	TBD	
Project R	TBD	Oct-14	Nov-17	TBD	TBD	TBD	TBD	TBD	TBD	
Rail and Station Projects:										
Rail-Highway Grade Crossing Safety Enhancement	\$94.4	Jan-08	Oct-08	Jan-08	Sep-08	Sep-08	Sep-08	Aug-09	Dec-11	
Project R	\$90.4	Jan-08	Oct-08	Jan-08	Sep-08	Sep-08	Sep-08	Aug-09	Dec-11	
San Clemente Beach Trail Safety Enhancements	\$6.0	Sep-10	Jul-11	Feb-12	Apr-12	Apr-12	Jul-12	Oct-12	Jan-14	
Project R	\$5.0	Sep-10	Jul-11	Feb-12	Jun-12	Jun-12	Oct-12	May-13	Mar-14	
San Juan Capistrano Passing Siding	\$25.3	Aug-11	Jan-13	Mar-15	May-16	May-16	Aug-16	Dec-16	Feb-21	
	\$36.4	Aug-11	Mar-14	Mar-15	Aug-18	Aug-18	Aug-18	Mar-19	Feb-21	

Capital Action Plan

Status Through September 2019

Updated: October 18, 2019

Capital Projects	Cost Baseline/Forecast (millions)	Schedule Plan/Forecast									
		Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction		
OC Streetcar	\$424.4	Aug-09	Mar-12	Feb-16	Sep-17	Oct-17	Dec-17	Aug-18	Dec-21		
Project S	\$424.4	Aug-09	Mar-15	Feb-16	Nov-17	Dec-17	Dec-17	Sep-18	Feb-22		
Placentia Metrolink Station and Parking Structure	\$34.8	Jan-03	May-07	Oct-08	Jan-11	TBD	TBD	TBD	TBD		
Project R	\$34.8	Jan-03	May-07	Oct-08	Feb-11	Jan-20	Jan-20	May-20	Dec-21		
Orange County Maintenance Facility	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD		
Project R	TBD	Jan-20	Mar-22	TBD	TBD	TBD	TBD	TBD	TBD		
Anaheim Canyon Station	\$27.9	Jan-16	Dec-16	Mar-19	May-19	May-19	Jul-19	Nov-19	Mar-21		
	\$29.9	Jan-16	Jun-17	Mar-18	Dec-19	Dec-19	Dec-19	Apr-20	Aug-21		
Orange Station Parking Expansion	\$33.2	Dec-09	Dec-12	Nov-10	Apr-13	Jul-16	Jul-16	Nov-16	Feb-19		
	\$30.9	Dec-09	May-16	Nov-10	Apr-16	Jul-16	Jul-16	Jun-17	Feb-19		
Fullerton Transportation Center - Elevator Upgrades	\$3.5	N/A	N/A	Jan-12	Dec-13	Dec-13	Jun-14	Sep-14	Mar-17		
	\$4.6	N/A	N/A	Jan-12	Dec-13	Dec-13	Aug-14	Apr-15	May-19		
Laguna Niguel/Mission Viejo Station ADA Ramps	\$3.5	Jul-13	Jan-14	Jul-13	Aug-14	Aug-14	Sep-14	Jan-15	Apr-17		
	\$5.0	Jul-13	Feb-14	Jul-13	Jul-15	Jul-15	Jul-15	Oct-15	Sep-17		
Anaheim Regional Transportation Intermodal Center	\$227.4	Apr-09	Feb-11	Jun-09	Feb-12	Feb-12	May-12	Jul-12	Nov-14		
Project R & T	\$232.2	Apr-09	Feb-12	Jun-09	May-12	May-12	May-12	Sep-12	Dec-14		

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

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

Begin Environmental: The date work on the environmental clearance, project report, or preliminary engineering phase begins.

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

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

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

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

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

Award Contract: The date the construction contract is awarded.

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

Acronyms

I-5 - Santa Ana Freeway (Interstate 5)
 SR-73 - San Joaquin Freeway (State Route 73)
 SR-55 - Costa Mesa Freeway (State Route 55)
 SR-57 - Orange Freeway (State Route 57)
 SR-91 - Riverside Freeway (State Route 91)
 SR-71 - Corona Expressway (State Route 71)
 SR-22 - Garden Grove Freeway (State Route 22)
 I-405 - San Diego Freeway (Interstate 405)
 SR-241 - Foothill/Eastern Transportation Corridor (State Route 241)
 I-605 - San Gabriel River Freeway (Interstate 605)
 ADA - Americans with Disabilities Act
 HOV - High-Occupancy Vehicle

Capital Programs Division Fiscal Year 2019-20 Performance Metrics Through September 2019

Begin Environmental

Project Description	FY 20 Qtr 1		FY 20 Qtr 2		FY 20 Qtr 3		FY 20 Qtr 4		FY 20 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
Orange County Maintenance Facility			X						
Total Forecast/Actual	0	0	1	0	0	0	0	0	1

Complete Environmental

Project Description	FY 20 Qtr 1		FY 20 Qtr 2		FY 20 Qtr 3		FY 20 Qtr 4		FY 20 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
I-5/El Toro Road Interchange			X						
I-5, I-405 to SR-55					X				
SR-55, I-5 to SR-91							X		
SR-91, SR-57 to SR-55							X		
Total Forecast/Actual	0	0	1	0	1	0	2	0	4

Begin Design

Project Description	FY 20 Qtr 1		FY 20 Qtr 2		FY 20 Qtr 3		FY 20 Qtr 4		FY 20 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
SR-91, SR-55 to Lakeview Avenue					X				
Total Forecast/Actual	0	0	0	0	1	0	0	0	1

Complete Design

Project Description	FY 20 Qtr 1		FY 20 Qtr 2		FY 20 Qtr 3		FY 20 Qtr 4		FY 20 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
Anaheim Canyon Metrolink Station	X								
SR-55, I-405 to I-5							X		
Total Forecast/Actual	1	0	0	0	0	0	1	0	2

Construction Ready

Project Description	FY 20 Qtr 1		FY 20 Qtr 2		FY 20 Qtr 3		FY 20 Qtr 4		FY 20 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
Anaheim Canyon Metrolink Station			X						
I-5, Alicia Parkway to El Toro Road			X						
Placentia Metrolink Station and Parking Structure					X				
Total Forecast/Actual	0	0	2	0	1	0	0	0	3

Advertise Construction

Project Description	FY 20 Qtr 1		FY 20 Qtr 2		FY 20 Qtr 3		FY 20 Qtr 4		FY 20 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
I-5, SR-73 to Oso Parkway	X	✓							
Anaheim Canyon Metrolink Station			X						
I-5, Alicia Parkway to El Toro Road					X				
Placentia Metrolink Station and Parking Structure					X				
Total Forecast/Actual	1	1	1	0	2	0	0	0	4

Capital Programs Division

Fiscal Year 2019-20 Performance Metrics Through September 2019

Award Contract

Project Description	FY 20 Qtr 1		FY 20 Qtr 2		FY 20 Qtr 3		FY 20 Qtr 4		FY 20 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
I-5, SR-73 to Oso Parkway			X						
Anaheim Canyon Metrolink Station							X		
I-5, Alicia Parkway to El Toro Road							X		
Placentia Metrolink Station and Parking Structure							X		
Total Forecast/Actual	0	0	1	0	0	0	3	0	4

Complete Construction

Project Description	FY 20 Qtr 1		FY 20 Qtr 2		FY 20 Qtr 3		FY 20 Qtr 4		FY 20 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
No "Complete Construction" milestones scheduled for FY 2019-20									
Total Forecast/Actual	0	0	0	0	0	0	0	0	0

Totals	2	1	6	0	5	0	6	0	19
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Complete Environmental: The date environmental clearance and project approval is achieved.

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

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

SR-57 - Orange Freeway (State Route 57)

SR-91 - Riverside Freeway (State Route 91)

I-405 - San Diego Freeway (Interstate 405)

X = milestone forecast in quarter


✔ = milestone accomplished in quarter



COMMITTEE TRANSMITTAL

November 11, 2019

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Contract Change Orders for the Interstate 405 Improvement Project from State Route 73 to Interstate 605

Regional Planning and Highways Committee Meeting of November 4, 2019

Present: Directors Chaffee, Delgleize, Muller, M. Murphy, R. Murphy, and Pulido

Absent: Director Bartlett

Committee Vote

This item was passed by the Members present.

Directors Chaffee and Pulido were not present to vote on this item.

Committee Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute supplemental Contract Change Order No. 13.1 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$460,327, to design and construct additional improvements to support the installation of a permanent traffic signal at the intersection of Warner Avenue and Greenleaf Street in the City of Fountain Valley.
- B. Authorize the Chief Executive Officer to negotiate and execute supplemental Contract Change Order No. 27.1 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$353,106, to provide additional utility work to support Southern California Edison relocations on Milton Avenue in the City of Westminster.




Committee Recommendations (Continued)

- C. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 46 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$389,978, to extend water lines adjacent to the Talbert Avenue and Brookhurst Street overcrossing bridges in the City of Fountain Valley.
- D. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 47 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$266,828, to install additional water valves at the Talbert Avenue, Warner Avenue, and Brookhurst Street overcrossing bridges in the City of Fountain Valley.



November 4, 2019

To: Regional Planning and Highways Committee 
From: Darrell E. Johnson, Chief Executive Officer
Subject: Contract Change Orders for the Interstate 405 Improvement Project from State Route 73 to Interstate 605

Overview

On November 14, 2016, the Orange County Transportation Authority Board of Directors approved Agreement No. C-5-3843 with OC 405 Partners, a joint venture, for the design and construction of the Interstate 405 Improvement Project from State Route 73 to Interstate 605. Contract change orders are needed to design and construct additional improvements to support the installation of a permanent traffic signal at the intersection of Warner Avenue and Greenleaf Street, provide additional utility work to support Southern California Edison relocations on Milton Avenue, extend water lines at the Talbert Avenue and Brookhurst Street overcrossing bridges, and install additional water valves at the Talbert Avenue, Warner Avenue, and Brookhurst Street overcrossing bridges in the City of Fountain Valley.

Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute supplemental Contract Change Order No. 13.1 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$460,327, to design and construct additional improvements to support the installation of a permanent traffic signal at the intersection of Warner Avenue and Greenleaf Street in the City of Fountain Valley.
- B. Authorize the Chief Executive Officer to negotiate and execute supplemental Contract Change Order No. 27.1 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$353,106, to provide additional utility work to support Southern California Edison relocations on Milton Avenue in the City of Westminster.

- C. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 46 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$389,978, to extend water lines adjacent to the Talbert Avenue and Brookhurst Street overcrossing bridges in the City of Fountain Valley.

- D. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 47 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$266,828, to install additional water valves at the Talbert Avenue, Warner Avenue, and Brookhurst Street overcrossing bridges in the City of Fountain Valley.

Discussion

The Orange County Transportation Authority (OCTA), in cooperation with the California Department of Transportation, 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 in each direction from Euclid Street to I-605, consistent with Measure M2 (M2) Project K, and will add an additional lane in each direction that would combine with the existing high-occupancy vehicle lane to provide dual express lanes in each direction on 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) approved Agreement No. C-5-3843 with OC 405 Partners (OC405), a joint venture, for the design and construction of the Project. The contract was executed and Notice to Proceed (NTP) No. 1 was issued to OC405 on January 31, 2017. NTP No. 2, for the full design and construction of the Project, was issued to OC405 on July 27, 2017.

Warner Avenue and Greenleaf Street Signal Improvements

The Transportation Management Plan for the Project required a temporary traffic signal to be placed for several years at the intersection of Warner Avenue and Greenleaf Street in front of the Urbain H. Plavan Elementary School in the City of Fountain Valley. The cost of the temporary traffic signal was included in the lump sum contract price. However, due to safety concerns with operating a temporary traffic signal in front of a school and also with removing the temporary signal after several years of operation, the City of Fountain Valley requested, and OCTA agreed to, the installation of a permanent traffic signal at this location.

The installation of a permanent traffic signal resulted in additional scope of work (SOW), including street restoration, concrete curb and gutter, sidewalk, Americans with Disabilities Act ramps, irrigation system in the median, electrical, signage, and striping. These additional improvements beyond a temporary traffic signal were not anticipated in the original SOW nor in the lump sum contract price. This contract change order (CCO) is for the additional improvements beyond a temporary traffic signal.

Utility Work to Support Southern California Edison Relocations on Milton Avenue

As part of the Project, the Westminster Boulevard overcrossing bridge will be reconstructed, which in turn requires the reconstruction of the on-ramp to northbound I-405. The on-ramp reconstruction requires the installation of a new drainage system and the relocation of various utilities on an adjacent street, Milton Avenue, in the City of Westminster. In an effort to facilitate the timely relocation of these utilities to avoid Project schedule delays, OCTA directed OC405 to provide the necessary civil infrastructure work to support electrical utility relocations for Southern California Edison (SCE), such as shoring, trenching, SCE conduit installation, SCE vault installation, and street restoration. The additional utility support was not anticipated in the original SOW as this work would typically be done by SCE. OCTA is responsible for the cost liability of the work regardless of the entity that performs the work.

OC405 tracked the work on a time and materials basis. The amount of the CCO is based on staff review of the supporting documents provided by OC405. Some of OC405's claimed costs are unsupported, and OC405 was unable to provide supporting documentation when requested. OC405 has not agreed to the proposed lower CCO amount and may pursue the disputed amount at a later time. The purpose of this unilateral CCO is to compensate OC405 for entitled costs that have been reviewed and verified through documentation.

Talbert Avenue and Brookhurst Street Waterline Extensions

At Talbert Avenue, the City of Fountain Valley requested, and OCTA agreed to, the extension of the new waterline by approximately 375 feet to a new tie-in point in order to eliminate angle points in the waterline, which would better maintain appropriate water pressure in the water system. The City of Fountain Valley also requested, and OCTA agreed to, the relocation of an existing waterline lateral at Talbert Avenue to reduce the impacts of additional fill material on the waterline lateral, and to eliminate a conflict with a proposed retaining wall.

At Brookhurst Street, the City of Fountain Valley requested, and OCTA agreed to, the extension of the new waterline by about 150 feet to a new tie-in point in order to eliminate angle points in the waterline, which would better maintain appropriate water pressure in the water system.

These additional waterline utility conflicts and improvements were not anticipated in the original SOW.

Water Line Valves at Warner Avenue, Talbert Avenue, and Brookhurst Street

As part of the Project, City of Fountain Valley waterlines will be relocated into the new bridge overcrossings at Warner Avenue, Talbert Avenue, and Brookhurst Street. The City of Fountain Valley requested, and OCTA agreed to, the installation of additional water valves on each end of the overcrossing bridges to isolate the portion of the waterlines through the bridges. This would allow the City of Fountain Valley to shut off the portion of the line within the bridge in the event of a leak or breakage, minimizing potential flooding and damage within the bridge cells which could compromise the structural integrity of the bridge. The additional valves were not anticipated in the original SOW.

Procurement Approach

The procurement was handled in accordance with the best-value selection process authorized by AB 401 (Chapter 586, Statutes of 2013) for design-build (DB) projects, and with OCTA's Board-approved procedures for public works projects, which conform to both federal and state requirements. On November 14, 2016, OCTA approved Agreement No. C-5-3843 with OC405 for the design and construction of the Project through a DB contract.

Board approval is required for proposed CCO Nos. 13.1, 27.1, 46, and 47.

Proposed CCO No. 13.1, in the amount of \$460,327, will provide compensation to OC405 for the design and construction of the additional improvements to support the installation of a permanent traffic signal at the intersection of Warner Avenue and Greenleaf Street in the City of Fountain Valley. This cost will be borne by OCTA.

Proposed CCO No. 27.1, in the amount of \$353,106, will provide compensation to OC405 for the additional utility work to support SCE relocations on Milton Avenue in the City of Westminster. SCE's share of the cost of the work will be deducted from the utility agreement.

Proposed CCO No. 46, in the amount of \$389,978, will provide compensation to OC405 for the extension of water lines adjacent to the Talbert Avenue and Brookhurst Street overcrossing bridges in the City of Fountain Valley. This cost will be borne by OCTA.

Contract Change Orders for the Interstate 405 Improvement Project from State Route 73 to Interstate 605 *Page 5*

Proposed CCO No. 47, in the amount of \$266,828, will provide compensation to OC405 for the installation of additional water valves at the Talbert Avenue, Warner Avenue, and Brookhurst Street overcrossing bridges in the City of Fountain Valley. This cost will be borne by OCTA.

Attachment A lists the CCOs that have been executed to date, and the CCOs that are pending execution with OC405.

Fiscal Impact

The funding for this work was approved in OCTA's Fiscal Year 2019-20 Budget, Capital Programs Division, accounts 0017-9084-FK101-0GM and 0037-9017-A9510-0GM, and is funded with a combination of federal, state, and local funds. M2 funds will be used for improvements specific to M2 Project K, and non-M2 funds will be used for improvements specific to the 405 Express Lanes. The costs of CCO Nos. 13.1, 27.1, 46, and 47 are funded from the Project contingency and will not increase the total Project estimate of \$1.9 billion.

Summary

Staff recommends Board authorization for the Chief Executive Officer to negotiate and execute four contract change orders to Agreement No. C-5-3843 with OC405, a joint venture: CCO No. 13.1, in the amount of \$460,327, CCO No. 27.1, in the amount of \$353,106, CCO No. 46, in the amount of \$389,978, and CCO No. 47, in the amount of \$266,828.

Attachment

A. OC 405 Partners, Agreement No. C-5-3843, Contract Change Order Log

Prepared by:



Jeff Mills, P.E.
Senior Program Manager
(714) 560-5925

Approved by:



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



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

**OC 405 Partners
Agreement No. C-5-3843
Contract Change Order Log**

Contract Change Order (CCO) No.	Title	Status	Date Executed	Cost
001	Technical Provisions – Execution Version	Approved	06/14/2017	\$0.00
002	Notice to Proceed No. 1 Payment Cap Increase and Substantial Completion Deadline Modifications	Approved	6/21/2017	\$0.00
003	Extra Maintenance Work (Provisional Sum)	Approved	7/28/2017	\$200,000.00
003.1	Amendment to Change Order to Add Additional Funds for Extra Maintenance Work	Approved	10/2/2018	\$200,000
003.1.1	Provisional Sum for Extra Maintenance Work-Unilateral	Pending		\$400,000
004	Design-Builder Personnel Changes (Appendices 7 and 23)	Approved	12/20/2017	\$0.00
005	Dispute Review Board (Provisional Sum)	Approved	9/13/2017	\$50,000.00
005.1	Increase in Provisional Sum per Contract Section 19.4 Disputes Board	Approved	7/1/2019	\$50,000.00
006	Partnering (Provisional Sum)	Approved	9/13/2017	\$50,000.00
006.1	Partnering per Contract Section 19.1	Approved	7/1/2019	\$50,000.00
007	Implementation of California Department of Transportation (Caltrans) Guidance on Six-Inch Wide Longitudinal Traffic Lines and Non-Reflective Raised Pavement Markers	Approved	3/15/2018	\$0.00
008	Collection and Disposal of Unknown Hazardous Materials (Provisional Sum)	Approved	9/13/2018	\$100,000.00
008.1	Supplemental Unknown Hazardous Materials	Approved	9/11/2019	\$100,000.00
008.2	Supplemental Unknown Hazardous Materials	Pending		\$100,000.00
009	Repair of Caltrans' Fiber Optic Line	Approved	5/16/2018	\$31,753.69
010	Five Project Funding Identification Signs (Provisional Sum)	Approved	7/2/2018	\$32,644.25
011	Revised Right-of-Way (ROW) Availability Date of Caltrans Parcel No. 102919 Used By Mike Thompson's RV Super Store	Approved	6/28/2018	\$0.00
012	Credit to OCTA for Elimination of the Street Widening Improvements Along Eastbound Edinger Avenue	Approved	9/13/2018	-\$237,982.39

013	Additional Design and Construction Cost Compensation Related to: City Bridge Width; Construction Changes to Minimize ROW Impacts; Revised Design Concept at Ellis Avenue On-Ramp to Southbound I-405; State Route 73 Overhead Sign Structures; Sendero Apartments Left-Turn Pocket on Magnolia Street; Newland Street Waterline Extension; and Signal Improvements at Ellis Avenue/ Bushard Street	Approved	2/25/2019	\$8,560,556.00
013.1	Permanent Traffic Signal at the intersection of Warner Avenue and Greenleaf Street	Pending		\$460,327.00
014	Thrust Blocks for the City of Fountain Valley Water Lines	Approved	10/29/2018	\$88,021.00
015	Slater Bridge Construction Shuttle Services	Approved	12/4/2018	\$175,000.00
016	Construction Zone Speed Reduction	Approved	12/3/2018	\$70,000.00
017	Relocation of Water Lines for the City of Fountain Valley	Approved	3/8/2019	\$800,000.00
018	Enhanced Gawk Screen at Bolsa Chica Road	Approved	1/25/2019	\$56,395.00
019	Brookhurst Street Overhead Sign Location Redesign	Approved	1/25/2019	\$11,484.00
020	Differing Site Conditions - Pavement Thickness at Magnolia	Approved	1/29/2019	\$4,095.00
021	Polymer Fibers in All Concrete Bridge Decks	Approved	3/19/2019	\$1,463,020.00
022	Temporary Construction Easement Reduction at La Quinta	Approved	3/19/2019	\$85,573.00
023	Updated FasTrak Logos (Unilateral)	Approved	2/21/2019	\$20,532.00
024	Express Lanes Channelizers	Approved	3/12/2019	\$122,778.00
025	Stainless Steel Inserts at Fairview Road Overcrossing	Approved	3/12/2019	-\$9,293.00
026	OCTA PlanGrid Software Licenses	Approved	3/28/2019	\$35,994.00
026.1	Supplemental for OCTA PlanGrid Software Licenses	Approved	9/11/2019	\$8,570.00
027	Utility potholing on Milton Ave	Approved	9/12/2019	\$61,731.87
027.1	Utility Support for SCE relocations on Milton Avenue	Pending		\$353,106.00
028	Mesa Water District 12-inch Water Line (CN-1127)	Approved	5/7/2019	\$208,600.00

029	Magnolia Loop Ramp CMS Deletion	Approved	05/15/19	-\$74,319.00
030	Motel 6 Sound Wall (SW-791) Elimination	Approved	05/15/19	-\$130,000.00
031	Sound Wall 956 Reduction	Approved	05/22/19	-\$30,000.00
033	Edinger Channel Pavement Rehabilitation	Approved	07/30/19	\$176,465.00
034	Chevron and Crimson Utility Relocation at Goldenwest Crossing	Approved	8/2/2019	\$75,000.00
035	Incompatible Specifications - Adjacent to CRCP Pavement	Approved	06/26/19	\$2,900,557.00
037	Sound Wall 375 Protect in Place	Approved	06/04/19	\$200,000.00
040	HDPE in Lieu of RCP	Approved	7/9/2019	-\$7,418.68
041	Emergency Vehicle Preemption Devices at Fairview	Approved	7/9/2019	\$44,147.00
042	Executed Utility Agreements	Pending		\$0.00
043	Early Partial Removal of Sound Wall 328	Approved	9/16/2019	\$14,414.18
045	City of Fountain Valley Water Lines (CN 1012 & 6044) at Warner Avenue	Pending		\$256,244.00
046	Extension of Water Lines Adjacent to the Talbert Avenue and Brookhurst Street Overcrossing Bridges	Pending		\$389,978.00
047	Additional Water Valves at the Talbert Avenue, Warner Avenue, and Brookhurst Street Overcrossing Bridges	Pending		\$266,828.00
048	Temporary Construction Easement Reduction at Sit n' Sleep (CPN 103026)	Pending		\$129,243.00
049	Beach Blvd Lane Widths Reduction (Necessary Basic Configuration Change)	Pending		\$160,000.00
050	Vibration Sensitive Receptors (McFadden OC Abutment 3)	Pending		\$59,383.87

Original Contract Price	\$1,217,065,000.00
Contingency Fund	<u>\$98,935,000.00</u>
Total Contract Allotment	\$1,316,000,000.00
Subtotal Approved CCO	\$15,558,317.92
Subtotal Pending CCOs	<u>\$2,575,109.87</u>
Total CCOs	\$18,133,427.79
Proposed Revised Contract Price	\$1,235,198,427.79
Remaining Contingency Fund	\$80,801,572.21



COMMITTEE TRANSMITTAL

November 11, 2019

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Amendment to Cooperative Agreement with the City of Costa Mesa for the Interstate 405 Improvement Project

Regional Planning and Highways Committee Meeting of November 4, 2019

Present: Directors Chaffee, Delgleize, Muller, M. Murphy, R. Murphy, and Pulido

Absent: Director Bartlett

Committee Vote

This item was passed by the Members present.


Directors Chaffee and Pulido were not present to vote on this item.

Committee Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Cooperative Agreement No. C-5-3612 between the Orange County Transportation Authority and the City of Costa Mesa, in the amount of \$249,500, for additional city services for the Interstate 405 Improvement Project. This will increase the maximum obligation of the cooperative agreement to a total value of \$1,256,380.



November 4, 2019

To: Regional Planning and Highways Committee 
From: Darrell E. Johnson, Chief Executive Officer
Subject: Amendment to Cooperative Agreement with the City of Costa Mesa for the Interstate 405 Improvement Project

Overview

On March 14, 2016, the Orange County Transportation Authority Board of Directors approved Cooperative Agreement No. C-5-3612 with the City of Costa Mesa for city services required during the design-build implementation of the Interstate 405 Improvement Project. The cooperative agreement needs to be amended for additional city support services during the design and construction of the project.

Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Cooperative Agreement No. C-5-3612 between the Orange County Transportation Authority and the City of Costa Mesa, in the amount of \$249,500, for additional city services for the Interstate 405 Improvement Project. This will increase the maximum obligation of the cooperative agreement to a total value of \$1,256,380.

Discussion

The Orange County Transportation Authority (OCTA), in cooperation with the California Department of Transportation and the cities of Costa Mesa, Fountain Valley, Huntington 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 would combine with the existing high-occupancy vehicle lane to provide dual express lanes in each direction on I-405 from SR-73 to I-605. The Project includes improvements to city-owned and operated streets, and city traffic facilities impacted by the Project.

On March 14, 2016, the OCTA Board of Directors approved a cooperative agreement with the City of Costa Mesa (City) for city services to be provided during the design-build implementation of the Project. The reimbursement to the City includes costs for review and approval of plans, specifications, and reports, and oversight of construction inspection services for City facilities, review and acceptance of the transportation management plan, traffic engineering, and police services during design and construction of the Project (Attachment A).

The level of effort incorporated into the original cooperative agreement was estimated, and included limited efforts for design review and construction inspection, as these were not fully developed or understood at the time. At this time, both OCTA and City staff have a better understanding of the level of effort needed for the City to effectively provide the support necessary for successful delivery of the Project.

The original scope of work (SOW) assumed the design period would span approximately 15 months, and the Project would be divided into large design segments. OC 405 Partners' (OC405) design period is currently about 30 months based on contractual requirements and the magnitude of the Project, which is 15 months longer than anticipated. Due to the complexity of the Project, OC405 also elected to divide the Project into smaller design packages to allow an earlier start date for certain construction elements, as allowed by the Project contract. This has resulted in additional City engineering support in terms of increased labor and time periods needed to review the increased number of design packages.

Additional City support was also needed for the redesign of the traffic handling plans for the reconstruction of the northbound I-405 off-ramp to Fairview Road and the collector-distributor (CD) road to Fairview Road/Susan Street/Harbor Boulevard. This modification results in more efficient construction of this complex area of off-ramps and CD road by enabling construction of numerous elements under one closure. This required additional City design reviews of the revised construction staging and traffic handling plans, and additional coordination meetings with the City. This was not anticipated in the original SOW.

The widening of the Harbor Boulevard undercrossing has presented unanticipated construction challenges that have incurred additional City support services. For instance, delivering and installing piles in the center median on Harbor Boulevard had to be performed during night and weekend shifts to avoid significant traffic congestion on Harbor Boulevard and resultant impacts to other City streets. Additionally, the partial demolition of the Harbor Boulevard

undercrossing had to be performed over multiple nighttime shifts to ensure adequate emergency services access. These activities have resulted in additional City reviews of traffic control plans, coordination meetings, and additional City inspection services beyond the original anticipated level of effort.

Attachment B to this report depicts the revised reimbursement amount for City services. The proposed amendment will be funded from the Project contingency, and will not increase the total Project estimate of \$1.9 billion.

Fiscal Impact

Funding for this amendment is included in OCTA's Fiscal Year 2018-19 Budget, Capital Programs Division, accounts 0017-9084-FK101-012 and 0037-9017-A9510-012, and is funded with a combination of federal, state, and local funds.

Summary

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute Amendment No. 2 to Cooperative Agreement No. C-5-3612 with the City of Costa Mesa, in the amount of \$249,500, for additional city services during design and construction of the Interstate 405 Improvement Project

Amendment to Cooperative Agreement with the City of Costa Mesa for the Interstate 405 Improvement Project *Page 4*

Attachments

- A. City of Costa Mesa, Cooperative Agreement No. C-5-3612 Fact Sheet
- B. Revised Schedule A – Reimbursement Schedule for the City of Costa Mesa

Prepared by:



Jeff Mills, P.E.
Senior Program Manager
(714) 560-5925

Approved by:



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



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

**City of Costa Mesa
Cooperative Agreement No. C-5-3612 Fact Sheet**

1. March 14, 2016, Cooperative Agreement No. C-5-3612, \$344,900, approved by the Board of Directors (Board).
 - To provide city services, including plan review and approval of plans, specifications, reports, and the traffic management plan, and oversight of construction and detour inspection services; traffic engineering and police services; and allow for future amendment for repair costs of city street pavements impacted by signed, long-term detour routes for the Interstate 405 Improvement Project (Project).
2. November 12, 2018, Amendment No. 1 to Cooperative Agreement No. C-5-3612, \$661,980, approved by the Board.
 - To include costs for repairs to city street pavements impacted by signed, long-term freeway detours during construction of the Project that were not accounted for in the original cooperative agreement.
3. November 11, 2019, Amendment No. 2 to Cooperative Agreement No. C-5-3612, \$249,500, pending Board approval.
 - To provide additional city services, including plan review and approval of plans, specifications, reports; oversight construction and detour inspection services; review and acceptance of the traffic management plan, traffic engineering, and police services.

Total committed to City of Costa Mesa after approval of Amendment No. 2 to Cooperative Agreement No. C-5-3612: \$1,256,380.

REVISED SCHEDULE A

REIMBURSEMENT SCHEDULE FOR THE CITY OF COSTA MESA

<i>Item No.</i>	<i>Reimbursement Description</i>	<i>Maximum Reimbursement Amount⁽¹⁾</i>
1	Review and approval of plans, specifications, plans, and other pertinent engineering plans and reports, Traffic Management Plan review and concurrence, and construction oversight inspection services related to CITY FACILITIES.	\$375,400
2	Traffic engineering and detour inspection	\$132,300
3	Police services (including overtime costs)	\$86,700
4	Pavement mitigation	\$661,980 ⁽²⁾
	TOTAL MAXIMUM REIMBURSEMENT	\$1,256,380

(1) Revised Schedule A shows estimated reimbursement amounts for each CITY SERVICES item of work. During the term of this agreement, the CITY may redistribute funds for items of work as needed; however, the total combined amount for CITY SERVICES shall not exceed the Total Maximum Reimbursement amount shown herein.


(2) This amount has been determined by AUTHORITY, and shall be reimbursed as a one-time, lump sum amount upon execution of this amendment to the agreement.



COMMITTEE TRANSMITTAL

November 11, 2019

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Cooperative Agreement with the California Department of Transportation for the Interstate 5 Widening Project Between Alicia Parkway and El Toro Road

Regional Planning and Highways Committee Meeting of November 4, 2019

Present: Directors Chaffee, Delgleize, Muller, M. Murphy, R. Murphy, and Pulido

Absent: Director Bartlett

Committee Vote

This item was passed by the Members present.

Directors Chaffee and Pulido were not present to vote on this item.

Committee Recommendations

- A. Authorize the use of \$4,728,000 in Highway Infrastructure Program funds in place of Measure M2 funds for the Interstate 5 widening project between Alicia Parkway and El Toro Road.
- B. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-1600 between the Orange County Transportation Authority and California Department of Transportation, in the amount of \$136,615,000, comprised of a construction capital share of \$117,000,000, and a construction management services share of \$19,615,000, for Segment 3 of the Interstate 5 widening project between Alicia Parkway and El Toro Road.
- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute or amend all necessary agreements to facilitate the above action.



November 4, 2019

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Cooperative Agreement with the California Department of Transportation for the Interstate 5 Widening Project Between Alicia Parkway and El Toro Road

Overview

The Orange County Transportation Authority proposes to enter into a cooperative agreement with the California Department of Transportation for construction capital and construction management support services for Segment 3 of the Interstate 5 widening project between Alicia Parkway and El Toro Road.

Recommendations

- A. Authorize the use of \$4,728,000 in Highway Infrastructure Program funds in place of Measure M2 funds for the Interstate 5 widening project between Alicia Parkway and El Toro Road.
- B. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-1600 between the Orange County Transportation Authority and California Department of Transportation, in the amount of \$136,615,000, comprised of a construction capital share of \$117,000,000, and a construction management services share of \$19,615,000, for Segment 3 of the Interstate 5 widening project between Alicia Parkway and El Toro Road.
- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute or amend all necessary agreements to facilitate the above action.

Discussion

The Orange County Transportation Authority (OCTA), in partnership with the California Department of Transportation (Caltrans), is implementing the Interstate 5 (I-5) widening project between State Route 73 (SR-73) and El Toro Road (Project). The Project is part of Projects C and D in the Measure M2 (M2) freeway program and is being advanced through the updated Next 10 Delivery Plan approved by the OCTA Board of Directors (Board) in November 2017.

The Project will add one general purpose lane in each direction on I-5 between Avery Parkway and Alicia Parkway, extend the second high-occupancy vehicle lane from El Toro Road to Alicia Parkway in each direction, re-establish existing auxiliary lanes, and construct new auxiliary lanes at various locations. In addition, the Project will reconstruct the Avery Parkway and La Paz Road interchanges, improve several existing on- and off-ramps, and convert existing and proposed carpool lanes to continuous access.

The Project will be constructed in three segments with the following Project limits:

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

On July 14, 2014, the Board authorized Cooperative Agreement No. C-4-1667 with Caltrans to provide oversight of the plans, specifications, and estimates (PS&E), and to advertise and award the construction contract for the Project. On October 12, 2015, the Board authorized Cooperative Agreement No. C-5-3661 with Caltrans to complete the Project's right-of-way (ROW) acquisition.

In 2018, the Federal Highway Administration (FHWA) required that a Cost Estimate Review workshop be conducted, which was carried out by the FHWA, Caltrans, and OCTA to determine the estimated cost based on a risk-based approach to review major risks and opportunities within the Project. As a result of that workshop, the Board approved programming \$179,480,000 in local, state, and federal funds to the Project for support of PS&E, ROW, and construction.

Staff is recommending that the Board approve the use of \$4,728,000 in Highway Infrastructure Program (HIP) funds in place of M2 funds for the Project. The use of HIP funds is consistent with the Board-approved

Capital Programming Policies regarding the use of HIP funds for the M2 Freeway Program, and this action would allow OCTA to preserve M2 funds for future freeway projects. Attachment A provides the updated Capital Funding Plan which includes funding information for OCTA's freeway programs and the recommended funding changes for the Project.

OCTA and Caltrans are proposing to enter into a cooperative agreement to define the specific roles and funding responsibilities for each agency to provide the construction capital and construction management support services for Segment 3 between Alicia Parkway and El Toro Road.

Bid documents for Segment 3 are being prepared for the construction contract and are expected to be advertised by mid-2020. The total construction capital funding required for Segment 3 is \$117,000,000, comprised of \$20,768,000 in Surface Transportation Block Grant (STBG) funds, \$9,388,000 in Senate Bill 1 funds, \$4,728,000 in HIP funds, and \$82,116,000 in M2 funds.

As the implementing agency for construction of the Project, Caltrans will be responsible for advertisement, award, approval, and administration of the construction contract. Under the proposed cooperative agreement, Caltrans and OCTA have agreed to share in the construction management support services for the Project.

Caltrans, as the construction phase implementing agency, will provide the resident engineer, structures representative, and other field personnel, along with construction administrative support, environmental and paleontology monitoring for the Project, at an estimated cost of \$10,993,000, comprised of \$8,993,000 in STBG funds and \$2,000,000 in HIP funds. Caltrans will draw down these federal funds directly.

OCTA will retain a consultant firm to augment Caltrans field staff with electrical, structural and roadway inspection, office engineering, field surveying, materials testing, and claims support services. OCTA's consultant will also provide a field office to house construction staff on the Project. The total estimated cost of OCTA consultant construction support is \$8,622,000 in M2 funds. Through separate contracts, OCTA will lead the public outreach and freeway service patrol efforts.

The total construction support funding for the Project is \$19,615,000, comprised of \$8,993,000 in STBG funds, \$2,000,000 in HIP funds, and \$8,622,000 in M2 funds.

Cooperative Agreement with the California Department of Transportation for the Interstate 5 Widening Project Between Alicia Parkway and El Toro Road *Page 4*

Fiscal Impact

The Project will be included in OCTA's Fiscal Year (FY) 2020-21 Budget and subsequent FYs budget, Capital Programs Division, accounts 0017-9084-FC106-06W and 0017-9085-FC106-06W, and will be funded with a combination of federal, state, and local funds.

Summary

Staff requests Board authorization to program \$4,728,000 in HIP funds in place of M2 funds for the Project, and approval for the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-1600 between OCTA and Caltrans, in the amount of \$136,615,000, comprised of a construction capital share of \$117,000,000, and a construction management services share of \$19,615,000, for Segment 3 of the Project.

Attachment

A. Capital Funding Program Report

Prepared by:



Niall Barrett, P.E.
Program Manager
(714) 560-5879

Approved by:



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



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



Capital Funding Program Report

Pending Board of Directors (Board) Approval - November 11, 2019

State Highway Project											
Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
I-5 from SR-55 to SR-57, add one HOV lane each direction	A	\$39,052	\$33,743							\$5,309	
I-5 Widening from I-405 to SR-55 (Env. Phase)	B	\$8,000	\$8,000								
I-5 Widening, I-405 to Yale (Segment 1)	B	\$215,430	\$47,884			\$95,338	\$44,791			\$27,417	
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) Segment 3 ^{1,2}	C	\$181,327	\$49,897		\$4,728		\$9,388			\$117,314	
I-5 widening (Oso to Alicia) Segment 2	C	\$205,695	\$47,676		\$7,921					\$150,098	
I-5 widening (SR-73 to Oso) Segment 1	C	\$213,267	\$28,167		\$6,433	\$91,977		\$29,832		\$56,858	
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 ³	F	\$415,932	\$103,805		\$46,800	\$80,000	\$75,000			\$110,327	
SR-57 Orangewood to Katella	G	\$2,500	\$2,500								
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	\$35,000		\$10,648	\$82,000		\$7,771		\$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	\$4,824				\$3,000				\$1,824	
241/91 Express Lanes (HOT) connector		\$33,728									\$33,728
SR-74 widening, Calle Entradero-City/County line		\$16,653				\$14,303				\$1,950	\$400
SR-74 widening, City/County line to Antonio Parkway		\$40,905	\$5,285			\$10,000					\$25,620
State Highway Project Totals		\$3,318,286	\$386,357		\$76,530	\$384,946	\$129,179	\$37,603		\$1,614,993	\$688,678
Federal Funding Total		\$462,887									
State Funding Total		\$551,728									
Local Funding Total		\$2,303,671									
Total Funding (000's)		\$3,318,286									

State Highway Project Completed											
Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
I-5 HOV lane each direction s/o PCH to San Juan Creek Road	C	\$70,658	\$11,796					\$20,789		\$38,073	
I-5 HOV lanes from s/o Avenida Vista Hermosa to s/o PCH	C	\$71,100	\$13,472			\$46,779				\$10,849	
I-5 HOV lanes: s/o Avenida Pico to s/o Vista Hermosa	C	\$90,441	\$31,741		\$1,600	\$43,735				\$13,365	
I-5/SR-74 interchange improvements	D	\$80,300				\$48,683		\$24,109	\$2,500		\$5,008
I-5/SR-74 interchange landscaping/replacement planting	D	\$1,440			\$752	\$688					
SR- 57 n/b widening, Katella Avenue to Lincoln Avenue - landscaping	G	\$2,172								\$2,172	
SR- 57 n/b widening, SR-91 to Yorba Linda Boulevard - landscaping	G	\$946								\$946	
SR-57 n/b widening, Yorba Linda to Lambert Road - landscaping	G	\$1,193								\$1,193	



Capital Funding Program Report

Pending Board of Directors (Board) Approval - November 11, 2019

State Highway Project Completed											
Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
SR-91 w/b connect existing aux lanes, I-5 to SR-57	H	\$62,977						\$27,227		\$35,750	
SR-91 w/b connecting existing aux lanes, I-5 to SR-57 - landscaping	H	\$2,290								\$2,290	
SR-91 w/b (SR-55 - Tustin interchange) improvements	I	\$43,753				\$15,753		\$14,000		\$14,000	
SR-91 e/b widening, SR-241 to SR-71	J	\$57,773			\$45,911					\$6,942	\$4,920
SR-91 w/b Routes 91/55 - e/o Weir 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								
HOV connectors from I-405 and I-605	M1	\$173,091	\$14,787					\$135,430	\$16,200		\$6,674
HOV connectors from SR-22 to I-405	M1	\$115,878	\$64,375		\$49,625				\$1,878		
State Highway Project Completed Totals		\$998,555	\$140,771		\$97,888	\$180,786		\$380,452	\$20,578	\$161,478	\$16,602
Federal Funding Total		\$238,659									
State Funding Total		\$561,238									
Local Funding Total		\$198,658									
Total Funding (000's)		\$998,555									



Capital Funding Program Report

Pending Board of Directors (Board) Approval - November 11, 2019

Board Action:

1. Authorize the use of up to \$4.728 million in Highway Infrastructure Program in place of Measure M2 funds for the Interstate 5 widening project between Alicia Parkway and El Toro Road.

Project Updates:

2. Correction to the Measure M2 funds within the environmental phase.

Project Notes:

3. Project has unfunded need of \$75 million. Staff will return to the Board with a funding plan at a later date.

Acronyms:

Aux - Auxilliary
CMAQ - Congestion Mitigation Air Quality Improvement Program
FTA - Federal Transit Administration
FY - Fiscal Year
HOT - High-Occupancy Toll
HOV - High-Occupancy Vehicle
Hwy - Highway
I-405 - Interstate 405
I-5 - Interstate 5
I-605 - Interstate 605
LA - Los Angeles
M Code - Project Codes in Measure M1 and M2
M1 - Measure M1
M2 - Measure M2
N/B - Northbound
OC - Orange County
OCTA - Orange County Transportation Authority
PCH - Pacific Coast Highway
RSTP - Regional Surface Transportation Program
S/B - Southbound
S/O - South of
SR-133 - State Route 133
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-90 - State Route 90
SR-91 - State Route 91
SS - Southside
STBG - Surface Transportation Block Grant
STIP - State Transportation Improvement Program
W/B - Westbound



November 11, 2019

To: Members of the Board of Directors

From: Darrell E. Johnson, Chief Executive Officer

Subject: Approval to Release Request for Proposals for Construction Management Support Services for the Interstate 5 Widening Project Between Alicia Parkway and El Toro Road

Overview

The Orange County Transportation Authority has developed a request for proposals to initiate a competitive procurement process to retain a consultant to provide construction management support services for the Interstate 5 widening project between Alicia Parkway and El Toro Road.

Recommendations

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 9-1605 for selection of a consultant to provide construction management support services for the Interstate 5 widening project between Alicia Parkway and El Toro Road.
- B. Approve the release of Request for Proposals 9-1605 to provide construction management support services for the Interstate 5 widening project between Alicia Parkway and El Toro Road.

Discussion

The Orange County Transportation Authority (OCTA), in partnership with the California Department of Transportation (Caltrans), is implementing the Interstate 5 (I-5) widening project between State Route 73 (SR-73) and El Toro Road (Project). The Project is part of Projects C and D in the Measure M2 (M2) freeway program, and is being advanced through the updated Next 10 Delivery Plan approved by the OCTA Board of Directors (Board) in November 2017.

The Project will add one general purpose lane in each direction on I-5 between Avery Parkway and Alicia Parkway, extend the existing second high-occupancy vehicle lane from El Toro Road to Alicia Parkway in each direction, re-establish existing auxiliary lanes, and construct new auxiliary lanes at various locations. In addition, the Project will reconstruct the Avery Parkway and La Paz Road interchanges, improve several existing on- and off-ramps, and convert existing and proposed carpool lanes to continuous access.

Final design for the Project is completed or nearing completion in three segments, with the following Project limits:

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

The advertisement of Segment 3 for construction bids is targeted for mid-2020. OCTA staff proposes to use Caltrans for the administration of the construction contract. As the implementing agency for the construction phase, Caltrans will provide the resident engineer, structures representative, and other field personnel, along with construction administrative support, and environmental and paleontology monitoring. OCTA will provide consultant field staff for construction inspection, the office engineer, scheduling, claims support, materials testing, and field surveying. This approach is also being implemented on the other two segments.

Procurement Approach

OCTA's Board-approved procurement policies and procedures require that the Board approve all requests for proposals (RFP) over \$1,000,000, as well as approve the evaluation criteria and weightings. Staff is submitting for Board approval the draft RFP and evaluation criteria and weightings, which will be used to evaluate proposals received in response to the RFP.

The recommended evaluation criteria and weightings are as follows:

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

The evaluation criteria and weightings are consistent with criteria developed for similar architectural and engineering (A&E) procurements. In developing the criteria and weightings, several factors were considered. Staff proposes to give the greatest level of importance to staffing and project organization, as the

Approval to Release Request for Proposals for Construction Management Support Services for the Interstate 5 Widening Project Between Alicia Parkway and El Toro Road *Page 3*

qualifications of the project manager and other key task leaders are critical to the timely delivery and successful performance of the work. Staff has assigned a high level of importance to the work plan as understanding of freeway construction and required support processes is critical to project success. The qualifications of the firm's experience in performing relevant work of similar scope and size are also important to the success of the Project. As this is an A&E procurement, price is not an evaluation criterion pursuant to state and federal laws.

The RFP will be released upon Board approval of these recommendations.

Fiscal Impact

The Project will be included in OCTA's Fiscal Year (FY) 2020-21 Budget and subsequent FYs budgets, Capital Programs Division, Account 0017-9085-FC106-06W, and will be funded with a combination of local M2 funds, and state and federal grants.

Summary

Board of Directors' approval is requested to release Request for Proposals 9-1605 for construction management support services for the Interstate 5 widening project between Alicia Parkway and El Toro Road (Segment 3).

Attachment

- A. Draft Request for Proposals (RFP) 9-1605, Construction Management Support Services for the Interstate 5 Widening Project Between Alicia Parkway and El Toro Road

Prepared by:



Niall Barrett, P.E.
Program Manager
(714) 560-5879

Approved by:



James G. Beil, P.E.
Executive Director, Capital Programs
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Director, Contracts Administration and
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(714) 560-5623

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REQUEST FOR PROPOSALS (RFP) 9-1605

**CONSTRUCTION MANAGEMENT
SUPPORT SERVICES FOR THE
INTERSTATE 5 WIDENING PROJECT
BETWEEN ALICIA PARKWAY AND
EL TORO ROAD**



**ORANGE COUNTY TRANSPORTATION AUTHORITY
550 South Main Street
P.O. Box 14184
Orange, CA 92863-1584
(714) 560-6282**

Key RFP Dates

Issue Date:	November 11, 2019
Pre-Proposal Conference Date:	November 20, 2019
Question Submittal Date:	December 2, 2019
Proposal Submittal Date:	December 17, 2019
Interview Date:	February 5, 2020

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DRAFT**NOTICE OF REQUEST FOR PROPOSALS**

(RFP): 9-1605: “CONSTRUCTION MANAGEMENT SUPPORT SERVICES FOR THE INTERSTATE 5 WIDENING PROJECT BETWEEN ALICIA PARKWAY AND EL TORO ROAD”

TO: ALL OFFERORS

FROM: ORANGE COUNTY TRANSPORTATION AUTHORITY

The Orange County Transportation Authority (Authority) invites proposals from qualified consultants to provide construction management support services for the Interstate 5 (I-5) Widening Project between Alicia Parkway and El Toro Road, Segment Three (3).

To prevent potential conflicts of interest, the prime consultant and all subconsultants (at any tier) currently under contract with the Authority to provide program management consultant services for the Authority’s highway programs and the design consultant preparing plans, specifications and estimates for this I-5 segment, are precluded from participating in this solicitation. The selected consultant and subconsultants (at any tier) to provide construction management support services are precluded from participating in the construction contract for this I-5 segment. Conflicts of interest will be evaluated on a case by case basis.

The Authority has made the following documents available on CAMM NET for review:

- 100% Project Plans, pending Caltrans approval.

Proposals must be received in the Authority’s office at or before 2:00 p.m. on December 17, 2019.

Proposals delivered in person or by a means other than the U.S. Postal Service shall be submitted to the following:

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**Orange County Transportation Authority
 Contracts Administration and Materials Management
 600 South Main Street, (Lobby Receptionist)
 Orange, California 92868
 Attention: Bridget Carman, Senior Contract Administrator**

Proposals delivered using the U.S. Postal Service shall be addressed as follows:

**Orange County Transportation Authority
 Contracts Administration and Materials Management
 P.O. Box 14184
 Orange, California 92863-1584
 Attention: Bridget Carman, Senior Contract Administrator**

Proposals and amendments to proposals received after the date and time specified above will be returned to the Offerors unopened.

Firms interested in obtaining a copy of this Request for Proposals (RFP) may do so by downloading the RFP from CAMM NET at <https://cammnet.octa.net>.

All firms interested in doing business with the Authority are required to register their business on-line at CAMM NET. The website can be found at <https://cammnet.octa.net>. From the site menu click on CAMM NET to register.

To receive all further information regarding this RFP 9-1605, firms and subconsultants must be registered on CAMM NET with at least one of the following commodity codes for this solicitation selected as part of the vendor's on-line registration profile:

<u>Category:</u>	<u>Commodity:</u>
Construction	Construction Management Services
	Inspection Services
Professional Consulting	Consultant Services - General
	Traffic Planning Consulting
Professional Services	Engineering - Civil
	Engineering - General
	Inspection - Testing & Analysis
	Land Surveying

A pre-proposal conference will be held on November 20, 2019, at 1:30 p.m. the Authority's Administrative Office, 550 South Main Street, Orange, California, in Conference Room 07. All prospective Offerors are encouraged to attend the pre-proposal conference.

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Offeror's are asked to submit written statements of technical qualifications and describe in detail their work plan for completing the work specified in the Request for Proposal. **No cost proposal or estimate of work hours is to be included in this phase of the RFP process.**

The Authority has established February 5, 2020, as the date to conduct interviews. All prospective Offerors will be asked to keep this date available.

Certain labor categories under this project are subject to prevailing wages as identified in the State of California Labor Code commencing in Section 1770 et. Seq. It is required that all mechanics and laborers employed or working at the site be paid not less than the basic hourly rates of pay and fringe benefits as shown in the current minimum wage schedules. Offerors must use the current wage schedules applicable at the time the work is in progress.

Offerors are encouraged to subcontract with small businesses to the maximum extent possible.

All Offerors will be required to comply with all applicable equal opportunity laws and regulations.

The award of this contract is subject to receipt of federal, state and/or local funds adequate to carry out the provisions of the proposed agreement including the identified Scope of Work.

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RFP 9-1605

SECTION I: INSTRUCTIONS TO OFFERORS

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SECTION I. INSTRUCTIONS TO OFFERORS

A. PRE-PROPOSAL CONFERENCE

A pre-proposal conference will be held on November 20, 2019, at 1:30 p.m. the Authority's Administrative Office, 550 South Main Street, Orange, California, in Conference Room 07. All prospective Offerors are encouraged to attend the pre-proposal conference.

B. EXAMINATION OF PROPOSAL DOCUMENTS

By submitting a proposal, Offeror represents that it has thoroughly examined and become familiar with the work required under this RFP and that it is capable of performing quality work to achieve the Authority's objectives.

C. ADDENDA

The Authority reserves the right to revise the RFP documents. Any Authority changes to the requirements will be made by written addendum to this RFP. Any written addenda issued pertaining to this RFP shall be incorporated into the terms and conditions of any resulting Agreement. The Authority will not be bound to any modifications to or deviations from the requirements set forth in this RFP as the result of oral instructions. Offerors shall acknowledge receipt of addenda in their proposals. Failure to acknowledge receipt of Addenda may cause the proposal to be deemed non-responsive to this RFP and be rejected.

D. AUTHORITY CONTACT

All communication and/or contacts with Authority staff regarding this RFP are to be directed to the following Contract Administrator:

Bridget Carman, Senior Contract Administrator
Contracts Administration and Materials Management
Department
600 South Main Street
P.O. Box 14184
Orange, CA 92863-1584
Phone: 714.560. 5478, Fax: 714.560.5792
Email: bcarman@octa.net

Commencing on the date of the issuance of this RFP and continuing until award of the contract or cancellation of this RFP, no proposer, subcontractor, lobbyist or agent hired by the proposer shall have any contact or communications regarding this RFP with any Authority's staff; member of the evaluation committee for this RFP; or any contractor or consultant involved with the procurement, other than the Contract Administrator named above or unless expressly permitted by this RFP. Contact includes face-to-face,

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telephone, electronic mail (e-mail) or formal written communication. Any proposer, subcontractor, lobbyist or agent hired by the proposer that engages in such prohibited communications may result in disqualification of the proposer at the sole discretion of the Authority.

E. CLARIFICATIONS

1. Examination of Documents

Should an Offeror require clarifications of this RFP, the Offeror shall notify the Authority in writing in accordance with Section D.2. below. Should it be found that the point in question is not clearly and fully set forth, the Authority will issue a written addendum clarifying the matter which will be sent to all firms registered on CAMM NET under the commodity codes specified in this RFP.

2. Submitting Requests

- a. All questions, including questions that could not be specifically answered at the pre-proposal conference must be put in writing and must be received by the Authority no later than 5:00 p.m., on December 2, 2019.
- b. Requests for clarifications, questions and comments must be clearly labeled, "Written Questions". The Authority is not responsible for failure to respond to a request that has not been labeled as such.
- c. Any of the following methods of delivering written questions are acceptable as long as the questions are received no later than the date and time specified above:
 - (1) U.S. Mail: Orange County Transportation Authority, 550 South Main Street, P.O. Box 14184, Orange, California 92863-1584.
 - (2) Personal Delivery: Contracts Administration and Materials Management Department, 600 South Main Street, Lobby Receptionist, Orange, California 92868.
 - (3) Facsimile: (714) 560-5792.
 - (4) Email: bcarman@octa.net

3. Authority Responses

Responses from the Authority will be posted on CAMM NET, no later than December 5, 2019. Offerors may download responses from CAMM NET at <https://cammnet.octa.net>, or request responses be sent

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via U.S. Mail by emailing or faxing the request to Bridget Carman, Senior Contract Administrator.

To receive email notification of Authority responses when they are posted on CAMM NET, firms and subconsultants must be registered on CAMM NET with at least one of the following commodity codes for this solicitation selected as part of the vendor's on-line registration profile:

<u>Category:</u>	<u>Commodity:</u>
Construction	Construction Management Services
	Inspection Services
Professional Consulting	Consultant Services - General
	Traffic Planning Consulting
Professional Services	Engineering - Civil
	Engineering - General
	Inspection - Testing & Analysis
	Land Surveying

Inquiries received after 5:00 p.m. on December 2, 2019, will not receive a response.

F. SUBMISSION OF PROPOSALS

1. Date and Time

Proposals must be received in the Authority's office at or before 2:00 p.m. on December 17, 2019.

Proposals received after the above-specified date and time will be returned to Offerors unopened.

2. Address

Proposals delivered in person or by a means other than the U.S. Postal Service shall be submitted to the following:

**Orange County Transportation Authority
Contracts Administration and Materials Management (CAMM)
600 South Main Street, (Lobby Receptionist)
Orange, California 92868
Attention: Bridget Carman, Senior Contract Administrator**

Or proposals delivered using the U.S. Postal Services shall be addressed as follows:

**Orange County Transportation Authority
Contracts Administration and Materials Management (CAMM)**

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**P.O. Box 14184
Orange, California 92863-1584
Attention: Bridget Carman, Senior Contract Administrator**

3. Identification of Proposals

Offeror shall submit an **original and 7 copies** of its proposal in a sealed package, addressed as shown above in F.2. The outer envelope must show the Offeror's name and address and clearly marked with RFP number. In addition to the above, Proposers shall also include one (1) electronic copy of their entire RFP submittal package in "PDF" format, on a CD, DVD, or flash drive.

4. Acceptance of Proposals

- a. The Authority reserves the right to accept or reject any and all proposals, or any item or part thereof, or to waive any informalities or irregularities in proposals.
- b. The Authority reserves the right to withdraw or cancel this RFP at any time without prior notice and the Authority makes no representations that any contract will be awarded to any Offeror responding to this RFP.
- c. The Authority reserves the right to issue a new RFP for the project.
- d. The Authority reserves the right to postpone proposal openings for its own convenience.
- e. Each proposal will be received with the understanding that acceptance by the Authority of the proposal to provide the services described herein shall constitute a contract between the Offeror and Authority which shall bind the Offeror on its part to furnish and deliver at the prices given and in accordance with conditions of said accepted proposal and specifications.
- f. The Authority reserves the right to investigate the qualifications of any Offeror, and/or require additional evidence of qualifications to perform the work.
- g. Submitted proposals are not to be copyrighted.

G. PRE-CONTRACTUAL EXPENSES

The Authority shall not, in any event, be liable for any pre-contractual expenses incurred by Offeror in the preparation of its proposal. Offeror shall not include any such expenses as part of its proposal.

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Pre-contractual expenses are defined as expenses incurred by Offeror in:

1. Preparing its proposal in response to this RFP;
2. Submitting that proposal to the Authority;
3. Negotiating with the Authority any matter related to this proposal; or
4. Any other expenses incurred by Offeror prior to date of award, if any, of the Agreement.

H. JOINT OFFERS

Where two or more firms desire to submit a single proposal in response to this RFP, they should do so on a prime-subcontractor basis rather than as a joint venture. The Authority intends to contract with a single firm and not with multiple firms doing business as a joint venture.

I. TAXES

Offerors' proposals are subject to State and Local sales taxes. However, the Authority is exempt from the payment of Federal Excise and Transportation Taxes. Offeror is responsible for payment of all taxes for any goods, services, processes and operations incidental to or involved in the contract.

J. PROTEST PROCEDURES

The Authority has on file a set of written protest procedures applicable to this solicitation that may be obtained by contacting the Contract Administrator responsible for this procurement. Any protests filed by an Offeror in connection with this RFP must be submitted in accordance with the Authority's written procedures.

