



# **AGENDA**

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

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### **Committee Members**

Mark A. Murphy, Chairman  
Barbara Delgleize, Vice Chair  
Lisa A. Bartlett  
Doug Chaffee  
Joe Muller  
Richard Murphy  
Miguel Pulido

Orange County Transportation Authority  
Headquarters  
550 South Main Street  
Board Room – Conf. Room 07  
Orange, California  
**Monday, April 1, 2019 at 10:30 a.m.**

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

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

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

### **Call to Order**

### **Pledge of Allegiance**

Director R. Murphy

### **1. Public Comments**

### **Special Calendar**

There are no Special Calendar matters.



## **Consent Calendar (Items 2 through 7)**

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

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

Approval of the minutes of the Regional Planning and Highways Committee meeting of March 4, 2019.

### **3. Amendment to Agreement for Call Box Maintenance Services** Patrick Sampson/Jennifer L. Bergener

#### **Overview**

On March 10, 2014, the Board of Directors approved an agreement with Siemens Industry, Inc., to provide call box maintenance services for freeway call boxes operated under the Orange County Service Authority for Freeway Emergencies. The initial term of this agreement will expire on June 30, 2019, and an amendment to exercise the two-year option is recommended to continue services.

#### **Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 3 to Agreement No. C-3-2069 between the Orange County Transportation Authority and Siemens Industry, Inc., to exercise the option term of the agreement in the amount of \$496,376, for freeway call box maintenance services through June 30, 2021. This will increase the maximum obligation of the agreement to a total contract value of \$2,099,641.



4. **Amendment to Agreement with the California Highway Patrol for Services Related to Freeway Service Patrol**  
Patrick Sampson/Jennifer L. Bergener

**Overview**

The Orange County Transportation Authority administers the operation of the Freeway Service Patrol program. In accordance with state law, the program is supervised by the California Highway Patrol. On May 25, 2018, the Board of Directors authorized Agreement No. C-8-1553 between the Orange County Transportation Authority and the California Highway Patrol in the amount of \$476,376, to fund the cost of officer overtime and a full-time dispatcher position. An amendment to the cooperative agreement in the amount of \$434,887 is requested to add funds that became available through the Road Repair and Accountability Act of 2017 and adjust the maximum obligation in the original agreement; these adjustments were requested after the agreement was approved by the Board of Directors in May 2018.

**Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Agreement No. C-8-1553 between the Orange County Transportation Authority and the California Highway Patrol, in the amount of \$434,887, to add Road Repair and Accountability Act of 2017 funds recently made available to support the Freeway Service Patrol program and to adjust the amount of the maximum obligation in the original agreement.

5. **Fiscal Year 2019-20 Measure M2 Eligibility Guidelines Update**  
Joseph Alcock/Kia Mortazavi

**Overview**

The Orange County Transportation Authority Ordinance No. 3 specifies requirements that local jurisdictions must satisfy in order to be eligible to receive Measure M2 funds. Measure M2 Eligibility Guidelines are used to assist local jurisdictions in navigating through eligibility requirements and submittal processes. Proposed updates to the Measure M2 Eligibility Guidelines are presented for Board of Directors review and approval.

**Recommendations**

- A. Approve the fiscal year 2019-20 Measure M2 Eligibility Guidelines.
- B. Direct staff to return in summer 2019 with more detailed procedures related to finding a local agency ineligible to receive Measure M2 funds.



**6. Consultant Selection for Intelligent Transportation Systems and Traffic Engineering Services for Regional Traffic Signal Synchronization Projects**

Ron Keith/Kia Mortazavi

**Overview**

On November 12, 2018, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals for a consultant to provide intelligent transportation systems and traffic engineering services for Katella Avenue and Main Street regional traffic signal synchronization projects. Board of Directors approval is requested for the selection of the firm to perform the required work.

**Recommendations**

- A. Approve the selection of Iteris, Inc., as the firm to provide intelligent transportation systems and traffic engineering services for the Katella Avenue Regional Traffic Signal Synchronization Project.
- B. Approve the selection of Iteris, Inc., as the firm to provide intelligent transportation systems and traffic engineering services for the Main Street Regional Traffic Signal Synchronization Project.
- C. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-8-2038 between the Orange County Transportation Authority and Iteris, Inc., to provide intelligent transportation systems and traffic engineering services for the Katella Avenue Regional Traffic Signal Synchronization Project.
- D. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1066 between the Orange County Transportation Authority and Iteris, Inc., to provide intelligent transportation systems and traffic engineering services for the Main Street Regional Traffic Signal Synchronization Project.





**7. Amendments to Cooperative Agreements with the Cities of Fountain Valley and Seal Beach for the Interstate 405 Improvement Project**

Dennis Mak/James G. Beil

**Overview**

On March 14, 2016 and May 9, 2016, the Orange County Transportation Authority Board of Directors approved Cooperative Agreement Nos. C-5-3613 and C-6-1126 with the cities of Fountain Valley and Seal Beach, respectively, for city services required during the design-build implementation of the Interstate 405 Improvement Project. These cooperative agreements need to be amended for additional city support services during the design and construction of the project.

**Recommendations**

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 3 to Cooperative Agreement No. C-5-3613 between the Orange County Transportation Authority and the City of Fountain Valley, in the amount of \$1,985,000, 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 \$4,367,708.
- B. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Cooperative Agreement No. C-6-1126 between the Orange County Transportation Authority and the City of Seal Beach, in the amount of \$250,000, 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 \$370,600.



## **Regular Calendar**

**8. Interstate 405 Improvement Project Update**

Jeff Mills/James G. Beil

**Overview**

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

**Recommendation**

Receive and file as an information item.

**9. Consultant Selection for Construction Management Support Services for the Interstate 5 Widening Project Between State Route 73 and Oso Parkway**

Hamid Torkamanha/James G. Beil

**Overview**

On October 22, 2018, the Orange County Transportation Authority Board of Directors authorized the release of a request for proposals to provide construction management support services for the Interstate 5 widening project between State Route 73 and Oso Parkway. Board of Directors' approval is requested for the selection of a firm to perform the required work.

**Recommendations**

- A. Approve the selection of Arcadis U.S., Inc., as the firm to provide construction management support services for the Interstate 5 widening project between State Route 73 and Oso Parkway.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-8-1969 between the Orange County Transportation Authority and Arcadis U.S., Inc., as the firm to provide construction management support services for the Interstate 5 widening project between State Route 73 and Oso Parkway.



## **Discussion Items**

**10. Update on Interstate 5 Improvement Project from State Route 55 to State Route 57**

Niall Barrett/James G. Beil

Staff will provide a project update.

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

**12. Committee Members' Reports**

**13. Closed Session**

There are no Closed Session items scheduled.

**14. Adjournment**

The next regularly scheduled meeting of this Committee will be held at **10:30 a.m. on Monday, May 6, 2019**, at the Orange County Transportation Authority Headquarters, 550 South Main Street, Board Room - Conference Room 07, Orange, California.



# MINUTES

## *Regional Planning and Highways Committee Meeting*

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### **Committee Members Present**

Mark A. Murphy, Chairman  
Barbara Delgleize, Vice Chair  
Joe Muller  
Richard Murphy

### **Staff Present**

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

### **Committee Members Absent**

Lisa A. Bartlett  
Doug Chaffee  
Miguel Pulido

## **Call to Order**

The March 4, 2019 regular meeting of the Regional Planning and Highways Committee was called to order by Committee Chairman M. Murphy at 10:35 a.m.

## **Pledge of Allegiance**

Director Muller led in the Pledge of Allegiance.

### **1. Public Comments**

No public comments were received.

## **Special Calendar**

There were no Special Calendar matters.

## **Consent Calendar (Items 2 through 6)**

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

A motion was made by Director Muller, seconded by Committee Vice Chair Delgleize, and due to lack of four affirmative votes, declared not passed to approve the minutes of the Regional Planning and Highways Committee meeting of February 4, 2019.

Director R. Murphy abstained due to not being present at the February 4, 2019 Regional Planning and Highways Committee meeting.



# MINUTES

## *Regional Planning and Highways Committee Meeting*

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### **3. Amendment to Cooperative Agreement with the Orange County Flood Control District for the Interstate 405 Improvement Project**

A motion was made by Director Muller, seconded by Committee Vice Chair Delgleize, and declared passed by those present, to:

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Cooperative Agreement No. C-5-3617 to include a cost share increase, in the amount of \$1,031,160, for additional costs associated with design and construction of improvements at Ocean View Channel under the Interstate 405 Improvement Project's design-build contract, bringing the Orange County Transportation Authority's total maximum cost share to \$4,140,000.
- B. Authorize the design and construction of freeway mainline pavement settlement repairs at the Edinger Channel, in cooperation with the Orange County Flood Control District, under the Interstate 405 Improvement Project's design-build contract. The Orange County Transportation Authority will be reimbursed for 100 percent of the work, in the amount of \$400,000, by the Orange County Flood Control District.

### **4. Regional Planning Update**

This item was pulled by Director Muller who inquired about Page 17 of Attachment A to the Staff Report, and asked staff to clarify the Transportation Control Measures (TCM) substitution.

Greg Nord, Principal Transportation Analyst, Strategic Planning, explained that TCM projects identified have an air quality benefit in the Federal Transportation Improvement Program. Mr. Nord added that the Transportation Corridor Agencies (TCA) reached out to the Orange County Transportation Authority (OCTA) to initiate a TCM substitution, and Page 11 of Attachment A, addresses the TCM process.

Kia Mortazavi, Executive Director, Planning, provided additional information and reported that the TCA had committed to widen the existing facilities by one lane in each direction by the year 2020. He added that last year, the TCA took an agenda item to its Board of Directors to revisit those assumptions, and as a result, those projects will not be completed by 2020.

Director Muller also inquired why the State Route 241/State Route 91 connectivity study being performed by the TCA was not included in Attachment A.



### **4. (Continued)**

Mr. Nord responded that currently the project is in development and at project-level activity. He stated that OCTA is monitoring regional planning activities and the reason the project is not included.

Mr. Mortazavi concurred with Mr. Nord's response and added that in the past, TCA was planning to advance that study and the schedule has been adjusted since.

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

### **5. 2019 Measure M2 Environmental Cleanup Program Call for Projects**

A motion was made by Director Muller, seconded by Committee Vice Chair Delgleize, and declared passed by those present, to:

- A. Approve the proposed revisions to Chapter 11 of the Comprehensive Transportation Funding Programs Guidelines.
- B. Authorize staff to issue the 2019 Environmental Cleanup Program Tier 1 call for projects for approximately \$2.8 million.