K. CONTRACT TYPE

It is anticipated that the Agreement resulting from this solicitation, if awarded, will be with fully burdened labor rates and anticipated expenses for work specified in the scope of work, included in the RFP as Exhibit A.

L. PREVAILING WAGES

Certain labor categories under this project are subject to prevailing wages as identified in the State of California Labor Code commencing in Section 1770 et.seq. The proposer to whom a contract for the work is awarded by the Authority shall comply with the provision of the California Labor Code, including, without limitation, the obligation to pay the general prevailing rates of wages in the locality in which the work is to be performed in accordance with, without limitation, Sections 1773.1, 1774, 1775 and 1776 of the California Labor Code governing employment of apprentices. Copies of the prevailing

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rates of per diem wages are on file at the Authority's principal office at 550 S. Main Street, Orange, CA 92868 and are available to any interested party on request.

M. CONFLICT OF INTEREST

All Offerors responding to this RFP must avoid organizational conflicts of interest which would restrict full and open competition in this procurement. An organizational conflict of interest means that due to other activities, relationships or contracts, an Offeror is unable, or potentially unable to render impartial assistance or advice to the Authority; an Offeror's objectivity in performing the work identified in the Scope of Work is or might be otherwise impaired; or an Offeror has an unfair competitive advantage. Conflict of Interest issues must be fully disclosed in the Offeror's proposal.

All Offerors must disclose in their proposal and immediately throughout the course of the evaluation process if they have hired or retained an advocate to lobby Authority staff or the Board of Directors on their behalf.

Offerors hired to perform services for the Authority are prohibited from concurrently acting as an advocate for another firm who is competing for a contract with the Authority, either as a prime or subcontractor.

N. CODE OF CONDUCT

All Offerors agree to comply with the Authority's Code of Conduct as it relates to Third-Party contracts which is hereby referenced and by this reference is incorporated herein. All Offerors agree to include these requirements in all of its subcontracts.

O. PROHIBITION

The following prohibitions apply to this procurement:

The Offeror, including all subconsultants (at any tier) regardless of the level of service provided by said subconsultants, awarded this contract for construction management services is prohibited from submitting a bid for the construction of this Project.

The design Consultant, including all subconsultants (at any tier) regardless of the level of service provided by said subconsultants, awarded the contract to prepare the plans, specifications and estimates for the Interstate 5 Widening Project between Alicia Parkway and El Toro Road, is prohibited from participating in this solicitation for construction management support services.

The Consultant, including all subconsultants (at any tier) awarded the Agreement for the Program Management Consultant Services for the

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Authority's Highway Programs are prohibited from participating in this solicitation for construction management support services.

SECTION II: PROPOSAL CONTENT

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SECTION II. PROPOSAL CONTENT

A. PROPOSAL FORMAT AND CONTENT

1. Format

Proposals should be typed with a standard 12-point font, double-spaced and submitted on 8 1/2" x 11" size paper, using a single method of fastening. Charts and schedules may be included in 11"x17" format. Proposals should not include any unnecessarily elaborate or promotional materials. Proposals should not exceed fifty (50) pages in length, excluding any appendices, cover letters, resumes, or forms.

2. Letter of Transmittal

The Letter of Transmittal shall be addressed to Bridget Carman, Senior Contract Administrator and must, at a minimum, contain the following:

- a. Identification of Offeror that will have contractual responsibility with the Authority. Identification shall include legal name of company, corporate address, telephone and fax number, and email address. Include name, title, address, email address and telephone number of the contact person identified during period of proposal evaluation.
- b. Identification of all proposed subcontractors including legal name of company, whether the firm is a Disadvantaged Business Enterprise (DBE), contact person's name and address, phone number and fax number, and email address; relationship between Offeror and subcontractors, if applicable.
- c. Acknowledgement of receipt of all RFP addenda, if any.
- d. A statement to the effect that the proposal shall remain valid for a period of not less than 180 days from the date of submittal.
- e. Signature of a person authorized to bind Offeror to the terms of the proposal.
- f. Signed statement attesting that all information submitted with the proposal is true and correct.

3. Technical Proposal

- a. Qualifications, Related Experience and References of Offeror

This section of the proposal should establish the ability of Offeror to satisfactorily perform the required work by reasons of: experience in

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performing work of a similar nature; demonstrated competence in the services to be provided; strength and stability of the firm; staffing capability; work load; record of meeting schedules on similar projects; and supportive client references.

Offeror to:

- (1) Provide a brief profile of the firm, including the types of services offered; the year founded; form of the organization (corporation, partnership, sole proprietorship); number, size and location of offices; and number of employees.
- (2) Provide a general description of the firm's financial condition and identify any conditions (e.g., bankruptcy, pending litigation, planned office closures, impending merger) that may impede Offeror's ability to complete the project.
- (3) Describe the firm's experience in performing work of a similar nature to that solicited in this RFP, and highlight the participation in such work by the key personnel proposed for assignment to this project.
- (4) Identify subcontractors by company name, address, contact person, telephone number, email, and project function. Describe Offeror's experience working with each subcontractor.
- (5) Identify all firms hired or retained to provide lobbying or advocating services on behalf of the Offeror by company name, address, contact person, telephone number and email address. This information is required to be provided by the Offeror immediately during the evaluation process, if a lobbyist or advocate is hired or retained.
- (6) Provide as a minimum three (3) references for the projects cited as related experience, and furnish the name, title, address, telephone number, and email address of the person(s) at the client organization who is most knowledgeable about the work performed. Offeror may also supply references from other work not cited in this section as related experience.

b. Proposed Staffing and Project Organization

This section of the proposal should establish the method, which will be used by the Offeror to manage the project as well as identify key personnel assigned.

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Offeror to:

- (1) Identify key personnel proposed to perform the work in the specified tasks and include major areas of subcontract work. Include the person's name, current location, proposed position for this project, current assignment, level of commitment to that assignment, availability for this assignment and how long each person has been with the firm.
- (2) Furnish brief resumes (not more than two [2] pages each) for the proposed Project Manager and other key personnel that includes education, experience, and applicable professional credentials.
- (3) Indicate adequacy of labor resources utilizing a table projecting the resource allocation to the project by individual task.
- (4) Include a project organization chart, which clearly delineates communication/reporting relationships among the project staff.
- (5) Include a statement that key personnel will be available to the extent proposed for the duration of the project acknowledging that no person designated as "key" to the project shall be removed or replaced without the prior written concurrence of the Authority.

c. Work Plan

Offeror should provide a narrative, which addresses the Scope of Work, and shows Offeror's understanding of Authority's needs and requirements.

Offeror to:

- (1) Describe the approach to completing the tasks specified in the Scope of Work. The approach to the work plan shall be of such detail to demonstrate the Offeror's ability to accomplish the project objectives and overall schedule.
- (2) Outline sequentially the activities that would be undertaken in completing the tasks and specify who would perform them.
- (3) Furnish a project schedule for completing the tasks in terms of elapsed weeks.
- (4) Identify methods that Offeror will use to ensure quality control as well as budget and schedule control for the project.

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- (5) Identify any special issues or problems that are likely to be encountered in this project and how the Offeror would propose to address them.
- (6) Offeror is encouraged to propose enhancements or procedural or technical innovations to the Scope of Work that do not materially deviate from the objectives or required content of the project.

d. Exceptions/Deviations

State any technical and/or contractual exceptions and/or deviations from the requirements of this RFP, including the Authority's technical requirements and contractual terms and conditions set forth in the Scope of Work (Exhibit A) and Proposed Agreement (Exhibit B), using the form entitled "Proposal Exceptions and/or Deviations" included in this RFP. This Proposal Exceptions and/or Deviations form must be included in the original proposal submitted by the Offeror. If no technical or contractual exceptions and/or deviations are submitted as part of the original proposal, Offerors are deemed to have accepted the Authority's technical requirements and contractual terms and conditions set forth in the Scope of Work (Exhibit A) and Proposed Agreement (Exhibit B). Offerors will not be allowed to submit the Proposal Exceptions and/or Deviations form or any technical and/or contractual exceptions after the proposal submittal date identified in the RFP. Exceptions and/or deviations submitted after the proposal submittal date will not be reviewed by Authority.

All exceptions and/or deviations will be reviewed by the Authority and will be assigned a "pass" or "fail" status. Exceptions and deviations that "pass" do not mean that the Authority has accepted the change but that it is a potential negotiable issue. Exceptions and deviations that receive a "fail" status means that the requested change is not something that the Authority would consider a potential negotiable issue. Offerors that receive a "fail" status on their exceptions and/or deviations will be notified by the Authority and will be allowed to retract the exception and/or deviation and continue in the evaluation process. Any exceptions and/or deviation that receive a "fail" status and the Offeror cannot or does not retract the requested change may result in the firm being eliminated from further evaluation.

4. Cost and Price Proposal

Offerors are asked to submit only the technical qualifications as requested in the RFP. No cost proposal or work hours are to be included in this phase of the RFP process. Upon completion of the initial evaluations and

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interviews, if conducted, the highest ranked Offeror will be asked to submit a detailed cost proposal and negotiations will commence based on both the cost and technical proposals.

5. Appendices

Information considered by Offeror to be pertinent to this project and which has not been specifically solicited in any of the aforementioned sections may be placed in a separate appendix section. Offerors are cautioned, however, that this does not constitute an invitation to submit large amounts of extraneous materials. Appendices should be relevant and brief.

B. FORMS

1. Campaign Contribution Disclosure Form

In conformance with the statutory requirements of the State of California Government Code Section 84308, part of the Political Reform Act and Title 2, California Code of Regulations 18438 through 18438.8, regarding campaign contributions to members of appointed Board of Directors, Offeror is required to complete and sign the Campaign Contribution Disclosure Form provided in this RFP and submit as part of the proposal.

This form **must** be completed regardless of whether a campaign contribution has been made or not and regardless of the amount of the contribution.

The prime contractor, subconsultants, lobbyists and agents are required to report all campaign contributions made from the proposal submittal date up to and until the Board of Directors makes a selection.

Offeror is required to submit only **one** copy of the completed form(s) as part of its proposal and it must be included in only the **original** proposal.

2. Status of Past and Present Contracts Form

Offeror shall complete and sign the form entitled "Status of Past and Present Contracts" provided in this RFP and submit as part of its proposal. Offeror shall identify the status of past and present contracts where the firm has either provided services as a prime vendor or a subcontractor during the past five (5) years in which the contract has been the subject of or may be involved in litigation with the contracting authority. This includes, but is not limited to, claims, settlement agreements, arbitrations, administrative proceedings, and investigations arising out of the contract. Offeror shall have an ongoing obligation to update the Authority with any changes to the identified contracts and any new litigation, claims, settlement agreements,

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arbitrations, administrative proceedings, or investigations that arise subsequent to the submission of Offeror's proposal.

A separate form must be completed for each identified contract. Each form must be signed by the Offeror confirming that the information provided is true and accurate. Offeror is required to submit one copy of the completed form(s) as part of its proposals and it should be included in only the original proposal.

3. Proposal Exceptions and/or Deviations Form

Offerors shall complete the form entitled "Proposal Exceptions and/or Deviations" provided in this RFP and submit it as part of the original proposal. For each exception and/or deviation, a new form should be used, identifying the exception and/or deviation and the rationale for requesting the change. Exceptions and/or deviations submitted after the proposal submittal date will not be reviewed nor considered by the Authority.

SECTION III: EVALUATION AND AWARD

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SECTION III. EVALUATION AND AWARD

A. EVALUATION CRITERIA

The Authority will evaluate the offers received based on the following criteria:

- 1. Qualifications of the Firm 25%**

Technical experience in performing work of a closely similar nature; strength and stability of the firm; strength, stability, experience and technical competence of subcontractors; assessment by client references.
- 2. Staffing and Project Organization 40%**

Qualifications of project staff, particularly key personnel and especially the Project Manager; key personnel's level of involvement in performing related work cited in "Qualifications of the Firm" section; logic of project organization; adequacy of labor commitment; concurrence in the restrictions on changes in key personnel.
- 3. Work Plan 35%**

Depth of Offeror's understanding of Authority's requirements and overall quality of work plan; logic, clarity and specificity of work plan; appropriateness of resource allocation among the tasks; reasonableness of proposed schedule; utility of suggested technical or procedural innovations.

B. EVALUATION PROCEDURE

An evaluation committee will be appointed to review all proposals received for this RFP. The committee is comprised of Authority staff and may include outside personnel. The committee members will evaluate the written proposals using criteria identified in Section III A. A list of top ranked proposals, firms within a competitive range, will be developed based upon the totals of each committee members' score for each proposal.

During the evaluation period, the Authority may interview some or all of the proposing firms. The Authority has established February 5, 2020, as the date to conduct interviews. All prospective Offerors are asked to keep this date available. No other interview dates will be provided, therefore, if an Offeror is unable to attend the interview on this date, its proposal may be eliminated from further discussion. The interview may consist of a short presentation by the Offeror after which the evaluation committee will ask questions related to the firm's proposal and qualifications.

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At the conclusion of the evaluation process, the evaluation committee will rank proposals and will recommend to the appropriate Regional Planning and Highways Committee, the Offeror(s) with the highest ranking. The Board Committee (s) will review the evaluation committee's recommendation and forward its recommendation to the Board of Directors for final action.

C. AWARD

The Evaluation Committee will select a firm to recommend to the Authority's Board of Directors. At the same time the recommended Offeror will be asked to submit a sealed price proposal. In conjunction with its action of selecting a firm, the Authority's Board of Directors will authorize staff to negotiate a contract price and other terms and conditions. The Board will also grant staff the ability to terminate negotiations with the selected Offeror if no satisfactory agreement can be reached and to begin negotiations with the next highest-ranked Offeror until a satisfactory agreement has been achieved.

The Authority reserves the right to award its total requirements to one Offeror or to apportion those requirements among several Offerors as the Authority may deem to be in its best interest. In addition, negotiations may or may not be conducted with Offerors; therefore, the proposal submitted should contain Offeror's most favorable terms and conditions, since the selection and award may be made without discussion with any Offeror.

The selected Offeror will be required to submit to an audit of its financial records to confirm its financial stability and the Offeror's accounting system.

D. THE SELECTED OFFEROR WILL BE REQUIRED TO SUBMIT TO THE AUTHORITY'S ACCOUNTING DEPARTMENT A CURRENT IRS W-9 FORM PRIOR TO COMMENCING WORK.

E. NOTIFICATION OF AWARD AND DEBRIEFING

Offerors who submit a proposal in response to this RFP shall be notified via CAMM NET of the contract award. Such notification shall be made within three (3) business days of the date the contract is awarded.

Offerors who were not awarded the contract may obtain a debriefing concerning the strengths and weaknesses of their proposal. Unsuccessful Offerors, who wish to be debriefed, must request the debriefing in writing or electronic mail and the Authority must receive it within three (3) business days of notification of the contract award.

EXHIBIT A: SCOPE OF WORK

**CONSTRUCTION MANAGEMENT
SUPPORT SERVICES**

FOR THE

INTERSTATE 5 (I-5) WIDENING PROJECT

BETWEEN

Alicia Parkway and El Toro Road

(Segment 3)

SCOPE OF WORK

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PROJECT DESCRIPTION

1.1 Introduction

The Orange County Transportation Authority (OCTA) and California Department of Transportation (Caltrans) require inspection and administrative support staff for construction of the Interstate 5 (I-5) Widening, from Alicia Parkway to El Toro Road (Segment 3), Project.

1.2 Statement of Intent

CONSULTANT shall provide qualified personnel to perform the function of construction inspection (including roadway and structures), CPM scheduler, claims support, Office Engineer, materials testing, plant inspection, surveying, and electrical inspection. These services shall include inspection services, field/office contract administration, and other services as determined necessary by the OCTA Project Manager. Caltrans will lead the construction management and administration of the construction contract and will provide the Resident Engineer (RE), Principal Assistant Resident Engineer, Structural Representative, additional inspection services as needed and other functional support services necessary to administer the construction contract. CONSULTANT inspection personnel shall be assigned full time or part time as needed and shall provide assistance to, and work under the direction of the Caltrans RE. CONSULTANT shall also provide a fully equipped field office for all staff assigned to the project including Caltrans, OCTA, and CONSULTANT'S own staff.

1.3 Project Description

1.3 -1 Background

Caltrans District 12, in cooperation with OCTA, proposes the construction of Interstate I-5 Widening, Alicia Parkway and El Toro Road, Project. The proposed project is located in Orange County on I-5 and traverses through the Cities of Laguna Hills and Lake Forest. The proposed project limits cover a distance of a 1.8 mile corridor. The Environmental Document and Project Report were approved on May 6, 2014.

The final design phase for this project is scheduled to be complete in early-2020 and contract documents are being developed for the construction-bidding phase to occur in mid-2020. The OCTA is expecting funding for the project from Surface Transportation Block Grant (STBG) funds and Measure M2 funds. As the implementing agency OCTA contracted with TRC Solutions corporation to prepare the final design Plans, Specifications, and Estimates (PS&E) for this project. Caltrans provided oversight up to the completion of the PS&E phase. Caltrans will be the lead agency during the construction phase and will administer the contract for the construction phase.

1.3 -2 Location and Limits

The I-5 Widening Project is located in the cities of Laguna Hills and Lake Forest. The total length of this project is 1.8 miles.

1.3 -3 General Project Description

The I-5 Widening Project, between Alicia Parkway and El Toro Road will add a second HOV lane in each direction on the freeway, reconstruct the median barrier and replace the Los Alisos overcrossing. The project construction will be in accordance with the Caltrans approved PS&E documents for project EA# 12-0K0234.

1.4 Project Delivery

The design consultant, who prepared the PS&E, TRC Solutions will provide construction support services during construction.

Caltrans will advertise, award, and administer the construction contract. Caltrans will provide the Resident Engineer, Principal Assistant RE, Structures Representative and other support as outlined in Section 1.2 “Statement of Intent” above. CONSULTANT shall be responsible for coordinating with Caltrans, design team and other stakeholders as necessary.

Caltrans is the lead agency for the right-of-way certification and utility relocation on the project. All utility and right of way issues during construction will be the responsibility of Caltrans as defined in the cooperative agreement between Caltrans and OCTA.

1.5 Project Schedule and Cost

Shown below are the Project Ready-To-List (RTL), construction award, construction completion date, and estimated cost for construction:

Ready-To-List	February 2020
Construction Award	September 2020
Construction Completion	September 2023
Construction Cost:	\$116,000,000

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GENERAL CONDITIONS AND REQUIREMENTS

2.1 Project General Conditions and Requirements

- 2.1-1 The number of project personnel and duration of the assignments will vary depending on the needs of the project. The final number of personnel and exact duration of assignment will be determined by OCTA and Caltrans. CONSULTANT personnel shall be available within two (2) weeks from written notification by OCTA and up to a maximum of 6 months after Caltrans acceptance of the construction project.
- 2.1-2 CONSULTANT shall assist in verifying compliance with the labor standards provisions of the project and the related wage determination decisions of the Secretary of Labor.
- 2.1-3 CONSULTANT shall assist Caltrans in verifying compliance with the safety and accident prevention provisions of the project. Caltrans shall retain jurisdictional control for traffic control but shall receive assistance from CONSULTANT forces in reviewing and monitoring.
- 2.1-4 CONSULTANT shall assist Caltrans in verifying compliance with the equal employment opportunity (EEOC) provisions of the project.
- 2.1-5 All services required hereunder shall be performed in accordance with latest Caltrans regulations, policies, procedures, manuals, and standards. Documents shall be made available upon request.
- 2.1-6 CONSULTANT shall furnish a Project Manager to coordinate the CONSULTANT's operations with Caltrans and OCTA. The Project Manager shall be responsible for all matters related to the CONSULTANT's personnel and operations.
- 2.1-7 CONSULTANT's Project Manager shall be accessible to Caltrans and OCTA at all times during Caltrans normal working hours.
- 2.1-8 CONSULTANT shall provide construction management support services to control quality and manage work. CONSULTANT shall perform the following administrative activities:
 - a. Prepare, circulate, and file correspondence and memos as appropriate.
 - b. At the end of each month, the CONSULTANT shall report the progress of the work. Progress shall be based on actual work accomplished such as estimated progress toward completion. The progress report shall include a staff labor report. Progress payments will be based upon actual time and expenses incurred.

- c. The CONSULTANT shall submit 1 copy of a monthly Progress Report to the OCTA and Caltrans Project Manager consisting of a written narrative and an updated progress and expenditure curve. This report shall be received no later than the 10th calendar day of the month. The narrative portion of the monthly Progress Report shall describe overall progress of the work, discuss significant problems and present proposed corrective action and show the status of major changes.
- 2.1-9 To ensure an understanding of contract objectives, meetings between Caltrans, OCTA, and the CONSULTANT will be held as often as deemed necessary. All work objectives, the work schedules, the terms of the contract, and any other related issues will be discussed and any problems will be resolved.
- 2.1-10 OCTA will designate a Project Manager to administer the CONSULTANT Agreement and provide general direction to the CONSULTANT.
- 2.1-11 Resumes of personnel must be submitted to OCTA for review and approval prior to assignment to a project. Caltrans, OCTA and CONSULTANT will have the responsibility of determining the quality and quantity of work performed by the CONSULTANT's personnel. If, at any time, the level of performance is below expectations, OCTA shall have the right to request removal of any project personnel. OCTA may request another person to be assigned as needed.
- 2.1-12 If a CONSULTANT's employee is on a leave of absence, the Project Manager shall provide an equally qualified replacement employee until the assigned employee returns to work. The replacement employee shall meet all the requirements of a permanently assigned employee.
- 2.1-13 The typical workday includes all hours worked by the Caltrans' construction contractor, normally 40 hours per week. If ordered by the RE, overtime for the CONSULTANT's employees may be required. The construction contractor's operations may be restricted to specific hours during the week, which shall become the normal workday for CONSULTANT's personnel. On days when the construction contractor, such as rainy or unsuitable weather days, does not perform work CONSULTANT services shall not be provided unless authorized by the RE. The RE will provide 8 hours advance notice if CONSULTANT services are not required.
- 2.1-14 All personnel shall be knowledgeable of, and comply with, all applicable local, Caltrans, and federal regulations; cooperate and consult with Caltrans and OCTA officials during the course of the contract; and perform other duties as may be required to assure that the construction is being performed in accordance with the project plans and specifications.

- 2.1-15 CONSULTANT shall keep detailed records and document the work as directed by the Caltrans RE.
- 2.1-16 Caltrans will furnish a representative to perform the usual functions of a RE. Caltrans Department of Structures will provide the Senior Bridge Representative.
- 2.1-17 Caltrans or OCTA will provide CONSULTANT with the following:
 - a. Caltrans construction forms and other policies and procedures to be followed by CONSULTANT's personnel in the performance of the work.
 - b. A set of approved project plans and special provisions for the project.

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STATEMENT OF SERVICES

3.0 Construction Inspection Services

3.1 General

CONSULTANT will be required to provide:

- a. Inspection and administration personnel
- b. A fully equipped field office
- c. Miscellaneous equipment, vehicles, and tools.
- d. Materials testing lab facility

The number of CONSULTANT personnel shall be dependent upon the actual work scope. The anticipated category and approximate annual quantity of personnel required is (based on a construction duration of 420 working days and 1,758 hours/year):

	<u>Personnel</u>	<u>Total Hours</u>
Project Manager	0.25	1,318
Senior Inspector (Roadway)	1.0	5,274
Inspector (Roadway)	1.0	5,274
Inspector (Structural)	1.4	7,384
Inspector (Electrical)	0.85	4,483
Office Engineer	1.0	5,274
CPM Scheduler	0.25	1,318
Claims Support	0.25	1,318
Field Materials Testing	1.25	6,592
Surveying	<u>1.25</u>	<u>6,592</u>
Total	7.35	44,827

3.2 Construction Inspection and Administrative Support Services Requirements

Inspection work shall be performed when conditions (such as weather, traffic, and other factors) prevent a safe, efficient operation or as directed by Caltrans or AUTHORITY.

Assignments to be performed by CONSULTANT personnel may include, but are not limited to, the following:

- 3.2-1 Perform and assist in performing the duties of construction inspection and engineering including: paving and subgrade inspection, structures inspection, electrical inspection, drainage, signing and striping inspection, quantity calculations, checking grade and alignment, construction traffic control, and ensuring compliance with project plans and specifications.
- 3.2-2 Analyze the project plans and specifications for possible errors and deficiencies and report such findings to the RE. Identify actual and potential problems associated with the construction project and recommend sound engineering solutions to the RE. If the RE determines that changes are necessary, CONSULTANT's personnel shall assist in implementing and processing of "Change Orders" in accordance with Caltrans' Standard Specifications.
- 3.2-3 Adhere to all safety and health code and regulations and enforce applicable contract provisions for the protection of the public and project personnel. Prepare Assistant RE daily diaries in accordance with the Caltrans construction manual.
- 3.2-4 Prepare calculations, records, reports, and correspondence related to project activities.
- 3.2-5 Consultant to assist in the preparation of As-Built plans.
- 3.2-6 Assist in preparing claims reports and be available for any claims settlements meetings.
- 3.2-7 Perform and assist in review of contractor's Critical Path Method (CPM) schedule and construction staging plans.
- 3.2-8 Assist in performing Storm Water Pollution Prevention (SWPP) duties.

3.3 Inspection Standards

Construction inspection and contract administration shall be in accordance with:

- 3.3-1 The Manual of Traffic Controls for Construction and Maintenance Work Zones.
- 3.3-2 The Caltrans Standard Specifications and Standard Plans.
- 3.3-3 The project plans and special provisions.
- 3.3-4 The Caltrans Construction Manual and other applicable Caltrans manuals.
- 3.3-5 Caltrans and OCTA shall decide all questions which may arise as to the quality or acceptability of deliverables furnished and work performed for this contract.

3.4 Construction Surveying Services

Surveying work shall not be performed when conditions (such as weather, traffic, and other factors) prevent a safe, efficient operation or as directed by the AUTHORITY.

Tasks and assignments to be performed by CONSULTANT personnel will generally include, but are not limited to, the following:

3.4-1 Construction Contract Documents. CONSULTANT shall perform all surveying that is required to be performed the AUTHORITY as described in the Construction Contract between the AUTHORITY and the Contractor. Other surveying and engineering calculations shall be performed as needed to administer and manage the PROJECT.

3.4-2 Survey Calculations and Adjustments. Survey calculations and adjustments shall be performed with established and computed coordinates based on the California Coordinate System. CrossSection Data Collection shall be performed by conventional and terrain line interpolation survey methods. Survey Data Formatting will include formatting topography, cross-section, and other survey data into computerized formats compatible with the Caltrans' computerized survey and design systems. Preparing and maintaining survey documents will include compiling and survey field notes, maps, drawing, and other survey documents. Monitoring for settlement shall be performed if required. GPS equipment shall be made available if required by AUTHORITY.

3.4-3 Existing Right of Way and Easements. CONSULTANT shall establish existing right of way and easements from Caltrans and other AUTHORITY's record information and existing monumentation. Right of Way related monumentation shall

be renewed and restored in accordance with Section 10.4 of the Surveys Manual, and the Land Surveyor's Act. Corner records and records of surveys shall be prepared and filed in accordance with Chapter 10 of the Caltrans Surveys Manual, and the Land Surveyors' Act. Perpetuating Existing Monumentation – Includes restoring, renewing, referencing, and resetting existing boundary-related monumentation, staking areas where construction disturbs the existing right of way and preparing and filing required maps and records.

3.4-4 New Right of Way and Easements. CONSULTANT shall establish new right of way and easements from plans, right of way maps, utility drawings, Caltrans and other AUTHORITY's record information and existing monumentation. Right of Way Surveys - Includes research, locating and monumenting right of way and easement lines, staking right of way and easement fences and preparing and filing required maps and records. Final Monumentation - Includes the setting of centerline points of control upon completion of construction. Special Design-Data Surveys - Including drainage, utility, and those required for special field studies.

3.4-5 Control Survey. Horizontal and vertical controls, including project control surveys and aerial mapping control surveys. Also includes the restoring, renewing, referencing, relocating, and resetting existing control monumentation.

3.4-6 Topographic Surveys. By ground survey methods only.

3.4-7 As-built Drawing Survey Support. Provide electronic record information to support the development of project as-built drawings.

3.4-8 Survey Monument Markings. Monuments established by the CONSULTANT shall be marked by CONSULTANT with furnished disks, plugs, or tags acceptable to AUTHORITY and the municipality having jurisdiction over the improvements. In addition, the CONSULTANT shall identify CONSULTANT-established monuments by tagging or stamping the monuments with the license or registration number of the CONSULTANT's surveyor who is in "reasonable charge" of the work.

3.4-9 All surveys shall be performed in accordance with the current Caltrans Survey Manual, its revisions and the District 12 Standard Staking Procedures Manual. Work not covered by the Manual shall be performed in accordance with the directions of the AUTHORITY and accepted professional surveying standards.

3.4-10 Surveys performed by CONSULTANT shall conform to the requirements of the Land Surveyors' Act. In accordance with the Act, "responsible charge" for the work shall reside with a Licensed Land Surveyor or a pre-January 1, 1982, Registered Civil Engineer, in the state of California.

3.4-11 Unless otherwise specified in the survey request, control surveys shall conform to second-order (modified) accuracy standards as specified in the Caltrans Surveys Manual.

3.4-12 Additional standards for specific surveying work might be included in a special survey request by the AUTHORITY. Such standards supplement the standards specified herein. If such additional standards conflict with the standards specified herein, the survey request standard shall govern over the standards herein.

3.5 Construction Management, Inspection and Survey Deliverables

CONSULTANT shall create and maintain the following documentation and provide the following deliverables:

3.5-1 Daily reports and extra-work diaries.

3.5-2 Monthly progress reports prepared by the CONSULTANT's project manager.

3.5-3 Construction contract progress payment and quantity documents delivered to the RE the morning of the day specified in the contract payment schedule.

3.5-4 Final payment quantity documents delivered to the RE by no later than 5 working days after acceptance by Caltrans of the completed construction project.

3.5-5 Field measurements, field, and laboratory test data and other documents as required by Caltrans procedures.

3.5-6 All reports, calculations, and other applicable documents prepared for the project.

3.5-7 Survey points, lines, and monuments shall be established, marked identified and referenced, as required by the survey request and the requirements herein.

3.5-8 Survey notes, drawings, calculations and other survey documents and information shall be completed as required herein.

3.5-9 All original survey documents resulting from this contract (including original field notes, adjustment calculations, final results, and appropriate intermediate documents) shall be delivered to AUTHORITY and shall become the property of AUTHORITY. A copy of all survey documents furnished to AUTHORITY shall be retained by CONSULTANT for future reference.

3.5-10 When a survey is performed with a total station survey system, the original field notes shall be a hard copy listing, in a readable format, of the data (observations) as originally collected and submitted by the survey party. The party chief shall sign the listing or if the chief is not licensed, the person in "responsible charge" of the survey shall sign.

3.5-11 Survey deliverables to AUTHORITY shall follow the format specified below:

a) Horizontal Control - Alpha/numeric hard copy point listing with adjusted California Coordinate System northing and eastings and appropriate description.

b) Vertical Control - Alpha/numeric hard copy benchmark listing with adjusted elevations compatible with the design datum.

c) Topography - Alpha/numeric hard copy listing, hard copy drawing, and CADD digital drawing. The CADD drawing shall be provided on current media that will be compatible with Caltrans' computer systems. See Attachment A. Topographic symbology shall conform to the current Caltrans Drafting and Plan Manual.

d) Cross-Section Data - The data collection method used to collect cross-section data and the coding (feature description) of terrain data for cross-sections shall conform to the survey request requirements. Deliverables shall depend on the data collection method as follows:

e) Conventional Cross-Sections - For each cross-section: and alpha/numeric listing, a hard copy drawing, and a computerized formatted file, which is compatible with Caltrans' computer systems. Computerized formatted cross-sections shall be provided on magnetic tapes or disks compatible with Caltrans' computer systems.

f) Terrain Line Interpolation Cross-Section Data for each Terrain Line Interpolation survey: an alpha/numeric listing, a hard copy plan view drawing of the terrain lines, and a computerized input file. The computerized input file shall be provided on magnetic tape or disks compatible with Caltrans' computer systems and shall be in a format compatible with the Caltrans Terrain Line Interpolation computer program.

g) Data Collector Data - If specified in the Survey Request, the raw data from the data collector shall be provided in a format conforming to the Survey Request requirements.

3.5-12 All correspondence, records, and other PROJECT documents.

3.6 Field Office Requirements

CONSULTANT shall provide a fully equipped and operational field office. It is not anticipated right-of-way will be provided to provide temporary trailers as the field office.

3.6-1 The field office shall house all construction personnel assigned to the project. The construction staff includes: Caltrans personnel, CONSULTANT inspection personnel, and one office for the construction survey crew.

3.6-2 The field office shall have one desk and chair for every person assigned to the project, a desktop computer for CONSULTANT

personnel only, internet access (T1 line), phones, fax machine, copy machine, full sized plotter, and conference table and chairs, and other normal office furniture, equipment, and utilities. CONSULTANT shall dispose of office furniture and equipment at project completion.

- 3.6-3 The field office shall also provide a common area (kitchen), bathrooms, field laboratory storage area, miscellaneous equipment storage area, and a large conference area for project meetings.

3.7 Miscellaneous Equipment, Inspection Vehicles, and Tools

CONSULTANT shall provide all necessary instruments, tools, and safety equipment required for their personnel to perform their work accurately, efficiently, and safely.

- 3.7-1 CONSULTANT shall provide one inspection vehicle (truck) for each inspector. Vehicles without side windows shall not be used. Caltrans-furnished magnetic logos shall be affixed to each side of the vehicle at all times it is used for the work under this contract.
- 3.7-2 CONSULTANT shall provide other field materials such as testing equipment and safety equipment, as needed, for use by their staff on the project.
- 3.7-3 CONSULTANT shall provide each inspector with a cellular phone.

3.8 Survey Services Equipment and Supplies

3.8-1 Office Equipment and Supplies- CONSULTANT shall have adequate office equipment and supplies to complete the required surveying work. Such equipment and supplies shall include, but not be limited to:

- 1) Drafting equipment.
- 2) Computers and calculators.
- 3) Data processing systems, including software, for:
 - Reducing survey data collected with conventional and total station survey systems.
 - Performing network adjustments for vertical and horizontal control surveys.
 - Formatting survey data to be compatible with the Caltrans' computerized survey and data system.

3.8-2 Field Equipment and Supplies- CONSULTANT shall have adequate field equipment and supplies to complete the required surveying work. The equipment and supplies for each survey party shall include, but not be limited to, the following:

- Survey vehicles suitable for the work to be performed and terrain conditions of the project site. Vehicles shall be fully equipped with all necessary tools, instruments, and supplies required for the efficient operation of a survey party. Vehicles shall have an overhead flashing yellow light.
- Electronic calculator.
- Hand tools and supplies as appropriate for the requested survey work.
- Sufficient number of traffic cones 28 inches, minimum, in height.
- Traffic control devices (including signs, sign bases, flags, and hand held signs) as required to perform the requested survey work.
- Leveling instruments and equipment, including 1) self-leveling level; precision: standard deviation in one mile of double-run leveling 0.005 feet or less, and 2) suitable leveling rods for the work to be performed.
- Distance measuring instruments and equipment, including 1) electronic distance measurer; precision: standard deviation 3 millimeters plus 3 ppm, or less; range: at least one mile under average atmospheric conditions, 2) prisms, sufficient to perform the required work, 3) tapes; steel, cloth, 4) angle measuring instruments and equipment: Theodolite for non-control surveys; precision: direct circle reading to three seconds, or equivalent, horizontal and vertical, and 5) targets as required to perform the required work.
- When required for efficient survey operations, total station survey systems measurer, and electronic data collector shall be provided. The angle measuring instruments and distance measurer shall conform to requirements above.
- Radio communication shall be required if requested by AUTHORITY.

3.8-3 Survey Personnel Safety. In addition to the requirements specified elsewhere in this contract, the following also shall apply. CONSULTANT shall conform to the safety provisions of the Caltrans Construction and Survey Manuals. CONSULTANT's personnel shall wear white hard hats, orange vests and rubber soled shoes at all times while working in the field. CONSULTANT shall provide appropriate safety training for all CONSULTANT's personnel required to work on and near the PROJECT site. All safety equipment and personnel protective devices and gear shall be provided by the CONSULTANT.

3.9 Personnel Qualifications and Responsibilities

The preferred minimum qualifications for CONSULTANT personnel assigned to this project are as follows:

3.9-1 Project Manager

The preferred minimum qualifications for the position of Project Manager are:

- a) Minimum of 10 years project management experience on similar highway construction/bridge construction projects, or other relative equivalent experience as determined by OCTA.
- b) Thorough knowledge of Caltrans construction practices, and the ability to read and interpret plans and specifications.
- c) Ability to make effective decisions concerning field problems and work in progress.
- d) Licensed Civil Engineer in the State of California.
- e) Ability to use typical computer programs such as Microsoft Word, Outlook, and Excel.

Under the direction of OCTA and Caltrans, the Project Manager will assume the following functional responsibilities:

- a) Review, monitor, train, and provide general direction for CONSULTANT's personnel.
- b) Assign personnel to projects on an as-needed basis.
- c) Administer personnel leave subject to approval of the Caltrans' RE.
- d) Prepare monthly reports for delivery to the OCTA Project Manager.
- e) Maintain continuous communication with the Caltrans' Resident Engineer, OCTA Project Manager, CONSULTANT field personnel, and with public outreach personnel.
- f) Coordinate/communicate with the OCTA Project manager, staffing needs, and ensure project support costs are within budget.
- g) Advise the OCTA Project Manager of major project issues and contract status.
- h) Provide expert advice when called upon.

3.9-2 Senior Roadway Inspector

Minimum qualification is at least 5 years working as a Resident Engineer on Caltrans Highway improvement projects of similar size and complexity.

- a) Act as the lead inspector and provide guidance to other CONSULTANT inspectors and staff in carrying out their day to day duties.
- b) Provide consultation on complex contract interpretation issues as called upon by the RE. Act as an advisor to the RE.
- c) Thorough knowledge of Caltrans construction practices.

- d) Ability to make effective decisions concerning field problems and work in progress.
- e) Licensed Civil Engineer in the State of California.
- f) Maintain continuous communication with the Caltrans RE, lead staff, OCTA Project Manager, field staff, public outreach personnel, and with construction administration staff.
- g) Provide expert advice when called upon.

3.9-3 Roadway Inspectors

Preferred minimum qualification for the position of roadway inspectors will be as follows:

- a) Minimum of 3 years of relevant construction inspection and management experience on similar highway construction projects.
- b) Knowledge of construction practices, physical characteristics and properties of highway construction inspection, and the approved methods and equipment used in performing physical inspections.
- c) Ability to work independently and perform inspection duties in the construction field office.
- d) Ability to effectively make minor decision concerning work in progress and solving field and office problems.
- e) Ability to use typical computer programs such as Microsoft Word, Outlook, and Excel.
- f) Ability and experience with review of Critical Path Method (CPM) baseline schedule including updates and revisions. Ability to run Claim Digger or other available software to detect changes to the CPM schedule for Claims analysis purposes.
- g) Assist in the response to potential claims filed by the contractor and preparation of documentation for contract claims and claim reports.

Under the direction of the Caltrans Senior RE the Roadway Inspector(s) will assume the following functional responsibilities:

- a) Perform inspections to achieve compliance with contract plans and specifications on all phases of Highway construction, such as paving, structures, grading, drainage, utility relocation, electrical installation, sign installation, and landscaping items.
- b) Perform quantity calculations for progress pay estimates and keep project records.
- c) Perform design for minor changes and make design estimates for contract change orders.
- d) Perform analytical calculations for items such as basic earthwork and grading, special staking procedures and redesigning facilities to fit existing field conditions.

- e) Perform analytical calculation for items such as basic earthwork and grading, special staking procedures and redesigning facilities to fit existing field conditions.
- f) Maintain continuous communication with the Caltrans' RE, OCTA Project Manager, Principal Assistant (Resident) Engineer, field personnel, public outreach personnel, and with construction administration staff.

3.9-4 Structures Inspectors

Preferred minimum qualifications for the position of structures inspectors will be as follows:

- a) Minimum of 3 years of relevant construction inspection and management experience on similar construction projects involving bridges, retaining walls, sound walls, barriers, drainage structures, sign structures, and other structures.
- b) Knowledge of construction practices, physical characteristics and properties of structures construction inspection, and the approved methods and equipment used in performing physical inspection.
- c) Ability to perform calculations such as grade, deflection, stress, alignment. Ability to perform calculations to check the various elements of structures (i.e. beams, columns, etc.) as used in contractor's temporary works.
- d) Assist in reviewing false work plans, shoring plans, demolition plans, concrete mix designs and other submittals provided by the contractors as required by the contract documents.
- e) Ability to work independently and perform inspection duties in the construction field office.
- f) Ability to effectively make minor decisions concerning work in progress and solving field and office problems.
- g) Ability to use typical computer programs such as Microsoft Word, Outlook, Access, and Excel.

Under the direction of the Caltrans Senior Structures Representative, the Structures Inspectors will assume the following functional responsibilities:

- a) In a field setting perform soil calculations, establish surveying control line and grade as required by established Office of Structures Construction (OSC) Practices & Procedures, ensure that the contractors materials are in compliance and as required by the contract documents, verify field dimensions. Must be present for concrete pours and assure that the concrete is cured properly. Oversee removal and placement of existing materials. Confer with contractors regarding compliance with plans, specifications, quality of work, construction activity, and CAL-OSHA regulations.
- b) Assist in identifying the need for Contract Change Orders (CCOs), preparation of CCOs, contract estimates and other documents, such as

responses to contractor's claims, and reports and letters involved in the construction of engineering projects.

- c) Perform quantity calculations for progress pay estimates and keep project records.
- d) Maintain continuous communication with the Caltrans' RE, OCTA Project Manager, Principal Assistant (Resident) Engineer, field personnel, public outreach personnel, and with construction administration staff.

3.9-5 Electrical Inspector

The preferred minimum qualifications for the position of Electrical Inspector(s) are as follows:

- a) Minimum of 3 years of relevant electrical inspection and management experience on a similar highway construction project is required.
- b) Knowledge of intelligent transportation system (ITS) elements such as ramp metering systems, CCTV systems, electrical systems, highway advisory radio (HAR) systems, communication Systems (wireless, hardwire & fiber-optics), changeable message signs, vehicle detection systems, traffic signal systems, transit signal priority, emergency vehicle priority, etc.
- c) Knowledge of construction practices, physical characteristics and properties of roadway, structures, drainage and utility systems construction materials, and the approved methods and equipment used in making physical tests of construction materials.
- d) Ability to work independently and perform duties in the construction field office.
- e) Ability to effectively make minor decisions concerning work in progress and solving field and office problems.
- f) Proficient in the use of computer application programs Word and Excel.

Under the direction of the Caltrans Senior RE, the Electrical Inspector will assume the following functional responsibilities:

- g) Perform quality assurance inspections to achieve compliance with contract plans and specifications on all electrical installation.
- h) Perform quantity calculations and measurement for progress pay estimates and keep daily project records.
- i) Perform calculations and measurement of electrical components.
- j) Perform design for minor changes and make design estimates for contract change orders.
- k) Maintain continuous communication with the Caltrans' RE, OCTA Project Manager, Principal Assistant Resident Engineer, field personnel, public outreach personnel, and with construction administration staff.

3.9-6 Office Engineer

- a. Minimum of 3 years of relevant construction inspection and/or office engineering experience.
- b. Ability to work independently and perform typical construction field office duties.
- c. Thorough knowledge of Caltrans construction practices, and the ability to read and interpret plans and specifications.
- d. Thorough knowledge of the construction manual regarding estimates, extra work bidding, change orders, and other administrative duties.
- e. Maintain continuous communication with the Caltrans' RE, OCTA Project Manager, and Caltrans District Construction Administration.
- f. Ability to use typical computer programs such as Microsoft Word, Excel, Outlook, Scheduling software, and Expedition or equivalent.

Under direction of Caltrans' Senior RE, the office engineer will assume the following functional responsibilities:

- a. Perform quality calculations for progress pay estimates and keep for project records.
- b. Draft Change Orders and process for approval.
- c. Maintain continuous communications with the Caltrans' RE, OCTA Project Manager, construction administration staff, and the District Construction office.

3.9-6 Scheduling Support Specialist

Construction scheduling support CONSULTANT shall be knowledgeable and experienced in the following:

- a) Using Primavera Project Management Software (P6/P7), Primavera Project Planner (P3), SureTrack, Microsoft Project and Microsoft Office (Word, Excel, Powerpoint etc.) software.
- b) Generating, reviewing, and analyzing Critical Path Method (CPM) schedules with respect to time, resource, and cost. The CONSULTANT shall possess the experience and skills to track Contractor's submittals and CALTRANS submittals reviews, and in conjunction with schedule analysis, determine credits to State-owned Float activity for time saved on the critical path for early review of submittals. The CONSULTANT shall also possess the experience and skills to determine other savings to the critical path due to actions by CALTRANS.
- c) Monitoring and analyzing Contractor's performance of the work with respect to time, resource, and cost. Generating project correspondence, daily diaries, monthly contract item payments related to scheduling work, Weekly Statement of Working Days, reports, plots exhibits, other presentation materials and other items related to scheduling.

- d) Generating, reviewing and analyzing reports with respect to time, resource and cost.
- e) Generating, reviewing, and analyzing Time Impact Analyses.
- f) Providing specialized expertise for the support of review and analysis of potential claims.
- g) Negotiating issues related to construction scheduling.
- h) Conducting constructability reviews.
- i) Making presentations as needed. Providing training in areas related to scheduling.
- j) General construction process and terminology.
- k) Working knowledge of CALTRANS plans, specifications, and manuals (Standard Plans, Standard Specifications, Construction Manual etc.)
- l) Construction scheduling support CONSULTANT shall possess excellent oral and written communications skills.
- m) Minimum of 4 years' experience performing construction scheduling for highway, or major public works projects, performing related duties as described above.

3.9-7 Claims Support

The construction claims support CONSULTANT shall be knowledgeable and experienced in the following:

- a) Using Primavera Project Management Software (P6/P7), Primavera Project Planner (P3), Suretrack, Microsoft Project, and Microsoft Office (Word, Excel, PowerPoint etc.) software.
- b) Generating and analyzing Critical Path Method (CPM) schedules with respect to time, resource, and cost. The CONSULTANT shall possess the experience and skills to conduct detailed schedule analysis.
- c) Have at least 5 years' experience with Claims analysis, responding to potential claims, preparing claims reports and presenting to the Dispute Review Boards or District Claims Board.
- d) Analyzing Time Impact Analyses.

3.9-8 Surveying

Survey Field/Office Party Chief

- a. Minimum preferred qualifications for the position of Survey Field/Office Party Chief are as follows:
 - 1) Party Chief shall fulfill at least one of the three following licensing requirements:
 - a. A licensed Land Surveyor in the State of California.

- b. A pre-January 1, 1982, Registered Civil Engineer in the State of California
- c. An experienced surveyor who serves as chief under the direction or supervision of a person who is a licensed Land Surveyor or pre-January 1, 1982 Registered Civil Engineer in the state of California. This direction or supervision shall be provided in a manner and with a span of control and immediacy that enables the supervisor to be in "responsible charge" of the work as defined in Chapter 15 of the Business and Professions Code (the Land Surveyors Act) and Title 16, Chapter 5, of the California Administrative Code (regulations adopted by the Board of Registration for Professional Engineers and Land Surveyors).
 - i. b) Five years survey experience on a similar construction projects, or other relevant experience.
 - ii. c) Thorough knowledge of construction survey practices and the ability to read and interpret plans and specifications.
- b) Ability to make effective decisions concerning field problems and work in progress.
- c) Familiarity with typical coordinate geometry computer programs.
- d) Under the direction of the Caltrans Senior RE, the Party Chief will assume the following functional responsibilities and shall possess experience in all of these areas:
 - 1. Perform survey services for all stages of construction as described in the Survey Services sections above.
 - 2. Administer day to day activities of the survey party.
 - 3. Perform analytical survey calculations for items such as grading, horizontal and vertical control, right of way and minor in-field design.
 - 4. Maintain continuous communication with the RE, field personnel and construction administration staff when on site.
 - 5. Shall be designated safety officer for the survey party field operations, and shall be trained in the principles of traffic control.

Survey Assistants

Preferred minimum qualifications for survey assistants are as follows:

- a) One- year survey experience on a similar construction projects.
- b) Fundamental knowledge of construction survey practices and the ability to read and interpret plans and specifications.
- c) Ability to assist field and office party chiefs in all required surveying work.

- d) One survey party member must have the ability to assume temporary leadership of the survey party in the absence of the party chief.
- e) Trained in the appropriate safety areas for the job decisions each individual is required to make.
- f) Under the direction of the Caltrans Senior RE and the Party Chief, the survey assistants will assume the following responsibilities and shall possess experience in all of these areas:
 - 1. Assist field and office party chiefs in all required surveying work.
 - 2. Perform basic calculations to support surveying and staking work.
 - 3. Maintain continuous communication with the field or office party chief

3.10 Inspection and Safety

In addition to the requirements specified elsewhere in this contract, the following also shall apply.

3.10-1 CONSULTANT shall conform to the safety provisions of the Caltrans Construction and Survey Manuals.

3.10-2 CONSULTANT's personnel shall wear white hard hats, safety orange vests and rubber-soled shoes at all times while working in the field.

3.10-3 CONSULTANT shall provide appropriate safety training for all CONSULTANT's personnel required to work on and near highways.

3.10-4 All safety equipment shall be provided by the CONSULTANT.

3.11 Field Material Testing

SOILS AND MATERIALS TESTING SERVICES

3.11-1 Materials sampling and testing shall be in accordance with the Project plans, technical specifications, standard specifications, and other applicable standards and procedures.

3.11-2 The contractor for the Project shall be responsible to provide Quality Assurance/Quality Control Soils and Materials Testing Services. CONSULTANT shall provide a certified laboratory to perform soils and materials testing services on an as needed basis in order to validate construction contractor test results.

- 3.11-3 The laboratory, whether temporary or permanent, is to be in the general vicinity of the project area and no more than 30 miles from the field office for the project.
- 3.11-4 Testing shall be performed in accordance with the California Test Methods and shall meet the latest requirement of ASTM.
- 3.11-5 Testing machines must be calibrated annually or more frequently by impartial means using devices of accuracy traceable to the National Bureau of Standards.
- 3.11-6 The laboratory shall participate in the AASHTO Materials Reference Laboratory (AMRL) or Cement or Concrete Reference Laboratory (CCRL) inspection programs as appropriate. Copies of applications, correspondence, reports, and corrective actions shall be provided to OCTA if requested.
- 3.11-7 The laboratory shall have a quality control plan and a quality assurance plan in effect during the entire time work is being performed under the contract. The plan shall include quality control, quality assurance, and equipment calibration programs for the laboratory.
- 3.11-8 The laboratory shall maintain an inventory of the testing equipment (listing the manufacturer, model serial number, calibration, and tolerances).
- 3.11-9 The laboratory shall maintain a laboratory procedure manual describing the methods used for recording, processing, and reporting data, the sources of references material, standards, and test methods.
- 3.11-10 CONSULTANT and the laboratory shall be responsible for all soils and materials testing performed for the project include source testing if required.
- 3.11-11 CONSULTANT shall perform concrete batch plant inspections.

EXHIBIT B: PROPOSED AGREEMENT

DRAFT

PROPOSED AGREEMENT NO. C- 9-1605

BETWEEN

ORANGE COUNTY TRANSPORTATION AUTHORITY

AND

THIS AGREEMENT is effective as of this _____ day of _____, 20____
("Effective Date"), by and between the Orange County Transportation Authority, 550 South Main Street,
P.O. Box 14184, Orange, CA 92863-1584, a public corporation of the State of California (hereinafter
referred to as "AUTHORITY"), and , , , (hereinafter referred to as "CONSULTANT").

WITNESSETH:

WHEREAS, AUTHORITY requires assistance from CONSULTANT to provide Construction
Management Support Services for Interstate 5 widening project between Alicia Parkway and El Toro
Road; and

WHEREAS, said work cannot be performed by the regular employees of AUTHORITY; and

WHEREAS, CONSULTANT has represented that it has the requisite personnel and experience,
and is capable of performing such services; and

WHEREAS, CONSULTANT wishes to perform these services; and

WHEREAS, the AUTHORITY's Board of Directors authorized this Agreement on _____;

NOW, THEREFORE, it is mutually understood and agreed by AUTHORITY and CONSULTANT
as follows:

ARTICLE 1. COMPLETE AGREEMENT

A. This Agreement, including all exhibits and documents incorporated herein and made
applicable by reference, constitutes the complete and exclusive statement of the terms and conditions
of the agreement between AUTHORITY and CONSULTANT and it supersedes all prior
representations, understandings and communications. The invalidity in whole or in part of any term or
condition of this Agreement shall not affect the validity of other terms or conditions.

1 B. AUTHORITY's failure to insist in any one or more instances upon the performance of any
2 terms or conditions of this Agreement shall not be construed as a waiver or relinquishment of
3 AUTHORITY's right to such performance by CONSULTANT or to future performance of such terms or
4 conditions and CONSULTANT obligation in respect thereto shall continue in full force and effect.
5 Changes to any portion of this Agreement shall not be binding upon AUTHORITY except when
6 specifically confirmed in writing by an authorized representative of AUTHORITY by way of a written
7 Amendment to this Agreement and issued in accordance with the provisions of this Agreement.

8 **ARTICLE 2. AUTHORITY DESIGNEE**

9 The Chief Executive Officer of AUTHORITY, or designee, shall have the authority to act for and
10 exercise any of the rights of AUTHORITY as set forth in this Agreement.

11 **ARTICLE 3. SCOPE OF WORK**

12 A. CONSULTANT shall perform the work necessary to complete in a manner satisfactory to
13 AUTHORITY the services set forth in Exhibit A, entitled "Scope of Work," which is attached to and, by
14 this reference, incorporated in and made a part of this Agreement. All services shall be provided at the
15 times and places designated by AUTHORITY.

16 B. CONSULTANT shall provide the personnel listed below to perform the above-specified
17 services, which persons are hereby designated as key personnel under this Agreement.

18 **Names**

Functions

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21
22
23 C. No person named in paragraph B of this Article, or his/her successor approved by
24 AUTHORITY, shall be removed or replaced by CONSULTANT, nor shall his/her agreed-upon function
25 or level of commitment hereunder be changed, without the prior written consent of AUTHORITY.
26 Should the services of any key person become no longer available to CONSULTANT, the resume and

1 qualifications of the proposed replacement shall be submitted to AUTHORITY for approval as soon as
2 possible, but in no event later than seven (7) calendar days prior to the departure of the incumbent key
3 person, unless CONSULTANT is not provided with such notice by the departing employee.
4 AUTHORITY shall respond to CONSULTANT within seven (7) calendar days following receipt of these
5 qualifications concerning acceptance of the candidate for replacement.

6 **ARTICLE 4. TERM OF AGREEMENT**

7 This Agreement shall commence upon the effective date of this Agreement and shall continue in
8 full force and effect through _____ unless earlier terminated or extended as provided in this
9 Agreement.

10 **ARTICLE 5. PAYMENT**

11 A. For CONSULTANT's full and complete performance of its obligations under this Agreement
12 and subject to the maximum cumulative payment obligation provisions set forth in Article 6,
13 AUTHORITY shall pay CONSULTANT on a Time and Expense basis in accordance with the following
14 provisions.

15 B. CONSULTANT shall invoice AUTHORITY on a monthly basis for payments corresponding
16 to the work actually completed by CONSULTANT. Work completed shall be documented in a monthly
17 progress report prepared by CONSULTANT, which shall accompany each invoice submitted by
18 CONSULTANT. AUTHORITY shall pay CONSULTANT at the hourly labor rates specified in Exhibit B,
19 entitled "Price Summary Sheet," which is attached to and by this reference, incorporated in and made a
20 part of this Agreement. These rates shall remain fixed for the term of this Agreement and are
21 acknowledged to include CONSULTANT's overhead costs, general costs, administrative costs and
22 profit. CONSULTANT shall also furnish such other information as may be requested by AUTHORITY to
23 substantiate the validity of an invoice. At its sole discretion, AUTHORITY may decline to make full
24 payment until such time as CONSULTANT has documented to AUTHORITY'S satisfaction, that
25 CONSULTANT has fully completed all work required. AUTHORITY's payment in full shall constitute
26 AUTHORITY's final acceptance of CONSULTANT'S work.

1 C. As partial security against CONSULTANT's failure to satisfactorily fulfill all of its obligations
2 under this Agreement, AUTHORITY shall retain ten percent (10%) of the amount of each invoice
3 submitted for payment by CONSULTANT. All retained funds shall be released by AUTHORITY and
4 shall be paid to CONSULTANT within sixty (60) calendar days of payment of final invoice, unless
5 AUTHORITY elects to audit CONSULTANT's records in accordance with Article 16 of this Agreement.
6 If AUTHORITY elects to audit, retained funds shall be paid to CONSULTANT within thirty (30) calendar
7 days of completion of such audit in an amount reflecting any adjustment required by such audit. During
8 the term of the Agreement, at its sole discretion, AUTHORITY reserves the right to release all or a
9 portion of the retained amount based on CONSULTANT'S satisfactory completion of certain milestones.
10 CONSULTANT shall invoice AUTHORITY for the release of the retention in accordance with ARTICLE
11 5.

12 D. Invoices shall be submitted by CONSULTANT on a monthly basis and shall be submitted in
13 duplicate to AUTHORITY's Accounts Payable office. CONSULTANT may also submit invoices
14 electronically to AUTHORITY's Accounts Payable Department at . Each invoice shall be accompanied
15 by the monthly progress report specified in paragraph B of this Article. AUTHORITY shall remit
16 payment within thirty (30) calendar days of the receipt and approval of each invoice. Each invoice shall
17 include the following information:

- 18 1. Agreement No. C-9-1605;
- 19 2. Specify the effort for which the payment is being requested;
- 20 3. The time period covered by the invoice;
- 21 4. Labor (staff name, hours charged, hourly billing rate, current charges, and
22 cumulative charges) performed during the billing period;
- 23 5. Total monthly invoice (including project-to-date cumulative invoice amount); and
24 retention;
- 25 6. Itemized expenses including support documentation incurred during the billing
26 period;

1 7. Monthly Progress Report;

2 8. Certification signed by the CONSULTANT or his/her designated alternate that a)
3 The invoice is a true, complete and correct statement of reimbursable costs and progress; b) The
4 backup information included with the invoice is true, complete and correct in all material respects; c) All
5 payments due and owing to subcontractors and suppliers have been made; d) Timely payments will be
6 made to subcontractors and suppliers from the proceeds of the payments covered by the certification
7 and; e) The invoice does not include any amount which CONSULTANT intends to withhold or retain
8 from a subcontractor or supplier unless so identified on the invoice.

9 9. Any other information as agreed or requested by AUTHORITY to substantiate the
10 validity of an invoice.

11 **ARTICLE 6. MAXIMUM OBLIGATION**

12 Notwithstanding any provisions of this Agreement to the contrary, AUTHORITY and
13 CONSULTANT mutually agree that AUTHORITY's maximum cumulative payment obligation (including
14 obligation for CONSULTANT's profit) shall be Dollars (\$.00) which shall include all amounts payable
15 to CONSULTANT for its subcontracts, leases, materials and costs arising from, or due to termination of,
16 this Agreement.

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ARTICLE 7. NOTICES

All notices hereunder and communications regarding the interpretation of the terms of this Agreement, or changes thereto, shall be effected by delivery of said notices in person or by depositing said notices in the U.S. mail, registered or certified mail, returned receipt requested, postage prepaid and addressed as follows:

To CONSULTANT:

To AUTHORITY:

Orange County Transportation Authority

550 South Main Street

P.O. Box 14184

Orange, CA 92863-1584

ATTENTION:

ATTENTION: Bridget Carman

Senior Contract Administrator

(714) 560 - 5478

Email: bcarman@octa.net

Cc: Niall Barrett, Project Manager

(714) 560-5879 – nbarrett@octa.net

ARTICLE 8. INDEPENDENT CONTRACTOR

CONSULTANT's relationship to AUTHORITY in the performance of this Agreement is that of an independent CONSULTANT. CONSULTANT's personnel performing services under this Agreement shall at all times be under CONSULTANT's exclusive direction and control and shall be employees of CONSULTANT and not employees of AUTHORITY. CONSULTANT shall pay all wages, salaries and other amounts due its employees in connection with this Agreement and shall be responsible for all reports and obligations respecting them, such as social security, income tax withholding, unemployment compensation, workers' compensation and similar matters.

ARTICLE 9. INSURANCE

A. CONSULTANT shall procure and maintain insurance coverage during the entire term of this

1 Agreement. Coverage shall be full coverage and not subject to self-insurance provisions.

2 CONSULTANT shall provide the following insurance coverage:

3 1. Commercial General Liability, to include Products/Completed Operations,
4 Independent CONSULTANTS', Contractual Liability, and Personal Injury Liability, and Property Damage
5 with a minimum limit of \$1,000,000.00 per occurrence and \$2,000,000.00 general aggregate;

6 2. Automobile Liability Insurance to include owned, hired and non-owned autos with a
7 combined single limit of \$1,000,000.00 each accident;

8 3. Workers' Compensation with limits as required by the State of California including a
9 waiver of subrogation in favor of AUTHORITY, its officers, directors, employees or agents;

10 4. Employers' Liability with minimum limits of \$1,000,000.00; and

11 5. Professional Liability with minimum limits of \$1,000,000.00 per claim.

12 B. Proof of such coverage, in the form of a certificate of insurance, with the AUTHORITY, its
13 officers, directors, employees and agents, designated as additional insureds as required by contract. In
14 addition, provide an insurance policy blanket additional insured endorsement. Both documents must be
15 received by AUTHORITY prior to commencement of any work. Proof of insurance coverage must be
16 received by AUTHORITY within ten (10) calendar days from the effective date of this Agreement. Such
17 insurance shall be primary and non-contributive to any insurance or self-insurance maintained by the
18 AUTHORITY. Furthermore, AUTHORITY reserves the right to request certified copies of all related
19 insurance policies.

20 C. CONSULTANT shall include on the face of the certificate of insurance the Agreement
21 Number C- 9-1605; and, the Contract Administrator's Name, Bridget Carman.

22 D. CONSULTANT shall also include in each subcontract the stipulation that subcontractors
23 shall maintain insurance coverage in the amounts required from CONSULTANT as provided in this
24 Agreement.

25 E. CONSULTANT shall be required to immediately notify AUTHORITY of any modifications or
26 cancellation of any required insurance policies.

ARTICLE 10. ORDER OF PRECEDENCE

Conflicting provisions hereof, if any, shall prevail in the following descending order of precedence: (1) the provisions of this Agreement, including all exhibits; (2) the provisions of RFP 9-1605; (3) CONSULTANT's technical proposal dated _____, CONSULTANT's cost proposal dated _____, final cost proposal dated _____ and (4) all other documents, if any, cited herein or incorporated by reference.

ARTICLE 11. CHANGES

By written notice or order, AUTHORITY may, from time to time, order work suspension and/or make changes in the general scope of this Agreement, including, but not limited to, the services furnished to AUTHORITY by CONSULTANT as described in the Scope of Work. If any such work suspension or change causes an increase or decrease in the price of this Agreement or in the time required for its performance, CONSULTANT shall promptly notify AUTHORITY thereof and assert its claim for adjustment within ten (10) days after the change or work suspension is ordered, and an equitable adjustment shall be negotiated. However, nothing in this clause shall excuse CONSULTANT from proceeding immediately with the Agreement as changed.

ARTICLE 12. DISPUTES

A. Except as otherwise provided in this Agreement, any dispute concerning a question of fact arising under this Agreement which is not disposed of by supplemental agreement shall be decided by AUTHORITY's Director, Contracts Administration and Materials Management (CAMP), who shall reduce the decision to writing and mail or otherwise furnish a copy thereof to CONSULTANT. The decision of the Director, CAMP, shall be final and conclusive.

B. Pending final decision of a dispute hereunder, CONSULTANT shall proceed diligently with the performance of this Agreement and in accordance with the decision of AUTHORITY's Director, CAMP. This "Disputes" clause does not preclude consideration of questions of law in connection with decisions provided for above. Nothing in this Agreement, however, shall be construed as making final

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1 the decision of any AUTHORITY official or representative on a question of law, which questions shall be
2 settled in accordance with the laws of the State of California.

3 **ARTICLE 13. TERMINATION**

4 A. AUTHORITY may terminate this Agreement for its convenience at any time, in whole or
5 part, by giving CONSULTANT written notice thereof. Upon said notice, AUTHORITY shall pay
6 CONSULTANT its allowable costs incurred to date of termination and those allowable costs determined
7 by AUTHORITY to be reasonably necessary to effect such termination. Thereafter, CONSULTANT
8 shall have no further claims against AUTHORITY under this Agreement.

9 B. In the event either Party defaults in the performance of any of their obligations under this
10 Agreement or breaches any of the provisions of this Agreement, the non-defaulting Party shall have the
11 option to terminate this Agreement upon thirty (30) days' prior written notice to the other Party. Upon
12 receipt of such notice, CONSULTANT shall immediately cease work, unless the notice from
13 AUTHORITY provides otherwise. Upon receipt of the notice from AUTHORITY, CONSULTANT shall
14 submit an invoice for work and/or services performed prior to the date of termination. AUTHORITY
15 shall pay CONSULTANT for work and/or services satisfactorily provided to the date of termination in
16 compliance with this Agreement. Thereafter, CONSULTANT shall have no further claims against
17 AUTHORITY under this Agreement. AUTHORITY shall not be liable for any claim of lost profits or
18 damages for such termination.

19 **ARTICLE 14. INDEMNIFICATION**

20 CONSULTANT shall indemnify, defend and hold harmless AUTHORITY, its officers, directors,
21 employees and agents from and against any and all claims (including attorneys' fees and reasonable
22 expenses for litigation or settlement) for any loss or damages, bodily injuries, including death, damage
23 to or loss of use of property caused by the negligent acts, omissions or willful misconduct by
24 CONSULTANT, its officers, directors, employees, agents, subcontractors or suppliers in connection
25 with or arising out of the performance of this Agreement.

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ARTICLE 15. ASSIGNMENTS AND SUBCONTRACTS

A. Neither this Agreement nor any interest herein nor claim hereunder may be assigned by CONSULTANT either voluntarily or by operation of law, nor may all or any part of this Agreement be subcontracted by CONSULTANT, without the prior written consent of AUTHORITY. Consent by AUTHORITY shall not be deemed to relieve CONSULTANT of its obligations to comply fully with all terms and conditions of this Agreement.

B. AUTHORITY hereby consents to CONSULTANT's subcontracting of portions of the Scope of Work to the parties identified below for the functions described in CONSULTANT's proposal. CONSULTANT shall include in the subcontract agreement the stipulation that CONSULTANT, not AUTHORITY, is solely responsible for payment to the subcontractor for the amounts owing and that the subcontractor shall have no claim, and shall take no action, against AUTHORITY, its officers, directors, employees or sureties for nonpayment by CONSULTANT.

<u>Subcontractor Name/Address</u>	<u>Function</u>

ARTICLE 16. AUDIT AND INSPECTION OF RECORDS

CONSULTANT shall provide AUTHORITY, or other agents of AUTHORITY, such access to CONSULTANT's accounting books, records, work data, documents and facilities, as AUTHORITY deems necessary. CONSULTANT shall maintain such books, records, data and documents in accordance with generally accepted accounting principles and shall clearly identify and make such items readily accessible to such parties during CONSULTANT's performance hereunder and for a period of four (4) years from the date of final payment by AUTHORITY. AUTHORITY's right to audit books and records directly related to this Agreement shall also extend to all first-tier subcontractors identified in Article 15 of this Agreement. CONSULTANT shall permit any of the foregoing parties to reproduce documents by any means whatsoever or to copy excerpts and transcriptions as reasonably necessary.

ARTICLE 17. FEDERAL, STATE AND LOCAL LAWS

CONSULTANT warrants that in the performance of this Agreement, it shall comply with all applicable federal, state and local laws, statutes and ordinances and all lawful orders, rules and regulations promulgated thereunder.

ARTICLE 18. EQUAL EMPLOYMENT OPPORTUNITY

In connection with its performance under this Agreement, CONSULTANT shall not discriminate against any employee or applicant for employment because of race, religion, color, sex, age or national origin. CONSULTANT shall take affirmative action to ensure that applicants are employed, and that employees are treated during their employment, without regard to their race, religion, color, sex, age or national origin. Such actions shall include, but not be limited to, the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship.

ARTICLE 19. PROHIBITED INTERESTS

CONSULTANT covenants that, for the term of this Agreement, no director, member, officer or employee of AUTHORITY during his/her tenure in office/employment or for one (1) year thereafter shall have any interest, direct or indirect, in this Agreement or the proceeds thereof.

ARTICLE 20. OWNERSHIP OF REPORTS AND DOCUMENTS

A. The originals of all letters, documents, reports and other products and data produced under this Agreement shall be delivered to and become the property of AUTHORITY. Copies may be made for CONSULTANT's records but shall not be furnished to others without written authorization from AUTHORITY. Such deliverables shall be deemed works made for hire and all rights in copyright therein shall be retained by AUTHORITY.

B. All ideas, memoranda, specifications, plans, manufacturing, procedures, drawings, descriptions, and all other written information submitted to CONSULTANT in connection with the performance of this Agreement shall not, without prior written approval of AUTHORITY, be used for any purposes other than the performance for this project, nor be disclosed to an entity not connected with

1 the performance of the project. CONSULTANT shall comply with AUTHORITY's policies regarding such
2 material. Nothing furnished to CONSULTANT, which is otherwise known to CONSULTANT or becomes
3 generally known to the related industry shall be deemed confidential. CONSULTANT shall not use
4 AUTHORITY's name, photographs of the project, or any other publicity pertaining to the project in any
5 professional publication, magazine, trade paper, newspaper, seminar or other medium without the
6 express written consent of AUTHORITY.

7 C. No copies, sketches, computer graphics or graphs, including graphic art work, are to be
8 released by CONSULTANT to any other person or agency except after prior written approval by
9 AUTHORITY, except as necessary for the performance of services under this Agreement. All press
10 releases, including graphic display information to be published in newspapers, magazines, etc., are to
11 be handled only by AUTHORITY unless otherwise agreed to by CONSULTANT and AUTHORITY.

12 **ARTICLE 21. PATENT AND COPYRIGHT INFRINGEMENT**

13 A. In lieu of any other warranty by AUTHORITY or CONSULTANT against patent or copyright
14 infringement, statutory or otherwise, it is agreed that CONSULTANT shall defend at its expense any
15 claim or suit against AUTHORITY on account of any allegation that any item furnished under this
16 Agreement or the normal use or sale thereof arising out of the performance of this Agreement, infringes
17 upon any presently existing U.S. letters patent or copyright and CONSULTANT shall pay all costs and
18 damages finally awarded in any such suit or claim, provided that CONSULTANT is promptly notified in
19 writing of the suit or claim and given authority, information and assistance at CONSULTANT's expense
20 for the defense of same. However, CONSULTANT will not indemnify AUTHORITY if the suit or claim
21 results from: (1) AUTHORITY's alteration of a deliverable, such that said deliverable in its altered form
22 infringes upon any presently existing U.S. letters patent or copyright; or (2) the use of a deliverable in
23 combination with other material not provided by CONSULTANT when such use in combination infringes
24 upon an existing U.S. letters patent or copyright.

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1 B. CONSULTANT shall have sole control of the defense of any such claim or suit and all
2 negotiations for settlement thereof. CONSULTANT shall not be obligated to indemnify AUTHORITY
3 under any settlement made without CONSULTANT's consent or in the event AUTHORITY fails to
4 cooperate fully in the defense of any suit or claim, provided, however, that said defense shall be at
5 CONSULTANT's expense. If the use or sale of said item is enjoined as a result of such suit or claim,
6 CONSULTANT, at no expense to AUTHORITY, shall obtain for AUTHORITY the right to use and sell
7 said item, or shall substitute an equivalent item acceptable to AUTHORITY and extend this patent and
8 copyright indemnity thereto.

9 **ARTICLE 22. DESIGN WITHIN FUNDING LIMITATIONS**

10 A. In order to ensure the accuracy of the construction budget for the benefit of the public works
11 bidders and AUTHORITY's budget process, CONSULTANT shall accomplish the design services
12 required under this Agreement so as to permit the award of a contract, for the construction of the
13 facilities designed at a price that does not exceed the estimated construction contract price as set forth
14 by AUTHORITY. When bids or proposals for the construction contract are received that exceed the
15 estimated price, CONSULTANT shall perform such redesign and other services as are necessary to
16 permit contract award within the funding limitation. These additional services shall be performed at no
17 increase in the price for which the services were specified. However, CONSULTANT shall not be
18 required to perform such additional services at no cost to AUTHORITY if the unfavorable bids or
19 proposals are the result of conditions beyond its reasonable control.

20 B. CONSULTANT will promptly advise AUTHORITY if it finds that the project being designed
21 will exceed or is likely to exceed the funding limitations and it is unable to design a usable facility within
22 these limitations. Upon receipt of such information, AUTHORITY will review CONSULTANT's revised
23 estimate of construction cost. AUTHORITY may, if it determines that the estimated construction
24 contract price is so low that award of a construction contract not in excess of such estimate is
25 improbable, authorize a change in scope or materials as required to reduce the estimated construction
26 cost to an amount within the estimated construction contract price set forth by AUTHORITY, or

1 AUTHORITY may adjust such estimated construction contract price. When bids or proposals are not
2 solicited or are unreasonably delayed, AUTHORITY shall prepare an estimate of constructing the
3 design submitted and such estimate shall be used in lieu of bids or proposals to determine compliance
4 within the funding limitation.

5 **ARTICLE 23. REQUIREMENTS FOR REGISTRATION OF DESIGNERS**

6 All design and engineering work furnished by CONSULTANT shall be performed by or under
7 the supervision of persons licensed to practice architecture, engineering or surveying (as applicable) in
8 the State of California, by personnel who are careful, skilled, experienced and competent in their
9 respective trades or professions, who are professionally qualified to perform the work in accordance
10 with the contract documents and who shall assume professional responsibility for the accuracy and
11 completeness of the design documents and construction documents prepared or checked by them.

12 **ARTICLE 24. FINISHED AND PRELIMINARY DATA**

13 A. All of CONSULTANT's finished technical data, including but not limited to illustrations,
14 photographs, tapes, software, software design documents, including without limitation source code,
15 binary code, all media, technical documentation and user documentation, photoprints and other graphic
16 information required to be furnished under this Agreement, shall be AUTHORITY's property upon
17 payment and shall be furnished with unlimited rights and, as such, shall be free from proprietary
18 restriction except as elsewhere authorized in this Agreement. CONSULTANT further agrees that it
19 shall have no interest or claim to such finished, AUTHORITY-owned, technical data; furthermore, said
20 data is subject to the provisions of the Freedom of Information Act, 5 USC 552.

21 B. It is expressly understood that any title to preliminary technical data is not passed to
22 AUTHORITY but is retained by CONSULTANT. Preliminary data includes roughs, visualizations,
23 software design documents, layouts and comprehensives prepared by CONSULTANT solely for the
24 purpose of demonstrating an idea or message for AUTHORITY's acceptance before approval is given
25 for preparation of finished artwork. Preliminary data title and right thereto shall be made available to
26 /

1 AUTHORITY if CONSULTANT causes AUTHORITY to exercise Article 11 and a price shall be
2 negotiated for all preliminary data.

3 **ARTICLE 25. GENERAL WAGE RATES**

4 A. CONSULTANT warrants that all mechanics, laborers, journeypersons, workpersons,
5 craftspersons or apprentices employed by CONSULTANT or subcontractor at any tier for any work
6 hereunder, shall be paid unconditionally and not less often than once a week and without any
7 subsequent deduction or rebate on any account (except such payroll deductions as are permitted or
8 required by federal, state or local law, regulation or ordinance), the full amounts due at the time of
9 payment, computed at a wage rate and per diem rate not less than the aggregate of the highest of the
10 two basic hourly rates and rates of payments, contributions or costs for any fringe benefits contained in
11 the current general prevailing wage rate(s) and per diem rate(s), established by the Director of the
12 Department of Industrial Relations of the State of California, (as set forth in the Labor Code of the State
13 of California, commencing at Section 1770 et. seq.), or as established by the Secretary of Labor (as set
14 forth in Davis-Bacon Act, 40 U.S.C. 267a, et. seq.), regardless of any contractual relationship which
15 may be alleged to exist between CONSULTANT or subcontractor and their respective mechanics,
16 laborers, journeypersons, workpersons, craftspersons or apprentices. Copies of the current General
17 Prevailing Wage Determinations and Per Diem Rates are on file at AUTHORITY's offices and will be
18 made available to CONSULTANT upon request. CONSULTANT shall post a copy thereof at each job
19 site at which work hereunder is performed.

20 B. In addition to the foregoing, CONSULTANT agrees to comply with all other provisions of the
21 Labor Code of the State of California, which is incorporated herein by reference, pertaining to workers
22 performing work hereunder including, but not limited to, those provisions for work hours, payroll records
23 and apprenticeship employment and regulation program. CONSULTANT agrees to insert or cause to
24 be inserted the preceding clause in all subcontracts which provide for workers to perform work
25 hereunder regardless of the subcontractor tier.

26 /

ARTICLE 26. CONTRACTOR PURCHASED EQUIPMENT

A. If during the course of this Agreement, additional equipment is required, which will be paid for by the AUTHORITY, CONSULTANT must request prior written authorization from the AUTHORITY's project manager before making any purchase. As part of this purchase request, CONSULTANT shall provide a justification for the necessity of the equipment or supply and submit copies of three (3) competitive quotations. If competitive quotations are not obtained, CONSULTANT must provide the justification for the sole source.

B. CONSULTANT shall maintain an inventory record for each piece of equipment purchased that will be paid for by the AUTHORITY. The inventory record shall include the date acquired, total cost, serial number, model identification, and any other information or description necessary to identify said equipment or supply. A copy of the inventory record shall be submitted to the AUTHORITY upon request.

C. At the expiration or termination of this Agreement, CONSULTANT may keep the equipment and credit AUTHORITY in an amount equal to its fair market value. Fair market value shall be determined, at CONSULTANT's expense, on the basis of an independent appraisal. CONSULTANT may sell the equipment at the best price obtainable and credit AUTHORITY in an amount equal to the sales price. If the equipment is to be sold, then the terms and conditions of the sale must be approved in advance by AUTHORITY's project manager.

D. Any subconsultant agreement entered into as a result of this Agreement shall contain all provisions of this clause.

ARTICLE 27. FORCE MAJEURE

Either party shall be excused from performing its obligations under this Agreement during the time and to the extent that it is prevented from performing by an unforeseeable cause beyond its control, including but not limited to: any incidence of fire, flood; acts of God; commandeering of material, products, plants or facilities by the federal, state or local government; national fuel shortage; or a material act or omission by the other party; when satisfactory evidence of such cause is presented to

1 the other party, and provided further that such nonperformance is unforeseeable, beyond the control
2 and is not due to the fault or negligence of the party not performing.

3 **ARTICLE 28. CONFLICT OF INTEREST**

4 CONSULTANT agrees to avoid organizational conflicts of interest. An organizational conflict
5 of interest means that due to other activities, relationships or contracts, the CONSULTANT is
6 unable, or potentially unable to render impartial assistance or advice to the AUTHORITY;
7 CONSULTANT's objectivity in performing the work identified in the Scope of Work is or might be
8 otherwise impaired; or the CONSULTANT has an unfair competitive advantage. CONSULTANT is
9 obligated to fully disclose to the AUTHORITY in writing Conflict of Interest issues as soon as they
10 are known to the CONSULTANT. All disclosures must be submitted in writing to AUTHORITY
11 pursuant to the Notice provision herein. This disclosure requirement is for the entire term of this
12 Agreement.

13 **ARTICLE 29. CODE OF CONDUCT**

14 CONSULTANT agrees to comply with the AUTHORITY's Code of Conduct as it relates to
15 Third-Party contracts which is hereby referenced and by this reference is incorporated herein.
16 CONSULTANT agrees to include these requirements in all of its subcontracts.

17 **ARTICLE 30. PROHIBITION ON PROVIDING ADVOCACY SERVICES**

18 CONSULTANT and all subconsultants performing work under this Agreement, shall be
19 prohibited from concurrently representing or lobbying for any other party competing for a contract
20 with AUTHORITY, either as a prime consultant or subconsultant. Failure to refrain from such
21 representation may result in termination of this Agreement.

22 **ARTICLE 31. HEALTH AND SAFETY REQUIREMENTS**

23 CONSULTANT shall comply with all the requirements set forth in EXHIBIT C, Modified Level 1
24 & 2 Health, Safety and Environmental Specifications. As used therein, "Contractor" shall mean
25 "Consultant," and "Subcontractor" shall mean "Sub-consultant."

26 /

ARTICLE 32. PROHIBITION

CONSULTANTS, including all subconsultants (at any tier), regardless of the level of service provided by said subconsultants, that is awarded this contract for Construction Management Services is prohibited from participating in the construction contract.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement No. C-6-1905 to be executed as of the date of the last signature below.

ORANGE COUNTY TRANSPORTATION

AUTHORITY

By _____

By _____

Darrell E. Johnson
Chief Executive Officer

Date: _____

Date: _____

APPROVED AS TO FORM:

By _____

James M. Donich
General Counsel

Date: _____

APPROVED:

By _____

James G. Beil, P.E.
Executive Director, Capital Programs

Date _____

DRAFT

RFP 9-1605

EXHIBIT C: FORMS

CAMPAIGN CONTRIBUTION DISCLOSURE FORM**Information Sheet****ORANGE COUNTY TRANSPORTATION AUTHORITY**

The attached Campaign Contribution Disclosure Form must be completed by applicants for, or persons who are the subject of, any proceeding involving a license, permit, or other entitlement for use pending before the Board of Directors of the OCTA or any of its affiliated agencies. (Please see next page for definitions of these terms.)

IMPORTANT NOTICE**Basic Provisions of Government Code Section 84308**

- A. If you are an applicant for, or the subject of, any proceeding involving a license, permit, or other entitlement for use, you are prohibited from making a campaign contribution of more than \$250 to any board member or his or her alternate. This prohibition begins on the date your application is filed or the proceeding is otherwise initiated, and the prohibition ends three months after a final decision is rendered by the Board of Directors. In addition, no board member or alternate may solicit or accept a campaign contribution of more than \$250 from you during this period.
- B. These prohibitions also apply to your agents, and, if you are a closely held corporation, to your majority shareholder as well. These prohibitions also apply to your subcontractor(s), joint venturer(s), and partner(s) in this proceeding. Also included are parent companies and subsidiary companies directed and controlled by you, and political action committees directed and controlled by you.
- C. You must file the attached disclosure form and disclose whether you or your agent(s) have in the aggregate contributed more than \$250 to any board member or his or her alternate during the 12-month period preceding the filing of the application or the initiation of the proceeding.
- D. If you or your agent have in the aggregate contributed more than \$250 to any individual board member or his/or her alternate during the 12 months preceding the decision on the application or proceeding, that board member or alternate must disqualify himself or herself from the decision. However, disqualification is not required if the board member or alternate returns the campaign contribution within 30 days from the time the director knows, or should have known, about both the contribution and the fact that you are a party in the proceeding. The Campaign Contribution Disclosure Form should be completed and filed with your proposal, or with the first written document you file or submit after the proceeding commences.

1. A proceeding involving "a license, permit, or other entitlement for use" includes all business, professional, trade and land use licenses and permits, and all other entitlements for use, including all entitlements for land use, all contracts (other than competitively bid, labor or personal employment contracts), and all franchises.
2. Your "agent" is someone who represents you in connection with a proceeding involving a license, permit or other entitlement for use. If an individual acting as an agent is also acting in his or her capacity as an employee or member of a law, architectural, engineering, consulting firm, or similar business entity, both the business entity and the individual are "agents."
3. To determine whether a campaign contribution of more than \$250 has been made by you, campaign contributions made by you within the preceding 12 months must be aggregated with those made by your agent within the preceding 12 months or the period of the agency, whichever is shorter. Contributions made by your majority shareholder (if a closely held corporation), your subcontractor(s), your joint venturer(s), and your partner(s) in this proceeding must also be included as part of the aggregation. Campaign contributions made to different directors or their alternates are not aggregated.
4. A list of the members and alternates of the Board of Directors is attached.

This notice summarizes the major requirements of Government Code Section 84308 of the Political Reform Act and California Code of Regulations, Title 2 Sections 18438-18438.8.

DRAFT

**RFP 9-1605
EXHIBIT C**

ORANGE COUNTY TRANSPORTATION AUTHORITY CAMPAIGN CONTRIBUTION DISCLOSURE FORM

RFP Number: _____ RFP Title: _____

Was a campaign contribution made to any OCTA Board Member within the preceding 12 months, regardless of dollar amount of the contribution by either the proposing firm, proposed subconsultants and/or agent/lobbyist? Yes _____ No _____

If no, please sign and date below.

If yes, please provide the following information:

Prime Contractor Firm Name: _____

Contributor or Contributor Firm's Name: _____

Contributor or Contributor Firm's Address: _____

Is Contributor:

- | | | |
|---|-----------|----------|
| <input type="radio"/> The Prime Contractor | Yes _____ | No _____ |
| <input type="radio"/> Subconsultant | Yes _____ | No _____ |
| <input type="radio"/> Agent/Lobbyist hired by Prime
to represent the Prime in this RFP | Yes _____ | No _____ |

Note: Under the State of California Government Code section 84308 and California Code of Regulations, Title 2, Section 18438, campaign contributions made by the Prime Contractor and the Prime Contractor's agent/lobbyist who is representing the Prime Contractor in this RFP must be aggregated together to determine the total campaign contribution made by the Prime Contractor.

Identify the Board Member(s) to whom you, your subconsultants, and/or agent/lobbyist made campaign contributions, the name of the contributor, the dates of contribution(s) in the preceding 12 months and dollar amount of the contribution. Each date must include the exact month, day, and year of the contribution.

Name of Board Member: _____

Name of Contributor: _____

Date(s) of Contribution(s): _____

Amount(s): _____

Name of Board Member: _____

Name of Contributor: _____

Date(s) of Contribution(s): _____

Amount(s): _____

Date: _____

Signature of Contributor

Print Firm Name

Print Name of Contributor

**ORANGE COUNTY TRANSPORTATION AUTHORITY
AND AFFILIATED AGENCIES**

Board of Directors

Tim Shaw, Chairman
Steve Jones, Vice Chairman
Lisa A. Bartlett, Director
Doug Chaffee, Director
Laurie Davies, Director
Barbara Delgleize, Director
Andrew Do, Director
Michael Hennessey, Director
Gene Hernandez, Director
Jose F. Moreno, Director
Joseph Muller, Director
Mark A. Murphy, Director
Richard Murphy, Director
Miguel Pulido, Director
Michelle Steel, Director
Donald P. Wagner, Director
Greg Winterbottom, Director

STATUS OF PAST AND PRESENT CONTRACTS FORM

On the form provided below, Offeror/Bidder shall list the status of past and present contracts where the firm has either provided services as a prime vendor or a subcontractor during the past five (5) years in which the contract has been the subject of or may be involved in litigation with the contracting authority. This includes, but is not limited to, claims, settlement agreements, arbitrations, administrative proceedings, and investigations arising out of the contract.

A separate form must be completed for each contract. Offeror/Bidder shall provide an accurate contact name and telephone number for each contract and indicate the term of the contract and the original contract value. Offeror/Bidder shall also provide a brief summary and the current status of the litigation, claims, settlement agreements, arbitrations, administrative proceedings, or investigations. If the contract was terminated, list the reason for termination.

Offeror/Bidder shall have an ongoing obligation to update the Authority with any changes to the identified contracts and any new litigation, claims, settlement agreements, arbitrations, administrative proceedings, or investigations that arise subsequent to the submission of the bid. Each form must be signed by an officer of the Offeror/Bidder confirming that the information provided is true and accurate.

Project city/agency/other:	
Contact Name:	Phone:
Project Award Date:	Original Contract Value:
Term of Contract:	
(1) Litigation, claims, settlements, arbitrations, or investigations associated with contract:	
(2) Summary and Status of contract:	
(3) Summary and Status of action identified in (1):	
(4) Reason for termination, if applicable:	

By signing this Form entitled "Status of Past and Present Contracts," I am affirming that all of the information provided is true and accurate.

Name

Signature

Title

Date

PROPOSAL EXCEPTIONS AND/OR DEVIATIONS

The following form shall be completed for each technical and/or contractual exception or deviation that is submitted by Offeror for review and consideration by Authority. The exception and/or deviation must be clearly stated along with the rationale for requesting the exception and/or deviation. If no technical or contractual exceptions or deviations are submitted as part of the original proposal, Offerors are deemed to have accepted Authority's technical requirements and contractual terms and conditions set forth in the Scope of Work (Exhibit A) and Proposed Agreement (Exhibit B). Offerors will not be allowed to submit this form or any contractual exceptions and/or deviation after the proposal submittal date identified in the RFP. Exceptions and/or deviations submitted after the proposal submittal date will not be reviewed by Authority.

Offeror: _____

RFP No.: _____ RFP Title: _____

Deviation or Exception No. : _____

Check one:

- Scope of Work (Technical) _____
- Proposed Agreement (Contractual) _____

Reference Section/Exhibit: _____ Page/Article No. _____

Complete Description of Deviation or Exception:

Rationale for Requesting Deviation or Exception:

Area Below Reserved for Authority Use Only:

EXHIBIT D: SAFETY SPECIFICATIONS

MODIFIED LEVEL 1 & 2 HEALTH, SAFETY AND ENVIRONMENTAL SPECIFICATIONS FOR AGREEMENT X-XXXX

PART I – GENERAL

1.1 GENERAL HEALTH, SAFETY & ENVIRONMENTAL REQUIREMENTS

- A. The Contractor, its subcontractors, suppliers, and employees have the obligation to comply with all Authority health, safety and environmental compliance department (HSEC) requirements of this safety specification, project site requirements, bus yard safety rules, as well as all federal, state, and local regulations pertaining to scope of work, contracts or agreements with the Authority. Additionally, manufacturer requirements are considered incorporated by reference as applicable to this scope of work.
- B. Observance of repeated unsafe acts or conditions, serious violation of safety standards, non-conformance of Authority health, safety and environmental compliance department (HSEC) requirements, or disregard for the intent of these safety specifications to protect people and property, by Contractor or its subcontractors may be cause for termination of scope or agreements with the Authority, at the sole discretion of the Authority.
- C. The health, safety, and environmental requirements, and references contained within this scope of work shall not be considered all-inclusive as to the hazards that might be encountered. Safe work practices shall be planned and performed, and safe conditions shall be maintained during the course of this work scope.
- D. The Authority Project Manager shall be responsible to ensure a safety orientation is conducted of known potential hazards and emergency procedures for all Contractor personnel, subcontractors, suppliers, vendors, and new employees assigned to the project prior to commencement of the project.
- E. The Contractor shall ensure that all Contractor vehicles, including those of its subcontractors, suppliers, vendors and employees are parked in designated parking areas, and comply with traffic routes, and posted traffic signs in areas other than the employee parking lots.
- F. California Code of Regulations (CCR) Title 8 Standards are minimum requirements; each Contractor is encouraged to exceed minimum requirements. When the Contractor's safety requirements exceed statutory standards, the more stringent requirements shall be achieved for the safeguard of public and workers.

G. INJURY AND ILLNESS PREVENTION PLAN

- A. Injury/Illness Prevention Program
The Contractor shall comply with CCR Title 8, Section with California Code of Regulations (CCR) Title 8, Section 3203. The intent and elements of the IIPP shall be implemented and enforced by the Contractor and its sub-tier

contractors, suppliers, and vendors. The program shall be provided to the Authority's Project Manager, upon request, within 72 hours.

B. Substance Abuse Prevention Program

Contractor shall comply with the Policy or Program of the Company's Substance Abuse Prevention Policy that complies with the most recent Drug Free Workplace Act. The program shall be provided to the Authority's Project Manager, upon request, within 72 hours.

C. Heat Illness Prevention Program

Contractor shall comply with CCR Title 8, Section, Section 3395, Heat Illness Prevention. The program shall be provided to the Authority's Project Manager, upon request, within 72 hours.

D. Hazard Communication Program

Contractor shall comply with CCR Title 8, Section 5194 Hazard Communication Standard. Prior to use on Authority property and/or project work areas Contractor shall provide the Authority Project Manager copies of SDS for all applicable chemical products used, if any. The program shall be provided to the Authority's Project Manager, upon request, within 72 hours.

- a. All chemicals including paint, solvents, detergents and similar substances shall comply with South Coast Air Quality Management District (SCAQMD) rules 103, 1113, and 1171.

E. Storm Water Pollution Prevention Plan

The Contractor shall protect property and water resources from fuels and similar products throughout the duration of the contract. Contractor shall comply with Storm Water Pollution Prevention Plan (SWPPP) requirements.

1.2 INCIDENT NOTIFICATION AND INVESTIGATION

A. The Authority shall be promptly notified of any of the following types of incidents:

1. Damage to Authority property (or incidents involving third party property damage);
2. Reportable and/or Recordable injuries (as defined by the U. S. Occupational Safety and Health Administration);
3. Incidents impacting the environment, i.e. spills or releases on Authority property.
4. Outside Agency Inspections; agencies such as Cal/OSHA, DTSC, SCAQMD, State Water Resources Control Board, FTA, CPUC, EPA, USACE and similar agencies.

B. Notifications shall be made to Authority representatives, employees and/or agents. This includes incidents occurring to contractors, vendors, visitors, or members of the general public that arise from the performance of Authority contract work. An immediate verbal notice followed by a written incident

investigation report shall be submitted to Authority's Project Manager within 24 hours of the incident.

- C. A final written incident investigative report shall be submitted within seven (7) calendar days and include the following information. The current status of anyone injured, photos of the incident area, detailed description of what happened and the contributing factors that lead to the incident occurrence, a copy of the company policy or procedure associated with the incident and evaluation of effectiveness, copy of the task planning documentation, and the corrective action initiated to prevent recurrence. This information shall be considered the minimum elements required for a comprehensive incident report acceptable to OCTA.
- D. A Serious Injury, Serious Incident, OSHA Recordable Injury / Illness, or Significant Near Miss shall require a formal incident review at the discretion of the Authority's Project Manager. The incident review shall be conducted within seven (7) calendar days of the incident. This review shall require a senior executive from the Contractors' organization to participate in the presentation. The serious incident presentation shall include action taken for the welfare of the injured, a status report of the injured, causation factors leading to the incident, a root cause analysis, and a detailed recovery plan that identifies corrective actions to prevent a similar incident, and actions to enhance safety awareness.
 - 1. Serious Injury: includes an injury or illness to one or more employees, occurring in a place of employment or in connection with any employment, which requires inpatient hospitalization for a period in excess of twenty-four hours for other than medical observation, or in which an employee suffers the loss of any member of the body, or suffers any serious degree of physical disfigurement.
 - 2. Serious Incident: includes property damage of \$500.00 or more, an incident requiring emergency services (local fire, paramedics and ambulance response), news media or OCTA media relations response, and/or incidents involving other agencies (Cal/OSHA, EPA, AQMD, DTSC, etc.) notification or representation.
 - 3. OSHA Recordable Injury / Illness: includes and injury / illness resulting in medical treatment beyond First Aid, an injury / illness which requires restricted duty, or an injury / illness resulting in days away from work.
 - 4. Significant Near Miss Incident: includes incidents where no property was damaged and no personal injury sustained, but where, given a slight shift in time or position, damage and/or injury easily could have occurred.

1.3 PERSONAL PROTECTIVE EQUIPMENT

- A. The Contractor, its subcontractors, suppliers, and employees are required to comply with applicable personal protective equipment (PPE) requirements while performing work at any Authority project or property. Generally minimum PPE requirements include eye protection; hearing protection, head

protection, class 2 or class 3 (i.e., 50 MPH or greater) safety reflective vests, and appropriate footwear.

- B. The Contractor, its subcontractors, suppliers, and employees are required to provide their own PPE, including eye, head, foot, and hand protection, safety vests, or other PPE required to perform their work safely on Authority projects or property. The Authority requires eye protection on construction projects and work areas that meet ANSI Z-87.1 Standards.

PART II – SPECIFIC REQUIREMENTS – FIELD ACTIVITIES

Level 2 Safety Specification Requirements for Survey and Field Activity Tasks

2.0 DESIGNATED SAFETY REPRESENTATIVE

- A. Before beginning on-site activities, the Contractor shall designate an On-site HSE Representative. This person shall be a Competent or Qualified Individual as defined by the Occupational, Safety, and Health Administration (OSHA), familiar with applicable CCR Title 8 Standards, and has the authority to affect changes in work procedures that may have associated schedule and budget impacts.
- B. The Contractor shall provide the Authority's Project Manager a resume outlining the qualifications, or job experience of Contractor's On-Site HSE Representative assigned to the project. The Contractor's On-Site HSE Representative for all Authority projects is subject to acceptance by the Authority Project Manager and the HSEC Department Manager. All contact information of the On-Site HSE Representative (name, phone, and fax and pager/cell phone number) shall be provided to the Authority Project Manager.
- C. The Contractor's Site HSE Representative shall have a certification from the Board of Certified Safety Professionals (BCSP) (i.e., Safety Trained Supervisor Construction (STSC), Construction Health and Safety Technician (CHST) etc.), and five (5) years of experience of enforcing HSE compliance on similar projects. The Authority reserves the right to allow for an exception of these minimum qualification requirements for unforeseen circumstances, at the sole discretion of the Authority Project Manager and the HSEC Department Manager.
- D. A Competent Individual means one who is capable of identifying existing and predictable hazards in the surroundings or working conditions which are unsanitary, hazardous, or dangerous to employees, and who has authorization to take prompt corrective measures to eliminate them.

2.1 JOB HAZARD ANALYSIS

- A. A Job Hazard Analysis (JHA) shall be prepared for the field activities scheduled and signed/dated by the Contractor's project manager and the Contractor's HSE Representative and all employees of the work crew prior to beginning scheduled task.

2.2 SITE HSE ORIENTATION

- A. The Contractor shall conduct and document a project site safety orientation for all Contractor's staff personnel, subcontractors, suppliers, vendors, and new employees assigned to the project prior to performing any work on Authority projects. The safety orientation, at a minimum, shall include, as applicable, Personal Protection Equipment (PPE) requirements, hard hat requirements, eye protection, ANSI class 2 or 3 reflective vests, designated smoking, eating, and parking areas, cell phone policy, and applicable barricade requirements.
- B. Copies of orientation documents shall be provided to the Authority Project Manager within 72 hours upon request.

2.3 TRAINING DOCUMENTATION

- A. To ensure that each employee is qualified to perform their assigned work, when applicable to scope work, Contractor shall verify training documentation (i.e., CCR Title 8 Standards required training as applicable) is in place, prior to and during contract scope, and make available to the Authority, upon request, within 72 hours.

PART IV - REFERENCES

- A. CCR Title 8 Standards (Cal/OSHA)
- B. CFR Including 1910 and 1926 Standards
- C. NFPA, NEC, ANSI, NIOSH Standards
- D. Construction Industry Institute (CII)
- E. Cal-Trans Construction Safety Manual


END



COMMITTEE TRANSMITTAL

November 11, 2019

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: California Department of Transportation Freeway Service Patrol Program Fund Transfer Agreements

Regional Planning and Highways Committee Meeting of November 4, 2019

Present: Directors Chaffee, Delgleize, Muller, M. Murphy, R. Murphy, and Pulido

Absent: Director Bartlett

Committee Vote

This item was passed by the Members present.

Directors Chaffee and Pulido were not present to vote on this item.

Committee Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-1620 between the Orange County Transportation Authority and the California Department of Transportation for fiscal year 2019-20 Freeway Service Patrol Program State Highway Account funding of approximately \$2,294,286.
- B. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-1620 between the Orange County Transportation Authority and the California Department of Transportation for fiscal year 2019-20 Freeway Service Patrol Program Senate Bill 1 funding of approximately \$1,969,345.
- C. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreements between the Orange County Transportation Authority and the California Department of Transportation each year for fiscal years 2020-21 through 2028-29 Freeway Service Patrol Program State Highway Account funding in an amount not to exceed \$20,545,608, for the nine fiscal years.



Committee Recommendations (Continued)

- D. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreements between the Orange County Transportation Authority and the California Department of Transportation each year for fiscal years 2020-21 through 2028-29 Freeway Service Patrol Program Senate Bill 1 funding in an amount not to exceed \$17,635,726, for the nine fiscal years.



November 4, 2019

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: California Department of Transportation Freeway Service Patrol Program Fund Transfer Agreements

Overview

The Orange County Transportation Authority serves as the administering agency for the Freeway Service Patrol program in Orange County. Funding for the Freeway Service Patrol program is provided annually from the California Department of Transportation through the State Highway Account and the Road Repair and Accountability Act of 2017, also known as Senate Bill 1. Funding agreements are necessary each fiscal year to facilitate the transfer of funds to the Orange County Transportation Authority for the continuance of the Freeway Service Patrol program. Staff is seeking Board of Directors approval to authorize the Chief Executive Officer to negotiate and execute funding each year through fiscal year 2028-29.

Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-1620 between the Orange County Transportation Authority and the California Department of Transportation for fiscal year 2019-20 Freeway Service Patrol Program State Highway Account funding of approximately \$2,294,286.
- B. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-1620 between the Orange County Transportation Authority and the California Department of Transportation for fiscal year 2019-20 Freeway Service Patrol Program Senate Bill 1 funding of approximately \$1,969,345.
- C. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreements between the Orange County Transportation Authority and the California Department of Transportation each year for fiscal years 2020-21 through 2028-29 Freeway Service Patrol Program

State Highway Account funding in an amount not to exceed \$20,545,608, for the nine fiscal years.

- D. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreements between the Orange County Transportation Authority and the California Department of Transportation each year for fiscal years 2020-21 through 2028-29 Freeway Service Patrol Program Senate Bill 1 funding in an amount not to exceed \$17,635,726, for the nine fiscal years.

Discussion

The Orange County Freeway Service Patrol (FSP) program is a partnership between the California Department of Transportation (Caltrans), California Highway Patrol (CHP), and the Orange County Transportation Authority (OCTA). In November 1992, the FSP program began providing peak-hour assistance to stranded motorists along Orange County freeways in an effort to reduce congestion. The FSP program is designed to provide timely assistance to motorists with disabled vehicles and timely response to other incidents that leave debris on the freeways.

In addition to peak-hour service on all freeways, FSP provides midday service on Interstate 5 (I-5), Interstate 405, State Route 22 (SR-22), State Route 55 (SR-55), State Route 57 (SR-57), and State Route 91 (SR-91) in central Orange County. The FSP program also provides weekend service on SR-91 from SR-55 to the Riverside County Line, on SR-22 from Harbor Boulevard to SR-55, including the I-5/SR-57 interchange, and on I-5 in South Orange County, as well as off-peak hour service in certain designated construction zones.

OCTA is the administering agency for the FSP program in Orange County and is responsible for procuring services necessary for the operation of the FSP program. Caltrans allocates \$25 million to statewide FSP programs annually through the State Highway Account (SHA). After applying a deduction for required CHP oversight, SHA funds are allocated to each local FSP agency based on a formula defined in California Streets and Highways Code, section 2562.1. Allocation percentages change from year to year based on calculations used to measure congestion within the region, the number of active FSP programs statewide, and individual FSP program ability to provide matching funds to accept the entire allocation.

Local programs are required to provide a 25 percent funding match to the state program funding using local funds. Local match funds are provided using Orange County Service Authority for Freeway Emergency (SAFE) funds and

Measure M2 (M2) funds. SAFE is funded through a one-dollar California Department of Motor Vehicles fee for all vehicles registered in Orange County. M2 is funded through a one-half cent sales tax on goods purchased in Orange County. To provide the level of FSP service outlined above, OCTA provides a higher match than the minimum requirement.

The SHA allocation for the Orange County FSP program for fiscal year (FY) 2019-20 is \$2,294,286, requiring a local match of \$573,572 from OCTA. Total FY 2019-20 SHA funding, including both the SHA allocation and the local match is \$2,867,858, and OCTA will have until June 30, 2022, to be reimbursed from this funding source for program expenditures.

In April 2017, the Governor of California signed the Road Repair and Accountability Act of 2017 (SB1) into law. The SB1 legislative package provides an additional \$25 million annually for California FSP programs. SB1 funding can be used to support FSP program activities in three specific categories: inflation relief, new or expanded service, and for CHP support.

The Orange County FSP program SB1 allocation for FY 2019-20 is \$1,120,731 for inflation relief and \$848,614 for new or expanded service, totaling \$1,969,345, which requires a local match of \$492,336 from OCTA. Total FY 2019-20 funding, including the SB1 allocation and the local match, is \$2,461,681, and OCTA will have until June 30, 2022, to be reimbursed from this funding source for program expenditures.

Future year funding will be calculated by formula each FY and will be available for reimbursement for up to three FYs. Actual anticipated SHA and SB1 funding for future years will be presented to the OCTA Board of Directors (Board) annually as part of the annual budget approval process. The anticipated funding to be made available for FY 2019-20 through FY 2028-29 is \$38,181.334. A history of funding for FSP from FY 2008-09 through FY 2019-20 and estimated projections through FY 2028-29, including match requirements and contributions made to FSP from Orange County local SAFE and M2 funds, is shown in Attachment A.

To access the funding outlined above, agreements between OCTA and Caltrans are required each FY. Staff has traditionally brought this item to the Board for approval each FY; however, staff is seeking Board approval to authorize the Chief Executive Officer to negotiate and execute Caltrans funding agreements each year through FY 2028-29 to expedite agreement and funding processes and allow OCTA to invoice Caltrans sooner. Invoicing Caltrans sooner will allow OCTA to receive the funds faster and manage reserve fund accounts more effectively.

Summary

The FSP program provides valuable services by assisting motorists with disabled vehicles and removing congestion-causing debris from freeway traffic lanes. Funding for the FSP program is provided through a combination of sources, including Caltrans directed SHA and SB1 funds, local SAFE funds, and M2 funds. Funding agreements are required each year to continue the program. Staff is seeking Board approval to authorize the Chief Executive Officer to negotiate and execute Caltrans SHA and SB1 funding agreements for FY 2019-20 and for each year through FY 2028-29.

Attachment

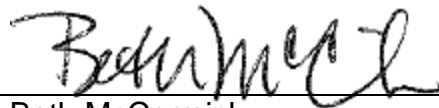
- A. California Department of Transportation Freeway Service Patrol Funding,
Fiscal Year 2008-09 to Fiscal Year 2028-29

Prepared by:



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California Department of Transportation Freeway Service Patrol Funding

Fiscal Year 2008-09 to Fiscal Year 2028-29

Fiscal Year (FY)	California Department of Transportation (Caltrans) Allocation *				Local Match Requirement			Total Freeway Service Patrol (FSP) Cost	Actual OCTA Match **	OCTA Match %
	State Highway Account (SHA) Funding	Senate Bill 1 (SB1) Inflation Relief Funding	SB1 Expansion Funding	Total Caltrans Funding	SHA Match Requirement	SB1 Match Requirement	Total Local Agency Match Requirement			
2008-09	\$2,977,208.00			\$2,977,208.00	\$744,302.00		\$744,302.00	\$5,408,123.69	\$2,430,915.69	82%
2009-10	\$2,981,608.00			\$2,981,608.00	\$745,402.00		\$745,402.00	\$4,510,977.78	\$1,529,369.78	51%
2010-11	\$2,964,805.00			\$2,964,805.00	\$741,202.00		\$741,202.00	\$4,699,657.89	\$1,734,852.89	59%
2011-12	\$2,594,099.00			\$2,594,099.00	\$648,525.00		\$648,525.00	\$4,659,823.84	\$2,065,724.84	80%
2012-13	\$2,631,554.00			\$2,631,554.00	\$657,889.00		\$657,889.00	\$5,605,637.75	\$2,974,083.75	113%
2013-14	\$2,578,644.00			\$2,578,644.00	\$652,767.00		\$652,767.00	\$5,104,285.24	\$2,525,641.24	98%
2014-15	\$2,707,013.00			\$2,707,013.00	\$676,754.00		\$676,754.00	\$5,022,967.73	\$2,315,954.73	86%
2015-16	\$2,704,902.00			\$2,704,902.00	\$676,226.00		\$676,226.00	\$5,251,035.68	\$2,546,133.68	94%
2016-17	\$2,615,022.00			\$2,615,022.00	\$653,756.00		\$653,756.00	\$5,464,750.97	\$2,849,728.97	109%
2017-18	\$2,550,433.00	\$1,244,321.48	\$991,890.02	\$4,786,644.50	\$637,609.00	\$559,052.88	\$1,196,661.88	\$5,747,893.20	\$961,248.70	38%
2018-19	\$2,472,405.00	\$1,221,525.53	\$938,487.94	\$4,632,418.47	\$618,102.00	\$540,003.37	\$1,158,105.37	\$6,573,327.50	\$1,940,909.03	79%
2019-20	\$2,294,286.00	\$1,120,730.91	\$848,614.12	\$4,263,631.03	\$573,571.50	\$492,336.26	\$1,065,907.76	TBD	TBD	TBD
2020-21 Projected	\$2,259,871.71	\$1,103,919.95	\$835,884.91	\$4,199,676.56	\$564,967.93	\$484,951.21	\$1,049,919.14	TBD	TBD	TBD
2021-22 Projected	\$2,225,973.63	\$1,087,361.15	\$823,346.63	\$4,136,681.42	\$556,493.41	\$477,676.95	\$1,034,170.35	TBD	TBD	TBD
2022-23 Projected	\$2,192,584.03	\$1,071,050.73	\$810,996.44	\$4,074,631.19	\$548,146.01	\$470,511.79	\$1,018,657.80	TBD	TBD	TBD
2023-24 Projected	\$2,159,695.27	\$1,054,984.97	\$798,831.49	\$4,013,511.73	\$539,923.82	\$463,454.11	\$1,003,377.93	TBD	TBD	TBD
2024-25 Projected	\$2,127,299.84	\$1,039,160.19	\$786,849.02	\$3,953,309.05	\$531,824.96	\$456,502.30	\$988,327.26	TBD	TBD	TBD
2025-26 Projected	\$2,095,390.34	\$1,023,572.79	\$775,046.28	\$3,894,009.42	\$523,847.59	\$449,654.77	\$973,502.35	TBD	TBD	TBD
2026-27 Projected	\$2,063,959.49	\$1,008,219.20	\$763,420.59	\$3,835,599.27	\$515,989.87	\$442,909.95	\$958,899.82	TBD	TBD	TBD
2027-28 Projected	\$2,033,000.10	\$993,095.91	\$751,969.28	\$3,778,065.28	\$508,250.02	\$436,266.30	\$944,516.32	TBD	TBD	TBD
2028-29 Projected	\$2,002,505.09	\$978,199.47	\$740,689.74	\$3,721,394.31	\$500,626.27	\$429,722.30	\$930,348.58	TBD	TBD	TBD

* Caltrans SHA and SB1 funds are available for use over three FYs. FY 2019-20 through FY 2028-29 allocations are estimated based on the FY 2019-20 allocation and allocation history, actual allocation amounts will be determined by formula each year.

** Measure M2 funds became available to FSP in FY 2011-12, and are included as part of OCTA local match.



BOARD TRANSMITTAL

November 11, 2019

To: November 11, 2019 Board Agenda Packet

From: *RW*
Laurena Weinert, Clerk of the Board

Subject: Contractor Selection for the Back-Office System and Customer Service Center Operations for the 91 Express Lanes in Orange and Riverside Counties

Board of Directors (Board) Meeting of November 11, 2019

Board Discussion

At the November 11, 2019 Board meeting, James Donich, General Counsel, provided clarification that this item's Staff Report procurement approach was in accordance with Public Utilities Code (PUC) 130238. Mr. Donich stated that OCTA can award a contract to the most advantageous firm in accordance with the PUC statute. Additionally, the statute does require that the Board make findings as to why the low bidder firm is not recommended for the award of the contract.

Mr. Donich recommended an amendment to Recommendation A to include that the Board approves awarding Cofiroute USA, LLC., based upon the findings noted in the Staff Report and findings presented by staff.

Board Vote

Page Two of the Board Transmittal notes the vote of the Board that Recommendation A was amended, and Recommendation B had no changes.



Board Vote (Continued)

A motion was made by Director Mark A. Murphy, seconded by Director Hernandez, and declared passed by those present, to:

A motion was made by Director M. Murphy, seconded by Director Hernandez, and declared passed by those present, to:

- A. Approve, as amended the award based on the findings and evaluation of both the analysis of the proposals, as well as the weighted average of the proposals, the selection of Cofiroute USA, LLC., as the firm to provide the back-office system and customer service center operations services for the 91 Express Lanes in Orange and Riverside counties.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1177 among the Orange County Transportation Authority, Riverside County Transportation Commission, and Cofiroute USA, LLC., in the amount of \$72,982,804, to provide the back-office system and customer service center operations services for the 91 Express Lanes in Orange and Riverside counties, for an initial term of seven years with two three-year option terms. The designated share for the Orange County Transportation Authority will be \$35,420,566.

Directors Chaffee, Do, Hennessey, Moreno, Muller, Pulido, and Winterbottom were absent from the Board meeting.

Committee Vote and Recommendations

For the Finance and Administration Committee meeting of October 23, 2019 vote and recommendations, see the Committee Transmittal.



COMMITTEE TRANSMITTAL

November 11, 2019

To: Members of the Board of Directors

From: Laurena Weinert, ^{MT} Clerk of the Board

Subject: Contractor Selection for the Back-Office System and Customer Service Center Operations for the 91 Express Lanes in Orange and Riverside Counties

Finance and Administration Committee Meeting of October 23, 2019

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

Absent: Director Wagner

Committee Vote

This item was passed by the Members present.

Committee Recommendations

- A. Approve the selection of Cofiroute USA, LLC., as the firm to provide the back-office system and customer service center operations services for the 91 Express Lanes in Orange and Riverside counties.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1177 among the Orange County Transportation Authority, Riverside County Transportation Commission, and Cofiroute USA, LLC., in the amount of \$72,982,804, to provide the back-office system and customer service center operations services for the 91 Express Lanes in Orange and Riverside counties, for an initial term of seven years with two three-year option terms. The designated share for the Orange County Transportation Authority will be \$35,420,566.



October 23, 2019

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Contractor Selection for the Back-Office System and Customer Service Center Operations for the 91 Express Lanes in Orange and Riverside Counties

Overview

On April 22, 2019, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals to retain contractor services to provide a back-office system and customer service center operations for the 91 Express Lanes. Board of Directors' approval is requested for the selection of a firm to perform the required work.

Recommendations

- A. Approve the selection of Cofiroute USA, LLC., as the firm to provide the back-office system and customer service center operations services for the 91 Express Lanes in Orange and Riverside counties.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1177 among the Orange County Transportation Authority, Riverside County Transportation Commission, and Cofiroute USA, LLC., in the amount of \$72,982,804, to provide the back-office system and customer service center operations services for the 91 Express Lanes in Orange and Riverside counties, for an initial term of seven years with two three-year option terms. The designated share for the Orange County Transportation Authority will be \$35,420,566.

Discussion

As a requirement of Senate Bill (SB) 1316, Correa, the Orange County Transportation Authority (OCTA) and the Riverside County Transportation Commission (RCTC), collectively referred to as Agencies, entered into a cooperative agreement that establishes a framework for cooperation and sets forth various responsibilities between the two agencies with the extension of the

91 Express Lanes (91EL) into Riverside County. The cooperative agreement, entered into on December 16, 2011 between the OCTA Board of Directors (Board) and RCTC Commission (Commission), details the joint operation of a combined 91EL facility with the intent and objective to operate the 91EL in both counties so that customers will experience a seamless transition between the two facilities and view the 91EL as a single system. A joint operation not only provides benefits to the customers of the 91EL, but also creates economies of scale and cost benefits to both agencies through joint contracting and joint provisions relating to the operation and maintenance of the 91EL.

In May 2013, OCTA and RCTC entered into a three-party agreement with Cofiroute USA, LLC., for the joint operations of a combined 91EL facility. The existing three-party agreement expires on June 30, 2021.

On April 22, 2019, the Board approved the release of a request for proposals (RFP) to retain contractor services to provide a back-office system (BOS) and customer service center (CSC) operations services (Project) for the 91EL for both Orange and Riverside counties. The Project includes the design, development, implementation, and maintenance of the back-office system for the 91EL. The back-office system retrieves data from the in-lane Electronic Traffic and Toll Management (ETTM) System and charges the appropriate toll fee to the customers' accounts or establishes a violation for the trip, if applicable. In addition, the contractor will be responsible for the day-to-day operations for both segments of the 91EL, including the following toll-related services:

- Back-office software system
- Hardware and software maintenance
- Customer service
- Violations processing and collections
- Customer account management
- Payments and other mail processing
- Revenue collections and transaction processing
- Traffic operations and incident management
- Emergency services coordination
- Transponder inventory management
- Telephone system

Although the current three-party agreement will not expire for another 20 months, during this time, the contractor will design, develop, test, and implement the new back-office system. In addition, efforts for data migration and transition from the

old system and operations to the new system and operations will be the responsibility of this contractor and are also accounted for in the Project schedule.

Procurement Approach

This procurement is a joint procurement between OCTA and RCTC. Agencies agreed that OCTA would be the lead agency throughout the joint procurement.