### **6. Consultant Selection for the Safe Routes to School Action Plan**

A motion was made by Director Muller, seconded by Committee Vice Chair Delgleize, and declared passed by those present, to:

- A. Approve the selection of Toole Design, LLC, as the firm to develop the Safe Routes to School Action Plan.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-8-1974 between the Orange County Transportation Authority and Toole Design, LLC, to develop the Safe Routes to School Action Plan.

## **Regular Calendar**

There were no Regular Calendar matters.



### **Discussion Items**

#### **7. Update on State Route 55 Improvement Project from Interstate 405 to Interstate 5**

Rose Casey, Director of Highway Programs, provided background information and a PowerPoint presentation on this item as follows:

- Project Limits and Background;
- Project Improvements;
- Current Accelerated Schedule;
- Project Schedule;
- Public Outreach; and
- Next Steps.

Ms. Casey noted a correction to Slide 7 of the PowerPoint and reported that the advertise date for construction should read "late 2020" and not late 2021. Ms. Casey also reported that Ross Lew, Program Manager, Capital Programs, and Calina North, Community Relations Officer, External Affairs, were in the audience.

Committee Vice Chair Delgleize asked if staff knew what the traffic time savings would be when the project is completed.

Ms. Casey responded that the traffic analysis shows that during the peak hours there is a time savings that ranges anywhere from one to four minutes depending on whether it is the morning or afternoon time. She added that the accumulation of that time savings over an entire year is approximately 1.7 million hours.

Committee Chairman M. Murphy asked for clarification on the five percent noted on Slide 2 of the PowerPoint. Ms. Casey clarified that average daily traffic is expected to grow five percent in the future.

No action was taken on this discussion item.



### **8. Project Update - Interstate 5/EI Toro Road Interchange Project**

Lisa Ramsey, Office Chief, Program Project Management, California Department of Transportation (Caltrans) District 12, provided a PowerPoint presentation on this item as follows:

- Project Location;
- Problems/Solutions;
- Alternative 1: Intersection Modification;
- Alternative 2: Flyover;
- Alternative 3: Diverging Diamond Interchange;
- Alternative 4 & Option B: Collector Distributor Road and Hook Ramps;
- Traffic Benefits;
- Cost Benefit Comparison;
- Buildable Alternatives Considered for Further Review in the Draft Project Report and Draft Environmental Document; and
- Next Steps.

A discussion ensued regarding:

- There are retail stores on Bridger Road and depending on the selected alternative, there may be some widening or removal of parking.
- The proposed alternatives will go to the public for review next month.
- Committee Vice Chair Delgleize commented that EI Toro Road is a congestion point and would like to know the feedback from the public. She added that it appeared that Alternative 4 would solve a lot of the congestion problems for a long time, although it is the most expensive alternative.
- Delays on the different alternatives, and Director Muller noted that with Alternative 4, there are 100 additional hours of delay and the cost is a lot more than Alternative 2.
- At the next Board of Directors meeting, Caltrans will provide additional information on Alternative 2, Southbound Interstate 5 (I-5) (Carlota/ Valencia Off-Ramp and On-Ramp) and exact numbers on the peak-hours of delay.
- Ken Phipps, Deputy Chief Executive Officer (DCEO), reported that this project was included in Measure M2, all the alternatives analyzed exceed the anticipated costs, the lower cost alternatives do not achieve much benefit, and additional analysis is necessary.

No action was taken on this discussion item.





### **9. Chief Executive Officer's Report**

Ken Phipps, DCEO, reported on the following:

Interstate 405 Improvement Project –

- Due to the weather this past weekend, demolition of the Fairview Road bridge was postponed to the weekends of March 9<sup>th</sup> and March 16<sup>th</sup>.
- Weather permitting, demolition work will begin this coming weekend and continue the following weekend.

OC Streetcar –

- Last week, the \$149 million Full Funding Grant Agreement through the Transit Asset Management System was executed.

I-5 Freeway Improvement Project –

- This past Saturday, OCTA's I-5 Outreach Team held a neighborhood meeting at Aegean Hills Park in Mission Viejo and approximately 20 attended the meeting.
- OCTA is expecting to break ground on the first of three segments in April or May.

Metrolink 25<sup>th</sup> Anniversary –

- Metrolink commuter rail service is in its 25th year of operation and beginning tomorrow, OCTA will host a series of events to celebrate this milestone.
- There will be several customer appreciation days with coffee and donuts from 6:00 a.m. – 8:00 a.m. at the following Metrolink stations and dates:
  - Tustin Station – Tuesday, March 5
  - Fullerton Station – Wednesday, March 6
  - Santa Ana Depot – Thursday, March 7
- On Saturday, March 23<sup>rd</sup> at 8:30 a.m., OCTA will be hosting an event at the Anaheim Regional Transportation Intermodal Center Station in Anaheim.

Metrolink Facts –

- The Orange County Line had about a half million boardings annually when it launched in 1991.
- Annual boardings are now more than 2.8 million, a 377 percent increase.

### **10. Committee Members' Reports**

There were no Committee Members' reports.



# MINUTES

## *Regional Planning and Highways Committee Meeting*

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### 11. Closed Session

A Closed Session was not conducted at this meeting.

### 12. Adjournment

The meeting adjourned at 11:09 a.m.

The next regularly scheduled meeting of this Committee will be held at **10:30 a.m. on Monday, April 1, 2019**, at the Orange County Transportation Authority Headquarters, 550 South Main Street, Board Room - Conference Room 07, Orange, California.

ATTEST

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Olga Prado  
Assistant Clerk of the Board

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Mark A. Murphy  
Committee Chairman



***April 1, 2019***

**To:** Regional Planning and Highways Committee

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

**Subject:** Amendment to Agreement for Call Box Maintenance Services

### ***Overview***

On March 10, 2014, the Board of Directors approved an agreement with Siemens Industry, Inc., to provide call box maintenance services for freeway call boxes operated under the Orange County Service Authority for Freeway Emergencies. The initial term of this agreement will expire on June 30, 2019, and an amendment to exercise the two-year option is recommended to continue services.

### ***Recommendation***

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 3 to Agreement No. C-3-2069 between the Orange County Transportation Authority and Siemens Industry, Inc., to exercise the option term of the agreement in the amount of \$496,376, for freeway call box maintenance services through June 30, 2021. This will increase the maximum obligation of the agreement to a total contract value of \$2,099,641.

### ***Discussion***

In 1985, the California State Legislature added Chapter 14, Section 2550 to 2559, to the California Street and Highways Code to encourage local jurisdictions to establish a Service Authority for Freeway Emergencies (SAFE). The SAFE is responsible for creating and managing a motorist aid system comprised of multiple service elements and infrastructure along the California Freeway and Expressway System. The legislation provides for a \$1.00 per year fee on motor vehicle registrations to fund the call box system. If funds are available after fully funding a complete call box system, the remaining funds can be used for other SAFE services such as the Freeway Service Patrol (FSP), and a regional 511 Motorist Aid and Traveler Information System. The Orange County Transportation Authority (OCTA) administers the Orange County SAFE program, which funds and operates the call box system in Orange County as well as the FSP and the OC511 Motorist Aid and Traveler Information System.

Orange County SAFE currently operates 415 call box sites, with call boxes spaced at approximately two-mile intervals along all Orange County freeways, toll roads operated by the Transportation Corridor Agency, and segments of State Roads including Carbon Canyon Road, Santiago Canyon Road, and Ortega Highway. The call box system features bright yellow solar-powered cellular telephones that can be used to contact an operator at the Orange County SAFE call center. To ensure compliance with the Americans with Disabilities Act, all Orange County SAFE call boxes are equipped with teletypewriter capabilities that allow users to “type and read” rather than “speak and hear” with the call center for any motorists with hearing impairments. In addition, all call box sites are configured to be accessible to individuals in wheelchairs. In Orange County, SAFE funds support the FSP and the regional 511 Motorist Aid and Traveler Information System, in addition to the call box system.

OCTA utilizes contract services for call box maintenance. The current call box maintenance vendor performs routine preventive maintenance, as well as ongoing repairs to the system to ensure continuity of service. Preventive maintenance inspections and cleaning are done on a scheduled basis. Every three days each call box is monitored remotely to ensure it is functioning properly. This remote monitoring consists of a self-diagnostic test conducted on each call box, with performance data reported to the maintenance vendor; these results indicate when repairs are likely needed. In addition, call boxes also send alerts to the maintenance provider if the call box tilt alarm is triggered or if a maintenance call is missed. If any of this remote monitoring indicates an issue with a call box, a physical check is conducted, and necessary repairs are made. This includes responding to call boxes that have been knocked down as the result of a collision. In addition, the maintenance vendor also removes and replaces call boxes when necessary for freeway construction projects, and visually monitors call boxes throughout the county for graffiti and other issues.

OCTA pays a flat rate per call box, per month, for corrective maintenance, preventive maintenance, up to 21 construction removals and reinstallations each year, and up to 42 knockdowns and other damage repairs per year. Removals, reinstallations, and knockdown damage repairs beyond the annual allowance are handled on a time-and-materials basis. The current contract expires June 30, 2019, and an amendment is necessary to continue services.

### ***Procurement Approach***

This procurement was originally handled in accordance with OCTA Board of Directors (Board)-approved policies and procedures for professional and technical services. On March 10, 2014, the Board approved an agreement for a five-year initial term with a two-year option term with Siemens Industry, Inc., to

provide call box maintenance services from July 1, 2014 through June 30, 2019, in the amount of \$1,603,265. The original agreement was awarded on a competitive basis and has been previously amended (Attachment A).

The initial term of this contract will expire on June 30, 2019, requiring the option term to be exercised. The proposed Amendment No. 3 exercises a two-year option term through June 30, 2021. This amendment increases the maximum obligation by \$496,376, bringing the total contract value to \$2,099,641.

The flat rate per call box, per month, for the option term was originally negotiated as part of the agreement.

#### **Fiscal Impact**

The project is included in the OCTA Proposed Fiscal Year 2019-20 Budget, Motorist Services Department – SAFE Fund, Account 0013-7612-S1001-ASM, and is funded by a \$1 per vehicle registration fee.

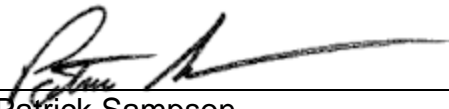
#### ***Summary***

Based on the information provided, staff recommends the Board authorize the Chief Executive Officer to negotiate and execute Amendment No. 3 to Agreement No. C-3-2069 with Siemens Industries, Inc., in the amount of \$496,376, for freeway call box maintenance services through June 30, 2021.