This procurement was handled in accordance with Board-approved procedures and RCTC's procurement policy manual for professional and technical services. Various factors are considered in an award for professional and technical services. Award is recommended to the firm offering the most comprehensive overall proposal, considering such factors as qualifications of the firm, staffing and project organization, prior experience with similar projects, work plan, technical approach, as well as cost and price.

To initiate procurement discussions, an industry forum was held from April 17 through 19, 2018, at OCTA's administrative offices in advance of issuing the joint RFP for this Project. The objectives of this forum were:

- To introduce and gauge industry interest in the upcoming procurement;
- Allow the Agencies to gather industry input to potentially incorporate into the procurement; and
- Provide potential proposers with information regarding the Agencies' needs and the anticipated procurement process.

The forum was well-attended, allowing the Agencies the opportunity to meet one-on-one with 16 interested firms. The firms and Agencies were able to exchange valuable ideas regarding scope of work, Project schedule, and contract terms and conditions, some of which were incorporated in the RFP process.

On April 22, 2019, the Board authorized the release of RFP 9-1177 which was issued electronically on CAMM NET. The project was advertised on April 22 and 29, 2019, in a newspaper of general circulation, and also in trade magazines. A pre-proposal and site visits were held on May 7, 2019, with 25 attendees representing 20 firms. Five addenda were issued to make available a copy of the pre-proposal presentation and conference registration sheets, provide responses to questions received, and handle administrative issues related to the RFP.

On July 12, 2019, four proposals were received. A responsiveness evaluation was conducted on all proposals, which included a review by Agencies of any exceptions or deviations proposed by the four firms. One firm refused to retract all the exceptions that were not acceptable to Agencies, which resulted in the removal of their proposal from further consideration, in accordance with the instructions detailed in the RFP.

An evaluation committee consisting of staff from OCTA's and RCTC's Express Lanes Programs departments, as well as external representatives from the San Diego Association of Governments, and Los Angeles County Metropolitan Transportation Authority, met to review the remaining three proposals. The proposals were evaluated based on the following Board-approved evaluation criteria and weights:

Qualifications, Related Experience, and References of the Firm	15 percent
Staffing and Project Organization	15 percent
Implementation Work Plan and Technical Approach to BOS	30 percent
CSC Operations Work Plan, Transition, and Approach	20 percent
Cost and Price	20 percent

Several factors were considered in developing the criteria weights. Implementation work plan and technical approach together were given a combined weight of 30 percent due to the highly technical requirements of the BOS' software and its architecture. CSC operations work plan, transition, and approach were given a weight of 20 percent due to the importance of successfully transitioning and carrying out the day-to-day operations of the toll facility and managing customer services. The services required are significant to the accurate collection and reporting of revenue to the Agencies.

The criteria for qualifications of the firm, related experience, and references, as well as staff and project organization were assigned a weight of 15 percent each to emphasize the equal importance of the experience of the firm in handling similar work, and the staff's understanding of, and similar experience to, the Project, its challenges, and the approach to implementing the various elements of the scope of work. Cost and Price was weighted at 20 percent to ensure delivery of a cost-effective BOS and CSC operations over the term of the agreement.

On August 19, 2019, the evaluation committee reviewed the three proposals based on the evaluation criteria and found two firms most qualified to perform

the required services. The most qualified firms are listed below in alphabetical order:

Firm and Location

Cofiroute USA, LLC (Cofiroute)
Irvine, California

Conduent Transportation (Conduent)
Germantown, Maryland

On August 27, 2019, the evaluation committee conducted interviews with the two short-listed firms. Each firm had the opportunity to present its approach for accomplishing the requested services and demonstrate the detailed capabilities and various aspects of their BOS solution and approach to CSC Operations in supporting the Project's requirements. Each firm presented their key team members, their qualifications, and roles on this Project. During the interview, each firm described its understanding of the requirements of this Project in the areas of design, implementation, operation, and maintenance of their proposed BOS, data migration and transition, and CSC operations. In addition to answering questions of a general nature, both firms also answered specific clarifying questions related to each firm's proposal relative to the scope of work and requirements.

After considering the firms' solutions, demonstrations, and responses to the questions asked during the interviews, the evaluation committee adjusted the preliminary scores for the two-short listed firms. However, Cofiroute remained as the top-ranked firm with the highest cumulative score.

At the conclusion of the interview and system demonstrations, the shortlisted firms were requested to submit a Best and Final Offer (BAFO) in an effort to secure the best pricing for these services.

Based on the evaluation of written proposals, the information obtained from interviews, and the BAFO, it is recommended that Cofiroute be selected as the top-ranked firm to provide a back-office system and customer service center operations for the 91EL. The following is a summary of the proposal evaluation results.

Qualifications, Related Experiences, and References of the Firm

The two short-listed firms were found to be qualified to perform the types of services requested by the RFP. The firms demonstrated experience and understanding of the scope of work and the Project's needs in the areas of back-office system development and customer service center operations. Both firms are knowledgeable and experienced with the California tolling laws and environment and have interoperable operations familiarity with the California Toll Operators Committee agencies. Both firms are established with relevant experience and resources.

Cofiroute is part of the VINCI Group, one of the largest concessions and construction groups in the world, which employs more than 200,000 people in more than one hundred countries. Cofiroute is a tolling and express lanes operator specializing in the management, operation, and maintenance of express lanes systems. With 24 years of expertise in BOS and CSC implementation and operations, Cofiroute has been the operator for the 91EL since OCTA purchased the franchise rights from the California Private Transportation Company (CPTC) in 2003. Furthermore, Cofiroute was part of CPTC's consortium in the 1990s that was selected to finance, develop, and operate the 91EL. Cofiroute currently has 202 employees in California and Texas.

As a major subcontractor to Cofiroute, TollPlus will be responsible for delivering the BOS for the 91EL. TollPlus, founded in 2009, specializes in BOS deployment and customization for electronic toll collection. Cofiroute and TollPlus have worked together for nearly a decade on similar scopes of work, jointly designing, implementing, and maintaining innovative BOS and CSC operations projects. In 2011, Cofiroute and TollPlus deployed a new BOS for OCTA which required the migration of data from the legacy back-office system to the new system. The OCTA BOS has been operating reliably without any down time since implementation. Another example of the firms jointly working together include the implementation of updated BOS functionalities and expanded CSC operations to accommodate the extension of the 91EL into Riverside County for RCTC. Cofiroute and TollPlus have also jointly worked on the design, development, integration and transition of BOS and CSC operations for the Central Texas Regional Mobility Authority and North East Texas Regional Mobility Authority. Under this agreement, the firm's scope includes various components such as the website, account management, interactive voice response, emails, and mailings.

Cofiroute demonstrated their understanding of the scope of work and Project's needs in their detailed and comprehensive proposal, which was organized with a clear delineation of the area of responsibility of the team. Clients of Cofiroute and TollPlus provided the Agencies with positive references and feedback for recent work performed by the firms.

With over 82,000 employees in all 50 states and 22 countries globally, Conduent is a transportation service provider with 30 years of experience in providing electronic tolling solutions. Conduent operates the back-office and customer service centers for nine tolling programs in the United States and has experience integrating and managing a multi-agency toll program such as the Bay Area Toll Authority (BATA) and New Jersey E-Z Pass. In addition to BATA, Conduent currently supports the Los Angeles Metro Express Lanes in California. Conduent provided information of their subcontractors and their area of responsibility.

As part of their Project team, Northern Lakes Data Corporation (NLDC) is being brought on as a database consultant for the BOS implementation. NLDC was the BOS provider when OCTA purchased the 91EL from CPTC in 2003 and provided maintenance of the BOS system until 2011. Conduent is proposing to utilize a staffing agency as part of their Project team to fulfill some of the staffing support. Conduent has established working relationships with some of the subcontractors on their team. Clients of Conduent provided the Agencies with positive references and feedback for recent work performed by the firm.

Staffing and Project Organization

Both short-listed firms described their approach and philosophy to training and staffing and proposed qualified and diversified staff to adequately handle the work described in the scope of work and meet the RFP requirements.

Cofiroute considered all aspects of the scope requirements as evident by the comprehensive and detailed selection of subcontractors on their team, with many of whom they have had prior working relationships. In addition, they have proven successful working relationships with the current ETTM System provider for both OCTA and RCTC.

Cofiroute has proposed experienced and qualified teams for both the BOS implementation and operations and maintenance phases. Cofiroute's organization charts show a clear understanding of the requirements of the RFP, designating all key personnel in each required area of expertise and showing clear reporting structure from a firm and project staff level. All of the key

personnel proposed are employed by Cofiroute or Tollplus, and those who have a 100 percent level of commitment will provide local on-site presence. Cofiroute brings forth a Project team that has direct relevant experience. The proposed project managers for the BOS implementation and Operations and Maintenance (O&M) phases are well-versed in the toll industry, met the qualifications as stated in the scope of work, and have successfully implemented back-office systems and managed a full-service toll operation, respectively. The proposed deputy project manager in the BOS implementation phase is also qualified and will transition to the technical services manager position during the operations and maintenance phase, overseeing the full BOS and CSC systems and technology management that were put in place during the implementation phase. The CSC operations manager in the implementation phase brings forth extensive experience in customer service center operations, violation processing and collections, California tolling rules and regulations, all of which will be critical in the collaboration efforts with the system developers in delivering a comprehensive BOS solution. Cofiroute's interview and demonstration supported the firm's relevant experience, staffing, technical approach, and Project understanding.

Cofiroute's proposed staffing and training approach was comprehensive and utilized training tools, such as classrooms, manuals, side by side monitoring, quizzes, and calibration sessions so that staff are fully versed in business rules and processes for the new BOS, operational procedures, policies, and guidelines to ensure operational readiness. The firm discussed tailored and refined training for transitioning and new hires to ensure they are fully trained across their functional areas.

Conduent proposed a qualified team, some with decades of experience with the firm, but several were lacking required experience. Most key personnel are Conduent employees, but the firm also proposed some key personnel from a staffing agency to perform portions of the implementation, as well as during the O&M phase, which made it difficult for the evaluation committee to determine if the key personnel from the staffing agency had the experience with a project of a similar scope, to the systems provided on this Project, and with the proposed BOS solution. Conduent proposes to retain as many current operations staff in order to preserve institutional knowledge, but will utilize the staffing agency to fill any additional staffing needs. The firm's organizational charts and availability matrix show commitment and availability of the proposed key personnel.

Conduent offered an approach to training of all staff for CSC operations and planned to schedule training during off-hours to minimize disruption to existing

operations. Conduent's training approach will utilize classroom, computer-based training, monitoring, and job shadowing to ensure operational readiness.

Implementation Work Plan and Technical Approach to BOS

Both firms met the requirements of the RFP, and each firm adequately discussed its technical approach and work plan for the delivery of the BOS, including the design, development, installation, operations and maintenance, and how each firm will accomplish the Project's objectives and overall schedule.

Cofiroute provided a comprehensive BOS implementation work plan and technical approach, which incorporates management of key project activities and deliverables to ensure on-time delivery of the BOS. Their detailed narrative demonstrated a clear understanding of the Project's requirements. Cofiroute proposed a well-defined method of tracking all BOS implementation requirements and a step-by-step process for Quality Assurance/Quality Control (QA/QC). The QA/QC team will be comprised of team members from all areas of the project to ensure compliance with the requirements.

Cofiroute proposes using a hybrid cloud approach, which takes advantage of the existing data center in Anaheim, for hosting a primary on-premise private cloud infrastructure. This approach allows for more control and ensures a secure, well-maintained system infrastructure will be fully available. Cofiroute's disaster recovery solution addresses not only the BOS recovery time objective, but includes the seamless routing of customer calls between the Anaheim and Corona facilities, should it be necessary. The proposed system is a comprehensive end-to-end toll management solution with Customer Relationship Management (CRM) capabilities, which integrates with the interactive voice response system, interoperable agencies, and other third-party interfaces. The system, to be built on open standards and service-oriented architecture, will be comprehensive, scalable, secure, and will offer a high degree of configurability to provide for business growth and needs. During the interview, Cofiroute provided a live system demonstration of certain key components to the BOS, including account opening, performance monitoring and reporting, and new system functionalities, showcasing the robustness of the system.

Cofiroute's team is thoroughly familiar with the source and target data logic so it reduces both risks and the time required to accomplish the data migration for the Agencies. Their in-depth knowledge of the file structures and data flow will ease the transition effort. The data will be tested and validated before moving it into

the QA and production environments. Cofiroute submitted a detailed project implementation schedule that meets all project milestones, including the July 1, 2021, system and operations delivery.

Conduent provided a general discussion of the BOS implementation work plan and technical approach. The firm ensures successful project delivery through the development and maintenance of a detailed project management plan and will implement a complete and extensive training program to prepare for on-time transition. Conduent is one of the first organizations to achieve the ISO 20000 standard for Information Technology Service Management Certification and will apply the certified process to manage the requirements, business rules, design, and deployment of the system. Their QA team will conduct reviews and audits and monitor all project elements to assess quality and provide recommendations.

Conduent offered a detailed description of the solution architecture which features the use of Microsoft's Azure public cloud environment that is based on a full cloud-based solution platform and has strong security certifications. The Azure cloud-based solution eliminates the need for periodic data center upgrade/refresh requirement as the data is continually refreshed in the cloud. However, the proposed BOS has minimal allowance for future customization, modification, or new development to meet Agencies' needs. During the interview, Conduent provided a live system demonstration of certain key components to the BOS, including account opening, performance monitoring and reporting, and new system functionalities, showcasing the robustness of the system.

CSC Operations Work Plan, Transition, and Approach

Both firms discussed their work plan, transition and approach to CSC operations in meeting the Project's requirements. The firms are committed to using operations staff in support of the system implementation for the BOS and identified approaches to continuous improvement through the term of the agreement. Both firms understand the California tolling environment and are able to incorporate their knowledge and experience into the CSC operations.

Cofiroute's approach to project management and planning of CSC operations will utilize comprehensive project management plan, operations plan, quality management plans, and tight process controls to ensure effective project management, a seamless transition from the implementation phase, and supports ongoing project management during the O&M phase. CSC subject

matter experts will be involved with the design of the BOS and in reviewing business rules and performing system walk-throughs, allowing for potential opportunities for system improvements. Multiple workshops will be conducted, comprehensive plans and documentation will be prepared, and extensive testing and validation will be performed to ensure operational readiness of the system. Cofiroute provided a thorough approach to QA/QC for both the BOS and CSC O&M phase. QA/QC will be integrated into operations through training, quality reviews, monitoring sessions, and system-generated reports. With an understanding of Payment Card Industry (PCI) requirements, best practices for security policies and procedures will be implemented to adhere to Personally Identifiable Information and PCI regulations and standards. Cofiroute, in their role as the current 91EL operator, has a proven history of strong internal control processes related to financial management. Since 2013, Cofiroute has undergone various types of audits for the 91EL operations in which the auditors have issued a favorable opinion that the objectives of the internal controls as designed and implemented are being met and the controls operated efficiently.

Conduent's approach to project management and planning of CSC operations includes implementation of the concepts of operations across various disciplines and functions, including program management and quality assurance. Continuous process improvements approach utilizes a combination of tools and processes, such as a workforce management solution, known as NICE IEX, to optimize the call center workforce to handle day-to-day workload, to increase employee engagement, to produce precise forecasts, and to provide historical trend analysis. To be able to monitor CSC operations performance, key performance indicator dashboard, live call monitoring, and quality reviews and analysis will be implemented. As part of Conduent's QA/QC processes, the majority of Conduent's call centers go through a certification process to ensure consistency and adherences to best practices. Conduent received 2013 Certified Center of Excellence from Benchmark Portal, for their CSC operations.

Cost and Price

Cost was weighted at 20 percent of the overall score. All firms submitted the detailed price proposals as requested for the entire Project. Pricing scores were based on a formula which assigns the highest score to the firm with the lowest total price and scores the other proposals' total prices based on their relation to the lowest total price.

The total price was solicited separately from the firm's technical proposal, evaluated, and scored. Conduent received the higher price score based on the

initial and option terms pricing of \$132,228,957, and Cofiroute received the lower price score based on their proposed overall price of \$170,255,844 for the initial and option terms.

The established budget for this Project, as stated in the RFP, for the initial term, was \$73,050,000. The original price submitted by Cofiroute was for \$78,401,781, and the price submitted by Conduent was \$60,055,121. After the BAFO, Cofiroute submitted a final price of \$72,982,804 for the initial term of the contract, and Conduent submitted a final price of \$58,254,384. The overall price, for the 13-year term, submitted after the BAFO by Cofiroute was \$164,806,742 and Conduent's price was \$128,264,114. Contract award will be for the price of the initial term only. Option terms will be exercised at a future date.

Below is the price breakdown, by agency, as proposed by the short-listed firms, after exercising the BAFO, and compared with the Agencies' independent cost estimate for the initial term:

	Agencies' Independent Cost Estimate	Cofiroute	Conduent
INITIAL TERM			
Original Price	\$73,050,000	\$78,401,781	\$60,055,121
OCTA Share	\$35,600,000	\$38,076,263	\$29,119,980
RCTC Share	\$37,450,000	\$40,325,518	\$30,935,141
Revised Price (BAFO)	\$73,050,000	\$72,982,804	\$58,254,384
OCTA Share	\$35,600,000	\$35,420,566	\$28,246,823
RCTC Share	\$37,450,000	\$37,562,238	\$30,007,561

The estimated and proposed prices for RCTC's portion of the work is higher than that of the OCTA's portion due to the prices being directly proportional to the number of transactions that RCTC is anticipated to handle on their express lanes facility.

While the total price proposed for the initial term, after the BAFO, by Cofiroute was \$14,728,420 higher than Conduent's price for the same term, their qualifications in the planning, technical, and operational aspects of the work, their experience as the incumbent, reduced risk, and on-site staff availability

support the higher price. Cofiroute's proposed price for the initial term was within the Agencies' independent cost estimate.

Procurement Summary

Based on the evaluation of the written proposals, the firm's experience, the teams' qualifications, the BOS implementation and technical approach, CSC operation work plan, cost and price, information obtained from the interviews, and the BAFO, the evaluation committee recommends the selection of Cofiroute USA, LLC, as the top-ranked firm for the back-office system and customer center operations services for the 91 Express Lanes in Orange and Riverside counties.

Fiscal Impact

Funding of OCTA's portion of the BOS implementation is included in OCTA Fiscal Year 2019-20 Budget, 91 Express Lanes Account, 0036-9028-B0001-1GO. Funding for OCTA's portion of the operations and maintenance phases will be included in the 91 Express Lanes budget for the subsequent years.

Summary

Staff recommends Board approval for the Chief Executive Officer to negotiate and execute Agreement No. C-9-1177 among the Orange County Transportation Authority, Riverside County Transportation Commission, and Cofiroute USA, LLC., in the total amount of \$72,982,804, which includes OCTA's share of \$35,420,566 to provide the back-office system and customer service center operations for the 91 Express Lanes in Orange and Riverside counties, for an initial term of seven years with two three-year option terms.

Attachments

- A. Review of Proposals, RFP 9-1177 Back-Office System and Customer Service Center Operations for the 91 Express Lanes in Orange and Riverside Counties.
- B. Proposal Evaluation Criteria Matrix (All Proposers), RFP 9-1177 Back-Office System and Customer Service Center Operations for the 91 Express Lanes in Orange and Riverside Counties.
- C. Contract History for the Past Two Years, RFP 9-1177 Back-Office System and Customer Service Center Operations for the 91 Express Lanes in Orange and Riverside Counties.

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Review of Proposals

RFP 9-1177 Back-Office System and Customer Services Center Operations Services for the 91 Express Lanes in Orange and Riverside Counties

(Presented to Finance And Administration Committee - October 23, 2019)

4 proposals were received, 3 proposals evaluated, 2 firms were interviewed, 1 firm is being recommended

Overall Ranking	Overall Score	Firm & Location	Sub-Contractors	Evaluation Committee Comments	Total Price
1	82	Cofiroute USA, LLC Irvine, California	TollPlus Proponisi Penn Credit SWC Group Infosend, Inc. David Cyprien Avtex Solutions , LLC	Cofiroute and major subcontractor TollPlus working together since 2011. TollPlus worked the legacy BOS for OCTA's 91 express lanes Knowledgeable of California's tolling environment Considered all aspects of the requirements in selecting their listed subcontractors and providers Qualified staff with required experience or certification BOS allows for generous customization and new development to meet Agencies' needs Availability and commitment of key personnel is more than adequate, with local presence throughout project term Detailed approach to CSC operations; and staff is cross-functionally trained Thorough project schedule that meets project's Go-live date Positive references Comprehensive interview and demonstration of BOS system and CSC Operations	\$72,982,804
2	75	State & Local Solutions, Inc. Germantown, Maryland	Northern Lakes Data Corp. Linebarger, Goggan Blair & Sampson, LLP Harris & Harris Ltd. Partners in Diversity, Inc. Content Critical Solutions, Inc.	Conduent has multi-agency project experience Major subcontractor NLDC worked on legacy BOS for OCTA's 91 EL Availability and commitment of proposed key personnel meets requirements Qualified key staff where several lacking required experience or certification Proposed use of staffing agency for BOS implementation personnel Proposed BOS allows for limited customization and new development to meet Agencies' needs Project schedule meets project's Go-live date Proposed executive oversight committee during both phases of the work Detailed approach to CSC operations Positive references Interview and demonstration of BOS system and CSC Operations were adequate	\$58,254,384

Evaluation Panel: Six Members

From OCTA and RCTC:

OCTA Express Lanes Programs (2)

RCTC Toll Programs (2)

External Members:

Los Angeles Metro (1)

San Diego Association of Governments (1)

Evaluation Criterion

Qualifications of the Firm

Staffing/Project Organization

Implementation Work Plan and Technical Approach to BOS

CSC Operations, Transition and Approach

Cost and Price

Weight

15%

15%

30%

20%

20%

ATTACHMENT A

PROPOSAL EVALUATION CRITERIA MATRIX All Proposers

**RFP 9-1177 Back-Office System and Customer Services Center Operations Services
for the 91 Express Lanes in Orange and Riverside Counties**

FIRM: Cofiroute USA, LLC							Weights	Criteria Score
Evaluator Number	1	2	3	4	5	6		
Qualifications, Related Experience, and References of Firm	3.50	4.00	4.00	4.00	4.00	4.00	3.00	11.75
Staffing/Project Organization	3.50	4.50	4.00	4.50	4.00	4.00	3.00	12.25
Implementation Work Plan and Technical Approach to BOS	4.00	4.50	4.50	4.00	4.00	4.50	6.00	25.50
CSC Operations Work Plan, Transition, and Approach	4.00	4.50	4.50	4.50	4.00	4.50	4.00	17.33
Cost and Price	3.89	3.89	3.89	3.89	3.89	3.89	4.00	15.56
								82.00
Overall Score	76.56	86.06	84.56	83.06	79.56	84.56		
FIRM: Conduent State and Local Solutions, Inc.							Weights	Criteria Score
Evaluator Number	1	2	3	4	5	6		
Qualifications, Related Experience, and References of Firm	3.50	3.50	3.50	3.50	3.50	3.50	3.00	10.50
Staffing/Project Organization	2.50	2.50	3.00	3.00	2.50	2.50	3.00	8.00
Implementation Work Plan and Technical Approach to BOS	3.50	3.50	4.00	4.00	3.00	4.00	6.00	22.00
CSC Operations Work Plan, Transition, and Approach	3.50	3.00	4.00	3.50	3.50	3.50	4.00	14.00
Cost and Price	5.00	5.00	5.00	5.00	5.00	5.00	4.00	20.00
								75.00
Overall Score	73.00	71.00	79.50	77.50	70.00	76.00		
Score for non-shortlisted firm is 52.83								

CONTRACT HISTORY FOR THE PAST TWO YEARS
RFP 9-1177 Back-Office System and Customer Services Center Operations Services
for the 91 Express Lanes in Orange and Riverside Counties

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Cofiroute USA, LLC						
Contract Type: Contract Task Order	C-5-0300	Management and Operational Services for the State Route 91 Express Lanes	October 24, 2005	June 30, 2021		\$ 82,552,604
Subconsultants:						
					\$ -	
					\$ -	
					\$ -	
Contract Type: Firm Fixed Price	C-3-1529	Tri-Party Agreement for the Management and Operational Services for the 91 Express Lanes	May 24, 2013	June 30, 2021		\$ 31,897,079
Subconsultants:						
					Subtotal:	\$ 114,449,683
Conduent State & Local Solutions, Inc.						
Contract Type: Firm Fixed Price	C-9-1192	Integration of the OC Streetcar Vehicles into the Existing Intelligent Transportation Management System	August 6, 2019	July 31, 2020		\$ 2,719,650
Subconsultants:						
Contract Type: Firm Fixed Price	C-9-1120	OrbCAD Core Build Updgrade	June 26, 2019	June 30, 2020		\$ 985,733
Subconsultants:						
Contract Type: Firm Fixed Price	C-9-1055	ArcGIS Map Engine Upgrade	June 20, 2019	June 30, 2020		\$ 137,056
Subconsultants:						
Contract Type: Firm Fixed Price	C-6-1273	Material and Installation for the Intelligent Transit Management System (ITMS) on 17 iShuttle Fixed Route Buses	December 19, 2016	June 30, 2020		\$ 526,977
Subconsultants:						
					Subtotal:	\$ 4,369,416



Contractor Selection for the Back-Office System and Customer Service Center Operations for the 91 Express Lanes in Orange and Riverside Counties

Background

- Board of Directors approved the release of a Request for Proposals for Back-Office System and Customer Service Center (BOS/CSC) Operations Services for the 91 Express Lanes in April 2019
- Procurement was jointly developed with the Riverside County Transportation Commission
- Agencies utilized the services of a Project Management Consultant with tolling expertise to develop the scope of work
- Existing BOS/CSC Operations Services agreement expires in June 2021

Modernizing the 91 Express Lanes



Toll Lane Systems
Integrator Services
February 2018

Modernizing the 91 Express Lanes



Toll Lane Systems
Integrator Services
February 2018



Back-Office
System/Customer Service
Center Procurement
October 2019

Modernizing the 91 Express Lanes



Toll Lane Systems
Integrator Services
February 2018



Back-Office
System/Customer Service
Center Procurement
October 2019



Roadway Services
Procurement
Mid-2020

Procurement Includes: Back-Office System

- Receives transactional data from the in-lane system
- Processes transactional data to customer accounts, interoperable agency accounts, and the Department of Motor Vehicles
- Also has functionality for the 91 Express Lanes website, inventory management systems, reporting systems, interactive voice response system, and customer service center
- External interfaces with credit card processing agencies, collections agency, mail house, etc.



Procurement Includes: Customer Service Center

- Customer service center staffing
- Telephone and walk-in customer service
- Customer account establishment
- Transponder inventory
- Violations processing
- Mailroom operations
- Scanning operations



Procurement Includes: Other Operational Functions

- Finance and accounting
- Standard and ad-hoc reporting
- Phone systems
- Traffic Operations Center staffing
- Emergency services coordination
- Oversight of collections and merchant banking services contracts
- Information Technology staffing for datacenter equipment and Payment Card Industry Data Security Standard requirements



Procurement Process

- Request for Proposals released on April 22, 2019
- Evaluation team established from four tolling/transportation agencies
- Received four proposals
- Short-listed two firms and interviewed on August 27, 2019
 - Cofiroute USA, LLC
 - Conduent Transportation
- Evaluation team recommends the selection of Cofiroute USA, LLC

Cofiroute USA, LLP Proposed Cost

	Existing Agreement Price*	Independent Cost Estimate	Cofiroute's Proposed Agreement Price
BOS Implementation Phase	N/A	\$8.500 M	\$7.125 M
Operations and Maintenance Phase (Years 1-5)	\$28.470 M	\$27.100 M	\$28.296 M
OCTA Share	N/A	\$35.600 M	\$35.421 M
RCTC Share	N/A	\$37.450 M	\$37.562 M
Total	N/A	\$73.050 M	\$72.983 M

* - Current agreement spans four and a half years.

BOS – Back-Office System

RCTC – Riverside County Transportation Commission

Recommendations

- Approve the selection of Cofiroute USA, LLP, as the firm to provide the back-office system and customer service center operations services for the 91 Express Lanes in Orange and Riverside counties.
- Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1177 among OCTA, RCTC, and Cofiroute USA, LLC., in the amount of \$72,982,804, to provide the back-office system and customer service center operations services for the 91 Express Lanes in Orange and Riverside counties, for an initial term of seven years with two three-year option terms. The designated share for OCTA will be \$35,420,566.

Next Steps

- Seek OCTA Board approval on November 11, 2019, and RCTC Board approval on November 13, 2019
- Finalize contract and issue notice to proceed
- Migrate customer data to new back-office system and prepare operational systems in the customer service center
- Transition all systems and commence operations under new agreement in July 2021



COMMITTEE TRANSMITTAL

November 11, 2019

To: Members of the Board of Directors
From: *RW*
Laurena Weinert, Clerk of the Board
Subject: Measure M2 2019 Update: Next 10 Delivery Plan

Executive Committee Meeting of November 4, 2019

Present: Chairman Shaw, Vice Chairman Jones, and Directors Davies, Hennessey, and M. Murphy
Absent: Directors Bartlett and Do

Committee Vote

This item was passed by the Members present.

Committee Recommendations

- A. Adopt the 2019 Measure M2 Next 10 Delivery Plan with updated financial assumptions.
- B. Direct staff to continue to monitor revenue and project cost impacts that could affect the delivery plan and return to the Board of Directors with changes if necessary.



November 4, 2019

To: Executive Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Measure M2 2019 Update: Next 10 Delivery Plan

Overview

The Measure M2 Next 10 Delivery Plan was approved on November 14, 2016, incorporating the 2016 revenue forecast with a plan for continued acceleration of the delivery of Measure M2 freeway, streets and roads, transit, and environmental projects through the year 2026. With annual updates to the Measure M2 sales tax revenue forecasts, staff reviewed the Next 10 Delivery Plan 2018 update and, once again, confirmed that it remains deliverable. The results of this effort are presented to the Board of Directors.

Recommendations

- A. Adopt the 2019 Measure M2 Next 10 Delivery Plan with updated financial assumptions.
- B. Direct staff to continue to monitor revenue and project cost impacts that could affect the delivery plan and return to the Board of Directors with changes if necessary.

Background

Expedited delivery of Measure M2 (M2) began in 2007 and has continued to date in an effort to bring transportation improvements to the public as early as possible. The 2008 Great Recession and growth in online sales and changes to consumer spending habits resulted in reductions to the M2 sales tax revenue forecast. In response, the Orange County Transportation Authority (OCTA) Board of Directors (Board) proactively revised the forecasting methodology and adjusted delivery plans to ensure the M2 plan of projects and programs is implemented as promised to the voters.

The initial strategy to overcome the drop in M2 revenues for the freeway program included reliance on external revenues rather than exclusive use of M2 revenues, as originally designed. This strategy, combined with availability of one-time state and federal grants and effective use of bonding, allowed OCTA to capitalize on competitive construction market conditions to continue expedited delivery of M2 Capital Program elements.

To date, there have been three early delivery plans. These include: an Early Action Plan adopted in 2007, an M2020 Plan adopted in 2012 (intended to go through 2020 but replaced in 2016 to address changes in M2 revenues), and the Next 10 Delivery Plan (Next 10 Plan) adopted on November 14, 2016, that spans ten years through 2026.

With the adoption of the Next 10 Plan, the Board directed staff to dedicate and set aside local revenues through the allocation of net excess 91 Express Lanes revenue for eligible projects. The two eligible projects are on State Route 91 (SR-91): Project I, between State Route 57 (SR-57) and State Route 55 (SR-55), and Project J, between SR-55 and the Riverside County line. This approach continued with the review and approval of the updated Next 10 Plan on November 13, 2017, and last year on September 10, 2018.

Staff continues to incorporate strategies to ensure the complete M2 program of projects can be delivered through tight project scope management, including refinements as appropriate, adjusting schedules, and aggressively seeking external revenue.

Discussion

On October 28, 2019, the Board received the 2019 M2 sales tax revenue forecast of \$13.4 billion. This increase from \$13.1 billion to \$13.4 billion represents a \$300 million gross increase from what was assumed in the 2018 Next 10 Plan. The increase is driven by the growing economy and the implementation of the Wayfair decision in California. The Wayfair-related legislation enabled the collection of sales tax for out-of-state transactions. As a result of the decision, increased sales tax receipts were incorporated in the short-term forecast provided by MuniServices, LLC, which increased the overall long-term forecast. This increase in the M2 sales tax forecast is the first increase in sales tax revenue projections since 2014.

In general, revenues fluctuate over time. The M2 expenditure plan includes programmatic items with specific percentages, such as 32 percent for streets and roads, which adjusts according to available revenues. However, the freeway portion defines specific projects which cannot be easily adjusted according to revenue shifts.

Next 10 Plan Cash Flow Update

For the 2019 Next 10 Plan review and update, forecasted revenues and costs through 2041 were tested. This effort was conducted to ensure the complete M2 Program could be delivered consistent with commitments provided to the voters as part of the M2 approval in November 2006. The Next 10 Plan cash flow incorporates the revised revenue forecast of \$13.4 billion, with prior commitments in programmed local, state, and federal external revenues. Revenues and expenses are merged into a cash flow model. Bond assumptions are also included to support the project delivery schedules in the freeway program. In this update, the increase in the revenue forecast and refined project costs from completing higher level engineering studies has resulted in reducing bond assumptions to only one planned issuance in 2023, thereby reducing bond interest costs compared to the 2018 plan.

While additional debt is not required to deliver the Next 10 Plan deliverables, in the event the construction market was to change, additional bonding capacity is available. OCTA's debt coverage ratios are well above the allowable amount of 1.3x. The minimum forecasted debt coverage ratio during this period is 5.6x, which provides substantial bonding capacity. This offers significant financial protection against unforeseen economic changes related to project delivery. The updated 2019 Next 10 Plan is included as Attachment A. An M2 cash flow summary chart showing a positive ending balance in all years is included as Attachment B, demonstrating that the full program (through 2041) is deliverable. Specific Next 10 Plan elements are described in the following sections.

Freeway Program

As a result of the increase in the forecasted sales tax and interest revenue, the freeway program is anticipated to receive an additional \$183.6 million in net revenue through 2041. In addition, each project in the freeway program was reviewed and cost estimates updated. With the majority of projects now either nearing completion of the environmental phase or in design, project cost estimates have a higher level of engineering and higher confidence. While some project costs increased, others decreased, which resulted in a net decrease of \$142.2 million. With sales tax revenue up and freeway project costs down, this resulted in a net positive in the freeway program of \$326.8 million. This allows for less reliance on bonding, reducing bond interest costs, and providing savings in the freeway program while at the same time continuing to expedite projects. As noted earlier, should the freeway program require additional revenue to support project expenditures, there is significant bonding capacity available. This results in a delivery plan (through 2041) that remains solvent. More detailed Next 10 Plan program assumptions for the freeway program can be found on page 103 of Attachment A.

There are two deliverables included in the Next 10 Plan related to the freeway program. Deliverable 1 includes a commitment of 12 designated projects to be prioritized and funded through construction which, in addition to the nine prior completed projects, total approximately \$3.5 billion.

Deliverable 2 includes a commitment to environmentally clear all remaining M2 freeway projects making them shelf-ready for early advancement as M2 projects become defined and as external funding becomes available. The deliverable includes \$715 million in M2 capacity to designate and advance additional projects. In total, with Deliverable 1, the Next 10 Plan commits \$4.3 billion in freeway program improvements through construction. Of the nine remaining M2 projects, six are either environmentally cleared or wrapping up environmental clearance. This 2019 Next 10 Plan update designates five of the nine remaining projects for advancement through construction. The remaining four projects have been identified as needing additional time or study prior to being advanced. See below tables for the breakdown.

Environmental Projects Advanced to Construction		Construction Complete	Cost
1. Project M	I-605 Katella Avenue Interchange	2025	\$ 28.6
2. Project G	SR-57 NB Orangewood Avenue to Katella Avenue	2026	\$67.8
3. Project B	I-5 between I-405 and Yale Avenue	2028	\$234.4
4. Project B	I-5 between Yale Avenue and SR-55	2028	\$204.3
5. Project F	SR-55 between I-5 and SR-91	2028	\$122.4
		Deliverable 2 Total	\$657.5

I-605 - Interstate 605 / SR-57 - State Route 57 / NB - Northbound / I-5 - Interstate 5 / I-405 - Interstate 405 / SR-55 - State Route 55

The remaining four projects (projects 6 through 9 below) listed below have specific reasons related to the application of the Guiding Principles that require additional time prior to advancement. An explanation is provided in Attachment C.

Environmental		Cleared/ Shelf-Ready	Cost
6. Project L	I-405 between I-5 and SR-55	2018	\$238.8
7. Project D	I-5 El Toro Road Interchange	2020	\$112.3 ¹
8. Project G	SR-57 NB Lambert Road to County Line	2026	\$167.5 ¹
9. Project J	SR-91 between SR-241 and I-15	2026	\$292.5 ¹
		Remaining M2 Freeway Projects Total	\$811.1 ²

SR-241 - State Route 241 / I-15 - Interstate 15

¹ These cost estimates are preliminary and will be updated once the project alternative is selected at the completion of environmental clearance.

² The total will be revised once the three remaining projects (Project D, G, and J) complete environmental clearance and have a selected project alternative.

Included in the freeway program is the Environmental Mitigation Program. The Next 10 Plan includes a deliverable to ensure the ongoing preservation of purchased open space to address the environmental impacts of freeway projects and streamline project approvals.

Streets and Roads Program

The M2 expenditure plan includes programmatic items which adjust according to available revenues and are cash flowed on a pay-as-you-go basis. The funding assumptions in the streets and roads mode assume \$4.8 billion in total revenue, with costs for the same period totaling \$4.8 billion. The Streets and Roads Program relies on the total receipt of \$600 million in external revenues (state, federal, and local), primarily for the OC Bridges grade separation projects. More detailed Next 10 Plan program assumptions can be found on page 106 of Attachment A.

The Next 10 Plan includes a commitment to allocate up to \$1 billion, with up to \$400 million in competitive funding and \$600 million in flexible funding to local jurisdictions for streets and roads improvements. This deliverable also included the completion of all seven grade separation projects as part of the OC Bridges program which was completed in 2018. The cash flow assumes up to \$40 million in annual calls for road improvement projects and for synchronization of signals.

Transit Program

The M2 expenditure plan includes programmatic items which adjust (except for Project U's Fare Stabilization Program) according to available revenues. Despite not adjusting to available revenues due to changes in ridership and an early amendment providing additional funding, the fare stabilization program remains solvent. The remaining transit mode programs are cash flowed on a pay-as-you-go basis. The transit program assumes \$3.8 billion in total revenue, with costs for the same period totaling \$3.8 billion. Funding for the transit mode assumes the total receipt of \$527.2 million in local, state, and federal revenues. This number is inclusive of \$148.96 million in Federal New Starts and \$25.52 million in State Cap-and-Trade revenues to partially fund the OC Streetcar project. More detailed Next 10 Plan program assumptions can be found on page 106 of Attachment A.

The Next 10 Plan is slated to provide up to \$1 billion in five deliverables for transit improvements, including support for Metrolink service expansion, implementation of the OC Streetcar, expanded mobility for seniors and persons with disabilities, funding for community circulators, and enhanced passenger amenities for Orange County's busiest bus stops.

Environmental Cleanup Program

The increase in forecasted revenue, provides an additional \$6.5 million for the Environmental Clean Up Program (ECP), which assumes \$268 million in total revenue, with costs for the same period totaling \$267 million. The ECP is programmatic, which adjusts to available revenues and is cash flowed on a pay-as-you-go basis. More detailed Next 10 Plan program assumptions can be found on page 106 of Attachment A. The Next 10 Plan commits to \$40 million in environmental cleanup projects intended to prevent the flow of trash and debris into waterways.

With careful management of the projects and use of financial resources, the full scope of the M2 Program is on track to be delivered as promised.

Key Financial Risks and Actions to Protect M2 Delivery

The Next 10 Plan deliverables for projects and programs are not without risks. While the M2 Program continues to demonstrate financial stability and the ability to deliver the complete M2 plan of projects and programs, OCTA remains cognizant of risks. These include financial, construction market, resource, and regulatory risks. A table of risks is included on pages 6 through 7 of Attachment A, with two of the key risks highlighted below.

- Sales Tax Revenues – OCTA has been challenged with actuals not aligning with revenue forecasts and annual forecast updates coming in lower year over year. However, this year's forecast by university economists and tax experts resulted in a higher forecast than the previous year. Although this is very positive, there are no assurances and, hence, the revenue outlook continues to be a risk item to watch.
- Potential for Cost Increases Impacting Freeway Delivery – Last year's Cost Pressure Index, reported by OCTA's contracted market forecast consultants, identified a potential that OCTA could experience a cost increase of between six to 11 percent during the 2018 through 2020 time period of construction activity. The most recent update suggests a tempering and reflects a two to six percent potential increase looking forward between 2020 and 2022. Other influences, such as tariffs which are not quantifiable, can change the outcomes.

In order to mitigate cost pressures, OCTA's Project Controls Department monitors and adjusts project cost escalation assumptions according to market trends. The Project Controls Department's cost estimating process uses historical information, as well as current trends in the market, and follows a consistent and defined process. Looking back at the last 20 years, OCTA's cost estimates have

included a three percent escalation which, on average during this timeframe, provided the appropriate escalation to deliver projects successfully. For this Next 10 Plan update, M2 project costs incorporate a 3.5 percent escalation factor for construction, as well as reasonable contingency based on project type and complexity to protect against construction market pressures.

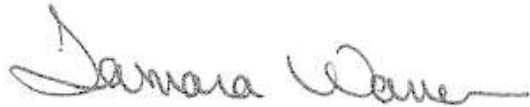
Updated revenue assumptions and commitments, along with revised bonding assumptions, result in a delivery plan that remains solvent. A balanced plan not only allows OCTA to secure favorable bond ratings when financing, but also allows OCTA to weather reasonable changes to cost or revenues. With a solvent cash flow, the prior Next 10 Plan deliverables remain as adopted and include the designation of five additional freeway projects for advancement through construction. The updated deliverables are included along with a progress report as Attachment D.

Summary

In response to the latest revenue forecast, staff reviewed the Next 10 Plan and updated the revenues, bonding assumptions, project costs, and schedules into the M2 cash flow. The result of the review and update demonstrates a delivery plan that remains solvent. The 2019 updated Next 10 Plan is presented for Board review and approval.

Attachments

- A. Measure M2 Role, Sustainable Communities Strategy
- B. 2019 Update, Next 10 Delivery Plan, 2017-2026, Draft
- C. 2019 Updated Next 10 Delivery Plan, M2 Program Cash Balance
- D. 2019 Updated Next 10 Delivery Plan, Remaining Measure M2 Freeway Projects
- E. 2019 Updated Next 10 Delivery Plan, Progress Report on Deliverables

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Measure M2 Role Sustainable Communities Strategy

Measure M2 (M2) is a balanced plan that not only delivers capital improvements but supports and enhances the ability of the Orange County Transportation Authority to meet the regional Sustainable Communities Strategy in Orange County. M2 projects and programs are part of a larger suite of transportation improvements included in the 30-year M2 Plan. More than 50 percent of M2 funds are intended to fulfill transit, system optimization, enhanced environmental elements, and infrastructure preservation goals. In addition, the funding eligibility criteria encourages local agencies to consider accommodations for transit and non-motorized transportation.

The M2 Program was publicly reviewed through a Program Environmental Impact Report prior to voters approving the ballot measure in November 2006. Since 2008, the M2 Program has been included in the regional transportation plans, Sustainable Communities Strategies, and the associated program environmental impact reports prepared by the Southern California Association of Governments .

In addition to funding freeway improvements, the M2 Program dedicates funding for many transit and local street improvement projects. These include improvements, such as:

- New transit connections between major Orange County activity areas that reduce the need for short automobile trips;
- Enhanced convenience and reliability for bus services and Metrolink commuter rail to encourage transit as a dependable commute option;
- Local funding for development of multimodal corridors and roadway preservation that improves the quality of mobility for all users; and,
- Signal synchronization on 750 miles of roadways throughout Orange County to reduce congestion and tailpipe emissions.

The Freeway Environmental Mitigation Program has preserved 1,300 acres of wild lands that will be converted to the Preserves to enhance connectivity and wildlife movement between existing conservation areas - such as the Cleveland National Forest, the Chino Hills State Park, and the Irvine Ranch Conservancy lands - and to coastal areas. Furthermore, the program also provides critical habitat for endangered or listed species. Additionally, since M2 inception the Environmental Cleanup Program has funded nearly 200 projects, totaling over \$51.8 million to treat storm water runoff, and help keep waterways and beaches clean in Orange County. The aforementioned transit, local streets, and environmental programs collectively contribute to and enhance the quality of life, as well as provide a sustainable future, and an efficient transportation system that benefits the region.

Measure M2 Role Sustainable Communities Strategy

Brief summaries of the specific programs are listed below.

- ✓ Projects A through N – Freeway improvements and Freeway Service Patrol to provide emission reductions through congestion relief.
- ✓ Project O and Project P – Signal synchronization and street improvements that provide emission reductions through congestion relief and allow for bike and pedestrian project elements as appropriate.
- ✓ Project Q – Local funding for city-selected transportation projects that provides for preservation of the streets and roads system and flexibility to accommodate bike, pedestrian, water quality, and transit enhancements as eligible expenditures.
- ✓ Project R – Expanded Metrolink train capacity including improvements to stations and parking to improve transit reliability and convenience and reduce reliance on highways while also supporting potential transit-oriented development.
- ✓ Project S – Transit extensions to improve access between Metrolink stations and residential/employment centers, and provide an alternative to driving.
- ✓ Project T – Station improvements to connect to planned future high-speed rail services.
- ✓ Project U – Sustain mobility choices for seniors and persons with disabilities and provides an alternative to driving.
- ✓ Project V – Community-based circulators to complement regional transit services with local communities and provides an alternative to driving.
- ✓ Project W – Transit stop improvements to support transfers between major bus lines, and support the implementation of mobile ticketing to ensure ease of fare purchase and convenience for bus passengers.
- ✓ Project X – Water quality improvement programs/projects to meet federal Clean Water Act standards for urban runoff, and augment required mitigations.
- ✓ Freeway Mitigation Program – Natural resource protection strategy to provide for more comprehensive mitigation of environmental impacts from M2 freeway improvements.

2019
UPDATE

NEXT 10

DELIVERY PLAN

2017-2026

DRAFT



UPDATED NOVEMBER 2019



On November 11, 2019 the Orange County Transportation Authority (OCTA) Board of Directors (Board) will consider adoption of the Draft 2019 Updated Next 10 Delivery Plan (Next 10). Original commitments from the adopted Next 10 Plan remain largely unchanged except for naming additional projects to be moved from environmentally cleared/shelf-ready to a commitment through construction. The 2019 update of the Next 10, includes revised revenue assumptions as well as updated project information including cost estimates, schedules and external funding.

Printed November 2019

**For the latest version of the Next 10 Plan,
including any edits or corrections,
please visit: www.octa.net/Next10**

**For status updates on M2 projects and programs,
including quarterly progress reports,
please visit: www.octa.net/m2**

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2019
UPDATE

NEXT 10

DELIVERY PLAN

Introduction

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2019 UPDATE NEXT 10 DELIVERY PLAN



Introduction

On November 7, 2006, Orange County voters, by a margin of 69.7 percent, approved the renewal of the Measure M one-half cent sales tax for transportation improvements. Voters initially endorsed Measure M in 1990 (M1) with a sunset in 2011. With the approval of Renewed Measure M (M2), the voters agreed to a continued investment of local tax dollars in Orange County's transportation infrastructure for another 30 years to 2041.

Since M2 (also branded externally as OC Go) approval, the Orange County Transportation Authority (OCTA) Board of Directors (Board) has continued to pursue the expeditious implementation of M2 through the adoption of a series of early delivery plans. These early delivery plans are designed to ensure the delivery of all projects and programs as promised to the voters. The goal is to bring transportation improvements earlier to residents and commuters of Orange County, and as appropriate, address changes in sales tax revenue projections through strategic financing and augmenting the program with external revenue. To date, there have been three early delivery plans. These include: an Early Action Plan (EAP) adopted in 2007, an M2020 Plan adopted in 2012 (intended to go through 2020), and the Next 10 Delivery Plan (Next 10 Plan). Due to changes in sales tax revenue projections, the M2020 Plan was replaced after four years with the Next 10 Plan that spans ten years through 2026. See the M2 Timeline on the following page.

On November 14, 2016 the Next 10 Plan was approved by the Board, providing a blueprint for continued advancement of M2 projects and programs from Fiscal Year (FY) 2016-17 through FY 2025-26. To ensure and reconfirm the ability to deliver the Next 10 Plan, annual reviews and updates have taken place incorporating changes in sales tax revenue forecast assumptions, external revenue, and project cost and schedule revisions.

A summary of the adopted plan and annual updates of the base assumptions follow:

- The 2016 adopted Next 10 Plan set M2 project and program priorities based on a revenue forecast of \$14.2 billion through 2041. The Next 10 Plan revenues were augmented by net excess 91 Express Lanes (EL) revenue, in an amount not to exceed the project costs for two eligible projects - Project I between State Route 55 (SR-55) and State Route 57 (SR-57), and Project J between State Route 241 (SR-241) and the Riverside County line. The supplemental funding is designated to improvements on the 91 Corridor.

- The 2017 update of the Next 10 Plan incorporated a revised \$13.5 billion revenue forecast and required bonding adjustments and inclusion of the full amount of eligible excess 91 EL revenue. The update also designated Project I as one of the priority projects for advancement and included plans to initiate construction by 2026.
- The 2018 update incorporated a revised \$13.1 billion revenue forecast offset by a nearly \$300 million increase in captured external revenue. The update also responded to construction market concerns of potential project cost increases in the freeway program by incorporating a program level line item for economic uncertainty to ensure OCTA could weather fluctuations in M2 revenue receipts. The 2018 update anticipated up to four bond issuances during the Next 10 plan period to accommodate market changes if necessary.

M2 Timeline



2019 Review

On October 28, 2019, the Board received the 2019 sales tax revenue forecast of \$13.4 billion. This increase from \$13.1 to \$13.4 represents a \$300 million gross increase from what was assumed in the 2018 Next 10 Plan and is the first increase in the M2 forecast since 2014. The increase is driven by the growing economy and the implementation of the Wayfair decision in California. The Wayfair related legislation enabled the collection of sales tax for out-of-state transactions. As a result of the decision, increased sales tax receipts were incorporated in the short-term forecast provided by MuniServices, LLC which increased the overall long-term forecast.

To ensure the delivery of the Next 10 Plan, staff reviewed and updated the cash flow for the complete M2 plan of projects and programs. The 2019 update incorporates the higher M2 sales tax revenue forecast, current programmed external revenue, and revised (lower amount needed) bonding assumptions while maintaining project delivery schedules. Original project delivery commitments remain unchanged, although the 2019 update

identifies a new group of projects (from the environmentally cleared shelf-ready list) to move forward through construction. In addition, refinements were made to account for updated project cost estimates and schedules. Through this process, staff confirmed once again that the Next 10 Plan remains deliverable.

Next 10 Plan Delivery Risks

The Next 10 Plan deliverables for projects and programs are not without risks. While the M2 Program continues to demonstrate financial viability and ability to deliver the complete M2 plan of projects and programs, OCTA remains cognizant of risks. These include financial, construction market, resource, and regulatory risks. A table of risks is included on pages 6 through 7 with two key risks highlighted below.

Sales Tax Revenues – OCTA has been challenged with actuals not aligning with revenue forecasts and annual forecast updates coming in lower year over year. For FY 2019, sales tax actuals grew at 3.4 percent versus the budgeted growth rate of 3.7 percent. However, this year's forecast by university economists and tax experts resulted in a higher forecast than the previous year. Although this is very positive, there are no assurances and, hence, the revenue outlook continues to be a risk item to watch.

OCTA regularly compares actual sales tax receipts with the forecast and provides updates to the Board quarterly.

Potential for Cost Increases Impacting Freeway Delivery – In September of 2017, a Next 10 Market Conditions Forecast and Risk Analysis Report was conducted by local economists Dr. Wallace Walrod and Dr. Marlon Boarnet and identified a strong potential that OCTA would experience an increasing-cost environment during delivery of the Next 10 Plan. Following Board direction, staff worked with the consultant team to create a construction cost pressure index providing a range of potential cost fluctuations. The 2018 index identified a potential that OCTA could experience a cost increase of between six to 11 percent during the 2018 through 2020 time period of construction activity. The most recent update suggests a tempering and reflects a two to six percent increase looking forward between 2020 and 2022. This is discussed further on page 20 in the section discussing Future Outlook.

In order to be successful, OCTA needs to be aware and prepared to manage risks in several areas. A summary table of the risks, explanations, and suggested management actions are identified on the following pages and are tracked and reported in the M2 Quarterly Progress Reports presented to the Board, following each fiscal year quarter.

Delivery Risk		Explanation	Planned Action
	On Track		One to Watch
Financial			
1	The 2019 M2 revenue forecast estimate is \$13.4 billion, which represents a 45 percent decrease in forecasted revenue compared to projections used to develop the expenditure plan. If sales tax revenue continues to be lower than projections, this will further challenge delivery.	Sales tax revenues were impacted by the recession and changes in consumer spending habits. However, the recent increase provides a positive indication that the forecast may have stabilized.	The 2019 higher forecast provides a positive change which gives relief to the reliance on external funding to deliver the Freeway Program. OCTA will continue to actively pursue available state and federal revenue, and work with Caltrans to identify cost effective freeway alternatives.
2	Inability to scale the M2 Freeway Program to available revenue and still deliver the promise.	The M2 Freeway Program includes set project scopes leaving very little flexibility in what is delivered.	OCTA will work closely with Caltrans to apply value engineering strategies on projects to manage costs.
3	Schedule and scope changes on critical capital projects impacting delivery and project costs.	Changes as a result of updated highway standards or issues identified in the field regularly impact scope and schedule and ultimately costs.	Continue tight rein on project delivery. Work closely with Caltrans and project contractors to keep changes in scope and schedule to a minimum.
4	Sustain Metrolink train service as an attractive alternative to driving in Orange County with the limits of available revenue.	Operational costs of Metrolink service continues to grow as the system ages, track-sharing arrangements with BNSF are revised, and new air quality requirements are implemented.	Staff will continue to work closely with Metrolink and our partners to ensure cost increases are minimized, while seeking external revenue.
5	The Next 10 Market Forecast and Risk Analysis identified strong potential for an increasing-cost environment during the Next 10 timeframe. While this continues to exist, recent bid openings indicated this may be tempering.	OCTA continues to monitor and track key early warning indicators. A construction cost pressure model was created providing insight on forecasting capital cost risks.	Continue with early delivery of projects providing opportunity for cost savings (reduces outyear escalation). The cash flow includes built in economic uncertainty funding and extremely conservative bonding assumptions which can be increased if needed. While bid items have increased, changes to overall project costs remain manageable.

Resource			
6	Extremely low unemployment and substantial work underway in the region, has resulted in significant demand for professional and skilled labor which can impact delivery given the scope of the M2 capital program.	External demand for key talent creates shortages which drive up project delivery costs. Timely capital project completion is key to reduce project delivery risk.	Expert and timely coordination between OCTA and Caltrans are imperative to manage risk. Staff is working with Caltrans to ensure resource needs are met. OCTA's Human Resources Division continues to implement programs to retain and attract internal talent.
7	New operational responsibilities with the OC Streetcar.	Implementation of the OC Streetcar expands OCTA's operational responsibilities. OCTA has a strong track record in operating transit systems including both a fixed and demand-based bus network.	To ensure success of the OC Streetcar, OCTA hired an operations manager with experience to oversee startup and daily operations.
Regulatory			
8	New federal and statewide directives create additional limitations for use of transportation dollars which could affect freeway projects.	New directives with greenhouse gas reductions, managed lane corridors focus, as well as an emphasis on transit provides new hurdles that eliminate some sources of funding for OC Go freeway improvements.	OCTA will monitor new directives and work closely with our partners including Caltrans to ensure that M2 projects stay true to the voter commitment and compete for funding as appropriate.

Guiding Principles

During the development of the EAP, guiding principles were established that set the direction for staff on establishing priorities for freeway project acceleration. These guiding principles continue to instruct us today and were used to identify projects to recommend moving from the environmentally cleared/shelf-ready list to early funding through construction.

- Project Readiness
- Congestion Relief and Demand
- External Funding Availability
- Public Opinion and Support
- Project Sequencing and Connectivity
- Project Duration

Updated Next 10 Plan Deliverables

The updated Next 10 Plan is based on ten deliverables intended to provide guidance on program and project delivery during the ten-year period 2017 through 2026. With three years of the ten-year plan complete, progress on the ten deliverables is significant and accomplishments to date are discussed in the following sections.

Freeways

1. Deliver ~\$3.5 billion of freeway improvements approved through construction (Projects A-M).

Status:

The M2 freeway program is currently made up of 30 projects or project segments (projects). While the total number of projects increased from 27 (2018) to 30 in 2019, the project delivery commitment remains the same. At the point of Next 10 adoption, nine of the 30 total projects were completed for a total cost of \$463 million. Deliverable 1, includes 12 of the 30 projects to be delivered (or underway) within the Next 10 timeframe including SR-91 between SR-57 to SR-55 (Project I) funded with 91 Express Lanes excess revenue. Together, the projects designated for completion or near completion) by 2026 currently make up a \$3.1 billion delivery promise. The \$3.5 billion deliverable commitment includes prior completed projects. See Appendix for a table of the completed projects.

During the Next 10 Plan, three projects on Interstate 5 (I-5) between Avenida Pico and San Juan Creek Road, opened to traffic, adding six miles of carpool lanes. The remaining nine projects are moving forward through project delivery process and are shown below.

Completed		Construction Complete	Cost
Nine Projects Completed Prior to Next 10		2008-2016	\$463.3
1. Project C	I-5 between Avenida Pico and Avenida Vista Hermosa	2018	\$83.5
2. Project C	I-5, Vista Hermosa to Pacific Coast Highway	2017	\$75.7
3. Project C	I-5 between Pacific Coast Highway and San Juan Creek Rd.	2018	\$75.5
In Construction			
4. Project A	I-5 between SR-55 and SR-57	2021	\$41.5
5. Project C, D	I-5 between Oso Pkwy and Alicia Pkwy/La Paz Interchange	2023	\$203.1
6. Project K	I-405 between SR-73 and I-605	2023	\$1,425.0
In Design			
7. Project C	I-5 between Alicia Parkway and El Toro Road	2024	\$182.0
8. Project C, D	I-5 between SR-73 and Oso Pkwy/Avery Pkwy Interchange	2025	\$196.1
9. Project F	SR-55 between I-405 and I-5	2025	\$410.9
In Environmental			
10. Project I	SR-91 between SR-55 to Lakeview Avenue	2027	\$102.5
11. Project I	SR-91 between La Palma Avenue to SR-55	2027	\$223.1
12. Project I	SR-91 between Acacia Street to La Palma Avenue	2028	\$109.7
Deliverable 1 Grand Total			\$3,591.9

2. Invest approximately \$715 million more in revenues, bringing the completed Freeway Program improvements to \$4.3 billion (Projects A-M).

Status: The nine remaining projects (of the 30 total) are environmentally cleared or on track to be cleared by 2026, making them shelf-ready for future advancement. Deliverable 2 includes approximately \$715 million in funding to move projects directly into design and construction. Using the Guiding Principles adopted by the Board (see page 6), projects 1 through 5 listed below are recommended for advancement through construction.

In all, during the Next 10 time-period, approximately \$4.3 billion in freeway improvements promised to the voters in M2 is committed to be completed or underway by 2026.

Advance to Construction			Environmental Complete	Construction Complete	Cost
1.	Project M	I-605 Katella Avenue Interchange	2018	2025	\$ 28.6
2.	Project G	SR-57 NB Oranewood Ave. to Katella Ave.	2019	2026	\$ 67.8
3.	Project B	I-5 between I-405 and Yale Avenue	2020	2028	\$234.4
4.	Project B	I-5 between Yale Avenue and SR-55	2020	2028	\$204.3
5.	Project F	SR-55 between I-5 and SR-91	2020	2028	\$122.4
Deliverable 2 Total					\$657.5

Next 10 Deliverable 1 and 2 Funding Commitment	\$4,300
2019 Update Deliverable 1 and 2 Included Projects	\$4,249
Deliverable 1 and 2 Balance of \$51 million	

The remaining four projects (projects 6 through 9 below) listed have specific reasons related to the application of the Guiding Principles that require additional time prior to these projects being recommended for advancement which are described below.

Remaining Projects			Environmentally Clear Shelf-Ready	Cost
6.	Project L	I-405 between I-5 and SR-55	2018	\$238.8
7.	Project D	I-5 El Toro Road Interchange	2020	\$112.3 ¹
8.	Project G	SR-57 NB Lambert Road to County Line	2026	\$167.5 ¹
9.	Project J	SR-91 between SR-241 and I-15	2026	<u>\$292.5¹</u>
Remaining M2 Freeway Projects Total				\$811.1²

M2 Freeway Program (all projects)	Total \$5,061³ billion
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¹ These cost estimates are preliminary and will be updated once the project alternative is selected at the completion of environmental clearance.

² The total will be revised once the three remaining projects (Project D, G, and J) complete environmental clearance and have a selected project alternative.

³ This total will be revised once the three remaining projects (Project D, G, and J) complete the environmental phase and have a selected project alternative.

- Project L – I-405 between I-5 and SR-55 is a parallel facility to the two Project B segments on I-5 listed above. Only one project can move forward at a time due to construction on both creating excessive inconvenience to the traveling public. Project B was determined to be a higher priority project than Project L at this time, based on the guiding principles Project Sequencing and Connectivity and Project Congestion Relief and Demand. Congestion levels on the I-5 are higher than in the Project L, I-405 improvement area. The I-5 project improvement areas are highly constrained due to tight right-of-way and is therefore technically challenging requiring design variations. The I-5 project is a high cost project and leads to high risk of cost escalation if delayed. Additionally, a significant Caltrans safety project is scheduled to take place within the Project L project limits and will require additional coordination.
- Project D – I-5 El Toro Road Interchange is in the environmental clearance phase and has faced challenges determining a build alternative that has local support and consensus with the three stakeholder cities. Using the guiding principles – Readiness and Public Support, this project needs additional time before it moves forward. Built into M2 was a promise that projects would be delivered in cooperation with local jurisdictions. The three stakeholder cities (cities of Laguna Hills, Laguna Woods and Lake Forest) have been asked to work together to come to consensus on a mutually acceptable and viable alternative at which time the project will be ready to be advanced.
- Project G – SR-57 Northbound Lambert Road to Los Angeles County Line is scheduled to begin the environmental phase in the Next 10 Plan time frame. Through the SB1 Trade Corridor Enhancement Program, an initial phase for interchange improvements at Lambert Road interchange with SR-57 is currently underway. The mainline project is a strong candidate for additional trade corridor funding and OCTA will apply to compete for these funds in the coming year. The project will require some coordination addressing connectivity with Los Angeles County. Reviewing the guiding principles – Readiness, External Funding and Project Sequencing and Connectivity, a decision for moving this project into design following environmental clearance will be reviewed during the Next 10 Plan update or brought to the Board as a separate item.
- Project J – SR-91 between SR-241 and I-15 is part of a bigger package of improvements underway between OCTA and Riverside County Transportation Commission (RCTC) with a planned sequencing of project improvements in the 91 Corridor jointly agreed to by both OCTA and RCTC's Board. RCTC, with OCTA's support, is advancing the westbound portion of this project (between SR-241 and Green River Road) and is planned for construction in 2021. The eastbound lane project has engineering challenges due to project area topography (Santa Ana Canyon) and natural constraints (Santa Ana River) and requires an engineering feasibility assessment. Reviewing the guiding principles – Readiness and Project Sequencing and Connectivity, this project will move forward following the completion of the engineering feasibility assessment which is planned to take place in 2020.

Streets and Roads

- 3. Allocate up to \$1 billion, with up to \$400 million in competitive funding to local jurisdictions to expand roadway capacity and synchronize signals (Project O and P) and \$600 million in flexible funding to local jurisdictions to help maintain aging streets or for use on other transportation needs, as appropriate (Project Q). In addition to above, this deliverable also includes completion of the seven grade separations included in the OC Bridges program.**

Status: Since the adoption of the Next 10 Plan in November 2016, OCTA has awarded approximately \$90 million in competitive funding through the Regional Capacity Program (Project O) and Regional Traffic Signal Synchronization Program (Project P) through annual calls for projects. Additionally, \$162.1⁴ million in Local Fair Share (Project Q) funds have been distributed to local agencies. This brings the total allocation during the Next 10 Plan period to \$244.5⁴ million. Additionally, all seven bridges included in the OC Bridges program are complete.

Transit

- 4. Extend Metrolink service from Orange County into Los Angeles County, contingent upon cooperation and funding participation from route partners, complete six rail station improvements (Project R).**

Status: OCTA extended service on four intracounty trips to Los Angeles in October 2019. Two northbound trips that previously operated between Laguna Niguel/Mission Viejo and Fullerton have been extended to Los Angeles and two southbound trips now begin in Los Angeles extending beyond Fullerton. Additional service enhancements and extensions are scheduled to be added in April 2020 providing more options for travel between Los Angeles and San Diego counties from Orange County.

Within this program, funding is provided for rail corridor and station improvements to accommodate increased passenger train service - including station upgrades, parking expansions, and safety enhancements. The Next 10 Plan identifies six Metrolink station projects to be completed by 2026. Since adoption, four of the six projects have been completed. This includes improvements for passenger accessibility at the Laguna Niguel/Mission Viejo station, lighting and railing improvements for enhanced passenger safety at the San Clemente Pier station, elevator upgrades for increased passenger accessibility and reliability at the Fullerton Transportation Center station, and a new 600 space parking structure at the Orange Transportation Center station providing passengers with convenient and dependable parking. Two additional projects have completed design and are ready to move into construction. See progress on the next page.

⁴ Only includes disbursed funds. On May 13, 2019, the Board determined that the City of Santa Ana and the City of Stanton ineligible to receive M2 revenues. Disbursement of M2 funds have been suspended until the cities achieve compliance and the Board reconsiders the matter by May 2020.

Completed		Year
1.	Laguna Niguel/Mission Viejo Station American Disabilities Act Ramps	2017
2.	San Clemente Pier Metrolink/Amtrak Station Lighting	2017
3.	Fullerton Transportation Center Elevator Upgrades	2019
4.	Orange Station Parking Structure	2019
In Design		Anticipated Construction Complete
5.	Anaheim Canyon Metrolink Station	2021
6.	Placentia Metrolink Station	2021

Outside of the Next 10 Plan but important to Metrolink operations is the undertaking by Metrolink of a major systemwide rehabilitation program that, in addition to safety, will help improve system reliability and performance for commuters. This multi-year program needs to be funded over and above ongoing maintenance and operation costs. Analysis to date indicates that Orange County's share is manageable within the M2 funding limits as a result of past and present proactive efforts of OCTA. In addition, OCTA foresees the planned installation of the Metrolink Rail Maintenance Facility in Orange County will reduce ongoing operating costs and also allow for better efficiencies for future expansion.

5. Complete design and construction, secure vehicles, and begin operating the OC Streetcar (Project S) and work with local agencies to consider recommendations from planning studies to guide development of future transit connections (Project S).

Status: OC Streetcar - With strong FTA support for the project, a full-funding grant agreement (FFGA) was executed in November 2018 providing OCTA with \$149 million in federal funding to support the project. The OC Streetcar construction contract was executed and Notice to Proceed was issued on March 4, 2019 as well as the vehicle manufacturing contract. Construction activities are underway, including coordination with third parties on utility relocation, identifying the scope of services for the operations and maintenance contract and continued coordination with the Federal Transit Administration (FTA). Construction is anticipated to be complete with planned operations beginning in 2022.

6. Provide up to \$115 million in funding to expand mobility choices for seniors and persons with disabilities (Project U).

Status: Approximately \$31⁵ million has been provided for the Senior Mobility Program (SMP), the Senior Non-Emergency Medical Transportation Program (SNEMT), and the Fare Stabilization Program since the Next 10 Plan adoption.

⁵ Only includes disbursed funds. On May 13, 2019, the Board determined that the City of Santa Ana and the City of Stanton ineligible to receive M2 revenues. Disbursement of M2 funds have been suspended until the cities achieve compliance and the Board reconsiders the matter by May 2020.

The first of the three programs provided within Project U, is the SMP which provides funding for local transportation services to participating cities in Orange County. Participating agencies, design and implement transit service that best fits the needs of older adults (age 60 and above) in their communities. The second program, the SNEMT program provides funding to the County of Orange, Office on Aging for senior (60 and above) transportation to and from medical appointments, dentists, therapies, exercise programs, testing and other health related trips at a low cost to the rider then would otherwise be available. The third program is the Fare Stabilization program which provides stable discounted fares for seniors and persons with disabilities lowering the cost of riding transit.

7. Work with local agencies to develop a plan for the next community circulator projects to provide grant opportunities for local agencies to implement efficient local transit services (Project V).

Status: The Board has authorized four calls for projects in total with two occurring since the Next 10 adoption. Five projects for a total of \$5.1 million were funded through the 2018 call with another \$9 million available for the 2019 call underway, more projects are anticipated. Nineteen transit circulators are currently active. Staff continues to work with local jurisdictions through letters of interest requests and workshops to fine tune this program and seek successful projects for implementation.

8. Allocate up to \$7 million in funding to improve the top 100 busiest bus stops and support the modernization of the bus system to enhance the customer experience (Project W).

Status: Through two calls for projects in total, Board approval has resulted in 79 city-initiated improvements to busy bus stops on the OCTA transit system. Since the Next 10 adoption, the Board has made \$3 million available of which \$872,000 was allocated to the eligible local jurisdictions. The program is designed to ease transfers between bus lines and provide passenger amenities such as installation of bus benches or seating, shelters, improved lighting, and other passenger related amenities.

Environmental

9. Ensure the ongoing preservation of purchased open space which provides comprehensive mitigation of the environmental impacts of freeway improvements and higher-value environmental benefits in exchange for streamlined project approvals.

Status: In 2017, OCTA received biological resource permits after completing a state and federal Natural Community Conservation Plan/Habitat Conservation Plan (Conservation Plan) for the Environmental Mitigation Program (EMP), allowing streamlined project approvals for the freeway improvement projects. The Conservation Plan also includes a streamlined process for coordination for streambed alternation agreements. In January 2018, the OCTA secured programmatic permits and assurances for federal and state clean water permitting requirements. Receipt of these permits represent the culmination

of years of collaboration and support by the Board, environmental community, and regulatory agencies.

To ensure ongoing preservation of the open space, an endowment was established to pay for the long-term management of the conservation properties (Preserves). Approximately \$2.9 million will be deposited annually. The third deposit was made in July 2019 bringing the total endowment funding to approximately \$12.4 million including interest. The total endowment balance to date is performing above original projections due to higher investment earnings and lower fees.

10. Work with the Environmental Cleanup Allocation Committee (ECAC) to develop the next tiers of water quality programs with a goal of providing up to \$40 million in grants to prevent the flow of trash, pollutants and debris into waterways from transportation facilities. In addition, focus on improving water quality on a regional scale that encourages partnerships among the local agencies as part of the Environmental Cleanup Program (ECP) (Project X).

Status: Since adoption of the Next 10 Plan in November 2016, OCTA has issued three calls for Tier 1 ECP projects. The Board awarded approximately \$7.6 million to fund 39 Tier 1 projects. Staff anticipates the next Tier 2 call in 2021, dependent on projected cash flow and local jurisdictions' interest in potential viable Tier 2 projects.

In total, during the Next 10 time period (2017-2026) more than \$6 billion in transportation improvements promised to the voters in M2 will be completed or underway by 2026. The Next 10 Plan deliverables were designed to make improvements to Orange County freeways, streets and roads, transit systems and protect the environment. Despite revenue fluctuations, the \$6 billion plan to support the goals remains on track with significant accomplishments to date.

Oversight and Safeguards

The 2019 Next 10 Plan is taking place with the full oversight and regular reporting promised to the voters. Regular progress reports on implementing the Next 10 Plan are included in the M2 Quarterly Progress Reports that are prepared for the Board. These reports are included on the OCTA website, as well as other means, to ensure accessibility and transparency of the information. Contact information for the OCTA staff member responsible for each program or project is included.

Additionally, as specified in the M2 Ordinance No. 3, Section 10, there will be three performance assessments conducted during the Next 10 time period. Performance assessments are to be conducted at least once every three years to evaluate the efficiency, effectiveness, economy, and program results of OCTA in satisfying the provisions and requirements of the M2 Plan and Ordinance No. 3. These assessments will take place during years 2018, 2021, and 2024. The 2018 Performance Assessment

was extremely complimentary of OCTA's performance in efficiency, effectiveness and program results.

Also included in Ordinance No. 3, Section 11, the second ten-year comprehensive review of M2 programs and projects will be initiated at the end of the Next 10 time period. Due to the early initiation of project development activities prior to the start-up of revenue collection in 2011, the first review was completed in fiscal year 2015. The second review is planned to take place in fiscal year 2025 (or sooner if warranted) and will determine the basis for setting the direction of future refinements to the M2 Plan. The ten-year review includes a comprehensive review of all projects and programs implemented under the M2 Plan to evaluate the performance of the overall program and may result in revisions to further improve performance.

Sustainable Communities Strategy

It is important to note that M2 also supports and enhances the ability of OCTA to support the regional Sustainable Communities Strategy in Orange County. M2 projects and programs are part of a larger suite of transportation improvements included in the 30-year M2 Plan. More than 50 percent of M2 funds are intended to fulfill transit, system optimization, enhanced environmental elements and infrastructure preservation goals. In addition, the funding eligibility criteria encourages local agencies to consider accommodations for transit and non-motorized transportation.

M2 was publicly reviewed through a Program Environmental Impact Report prior to voters approving the ballot measure in November 2006. Since 2008, the M2 Program has been included in the Regional Transportation Plans, Sustainable Communities Strategies, and the associated Program Environmental Impact Reports prepared by the Southern California Association of Governments (SCAG).

In addition to funding freeway improvements, the M2 Program dedicates funding for many transit and local street improvement projects. These include improvements such as:

- New transit connections between major Orange County activity areas that reduce the need for short automobile trips;
- Enhanced convenience and reliability for bus services and Metrolink commuter rail to encourage transit as a dependable commute option;
- Local funding for development of multimodal corridors and roadway preservation that improves the quality of mobility for all users; and,
- Signal synchronization on 750 miles of roadways throughout Orange County to reduce congestion and tailpipe emissions.

The Freeway EMP has preserved 1,300 acres of wild lands that will be converted to the Preserves to enhance connectivity and wildlife movement between existing conservation areas - such as the Cleveland National Forest, the Chino Hills State Park, and the Irvine Ranch Conservancy lands - and to coastal areas. Furthermore, the program also provides critical habitat for endangered or listed species. Additionally, since M2 inception the ECP has funded nearly 200 projects totaling over \$51.8 million to treat storm water runoff and help keep waterways and beaches clean in Orange County. The aforementioned transit, local streets, and environmental programs collectively contribute to and enhance the

quality of life, as well as provide a sustainable future, and an efficient transportation system that benefits the region.

Brief summaries of the specific programs are listed below.

- ✓ Projects A through N – Freeway improvements and Freeway Service Patrol to provide emission reductions through congestion relief
- ✓ Projects O and P – Signal synchronization and street improvements that provide emission reductions through congestion relief and flexibility to accommodate bike and pedestrian project elements as appropriate
- ✓ Project Q – Local funding for city-selected transportation projects that provides for preservation of the streets and roads system and includes bike, pedestrian, water quality, and transit enhancements as eligible expenditures
- ✓ Project R – Expanded Metrolink train capacity including improvements to stations and parking to improve transit reliability and convenience and reduce reliance on highways while also supporting potential transit-oriented development
- ✓ Project S – Transit extensions to improve access between Metrolink stations and residential/employment centers, and provide an alternative to driving
- ✓ Project T – Station improvements to connect to planned future High-Speed Rail services
- ✓ Project U – Sustain mobility choices for seniors and persons with disabilities and provides an alternative to driving
- ✓ Project V – Community-based circulators to complement regional transit services with local communities and provides an alternative to driving
- ✓ Project W – Transit stop improvements to support transfers between major bus lines, and support the implementation of mobile ticketing to ensure ease of fare purchase and convenience for bus passengers
- ✓ Project X – Water quality improvement programs/projects to meet federal Clean Water Act standards for urban runoff, and augment required mitigations
- ✓ Freeway Mitigation Program – Natural resource protection strategy to provide for more comprehensive mitigation of environmental impacts from M2 freeway improvements

Updated Next 10 Plan Funding Assumptions

Funding assumptions are included in the 2019 Next 10 Plan. The revenue assumptions of \$13.4 billion are based on the latest 2019 M2 revenue forecast. While the 2019 revenue forecast results in a 44 percent reduction from the original 2005 sales tax projection of \$24.3 billion, the forecast is \$300 million higher than last year's forecast. The Next 10 cash flow incorporates the revised revenue forecast of \$13.4 billion with prior commitments in programmed local, state and federal external revenues.

Revenues and expenses are merged into a high-level cash flow model. Bond assumptions are also included to support the project delivery schedules in the Freeway Program. In this update, with the increase in the revenue forecast as well as refined project costs from completing higher level engineering studies, bond assumptions have been reduced to only one planned issuance in 2023 while maintaining project delivery schedules. While additional debt is not required to deliver the Next 10 Plan deliverables, in the event the market were to change, additional bonding capacity is available. OCTA's debt coverage ratios are well above the allowable amount at 1.3x. The minimum forecasted debt coverage ratio during this period is 5.6x which provides substantial bonding capacity. This offers significant financial protection against unforeseen economic changes, related to project delivery. The appendix on page 103 includes a more detailed discussion on assumed revenues, costs, and debt service.

For the 2019 Next 10 Plan review and update, forecasted revenues and costs through 2041 were tested. This effort was conducted to ensure the complete M2 Program could be delivered consistent with commitments provided to the voters as part of M2 approval in November 2006. In general, revenues fluctuate overtime. The M2 expenditure plan includes programmatic items with specific percentages, such as 32 percent for streets and roads, which adjusts according to available revenues. However, the freeway portion defines specific projects which cannot be easily adjusted according to revenue shifts.

The funding assumptions in the freeway mode assume \$8.7 billion in total revenue, with costs for the same period totaling \$8.6 billion. OCTA has been very successful through the years in capturing external funding to offset the reduction in sales tax revenue. The long-term M2 freeway plan relies on the total receipt of \$1.6 billion in state and federal revenues. This assumes \$1.5 billion in programming commitments (this number is inclusive of \$46 million from Caltrans committed to Project F, SR-55 between I-405 and I-5, \$153.9 million in Transportation Infrastructure Finance and Innovation Act proceeds a direct benefit to M2). Additionally, the program includes \$720.8 million in net excess 91 Express Lanes revenue, \$794 million in bond proceeds and \$150 million (a conservative amount of unprogrammed revenue) beginning in 2022 through 2036 in federal and/or state funds. Also, of note, \$75 million of the total \$150 million, is assumed to come from SB1 funding, to fully fund the carpool elements of the State Route 55 project between I-405 and I-5 (Project F).

As a result of the increase in the forecasted sales tax and interest revenue, the freeway program is anticipated to receive an additional \$183.6 million in net revenue through 2041. In addition, each project in the freeway program was reviewed and cost estimates updated. With the majority of the projects now either nearing completion of the environmental phase or in design, project cost estimates have a higher level of engineering and are therefore better defined. While some project costs increased, others decreased, which resulted in a net decrease of \$142.2 million. With sales tax revenue up and freeway project costs down, this has resulted in a net positive revenue in the freeway program of \$326.8 million. This net increase, allowed for more conservative bonding assumptions, which provided significant savings in the freeway program while maintaining project delivery schedules. This resulted in an increase in the economic uncertainty for

the freeway mode with most of it available between fiscal years 2028 and 2041. As noted earlier, should the freeway program require additional revenue to support project expenditures, there is significant bonding capacity available. This results in a delivery plan (through 2041) that remains solvent.

The funding assumptions in the streets and roads mode assume \$4.8 billion in total revenue, with costs for the same period totaling \$4.8 billion. The projects within the Streets and Roads Program are scaled to available revenue and are cash flowed on a pay-as-you-go basis. The Streets and Roads Program relies on the total receipt of \$600 million in external revenues (state, federal, and local) primarily for the OC Bridges grade separation projects. More detailed program assumptions for the Streets and Roads Program can be found in the Appendix on page 106.

For the transit mode, \$3.8 billion in total revenue is assumed, with costs for the same period totaling \$3.8 billion. The projects within the Transit Program are scaled to available revenue with the exception of one, Project U's Fare Stabilization Program. Ordinance No. 3 specifically requires that the Fare Stabilization Program subsidize fares for seniors and persons with disabilities to the extent of maintaining the reduced fare rate effective on July 24, 2006 through 2041. While this program is not scalable, it remains solvent. The remaining transit mode programs are assumed on a pay-as-you-go basis. The funding for the transit mode assumes the total receipt of \$527.2 million in local, state and federal revenues. This number is inclusive of \$148.96 million in Federal New Starts and \$25.52 million in State Cap-and-Trade revenues to partially fund the OC Streetcar project. More detailed program assumptions for the Transit Program can be found in the Appendix on page 106.

The ECP assumes \$268 million in total revenue, with costs for the same period totaling \$267 million. The projects within the ECP are scaled to available revenue and are reflected in the cash flow on a pay-as-you-go basis. More detailed program assumptions for the ECP can be found in the Appendix on page 106.

With careful management of the projects and use of financial resources, the full scope of the M2 Program can be delivered as promised.

Funding and Financing

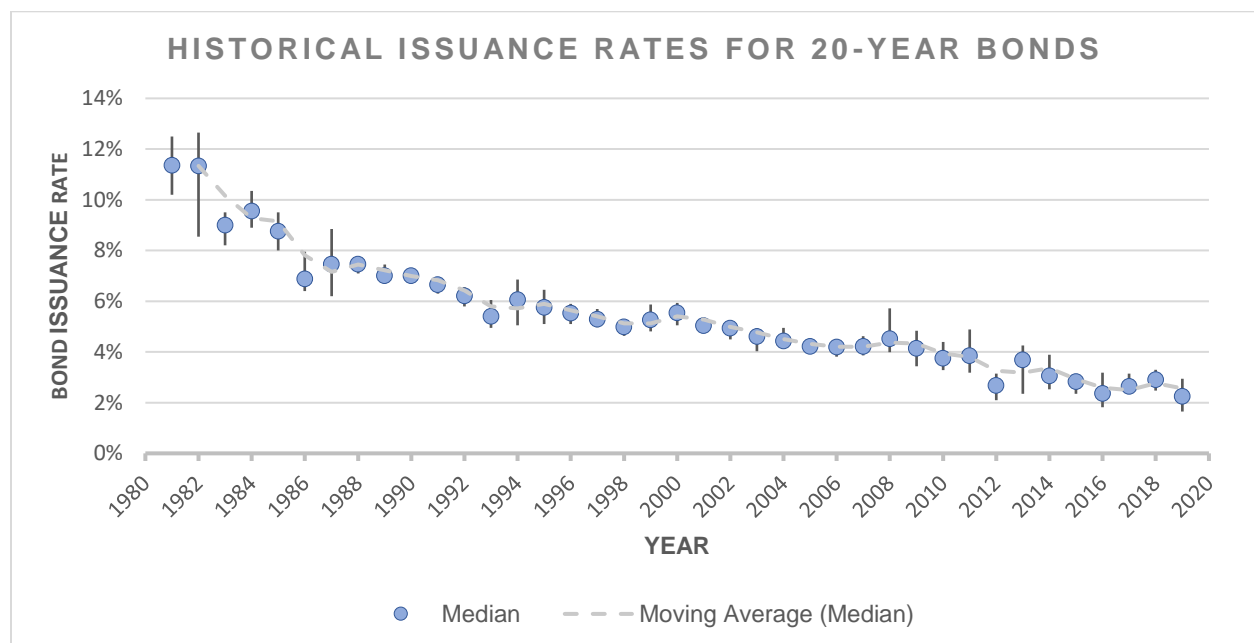
The Board's vision in developing the EAP created a great opportunity for the M2 Program. While the economy took a significant downturn due to the 2008 Great Recession, OCTA advanced projects years before revenue became available. Projects were accelerated, making them shelf-ready. This allowed OCTA to capture significant one-time external funding provided through State Proposition 1B and the American Recovery and Reinvestment Act. Using the revised forecasting methodology implemented in March 2016, the 2019 M2 sales tax revenue forecast is \$13.4 billion.

When it comes to the bidding environment, OCTA significantly benefited during the recession by capitalizing on a low-cost environment with early project development and

acceleration. When the M2020 Plan was adopted in late 2012, staff reported that freeway construction bids were consistently coming in between 10 to 20 percent below engineers' estimates. Since that time, construction bids have slowly risen to meet and in some cases exceed the engineers' estimates. However, the most recent bid opening for Project C, segment 1, on the I-5 between SR-73 to Oso Parkway on October 15, 2019 appears to be under the engineers estimate, indicating the possibility of a more predictable construction market.

In the 2018 update of the Next 10 plan, staff incorporated a 13 percent economic uncertainty allowance line item into the freeway program cash flow in FY 2019 and through 2029. In this year's update, the early years of the economic uncertainty have been removed as well as necessary bonding assumptions to support the line item. Instead, the cash flow demonstrates the ability to bond, providing assurances that if additional revenue is required to keep delivery as desired by the Board, additional bonding capacity is available to meet this future need. This provides continued financial stability in the event of a significant turn of events while projects within the Next 10 Plan move into and through construction.

Pay-as-you-go project funding is identified in Ordinance No. 3 as the preferred method of financing, while bond financing is an option that is within the purview of the Board. While the current cost of debt remains low and continues to be attractive, only one debt issuance is planned through 2041 to deliver the remaining program of projects promised to the voters. Current 20-year bond rates have declined to 1.73%. Although short-term rates have fallen as well, long-term rates remain near all-time lows of 1.65%, thus maintaining a relatively "flat" yield curve, allowing OCTA to take advantage of attractive mid- and long-term rates if and when needed. See the graph below showing historical issuance rates of 20-year bonds.



OCTA has a strong track record of successfully delivering projects early by utilizing bond financing, as seen in M1, as well as M2, under the EAP and M2020 Plan. The updated Next 10 Plan anticipates bond financing for the Freeway Program as a means to deliver the freeway projects early bringing relief to commuters sooner.

Future Outlook

As noted in the Risks section starting on page 5, major capital work is underway in the Southern California region that may impact OCTA's ability to secure resources needed for future project and program delivery. Competition for available resources for capital projects has increased with the major capital work currently underway in Los Angeles, Riverside, and San Bernardino counties. For future projects going forward, engineers, ROW experts, skilled labor, and materials will be in higher demand.

Following the original Next 10 Plan adoption, on September 11, 2017, the Board was presented with a Next 10 Market Conditions Forecast and Risk Analysis report conducted by economists Dr. Wallace Walrod and Dr. Marlon Boarnet through a contract with the Orange County Business Council (OCBC). The consultant's analysis identified strong potential for OCTA to experience an increasing-cost environment during the Next 10 delivery years. The Board directed staff to continue to work with the consultant team to monitor and track key early warning indicators and provide OCTA information on changes to the risk factors and potential cost impacts. The consultant team analyzed annual trends in material costs, labor costs, and general economic conditions to determine a range of potential cost increases. Looking out at a time horizon through 2022 the team tracked relevant market data and indicators and performed data analytics on this information.

The consultant team incorporates this analysis to provide OCTA with a range of potential cost fluctuations through the use of an Infrastructure Construction Cost Pressure (ICCP) Index. This index, combined with a detailed trend analysis of building permits, unemployment rates, localized labor costs, material costs and general economic conditions; the consultant estimates potential cost increases ranging from two percent to 6 percent between 2020 and 2022. This current range of two percent to six percent represents a tempering from the prior year's report which included the potential of a higher cost increase in the range of six percent to 11 percent.

OCBC OC Transportation ICCP Index Score, 2020-2022		
Year	Index Score	Range of Cost Fluctuation
2020	3	2%-6%
2021	3	2%-6%
2022	3	2%-6%

The consultant further shared that OCTA will need to be aware and ready to respond to two different cost pressure groupings which are described as systematic and idiosyncratic. Systematic risks have characteristics that are observable and more predictable. Systematic risks are captured in the ICCP Index through the cost pressure model. Cost pressures in this group are reflections of the construction/building

environment, the state's economy (which influences both the demand for construction services and the cost of construction labor and materials), and direct measures of material and labor costs.

Idiosyncratic risks are cost pressures which cannot be statistically modeled. These cost pressures are not related to historic or observable economic factors but are still real risks that may be important and warrant careful tracking. The consultant pointed to cost pressures in the idiosyncratic group as:

- Tariffs, and associated effects on cost of materials from the nation's changing trade policy,
- Regulatory requirements and changes that create additional hurdles during the bidding process.

In order to mitigate cost pressures, OCTA's Project Controls Department monitors and adjusts project cost escalation assumptions according to market trends. Project Controls' cost estimating process uses historical information, as well as current trends in the market, and follows a consistent and defined process. Looking back at the last 20 years, OCTA's cost estimates have included a 3.0 percent escalation, which, on average during this timeframe, provided the appropriate escalation to deliver projects successfully. Using 3.5 percent for construction escalation, as well as incorporating contingency based on the project type and complexity, is staff's best estimate using industry standards on cost estimating.

Additionally, to further protect against potential cost increases in our freeway capital program and conform to project controls' project estimating process, staff has identified significant bonding capacity that would be available at the Board's discretion if needed. This is intended to safeguard the program and ensure that OCTA does not over commit delivery during this time of uncertainty.

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2019
UPDATE

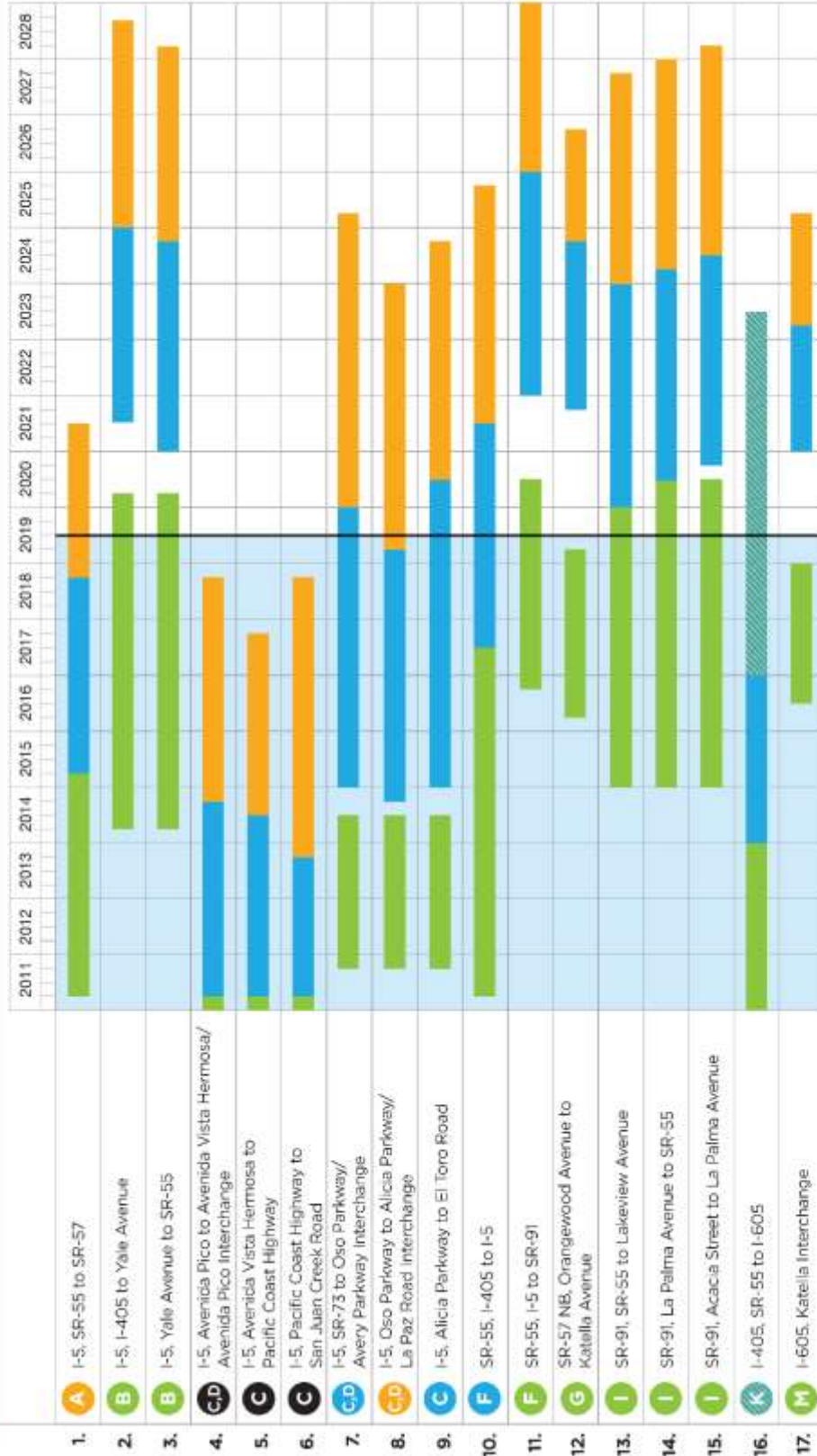
NEXT 10

DELIVERY PLAN

Freeway Program

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OC Go Freeway Projects Through Construction



Please note that schedules for projects in design and construction are updated as of June 30, 2019. Schedules for projects in environmental are preliminary. Shown schedules are subject to further refinement.

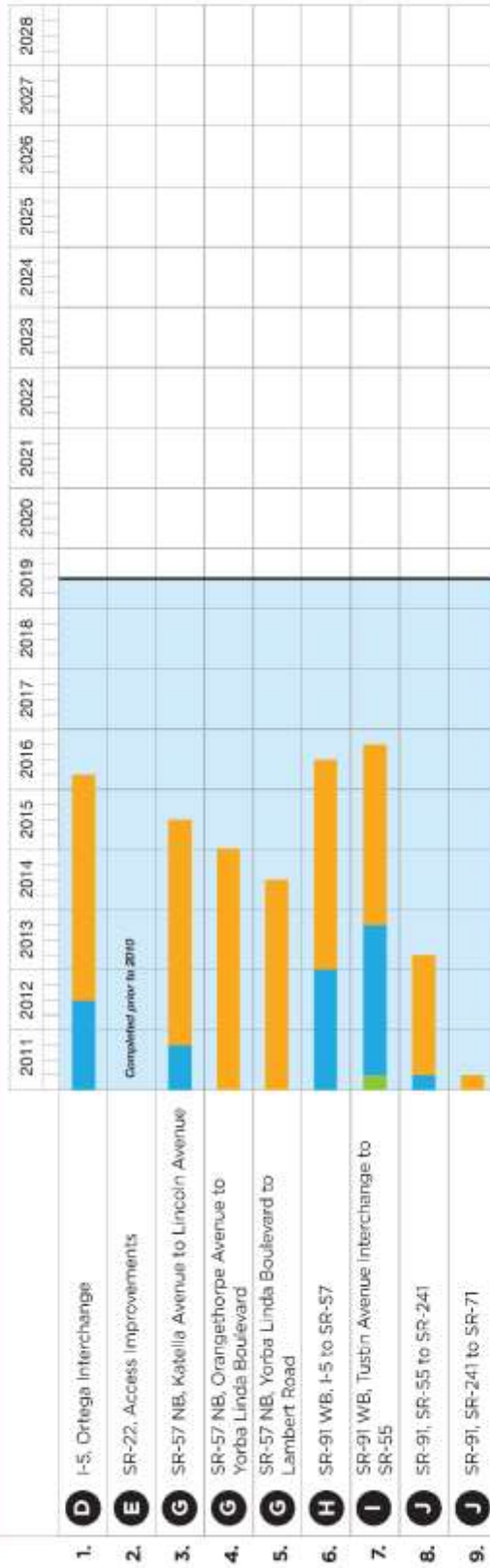
OC Go Freeway Projects Through Environmental Phase/Shelf Ready



Please note that schedules are updated as of June 30, 2019. Shown schedules are subject to change. Next 10 sets direction through 2026, as projects listed are completed, schedules and revenues will be reviewed, and the Board will adopt a new delivery plan providing direction on further advancement.

*Project environmentally reviewed as part of the Riverside County Transportation Commission's Corridor Improvement Project. Additional studies needed prior to construction.

OC Go Freeway Projects Completed Prior to Next 10 Adoption



Please note that schedules are updated as of June 30, 2019. Shown schedules are subject to change.

Freeway Program



Overview:

The Freeway Program accounts for 43 percent of the M2 Program. Over the life of M2, approximately \$5.1 billion is expected to be generated in sales tax revenues for freeway Projects A-N (not including the five percent of net revenues apportioned to the EMP). Improving Orange County freeways is the greatest investment of the M2 Program.

To ensure delivery of the Freeway Program, the Next 10 Plan includes the following framework:

- Bring congestion relief.
- Deliver projects using the guiding principles of congestion relief, cost escalation risk, and readiness.
- Continue to make M2 projects the priority for external funding.
- Work with Caltrans to seek cost effective measures on freeway projects through changes in scope and design parameters where possible.
- Tightly manage project scopes and schedule to reduce cost escalation risk.

Next 10 Deliverables:

When M2 originally passed, 13 freeway projects were highlighted in the M2 Transportation Investment Plan. Since then, these projects have been segmented into 30 projects or project segments. Of this amount, nine were completed prior to the adoption of Next 10. These along with the remaining 21 freeway projects are included in the Next 10 deliverable goals through 2026:

1. Deliver construction of seventeen freeway projects or project segments; nine along I-5 (three recently completed in 2018), one along I-405, two along SR-55, three along SR-91, one along SR-57, and one at the I-605 Interchange (Projects A, C, C/D, F, G, I, K, and M.). These projects along with the prior nine will be complete or near complete totaling \$4.3 billion worth of freeway improvements.
2. Complete the environmental phase for the remaining four project segments to be shelf-ready. This includes one on I-405, SR-91, SR-57; and one interchange project at I-5/EI Toro Road (Projects L, J, G, and D).
3. Complete or have construction underway 82 percent of the freeway program by 2026.

A. I-5 (SR-55 to SR-57)

Description:

Project A will reduce freeway congestion by adding a second High-Occupancy Vehicle (HOV) lane, northbound and southbound, on I-5 between SR-55 and SR-57. The project will generally be constructed within the existing ROW.

Cost:

\$41.49 million (Year of Expenditure [YOE]).

Status:

Design was completed in mid-2017. Construction began in early 2019 and the project is expected to be open to traffic in early 2021.

Present Day:

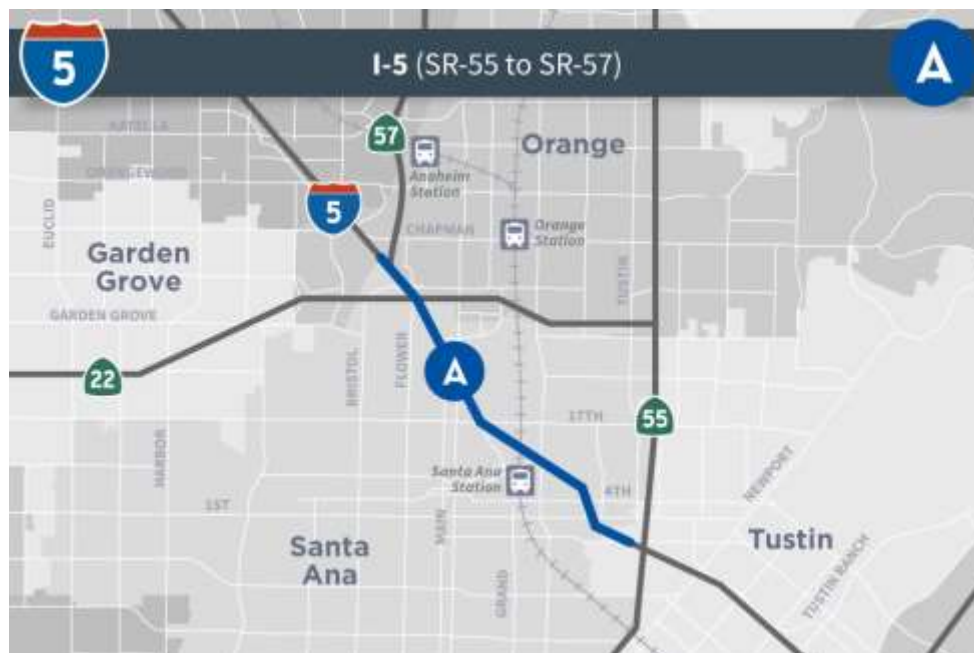
The current daily traffic volume on this segment of I-5 is about 380,000 vehicles and is severely congested. Traffic volumes are expected to increase nearly seven percent by 2035, bringing it up to 406,000 vehicles per

day. The HOV lanes experience more congestion in the peak period than the adjacent general purpose lanes, underscoring the need to add HOV capacity on this freeway segment.

Benefits:

This project will increase the capacity of the HOV facility on I-5 in Santa Ana to meet traffic demands and eliminate bottlenecks. Improvements are needed to accommodate HOV traffic from both the SR-55/I-5 and SR-57/I-5 direct HOV connectors.

Originally considered under this project, the extension of the auxiliary lane from southbound I-5 to southbound SR-55 through the McFadden Avenue exit ramp on SR-55 to Edinger Avenue, was instead studied as part of the SR-55 Project F.



A. I-5 (SR-55 to SR-57)

External Funding:

The Board has approved \$33.74 million in federal funds to support this project.

Risks:

Overall time, scope, and cost risks are moderate with this project. Some risk associated with buried drainage and utilities exist although the larger risks associated with the HOV drop ramp removal at Main Street and construction of the retaining wall under the railroad and Lincoln Avenue are largely reduced.

Related Projects:

Projects B and F.

Involved Agencies:

OCTA, City of Santa Ana, Caltrans, CTC, Federal Highways Administration (FHWA), and Southern California Regional Rail Authority (SCRRA).

Assumptions:

Costs based on June 2019 M2 Program Cash Flow.

References:

- OCTA 2018 Long Range Transportation Plan
- June 2019 Capital Action Plan
- Capital Funding Program Report – State Highway Project (September 2019)

B. I-5 (I-405 to SR-55)

Description:

Project B will increase I-5 freeway capacity and reduce congestion by constructing new northbound and southbound general purpose lanes and improving key interchanges in the area between SR-55 and State Route 133 (SR-133) (near the El Toro “Y”). This segment of I-5 is the major route serving activity areas in the Cities of Irvine, Tustin, Santa Ana, and north Orange County. The project will generally be constructed within the existing ROW. The project is divided into two segments as described below.

Segment 1:

This portion consists of the I-405 to Yale Avenue segment, which will add one general purpose lane in each direction between I-405 and Yale Avenue (approximately 4.5 miles), improve interchanges, and add auxiliary lanes where needed to increase freeway capacity and improve traffic operations in the Irvine area.

Segment 2:

This portion consists of the Yale Avenue to SR-55 segment, which will add one general purpose lane in each direction between Yale Avenue and SR-55 (approximately 4.5 miles), improve interchanges, and add auxiliary lanes where needed to increase freeway capacity and improve traffic operations in Irvine and Tustin areas.

Cost:

Segment 1: \$234.4 (YOE)

Segment 2: \$204.3 (YOE)

Status:

This project is currently in the environmental phase and is now planned to move forward into design and construction following environmental clearance scheduled for early 2020.



B. I-5 (I-405 to SR-55)

Present Day:

The current traffic volume on this segment of I-5 is about 358,000 vehicles per day and is expected to increase by nearly 16 percent by 2035, bringing it up to 416,000 vehicles per day.

Benefits:

Project improvements would alleviate congestion and reduce delay.

External Funding:

The Board has approved funding for Segments 1 and 2 through the environmental phase for \$8 million in federal funds.

The Board has approved funding that supports Segment 1, including \$47.88 million in federal funds and \$140.13 million in state funds.

Funding for Segment 2 is expected to be submitted for Board approval at a later time.

Risks:

The Design Standard Decision Document is currently on critical path and has caused schedule delays. Overall time, scope, and costs risks are high with this project due to tight ROW and need for design variations.

Related Projects:

Projects A and F.

Involved Agencies:

OCTA, Cities of Tustin and Irvine, Caltrans, and FHWA.

Assumptions:

Cost based on June 2019 M2 Program Cash Flow.

References:

- OCTA 2018 Long Range Transportation Plan
- June 2019 Project Status Report
- Capital Funding Program Report – State Highway Project (September 2019)

C. I-5 (SR-73 to El Toro Road includes Avery & La Paz Interchanges)

Description:

Project C will add new lanes to I-5 from El Toro Road in the City of Lake Forest to the vicinity of State Route 73 (SR-73) in the Cities of Mission Viejo, Laguna Niguel, Laguna Hills, Laguna Woods, and Lake Forest. Improvements include continuous HOV access completion and major improvements at the Avery Parkway and La Paz Road interchanges, as part of Project D. The project will generally be constructed within the existing ROW. This project is divided into three segments as described below.

Segment 1:

This portion consists of the SR-73 to Oso Parkway segment, which will add one general purpose lane in each direction between SR-73 and Oso Creek (approximately 2.2 miles), reconstruct Avery Parkway interchange, and add auxiliary lanes where needed to increase freeway capacity and reduce congestion in Laguna Niguel, Mission Viejo, and Laguna Hills areas.

Segment 2:

This portion consists of the Oso Parkway to Alicia Parkway segment, which will add one general purpose lane in each direction between Oso Creek and Alicia Parkway (approximately 2.6 miles), reconstruct La Paz Road interchange, and add auxiliary lanes where needed to increase freeway capacity and reduce congestion in Mission Viejo and Laguna Hills areas.

Segment 3:

This portion consists of the Alicia Parkway to El Toro Road segment, which will add one general purpose lane in the southbound direction between Alicia Parkway and El Toro Road (approximately 1.7 miles), continue the additional general purpose lane in the northbound direction through Alicia Parkway, extend the second HOV lane in both directions from El Toro Road to Alicia Parkway, and add auxiliary lanes where needed to increase freeway capacity and reduce congestion in Mission Viejo and Laguna Hills areas.



C. I-5 (SR-73 to El Toro Road includes Avery & La Paz Interchanges)

capacity and reduce congestion in Laguna Hills and Lake Forest areas.

Cost:

Segment 1: \$196.10 million (YOE)

Segment 2: \$203.07 million (YOE)

Segment 3: \$181.97 million (YOE)

Landscaping for all three segments: \$12.365 million (YOE)

Status:

The construction bid deadline was October 15, 2019 and five bids were received with the lowest two bidders coming in below the engineers estimate. Caltrans is reviewing the bids and will determine the lowest responsive bidder. Construction is anticipated to begin in early 2020 and complete in 2025.

Construction began for Segment 2 in May 2019 and is scheduled to be complete and open to traffic in late 2023.

Segment 3 is currently in Right of Way Certification, scheduled to be complete in February 2020, with construction beginning in late 2020 and completion anticipated in 2024.

Present Day:

The current traffic volume on I-5 near the El Toro “Y” is about 343,000 vehicles per day. This volume will increase in the future by 22 percent by 2035, bringing it up to 420,000 vehicles per day.

Benefits:

This project will help alleviate congestion and reduce traffic delays. The second HOV extension for Segment 3 will enable more efficient operation of general purpose lanes and increase capacity for future projected traffic volumes. Adding an additional general purpose lane in Segment 1 and 2 will increase capacity of the freeway to accommodate future projected traffic volumes. The I-5/La Paz Road and I-5/Avery Parkway interchange improvement projects called for in M2 Project D will reduce chokepoints and congestion, as well as accommodate future traffic demands on the local roads at each interchange.

External Funding:

The Board has approved funding that supports this project including:

Segment 1: \$34.60 million in federal funds and \$121.81 million in state funds.

Segment 2: \$55.60 million in federal funds.

Segment 3: \$49.90 million in federal funds and \$9.4 million in state funds.

Additionally, \$6.00 million in state funds have been approved for landscape planting across all three segments.

Risks:

Overall time, scope, and costs risks are medium with this project due to potential ROW impacts.

C. I-5 (SR-73 to El Toro Road includes Avery & La Paz Interchanges)

Related Projects:

Project C (Avenida Pico to San Juan Creek Road) and Project D (El Toro Road Interchange).

Involved Agencies:

OCTA, Cities of Mission Viejo, Laguna Hills, and Laguna Niguel, Transportation Corridor Agencies, Caltrans, CTC, and FHWA.

Assumptions:

Costs based on June 2019 M2 Program Cash Flow.

References:

- OCTA 2018 Long Range Transportation Plan
- June 2019 Project Status Report
- Capital Funding Program Report – State Highway Project (September 2019)

C. I-5 (Avenida Pico to San Juan Creek Road includes Pico Interchange)

Description:

Project C reduced freeway congestion on I-5 by extending the HOV lanes from Avenida Pico to San Juan Creek Road in the Cities of San Juan Capistrano, Dana Point, and San Clemente. Major interchange improvements were also included at Avenida Pico, as part of Project D. The project was generally constructed within the existing ROW. This project was divided into three segments as described below.

Segment 1:

This portion consists of the Avenida Pico to Avenida Vista Hermosa segment, which added new continuous-access HOV lanes in each direction between Avenida Vista Hermosa Overcrossing and Avenida Pico Undercrossing. The Avenida Pico Interchange was reconstructed to optimize traffic movements within the interchange and provided bicycle lanes in both directions of Avenida Pico.

Segment 2:

This portion consists of the Avenida Vista Hermosa to Pacific Coast Highway (PCH) segment, which added new continuous-access HOV lanes in each direction between Avenida Vista Hermosa Overcrossing and PCH Undercrossing. The project also reconstructed on- and off-ramps at Avenida Vista Hermosa and Camino de Estrella, and re-established existing auxiliary lanes. Avenida Vaquero Undercrossing was widened in both directions to accommodate the new HOV lanes.

Segment 3:

This portion consists of the PCH to San Juan Creek Road segment, which added new continuous-access HOV lanes in each direction between Camino Estrella Overcrossing and San Juan Creek Road Undercrossing. On- and off-ramps at Camino Las Ramblas/PCH were reconstructed. Additionally, the I-5/PCH northbound connector and



C. I-5 (Avenida Pico to San Juan Creek Road includes Pico Interchange)

I-5/Camino Las Ramblas Undercrossing were widened in both directions.

Cost:

Segment 1: \$83.46 million

Segment 2: \$75.68 million

Segment 3: \$75.53 million

Status:

All segments of Project C were opened to traffic at the same time in early 2018. Segment 2 was completed in July 2017 and Segment 3 in July 2018.

Present Day:

This portion of I-5 has high levels of traffic during the weekdays and weekends, as well as holidays, throughout the proposed project limits. The current traffic volume on this segment of I-5 is about 250,000 vehicles per day and is expected to increase by nearly six percent by 2035, bringing it up to 266,000 vehicles per day.

Benefits:

This project eliminated a southbound lane drop at PCH by extending the southbound HOV lane between Camino Capistrano and Avenida Pico, and the northbound HOV lane between Avenida Pico and PCH. Elimination of the lane drop enabled more efficient operation of general purpose lanes and serves projected traffic volumes for the year 2040.

External Funding:

The Board has approved funding that supports these projects including:

Segment 1: \$33.34 in federal funds and \$43.74 million in state funds.

Segment 2: \$13.47 million in federal funds and \$46.78 million in state funds.

Segment 3: \$11.80 million in federal funds and \$20.79 million in state funds.

Risks:

No risk to project delivery as the project is complete. Final claims remain pending in segment 3, however, cost risk is low.

Related Projects:

Project D.

Involved Agencies:

OCTA, Cities of San Clemente, Dana Point and San Juan Capistrano, Caltrans, CTC and FHWA.

Assumptions:

Costs based on June 2019 M2 Program Cash Flow.

References:

- OCTA 2018 Long Range Transportation Plan
- June 2019 Project Status Report
- Capital Funding Program Report - State Highway Project (September 2019)

D. I-5 (El Toro Road Interchange) Improvements

Description:

Proposed Project D improvements at I-5/El Toro Road Interchange include modifying entrance and exit ramps and modifying or replacing existing bridge structures.

Cost:

\$112.32 million (YOE) is currently included in the cash flow however, once the selected project alternative is determined this will need to be updated.

Status:

The environmental phase for this project began in April 2017. The Next 10 Plan includes funding this project through environmental, with environmental clearance expected in 2020 pending stakeholder consensus.

Present Day:

This portion of I-5 has high levels of traffic during the weekdays and weekends, as well as holidays,

throughout the proposed project limits. The current traffic volume on this segment of I-5 is about 355,000 vehicles per day and is expected to increase nearly nine percent by 2035, bringing it up to 388,000 vehicles per day.

Benefits:

This project would reduce the chokepoint and better accommodate forecasted traffic demands. Modification of the entrance and exit ramps would alleviate congestion at adjacent intersections.

External Funding:

The Board has approved providing \$4.40 million in federal funds for the environmental phase. Future phases are also eligible for state and federal funds. Any additional funding is expected to be submitted for Board approval at a later time.



D. I-5 (El Toro Road Interchange) Improvements

Risks:

Overall time, scope, and cost risks are high with this project due to the challenging project area with significant ROW impacts with study alternatives under consideration. Community concerns has resulted in a lack of consensus between the three stakeholder local jurisdictions. This project will need local jurisdiction consensus, before moving forward.

Related Projects:

Project C.

Involved Agencies:

OCTA, Cities of Laguna Hills, Laguna Woods, and Lake Forest, Caltrans, and FHWA.

Assumptions:

Cost based on June 2019 M2 Program Cash Flow.

References:

- OCTA 2018 Long Range Transportation Plan
- June 2019 Project Status Report
- Capital Funding Program Report - State Highway Project (September 2019)

D. I-5 (Ortega Highway Interchange) Improvements

Description:

Reconstruct the I-5 interchange at State Route 74 (SR-74) in south Orange County, including widening SR-74, modifying entrance and exit ramps, and replacing the existing bridge structure.

Cost:

The cost for this project was \$78.24 million.

Status:

The project was opened to traffic on September 4, 2015, and was officially completed on January 15, 2016.

Present Day:

Prior to completion of the project, the existing freeway overcrossing and on- and off-ramps did not accommodate existing and projected to-and-from street/freeway traffic.

Benefits:

This project alleviated a major chokepoint and reduced congestion by widening the Ortega Highway Bridge and improving local traffic flow through reconfigured streets and on- and off-ramps.

External Funding:

\$752,000 in federal funds, \$73.48 million in state funds, \$2.50 million in M1 funds from the regional interchange program, and \$5.01 million in other local funds were used for the project.

Risks:

No risk to project delivery as the project is complete. However, while final claims remain pending, the cost of covering any successful claims will be external funds and will not impact Measure M

Related Projects:

Project C.



D. I-5 (Ortega Highway Interchange) Improvements

Involved Agencies:

OCTA, City of San Juan Capistrano, Caltrans, and CTC.

Assumptions:

Cost based on June 2019 M2 Program Cash Flow.

References:

- OCTA 2018 Long Range Transportation Plan
- June 2019 Project Status Report
- Capital Funding Program Report - State Highway Project (September 2019)

E. SR-22 Access Improvements

Description:

Construct interchange improvements at Euclid Street, Brookhurst Street, and Harbor Boulevard to reduce freeway and street congestion near these interchanges.

Cost:

The cost for this project was \$25.8 million.

Status:

These projects were part of the SR-22 widening project completed in 2008 using M1 funds.

Present Day:

The project widened the streets at the interchanges and were designed to improve accommodation of existing and projected traffic.

Benefits:

The project reconstructed the freeway overcrossings to allow these streets to be widened through the interchange area. These improvements reduced congestion and delay at all three interchanges.

External Funding:

\$15.9 million of M1 funds and \$9.9 million of other non-M2 (federal, state and city) funds were used for the project.

Risks:

None – project completed.

Related Projects:

West County Connector (WCC) improvements at SR-22/I-405 and I-405/I-605 interchanges.

Involved Agencies:

OCTA, City of Garden Grove, and Caltrans.

Assumptions:

Completed as part of the M1 SR-22 Design Build project.

References:

- OCTA 2014 Long Range Transportation Plan



F. SR-55 (I-405 to SR-91)

Description:

Project F will increase freeway capacity and reduce congestion by adding lanes and operational improvements to SR-55 between I-405 and SR-91. This project is divided into two segments as described below.

Segment 1:

This portion will add one general purpose lane (approximately six miles) between I-405 and I-5, including merging lanes between interchanges to smooth traffic flow. The South Segment will generally be constructed within the existing ROW. The general purpose lane will be funded with M2, state, and federal funds. Concurrent with these efforts, an additional, second HOV lane will also be constructed between I-5 and I-405 with state and local funds.

Segment 2:

This future portion would add new lanes between I-5 and SR-22, including merging lanes between interchanges to smooth traffic flow. Operational improvements between SR-22 and SR-91 would also be incorporated. The North Segment is in the environmental phase and is now planned to advance into design and construction following environmental clearance. The North Segment will generally be constructed within the existing ROW.

Cost:

Segment 1: \$410.91 million (YOE) including cost for potential ROW risk.

Segment 2: \$122.43 million (YOE) including advancement of environmental phase.



F. SR-55 (I-405 to SR-91)

Status:

Segment 1 is currently in the design phase. This project was accelerated by two years and is working to begin construction in 2021. Segment 2 began the environmental phase in late 2016, with the environmental document expected to be complete by early 2020.