***Attachment***

A. Siemens Industry, Inc. Agreement No. C-3-2069 Fact Sheet

**Prepared by:**



Patrick Sampson  
Manager, Motorist Services  
(714) 560-5425

**Approved by:**



Beth McCormick  
General Manager, Operations  
(714) 560-5964



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



Jennifer L. Bergener  
Chief Operating Officer, Operations  
(714) 560-5462

**Siemens Industry, Inc.  
Agreement No. C-3-2069 Fact Sheet**

1. March 10, 2014, Agreement No. C-3-2069, \$1,603,265, approved by the Board of Directors (Board).
  - Agreement with Siemens Industry, Inc., for freeway call box maintenance services through June 30, 2019, with an option for two additional years from July 1, 2019 through June 30, 2021.
2. January 11, 2016, Amendment No. 1 to Agreement No. C-3-2069, \$0, approved by Contracts Administration and Materials Management (CAMM).
  - Amendment to add 3G radio replacement pricing and 3G conversion installation pricing, as well as other administrative changes to the agreement.
3. June 8, 2016, Amendment No. 2 to Agreement No. C-3-2069, \$0, approved by CAMM.
  - Amendment to add a flat fee charge for permanent call box removals.
4. April 8, 2019, Amendment No. 3 to Agreement No. C-3-2069, \$496,376, pending Board approval.
  - Amendment to exercise the option term through June 30, 2021.

Total committed to Siemens Industry, Inc., Agreement No. C-3-2069: \$2,099,641.



***April 1, 2019***

**To:** Regional Planning and Highways Committee

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

**Subject:** Amendment to Agreement with the California Highway Patrol for Services Related to Freeway Service Patrol

***Overview***

The Orange County Transportation Authority administers the operation of the Freeway Service Patrol program. In accordance with state law, the program is supervised by the California Highway Patrol. On May 25, 2018, the Board of Directors authorized Agreement No. C-8-1553 between the Orange County Transportation Authority and the California Highway Patrol in the amount of \$476,376, to fund the cost of officer overtime and a full-time dispatcher position. An amendment to the cooperative agreement in the amount of \$434,887 is requested to add funds that became available through the Road Repair and Accountability Act of 2017 and adjust the maximum obligation in the original agreement; these adjustments were requested after the agreement was approved by the Board of Directors in May 2018.

***Recommendation***

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Agreement No. C-8-1553 between the Orange County Transportation Authority and the California Highway Patrol, in the amount of \$434,887, to add Road Repair and Accountability Act of 2017 funds recently made available to support the Freeway Service Patrol program and to adjust the amount of the maximum obligation in the original agreement.

***Discussion***

The Orange County Service Authority for Freeway Emergencies (SAFE) is one of the agencies included in the consolidation of seven transportation agencies that formed the Orange County Transportation Authority (OCTA) in 1991. The Orange County SAFE oversees the administration and operation of the Freeway Service Patrol (FSP). This includes planning the level of service to be provided, conducting procurements, and managing agreements with tow truck companies



to provide FSP services. The California Department of Transportation (Caltrans) and the California Highway Patrol (CHP) also play roles in the provision of the FSP. As detailed below, Caltrans provides funding to the program and collects data on the performance of FSP services throughout the state. CHP provides training, supervision, and other activities that are more appropriately provided through a law enforcement agency; CHP's mission is to provide the highest level of safety, service, and security on California's highways.

Caltrans' role includes:

- Develop and administer state annual funding for FSP,
- Conduct special studies in support of cost-effective operations,
- Collect statewide performance measurement data.

CHP's role includes:

- Supervise FSP field operations,
- Train FSP personnel,
- Conduct background investigations,
- Perform real-time dispatching for FSP,
- Develop standard operating procedures for FSP.

Caltrans provides funding to CHP through the State Highway Account for FSP supervision and training. These funds support three full-time officers and 20 hours of dispatching provided by a public safety dispatcher located at the Caltrans Traffic Management Center in Irvine, CA. OCTA supplements these services by providing additional funding through Agreement No. 8-1553 for necessary overtime and 20 additional hours of dispatching services.

The Road Repair and Accountability Act of 2017, also known as Senate Bill 1 (SB1), includes additional funding for FSP programs through an allocation method determined by Caltrans to provide inflation relief to the CHP. For the first funding year, Caltrans elected to pass inflation relief funds to CHP through the local agency allocation. Caltrans has allocated \$383,761 in SB1 funds to CHP through the OCTA SB1 funding agreement. Receipt of these funds was included in Cooperative Agreement No. C-8-1871, which was approved by the OCTA Board of Directors on November 12, 2018. Approval is now being requested to pass these funds to the CHP as part of Amendment No. 1 to Agreement No. C-8-1553. Future year SB1 funding for CHP will be handled through a direct agreement between Caltrans and the CHP.

In mid-December 2018, CHP notified OCTA that a calculation error had been discovered in the rates used for Agreement No. C-8-1553. Specifically, CHP had not used a correct overtime hourly rate for officers or a correct regular hourly rate for the public safety dispatcher for the term of the new agreement. CHP indicated they would process an amendment in the amount of \$51,126, to correct the calculation error and submit it to OCTA.

OCTA is now in receipt of Amendment No. 1 to Agreement No. C-8-1553 from CHP, which incorporates both the addition of SB1 funds and an adjustment to address the calculation error, in the total amount of \$434,887, which increases the maximum obligation to \$911,263.

#### **Fiscal Impact**

Funds for the provision of CHP overtime and 20 hours of public safety dispatching are included in OCTA Fiscal Year 2018-19 Budget, Motorist Services Department – SAFE Fund, Account 0013-7629-FN001-AVW, and is funded through M2 Local Transportation Authority.

The SB1 funds to support CHP supervision of the FSP program are included in Cooperative Agreement No. C-8-1871, between OCTA and Caltrans.

#### **Summary**

Based on the information provided, staff recommends Board of Directors approval to authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Agreement No. C-8-1553 between the Orange County Transportation Authority and the California Highway Patrol, in the amount of \$434,887, to add Road Repair and Accountability Act of 2017 funds recently made available to support the Freeway Service Patrol program, and to correct a calculation shortfall in the original agreement.

***Attachments***

- A. California Highway Patrol, Agreement No. C-8-1553 Fact Sheet
- B. Measure M2 Project N Guidelines, Freeway Service Patrol Project
- C. Amendment No. 1 to Agreement No. C-8-1553 Cost Breakdown

**Prepared by:**




Patrick Sampson  
Manager, Motorist Services  
(714) 560-5425


**Approved by:**



Cliff Thorne  
Director, Maintenance and Motorist  
Services  
(714) 560-5975



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



Jennifer L. Bergener  
Chief Operating Officer, Operations  
(714) 560-5462

**California Highway Patrol  
Agreement No. C-8-1553 Fact Sheet**

1. May 25, 2018, Agreement No. C-8-1553, \$476,376, approved by the Board of Directors (Board).
  - Agreement with the California Highway Patrol (CHP) for a public safety dispatcher and officer overtime associated with supervision of the Freeway Service Patrol program.
2. April 8, 2019, Amendment No. 1 to Agreement No. C-8-1553, \$434,887, pending Board approval.
  - Amendment to increase the maximum obligation to address calculation errors in the original agreement and pass through California Department of Transportation Road Repair and Accountability Act of 2017 inflation relief funds.

Total committed to the CHP, Agreement No. C-8-1553: \$911,263.



## **Measure M2 Project N Guidelines**

### ***Freeway Service Patrol Project***

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#### ***Overview***

The Renewed Measure M (M2) Freeway Program includes funding for Freeway Service Patrol (FSP) as Project N. FSP is a traffic congestion management program designed for the rapid removal of motorists' disabled vehicles from traffic lanes and shoulders, as well as timely response to accidents and other incidents that require removal of debris on the freeways. When M2 was presented to the voters, FSP operated during peak commute hours Monday through Friday. Project N provides \$150 million (in 2006 dollars) to assure this basic level of service through 2041 and permits service hours to be extended as demand and congestion levels increase.

#### ***Objectives***

- Maintain basic levels of service through 2041
- Increase service levels throughout the week days and on weekends as demand and congestion levels increase

#### ***Eligible Expenditures***

- Maintain existing service levels. As other revenue sources decline and operating costs increase, Project N funds may be used to maintain the current level of FSP service, including the operation of 34 peak hour service beats, five midday service beats, and two weekend service beats.
- Operate new FSP service beats. Project N funds may be used for contracted towing service; radio and mobile data devices and maintenance supplied by the Orange County Transportation Authority; and supplies associated with the new service. New peak hour, midday, late evening, and weekend service may only be added following a benefit cost analysis resulting in a minimum three to one ratio, meaning that for every dollar invested into FSP service, three dollars of congestion relief is realized.
- Provide FSP service for M2 freeway program of projects. Project N funds may be used, as needed, to pay for the cost of FSP service, on freeway construction projects within the M2 freeway program.
- California Highway Patrol (CHP) supervision. Three CHP officers currently supervise FSP operations, conduct background checks, and train FSP operators. FSP operates from 6:00 a.m. to 10:00 p.m., Monday through Friday, and from 9:00 a.m. to 5:30 p.m., Saturday and Sunday. Project N funds can be used to contract for services of an additional officer and/or pay for overtime to assure that all service hours are appropriately supervised.
- CHP dispatch. Currently, the State of California funds a dispatch position at 20 hours per week for FSP. This level of service is supplemented by dispatchers responsible for 911 calls resulting in FSP being the last priority. Consequently, these delays affect FSP's efficiency. Project N funds can be used to contract for services of an additional dispatcher to assure that FSP calls are prioritized during the hours of heaviest congestion.

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**Amendment No. 1 to Agreement No. C-8-1553  
Cost Breakdown**


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Revised Overtime cost*	\$226,640	
Fulltime Public Safety Dispatcher cost should be	\$300,862	
Total cost should be	<hr/>	\$527,502
Agreement No. C-8-1553 was issued at	<hr/>	\$476,376
<b>Shortfall of overtime cost and fulltime Dispatcher</b>		<b>\$51,126</b>
<b>Shortfall of Inflation Relief will be funded by Road Repair and Accountability Act of 2017 to California Highway Patrol</b>		<b>\$ 383,761</b>
<b>Total Shortfall for Agreement No. C-8-1553</b>	<hr/>	<b><hr/>\$434,887<hr/></b>

\*Original Overtime cost was \$175,514



***April 1, 2019***

**To:** Regional Planning and Highways Committee  
**From:** Darrell E. Johnson, Chief Executive Officer   
**Subject:** Fiscal Year 2019-20 Measure M2 Eligibility Guidelines

### ***Overview***

The Orange County Transportation Authority Ordinance No. 3 specifies requirements that local jurisdictions must satisfy in order to be eligible to receive Measure M2 funds. Measure M2 Eligibility Guidelines are used to assist local jurisdictions in navigating through eligibility requirements and submittal processes. Proposed updates to the Measure M2 Eligibility Guidelines are presented for Board of Directors review and approval.