Present Day:

This freeway carries about 316,000 vehicles on a daily basis. This volume is expected to increase by nearly eight percent by 2035, bringing it up to 340,000 vehicles per day in the future.

Benefits:

This project will increase freeway capacity, improving mobility and reducing congestion in central Orange County areas by adding new lanes and making operational improvements for existing and forecasted traffic volumes (especially for weaving and lane efficiency at ramp junctions).

External Funding:

Segment 1: The Board has approved providing \$103.81 million in federal funds and \$80.00 million in state funds. As previously mentioned, Caltrans has also committed \$46.80 million in state (SHOPP) funds for this project. This project is eligible for future state and federal funds. The cash flow assumes \$75 million in future SB1 funding to fully fund the carpool elements of this project.

Segment 2: The Board has approved providing \$5.00 million in federal funds for this project to support the environmental phase. This project is eligible for future state and federal funds.

Risks:

Overall time, scope, and costs remain high on Segment 1 due to ROW impacts which rely on design variations, increased project cost, and delay in receipt of the state's share of funding.

Overall time, scope, costs, and risks are low on Segment 2.

Related Projects:

Projects A and B.

Involved Agencies:

OCTA, Cities of Orange and Santa Ana, Caltrans, and FHWA.

Assumptions:

Costs based on June 2019 M2 Program Cash Flow.

References:

- OCTA 2018 Long Range Transportation Plan
- June 2019 Project Status Report
- Capital Funding Program Report - State Highway Project (September 2019)

G. SR-57 Improvements

Description:

Project G will increase capacity and reduce congestion by adding one general purpose lane in the northbound direction from Orangewood Avenue in the City of Orange to approximately Tonner Canyon in the City of Brea. Select northbound undercrossings will also be widening and seismically retrofitted, as required. The project is divided into three segments as described below.

Segment 1:

This portion consists of three northbound sections including Katella Avenue to Lincoln Avenue, Orangethorpe to Yorba Linda Avenue, and Yorba Linda Boulevard to Lambert Road in the Cities of Anaheim, Placentia, Fullerton, and Brea. Projects in this segment are complete.

Segment 2:

This portion would include the addition of a northbound truck-climbing lane

from Lambert Road in the City of Brea to one-half mile south of the Los Angeles County line (approximately Tonner Canyon Road).

Segment 3:

This portion would include adding one northbound general purpose lane from approximately Orangewood Avenue in the City of Orange to Katella Avenue in the City of Anaheim. Segment improvements would maintain the existing auxiliary lane and address existing non-standard features between Orangewood Avenue and Katella Avenue.

Cost:

Segment 1: \$144.43 million.

Segment 2: \$167.55 million (YOE).

Segment 3: \$67.77 million (YOE).



G. SR-57 Improvements

Status:

Segment 1 was completed and opened to traffic in 2014. Segment 2 is planned to be environmentally cleared during the Next 10 timeframe. Segment 3 completed the environmental phase in March 2019 and is now planned to advance into design and construction.

Present Day:

This freeway carries about 302,000 vehicles on a daily basis. This volume is expected to increase by nearly 13 percent by 2035, bringing it up to 342,000 vehicles per day in the future.

Benefits:

This project will substantially improve existing and future mobility, reduce congestion, improve mainline weaving, and merge/diverge movements, which will improve both traffic operations and safety. Combined improvements from Orangethorpe Avenue to Tonner Canyon Road could achieve a 40 percent reduction in total delay through the SR-57 northbound corridor.

External Funding:

Segment 1: \$104.68 million in state funds were used for the project.

Segment 2: The Board has approved the use \$4.05 million in state funds for the project.

Segment 3: The Board has approved \$2.50 million in federal funds to support the environmental phase of this project. Segments 2 and 3 are eligible for future state and federal funds.

Risks:

Overall time, scope, costs, and quality risks are low to medium with this project due to construction within the existing ROW and relatively straightforward design issues. However, risks exist due to the potential need for seismic retrofitting of existing bridges.

Related Projects:

Project H.

Involved Agencies:

OCTA, CTC, FHWA, Caltrans, and the Cities of Orange, Anaheim, Placentia, Fullerton, and Brea.

Assumptions:

Costs based on June 2019 M2 Program Cash Flow.

References:

- OCTA 2018 Long Range Transportation Plan
- June 2019 Project Status Report
- Capital Funding Program Report - State Highway Project (September 2019)

H. SR-91 (I-5 to SR-57)

Description:

Widen westbound SR-91 by connecting existing auxiliary lanes through interchanges, thus forming a fourth continuous general purpose lane between I-5 and SR-57. Replace the existing auxiliary lanes on westbound SR-91 between State College Boulevard and Raymond Avenue, and between Euclid Street and Brookhurst Street, and add a new auxiliary lane between Raymond Avenue and Lemon Street.

Cost:

The cost for this project was \$59.23 million.

Status:

The project was opened to traffic in March 2016, and was officially completed in June 2016.

Present Day:

SR-91 serves as a major commuting route connecting Orange County with Riverside and Los Angeles counties.

SR-91 is also one of the most congested freeways in Southern California. This freeway carries about 290,000 vehicles on a daily basis. This volume is expected to increase by nearly 5 percent by 2035, bringing it up to 304,000 vehicles per day in the future.

Benefits:

This project alleviated congestion and increased mainline capacity by adding a continuous general purpose lane and replacing existing auxiliary lanes, which improved merging operations at each interchange.



H. SR-91 (I-5 to SR-57)

External Funding:

\$27.23 million in state funds were used for the project.

Risks:

None – project completed.

Related Projects:

Project I.

Involved Agencies:

OCTA, Cities of Fullerton and Anaheim, Caltrans, and CTC.

Assumptions:

Cost based on June 2019 M2 Program Cash Flow.

References:

- OCTA 2018 Long Range Transportation Plan
- June 2019 Project Status Report
- Capital Funding Program Report – State Highway Project (September 2019)

I. SR-91 (Tustin Avenue Interchange to SR-55)

Description:

Project I from Tustin Avenue Interchange to SR-55 added a westbound auxiliary lane, beginning at the northbound SR-55 to westbound SR-91 connector, through the Tustin Avenue interchange. The overall segment length was approximately two miles. Additional features of this project included widening the westbound Santa Ana River Bridge to accommodate the auxiliary lane.

Cost:

The cost for this project was \$42.47 million.

Status:

The project was completed and open to traffic in 2016.

Present Day:

SR-91 serves as a major commuting route connecting Orange County with Riverside and Los Angeles counties.

SR-91 is also one of the most congested freeways in Southern California. This freeway carries about 290,000 vehicles on a daily basis. This volume is expected to increase by nearly 5 percent by 2035, bringing it up to 304,000 vehicles per day in the future.

Benefits:

This project addressed chokepoint conditions and reduced operational problems, including weaving and merging maneuvers, which were primarily caused by extensive weaving between the northbound SR-55 to westbound SR-91 connector and the westbound SR-91 off-ramp to Tustin Avenue.

External Funding:

\$29.75 million in state funds were used for the project.

Risks:

None – project completed.



I. SR-91 (Tustin Avenue Interchange to SR-55)

Related Projects:

Projects H, I (SR-57 to SR-55) and J.

Involved Agencies:

OCTA, City of Anaheim, Caltrans, CTC, and FHWA.

Assumptions:

Costs based June 2019 M2 Program Cash Flow.

References:

- OCTA 2018 Long Range Transportation Plan
- June 2019 Project Status Report
- Capital Funding Program Report – State Highway Project (September 2019)

I. SR-91 (SR-57 to SR-55)

Description:

Project I from approximately SR-57 to SR-55 will add one westbound general purpose lane from northbound SR-57 connector to State College Boulevard, and one eastbound general purpose lane between SR-57 and SR-55. The project is divided into three segments as described below.

Segment 1:

This portion consists of the SR-55 to Lakeview Avenue segment, which will realign the westbound on-ramp to direct traffic to westbound SR-91 and replace the Lakeview Avenue Bridge that will feature a new on-ramp from the Lakeview Bridge connecting directly to southbound SR-55 to increase freeway capacity and improve traffic operations in the Anaheim area.

Segment 2:

This portion consists of the La Palma Avenue to SR-55 segment, which will add an eastbound general purpose lane on SR-91 between La Palma Avenue and SR-55 (approximately 2.3 miles) and include bridge replacements at Kramer Boulevard/Glassell Street and Tustin Avenue to increase freeway capacity and reduce congestion in the Fullerton and Anaheim areas.

Segment 3:

This portion consists of the Acacia Street to La Palma Avenue segment, which will add a fourth general purpose lane on westbound SR-91 from the northbound SR-57 to State College Boulevard (approximately 1 mile), make improvements to the weave from westbound SR-91 to northbound and southbound SR-57, and replace the bridge at La Palma Avenue to enhance westbound operations on SR-91, increase overall freeway capacity, and



I. SR-91 (SR-57 to SR-55)

reduce congestion in Fullerton and Anaheim areas.

Cost: Initial Segment: The cost for this segment was \$42.47 million.

Segment 1: \$102.47 (YOE)

Segment 2: \$223.14 (YOE)

Segment 3: \$109.68 (YOE)

Status:

Segment 1 is currently in the environmental phase. Environmental clearance is expected in mid- 2020.

Segment 2 is currently in the environmental phase. Environmental clearance is expected in mid- 2020.

Segment 3 is currently in the environmental phase. Environmental clearance is expected in mid- 2020.

Present Day:

Current freeway volume on this segment of the SR-91 is about 250,000 vehicles per day. This vehicular demand is expected to increase by 12 percent by 2035, bringing it up to 280,000 vehicles per day in the future.

Benefits:

Segment 1 improvements are expected to alleviate congestion and reduce delay by improving the connection from Lakeview Ave. to southbound SR-55.

Segment 2 improvements will increase freeway capacity and reduce traffic congestion overall.

Segment 3 improvements will enhance westbound operations and increase freeway capacity.

External Funding:

Segments 1, 2, and 3: Originally grouped together as the SR-91, SR-57 to SR-55 project, the Board approved \$7.00 million in federal funds to support the environmental phase which began in 2015. In 2016, the Board approved the use of SR-91 Express Lanes excess revenue to fund the remaining costs of project delivery. Segments 1, 2, and 3 are eligible for future state and federal funds if appropriate.

Risks:

Overall time, scope and costs risks are high with the remaining Segments 1, 2, and 3. High risk is the result of a design variation need that requires Caltrans concurrence, which remains under review.

Related Projects:

Projects H, Project I (Tustin Avenue Interchange to SR-55) and J.

Involved Agencies:

OCTA, Cities of Fullerton and Anaheim, Caltrans, CTC, and FHWA.

Assumptions:

Costs based June 2019 M2 Program Cash Flow.

References:

- OCTA 2018 Long Range Transportation Plan
- June 2019 Project Status Report
- Capital Funding Program Report – State Highway Project (September 2019)

J. SR-91 (SR-55 to I-15)

Description:

Project J adds capacity on the SR-91 beginning at SR-55 to I-15 in Riverside County. The project is divided into three segments as described below.

Segment 1:

This completed segment improved a 6-mile portion of SR-91 from one mile east of SR-241 by adding one eastbound lane from SR-241 to SR-71 in Riverside County. This project was led by the Riverside County Transportation Commission (RCTC) in coordination with Caltrans District 8.

Segment 2:

This completed segment improved the approximate 6-mile portion of SR-91 between SR-55 and SR-241 by adding one new lane in each direction and improving key interchanges. Additional improvements included the widening and seismic retrofitting for the Imperial Highway and Weir Canyon Road undercrossing bridges. This project was led by OCTA in coordination with Caltrans District 12.

Segment 3:

This segment would add one additional general purpose lane on SR-91 between SR-241 and I-15 in Riverside County. This project requires coordination and funding agreements with RCTC to deliver complementary improvements on SR-91 on both sides of the county line.

Cost:

Segment 1: \$57.77 million.

Segment 2: \$79.74 million.

Segment 3: \$292.53 million (YOE).

Status:

Segment 1 was completed in January 2011, and Segment 2 was completed in March 2013.

Segment 3 is contingent on the future widening in Riverside County to match the planned lanes in Orange County. The segment was environmentally reviewed as part of the RCTC's Corridor Improvement Project. RCTC and OCTA have agreed to accelerate the westbound direction of this segment by adding a general purpose lane (two miles in length) from Green



J. SR-91 (SR-55 to I-15)

River Road to SR-241. RCTC will be the lead and OCTA will contribute \$15 million towards the project. The eastbound lane is more challenging due to engineering constraints and an engineering feasibility assessment is planned to take place in 2020 to determine viable improvements in the eastbound direction.

Present Day:

Today, this freeway carries about 328,000 vehicles every day. This volume is expected to increase by 15 percent, bringing it up to 378,000 vehicles by 2035.

Benefits:

Segment 1 improvements added one general purpose lane, which improved weaving by reducing the volume of exiting vehicles in the SR-91 mainline through lanes that are exiting at Green River Road and SR-71.

Segment 2 improvements helped to alleviate congestion and reduce delay.

Segment 3 proposed improvements are expected to reduce congestion and delay and improve operational efficiency by increasing capacity and by reducing the existing chokepoints within the project limits.

External Funding:

Segment 1: \$45.91 million in federal funds and \$4.92 million in local funds were used for this project.

Segment 2: \$79.19 million in state funds were used for this project.

Segment 3: SR-91 Express Lanes excess revenue is Board approved for use in the Orange County portion of this segment.

Risks:

No risks for Segments 1 and 2, as they are complete.

Overall time, scope, and costs risks for Segment 3 are dependent upon required coordination with RCTC. Segment 3 eastbound direction has many engineering challenges due to project area topography (Santa Ana Canyon) and natural constraints (Santa Ana River) and requires an engineering feasibility assessment.

Related Projects:

Project I and the Riverside County Corridor Improvement Project.

Involved Agencies:

OCTA, Cities of Anaheim and Yorba Linda, County of Orange, Caltrans, CTC, and FHWA.

Assumptions:

Costs based on June 2019 M2 Program Cash Flow.

References:

- OCTA 2018 Long Range Transportation Plan
- June 2019 Project Status Report
- Capital Funding Program Report – State Highway Project (September 2019)

K. I-405 (SR-73 to I-605)

Description:

Project K will add new lanes to I-405 between SR-73 and I-605. The project will make the best use of available freeway property by staying generally within the freeway ROW and updating key local interchanges to current Master Plan of Arterial Highway standards. The project will add one general purpose lane in each direction of I-405 from Euclid Street to I-605.

Concurrently with Project K, an additional lane will be added in each direction that would combine with the existing HOV lane to provide dual express lanes in each direction on I-405 from SR-73 to I-605. The general purpose lanes will be funded with M2, state, and federal funds; the express lanes will be funded primarily with toll revenues.

Cost:

M2 Portion: \$1.425 billion (YOE).

Express Lanes Portion: \$475 million (YOE).

Status:

Project K is currently about one-third of the way through the design/build (D/B) contract phase. D/B is a project delivery method in which one team is hired to perform both the design and construction of the project. The project is expected to be open to traffic in 2023.

Present Day:

On average, I-405 carries between 392,000 vehicles daily. The volume is expected to increase by 20 percent by 2035, bringing it up to 472,000 vehicles daily. The project will increase freeway capacity, reduce congestion, enhance operations, increase mobility, improve trip reliability, and maximize throughput on I-405.



K. I-405 (SR-73 to I-605)

Benefits:

Project K includes the addition of auxiliary and general purpose lanes. These improvements would help reduce congestion and improve travel times. Additional improvements include interchange and local street improvements, and a direct Express Lanes connector at the I-405/SR-73 Interchange.

The express lanes will operate congestion-free throughout the day, due to toll rates that vary based on traffic demand. The express lanes provide commuters with a reliable travel option compared to the adjacent, general purpose lanes.

M2 improvements, in combination with express lanes improvements, will provide more throughput in the corridor. These improvements will add two additional freeway lanes to I-405 in both directions between Euclid Street to the I-605 interchange.

External Funding:

The Board has approved funding supporting this project, including \$89.77 million in a contribution of state funds, and \$45.65 million in federal funds. The project also successfully secured \$628.93 million from TIFIA, a low cost federal loan. The M2 cash flow will benefit from \$153.93 million in TIFIA revenues for this project. The entire TIFIA loan will be paid back solely with toll revenues.

Risks:

Overall time, scope, utility relocation and cost risks are high with this project due to the extensive project scope.

Related Projects:

Project L and WCC improvements at SR-22/I-405 and I-405/I-605 interchanges (mentioned under Project E).

Involved Agencies:

OCTA, cities of Costa Mesa, Fountain Valley, Huntington Beach, Westminster, Seal Beach, the Community of Rossmore, Caltrans, CTC, FHWA, and Build America Bureau TIFIA Office.

Assumptions:

Costs based on June 2019 M2 Program Cash Flow. Toll revenues will primarily pay for the 405 Express Lanes, and M2 will only pay for the addition of the general purpose lanes.

References:

- OCTA 2018 Long Range Transportation Plan
- June 2019 Project Status Report
- Capital Funding Program Report – State Highway Project (September 2019)

L. I-405 (I-5 to SR-55)

Related Projects:

Projects B and K.

Involved Agencies:

OCTA, City of Irvine, Transportation Corridor Agencies, Caltrans, CTC, and FHWA.

Assumptions:

Costs based on June 2019 M2 Program Cash Flow.

References:

- OCTA 2018 Long Range Transportation Plan
- June 2019 Project Status Report
- Capital Funding Program Report – State Highway Project (September 2019)

M. I-605 (Katella Avenue Interchange) Improvements

Description:

Project M will improve freeway access and the arterial connection to I-605 at Katella Avenue, which serves the communities of Los Alamitos and Cypress.

Cost:

The cost for this project is estimated to be \$28.61 million (YOE).

Status:

The planning phase for this project is complete and was done in cooperation with the City of Los Alamitos. The environmental phase was completed in late 2018 and is now planned to advance into design and construction.

Present Day:

The existing interchange design is outdated and results in both arterial congestion and freeway queuing in the interchange area.

Benefits:

The I-605/Katella Avenue interchange project would include both freeway and arterial improvements that would improve interchange traffic operations and improve bicycle and pedestrian facilities while minimizing adjacent ROW and environmental impacts. Additionally, these improvements would reduce congestion, traffic queuing, and delay within the interchange area.

External Funding:

The Board approved providing \$3.00 million in state funds to support the PS&E phase for this project. This project is eligible for future state and federal funds.

Risks:

Overall time, scope, and costs risks are low with this project due to low ROW impacts and straightforward design.



M. I-605 (Katella Avenue Interchange) Improvements

Related Projects:

Project K and I-405/I-605/SR-22 HOV connector project (West County Connector).

Involved Agencies:

OCTA, City of Los Alamitos, and Caltrans.

Assumptions:

Costs based on June 2019 M2 Program Cash Flow.

References:

- June 2019 Project Status Report
- Capital Funding Program Report - State Highway Project (September 2019)

N. Freeway Service Patrol

Description:

The Freeway Service Patrol (FSP) provides competitively-bid, privately-contracted tow truck service to help stranded motorists quickly clear disabled vehicles and large debris from freeway lanes to minimize congestion caused by blocked traffic lanes and passing motorists rubbernecking. Currently FSP is available on various Orange County freeways, seven days a week. This project assures that this basic level of service will be continued through 2041.

Program Funding:

\$46.1 million in M2 revenue between 2017 and 2026.

Status:

FSP is primarily funded by State Highway Account (SHA) and Road Repair and Accountability Act of 2017 (SB1) funds. OCTA meets matching fund requirements by utilizing a portion of its share of Service Authority for Freeway Emergencies (SAFE) funds, which are collected by the Department of Motor Vehicles each year.

As demand, congestion levels, and costs increase, this project will permit the program to maintain existing service hours and allow service to be extended throughout the day and on weekends on additional freeway segments.

Measure M2 also helps support CHP as the partner responsible for field supervision. Currently, M2 funds a full-time dispatcher to ensure dispatcher coverage seven days a week.

Present Day:

As of June 2019, M2 and construction-funded Freeway Service Patrol has provided a total of 77,072 assists to motorists on the Orange County Freeway system.

Benefits:

To keep Orange County moving, FSP provides free limited roadside assistance to motorists whose vehicles have become disabled on an Orange County freeway. Assistance is limited to taping a hose, providing water for a radiator, a jump start, a gallon of gas, a tire change, or towing a disabled vehicle off the freeway to a designated drop zone where the motorist may seek additional assistance.

In FY 2017-18, for every dollar invested in the program, Orange County received approximately \$9 of congestion relief benefit. The result is the elimination of more than 2.8 million vehicle hours of delay and an estimated reduction of 4.8 million gallons of gasoline.

External Funding:

SHA allocation provided by Caltrans – approximately \$2.4 million annually.

SB1 allocation provided by Caltrans – approximately \$2.2 million annually.

SAFE (\$1 per vehicle registration fee) funds not allocated to the Freeway Call Box and 511 Motorist Assistance and Traveler Information programs are available for FSP program use, to meet local match fund requirements – approximately \$1.5 million annually.

N. Freeway Service Patrol

Risks:

Should the State of California stop funding FSP through the SHA and SB1, M2 will not be sufficient to maintain existing service levels.

Related Projects:

M2 Project N funds are designated to maintain existing service levels, provide midday and weekend service, and support FSP service for construction of Projects A-M.

Involved Agencies:

OCTA, Caltrans, and the California Highway Patrol

Assumptions:

Project N is assumed to be funded on a pay-as-you-go basis. Funding provided through the SHA and SB1 are allocated first, and then M2 funding is applied as needed.

References:

- Measure M2 Project N Guidelines Freeway Service Patrol Project, Approved on February 13, 2012

Environmental Mitigation Program



Overview:

The EMP provides for allocation of five percent of the total M2 freeway budget for comprehensive environmental mitigation related to impacts from freeway improvements. The EMP was approved by Orange County voters under the M2 half-cent sales tax for transportation improvements in 2006.

A master agreement between OCTA, Caltrans, and state and federal resource agencies was approved in January 2010. This offers higher-value environmental benefits such as habitat protection, connectivity, and resource preservation in exchange for streamlined project approvals for the 13 (segmented into 30) M2 freeway projects.

To adhere to the promise of M2, the Next 10 Plan includes the following framework for the Mitigation Program as it relates to Projects A-M:

- Streamline freeway projects through the biological permitting process.
- Provide comprehensive environmental mitigation.
- Partner with state and federal resource and regulatory agencies.
- Provide higher-value environmental benefits such as habitat protection, connectivity, and resource preservation.

Next 10 Deliverables:

In 2009, the Board approved a policy to allocate approximately 80 percent of the revenues to acquisitions and 20 percent to fund restoration projects. This policy will need to be revisited periodically to ensure it continues to meet program needs. The Next 10 Plan recommends four major initiatives through 2026 consistent with the above framework:

1. Oversee and manage the Preserves while the endowment is being established and determine long term land manager(s) and endowment holder(s).
2. Focus environmental mitigation program resources funding as a first priority toward the establishment of the endowment for the Preserves.
3. Finalize the resource management plans on M2 Preserves including provisions for public access as appropriate (projects A-M).
4. Complete approximately 350 acres of restoration projects funded through M2 to fulfill the Conservation Plan commitments.

Environmental Mitigation Program

Description:

In July 2010, OCTA began preparing a Conservation Plan, which examines habitat resources within broad geographic areas and identifies conservation and mitigation measures to protect habitat and species. This analysis was completed in late 2016; in accordance with the master agreement “advance credit” provision, funds were allocated prior to completion of the Conservation Plan. In June 2017, the United States Fish and Wildlife Service, and the California Department of Fish and Wildlife (Wildlife Agencies) finalized the issuance of their respective biological opinion, findings, and associated permits, as well as signed the Conservation Plan Implementing Agreement. Receipt of these permits represent the culmination of years of collaboration and support by the Board, environmental community, and Wildlife Agencies.

Concurrent with efforts made toward completing the Conservation Plan and EIR/EIS, OCTA collaborated with the United States Army Corps of Engineers (USACE) and the State Water Resources Control Board (SWRCB) - regulatory agencies - to streamline the regulatory permitting process. In 2017, the USACE issued a programmatic permit to OCTA and Caltrans (as owner/operator of the state highway system). The SWRCB provided a letter to OCTA in 2018, which further secured assurances related to advanced mitigation and freeway project permit issuance.

Resource management plans (RMPs) for each of the seven Preserves were

finalized in September 2018. These RMPs guide the management of the Preserves as outlined within the Conservation Plan. Staff will continue to oversee and manage the Preserves until a long-term manager(s) is established.

Cost:

In summer 2007, the Board approved approximately \$55 million as part of the EAP. Accordingly, \$42 million and \$10.5 million were allocated for acquisition and restoration, respectively. An additional \$2.5 million was allocated for the Conservation Plan development and program support, including appraisals and biological surveys.

Status:

Since September 2010, a total of \$10 million has been allocated for 12 projects to restore approximately 350 acres of open space lands throughout Orange County.

On September 26, 2016, the Board approved the selection of the endowment fund manager, and the most recent endowment deposit was made in July 2019. Annual endowment deposits will continue to be made near the beginning of each fiscal year.

The Wildlife Agencies finalized the issuance of their respective permits, as well as executing the Implementing Agreement in June 2017. In January 2018, OCTA secured advance streamlined state and federal clean water permitting requirements.

Environmental Mitigation Program

All seven Preserves have finalized RMPs and are being managed and protected for an interim period by OCTA staff and consultants. Staff will continue to oversee and manage the Preserves until a long-term manager(s) is established.

Present Day:

In consultation with the local fire authority, staff has begun the preparation of fire management plans for the seven Preserves. The Plans will provide guidelines for decision-making at all stages including fire prevention, pre-fire vegetation management, suppression activities, and post-fire responses that are compatible with conservation and stewardship responsibilities. These Plans are a requirement of the Conservation Plan and will require approval by the Wildlife Agencies.

Benefits:

The completed Conservation Plan and regulatory permitting process are tools by which OCTA obtains biological and regulatory permits/assurances for the 13 (30 segmented) M2 freeway projects. This comprehensive process enables OCTA to streamline future M2 freeway improvement projects.

External Funding:

Examples of external funding available for this program include:

- USFWS contribution toward the acquisition of open space land in the Trabuco Canyon area.
- USFWS Habitat Conservation Planning Assistant Grant to help fund the completion of the Conservation Plan.

- Restoration project sponsors utilize external funds and resources to implement their projects.

Risks:

The success of the restoration projects will support OCTA's Conservation Plan and regulatory permitting processes. However, recent wildfires occurring in short intervals may require plant reestablishment to ensure successful implementation of the restoration project, if Wildlife Agencies have not signed off on the project.

OCTA will need to establish the endowment over a ten to twelve-year period. OCTA currently holds the title and interim land management responsibility of the Preserves, but will eventually need to secure a long-term land manager(s).

Related Projects:

Projects A-M.

Involved Agencies:

CDFW, USFWS, Caltrans, USACE, SWRCB and the environmental community.

Assumptions:

This program is assumed to be funded primarily on a pay-as-you-go basis in the future, in addition to prior bonding issuances. More detailed assumptions are included in the appendices.

References:

- Final Conservation Plan and EIR/EIS
- Additional resources can be found online: www.octa.net/environmental

2019
UPDATE

NEXT 10

DELIVERY PLAN

Streets & Roads Program

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R Regional Capacity Program (not mapped)

- Up to 300 miles of roadway improvements
- Competitive Program with annual call for projects
- OC Bridges Grade Separation Projects (R)

L Local Fair Share Program (not mapped)

- Street maintenance and improvements

P Regional traffic Signal Synchronization Program

(see grid above)

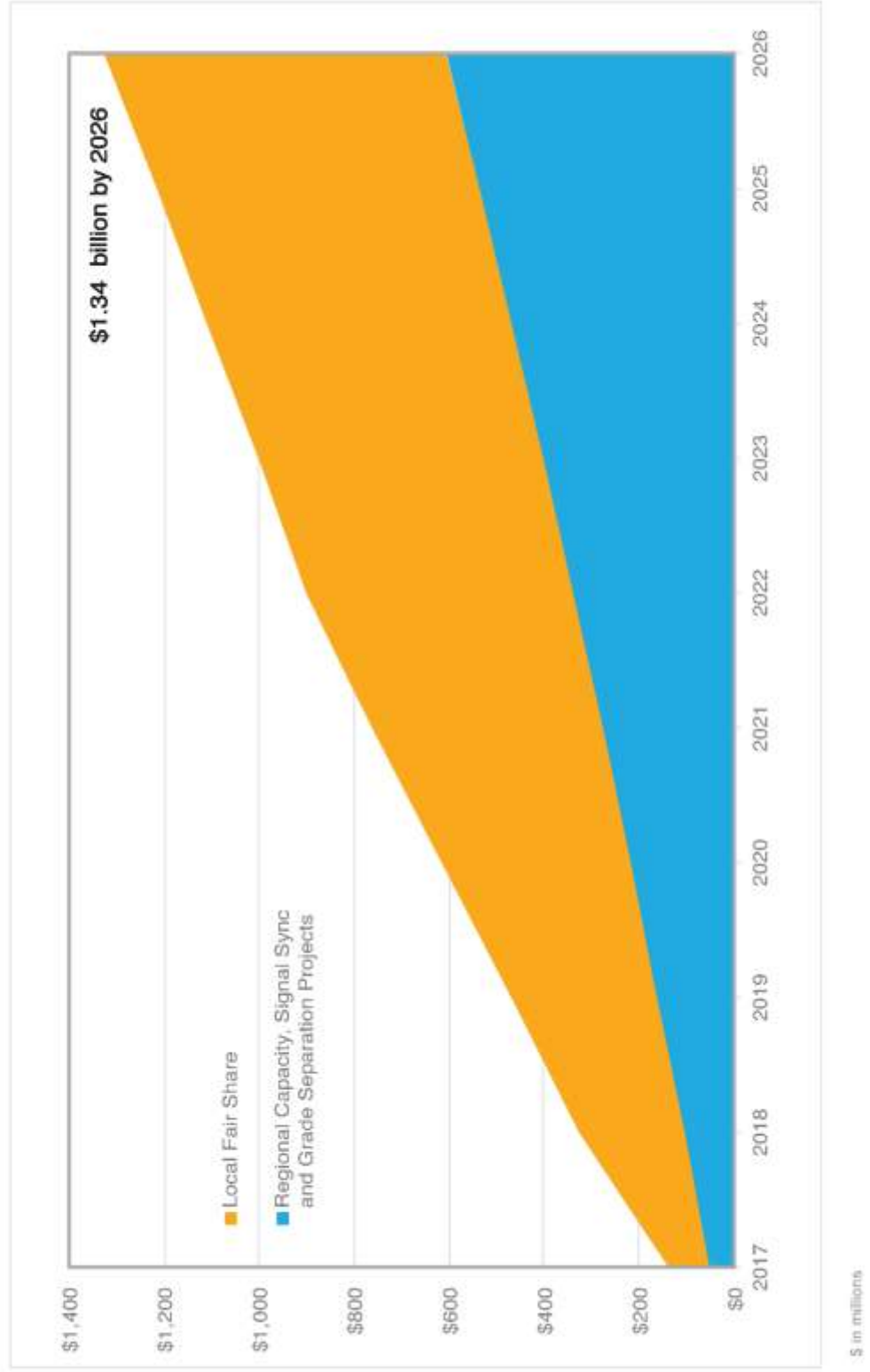
- Over 2,000 coordinated signals

OC Go Grade Separation Projects



Please note that schedules are updated as of June 30, 2019. Shown schedules are subject to change.

OC Go Streets and Roads Cumulative Expenditures



Streets and Roads



Overview:

Local streets provide the capacity for the movement of people and goods which is essential to Orange County's commerce and vitality. Streets carry approximately half of Orange County's car and truck traffic and nearly all of Orange County's bicycle and pedestrian traffic. Keeping people moving on local streets is an essential function of the M2 funding programs for local streets. To meet this broad mobility goal, the Next 10 Plan includes the following framework for the Streets and Roads Program:

- Target M2 competitive program funds for streets with the worst traffic congestion.
- Maintain the value of investments in streets by synchronizing traffic signals and keeping pavement in good condition.
- Keep traffic moving on Orange County streets by completing key grade separations along the BNSF corridor in north Orange County.
- Consider all modes of travel when planning for added street capacity.

Next 10 Deliverables:

Allocate nearly \$1 billion in funding to improve the countywide network of streets and roads making them safer and more efficient. The Next 10 Plan for streets and roads recommends three major initiatives through 2026, consistent with the above framework:

1. Provide \$400 million in competitive funding to local jurisdictions to expand roadway capacity and synchronize signals (Project O and P).
2. Complete the remaining OC Bridges grade separation projects.⁶
3. Provide approximately \$600 million in flexible funding to local jurisdictions to help maintain aging streets or for use on other transportation needs as appropriate (Project Q).

⁶ All seven OC Bridges grade separation projects have been opened to traffic and a closing ceremony was held in October 2017.

O. Regional Capacity Program

Description:

Project O provides funding through a competitive process to local jurisdictions for recommended streets and roads projects which complete the Orange County Master Plan of Arterial Highways (MPAH), relieve congestion, are cost effective, and can proceed to construction quickly. These projects fall into one of two categories as described below.

Regional Capacity Program (RCP):

This portion of Project O provides a funding source to complete the Orange County MPAH, a plan for future roadway improvements throughout Orange County, that includes considerations for bicycle and pedestrian components as part of each project as applicable to local conditions. This includes intersection improvements and other projects that help improve street operations and reduce congestion. The M2 goal for these projects is to complete roughly 1,000 miles of new street lanes, mostly in the form of widening existing streets to their ultimate planned width. Matching local funds are required for these projects.

OC Bridges:

This portion of Project O includes funding for completion of seven over- or underpass grade separations that will eliminate car and train conflicts along the BNSF Railway (Orangethorpe corridor) in northern Orange County. These grade separations increase safety for everyone traveling through the intersections and eliminate the delays caused by trains.

Program Funding:

Project O and P: \$400 million for new competitive RCP and Regional Traffic Signal Synchronization Program (RTSSP) calls for projects between 2017 and 2026.

OC Bridges: The current program funding is \$218.05 million in federal funds and \$261.30 million in state funds.

Status:

To date, OCTA has awarded \$296 million to 147 projects through nine competitive RCP calls for projects. Annual calls are planned for projects between 2017 and 2026.

Since Next 10 Plan adoption in November 2016, OCTA has awarded approximately \$65 million.

To date, all seven planned grade separation projects are complete (Placentia, Kraemer, Orangethorpe, Tustin/Rose, Lakeview, Raymond and State College).

Present Day:

Currently, annual calls for projects take place providing local agencies the opportunity to request funding in street improvements.

Benefits:

Completion of the MPAH system, including grade separations and traffic signal synchronization, will result in better traffic flow and a more efficient transportation system.

O. Regional Capacity Program

External Funding:

RCP: Local agencies are required to provide a 50 percent local match. Matching funds may be reduced contingent on participation in pavement and signal programs, as well as use of non-M2 funds for local match. While other external state and federal funding are not typically used for RCP projects, there have been eight projects to date which qualified for and received SLPP state funds, amounting to approximately \$24 million.

OC Bridges:

The Board approved the use of \$218.05 in federal funds and \$261.30 million in state funds for this project. Additionally, local agencies provided \$39.30 million in funding. OC Bridges funding includes 78 percent in external local, state, and federal funds.

Risks:

Local agencies must meet and maintain eligibility requirements to receive net M2 funds. Local agencies also must meet timely use of funds provisions included in M2.

Related Projects:

Project P and Project Q.

Involved Agencies:

All local agencies (cities and County of Orange).

Assumptions:

Project O is assumed to be funded primarily on a pay-as-you-go basis with bonding for the seven OC Bridges projects. More detailed assumptions are included in the appendices.

References:

- Orange County Master Plan of Arterial Highways Guidelines
- Commuter Bikeways Strategic Plan
- Capital Funding Program Report – Local Road Project (June 2019)

P. Regional Traffic Signal Synchronization Program

Description:

Project P provides funds to local agencies to implement new signal timing on a 750-mile regional network that covers most of Orange County. Optimizing traffic signal timing is a low-cost, high-benefit approach to reducing congestion and improving traffic flow. Better signal timing results in fewer traffic stops, delays, and pollution, and saves commuters gas and money.

Program Funding:

Project O and P: \$400 million for new competitive RCP and RTSSP calls for projects between 2017 and 2026.

Status:

To date, OCTA has awarded more than \$106 million, including \$13.6 million in external funding, to 111 projects.

Since Next 10 Plan adoption in November 2016, OCTA has awarded \$25.7 million, including \$6.6 million in external funding.

Including early efforts, OCTA and local agencies have implemented 78 corridor-based signal synchronization projects since 2008 for a cost of approximately \$53 million (including non-M2 funds). Another 30 projects are planned or underway. From 2017-2026, the entire network of signals is anticipated to have been retimed or optimized at least two times. This equates to more than 4,000 intersections retimed over a 10-year period (2017 to 2026).

Present Day:

In the past, many traffic signal synchronization projects were limited to

segments of roads in individual cities. M2 provides funds to expand these projects to benefit neighboring cities and regional corridors.

Benefits:

Optimizing signal timing offers substantial benefits in reducing traffic delays and improving air quality. To date, OCTA has implemented optimized signal timing on 78 corridors with 2,742 intersections covering 702 miles of roadway. On the average, each project resulted in a 13 percent travel time savings for corridor end-to-end travel, saving commuters time and money for a relatively low investment. Future projects may see comparable benefits when combined with capital improvements to reduce physical bottlenecks where appropriate.

External Funding:

Local agencies are required to provide a 20 percent local match. Matching funds may be in-kind services. There may be future needs for more capital-intensive investments as systems age. Projects started prior to the 2011 call for projects were funded with M1, federal Congestion Mitigation and Air Quality Improvement (CMAQ), and Prop 1B funds. The 2013 call for projects was partially funded with MSRC grant money. The 2018 call was able to leverage \$6.85 million in SB 1 Local Partnership Program competitive grant funds. In all, external funding (not including funds provided by local agencies) contributed is approximately \$18.65 million.

P. Regional Traffic Signal Synchronization Program

Risks:

Local agencies must meet eligibility requirements and timely-use-of-funds provisions to receive M2 funding.

Related Projects:

Project O (RCP) and Project Q.

Involved Agencies:

All local agencies (cities and County of Orange) and Caltrans.

Assumptions:

Project P is assumed to be funded on a pay-as-you-go basis.

References:

- M2 Eligibility Guidelines
- OCTA's Comprehensive Business Plan
- Capital Funding Program Report – Local Road Project (June 2019)

Q. Local Fair Share Program

Description:

Project Q provides formula “Local Fair Share” funds that local jurisdictions may use for a variety of purposes and needs, including repairing aging streets, residential street projects, bicycle lanes, and pedestrian safety (plus other transportation uses).

Key among these needs includes pavement preservation, which involves extending the useful life of pavement and avoiding costly street reconstruction. Preserving and maintaining roads in good condition is a key goal of M2 and Project Q in particular.

Program Funding:

Approximately \$600 million will be provided between 2017 and 2026.

Status:

Orange County streets are in generally good condition on average (with a pavement condition index of 78 based on the 2016 statewide report). As roadway pavement conditions deteriorate, however, the cost for repairs increases exponentially. For example, it costs as much as 14 times more to reconstruct pavement than to preserve it when it is in good condition.

Present Day:

The cost of street rehabilitation has increased substantially in recent years, and gas tax revenues have not kept pace with these increases which has a direct impact on the ability to fund street maintenance and rehabilitation. As of June 2019, approximately \$162.1⁷ million in Local Fair Share payments have been provided to local agencies and the County since Next 10 Plan adoption in November 2016.

Benefits:

Investments in streets and roads save future costs, keep traffic moving, and offer expanded travel choices.

Local Fair Share funds are also flexible and can be used as matching funds for capacity and safety projects, bike and pedestrian facilities, as well as local transit services.

External Funding:

This program is not externally funded.

⁷ Only includes disbursed funds. On May 13, 2019, the Board determined that the City of Santa Ana and the City of Stanton ineligible to receive M2 revenues. Disbursement of M2 funds have been suspended until the

cities achieve compliance and the Board reconsiders the matter by May 2020.

Q. Local Fair Share Program

Risks:

Local jurisdictions must meet eligibility requirements and timely-use-of-funds provisions to receive M2 funding.

Related Projects:

Project O (RCP) and Project P.

Involved Agencies:

All local jurisdictions (cities and County of Orange).

Assumptions:

Project Q is assumed to be funded on a pay-as-you-go basis.

References:

- M2 Eligibility Guidelines
- 2016 California Statewide Local Streets and Roads Needs Assessment
- OCTA's Comprehensive Business Plan
- Capital Funding Program Report – Local Road Project (June 2019)

2019
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NEXT 10

DELIVERY PLAN

Transit Programs

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last updated 10.3.19

R High Frequency Metrolink Service

- Metrolink Grade Crossing Improvements
- Station Improvement Project
- Planned Metrolink Station
- Laguna Niguel-San Juan Capistrano Passing Siding Project
- Sand Canyon Grade Separation Project

S Transit Extensions to Metrolink

- OC Streetcar

T Metrolink Gateways

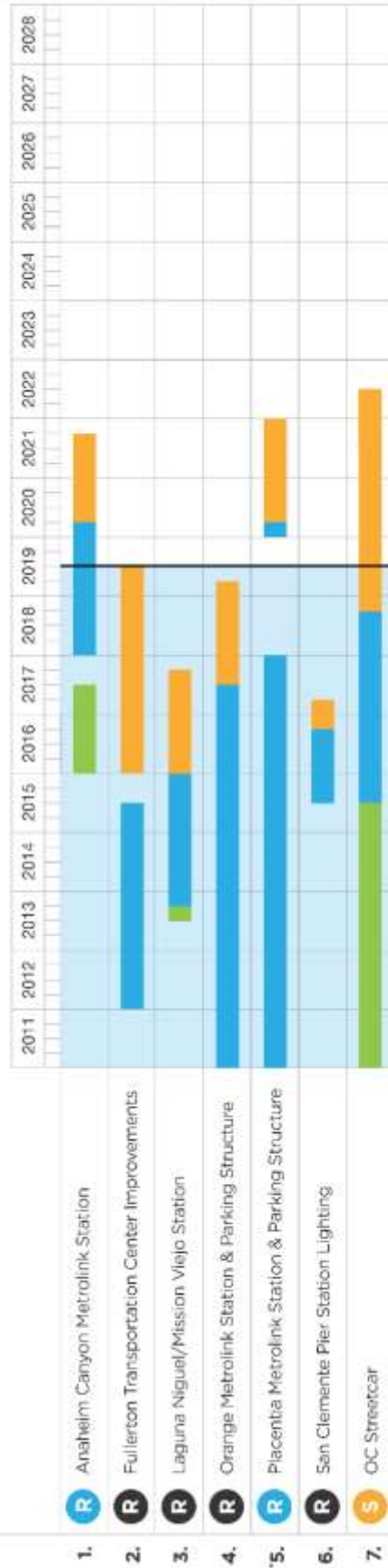
- Anaheim Regional Transportation Intermodal Center (ARTIC)

U Expand Mobility Choices for Seniors and Persons with Disabilities (countywide, not mapped)

V Community Based Transit/Circulators (countywide, not mapped)

W Safe Transit Stops (countywide, not mapped)

OC Go Transit Projects Through Construction



Please note that schedules are updated as of June 30, 2019. Shown schedules are subject to change.

* The Placentia Metrolink Station's ability to move into construction is subject to a track sharing agreement with Burlington Northern Santa Fe Railway

Transit Program



Overview:

The goal of the Transit Program is to build a visionary transit system that is safe, clean, and convenient, with a focus on Orange County's transportation future. Providing mobility choices and connectivity for Orange County residents and workers are key components of the overall M2 Plan. To meet this broad mobility goal, the Next 10 Plan includes the following framework for the Transit Program:

- Ensure efficient and integrated Metrolink service for Orange County residents.
- Assess and deliver transit options providing commuters last mile connections and alternatives to driving.
- Provide services and programs to meet the growing transportation needs of seniors and persons with disabilities.
- Support local agency efforts to deliver Board-approved community-based transit projects.
- Advance improvements to the busiest transit stops across the County to provide passenger amenities that ease transfers between bus lines.

Next 10 Deliverables:

The Next 10 Plan for transit recommends nine major initiatives through 2026, consistent with the above framework.

1. Complete six rail station improvements.⁸
2. Maintain existing Metrolink service levels.
3. Expand Metrolink service from Orange County into Los Angeles County, contingent upon cooperation and funding participation from route partners.
4. Complete design, construction and begin operating the OC Streetcar.
5. Incorporate recommendations from planning studies to guide development of future transit connections.
6. Provide \$49 million to stabilize OCTA's bus fares for seniors and persons with disabilities, provide \$33 million for senior community transportation programs and \$33 million for senior non-emergency medical transportation services.
7. Support and provide grant opportunities for local agencies to implement effective local transit services.
8. Allocate up to \$7 million in funding to improve the top 100 busiest bus stops in Orange County.
9. Support the modernization of the OC Bus system to enhance the customer experience.

⁸ As mentioned in the Updated Next 10 Deliverables section and the High Frequency

Metrolink Service section, four of six rail station improvements have been completed.

R. High Frequency Metrolink Service

Description:

Project R provides for sustained and expanded rail service into Los Angeles and Orange Counties along the three Metrolink lines serving Orange County (Orange County, Inland Empire-Orange County, and 91/Perris Valley Lines). Project R also provides for safety and operational improvements to the railroad infrastructure necessary to support existing and expanded train service, including grade crossing improvements, track improvements, signal and communications system improvements, as well as other projects as necessary to support the rail system. Grade separation projects will be considered as available funding permits.

Program Funding:

Approximately \$358 million between 2017 and 2026 in M2 sales tax revenue.

Status:

Metrolink is currently operating 54 weekday trains in Orange County. To date, rail safety enhancements at 50 at-grade rail-highway crossings have been completed. As a result, quiet zones have been established in Anaheim, Dana Point, Irvine, Orange, San Clemente, Santa Ana, San Juan Capistrano, and Tustin.

Station improvements completed during the Early Action Plan include parking expansion projects at the Fullerton Transportation Center, Tustin Station, and Laguna Niguel/Mission Viejo Station, and safety repairs to the San Clemente Pier Station platform.

The San Clemente Pier Metrolink/Amtrak Station lighting was completed in March 2017, the Laguna Niguel/Mission Viejo Metrolink Station Americans with Disabilities Act (ADA) ramps was completed in September 2017, the Orange Transportation Center Parking Structure was completed in February 2019, and the Fullerton Transportation Center elevator upgrades project was completed in May 2019. Two other rail station improvements are currently underway: Placentia Metrolink Station and Anaheim Canyon Metrolink Station improvement projects. Both projects are expected to be completed by 2022.

Completed rail corridor improvements include Control Point Stadium, the San Clemente Beach Trail Audible Warning System, and six Project Study Reports for potential grade separations along the Los Angeles-San Diego-San Luis Obispo Rail (LOSSAN) corridor, including: Santa Ana Boulevard, Ball Road, Orangethorpe Avenue, Main Street, Grand Avenue, 17th Street, and Control Point at 4th Street. Rail corridor improvements underway include: the Laguna Niguel to San Juan Capistrano Passing Siding project, San Juan Creek Railroad Bridge Replacement, Railroad ROW Slope Stabilization Project, Metrolink Preventive Maintenance Capitalized Operation, Metrolink Rehabilitation/ Renovation, and ongoing operation of Positive Train Control.

R. High Frequency Metrolink Service

Present Day:

Most capital improvements required for expansion of Metrolink service during mid-day are complete. OCTA and partner agencies are working together with Metrolink and BNSF to implement improvements allowing expansion of service to Los Angeles. OCTA is coordinating with LOSSAN and its member agencies to continue to support improved service integration and coordination within the corridor.

In two phases beginning October 2019 and April 2020, four intracounty trips operating between Laguna Niguel/ Mission Viejo and Fullerton will be extended to Los Angeles.

Benefits:

Project R allows for sustained operation and enhanced capacity of Metrolink trains serving Orange County, providing a viable alternative to single-occupant vehicle travel, thereby reducing congestion on crowded roadways and freeways. During the peak hour, Metrolink carries the equivalent number of passengers that would fill one freeway lane on I-5.

External Funding:

State: STIP, Propositions 1A, 1B, and 116, and Transit and Intercity Rail Capital Program (TIRCP) totaling \$285.80 million.

Federal: CMAQ, the Surface Transportation Block Grant (STBG) Program, and Federal Transit Administration (FTA) Sections 5307, 5309, and 5337, totaling \$423.26 million.

Other Local: Local funding from the cities as well as other entities is programmed for \$83.95 million.

M1 also provided \$136.58 million.

Risks:

The current sales tax revenue projections limit the ability to expand Metrolink service to Los Angeles. Future expansion plans are contingent upon the cooperation and participation of route partner agencies.

Outside of the Next 10 Plan but important to Metrolink operations is the undertaking by Metrolink of a major multi-year \$443.5 million systemwide rehabilitation program that, in addition to safety, will help improve system reliability and performance for commuters. This program needs to be funded over and above ongoing maintenance and operation costs. Analysis to date indicates that Orange County's share is manageable within the M2 funding limits and share of federal 5337 funding as a result of past and present proactive efforts of OCTA. In addition, OCTA foresees the planned installation of the Metrolink Rail Maintenance Facility in Orange County will reduce ongoing operating costs and allow for better efficiencies for future expansion.

Related Projects:

Project S, Project T, and Project V.

R. High Frequency Metrolink Service

Involved Agencies:

Metrolink, Caltrans, CTC, California State Transportation Agency (CalSTA), FTA, Los Angeles County Metropolitan Transportation Authority, RCTC, San Bernardino County Transportation Authority, Ventura County Transportation Commission, BNSF, California Public Utilities Commission (CPUC), California Office of Emergency Services, and all corridor agencies.

Assumptions:

Funding and operating agreements with partner agencies will be successfully implemented.

References:

- OCTA Comprehensive Business Plan
- Capital Funding Program Report - Rail Project (September 2019)

S. Transit Extensions to Metrolink

Description:

Project S establishes a competitive program for local jurisdictions to broaden the reach of Metrolink to other Orange County cities, communities, and activity centers via transit, to connect passengers to their final destinations. With approximately 60 percent of Orange County's population and employment centers located within a four-mile radius of Metrolink stations, the emphasis of Project S is on expanding access to the core rail system and establishing connections to destinations that are not immediately adjacent to the Metrolink corridor, within the central core, north and south of Orange County. These connections may include a variety of transit technologies such as conventional bus or vanpool (Rubber Tire), bus rapid transit or high capacity rail transit systems (Fixed Guideways), as long as they can be fully integrated and provide seamless transition for the users.

Program Funding:

Approximately \$306 million between 2017 and 2026 (for fixed guideways and rubber tire) in sales tax revenue.

Status:

Fixed Guideway: Through a competitive process, one project (OC Streetcar) advanced beyond initial study. The OC Streetcar is in construction and will operate in the Cities of Santa Ana and Garden Grove.

Rubber Tire: One call for projects has been issued since 2012, providing approximately \$732,000 for four projects in the Cities of Anaheim and

Lake Forest. One project is in service and three have been cancelled.

Present Day:

Maintaining and growing Metrolink ridership relies on convenient and seamless bus and rail connections. Currently, OCTA fixed bus service and company shuttles are the prime providers of transit connections. However, more recently Uber/Lyft paid-ridesharing services have been a growing presence.

Benefits:

Project S will provide expanded transit access to the centralized Metrolink system, thereby allowing Metrolink commuters to connect to other parts of the County without using an automobile.

External Funding:

Fixed Guideways: External funds for two preliminary studies for the Cities of Anaheim and Santa Ana were funded with \$4.12 million in federal FTA Section 5307 and city local funds. M1 also provided \$18.71 million for preliminary studies.

The Board has approved funding supporting the OC Streetcar project, including \$25.52 million in contribution of state funds, and \$218.54 million in federal funds from state Cap and Trade, federal CMAQ, FTA Section 5307 and New Starts funding totaling \$242.2 million.

Rubber Tire: None. These projects are funded by M2 and local city matching funds.

S. Transit Extensions to Metrolink

Risks:

Overall time, scope, and cost risks are high with this project due to the extensive project scope.

Related Projects:

Project R (High Frequency Metrolink Service), Project T, and Project V.

Involved Agencies:

Local jurisdictions, CTC, Caltrans, CalSTA, CPUC, and FTA.

Assumptions:

OC Streetcar: Cities of Santa Ana and Garden Grove will provide their required match for operations.

Funding for a future call for additional project(s) will be at the Board's discretion.

Rubber Tire: Future calls for projects will be at the Board's discretion based on the level of interest from local jurisdictions, but will likely be transitioned to Project V which provides for greater flexibility.

References:

- M2 Eligibility Guidelines
- Federal 5309 Funding Guidelines
- OCTA's Comprehensive Business Plan
- Capital Funding Program Report - Rail Project (September 2019)
- OC Streetcar Project Revised Funding Plan (July 2018)

T. Convert Metrolink Stations to Regional Gateways that Connect Orange County with High-Speed Rail Systems

Description:

Provide funding for local improvements to stations along the LOSSAN corridor in Orange County to facilitate connections to future high-speed rail systems, thereby ensuring Orange County's presence in the development and implementation of high-speed rail systems that will serve Orange County. One project, the Anaheim Regional Transportation Intermodal Center (ARTIC), moved forward to completion.

Cost:

M2 contributed \$35.29 million of the \$225.53 million cost of the ARTIC project.

Status:

As part of EAP efforts, OCTA held a competitive call for projects in 2009 for eligible station cities for the development and implementation of station projects in preparation of future high-speed rail systems. The Cities of Anaheim, Fullerton, Irvine, and Santa Ana were awarded funding for planning of major expansions of their Metrolink Stations. The City of Anaheim received environmental clearance for the ARTIC project in early 2012. The completed facility opened to rail and bus service on December 6, 2014.

On December 14, 2015, the Board of Directors amended the M2 Ordinance No. 3 and Transportation Investment Plan to officially close out Project T by considering the completion of ARTIC as fulfilling the intent of Project T, as the only Orange County station on the planned High-Speed Rail route. The remaining balance of M2 funds were then transferred to two projects in need: the

Metrolink Service Expansion Program (part of Project R), and the Fare Stabilization Program for Seniors and Persons with Disabilities (part of Project U).

Present Day:

In partnership with transportation agencies, corridor cities, and stakeholders, the California High-Speed Rail Authority (CAHSRA) in 2008 planned a High-Speed Rail (HSR) system that was envisioned to extend as far north as Sacramento and as far south as San Diego with a connection in Anaheim. Work on the Central Valley segment from Bakersfield to Merced continues, however other areas of the system have been postponed.

Benefits:

Early completion of Project T allowed for investment in Orange County's rail system to facilitate the planned ultimate integration of various high-speed rail systems within the County. The project relocated the prior rail station from leased land in the Los Angeles Angels of Anaheim parking lot, to its new permanent location as a multi-modal station for all transit riders.

External Funding:

State: STIP totaling \$29.22 million.

Federal: CMAQ, Regional Surface Transportation Program (RSTP), FTA Sections 5309 and 5337, FTA Bus Livability, and Highway Safety Improvement Program, totaling \$74.00 million.

T. Convert Metrolink Stations to Regional Gateways that Connect Orange County with High-Speed Rail Systems

M1 also provided \$87.02 million of which \$32.50 million for ROW will be repaid plus interest by the City of Anaheim by 2025.

Risks:

None – project completed.

Related Projects:

California High-Speed Rail System

Involved Agencies:

CTC, Caltrans, FTA, CAHSR, Metrolink and the Cities of Anaheim, Fullerton, Irvine, and Santa Ana.

Assumptions:

The California High-Speed Rail System will extend to the City of Anaheim as identified in their 2016 Business Plan.

References:

- M2 Eligibility Guidelines
- California High-Speed Rail 2016 Business Plan
- Capital Funding Program Report - Rail Project (September 2019)

U. Expand Mobility Choices for Seniors and Persons with Disabilities

Description:

Project U provides funding for three programs to support mobility choices for seniors and persons with disabilities. Each of these programs support OCTA's effort to expand mobility options for seniors.

The Fare Stabilization Program ensures that fares for seniors and persons with disabilities continue to be discounted at the same percentage as 2006 levels.

The SMP, administered by OCTA, was first established in 2001. For the first ten years, this program was supported with Transit Development Act (TDA) funds. The allocation of M2 Project U funding ensures the continuation of dedicated resources to sustain this program for the next 25 years.

The SNEMT Program was established by the County of Orange in 2003, utilizing Tobacco Settlement Revenue (TSR) to fund the program. M2 Project U funding supplements existing TSR resources to expand the capacity of the program and increase the number of available SNEMT trips.

Program Funding:

Approximately \$126 million on a pay-as-you-go basis between 2017 through 2026.

Status:

Fare Stabilization: In December 2015, the Board approved an amendment to

the M2 Ordinance No. 3 and Transportation Investment Plan that backfilled a funding shortfall identified in this program with remaining Project T funds. Effective January 2016, an amendment to the M2 Ordinance No. 3 adjusted this amount to 1.47 percent of net M2 revenues. With the amendment, projected Fare Stabilization revenues are expected to be solvent through the life of the M2 Program.

SMP: This program offers a variety of senior transportation resources for medical, nutrition, shopping, and social trips to participating cities. Currently, there are 31 cities which participate.

SNEMT: This program is administered by the County of Orange Office on Aging and is carried out by two transportation contractors. This program provides approximately 140,000 annual trips under Project U for non-emergency services such as trips to doctor and dental appointments, therapy, dialysis, and pharmacy visits.

Present Day:

Studies of senior mobility needs have identified seniors' preference for utilizing local, community-based transportation services rather than countywide or regional services.

As of June 2019, more than \$27 million has supported over 109 million trips through the Fare Stabilization, \$20.39⁹ million provided 2.23 million trips

⁹ Only includes disbursed funds. On May 13, 2019, the Board determined that the City of Santa Ana and the City of Stanton ineligible to receive M2 revenues.

Disbursement of M2 funds have been suspended until the cities achieve compliance and the Board reconsiders the matter by May 2020

U. Expand Mobility Choices for Seniors and Persons with Disabilities

through SMP, and \$22.2 million provided 857,875 trips through SNEMT.

The SMP allows participating cities to identify the specific mobility needs of the seniors in their communities and develop transportation programs to best meet those needs with available funding.

The SNEMT fills a gap in senior transportation services, as trips are often provided to seniors who do not qualify for OCTA ACCESS service, or to seniors whose advanced age or disposition make it difficult to use ACCESS service. Contracting with social service agencies to provide SNEMT services allows this program to provide enhanced service elements beyond the requirements of ACCESS, a paratransit service that complements OCTA's fixed route bus service and is provided to comply with ADA.

Benefits:

M2 funding of these programs, combined with OCTA ACCESS service and other senior transportation services funded with public and private resources, provide a menu of mobility options for Orange County seniors, allowing them to select the service that most appropriately meets their transportation need.

External Funding:

Cities contribute a 20 percent match to their SMP services. A variety of funding sources are used by cities for their SMP

match requirement, including general fund, Community Development Block Grants, sponsorships, advertising revenue, and administrative in-kind resources. The County of Orange utilizes primarily TSR funds to meet their maintenance of effort (MOE) requirement.

Risks:

Cities must provide matching funds for SMP.

Related Projects:

Not Applicable

Involved Agencies:

Nearly all local agencies – Participating SMP cities include: Aliso Viejo, Anaheim, Brea, Buena Park, Costa Mesa, Cypress, Dana Point, Fountain Valley, Fullerton, Garden Grove, Huntington Beach, Irvine, Laguna Hills, Laguna Niguel, Laguna Woods, La Habra, Lake Forest, Mission Viejo, Newport Beach, Orange, Placentia, Rancho Santa Margarita, San Clemente, San Juan Capistrano, Santa Ana, Seal Beach, Stanton, Tustin, Villa Park, Westminster, and Yorba Linda. The Orange County Office on Aging administers the SNEMT Program.

Assumptions:

Project U is assumed to be funded on a pay-as-you-go basis.

References:

- Project U Funding and Policy Guidelines
- OCTA's Comprehensive Business Plan

V. Community Based Circulators

Description:

Project V provides funding to local jurisdictions through a competitive process to develop local bus transit services, such as community-based circulators, shuttles, and bus trolleys that complement regional bus and rail services, and meet local needs in areas not adequately served by regional transit. Projects will need to meet performance criteria for ridership, connection to bus and rail services, and financial viability to be considered for funding.

Program Funding:

\$69.9 million on a pay-as-you-go basis between 2017 through 2026.

Status:

To date, the Board has approved four rounds of funding for a total of \$51 million. Two of these rounds (one of which is currently underway) have occurred since Next 10 adoption, totaling \$21 million. The three completed rounds awarded 28 projects (service expansions from the 2018 call are counted as separate projects). Staff recommendations for the current round of funding will be prioritized for Board consideration in spring 2020.

Out of the 28 projects awarded by OCTA: 19 are currently active; seven have been cancelled; one is planned and one has been completed.

Present Day:

Project V helps address the regularly-expressed need for local community-

based transit service by Orange County communities.

Benefits:

Community based circulators can provide relief to arterials in high traffic areas, and provide non-auto based mobility options that meet specific local needs.

External Funding:

The local match requirement for both capital and any operating funds authorized by the Board is a minimum of 10 percent.

Risks:

Local agencies must meet eligibility requirements to receive funding. Ability to sustain service will be key to moving projects forward.

Related Projects:

Project S (some Project S and V routes could serve dual purposes).

Involved Agencies:

OCTA and participating local agencies.

Assumptions:

Project V is assumed to be funded on a pay-as-you-go basis.

References:

- M2 Eligibility Guidelines
- Project V Guidelines (under development)
- OCTA's Comprehensive Business Plan

W. Safe Transit Stops

Description:

Project W provides funding for passenger amenities at the 100 busiest transit stops across Orange County. The intent is to assist bus riders in the ease of transfer between bus lines and provide passenger amenities.

Program Funding:

\$7.6 million on a pay-as-you-go basis between 2017 through 2026.

Status:

Project W provides funds to construct and improve local bus stop amenities implemented by eligible local agencies.

To date, there have been a total of two rounds of funding totaling just under \$2 million with one oc. Since Next 10 adoption, one of the rounds of funding was issued following the completion of the first round taking place in 2014. The first round, on July 14, 2014, the OCTA Board approved funding for seven local agencies in an amount not to exceed \$1.2 million for 51 stop improvements. Of the 51 stop improvements, 43 stop improvements have been completed, with the remaining eight postponed by the City of Anaheim.

On June 24, 2019, a second round of funding recommendations were approved by the Board providing just under \$1 million to support improvements at 36 stops within seven eligible local jurisdictions and OCTA.

Present Day:

High volume stops are eligible for funding providing needed passenger amenities commensurate with the volume of riders.

Benefits:

To date, 36 stop improvements are underway with 43 stop improvements completed, which has enhanced the overall passenger experience at the busiest bus stopped within Orange County. Eligible improvements in locations where such amenities do not exist, include enhancements such as sun/rain protection, passenger seating, improved lighting etc.

External Funding:

Minimal local match provided for design requests; the rest is 100% M2 funded up to the Project W funding caps. If over cap, then additional local agency funds would be required.

Risks:

Local jurisdiction-initiated: Local jurisdictions are responsible for amenities at bus stops. Depending on the amenities selected, long-term maintenance and costs could be required.

Related Projects:

Not Applicable.

Involved Agencies:

Local agencies (eligible cities and OCTA) with a top 100 busiest stop are eligible to receive these funds.

Assumptions:

Project W is assumed to be funded on a pay-as-you-go basis

References:

- M2 Eligibility Guidelines
- Project W Guidelines
- OCTA's Comprehensive Business Plan

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UPDATE

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DELIVERY PLAN

Environmental Cleanup Program







































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2019 UPDATE
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 DELIVERY PLAN

Call for Projects  Call for Projects to be determined based on revenue flow 

OC Go Environmental Cleanup Grants and Call for Projects

	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
1.  M2 Water Quality Call for Projects - Tier I																		
2.  M2 Water Quality Call for Projects - Tier II																		

Tier 1 grants program consists of funding for equipment purchases and upgrades to existing storm drains and related best management practices.
 Tier 2 grants program consists of funding for regional, potentially multi-jurisdictional, capital-intensive projects.

Environmental Cleanup Program



Overview:

The ECP (Project X) allocates approximately \$268 million toward improving overall water quality in Orange County from transportation-related pollution. Project X was approved by Orange County voters under the M2 half-cent sales tax for transportation improvements in 2006.

To adhere to the promise of M2, the Next 10 Plan includes the following framework for Project X:

- Provide supplemental funds (not supplant) for existing transportation related water quality programs
- Allocate funds on a competitive basis to improve water quality standards in Orange County
- Reduce transportation-generated pollutants along Orange County's streets, roads and freeways
- Implement best management practices to improve runoff from streets, roads and freeways

Additionally, as part of the overall M2 Plan, all M2 capital projects (freeway, street, and transit) must include water quality mitigation as part of their respective project scope and cost. Therefore, this source of funding is not eligible for environmental mitigation efforts.

Next 10 Deliverables:

The Next 10 Plan for Project X recommends two major initiatives through 2026 consistent with the above framework:

1. Protect Orange County beaches by removing 25 tons¹⁰ of trash (during the ten-year period) from entering waterways and inlets that ultimately lead to the ocean.
2. Work with the Environmental Cleanup Allocation Committee to develop the next tiers of water quality funding programs with a goal of providing up to \$40 million of grants to prevent the flow of trash, pollutants and debris into waterways from transportation facilities. In addition, focus on improving water quality on a regional scale that encourages partnerships among the local agencies as part of Project X.

¹⁰ Trash removal achieved by funded projects will be additive with each new call for projects

and will continue yielding greater benefits as equipment is in operation over time.

X. Environmental Cleanup Program

Description:

Project X implements street- and highway-related water quality improvement programs and projects that assist Orange County cities, the County of Orange and special districts in meeting federal Clean Water Act standards for urban runoff. Project X is intended to augment, not replace existing transportation-related water quality expenditures and to emphasize high-impact capital improvements over local operations and maintenance costs.

In May 2010, the Board approved a two-tiered approach to fund Project X. The Tier 1 grant program is designed to mitigate the more visible forms of pollutants, such as litter and debris that collect on roadways and in storm drains. Tier 1 consists of funding equipment purchases and upgrades to existing catch basins and related best management practices, such as screens and other low-flow diversion devices.

The Tier 2 Grant Program consists of funding regional, potentially multi-jurisdictional, and capital-intensive projects. Examples include constructed wetlands, detention/infiltration basins, and bioswales which mitigate pollutants such as heavy metals, organic chemicals, and sediment and nutrients.

Program Funding:

Up to \$40 million will be available for the Tier 1 and Tier 2 grants funding programs over a ten-year period between 2017 and 2026, on a pay-as-you-go basis.

Status:

To date, the Board has awarded approximately \$24 million to fund 177 Tier 1 projects across the County through

nine rounds of funding. A tenth call for projects is anticipated to be released in March 2020 in the amount of approximately \$2.8 million and programming recommendations are anticipated for late summer. The Board has also awarded approximately \$28 million for 22 Tier 2 projects in 12 cities and the County of Orange.

Since adoption of the Next 10 Plan in November 2016, OCTA has issued three calls for Tier 1 ECP projects. The Board awarded approximately \$7.6 million to fund 39 Tier 1 projects.

Annual Tier 1 calls for projects are anticipated moving forward. The timing and amount of the next Tier 2 call for projects will be determined based on funding availability and project readiness.

Present Day:

Staff has estimated that over a 6.2 million cubic feet of trash has been captured as a result of the installation of Tier 1 devices since the inception of the Tier 1 program in 2011. This is equivalent to over 2,600 forty-foot shipping containers (or 5,200 twenty-foot equivalent units). As the equipment is in service over time, the volume of trash captured is expected to increase. The funded Tier 2 projects have the potential to recharge 157 million gallons of groundwater annually.

Benefits:

Improvements funded through this program will improve overall water quality in Orange County. Funds allocated on a countywide competitive basis will assist jurisdictions in meeting federal Clean Water Act requirements for controlling transportation-generated pollution.

X. Environmental Cleanup Program

External Funding:

Local agencies are required to provide a 20 percent (Tier 1) and 50 percent (Tier 2) minimum local cash match. Tier 2 matching funds may be reduced, depending on project readiness and operations and maintenance above the ten-year minimum requirement.

Risks:

Local agencies must meet eligibility requirements and timely-use-of-funds provisions to M2 receive funding.

Related Projects:

Not Applicable.

Involved Agencies:

All local agencies (cities and County of Orange). Third parties such as water and wastewater public entities, environmental organizations, non-profit groups, and homeowner's associations cannot be a lead agency applicant; however, they could jointly apply with an eligible applicant.

Assumptions:

Funds will be allocated on a countywide competitive basis to assist jurisdictions with improving water quality related to transportation pollution.

References:

- Tier 2 Grant Program Planning Study
- OCTA's Comprehensive Business Plan

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DELIVERY PLAN

Appendix

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To determine the status of the M2 Program, staff reviewed and updated cash flows for the Next 10 Plan for each of the program elements to test whether commitments provided to the voters as part of the M2 approval in November 2006 remain achievable. The revenue assumptions are based on the 2019 M2 revenue forecast of \$13.4 billion using the latest M2 revenue forecast methodology approved by the Board. The Next 10 Plan assumes approved TIFIA proceeds, the Full Funding Grant Agreement, and net excess 91 Express Lanes revenues for eligible projects as well as the availability of a viable amount of discretionary federal and/or state funds from 2019 to 2041. Revenues and expenses were merged into a high-level cash flow model that will be refined through the Plan of Finance. Bonding assumptions were updated to determine the need to address projected negative ending balances by year (compared to a pay-as-you-go scenario) and are constrained to minimum debt coverage ratios.

Freeway Program

Revenues for the M2 Freeway Program assumed a proportional share (43 percent) of net M2 revenue. From inception to 2026, the Freeway Program would receive approximately \$2.08 billion in M2 revenue, \$794.4 billion in bond proceeds (includes \$495.4 million in prior bond proceeds), and \$1.33 billion in state/federal grants (\$1.28 billion of which is already programmed), \$153.9 million in committed proceeds, \$241.4 million in net excess 91 Express Lanes revenue for eligible projects, \$21.7 million in interest, and \$20 million transferred in from M1 for a total of \$4.65 billion in total revenue. Costs for the same period total \$4.543 billion.

With an increase in sales tax revenues coupled with the prior local funding commitments from 91 Express Lanes, significant external revenues captured, along with additional project scope refinements, the freeway program cash flow is healthy. This supports OCTA's commitment to accelerate additional projects as planned in Deliverable 2. Accelerating projects results in lower project cost escalation and significantly lowered bonding needs.

For the Next 10 Plan Freeway Program update, forecasted revenues and costs through 2041 were also tested. This effort was conducted to ensure the complete M2 Freeway Program could be delivered consistent with commitments provided to the voters as part of M2 approval in November 2006. For projects currently in environmental or final design, project schedules and costs were based on data provided by OCTA's Project Controls Department. For projects that have not yet entered the environmental phase, conceptual estimates were prepared based on a scoring of congestion relief, project readiness, and cost escalation risks (associated with project delays). Bond issuances for the 2019 update reduced to just one during the 2026 timeframe and includes no others looking out to 2041. As always, bonding is constrained to legal debt coverage ratios, and a Plan of Finance is brought separately to the Board for approval as needed with refined bond assumptions.

Next 10 Plan Funding Assumptions



The Next 10 Plan freeway deliverables funding commitment includes nine projects completed prior to plan adoption. See table below for project listing.

Completed Prior to Next 10 Plan		Construction Complete	Cost
1. Project D	I-5, Ortega Highway Interchange	2016	\$79.7
2. Project E	SR-22 Access Improv., Euclid St., Brookhurst St., Harbor Blvd.	2008	M1\$'s
3. Project G	SR-57 Northbound, Katella Ave. to Lincoln Ave.	2015	\$38.0
4. Project G	SR-57 Northbound, Orangethorpe Ave. to Yorba Linda Blvd.	2014	\$52.3
5. Project G	SR-57 Northbound, Yorba Linda Blvd. to Lambert Rd.	2014	\$54.1
6. Project H	SR-91 Westbound, I-5 to SR-57	2016	\$59.2
7. Project I	SR-91 Westbound, Tustin Ave. Interchange to SR-55	2016	\$42.5
8. Project J	SR-91 SR-55 to SR-241	2013	\$79.7
9. Project J	SR-91 Eastbound, SR-241 to SR-71	2011	\$57.8
Prior Project Completion Total			\$463.3

Next 10 Plan Funding Assumptions

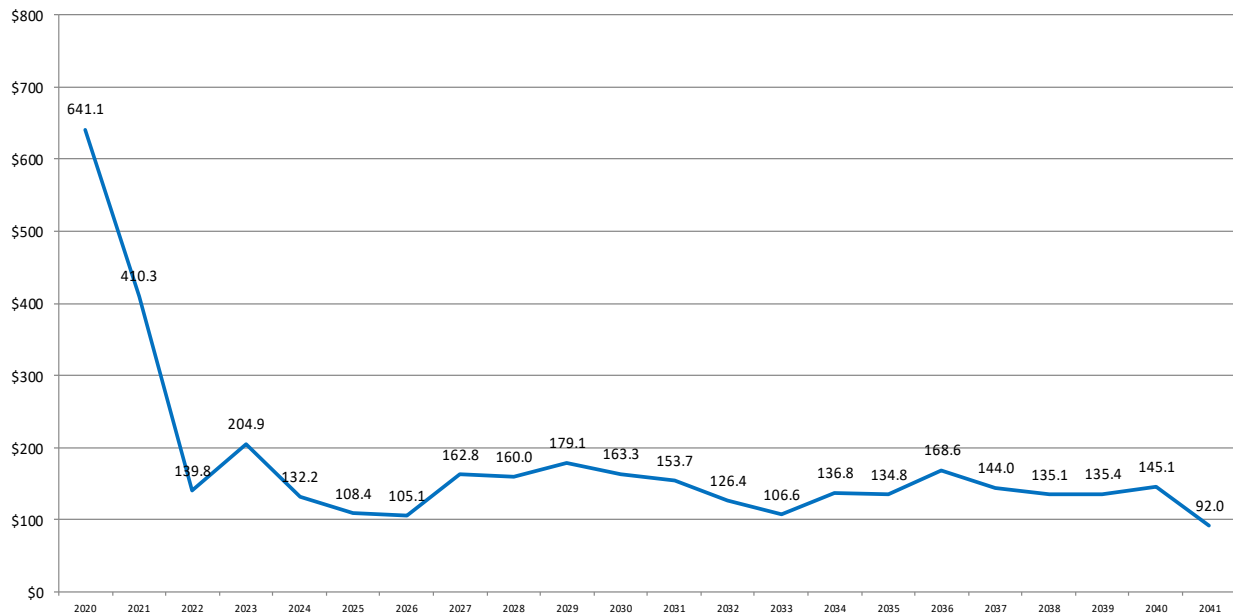


Projected M2 Freeway Program Revenues, Estimated Costs, and Ending Balances

(Millions of Dollars; Year of Expenditure)

	M2 Projected Revenue	Other Revenue	Estimated Costs (YOE)	Project Revenues - Costs
M2 Freeway Project	A	B	C	D = A + B - C
Project A (I-5, SR-55 to SR-57)	\$505.4	\$33.7	\$41.5	\$497.6
Project B (I-5, SR-55 to "Y")	\$322.8	\$28.0	\$438.7	(\$87.9)
Project C (I-5, South of "Y")	\$674.2	\$471.5	\$828.2	\$317.5
Project D (I-5 interchanges)	\$277.4	\$86.1	\$190.6	\$173.0
Project E (SR-22 access improvements)	\$129.0	\$0.0	\$0.0	\$129.0
Project F (SR-55 improvements)	\$393.6	\$235.6	\$533.3	\$95.8
Project G (SR-57 improvements)	\$278.2	\$111.2	\$379.7	\$9.7
Project H (SR-91, I-5 to SR-57)	\$150.5	\$27.2	\$59.2	\$118.5
Project I (SR-91, SR-57 to SR-55) ¹	\$447.9	\$465.0	\$477.8	\$435.1
Project J (SR-91, SR-55 to OC/RC line) ¹	\$378.7	\$422.6	\$430.0	\$371.2
Project K (I-405, I-605 to SR-55) ²	\$1,153.6	\$289.3	\$1,425.0	\$17.9
Project L (I-405, SR-55 to I-5)	\$343.8	\$8.0	\$238.8	\$113.0
Project M (I-605 access improvements)	\$21.5		\$28.6	(\$7.1)
Project N (Freeway Service Patrol)	\$161.3		\$161.4	(\$0.1)
Mitigation Program @ 5%	\$275.7		\$227.8	\$47.9
Transfer from M1 Savings		\$20.0		\$20.0
Interest Earnings		\$21.7		\$21.7
Bond Interest Costs ³			\$471.1	(\$471.1)
Other Non-Programmed Revenue		\$150.0		\$150.0
Freeway Program Economic Uncertainties ⁴			\$1,860.0	(\$1,860.0)
Subtotal M2 Revenues and Costs:	\$5,513.6	\$2,370.1	\$7,791.7	
2041 Projected Balance:				\$92.0

M2 Freeway Ending Balances By Year



¹\$720.8 million in SR-91 Express Lanes excess revenue has been incorporated into Other Revenues for portions of Project I (currently assumed at \$435.3 million) and Project J (currently assumed at \$292.5 million).

²\$153.9 million has been incorporated into Other Revenues for Project K. This is a direct benefit to the M2 portion of the I-405 Improvement Project, as the loan will be repaid with toll revenues and not with M2.

³Total debt service less bond proceeds and investment earnings.

⁴The plan allocates funds for economic uncertainties programmed in 2028 through 2041.

Next 10 Plan Funding Assumptions



Streets and Roads

The M2 Streets and Roads Program consists of Project O (RCP), Project P (RTSSP), and Project Q (Local Fair Share Program). Combined M2 revenues for these programs assume a proportional share (32 percent) of net M2 revenue. From inception to 2026, the Streets and Roads Program would receive approximately \$1.550 billion in M2 revenue, \$27.7 million in interest, \$121.6 million in prior bond proceeds, and \$606.9 million in M1 and state/federal grants (primarily for the OC Bridges Program), for a total of \$2.306 billion in total revenue. This includes \$6.9 million in SB 1 funding leveraged for Project P. Costs for the same period would total approximately \$2.368 billion (including debt service payments against prior bonding).

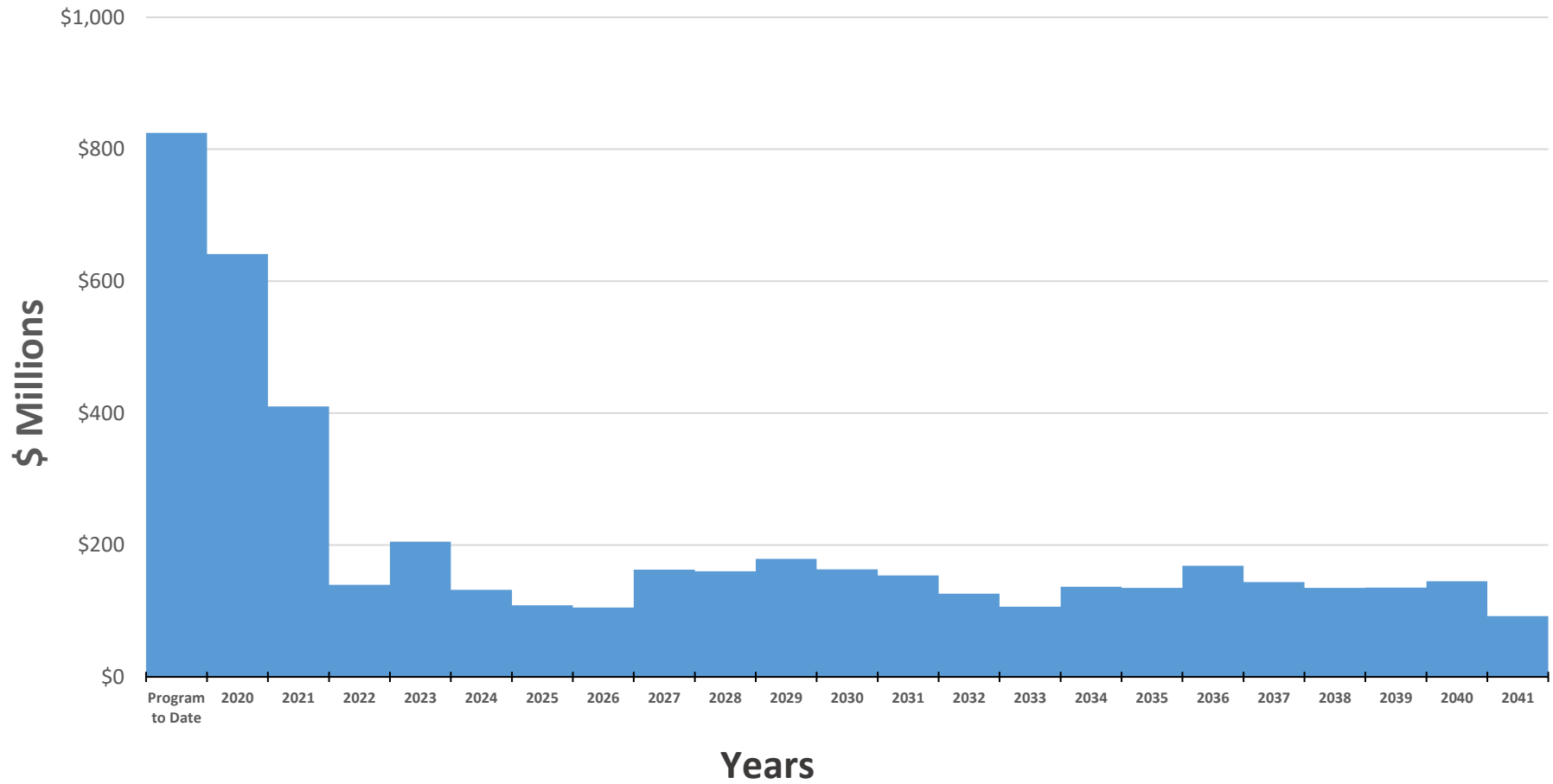
Transit Program

The M2 Transit Program consists of Project R (High Frequency Metrolink Service), Project S (Transit Extensions to Metrolink), Project T (Metrolink Gateways), Project U (Seniors/Disabled Persons Mobility Programs), Project V (Community Based Transit/Circulators), and Project W (Safe Transit Stops). Revenues for the M2 Transit Program assume a proportional share (approximately 25.0 percent) of net M2 revenue. From inception to 2026, the Transit Program would receive approximately \$1.211 billion in M2 revenue, \$51.7 million in prior bond proceeds, \$531.2 million in external revenue, and \$10.5 million in interest for a total of \$1.804 billion. Expenses for this same time period total \$1.507 billion. The cash flow includes \$148.96 million in Federal New Starts funding, \$85.47 million in federal CMAQ, and \$25.52 million in State Cap-and-Trade for the OC Streetcar project. The un-programmed balance for Project S allows for the option of an additional future transit connection project.

Environmental Cleanup Program

The M2 ECP consists of Project X (Cleanup Highway and Street Runoff that Pollutes Beaches). Revenues for the M2 ECP assume two percent of gross annual M2 sales tax revenue. From inception to 2026, the ECP would receive approximately \$99.5 million in M2 revenue. Expenses for this same time period total \$95.7 million.

2019 Updated Next 10 Delivery Plan M2 Program Cash Balance



M2 – Measure M2

2019 Updated Next 10 Delivery Plan Remaining Measure M2 Freeway Projects

The Measure M2 (M2) Freeway Program includes a total of 30 freeway projects or project segments. The 2019 update of the Next 10 Delivery Plan (Next 10 Plan) increases the number designated for completion to 26 projects. This leaves four projects to complete. These remaining four projects listed in the table below have specific reasons related to the application of the Guiding Principles that require additional time prior to these projects being

Final M2 Freeway Projects			
Environmental		Cleared/Shelf Ready	Cost
1. Project L	I-405 between I-5 and SR-55	2018	\$238.8
2. Project D	I-5 El Toro Road Interchange	2020	\$112.3 ¹
3. Project G	SR-57 NB Lambert Road to County Line	2026	\$167.5 ¹
4. Project J	SR-91 between SR-241 and I-15	2026	<u>\$292.5¹</u>
Remaining M2 Freeway Projects Total			\$811.1²

recommended for advancement described below.

I-405 – Interstate 405 / I-5 – Interstate 5 / SR-55 – State Route 55 / SR-57 – State Route 57 / SR-91 – State Route 91 / SR-241 – State Route 241 / I-15 – Interstate 15

- Project L – I-405 between I-5 and SR-55 is a parallel facility to Project B (I-5 between I-405 and SR-55). These projects need to be staggered due to construction on both creating excessive inconvenience to the traveling public. Project B is designated a higher priority project based on the Guiding Principles – project sequencing and connectivity, and project congestion relief and demand. Congestion levels on I-5 are more than twice as high as the Project L I-405 improvement area. The I-5 project improvement areas are highly constrained due to tight right-of-way and are therefore technically challenging, requiring design variations. The I-5 project is a high-cost project and leads to high-risk of cost escalation if delayed. Additionally, a significant California Department of Transportation safety project is scheduled to take place within the Project L project limits and will require additional coordination.
- Project D – I-5 El Toro Road Interchange is in the environmental clearance phase and has faced challenges determining a build alternative that has local support and consensus with the three stakeholder cities. Using the Guiding Principles, readiness and public support, this project needs additional time before it moves forward.

¹ These cost estimates are preliminary and will be updated once the project alternative is selected at the completion of environmental clearance.

² The total will be revised once the three remaining projects (D, G, and J) complete environmental clearance and have a selected project alternative.

2019 Updated Next 10 Delivery Plan Remaining Measure M2 Freeway Projects

Built into M2 was a promise that projects would be delivered in cooperation with local jurisdictions. The three stakeholder cities (Laguna Hills, Laguna Woods, and Lake Forest) have been asked to work together to come to consensus on a mutually acceptable and viable alternative, at which time, the project will then be ready to be advanced.

- Project G – SR-57 Northbound Lambert Road to Los Angeles County line is scheduled to begin the environmental phase in the Next 10 Plan time frame. Through the SB 1 (Chapter 5, Statutes of 2017) Trade Corridor Enhancement Program (TCEP), an initial phase for interchange improvements at Lambert Road interchange with SR-57 is currently underway. The mainline project is a strong candidate for additional TCEP funding and the Orange County Transportation Authority (OCTA) will apply to compete for these funds in the coming year. The project will require some coordination addressing connectivity with Los Angeles County. Reviewing the Guiding Principles – readiness, external funding, and project sequencing and connectivity, a decision for moving this project into design following environmental clearance will be reviewed during the Next 10 Plan update or brought to the Board of Directors (Board) as a separate item.
- Project J – SR-91 between SR-241 and I-15 is part of a bigger package of improvements underway between OCTA and the Riverside County Transportation Commission (RCTC), with a planned sequencing of project improvements in the 91 Corridor jointly agreed to by both OCTA Board and RCTC's Board. RCTC, with OCTA's support, is advancing the westbound portion of this project (between SR-241 and Green River Road) and is planned for construction in 2021. The eastbound lane project has engineering challenges due to project area topography (Santa Ana Canyon) and natural constraints (Santa Ana River) and requires an engineering feasibility assessment. Reviewing the Guiding Principles – readiness and project sequencing and connectivity, this project will move forward following the completion of the engineering feasibility assessment which is planned to take place in 2020.

2019 Updated Next 10 Delivery Plan Progress Report on Deliverables

The updated Next 10 Delivery Plan (Next 10) is based on ten deliverables intended to provide guidance on program and project delivery during the ten-year period 2017 through 2026. With three years of the ten-year plan complete, progress on the ten deliverables is significant. The ten deliverables are shown below, including accomplishments to date.

Freeways

1. **Deliver \$3.5 billion of freeway improvements approved through construction (projects A-M).**

Status:

The Measure M2 (M2) Freeway Program is currently made up of 30 projects or project segments. While the total number of projects increased from 27 (in 2018) to 30 (in 2019), the project delivery commitment remains the same. At the point of Next 10 adoption, nine of the 30 total projects were completed, for a total cost of \$463 million. Deliverable 1 includes the prior nine and another 12 of the 30 projects to be delivered (or underway) within the Next 10 timeframe. Together, the total project cost for the projects included in this deliverable is \$3.5 billion. For a table of the nine prior completed projects, see Appendix, page 104 of the 2019 updated Next 10.

During the Next 10 timeline, three projects on Interstate 5 (I-5) between Avenida Pico and San Juan Creek Road opened to traffic, adding six miles of carpool lanes. The remaining nine projects are moving forward through project delivery process and are shown below.

Completed		Construction Complete	Cost
Nine Projects Completed Prior to Next 10		2008-2016	\$463.3
1. Project C	I-5 between Avenida Pico and Avenida Vista Hermosa	2018	\$83.5
2. Project C	I-5, Vista Hermosa to Pacific Coast Highway	2017	\$75.7
3. Project C	I-5 between Pacific Coast Highway and San Juan Creek Road	2018	\$75.5
In Construction			
4. Project A	I-5 between SR-55 and SR-57	2021	\$41.5
5. Project C, D	I-5 between Oso Parkway and Alicia Parkway/La Paz Interchange	2023	\$203.1
6. Project K	I-405 between SR-73 and I-605	2023	\$1,425.0
In Design			
7. Project C	I-5 between Alicia Parkway and El Toro Road	2024	\$182.0
8. Project C, D	I-5 between SR-73 and Oso Parkway/Avery Parkway Interchange	2025	\$196.1
9. Project F	SR-55 between I-405 and I-5	2025	\$410.9
In Environmental			
10. Project I	SR-91 between SR-55 to Lakeview Avenue	2027	\$102.5
11. Project I	SR-91 between La Palma Avenue to SR-55	2027	\$223.1
12. Project I	SR-91 between Acacia Street to La Palma Avenue	2028	\$109.7
Deliverable 1 Grand Total			\$3,591.9

SR-55 – State Route 55 / SR-57 – State Route 57 / I-405 – Interstate 405 / SR-73 – State Route 73 / I-605 – Interstate 605 / SR-91

2019 Updated Next 10 Delivery Plan Progress Report on Deliverables

2. Invest approximately \$715 million more in revenues, bringing the completed Freeway Program improvements to \$4.3 billion (projects A-M).

Status: The nine remaining projects (of the 30 total) are environmentally cleared or on track to be cleared by 2026, making them shelf ready for future advancement. Deliverable 2 includes approximately \$715 million in funding to move projects directly into design and construction. Using the Guiding Principles adopted by the Board of Directors (Board [see updated 2019 Next 10, page 6]), projects 1 through 5 listed below are recommended for advancement through construction.

Environmentally Cleared / Advance to Construction			Environmental Complete	Construction Complete	Cost
1.	Project M	I-605 Katella Avenue Interchange	2018	2025	\$ 28.6
2.	Project G	SR-57 NB Oranewood Avenue to Katella Avenue	2019	2026	\$ 67.8
3.	Project B	I-5 between I-405 and Yale Avenue	2020	2028	\$234.4
4.	Project B	I-5 between Yale Avenue and SR-55	2020	2028	\$204.3
5.	Project F	SR-55 between I-5 and SR-91	2020	2028	\$122.4
Deliverable 2 Total					\$657.5

Next 10 Deliverable 1 and 2 Funding Commitment	\$4,300
2019 Update Deliverable 1 and 2 Included Projects	<u>\$4,249</u>
Deliverable 1 and 2 Balance of \$51 million	

The remaining four projects (projects 6 through 9 below) are to be environmentally cleared and shelf ready. These projects have specific reasons that prevent the projects from being recommended for advancement at this time, which is described in the updated 2019 Next 10 Plan on page 10. These projects will be brought forward to the Board for approval for advancement as appropriate.

Environmental			Cleared/Shelf Ready	Cost
6.	Project L	I-405 between I-5 and SR-55	2018	\$238.8
7.	Project D	I-5 El Toro Road Interchange	2020	\$112.3 ¹
8.	Project G	SR-57 NB Lambert Road to County Line	2026	\$167.5 ¹
9.	Project J	SR-91 between SR-241 and I-15	2026	<u>\$292.5¹</u>
Remaining M2 Freeway Projects Total				\$811.1²

NB – Northbound / SR-241 – State Route 241 / I-15 – Interstate 15

M2 Freeway Program (all M2 projects)	Total \$5,061³ billion
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¹ These cost estimates are preliminary and will be updated once the project alternative is selected at the completion of environmental clearance.

² The total will be revised once the three remaining projects (D, G, and J) complete environmental clearance and have a selected project alternative.

³ This total will be revised once the three remaining projects (D, G, and J) complete the environmental phase and have a selected project alternative.

2019 Updated Next 10 Delivery Plan Progress Report on Deliverables

Streets and Roads

3. **Allocate up to \$1 billion, with up to \$400 million in competitive funding, to local jurisdictions to expand roadway capacity and synchronize signals (Project O and Project P) and \$600 million in flexible funding to local jurisdictions to help maintain aging streets or for use on other transportation needs, as appropriate (Project Q). In addition to above, this deliverable also includes completion of the seven grade separations included in the OC Bridges Program.**

Status: Since the adoption of the Next 10 Plan in November 2016, the Orange County Transportation Authority (OCTA) has awarded approximately \$90 million in competitive funding through the Regional Capacity Program (Project O) and Regional Traffic Signal Synchronization Program (Project P) through annual calls for projects. Additionally, \$162.1⁴ million in Local Fair Share (Project Q) funds have been distributed to local agencies. This brings the total allocation during the Next 10 Plan period to \$244.5⁴ million. Additionally, all seven bridges included in the OC Bridges Program are complete.

Transit

4. **Extend Metrolink service from Orange County into Los Angeles County, contingent upon cooperation and funding participation from route partners, complete six rail station improvements (Project R).**

Status: OCTA extended service on four intracounty trips to Los Angeles in October 2019. Two northbound trips that previously operated between the cities of Laguna Niguel /Mission Viejo and Fullerton have been extended to Los Angeles and two southbound trips now begin in Los Angeles extending beyond the City of Fullerton. Additional service enhancements and extensions are scheduled to be added in April 2020, providing more options for travel between Los Angeles and San Diego counties from Orange County.

Within this program, funding is provided for rail corridor and station improvements to accommodate increased passenger train service including station upgrades, parking expansions, and safety enhancements. The Next 10 Plan identifies six Metrolink station projects to be completed by 2026. Since adoption, four of the six projects have been completed. This includes improvements for passenger accessibility at the Laguna Niguel/Mission Viejo station, lighting and railing improvements for enhanced passenger safety at the San Clemente Pier station, elevator upgrades for increased passenger accessibility and reliability at the Fullerton Transportation Center station, and a new 600 space parking structure at the Orange Transportation Center station providing passengers with convenient and dependable parking. Two additional projects have completed design and are ready to move into construction. See progress on the next page.

⁴ Only includes disbursed funds. On May 13, 2019, the Board determined that the cities of Santa Ana and Stanton ineligible to receive M2 revenues. Disbursement of M2 funds have been suspended until the cities achieve compliance and the Board reconsiders the matter by May 2020.

2019 Updated Next 10 Delivery Plan Progress Report on Deliverables

Completed		Year
1.	Laguna Niguel/Mission Viejo Station American Disabilities Act Ramps	2017
2.	San Clemente Pier Metrolink/Amtrak Station Lighting	2017
3.	Fullerton Transportation Center Elevator Upgrades	2019
4.	Orange Station Parking Structure	2019
In Design		Anticipated Construction Complete
5.	Anaheim Canyon Metrolink Station	2021
6.	Placentia Metrolink Station	2021

Outside of the Next 10 Plan, but important to Metrolink operations, is the undertaking by Metrolink of a major systemwide rehabilitation program that, in addition to safety, will help improve system reliability and performance for commuters. This multi-year program needs to be funded over and above ongoing maintenance and operation costs. Analysis to date indicates that Orange County's share is manageable within the M2 funding limits as a result of past and present proactive efforts of OCTA. In addition, OCTA foresees the planned installation of the Metrolink Rail Maintenance Facility in Orange County will reduce ongoing operating costs and also allow for better efficiencies for future expansion.

5. Complete design and construction, secure vehicles, and begin operating the OC Streetcar (Project S) and work with local agencies to consider recommendations from planning studies to guide development of future transit connections (Project S).

Status: OC Streetcar – With strong Federal Transit Administration (FTA) support for the project, a full-funding grant agreement was executed in November 2018 providing OCTA with \$149 million in federal funding to support the project. The OC Streetcar construction contract was executed and a Notice to Proceed was issued on March 4, 2019, as well as the vehicle manufacturing contract. Construction activities are underway, including coordination with third parties on utility relocation, identifying the scope of services for the operations and maintenance contract and continued coordination with the FTA. Construction is anticipated to be complete with planned operations beginning in 2022.

6. Provide up to \$115 million in funding to expand mobility choices for seniors and persons with disabilities (Project U).

Status: Approximately \$31⁵ million has been provided for the Senior Mobility Program (SMP), the Senior Non-Emergency Medical Transportation (SNEMT) Program, and the Fare Stabilization Program since the Next 10 Plan adoption.

⁵ Only includes disbursed funds. On May 13, 2019, the Board determined that the cities of Santa Ana and Stanton ineligible to receive M2 revenues. Disbursement of M2 funds have been suspended until the cities achieve compliance and the Board reconsiders the matter by May 2020.

2019 Updated Next 10 Delivery Plan Progress Report on Deliverables

The first of the three programs provided within Project U is the SMP, which provides funding for local transportation services to participating cities in Orange County. Participating agencies design and implement transit service that best fits the needs of older adults (age 60 and above) in their communities. The second program, SNEMT, provides funding to the County of Orange, Office on Aging for senior (60 and above) transportation to and from medical appointments, dentists, therapies, exercise programs, testing, and other health related trips at a low cost to the rider than would otherwise be available. The third program is the Fare Stabilization Program, which provides stable discounted fares for seniors and persons with disabilities lowering the cost of riding transit.

7. Work with local agencies to develop a plan for the next community circulator projects to provide grant opportunities for local agencies to implement efficient local transit services (Project V).

Status: The Board has authorized four calls for projects (call) in total with two occurring since the Next 10 adoption. Five projects, for a total of \$5.1 million, were funded through the 2018 call, and with another \$9 million available for the 2019 call underway, more projects are anticipated. Nineteen transit circulators are currently active. Staff continues to work with local jurisdictions through letters of interest requests and workshops to fine tune this program and seek successful projects for implementation.

8. Allocate up to \$7 million in funding to improve the top 100 busiest bus stops and support the modernization of the bus system to enhance the customer experience (Project W).

Status: Through two calls in total, Board approval has resulted in 79 city-initiated improvements to busy bus stops on the OCTA transit system. Since the Next 10 adoption, the Board has made \$3 million available of which \$872,000 was allocated to the eligible local jurisdictions. The program is designed to ease transfers between bus lines and provide passenger amenities such as installation of bus benches or seating, shelters, improved lighting, and other passenger-related amenities.

Environmental

9. Ensure the ongoing preservation of purchased open space, which provides comprehensive mitigation of the environmental impacts of freeway improvements and higher-value environmental benefits in exchange for streamlined project approvals.

Status: In 2017, OCTA received biological resource permits after completing a state and federal Natural Community Conservation Plan/Habitat Conservation Plan (Conservation Plan) for the Environmental Mitigation Program, allowing streamlined project approvals for the freeway improvement projects. The Conservation Plan also includes a streamlined process for coordination for streambed alternation agreements. In January 2018, the OCTA secured programmatic permits and assurances for federal and state clean water permitting

2019 Updated Next 10 Delivery Plan Progress Report on Deliverables

requirements. Receipt of these permits represent the culmination of years of collaboration and support by the Board, environmental community, and regulatory agencies.

To ensure ongoing preservation of the open space, an endowment was established to pay for the long-term management of the conservation properties. Approximately \$2.9 million will be deposited annually. The third deposit was made in July 2019 bringing the total endowment funding to approximately \$12.4 million including interest. The total endowment balance to date is performing above original projections due to higher investment earnings and lower fees.

- 10. Work with the Environmental Cleanup Allocation Committee to develop the next tiers of water quality programs with a goal of providing up to \$40 million in grants to prevent the flow of trash, pollutants, and debris into waterways from transportation facilities. In addition, focus on improving water quality on a regional scale that encourages partnerships among the local agencies as part of the Environmental Cleanup Program (ECP [Project X]).**

Status: Since adoption of the Next 10 Plan in November 2016, OCTA has issued three calls for Tier 1 ECP projects. The Board awarded approximately \$7.6 million to fund 39 Tier 1 projects. Staff anticipates the next Tier 2 call in 2021, dependent on projected cash flow and local jurisdictions' interest in potential viable Tier 2 projects.

In total, during the Next 10 time period (2017-2026), more than \$6 billion in transportation improvements promised to the voters in M2 will be completed or underway by 2026. The Next 10 Plan deliverables were designed to make improvements to Orange County freeways, streets and roads, transit systems, and protect the environment. Despite revenue fluctuations, the \$6 billion plan to support the goals remains on track with significant accomplishments to date.

Measure M2

2019 UPDATE



NEXT 10 DELIVERY PLAN

M2 - Balanced Plan Which Supports Sustainability

- Includes a large suite of multi-modal transportation improvements
- More than 50 percent of M2 funds support
 - rail and community transit options
 - synchronizing signals across jurisdictions
 - environmental enhancements
 - infrastructure preservation goals
- Encourages land use planning strategies that accommodate transit and non-motorized transportation



ENVIRONMENTAL

-  A total of 5% of OC Go Freeway Program funds is allocated to the Freeway Environmental Mitigation Program
-  A total of 2% of the overall OC Go Program funds is allocated to the Environmental Cleanup Program

M2 Delivery Plan - Goals

- Accelerates projects and programs
- Delivers improvements sooner and realizes savings
- Utilizes debt financing to minimize escalation impacts
- Readies projects to capture external funding



Next 10 Delivery Plan - 2026



Environmental
\$40 million

- Annual calls for water cleanup projects intended to prevent the flow of trash and debris into waterways



Transit
\$1 billion

- Metrolink service expansion
- Implementation of the OC Streetcar
- Expand mobility choices and enhance bus stops



Streets and Roads
\$1 billion

- Annual calls for road improvements & signal synchronization
- Flexible funding for transportation to local agencies




Freeway
\$4.3 billion

- 26 of 30 total freeway projects complete
- Ensures ongoing preservation of open space and comprehensive mitigation of environmental impacts

M2 Sales Tax Revenue Forecast

- Updated 2019 forecast is \$13.4 billion
 - \$300 million more than the 2018 forecast
- First increase in M2 sales tax revenue since 2014
- Great news for all M2 programs
- Most programs scale to available revenue



M2 Projects and Programs		
Freeway Projects		
I-5	Santa Ana Freeway Interchange Improvements	A
I-5	Santa Ana/San Diego Freeway Improvements	B C D
SR-22	Garden Grove Freeway Access Improvements	E
SR-55	Costa Mesa Freeway Improvements	F
SR-57	Orange Freeway Improvements	G
SR-91	Riverside Freeway Improvements	H I J
I-405	San Diego Freeway Improvements	K L
I-605	Freeway Access Improvements	M
All	Freeway Service Patrol	N
Streets & Roads Projects		
	Regional Capacity Program	O
	Regional Traffic Signal Synchronization Program	P
	Local Fair Share Program	Q
Transit Projects		
	High Frequency Metrolink Service	R
	Transit Extensions to Metrolink	S
	Metrolink Gateways	T
	Expand Mobility Choices for Seniors and Persons with Disabilities	U
	Community Based Transit/Circulators	V
	Safe Transit Stops	W
Environmental Cleanup		
	Clean Up Highway and Street Runoff that Pollutes Beaches	X
Taxpayer Safeguards and Audits		
	Collect Sales Taxes (State charges required by law)	
	Oversight and Annual Audits	

Freeway Deliverable Breakdown

- **Deliverable 1 – \$3.5 billion of freeway improvements**

Completed		Construction Complete
Nine Projects Completed Prior to Next 10		2008-2016
1. Project C	I-5 between Avenida Pico and Avenida Vista Hermosa	2018
2. Project C	I-5, Vista Hermosa to Pacific Coast Highway	2017
3. Project C	I-5 between Pacific Coast Highway and San Juan Creek Rd.	2018
In Construction		
4. Project A	I-5 between SR-55 and SR-57	2021
5. Project C, D	I-5 between Oso Pkwy and Alicia Pkwy/La Paz Interchange	2023
6. Project K	I-405 between SR-73 and I-605	2023
In Design		
7. Project C	I-5 between Alicia Parkway and El Toro Road	2024
8. Project C, D	I-5 between SR-73 and Oso Pkwy/Avery Pkwy Interchange	2025
9. Project F	SR-55 between I-405 and I-5	2025
In Environmental		
10. Project I	SR-91 between SR-55 to Lakeview Avenue	2027
11. Project I	SR-91 between La Palma Avenue to SR-55	2027
12. Project I	SR-91 between Acacia Street to La Palma Avenue	2028

Freeway Deliverable Breakdown

- **Deliverable 2 - \$715 million more, bringing total to \$4.3 billion**

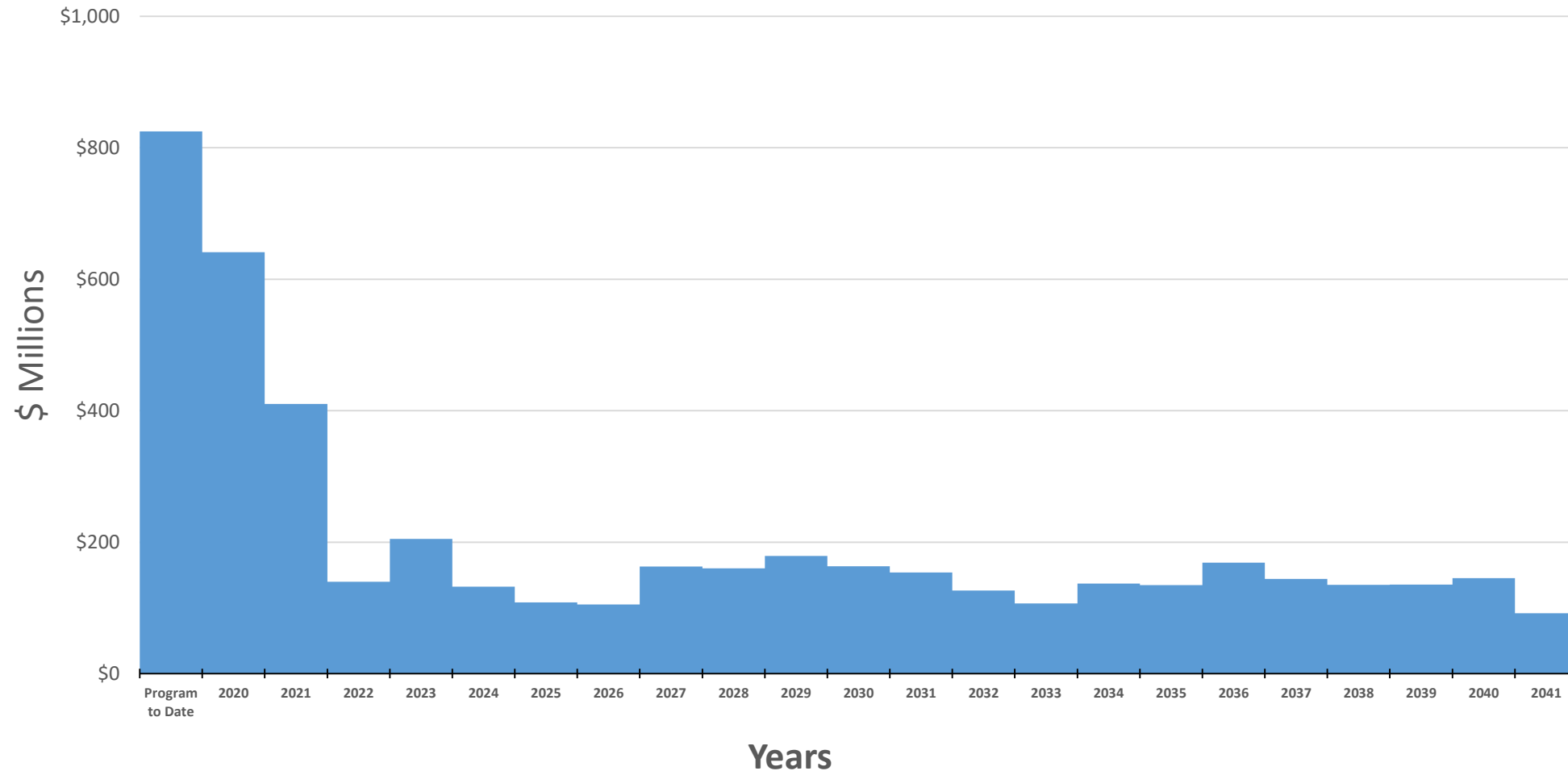
Advance to Construction			Construction Complete	Cost
1.	Project M	I-605 Katella Avenue Interchange	2025	\$ 28.6
2.	Project G	SR-57 NB Orangewood Ave. to Katella Ave.	2026	\$ 67.8
3.	Project B	I-5 between I-405 and Yale Avenue	2028	\$234.4
4.	Project B	I-5 between Yale Avenue and SR-55	2028	\$204.3
5.	Project F	SR-55 between I-5 and SR-91	2028	\$122.4
			Deliverable 2 Total	\$657.5

Remaining Projects			Environmentally Clear Shelf-Ready	Cost
6.	Project L	I-405 between I-5 and SR-55	2018	\$238.8
7.	Project D	I-5 El Toro Road Interchange	2020	\$112.3
8.	Project G	SR-57 NB Lambert Road to County Line	2026	\$167.5
9.	Project J	SR-91 between SR-241 and I-15	2026	<u>\$292.5</u>
			Remaining M2 Freeway Projects Total	\$811.1

Results in 26 of 30 total M2 freeway project segments completed

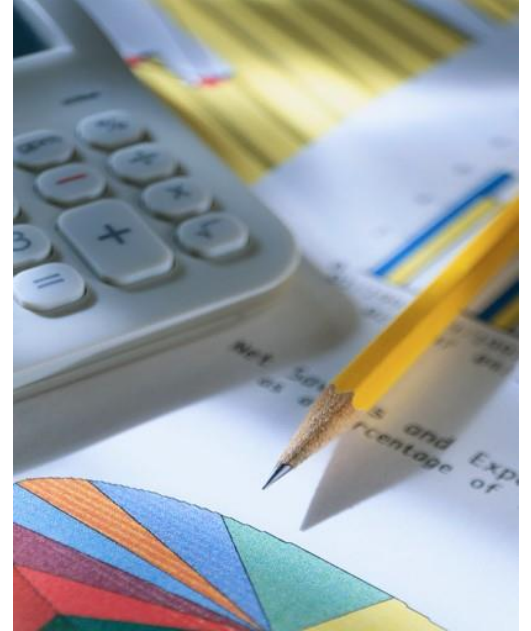
M2 Program Cash Balance

2019 Updated Next 10 Plan M2 Program Cash Balance



Next 10 Plan Progress

- **Freeways**
 - 3 projects complete, 3 in construction, 3 in design, 8 underway
- **Streets and Roads**
 - \$160 million made available through 4 calls
 - \$162 million provided by formula to local jurisdictions
 - 7 OC Bridges projects complete
- **Transit**
 - Metrolink service expanded into Los Angeles
 - OC Streetcar in construction
 - 4 of 6 Metrolink station improvements complete
 - \$55 million made available to expand mobility choices and improve bus stops
- **Environmental**
 - \$8.4 million made available through 3 water quality calls
 - \$9.5 million in endowment to protect open space and streamline permitting



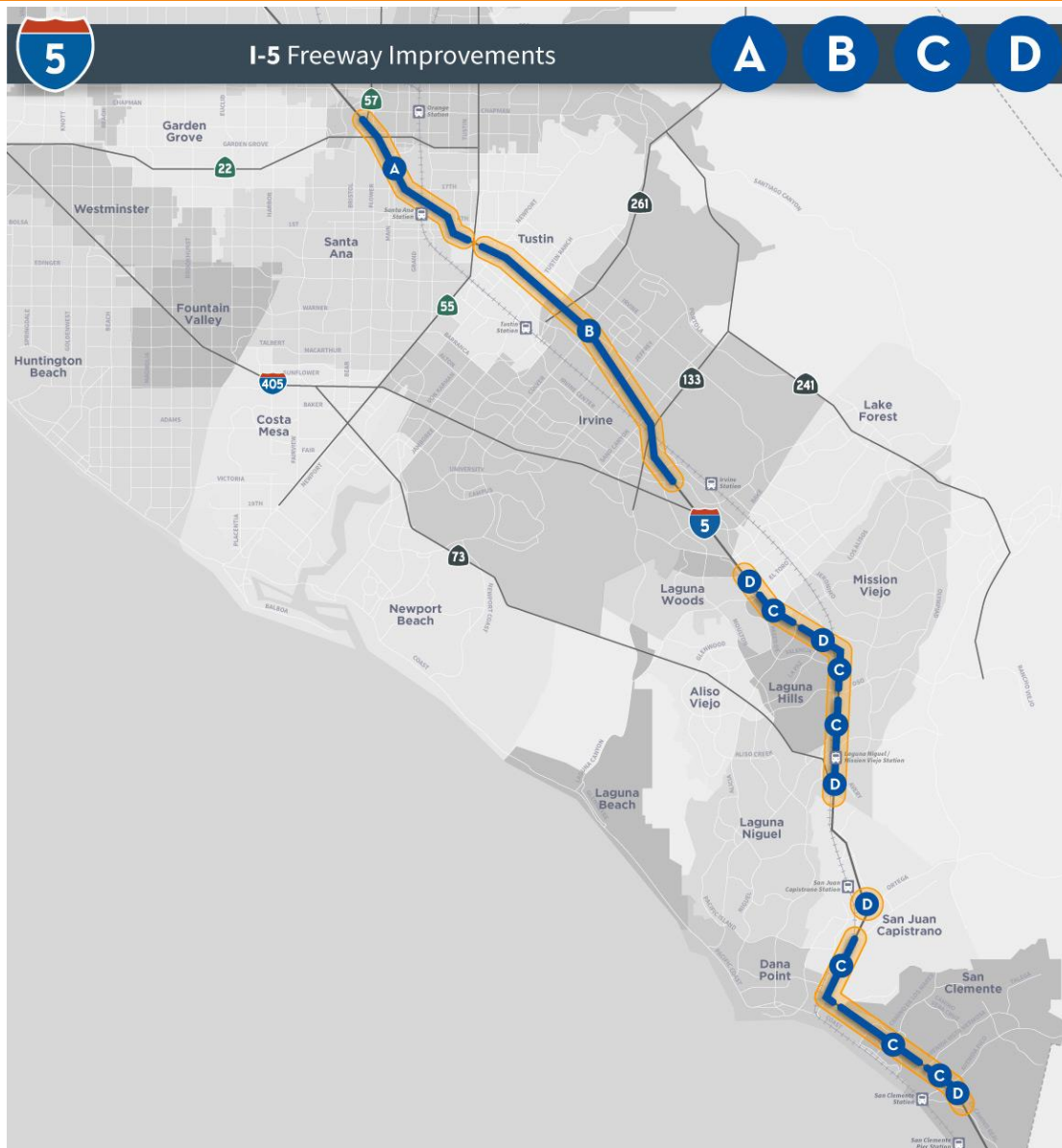
- Distribute the 2019 updated Next 10 Plan to local jurisdictions and stakeholders
- Work with our transportation partners on delivery of the Next 10 Plan of projects and programs
- Monitor the risk associated with the changing environment and return to the Board of Directors with updates as appropriate