### ***Recommendations***

- A. Approve the fiscal year 2019-20 Measure M2 Eligibility Guidelines.
- B. Direct staff to return in summer 2019 with more detailed procedures related to finding a local agency ineligible to receive Measure M2 funds.

### ***Background***

The Measure M2 (M2) Eligibility Guidelines (Guidelines) specify requirements and procedures that local jurisdictions need to adhere to in order to establish eligibility to receive M2 funds (for both local fair share and competitive program funds). Staff has completed its annual update of the Guidelines, and proposed changes are being recommended for Board of Directors (Board) consideration and approval.

### ***Discussion***

Proposed changes include updates to required due dates, an update to the Master Plan of Arterial Highways (MPAH) Centerline Mileage Report, inclusion of updated sample ordinances for the MPAH Circulation Element Consistency Requirement, Mitigation Fee Programs, and Pavement Management Plan submittals. Other changes include minor updates to the Guidelines

Checklist (Appendix D), as well as general wording and technical clarifications throughout the document and appendices.

These proposed changes incorporate feedback received during previous eligibility review cycles and are anticipated to streamline eligibility processes both for this cycle and on an ongoing basis. A summary of proposed modifications is provided in Attachment A, and the revised redlined Guidelines are included as Attachment B.

Due to recent issues raised by the Orange County Local Transportation Authority Measure M2 Agreed-Upon Procedures Reports, staff is also recommending that more detailed procedures be developed should a local agency fail to meet specific eligibility requirements. These procedures are expected to return for Board approval in summer 2019.

Upon Board approval of the proposed Guidelines, the fiscal year (FY) 2019-20 eligibility cycle will be initiated. In addition to public outreach and a workshop, staff will coordinate with all local jurisdictions throughout the eligibility process in order to facilitate timely submittal of all required M2 eligibility components for this FY. Upon completion of the FY 2019-20 eligibility cycle, staff will return to the Board to seek approval of eligibility findings and recommendations.

### ***Summary***

Proposed modifications to the Guidelines are recommended in order to support the initiation of the FY 2019-20 eligibility cycle, and better assist local jurisdictions and staff with upcoming eligibility submittal processes. Once eligibility submittal processes have been completed, staff will return to the Board to seek final approval of eligibility findings and recommendations.



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**Attachments**

- A. Revisions to the Measure M2 Eligibility Guidelines
- B. Measure M2 Eligibility Guidelines, Fiscal Year 2019/2020

**Prepared by:**



Joseph Alcock  
Section Manager, Local Programs  
(714) 560-5372

**Approved by:**



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

## **Revisions to the Measure M2 Eligibility Guidelines**

### **Proposed Substantive Changes:**

- **Page 5** – Updating deadlines of eligibility requirements table consistent with eligibility requirements discussed in Chapter 2.
- **Page 9** – Updating Exhibit 1 with the latest centerline mileage that is used to calculate local fair share payments.
- **Page 12** – Clarifying that maintenance of efforts expenditures must be for street and road purposes.
- **Page 16** – Updating deadlines for eligibility requirements on Exhibit 3.
- **Page 17** – Clarifying that funds received through bonding or borrowing against local fair share (LFS) must be used for LFS eligible expenditures.
- **Pages 21 and 22** – Clarifying the annual eligibility review subcommittee and the tax payer oversight committees' role in eligibility.
- **Page 23** – General clarifications on eligibility non-compliance consequences and appeals process.
- **Appendix E** – Including sample resolutions for Master Plan of Arterial Highway circulation element consistency and mitigation fee programs, in addition to the Pavement Management Plan adoption draft resolution.

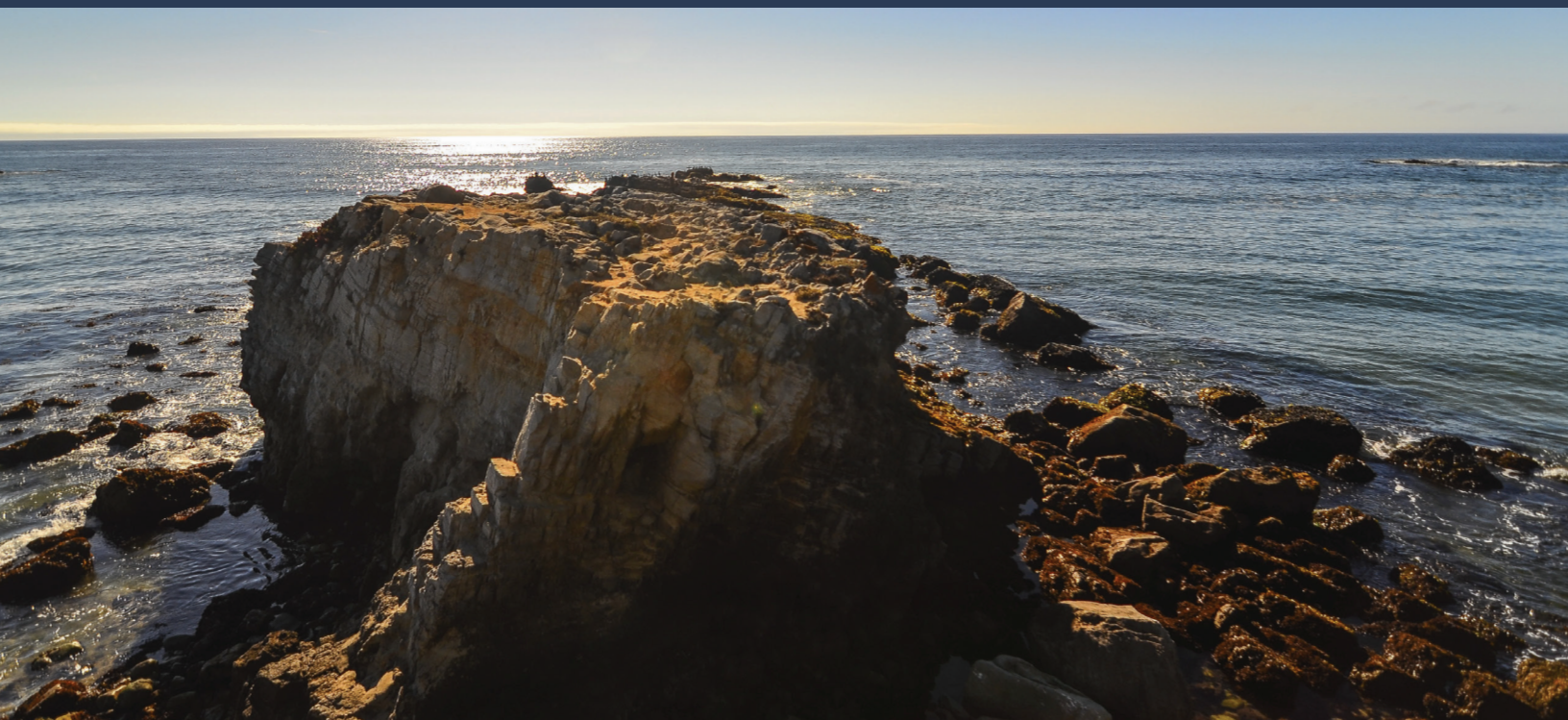


# MEASURE M2 ELIGIBILITY GUIDELINES

FISCAL YEAR 2019 / 2020



ORANGE COUNTY TRANSPORTATION AUTHORITY



## Table of Contents

Chapter 1 – Eligibility Overview .....	1
1.1 Introduction .....	1
1.2 Competitive Funds .....	2
1.3 Local Fair Share (LFS) Funds .....	2
1.4 Eligibility Requirements for Net Revenues .....	3
Chapter 2 – Eligibility Requirements .....	5
2.1 Capital Improvement Program (CIP) .....	6
2.2 Circulation Element/MPAH Consistency .....	7
Exhibit 1: MPAH Centerline Miles .....	9
2.3 Congestion Management Program (CMP) .....	10
2.4 Expenditure Report .....	11
2.5 Local Signal Synchronization Plan (LSSP) .....	11
2.6 Maintenance of Effort (MOE) .....	12
Exhibit 2: MOE Benchmark by Local Jurisdiction .....	13
2.7 Mitigation Fee Program (MFP) .....	14
2.8 No Supplanting of Developer Commitments .....	14
2.9 Pavement Management Plan (PMP) .....	15
Exhibit 3: Submittal Schedule for Periodic Components .....	16
2.10 Project Final Report .....	17
2.11 Time Limit for Use of Net Revenues .....	17
2.12 Traffic Forums .....	18
2.13 Transit/Non-motorized Transportation in General Plan .....	18
Chapter 3 - Eligibility Determination .....	21
3.1 Submittal Review Process .....	21
3.2 Approval Process .....	21
Chapter 4 – Failure to Meet Eligibility Requirements .....	23
4.1 Non-Compliance Consequences .....	23
4.2 Appeals Process .....	23
4.3 Re-establishing MPAH Eligibility .....	23
4.4 For Additional Information .....	24
Appendices: .....	25
Appendix A: Ordinance .....	25
Appendix B: Eligibility for New Cities .....	27
Appendix C: Congestion Management Program Checklist .....	31
Appendix D: Eligibility Checklist .....	39
Appendix E: Sample Resolutions .....	43
Appendix F: PMP Submittal Template .....	48
<a href="#">Appendix G: M2 Expenditure Report Template, Instructions &amp; Resolution .....</a>	<a href="#">69</a>
<a href="#">Appendix H: Arterial Highway Mileage Change Report .....</a>	<a href="#">83</a>
Appendix I: Maintenance of Effort Reporting Form .....	87
<a href="#">Appendix J: Acronyms .....</a>	<a href="#">91</a>

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# **Chapter 1 – Eligibility Overview**

## **1.1 Introduction**

On November 6, 1990, the voters in Orange County approved a ½-cent sales tax for transportation improvements known as Measure M. On November 7, 2006, voters approved a renewal of the original sales tax measure (M2) to continue the ½-cent sales tax for thirty years, beginning in 2011. Major improvement plans target Orange County freeways, streets and roads, transit and environmental programs.

The Ordinance, included as Appendix A, outlines the eligibility requirements that local jurisdictions must satisfy annually in order to receive M2 Net Revenues. The M2 Eligibility Guidelines (Eligibility Guidelines) provide the resources local jurisdictions need to remain eligible to participate in M2 funding programs. Guidelines for newly incorporated cities are outlined in Appendix B.

Net Revenues are generated from the transactions and use tax plus any interest or other earnings, after allowable deductions. Net Revenues may be allocated to local jurisdictions for a variety of programs and the Orange County Transportation Authority (OCTA) shall allocate the Net Revenues to freeways, environmental, transit, and streets and roads projects.

### Freeway Projects

Orange County freeways will receive forty-three percent (43%) of Net Revenues. Relieving congestion on State Route 91 is the centerpiece of the freeway program. Other major projects include improving Interstate 5 (I-5) in south Orange County, Interstate 405 (I-405) in west Orange County and State Route 57 in North Orange County. Under the plan, major traffic chokepoints on almost every freeway will be improved.

### Environmental Programs

To address any environmental impact of freeway improvements, five percent (5%) of the allocated freeway funds will be used for environmental mitigation programs. A Master Agreement between OCTA and state and federal resource jurisdictions will provide higher-value environmental benefits such as habitat protection, wildlife corridors and resource preservation in exchange for streamlined project approvals for the freeway program as a whole. Funds are also available under the Environmental Cleanup Program (ECP) to implement water quality improvement projects.

### Transit Projects

Orange County's rail and bus service will receive twenty-five percent (25%) of Net Revenues. These funds will be used to add transit extensions to the Metrolink corridor, reduce bus fares for senior citizens and persons with disabilities, and establish local bus circulators.

### Streets and Roads Projects

Orange County has more than 7,300 lane miles of streets and roads; many in need of repair and rehabilitation. This sales tax measure will allocate thirty-two percent (32%) of Net Revenues to streets and roads. These funds will help fix potholes, improve intersections, synchronize traffic signals countywide, and make the existing network of streets and roads safer and more efficient.

The allocation of thirty-two percent (32%) of the Net Revenues for Streets and Roads Projects shall be made as follows:

1. Ten percent (10%) of the Net Revenues shall be allocated to Project O, Regional Capacity Program (RCP).
2. Four percent (4%) of the Net Revenues shall be allocated to Project P, Regional Traffic Signal Synchronization Program (RTSSP).
3. Eighteen percent (18%) of the Net Revenues shall be allocated to Project Q, Local Fair Share (LFS) Program.

## **1.2 Competitive Funds**

OCTA shall select projects through a competitive process for the RCP, RTSSP, various transit programs (Projects S, T, V, and W), and the ECP (Project X). The criteria for selecting these projects are included in the Comprehensive Transportation Funding Programs (CTFP) Guidelines. The process for calculating and distributing LFS funds are described in Section 1.3.

## **1.3 Local Fair Share (LFS) Funds**

The LFS Program is a formula-based allocation provided to eligible jurisdictions for use on allowable transportation planning and implementation activities. It is funded through an eighteen percent (18%) allocation from Net Revenues and is distributed to eligible jurisdictions on a formula basis as determined by the following:

- Fifty percent (50%) is divided between eligible jurisdictions based upon the ratio of the jurisdiction's population to the County's total population, each from the previous calendar year.
- Twenty-five percent (25%) is divided between eligible jurisdictions based upon the ratio of the jurisdiction's existing Master Plan of Arterial Highways (MPAH) centerline miles to the total MPAH centerline miles within the County as determined annually by OCTA.
- Twenty-five percent (25%) is divided between eligible jurisdictions based upon the ratio of the jurisdiction's total taxable sales to the total taxable sales for the County, each from the previous calendar year.
- OCTA contracts with three universities (Chapman University; University of California, Los Angeles; and California State University, Fullerton) to provide a long-range forecast of taxable sales to forecast M2 revenues for the purposes of planning projects and program expenditures. In the past, OCTA has taken an average of the three university taxable sales projections to develop a long-range forecast of taxable sales. On March 28, 2016, as part of the FY 2016-17 budget development process, the Board approved a new sales tax forecast methodology. The new methodology includes a more conservative approach by utilizing a five-year forecast from MuniServices, Inc. The resulting revenue estimates are used for programming of competitive funds and as a guide for local jurisdiction planning within their respective Capital Improvement Programs (CIPs).

## **1.4 Eligibility Requirements for Net Revenues**

Every year, OCTA determines if a local jurisdiction is eligible to receive M2 Net Revenues. A local jurisdiction must satisfy certain requirements as outlined in the Ordinance. Specifically, a jurisdiction must:

- Comply with the conditions and requirements of the Orange County Congestion Management Program (CMP)
- Establish a policy which requires new development to pay its fair share of transportation-related improvements associated with their new development
- Adopt a General Plan Circulation Element consistent with the MPAH
- Adopt and update a Capital Improvement Program (CIP)
- Participate in Traffic Forums
- Adopt and maintain a Local Signal Synchronization Plan (LSSP)
- Adopt and update biennially a Pavement Management Plan (PMP)
- Adopt and provide an annual Expenditure Report to OCTA
- Provide OCTA with a Project Final Report within six months following completion of a project funded with Net Revenues
- Agree to expend Net Revenues received through M2 within three years of receipt
- Satisfy Maintenance of Effort (MOE) requirements
- Agree that Net Revenues shall not be used to supplant developer funding
- Consider, as part of the eligible jurisdiction's General Plan, land use and planning strategies that accommodate transit and non-motorized transportation



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## Chapter 2 – Eligibility Requirements

The annual eligibility process relies upon a variety of reporting methods to verify local jurisdiction compliance. Most methods leverage tools routinely used in the public planning process while others require certification forms or specialized reports. Templates, forms, and report formats are included as appendices to these guidelines and are available in electronic format. The table below summarizes certification frequency and documentation requirements.

Compliance Category	Schedule	Documentation
Capital Improvement Program (CIP)	<b>Annual</b> Next submittal is due <b>June 28, 2019.</b>	<ul style="list-style-type: none"> <li>Electronic, hard copy</li> <li>City Council/Board of Supervisors approval</li> </ul>
Circulation Element/MPAH Consistency	<b>Biennial</b> Next submittal is due <b>June 28, 2019.</b>	<ul style="list-style-type: none"> <li>Resolution (<a href="#">Appendix E</a>)</li> <li>Circulation Element Exhibit</li> <li>Arterial Highway Mileage Change Report (Appendix H)</li> <li>Certify that the Circulation Element is consistent with MPAH in the Eligibility Checklist (Appendix D)</li> </ul>
Congestion Management Program (CMP)	<b>Odd numbered years</b> Next submittal is due <b>June 28, 2019.</b>	<ul style="list-style-type: none"> <li>Eligibility Checklist item in Appendix D</li> <li>Include projects to address deficient intersections in CIP (if applicable)</li> <li>CMP Checklist (Appendix C)</li> </ul>
Expenditure Report	<b>Annual</b> – six months after end of fiscal year Next submittal is due <b>December 31, 2019.</b>	<ul style="list-style-type: none"> <li>Expenditure Report and resolution (Appendix G)</li> </ul>
Local Signal Synchronization Plan (LSSP)	<b>Every three years</b> Next submittal is due June 30, 2020	<ul style="list-style-type: none"> <li>Copy of plan</li> <li>Resolution</li> </ul>
Maintenance of Effort (MOE)	<b>Annual</b> Next submittal is due <b>June 28, 2019.</b>	<ul style="list-style-type: none"> <li>MOE Certification form (Appendix I) signed by Finance Director or equivalent designee that meets/exceeds MOE Benchmark in Exhibit 2</li> <li>Budget excerpts and fund key</li> </ul>
Mitigation Fee Program (MFP)	<b>Biennial</b> Next submittal is due <b>June 28, 2019.</b> <sup>1</sup>	<ul style="list-style-type: none"> <li>Eligibility Checklist item in Appendix D</li> <li>Copy of nexus study, revised impact fee schedule, or process methodology</li> <li>Resolution (<a href="#">Appendix E</a>)</li> </ul>
No Supplanting Existing Commitments	<b>Annual</b> Next submittal is due <b>June 28, 2019.</b>	<ul style="list-style-type: none"> <li>Eligibility Checklist item in Appendix D</li> </ul>
Pavement Management Plan (PMP)	<b>Every two years</b> Next submittal for odd year agencies is due <b>June 28, 2019.</b> Refer to Exhibit 3 to determine the required PMP submittal schedule.	<ul style="list-style-type: none"> <li>PMP Submittal Template (Appendix F) with PMP Certification form signed by Public Works Director or City Engineer</li> <li>CD with pavement report, and street listings</li> <li>Adoption - Resolution (Appendix E) or City Council/Board of Supervisors approved adoption recommendation</li> </ul>
Project Final Report	<b>Within 6 months of project completion</b>	<ul style="list-style-type: none"> <li>Final Report</li> </ul>
Timely Expenditure of Funds	<b>Annual</b> Next submittal is due <b>June 28, 2019.</b>	<ul style="list-style-type: none"> <li>Eligibility Checklist item in Appendix D</li> </ul>
Traffic Forums	<b>Annual</b> Next submittal is due <b>June 28, 2019.</b>	<ul style="list-style-type: none"> <li>Eligibility Checklist item in Appendix D</li> </ul>
Transit/Non-motorized Transportation in General Plan	<b>Annual</b> Next submittal is due <b>June 28, 2019.</b>	<ul style="list-style-type: none"> <li>Eligibility Checklist item in Appendix D</li> <li>Letter outlining land use planning strategies that accommodate transit and active transportation</li> <li>Excerpts of policies from the land use section of the General Plan</li> </ul>

<sup>1</sup> Jurisdictions must submit their updated program and revised fee schedule or process methodology when the jurisdiction updates their mitigation program and/or nexus study regardless of eligibility submittal schedule.

## 2.1 Capital Improvement Program (CIP)

A CIP is a multi-year funding plan to implement capital transportation projects and/or programs including, but not limited to, capacity, safety, operations, maintenance, and rehabilitation projects. For purposes of eligibility, the Ordinance specifies that each jurisdiction must prepare a CIP. The annual seven-year CIP updates are required to enable timely review of eligible use of funds. The CIP shall include all capital transportation projects, such as projects funded by Net Revenues (i.e. ECP, RTSSP, RCP, [other M2 Competitive Programs](#), and LFS projects) and transportation projects required to demonstrate compliance with signal synchronization, pavement management, and CMP requirements (See section 2.3 for the CIP's relevance to the CMP).

Projects funded by M2 Net Revenues include:

Project Description	Project
Freeway Environmental Mitigation	A-M
Regional Capacity Program (RCP)	O
Regional Traffic Signal Synchronization Program (RTSSP)	P
Local Fair Share Program (LFS)	Q
High Frequency Metrolink Service	R
Transit Extensions to Metrolink	S
Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems	T
Community Based Transit/Circulators	V
Safe Transit Stops	W
Environmental Cleanup Program (ECP) – Water Quality	X

Each eligible jurisdiction must include projects in their CIP that are needed to meet and maintain the adopted Traffic Level of Service and Performance Standards. The CIP shall also include all projects proposed to receive M2 funding. Local jurisdictions are encouraged, but not required, to include all transportation related projects regardless of M2 funding participation.