Measure M2

Interstate 5 Corridor Improvements

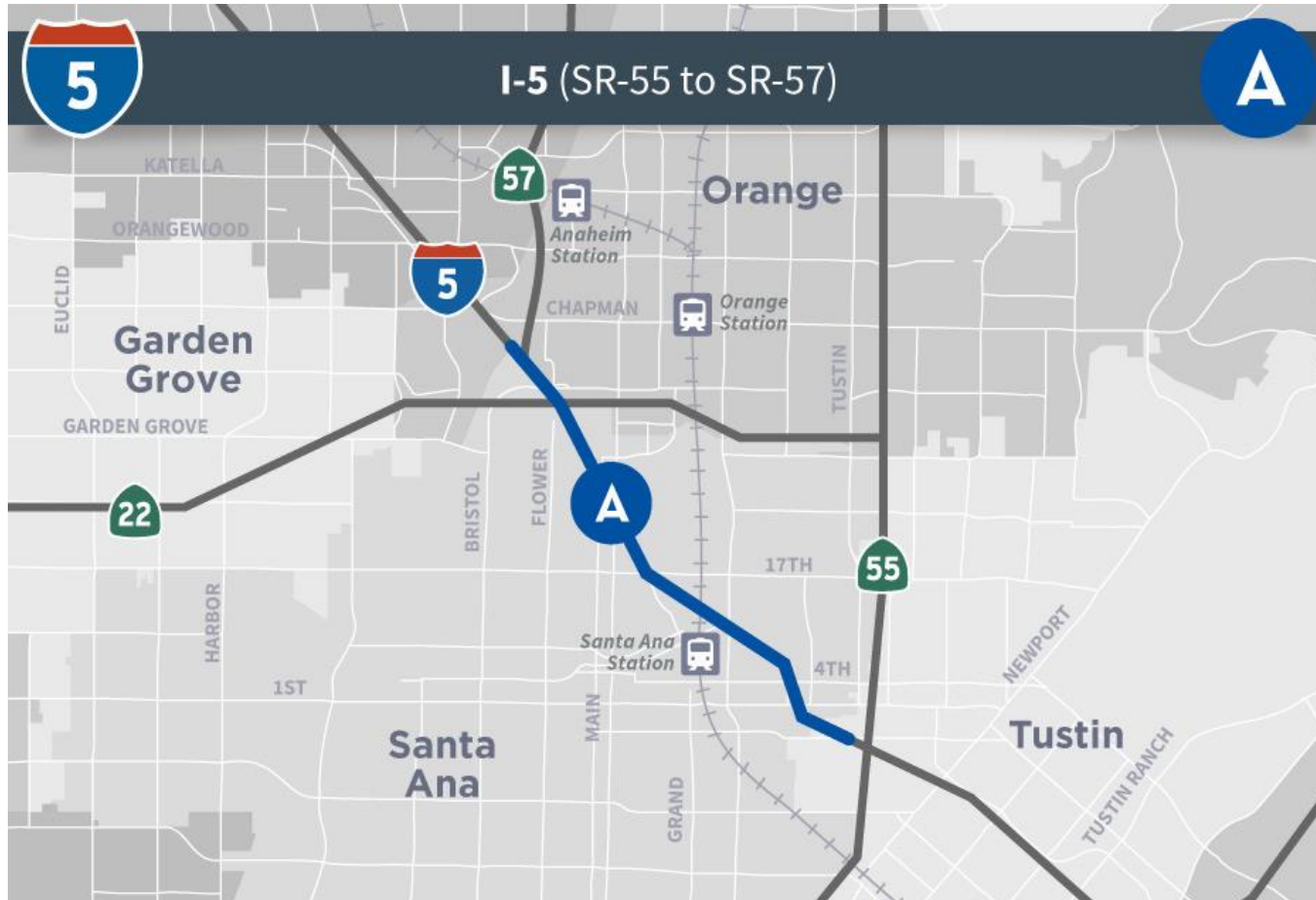
I-5 Comprehensive Improvements



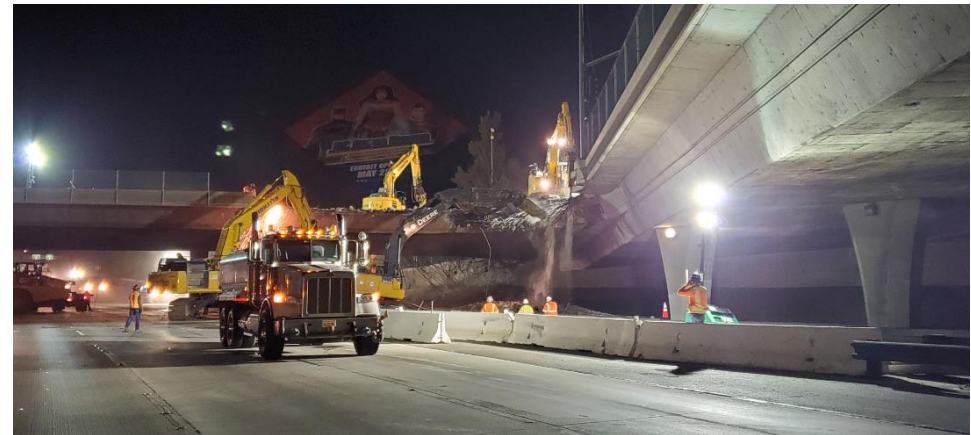
- Approved by the voters in the M2 Transportation Investment Plan
- Comprehensive I-5 Improvement Program covering 25 miles
- Nearly \$1.5 billion in highway improvements

I-5 – Interstate 5 / SR-57 – State Route 57 / SR-55 – State Route 55 / SR-22 – State Route 22 /
SR-133 – State Route 133 / SR-241 – State Route 241 / I-405 – Interstate 405 /
SR-73 – State Route 73 / M2 – Measure M2

M2 I-5 - Project A



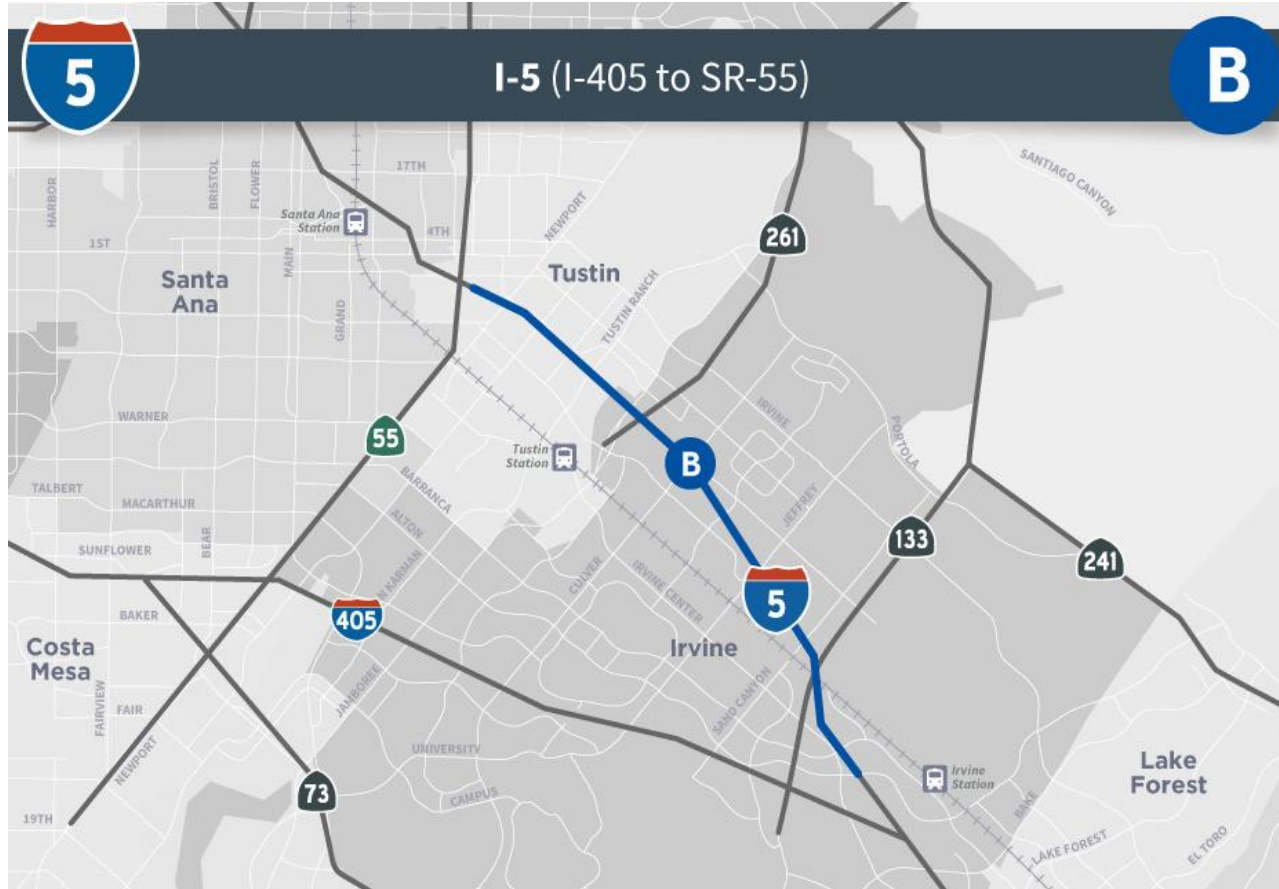
- Adds carpool lanes and reconfigures freeway lanes – 3 miles
- \$41.5 million (federal, state, and M2 funds)
- Project under construction
- Caltrans studying conversion to HOT lanes *(recommended for environmental phase by Caltrans)*



Complete Environmental	Complete Design	ROW Certification/ Construction Ready	Advertise Construction	Award Contract	Complete Construction
Apr-15	Jun-17	Sep-17	Mar-18	Nov-18	Apr-21

Caltrans – California Department of Transportation
HOT – High Occupancy Toll
ROW – Right-of-Way

M2 I-5 - Project B



- Adds general-purpose lanes and improves operations – 9 miles
- \$439 million (federal, state, and M2 funds)
- Project in final stages of environmental approval
- Proposed for final design phase as part of Next 10 Delivery Plan update

Complete Environmental	Complete Design	ROW Certification/ Construction Ready	Advertise Construction	Award Contract	Complete Construction
Feb-20	-	-	-	-	-

M2 I-5 - Projects C/D



- Adds general-purpose lanes, extends carpool lanes, reconstructs major interchanges and replaces undercrossing - 6.5 miles
- \$593 million (federal, state, and M2 funds)
- Project delivered in three segments with two currently under construction
- Caltrans and Transportation Corridor Agencies proposing additional widening in same segments and HOT lanes conversion

Complete Environmental	Complete Design	ROW Certification/ Construction Ready	Advertise Construction	Award Contract	Complete Construction
May-14	May-19	Feb-20	Jun-20	Sep-20	Oct-24
	Dec-17	May-18	Nov-18	Mar-19	Nov-23
	Aug-18	May-19	Aug-19	Dec-19	Feb-25



M2 I-5 - Project D

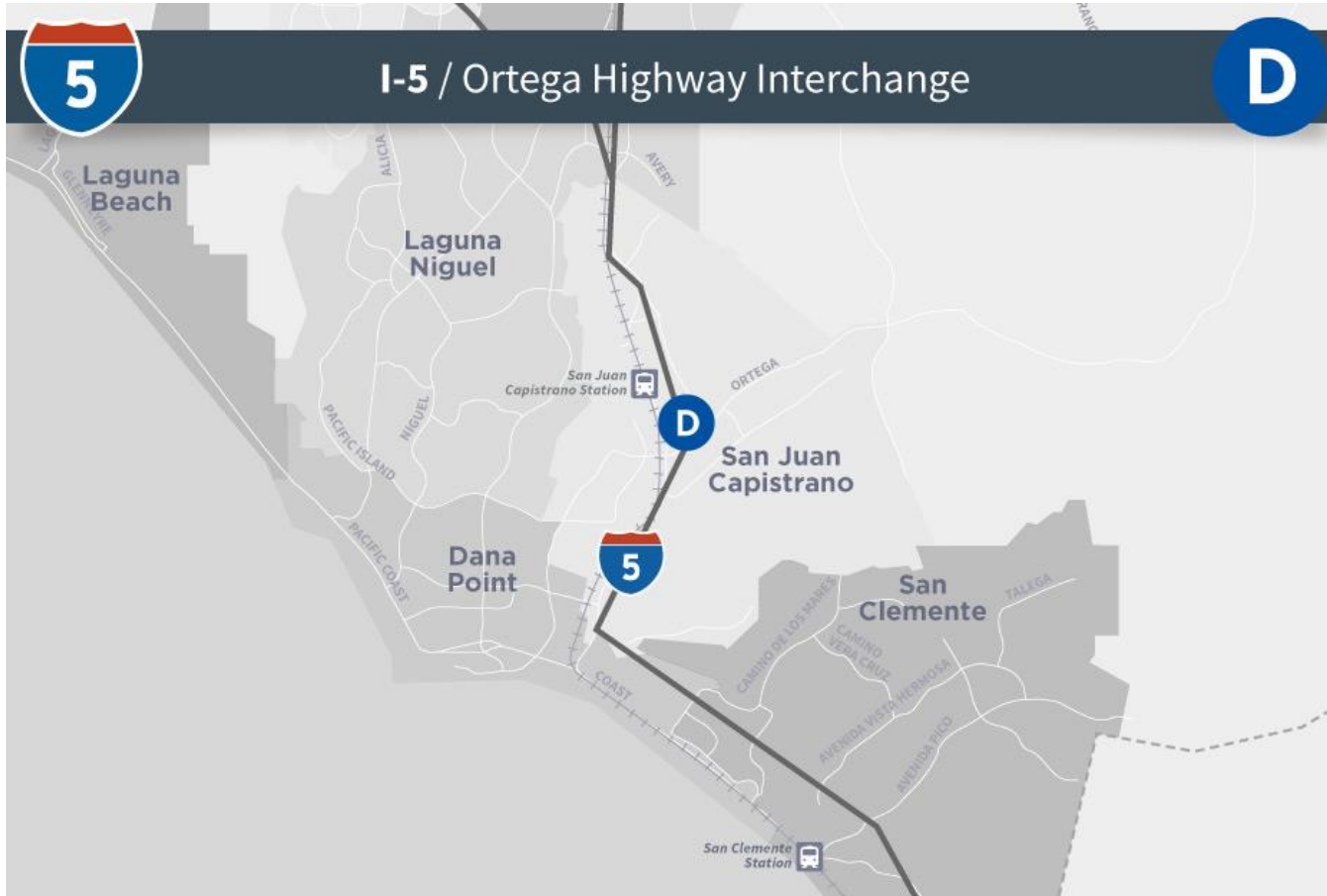


- Reconstructs I-5/El Toro Road interchange to increase capacity
- Cost TBD
- Project in environmental stage and under review by cities of Laguna Hills, Lake Forest, and Laguna Woods
- Consensus required in order to move project forward to final design

Complete Environmental	Complete Design	ROW Certification/ Construction Ready	Advertise Construction	Award Contract	Complete Construction
Apr-20	-	-	-	-	-

TBD – To be determined

M2 I-5 - Project D

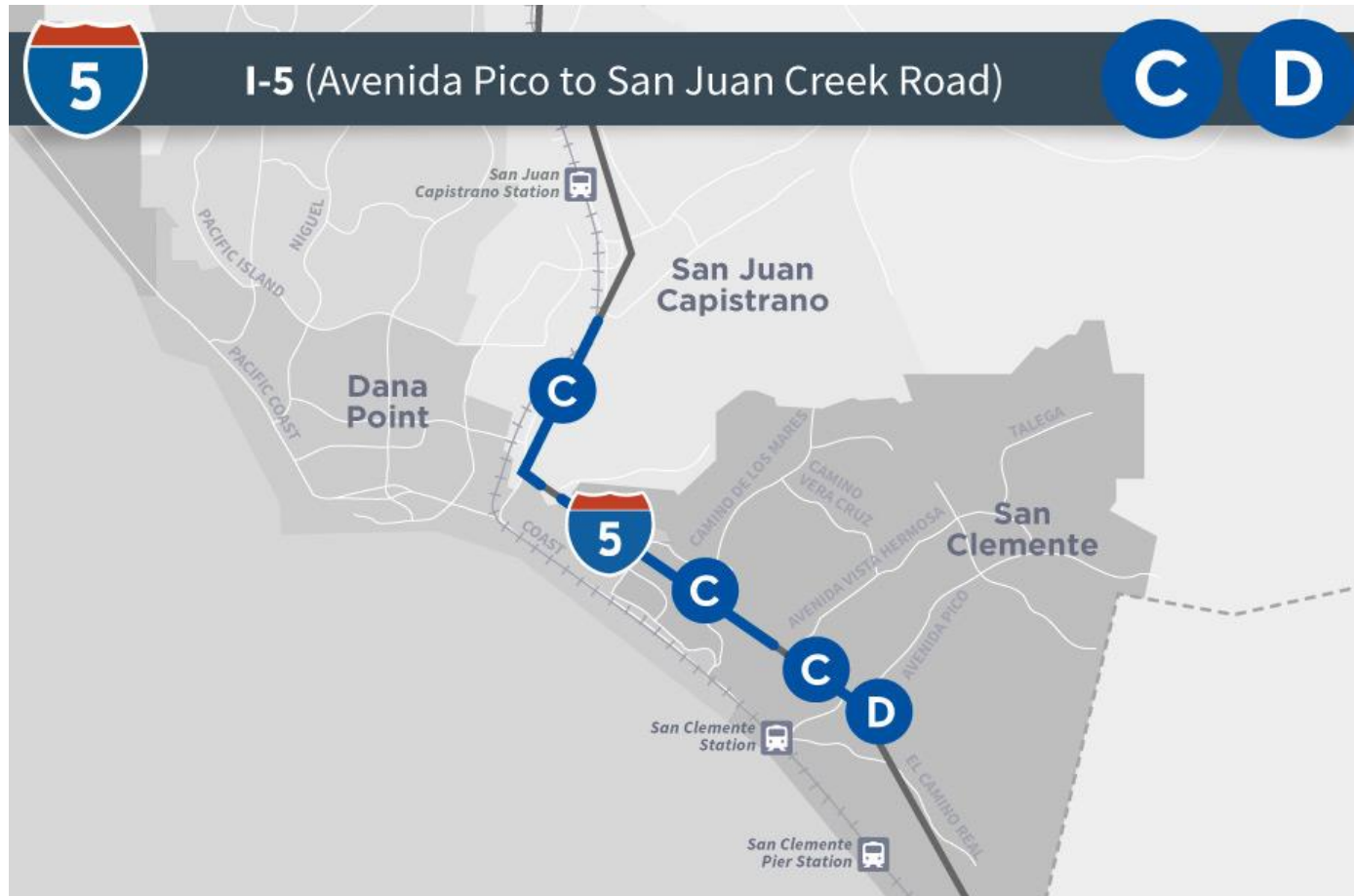


- Reconstructed interchange
- \$79.7 million (state, local, and M2 funds)
- Completed in 2016
- Completed project allows separate Ortega Highway widening project to move forward
- Separate Ortega Highway widening project in final environmental phase and proposed for final design



Complete Environmental	Complete Design	ROW Certification/ Construction Ready	Advertise Construction	Award Contract	Complete Construction
Jun-09	Dec-11	Apr-12	Jun-12	Aug-12	Jan-16

M2 I-5 - Projects C/D



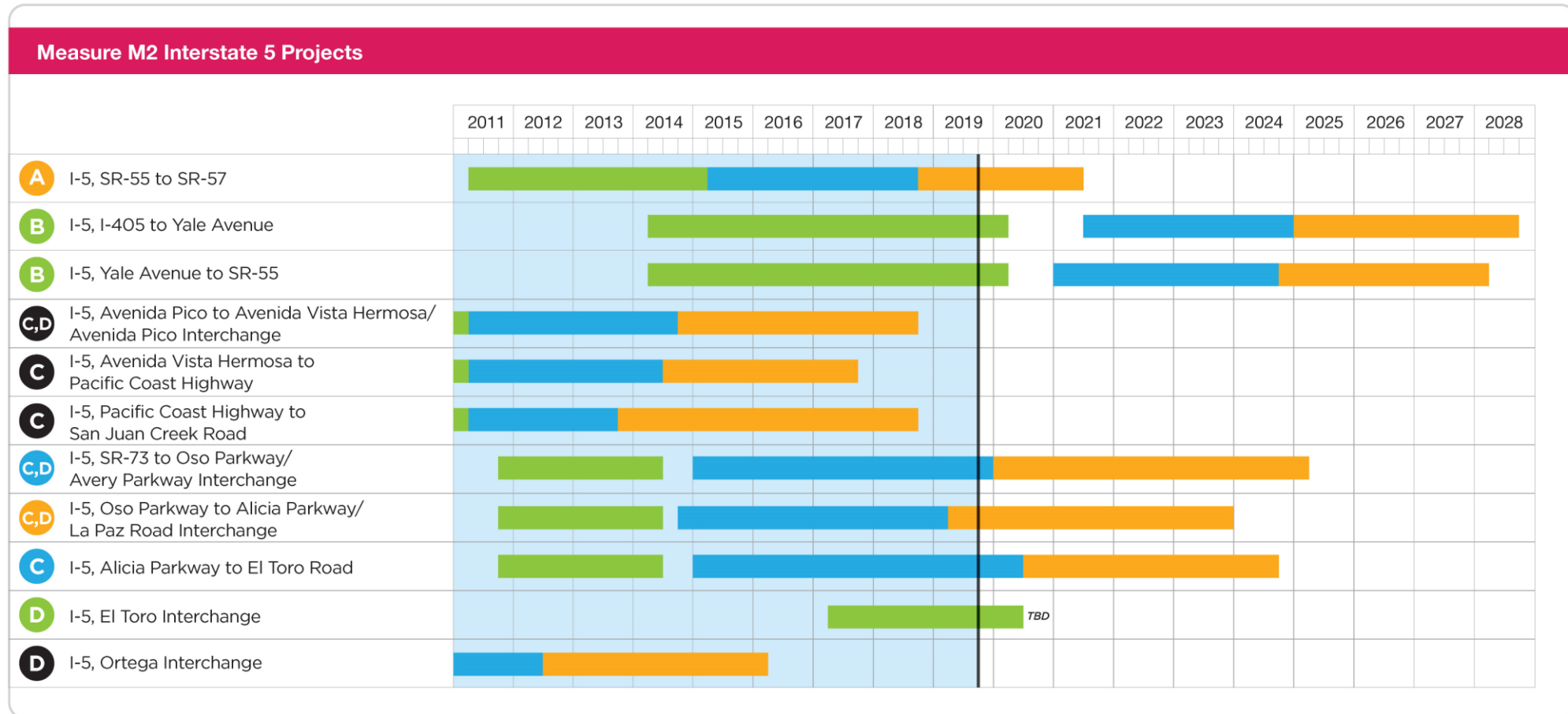
- Added carpool lane and reconstructed Avenida Pico interchange – 6 miles
- \$235 million (federal, state, and M2 funds)
- Constructed in three segments and completed in 2018
- Regional Transportation Plan includes three-mile carpool extension to San Diego county line area
- Caltrans and Transportation Corridor Agencies proposing conversion to HOT lanes

Complete Environmental	Complete Design	ROW Certification/ Construction Ready	Advertise Construction	Award Contract	Begin Advertise & Award	Complete Construction
Oct-11	Oct-13	Jan-14	Sep-14	Nov-14	Sep-14	Aug-18
	May-13	Feb-13	Feb-14	Jun-14	Feb-14	Jul-17
	Jan-13	Feb-13	Aug-13	Dec-13	Aug-13	Jul-18



M2 I-5 Schedule

Environmental ■ Design/Advertise & Award ■ Construction ■ Completed ■



Please note that schedules for projects in design and construction are updated as of June 30, 2019. Schedules for projects in environmental are preliminary. Shown schedules are subject to further refinement.

Public Outreach

- Weekly Email Blasts
- Social Media
- Direct Mail
- Canvassing Fliers
- Business Outreach
- Neighborhood Meetings
- One-on-one Briefings
- Speakers Bureau Presentations



(800) 724-0353



- Comprehensive I-5 Improvement Program covering 25 miles
- Nearly \$1.5 billion in highway improvements
 - Added lane miles
 - Improved interchanges
 - Updated safety features
- Improves highway and arterial mobility through 2040
- Delivery of improvements completed or in progress
- Projects approved by voters - M2 Transportation Investment Plan
- Caltrans studying conversion to HOT lanes





November 11, 2019

To: Members of the Board of Directors

From: Darrell E. Johnson, Chief Executive Officer

A handwritten signature in blue ink, appearing to read "Darrell E. Johnson", is placed over the "From:" line.

Subject: 2019 Chief Executive Officer's Initiatives and Action Plan – Third Quarter Progress Report

On February 11, 2019, the Board of Directors (Board) approved the 2019 Chief Executive Officer's (CEO's) Initiatives and Action Plan (Action Plan), which support the 2019 Orange County Transportation Authority (OCTA) Board Strategic Initiatives (Attachment A). The Action Plan (Attachment B) consists of ten initiatives implemented through 73 projects/ programs and monitored through 88 milestones. This report provides a summary of progress on third quarter (Q3) milestones from July 1, 2019 through September 30, 2019.

In Q3, ten milestones were scheduled for completion, of which one aligned with the Board Initiatives. At the end of Q3, four of ten milestones were completed, including the milestone aligned with the Board Initiatives. Reasons for the delays of the six milestones can be attributed to dependency on coordination with outside agencies, a need for internal schedule adjustments, and resource availability. In addition to Q3 milestones, staff continued to focus efforts on closing out open milestones from previous quarters and was able to complete one timetable-adjusted milestone in Q3. Through Q3, there are a total of 49 milestones assigned of which 40 are complete.

Listed below are the key Q3 2019 CEO Action Plan accomplishments. Information on all Q3 milestones is provided in Attachment B.

- Beach Boulevard Corridor Study: Staff presented conceptual alternatives to the Board on September 9, 2019. The purpose of this study is to develop a comprehensive multimodal transportation vision along the 21-mile long Beach Boulevard corridor to improve and enhance local and regional mobility. This study is progressing as planned, with study recommendations anticipated to be brought to the Board in mid-2020.

- Annual Credit Rating Agency Trip: On September 19, 2019, OCTA staff, Chairman Shaw, Vice-Chair Jones, and Director Hennessey met with all three rating agencies to discuss the performance of the 91 Express Lanes, the Orange County economy, and the Measure M2 Program, with a specific emphasis on the Interstate 405 Improvement Project and sales tax collections. OCTA was well-received at each meeting. A full report was presented to the Finance and Administration Committee on October 23, 2019, and at the Board meeting on October 28, 2019.

Although not completed in Q3, the iShuttle procurement was completed on October 14, 2019. The Board authorized the CEO to negotiate and execute a purchase order for 12, 30-foot heavy-duty compressed natural gas-powered buses, with an option to purchase five additional buses for iShuttle service. The iShuttle service helps commuters complete first and last mile to and from work, home, and Metrolink stations in both the cities of Irvine and Tustin.

I am pleased with the progress that the agency has made to-date and look forward to completing the balance of the 2019 CEO's Action Plan next quarter. Please contact me at (714) 560-5343 with any questions or suggestions.

DEJ:fc
Attachments

BOARD STRATEGIC INITIATIVES 2019

1

DELIVER CAPITAL PROJECTS

- Continue reconstruction of I-405 bridges
- Begin I-5 construction between El Toro Road and SR-73
- Improve Anaheim Canyon Station

2

CHAMPION FISCAL RESPONSIBILITY

- Set priorities for 2020 State Transportation Improvement Program funds
- Award Measure M grants to improve local streets, synchronize signals and enhance water quality
- Support State and Federal Legislation in support of funding for transportation

3

DEVELOP STATE-OF-THE-ART REGIONAL TRANSPORTATION PLANS

- Prepare initial set of transit alternatives along the Bristol Street Corridor
- Initiate work on the South Orange County multimodal transportation plan
- Deliver Board updates on Measure M environmental programs, and innovative transportation strategies and technologies

4

STRENGTHEN REGIONAL PARTNERSHIPS

- Update the SR- 91 Implementation Plan with Riverside County Transportation Commission
- Work with LA Metro on intercounty transit connections study
- Collaborate with Caltrans on freeway improvements

5

IMPLEMENT OC BUS 360° VISION AND OFFER MODERN TRANSIT SOLUTIONS

- Launch Bravo! 529 service
- Award the OC Streetcar operations and maintenance contract
- Deploy hydrogen fuel cell buses

6

REINFORCE A CULTURE OF SAFETY

- Monitor pilot programs to enhance coach operator safety
- Ensure safety of the traveling public and employees through development of the Safety Management System
- Reinforce Safety value with ongoing employee training

2019

CEO INITIATIVES AND ACTION PLAN



CEO INITIATIVES & ACTION PLAN 2019

1

CULTIVATE ORGANIZATIONAL EXCELLENCE

- Board approval of the maintenance CBA between OCTA and Teamsters Union
- Develop and implement the action plan from the 2018 Employee Engagement Survey

2

DELIVER ON THE PROMISES OF MEASURE M

- Continue progressing freeway projects throughout the county
- Initiate bridge construction on the I-405 Improvement Project

3

ENHANCE SAFETY & SECURITY MEASURES

- Conduct a pilot program to evaluate if the use of safety awareness monitors and operator barriers improve coach operator safety
- Conduct training on the OCTA Crisis Communications Plan and revise as necessary

4

EXPAND TRANSIT OPPORTUNITIES

- Put into service Hydrogen Fuel Cell Buses
- Award the contract for the Operations and Maintenance of the OC Streetcar

5

IMPLEMENT MAJOR CAPITAL PROJECTS

- Award construction contract for the Anaheim Canyon Metrolink Station Improvements
- Report on status of construction to meet scheduled service start of the OC Streetcar

6

MAINTAIN OPEN COMMUNICATION WITH STAKEHOLDERS

- Develop priorities for upcoming Transportation Act consistent with legislative platforms
- Conduct and present results of the Bus Customer Survey

7

OPTIMIZE EXPRESS & MANAGED LANES

- Begin operations of the new customer service center for the 91 Express Lanes
- Release the RFP for back-office system, customer service and traffic operations staffing

8

PLAN FOR FUTURE GROWTH

- Award consultant contract for the OC to LA Transit Connections Study
- Award contract to study multi-modal transportation needs in South Orange County

9

PRESERVE FISCAL SUSTAINABILITY THROUGH PRUDENT FINANCIAL PLANNING

- Administer reimbursements from the Federal Full Funding Grant Agreement for the OC Streetcar
- Successfully draw from the TIFIA loan and from M2 Sales Tax revenue bonds

10

PROMOTE ENVIRONMENTAL STEWARDSHIP & ALTERNATIVE TRANSPORTATION

- Award consultant contract for Safe Routes to School Action Plan
- Approve grant funding allocations for M2, Tier 1 Water Quality program



2019 CEO Initiatives and Action Plan

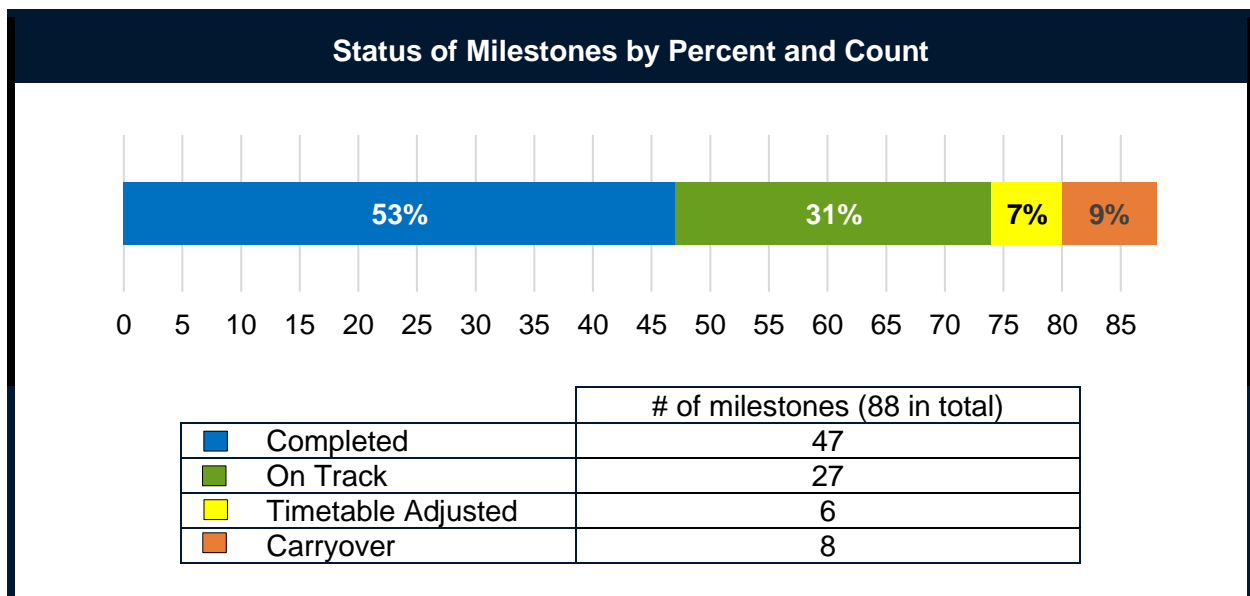
Ten CEO Initiatives

1. Cultivate Organizational Excellence (9 Milestones)
2. Deliver on the Promises of Measure M (12 Milestones)
3. Enhance Safety and Security Measures (7 Milestones)
4. Expand Transit Opportunities (14 Milestones)
5. Implement Major Capital Projects (9 Milestones)
6. Maintain Open Communications with Stakeholders (7 Milestones)
7. Optimize Express and Managed Lanes (4 Milestones)
8. Plan for Future Growth (11 Milestones)
9. Preserve Fiscal Sustainability Through Prudent Financial Planning (9 Milestones)
10. Promote Environmental Stewardship and Alternative Transportation (6 milestones)

2019 CEO Milestone Summary

73 Projects, 88 Milestones

Number of Milestones by Quarter	
Quarter Due	Number
First Quarter	17
Second Quarter	22
Third Quarter	10
Fourth Quarter	39



FIRST QUARTER

15 of 17 completed – 88%

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
1. 529 Bravo! Service	Milestone: Launch Bravo! service on Beach Boulevard - Q1. Note: 529 Bravo! Service was launched on February 11, 2019, with the February service change.	OPS				
2. 91 Express Lanes. 6C transition	Milestone: Upgrade back-office system to accommodate 6C protocol and rollout new account structure. Provide new 6C transponders to customers - Q1. Note: The upgrade to the back-office system, rollout of new account structure, and distribution of 6C transponders will commence once the Kapsch TrafficCom USA, Inc., lane system installations for both OCTA and RCTC have been completed (installation begins Q3). Distribution of the new 6C transponders to customers will begin after the lane system installation has been completed (timetable adjusted to Q4). In order to move forward with this milestone, lane system installations for both OCTA and RCTC need to be completed. Due to installation challenges in Riverside, this required additional time. The OCTA westbound direction has been completed and the eastbound direction is scheduled for the first weekend in Q4.	EXEC				
3. Fullerton Transportation Center Revitalization	Milestone: Board award of contract to revitalize the facility - Q1. Note: Contract awarded on May 13, 2019 (timetable adjusted to Q2).	CAP				
4. Bicycle Safety Training Program	Milestone: Award contract for the Bicycle Safety Training Program – Q1. Note: Contract awarded on April 25, 2019. (timetable adjusted to Q2).	PLN				
5. Bus Fleet Outlook Plan	Milestone: Update Outlook Plan and present to ESC – Q1 Note: On March 18, 2019, the plan was presented to ESC.	PLN				

ON TRACK

COMPLETED

TIMETABLE
ADJUSTED

CARRYOVER

AT RISK

BOARD
INITIATIVE

FIRST QUARTER (CONTINUED)

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
6. Hydrogen Fueling Station at Santa Ana Base (Carryover 2017)	Milestone: Commission the hydrogen fueling station - Q1. Note: Construction is substantially completed. August 27, 2019 – commencement of H2 station start-up with purging of systems. Beginning of Q4 – O&M training to take place first two weeks of October for production use; anticipated completion of H2 station start-up and commissioning (timetable adjusted to Q4).	CAP				
7. San Juan Capistrano Rail Passing Siding Project (Carryover 2017)	Milestone: Begin construction - Q1. Note: On January 14, 2019, the Board approved the firm for construction of this project. On March 12, 2019, the Notice to Proceed with construction was issued.	CAP				
8. EZ Wallet Demonstration (Carryover 2018)	Milestone: Initiate a demonstration project of EZ Wallet – Q1. Note: The EZ Wallet demonstration project began on January 14, 2019.	OPS				
9. Emergency Management Functional Exercise	Milestone: Exercise the Emergency Operation Plan and report results to ESC in Q1. Note: On January 30, 2019, Security and Emergency Preparedness conducted an enhanced table-top exercise. The exercise was a success and the after-action report was delivered to ESC in March 2019.	EXEC				
10. Employee Rotation Pilot Program	Milestone: Launch the Employee Rotation Pilot Program - Q1. Note: The Employee Rotation Program was launched in Q1. ESC has been updated twice and the program is in its second rotation.	HROD				
11. Facility Security Camera System	Milestone: Complete security camera installation at Santa Ana and Garden Grove bus bases - Q1 Note: Installation of the security cameras have been completed. Inspection and closeout are being completed.	CAP				

ON TRACK

COMPLETED

TIMETABLE
ADJUSTED

CARRYOVER

AT RISK

BOARD
INITIATIVE

FIRST QUARTER (CONTINUED)

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
12. Federal Obligation Authority Plan	Milestone: Present to the Board the Federal Obligation Authority Plan – Q1. Note: On January 14, 2019, the Board received the federal fiscal year 2018 -19 Obligation Authority Plan.	PLN				
13. I-5, SR-55 to SR-57	Milestone: Begin construction - Q1, 2019. Note: In February 2019, construction of this project began. On April 8, 2019, the Board received an update on the project.	CAP				
14. OC Streetcar	Milestone: Administer reimbursement from Federal Full Funding Grant Agreement grant funding - Q1. Note: In Q1, 2019, OCTA administered reimbursement of \$8.3 million from the Federal Full Funding Grant Agreement for the OC Streetcar, which represents the first draws on the FFGA for the project.	F&A				
15. Orange Transportation Center Metrolink Parking Structure	Milestone: Complete construction (addition of 611 parking spaces) - Q1. Note: Project construction is complete and open to the public. Closeout efforts are underway.	CAP				
16. Safe Routes to School Action Plan	Milestone: Board approval of consultant selection for Safe Routes to School Action Plan – Q1. Note: On March 11, 2019, the Board approved the consultant selection for this project.	PLN				
17. SR-57 NB – Orangewood Avenue to Katella Avenue	Milestone: Complete environmental - Q1. Note: On March 29, 2019, the federal environmental approval and the project report for the NB SR-57 improvements from Orangewood Avenue to Katella Avenue were signed by Caltrans.	CAP				

ON TRACK

COMPLETED

TIMETABLE
ADJUSTED

CARRYOVER

AT RISK

BOARD
INITIATIVE

SECOND QUARTER

21 of 22 completed – 95%

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
1. 2019 – 20 Budget Adoption	Milestone: Board adoption of the OCTA FY 2019 - 20 Budget - Q2. Note: June 10, 2019 – approved by the Board.	F&A				
2. 91 Express Lanes. Customer Service Center Relocation	Milestone: Begin operations of new customer service center - Q2. Note: January 14, 2019 - Board authorized additional funding for the 91 Express Lanes customer service center. March 11, 2019 - 91 Express Lanes customer service center relocation (completed in Q1) grand opening.	EXEC				
3. BCIP (OC)	Milestone: Board approval of projects from the 2019 call for projects - Q2. Note: June 10, 2019 – approved by the Board.	PLN				
4. 91 Express Lanes. Back-Office System (Carryover 2017)	Milestone: Board approval to release the RFP for back-office system, customer service and traffic operations staffing in Q2. Note: April 22, 2019 - Board approved the release of RFP for back-office system and customer service center operations services.	EXEC				
5. Hydrogen Fuel Cell Buses (Carryover 2018)	Milestone: Final receipt of nine Hydrogen Fuel Cell Buses - Q2. Note: June 2019 - All nine H2 buses have been delivered.	OPS				
6. I-5, SR-73 to El Toro Road (Carryover 2018)	Milestone: Complete 100% Design (Segment 3 - Alicia Parkway to El Toro Road) - Q2 Note: 100% design completed in May 2019.	CAP				

ON TRACK

COMPLETED

TIMETABLE
ADJUSTED

CARRYOVER

AT RISK

BOARD
INITIATIVE

SECOND QUARTER (CONTINUED)

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
7. I-5, I-405 to SR-55 (Carryover 2018)	Milestone: Submit final environmental document to Caltrans for approval - Q2. Note: May 13, 2019 - draft final environmental document submitted to Caltrans. Final approval anticipated in late 2019.	CAP				
8. I-5, SR-73 to El Toro Road (Carryover 2018)	Milestone: Caltrans award of construction contract (Segment 1 – SR-73 to Oso Parkway) - Q2. Note: July 30, 2019 - advertise project. December 2019 - anticipated award of construction (timetable adjusted to Q4).	CAP				
9. Coach Operator Recruitment (COrE)	Milestone: Increase the number of new certified coach operators by 10% from 36 in FY 2018-19 to 40 in FY 2019-20. Report to ESC - Q2. Note: April 29, 2019 - COrE was delivered to ESC.	HROD				
10. Emergency Call Towers	Milestone: Install ten emergency call towers at selected transit centers – complete work - Q2. Note: Install of emergency call towers completed in Q1.	OPS	Early Complete			
11. Fare Collection Study	Milestone: Complete Phase I of the Fare Collection Study and present the results to Executive Management for consideration of moving to Phase II of the study - Q2. Note: Phase I completed in March. Meeting set with CEO (July 2019) to receive approval.	F&A				
12. I-5, SR-73 to El Toro Road	Milestone: Begin construction of the I-5, Oso Parkway to Alicia Parkway (Segment 2) - Q2. Note: April 5, 2019 - Construction contract approved by Caltrans. May 29, 2019 - construction began (first working day).	CAP				
13. M2 Triennial Performance Assessment	Milestone: Present to Board the results of the M2 Triennial Performance Assessment – Q2. Note: March 11, 2019 - Board received the results of M2 Triennial performance assessment and directed staff to implement an action plan in response to findings (staff will track and follow-up with the Board by end of calendar year).	PLN	Early Complete			
14. Near Zero Emission Engines	Milestone: Install Near Zero-Emission engine on prototype articulated bus – complete install - Q2. Note: Installation of Near Zero-Emissions has been completed.	OPS				

ON TRACK

COMPLETED

TIMETABLE
ADJUSTED

CARRYOVER

AT RISK

BOARD
INITIATIVE

SECOND QUARTER (CONTINUED)

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
15. OC Flex	Milestone: Update Board on the OC Flex demo - Q2. Note: The Board approved one-year pilot and directed staff to report back. May 24, 2019 - Presented Micro-Transit Pilot Program six-month review.	OPS				
16. OC to LA Transit Connections Study	Milestone: Award consultant contract for the OC to LA Transit Connections Study – Q2. Note: Procurement was completed in June.	PLN				
17. Personnel and Salary Resolution)	Milestone: Board approval of the personnel and salary resolution - Q2. Note: June 10, 2019 - approved by the Board.	HROD				
18. Safe Transit Stops, Project W	Milestone: Board approval of funding recommendations for the Project W Safe Transit Stops Program – Q2. Note: June 24, 2019 - Project W Safe Transit Stops - 2019 Programming Recommendations.	PLN				
19. SR-55, I-405 to I-5	Milestone: Start ROW acquisition - Q2. Note: March 11, 2019 - Board received an update on this project. June 2019 – ROW acquisition process has begun.	CAP				
20. SR-91 Implementation Plan	Milestone: Present for Board approval the SR-91 Implementation Plan – Q2. Note: July 8, 2019 - SR-91 Implementation Plan to Board (timetable adjusted to Q3 to allow time for coordination).	PLN				
21. State Triennial Review	Milestone: Obtain required State Triennial Review of OCTA, as the regional transportation planning entity, and OCTD, as the transit operator. Present results to the Board – Q2. Note: May 24, 2019 - presented to Board.	EXEC				
22. Streets & Roads	Milestone: Board approval of RCP (Project O) and RTSSP (Project P) funds for projects – Q2. Note: June 10, 2019 - Project O and Project P call for programming recommendations approved by the Board.	PLN				

ON TRACK

COMPLETED

TIMETABLE
ADJUSTED

CARRYOVER

AT RISK

BOARD
INITIATIVE

THIRD QUARTER

4 of 10 completed – 50%

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
1. Beach Boulevard Corridor Study	Milestone: Develop conceptual alternatives with the corridor cities. Present alternatives to the Board in Q3. Note: September 9, 2019 – presented to Board.	PLN				
2. Credit Ratings	Milestone: Conduct annual rating agency trip - Q3. Note: September 18-20, 2019 – annual rating agency trip occurred.	F&A				
3. Facility Security Camera System	Milestone: Complete security camera installation at contracted bases and OCTA administration bldg. - Q3. Note: June 18, 2019 – executed agreement was issued to the firm to perform video surveillance system installation at the Anaheim, Irvine Construction Circle, and Irvine Sand Canyon bus bases, and the Orange Administration building. January 31, 2020 – anticipated completion date (carryover to 2020 Q1). Due to additional requests for site walks and coordination with administrative staff, base staff and the security team, the procurement schedule was modified to accommodate proposers.	CAP				
4. Federal Transportation Act	Milestone: Develop priorities for upcoming Transportation Act consistent with legislative platforms. Present to ESC - Q3. Note: September 30, 2019 –presented to ESC	EA				
5. Fullerton Park & Ride	Milestone: Present to ESC the final report with recommendations for joint development - Q3. Note: September 24, 2019 –presented to joint development concepts to ESC. This is timetable adjusted to Q4 due to financial analyses that were more complex than anticipated. December 2, 2019 – anticipated to present final report to ESC	PLN				
6. iShuttle	Milestone: Complete procurement of iShuttle replacement vehicles - Q3. Note: September 12, 2019 – item presented to Transit Committee for authorization to purchase 12, 30-foot CNG-powered buses; procurement completed (Board award anticipated for October 2019).	OPS				

ON TRACK

COMPLETED

TIMETABLE
ADJUSTED

CARRYOVER

AT RISK

BOARD
INITIATIVE

THIRD QUARTER (CONTINUED)

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
7. OC Managed Lanes Study	Milestone: Award Managed Lanes consultant contract - Q3. Note: May 2019 - contract awarded (early completion).	PLN		Early Complete		
8. SR-91, SR-55 to SR-57	Milestone: Submit final environmental document to Caltrans for approval - Q3. Note: April/May 2020 – anticipated completion and submittal for final environmental document (carryover to 2020 Q2). Delay due to environmental testing required to address ROW issues.	CAP				
9. Transit Security Operations Center	Milestone: Board award of consultant contract for the design of the TSOC - Q3. Note: May 13, 2019 - Release of TSOC design RFP. May 24, 2019 - TSOC CEQA adoption. Q4 – anticipated Board award agreement for design is December 9, 2019 (timetable adjusted to Q4). Due to difficulty coordinating schedules for internal and external procurement committee members, the evaluation process took additional time that delayed the procurement.	CAP				
10. Treasury Functional Review	Milestone: Complete external review of Treasury functions - Q3. Note: Delay due to Treasury and Public Finance Manager vacancy. Position was filled in Q2. Not enough time to procure a consultant to complete the review this calendar year (carryover to 2020).	F&A				

ON TRACK

COMPLETED

TIMETABLE
ADJUSTED

CARRYOVER

AT RISK

BOARD
INITIATIVE

FOURTH QUARTER (Q4)

7 of 39 completed – 18%

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
1. Bristol Street Transit Corridor Study	Milestone: Present draft alternatives to Transit Committee – Q4. Note: April 22, 2019 – Board received an update on this study along with an update on the purpose and need. October 2019 – anticipated draft alternatives to Transit Committee.	PLN				
2. 2019 Employee Engagement Survey	Milestone: Develop and implement the action plan from the 2018 Employee Engagement Survey. Provide ESC with quarterly updates - Q1 - Q4. Note: March 18, 2019, June 17, 2019 and September 24, 2019 – presented update to ESC. November 18, 2019 – scheduled to present to ESC.	HROD				
3. 2020 State Transportation Improvement Program	Milestone: Board approval of the 2020 STIP proposal – Q4. Note: September 9, 2019 – presented to Board.	PLN			Early Complete	
4. Anaheim Canyon Metrolink Station Improvements	Milestone: Board award of the construction contract - Q4. Note: Advertisement pushed out to December 2019 due to temporary construction easement needed from adjacent property owner. Q2 2020 – anticipated board award of construction (carryover to 2020).	CAP				
5. Transportation Needs Assessment	Milestone: Present progress report to Board - Q4. Note: July 26, 2019 – RFP posted. October 28, 2019 – item scheduled to Board to award contract. December 2019 – anticipated progress report presentation to L&C.	EA				
6. Placentia Metrolink Rail Station (Carryover 2018)	Milestone: Begin construction in Q4. Note: Construction and maintenance agreement between BNSF and SCRRA need to be in place prior to advertisement. Q1 2020 – anticipated advertisement. Q2 2020 – anticipated award of construction contract and start of construction (carryover to 2020).	CAP				
7. Coach Operator Safety	Milestone: Conduct a pilot program to evaluate if the use of safety awareness monitors and operator barriers improve coach operator safety. Report results to ESC - Q4 Note: Monitors and barriers have been installed on buses; testing continues. October 2019 – data gathered will be analyzed.	OPS				

ON TRACK

COMPLETED

TIMETABLE
ADJUSTED

CARRYOVER

AT RISK

BOARD
INITIATIVE

FOURTH QUARTER (CONTINUED)

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
8. Collective Bargaining Agreement	Milestone: Board approval of the maintenance collective bargaining agreement between OCTA and Teamsters Union - Q4. Note: Negotiations are ongoing but should wrap up by September 30, 2019. Board approval is anticipated on October 14, 2019.	HROD				
9. College Pass Program	Milestone: Expand the college pass partnership program through outreach with local colleges/universities. Q1 – Q4. Note: College Pass Program expanded to include Goldenwest College and Fullerton College.	EA				
10. Communications and Public Outreach	Milestone: Conduct ongoing outreach programs to support capital projects and planning studies. Q1-Q4. Note: Ongoing outreach efforts for Beach Boulevard Corridor Study, Bristol Street Corridor Study, I-5 (SR-73 to El Toro Road), I-5 (SR-55 to SR-57) and I-405 (SR-73 to I-605).	EA				
11. Comprehensive Annual Financial Report (CAFR)	Milestone: Present to the Board an unmodified opinion from the external auditors and present the annual financial statements - Q4. Note: November 25, 2019 - unmodified opinion from external auditors and annual financial statements anticipated to be presented to Board.	F&A				
12. Congestion Management Program	Milestone: Board adoption of the 2019 Congestion Management Program Report – Q4. Note: September 5, 2019 – draft CMP approved to be released at RP&H. September 9, 2019 – anticipated draft Board approval. November 25, 2019 – anticipated final present to Board.	PLN				
13. Crisis Communication Training	Milestone: Conduct a tabletop exercise for the Crisis Communications team and make any necessary updates or revisions to the Crisis Communications Plan – Q4. Note: Planning has started. December 2019 – anticipated date of exercise.	EXEC				
14. Data Center Relocation	Milestone: Relocate the data center out of state - Q4. Note: December 2019 – relocation of data center out of state expected completion.	F&A				

ON TRACK

COMPLETED

TIMETABLE
ADJUSTED

CARRYOVER

AT RISK

BOARD
INITIATIVE

FOURTH QUARTER (CONTINUED)

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
15. Environmental Programs, Project X	Milestone: Board approval of grant funding allocations for M2, Tier 1 Water Quality program – Q4. Note: March 11, 2019 - the Board authorized the issuance of the 2019 Environmental Cleanup Program Tier 1 call for projects. September 9, 2019 – Board approval of programming recommendation.	PLN			Early Complete	
16. I-405 Improvement Project	Milestone: Initiate bridge reconstruction • Harbor Boulevard undercrossing widening - Q1, • Fairview Road - Q1, • Harbor On-Ramp Bridge - Q1, • Bolsa Avenue OC - Q1, • Heil Avenue pedestrian overcrossing - Q2 • Talbert Avenue - Q3 • Bushard Street - Q3 • Westminster - Q3 Note: Slater Bridge was the first bridge to open on August 29, 2019	CAP				
17. I-405 Improvement Project	Milestone: Successfully draw on the TIFIA loan, M2 Sales Tax revenue bonds - Q4. Note: OCTA has successfully received two TIFIA loan disbursements to date and issued M2 Sales Tax revenue bonds on February 26, 2019, ensuring OCTA has the financial capacity in place to successfully deliver the I-405 Improvement Project as scheduled.	F&A				
18. I-405 Improvement Project	Milestone: Completion of ROW phase. (Report possession of property by quarter). Completion - Q4. Note: March 25, 2019 – Resolutions of Necessity. April 8, 2019 – Project Update. May 13, 2019 – Resolutions of Necessity. June 10, 2019 – Resolutions of Necessity. September 9, 2019 – Project update. A Resolution of Necessity for the final remaining property (of 288 properties) is planned to go to the Board on December 9, 2019. Possession of 287 properties is anticipated by the end of the calendar year.	CAP				

ON TRACK

COMPLETED

TIMETABLE
ADJUSTED

CARRYOVER

AT RISK

BOARD
INITIATIVE

FOURTH QUARTER (CONTINUED)

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
19. I-5, El Toro Interchange	Milestone: Support Caltrans' efforts to complete environmental - Q4. Note: OCTA has and continues to support Caltrans' efforts to complete environmental.	CAP				
20. I-5, SR-73 to El Toro Road	Milestone: Begin construction of the I-5, SR-73 to Oso Parkway (Segment 1) - Q4. Note: Project advertised in August 2019. Bid opening is scheduled for October 15, 2019, with construction contract award anticipated in December and begin of construction to start in Q1 2020.	CAP				
21. Legislative Forums	Milestone: Conduct local legislative forums quarterly and present results to ESC. Q1- Q4. Note: October 21, 2019 – scheduled to present to ESC.	EA				
22. Legislative Platforms	Milestone: Board approval of 2020 State and Federal Legislative Platforms – Q4. Note: October 28, 2019 – draft anticipated. November 25, 2019 – anticipated Board approval of 2020 State and Federal Legislative Platforms.	EA				
23. Light Duty Program	Milestone: Implement a light duty pilot program by Q4. Present program policies to ESC - Q4. Note: October 2019 – anticipated to present Transitional Work Program Pilot to ESC.	HROD				
24. M2 Environmental Programs	Milestone: Present to the Board biannual progress reports. Q2 - Q4. Note: August 12, 2019 – presented to the Board December 9, 2019 – anticipated to present to Board.	PLN				
25. Management Development Academy	Milestone: Conduct the Management Development Academy and present the participants to the Board - Q4. Note: November 25, 2019 – anticipated to present to Board.	HROD				
26. Marketing	Milestone: Conduct ongoing campaigns to promote bus, rail, OC Flex, rideshare, vanpool services, and support bus service changes. Q1- Q4 Note: Q1: launched a multifaceted, multilingual marketing campaign to promote ridership on the new Bravo 529. Promoted weekend group ridership for OC Flex. May 24, 2019 - I-5 south agreement for public outreach services.	EA				

ON TRACK

COMPLETED

TIMETABLE
ADJUSTED

CARRYOVER

AT RISK

BOARD
INITIATIVE

FOURTH QUARTER (CONTINUED)

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
27. OC Bus 360° Biannual Progress Reports	Milestone: OC Bus 360° Biannual Progress Reports. Q2 - Q4. Note: April 22, 2019 – Board received OC Bus 360° update. October 14, 2019 – next anticipated Board update.	PLN				
28. OC Flex	Milestone: Upon completion of the one-year micro-transit pilot program, evaluate the program against established performances measures and report results to ESC - Q4. Note: Currently tracking Performance Metrics (month-to-month). October 2019 – Pilot period ends. November/December 2019 – anticipated present to ESC.	OPS				
29. OC Streetcar	Milestone: Board award of O&M contract – Q4. Note: March 2020 – anticipated Board award of O&M contract (carryover to 2020). Award of O&M contract adjusted to be consistent with construction schedule and NTP for when the contractor is needed.	OPS				
30. OC Streetcar	Milestone: Siemens to initiate production of first S-70 vehicle - Q4. Note: September 2019 – Siemens anticipated to initiate production of first S-70 vehicle.	OPS				
31. OC Streetcar	Milestone: Report on status of construction to meet March 2022 service startup date. Q1 - Q4. Note: March 25, 2019 – Board received update on this project. July 22, 2019 - OC Streetcar quarterly update. October 28, 2019 – anticipated OC Streetcar quarterly update.	CAP				
32. OCTA Innovation	Milestone: Biannual reports to the Board. Q2 - Q4. Note: May 24, 2019 – Innovation Board update November 25, 2019 – anticipated Board update.	PLN				
33. Orange County Rail Maintenance Facility	Milestone: Begin environmental and preliminary design - Q4. Note: May 13, 2019 – RFP released. December 2019 – anticipated start of environmental and preliminary design.	CAP				

ON TRACK

COMPLETED

TIMETABLE
ADJUSTED

CARRYOVER

AT RISK

BOARD
INITIATIVE

FOURTH QUARTER (CONTINUED)

Project/Program	Milestone	Division	Q1	Q2	Q3	Q4
34. Planning Activities	Milestone: Present to the Board, biannual reports on regional planning activities, including the 2020 Regional Transportation Plan. Q2 - Q4. Note: Presented to Board updates on regional planning activities on March 11, 2019 and September 23, 2019.	PLN			Early Complete	
35. Safety Management System	Milestone: Update the Board on the SMS and the ESC on the related Public Transportation Agency Safety Plan. Note: November 11, 2019 – anticipated to update the Board.	HROD				
36. San Juan Creek Bridge	Milestone: Develop funding plan - Q4. Note: FTA program of projects anticipated to go to the Board on October 14, 2019.	CAP				
37. South Orange County Multimodal Study	Milestone: Board award contract to study multimodal transportation needs in southern Orange County - Q4. Note: August 12, 2019 – contract awarded.	PLN			Early Complete	
38. SR-91 Corridor Projects	Milestone: Develop SOW of short, medium- and long-term work for the SR-91 mainline improvements in conjunction with RCTC – Q4. Note: Draft SOW completed.	PLN				
39. Succession Planning	Milestone: Complete a talent assessment of all administrative employees to guide the employee's career path, next role, the employee's development plan, and present to ESC - Q2 - Q4. Note: June 17, 2019 – presented update to ESC. November 18, 2019 – scheduled to present to ESC.	HROD				

ON TRACK

COMPLETED

TIMETABLE
ADJUSTED

CARRYOVER

AT RISK

BOARD
INITIATIVE

Acronyms

BNSF – Burlington Northern Santa Fe	OPS - Operations
Board – Board of Directors	OCTA – Orange County Transportation Authority
Caltrans – California Department of Transportation	OCTD – Orange County Transit District
CAP – Capital Programs	PLN – Planning
CEO – Chief Executive Officer	Q1 – First Quarter
CEQA – California Environmental Quality Act	Q2 – Second Quarter
CM – Construction Management	Q3 – Third Quarter
CMP – Construction Management Plan	Q4 – Fourth Quarter
CNG – Compressed Natural Gas	RCTC – Riverside County Transportation Commission
EA – External Affairs	RCP – Regional Capacity Program
ESC – Executive Steering Committee	RPH – Regional Planning and Highways Committee
EXEC – Executive Office	RFP – Request for Proposals
F&A – Finance and Administration	ROW – Right-of-Way
H2 - Hydrogen	RTSSP – Regional Transportation Signal Synchronization Program
HROD – Human Resources and Organizational Development	SCRRA – Southern California Regional Rail Authority
FTA – Federal Transit Administration	SMS – Safety Management System
FY – Fiscal Year	SR-55 – State Route 55
I-5 – Interstate 5	SR-57 – State Route 57
I-405 – Interstate 405	SR-73 – State Route 73
I-605 – Interstate 605	SR-91 – State Route 91
L&C – Legislative & Communication Committee	SOW – Scope of Work
M2 – Measure M2	STIP – State Transportation Improvement Program
NB - Northbound	TIFIA – Transportation Infrastructure Finance and Innovation Act
NTP – Notice to Proceed	TSOC – Transit Security Operations Center
O&M – Operations and Maintenance	