If M2 funding needed for a project is not reflected on the current CIP, an amended CIP should be adopted with contract award prior to expending funds. The revised CIP should be submitted to OCTA in hard copy format with evidence of council approval.

**Submittal Frequency:** Minimum annual or as needed to add M2 projects that are not reflected on the current CIP. Next submittal is due by **June 28, 2019**.

**City Council/Board of Supervisors approval:** Required

**Verification Method:** Each jurisdiction must submit an electronic (online) and hard copy of its CIP with evidence of City Council/Board of Supervisors approval. The OCTA provides a web-based database called the Web Smart CIP used countywide for reporting approved CIP information. A separate CIP User's Manual has been developed to assist local jurisdictions with the preparation of the seven-year CIP.

The CIP User's Manual is available for download at <https://www.octa.net/M2Eligibility>.

## 2.2 Circulation Element/MPAH Consistency

A Circulation Element is one component of a jurisdiction's General Plan that depicts a planned multimodal network and related policies. Each jurisdiction is required to adopt and maintain a Circulation Element that is consistent with the OCTA MPAH, which defines the minimum planned lane configurations for major regionally significant roads in Orange County.

### MPAH Consistency

Through a cooperative process, OCTA, the City Engineers Association, the City Managers Association, and the County of Orange developed criteria for determining consistency with the MPAH. Criteria and policies for determining MPAH Consistency are included in a separate manual titled "Guidance for Administration of the Orange County Master Plan of Arterial Highways" and are summarized below:

- The local jurisdiction's Circulation Element is to have the minimum planned carrying capacity equivalent to the MPAH for all MPAH links within its jurisdiction. "Planned carrying capacity" is the number of through lanes on each arterial highway as shown on the local Circulation Element.
- Local jurisdictions will not be found inconsistent with the MPAH due to existing capacity limitations on arterials not yet constructed to the ultimate capacity shown on the MPAH.
- Every two years, each local jurisdiction must submit a resolution adopted by the governing body attesting that no unilateral reduction in lanes has been made on any MPAH arterial.
- The local jurisdiction will be ineligible to participate in M2 programs if a roadway on the MPAH has been unilaterally removed from or downgraded on their Circulation Element and/or does not meet the planned capacity criteria. Eligibility may be reinstated upon completion of a cooperative study that resolves the inconsistency. Additionally, the local jurisdiction can re-establish eligibility upon restoring its Circulation Element to its previous state of MPAH consistency.
- The local jurisdiction must adopt a General Plan Circulation Element that does not preclude implementation of the MPAH.
- A local jurisdiction is inconsistent with the MPAH as of the date the governing body takes unilateral action reducing the number of existing and/or planned through lanes on an MPAH arterial built to its ultimate configuration to less than the ultimate capacity shown on the MPAH. "Unilateral action" means physical action such as striping, signing, or other physical restrictions executed by the local jurisdiction.
- A local jurisdiction may be permitted to reduce existing through lanes, if prior to acting, it can demonstrate to the OCTA that such action is temporary and can be justified for operational reasons. The local jurisdiction must enter into a binding agreement to restore capacity upon demand by OCTA, in which case OCTA may recommend that the local jurisdiction remain eligible on a conditional basis. If it is found to be ineligible, it may regain eligibility upon physical restoration of the arterial to the original state that is consistent with the MPAH.
- Traffic calming measures shall be administered on MPAH facilities per the latest version of the Guidance for the Administration of the Orange County MPAH.
- If a local jurisdiction requests a change to the MPAH and enters into a cooperative study to analyze the request, it may be considered conditionally consistent. No change shall be made

to its Circulation Element until after the cooperative study is completed and agreement is reached on the proposed amendment.

Submittal Frequency: Odd year requirement. Next submittal is due by **June 28, 2019**.

City Council/Board of Supervisors approval: Required [\(Appendix E\)](#)

Verification Method: Each jurisdiction must provide the following every odd year:

- Document within the Eligibility Checklist (Appendix D) that confirms the Circulation Element is consistent with the MPAH.
- A copy of the most current Circulation Element Exhibit biennially showing all arterial highways and their individual arterial designations. Any proposed changes and/or requests for changes to the MPAH should also be included.
- Resolution adopted by the governing body of the local jurisdiction.
- The Arterial Highway Mileage Change Report (Appendix H). Changes are in actual (built or annexed) MPAH centerline miles since the previous MPAH Consistency Review are to be reported to the nearest 0.01 mile, excluding State highways. Data should be current as of April 30 of the reporting year. Exhibit 1 lists the current MPAH centerline miles by jurisdiction that is used to calculate Local Fair Share.

OCTA shall review the materials submitted, and determine whether the local jurisdiction Circulation Elements are consistent with the MPAH, meaning there is a minimum planned carrying capacity equivalent to the MPAH for all MPAH links within the local agency's jurisdiction.

## Exhibit 1: MPAH Centerline Miles

As of August 1, 2018

Local Jurisdiction	Centerline Mileage
Aliso Viejo	14.85
Anaheim	148.69
Brea	20.57
Buena Park	34.44
Costa Mesa	49.33
County of Orange	59.36
Cypress	24.93
Dana Point	20.16
Fountain Valley	35.28
Fullerton	62.18
Garden Grove	63.59
Huntington Beach	93.05
Irvine	134.82
La Habra	17.13
La Palma	7.23
Laguna Beach <sup>2</sup>	14.01
Laguna Hills	20.73
Laguna Niguel	35.94
Laguna Woods	5.77
Lake Forest	37.47
Los Alamitos	6.44
Mission Viejo	43.77
Newport Beach	48.92
Orange	85.24
Placentia	25.01
Rancho Santa Margarita	18.20
San Clemente	25.57
San Juan Capistrano	18.55
Santa Ana	100.21
Seal Beach	12.24
Stanton	9.48
Tustin	41.28
Villa Park	3.49
Westminster	35.75
Yorba Linda	32.67
	<b>1,406.35</b>

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<sup>2</sup> Laguna Beach credited with State Highway mileage by agreement of the TAC.

## 2.3 Congestion Management Program (CMP)

With the passage of Proposition 111 Gas Tax increase in June 1990, urbanized areas of California were required to adopt a CMP. OCTA was designated as the County's Congestion Management Agency (CMA), and as such, is responsible for the development, monitoring, and biennial updating of Orange County's CMP. Orange County's CMP is a countywide program established in 1992 to support regional mobility and air quality objectives through the effective use of transportation funds, coordinated land use, and development planning practices. Required elements of the County's CMP include traffic level of service (LOS) standards, performance measures, travel demand assessment methods and strategies, land use analysis programs, and Capital Improvement Programs.

The goals of Orange County's CMP are to support regional mobility and air quality objectives by reducing traffic congestion, providing a mechanism for coordinating land use and development decisions that support the regional economy, and determining gas tax eligibility. Each jurisdiction must comply with the following conditions and requirements of the Orange County CMP pursuant to the provisions of Government Code Section 65089 to be considered eligible for both gas tax revenues and M2 funding:

- Level of Service – Highways and roadways designated by OCTA must operate at an established LOS of no less than LOS "E" (unless the LOS from the baseline CMP dataset was lower).
- Deficiency Plans – Any CMP intersections that do not comply with the LOS standards must have a deficiency plan prepared by the responsible local jurisdiction that identifies the cause and necessary improvements for meeting LOS standards (certain exceptions apply).
- Land Use Analysis – Jurisdictions must analyze the impacts of land use decisions on the transportation system, using a designated methodology, consistent with the CMP Traffic Impact Analysis guidelines. The analysis must also include estimated cost to mitigate associated impacts.
- Modeling and Data Consistency – A jurisdiction utilizing a local area model for traffic impact analysis must conform to the Orange County Sub-Area Modeling guidelines, prepared by OCTA.
- CIP – Jurisdictions must submit an adopted seven-year CIP that includes projects to maintain or improve the LOS on CMP facilities or adjacent facilities.

Submittal Frequency: Odd years – Next submittal is due by **June 28, 2019**.

City Council/Board of Supervisors approval: Not Required

Verification Method: The CMP checklist, as shown in Appendix C, must be submitted to demonstrate compliance with CMP requirements. If a deficient intersection is identified, the jurisdiction must include a project in their CIP to address the issue or develop a deficiency plan. OCTA will use the M2 CIP prepared by each local jurisdiction as the default CMP CIP rather than require a separate submittal. Projects intended to address CMP deficiencies should be clearly identified in the project description within the CIP. Appendix C is available for download at <https://www.octa.net/M2Eligibility>.

## 2.4 Expenditure Report

The expenditure report is a detailed financial report that tracks financial activity for M2 and other improvement revenue sources. Each jurisdiction must adopt an annual Expenditure Report to account for M2 funds, developer/traffic impact fees, and funds expended by the jurisdiction that satisfy the MOE requirements. This report is used to validate eligible uses of funds and to report actual MOE expenditures.

- Report required within six months of jurisdiction's end of fiscal year.
- Report to include all Net Revenue, fund balances, and interest earned. If interest earnings are negative, an explanation should be included to explain why.
- Reported expenditures shall be identified by activity type (i.e. construction, maintenance/operations, indirect and/or overhead) and funding source for each M2 program and/or project.

**Submittal Frequency:** Annual – within 6 months of the end of the fiscal year. The deadline is December 31 for jurisdictions following a state fiscal year (July-June).

**City Council/Board of Supervisors approval:** Required ([Appendix G](#))

**Verification Method:** The expenditure report signed by the jurisdiction's Finance Director and City council/Board of Supervisors resolution attesting to the adoption is required. The expenditure report template, instructions, and resolution are provided in Appendix G. Appendix G is available for download at <https://www.octa.net/M2Eligibility>.

## 2.5 Local Signal Synchronization Plan (LSSP)

The LSSP<sup>3</sup> is a three-year plan identifying traffic signal synchronization, street routes and traffic signals to be improved in eligible jurisdictions. The LSSP shall be consistent with the Regional Traffic Signal Synchronization Master Plan (RTSSMP). The LSSP will outline the costs associated with the identified improvements, funding and phasing of capital, and the operations and maintenance of the street routes and traffic signals. Inter-jurisdictional planning of traffic signal synchronization is also a component of the LSSP. Local jurisdictions must update LSSPs every three years and include a performance assessment which compares the information in the current report to prior cycle activities.

**Submittal Frequency:** Every 3 years - Next LSSP update submittal is due by June 30, 2020.

**City Council/Board of Supervisors approval:** Required

**Verification Method:** Local jurisdictions must ensure that their LSSP is in conformance with the RTSSMP. LSSPs must be updated and adopted every three years starting June 30, 2014. At a minimum, a Public Works Director must sign the LSSP Consistency Review Checklist. A separate document prepared by OCTA, "Guidelines for the Preparation of Local Signal Synchronization Plans," provides additional detail for agency submittal and is available for download at <https://www.octa.net/M2Eligibility>.

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<sup>3</sup> A local match reduction of ten percent (10%) is provided for competitive grant applications submitted through the Regional Capacity Program (Project O) if the local jurisdiction has adopted a LSSP consistent with the RTSSMP.



## 2.6 Maintenance of Effort (MOE)

The MOE Certification is a financial reporting document, which provides annual certification of planned/budgeted maintenance, construction and indirect/other transportation related expenditures and the comparison to the annual MOE Benchmark Requirements for the fiscal year. Each jurisdiction must provide annual certification to OCTA that the MOE requirements of Section 6 of the Ordinance have been satisfied. MOE applies to transportation-related discretionary expenditures using General Funds or other non-transportation discretionary funds by local agencies for street and road expenditures.

### MOE Certification Process

M2 funds may be used to supplement, not replace, existing local revenues being used for transportation improvements and programs. A local jurisdiction cannot redirect discretionary funding such as general fund currently being used for transportation purposes to other uses and replace the redirected funds with M2 revenues.

Each jurisdiction is required to maintain a minimum level of local streets and roads expenditures to conform to the MOE requirement. The original minimum level of expenditures was based upon an average of General Fund expenditures for local street maintenance and construction over the period from Fiscal Year 1985-86 through Fiscal Year 1989-90. The expenditure information was obtained from the Orange County Transportation Commission's (OCTC's) Annual Report data collection sheets. The established benchmark was reported in constant dollars and was not adjusted for inflation. Annexation of land into an existing jurisdiction does not affect the MOE.

Per the Ordinance, the MOE benchmark must be adjusted in 2014 and every three years thereafter based upon Caltrans' Construction Cost Index (CCI) for the preceding three-years. The CCI-based adjustment cannot exceed growth rate in General Fund revenues during the update period. The current MOE benchmark is reflected in Exhibit 2. The next MOE benchmark adjustment will be effective July 1, 2020.

Submittal Frequency: Annual - Next MOE submittal is due **June 28, 2019**.

City Council/Board of Supervisors approval: Not Required

Verification Method: An MOE reporting form must be completed, signed by the jurisdiction's finance director and submitted on an annual basis. The form is included in the Eligibility Guidelines as Appendix I and is available for download at <https://www.octa.net/M2Eligibility>.

In addition, excerpts from the jurisdiction's annual budget showing referenced MOE expenditures and dedication of General Funds should be included in the annual submittal to substantiate planned relevant discretionary fund (General Funds) expenditures. MOE expenditures should be budgeted carefully, with clear focus upon benefits to local streets and roads, which can withstand periodic expenditure audit processes.

Any California State Constitution Article XIX street and road eligible expenditure may be "counted" in a local jurisdiction's annual calculation of MOE if the activity is supported (funded) by a local jurisdiction's General Fund. This is the same definition used for Gas Tax expenditures. The California State Controller also provides useful information on Article XIX and Streets and Highways Code eligible expenditures. These guidelines do not replace statutory or legal authority, but explain the general information found in California Constitution Article XIX and the Streets and Highways Code. Additional expenditures for which the jurisdiction can demonstrate that the funds were spent in support of streets and roads may also be eligible.

## Exhibit 2: MOE Benchmark by Local Jurisdiction

Local Jurisdiction	MOE Benchmark
Aliso Viejo	\$ 462,004
Anaheim	\$ 10,058,292
Brea	\$ 719,028
Buena Park	\$ 3,743,072
Costa Mesa	\$ 7,383,205
Cypress	\$ 3,117,765
Dana Point	\$ 1,313,011
Fountain Valley	\$ 1,342,115
Fullerton	\$ 3,785,870
Garden Grove	\$ 3,378,344
Huntington Beach	\$ 5,607,203
Irvine	\$ 7,050,145
La Habra	\$ 1,529,313
La Palma	\$ 173,004
Laguna Beach	\$ 1,549,454
Laguna Hills	\$ 310,467
Laguna Niguel	\$ 908,566
Laguna Woods	\$ 89,705
Lake Forest	\$ 194,440
Los Alamitos	\$ 162,506
Mission Viejo	\$ 2,538,900
Newport Beach	\$ 10,871,763
Orange	\$ 2,917,858
Placentia	\$ 660,496
Rancho Santa Margarita	\$ 390,747
San Clemente	\$ 1,135,209
San Juan Capistrano	\$ 422,472
Santa Ana	\$ 7,755,107
Seal Beach	\$ 551,208
Stanton	\$ 245,213
Tustin	\$ 1,455,691
Villa Park	\$ 321,697
Westminster	\$ 1,548,761
Yorba Linda	\$ 2,279,688
Annual Total Orange County	\$ 85,972,319

## 2.7 Mitigation Fee Program (MFP)

The MFP is a locally established fee program, which assesses fees used to mitigate effects of new development on transportation infrastructure. Appropriate mitigation measures, including payment of fees, construction of improvements, or any combination thereof, will be determined through an established and documented process by each jurisdiction.

Each eligible jurisdiction must assess traffic impacts of new development and require new development to pay a fair share of necessary transportation improvements attributable to the new development. To insure eligibility, each jurisdiction must have a clearly defined mitigation program.

Submittal Frequency: Odd years - Next MFP submittal is due by **June 28, 2019**.<sup>4</sup>

City Council/Board of Supervisors approval: Required ([Appendix E](#))

Verification Method: The eligibility submittal should include a copy of the nexus study improvement list, a current fee schedule or the process methodology, and the City Council/Board of Supervisors resolution approving the MFP. Where mitigation measures, including fair share contributions and construction of direct impact improvements are used in lieu of an AB1600 compliant Nexus Study fee program, each jurisdiction shall provide a council resolution adopting the mitigation policy.

At such time that a jurisdiction updates their mitigation program and/or nexus study, they must submit their updated program and revised fee schedule or process methodology for the following review cycle. In addition, a MFP resolution must be submitted biennially to reaffirm that council concurs with the existing MFP. It is the local jurisdiction's responsibility to ensure fee programs and mitigation measures are updated periodically and meet the infrastructure needs of their community.

## 2.8 No Supplanting of Developer Commitments

Eligible jurisdictions must ensure that M2 funding will not be used to supplant existing or future development funding commitments for transportation projects. Development must be required to continue paying their fair share for new transportation improvements that are necessary because of the new traffic their project(s) create.

- Development must continue to pay their fair share for needed infrastructure improvements and transportation projects
- Net revenues must not supplant development funding or contributions which have been previously committed to transportation projects through payment of fees in a defined program, fair share contribution, Community Facilities District (CFD) financing, or other dedicated contribution to a specific transportation improvement

Submittal Frequency: Annual - Next submittal is due by **June 28, 2019**.

City Council/Board of Supervisors approval: Not Required

Verification Method: Each jurisdiction must document within the Eligibility Checklist (Appendix D) that there has been no supplanting of developer commitments for transportation projects as outlined in the Ordinance. Appendix D is available for download at <https://www.octa.net/M2Eligibility>.

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<sup>4</sup> Jurisdictions must submit their updated program and revised fee schedule or process methodology when the jurisdiction updates their mitigation program and/or nexus study on an even year. Annual cost adjustments should be reported but do not constitute an "update" on the Eligibility Checklist (Appendix D).

## 2.9 Pavement Management Plan (PMP)

A PMP<sup>5</sup> is a plan to manage the preservation, rehabilitation, and maintenance of paved roads by analyzing pavement life cycles, assessing overall system performance costs, and determining alternative strategies and costs necessary to improve paved roads. MicroPaver or StreetSaver will be used for countywide consistency. The software must be consistent with ASTM Standard D6433-11.

Each jurisdiction must biennially adopt and update a PMP consistent with the specific requirements outlined in the Ordinance, and issue, using a common format (Appendix F) approved by OCTA, a report regarding the status of road pavement conditions and implementation of the PMP including, but not limited to, the following elements:

- The current status of pavement roads
- A seven-year plan for road maintenance and rehabilitation, including projects, funding, and unfunded backlog of pavement needs
- Projected pavement conditions resulting from improvements
- Alternative strategies and estimated costs to improve road pavement conditions

The Countywide PMP Guidelines have been prepared by OCTA to assist local jurisdictions with the PMP submittal. Local jurisdictions should refer to the guidelines for additional PMP submittal criteria. The Countywide PMP Guidelines can be downloaded from OCTA's Eligibility webpage: <https://www.octa.net/M2Eligibility>.

**Submittal Frequency:** Biennial – 14 local jurisdictions submit PMP updates in odd years (i.e. **June 28, 2019**) and 21 local jurisdictions submit PMP updates in even years (i.e. **June 30, 2020**). Refer to Exhibit 3 to determine the local jurisdiction's required PMP submittal schedule.

**City Council/Board of Supervisors approval:** Required ([Appendix E](#))

**Verification Method:** To establish eligibility, each jurisdiction must complete and submit the adopted PMP Submittal Template (Appendix F). The adoption must be approved by the City Council/Board of Supervisors as a staff report recommendation or through a resolution. A sample resolution is provided in Appendix E. The PMP certification form included in the template must be signed by the Public Works Director or City Engineer. These appendices are available for download at <https://www.octa.net/M2Eligibility>.

The Executive Summary should include a brief overview of their PMP highlighting issues that have developed between review cycles and provide additional information regarding the projects funded through the program. At a minimum, the Executive Summary should include Pavement Condition Index (PCI) reports, Projected PCI, and Alternative Funding Levels.

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<sup>5</sup> RCP includes an incentive for successful PMP implementation. A local match reduction of ten percent (10%) is provided for competitive grant applications submitted through the Regional Capacity Program (Project O) if the jurisdiction either has measurable improvement of paved road conditions during the previous reporting period as determined through the countywide pavement management rating standards, or has road pavement conditions during the previous reporting period which are within the highest twenty percent (20%) of the scale for road pavement conditions in conformance with the Ordinance, defined as a PCI of 75 or higher, otherwise defined as in "good condition".

### Exhibit 3: Submittal Schedule for Periodic Components

Local Jurisdiction	Updated PMP	CMP	MPAH Consistency	MFP <sup>6</sup>	Project Final Reports	LSSP
Aliso Viejo	Even Year	Odd Years (Next submittal is due by June 28, 2019)	Odd Years (Next submittal is due by June 28, 2019)	Odd Years (Next submittal is due by June 28, 2019)	Within 6 months of project completion	Every 3 years (Next submittal is due June 30, 2020)
Anaheim	Odd Year					
Brea	Odd Year					
Buena Park	Even Year					
Costa Mesa	Even Year					
County of Orange	Odd Year					
Cypress	Odd Year					
Dana Point	Odd Year					
Fountain Valley	Even Year					
Fullerton	Even Year					
Garden Grove	Even Year					
Huntington Beach	Even Year					
Irvine	Odd Year					
Laguna Beach	Even Year					
Laguna Hills	Even Year					
Laguna Niguel	Even Year					
Laguna Woods	Even Year					
Lake Forest	Odd Year					
La Habra	Odd Year					
La Palma	Even Year					
Los Alamitos	Odd Year					
Mission Viejo	Even Year					
Newport Beach	Odd Year					
Orange	Even Year					
Placentia	Even Year					
Rancho Santa Margarita	Even Year					
San Clemente	Odd Year					
San Juan Capistrano	Odd Year					
Santa Ana	Even Year					
Seal Beach	Even Year					
Stanton	Odd Year					
Tustin	Odd Year					
Villa Park	Even Year					
Westminster	Even Year					
Yorba Linda	Even Year					

<sup>6</sup> Jurisdictions must submit their updated program and revised fee schedule or process methodology when the jurisdiction updates their mitigation program and/or nexus study regardless of allocated submittal schedule.

## 2.10 Project Final Report

Each jurisdiction must provide OCTA a Project Final Report within six months following completion of a project funded with Net Revenues. Final report formats follow the template used by the CTFP. The CTFP Guidelines define the term “project phase completion” as the date all final third-party contractor invoices have been paid and any pending litigation has been adjudicated either for the engineering phase or for the right-of-way phase, and all liens/claims have been settled for the construction phase. The date of project phase completion will begin the 180-day requirement for the submission of a project final report as required by the Ordinance.

City Council/Board of Supervisors approval: Not Required

Verification Method: To establish eligibility, a jurisdiction must submit a copy of the CTFP Project Final Report for each project utilizing Net Revenues. Each Final Report must be individually submitted to OCTA within six months of the completion of a project funded by Net Revenues, regardless of the eligibility review cycle. For the purposes of reporting non-project work (indirect and/or overhead, maintenance, repair, and other non-project related costs) funded by LFS funds, the annual Expenditure Report shall satisfy reporting requirements. If LFS funds are used for capital projects, the local jurisdiction shall also include a list of those funds and/or other M2 funds in the Project Final Report.

## 2.11 Time Limit for Use of Net Revenues

The timely expenditure of funds is a policy which must be adopted by each local jurisdiction to ensure Net Revenues are expended and accounted for within 3 years. The local jurisdiction must certify that the receipt and use of all M2 funds received will adhere to the time limits for use as outlined in the Ordinance.

### Competitive Programs

- Jurisdictions must agree that Net Revenues for RCP projects and/or RTSSP projects shall be expended or encumbered by the end of the fiscal year for which Net Revenues are programmed. Refer to the CTFP Guidelines for additional information regarding expenditure deadlines and extension requests.

### Local Fair Share (LFS)

- Net Revenues received by local jurisdictions through the LFS program shall be expended or encumbered within three years. An extension may be granted but is limited to a total of five years from the date of receipt of funds. OCTA uses the check date as the date of receipt of funds. Requests for extension must be submitted as part of the semi-annual review process prior to the end of the third year from the date of receipt of funds. Requests for extension must include a plan of expenditure.
- Expired funds including interest earned and related revenues must be returned to OCTA. These funds shall be returned for redistribution within the same source program.
- Use of LFS revenues for bonding (including debt service) shall be limited to 25% of the jurisdiction’s annual LFS revenues. Bonding or loan must clearly support work that is otherwise eligible for LFS funds. The Board may consider an exception to the percentage limitation policy on a case-by-case basis.

## Interest Derived from Net Revenues

- Interest from any M2 competitive funding program and LFS must be held in separate accounts.
- Local M2 interest proceeds must be spent by the local jurisdiction on transportation activities consistent with LFS eligible transportation activities.
- Interest revenues must be expended within 3 years of receipt.
- Interest may be accumulated for substantive projects where necessary, with prior OCTA approval, provided that the account balance does not exceed aggregate LFS payments received in the preceding three (3) years of reporting period.
- All interest accumulated at the conclusion of M2 is to be expended within three years of the program sunset date (March 31, 2041).

Submittal Frequency: Annual. Next submittal is due by **June 28, 2019**.

City Council/Board of Supervisors approval: Required if an extension is requested.

Verification Method: Each jurisdiction must document within the Eligibility Checklist (Appendix D) confirmation that the jurisdiction complies with the timely use of Net Revenues throughout the year as outlined in the Ordinance. Net Revenue and Interest balances are reported on the annual Expenditure Report.

### **2.12 Traffic Forums**

Traffic Forums are working group sessions that include local jurisdictions and OCTA. Traffic forums provide a venue for local jurisdictions to discuss general traffic and transportation issues, traffic circulation between participating jurisdictions, the coordination of specific projects, and the overall RTSSP. Each jurisdiction must participate in Traffic Forums on an annual basis to ensure eligibility.

Submittal Frequency: Annual. Next submittal is due by **June 28, 2019**.

City Council/Board of Supervisors approval: Not Required

Verification Method: Each jurisdiction must document within the Eligibility Checklist (Appendix D) evidence of its annual participation in a Traffic Forum.

### **2.13 Transit/Non-motorized Transportation in General Plan**

As part of the eligible jurisdiction's land use section of the General Plan, the jurisdiction must consider land use planning strategies that accommodate transit and non-motorized transportation. Multi-modal options are vital to a comprehensive transportation network. General Plans should include policies and language that demonstrate a thoughtful approach toward land use planning that encourages and facilitates mobility options.

Submittal Frequency: Annual. Next submittal is due by **June 28, 2019**.

City Council/Board of Supervisors approval: Not Required

Verification Method: Each jurisdiction must document within the Eligibility Checklist (Appendix D) that it considers, as part of the land use section of the General Plan, land use planning strategies that accommodate transit and non-motorized transportation. A letter outlining the approach to land use planning strategies or policies that accommodate transit and non-motorized transportation

should be provided with supporting General Plan excerpts. Policy summaries that directly tie land use planning to alternative modes are required.

These may include:

- Pedestrian friendly neighborhoods
- Transit Oriented Development (TOD)
- Transportation Demand Management (TDM) programs
- Mixed-use development



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## Chapter 3 - Eligibility Determination

### 3.1 Submittal Review Process

The Eligibility submittal process has two distinct phases.

#### First Phase

In the first phase, local jurisdictions submit the eligibility checklist, CIP, MOE and land use planning strategies considered in the General Plan on an annual basis. In addition, the PMP, CMP, MFP, and adoption of the Circulation Element for MPAH consistency are due on a biennial basis. The LSSP is due every three years. The periodic submittal schedule of the eligibility requirements is included in Exhibit 3. The applicable eligibility components for a given year must be submitted to OCTA by June 30 (except the expenditure report).

To assist in the initiation of the eligibility process, OCTA hosts eligibility workshops attended by local jurisdictions to prepare for the June 30 submittals. The workshops outline any changes and provide instructions as to the requirements of the current fiscal year's eligibility. Eligibility package development begins for most local jurisdictions in April and concludes with submittal to OCTA by the June 30 deadline each year.

#### Second Phase

The second phase includes the submittal of the Expenditure Report, which is due six months following the end of the local jurisdiction's fiscal year per the Ordinance. All local jurisdictions must submit their expenditure reports annually by December 31. OCTA staff typically holds a workshop in July/August to go over the eligibility requirements for submitting an expenditure report that is compliant with the Ordinance. The OCTA Finance department reviews expenditure reports.

### 3.2 Approval Process

Annual eligibility determinations are based upon satisfactory submittal of the required documentation of eligibility outlined in the Ordinance and further described in Chapter 2 of these guidelines. OCTA and/or its representatives perform an administrative review of the data to determine eligibility compliance for M2 funds. Once all eligibility submittals have been received as satisfactory and complete, the applicable submittals must be prepared for review and [confirmation that the process has been followed](#) by the Taxpayer Oversight Committee (TOC).

#### TOC

M2 established the TOC to provide an enhanced level of accountability for expenditure of Net Revenues under the Ordinance. The TOC is an independent citizens' committee established for overseeing compliance with the Ordinance and ensuring that safeguards are in place to protect the integrity of the overall program. TOC responsibilities include:

- Approval of any amendment to the Ordinance proposed by OCTA which changes the funding categories, programs or discrete projects identified for improvements in the Funding Plan.
- Review of select documentation establishing annual eligibility by a jurisdiction including a jurisdiction's CMP, MFP, Expenditure Report, LSSP, and PMP.
- Verification that the OCTA is proceeding in accordance with the M2 Plan and is meeting the performance standards outlined in the Ordinance.

The TOC designates the Annual Eligibility Review (AER) subcommittee to review five of the thirteen eligibility requirements listed in the Ordinance. The AER subcommittee reviews the CMP, MFP, Expenditure Report, LSSP, and PMP for each local jurisdiction on an annual basis. The AER subcommittee confirms it has completed the eligibility determination process to the TOC.

In addition, OCTA staff will review items that do not directly require TOC approval and confirm compliance. After TOC and OCTA review all eligibility requirements, OCTA staff will prepare eligibility recommendations for the OCTA Board of Directors (Board). The OCTA Regional Planning and Highways Committee reviews the item prior to being considered by the full Board. The Board will make final determination as to whether or not a local jurisdiction remains eligible for M2 funding on an annual basis.

## Chapter 4 – Failure to Meet Eligibility Requirements

### 4.1 Non-Compliance Consequences

M2 extends a legacy of successful public funding investment in transportation throughout Orange County. The eligibility process includes a review of required compliance components to ensure that programs and funding guidelines are met as defined by Ordinance. Article XIX of the California Constitution, provides guidance regarding the use of tax revenues for transportation purposes, and provides a useful definition of eligible transportation planning/implementation activities.

OCTA routinely conducts an audit of local jurisdictions' annual eligibility materials and financial records. Full cooperation is expected to complete the process in a timely manner. A finding of non-compliance may be made if either of the following conditions exists:

- Use of M2 funding for non-transportation or non-eligible activities, or
- Failure to meet eligibility requirements

If a determination is made that a local jurisdiction has [misspent](#) M2 funds [those](#) funds must be fully repaid and the jurisdiction [may](#) be deemed ineligible to receive Net Revenues for a period of five (5) years. A finding of ineligibility is determined by the Board. Failure to adhere to eligibility compliance components may result in suspension of funds until satisfactory compliance is achieved.

### 4.2 Appeals Process

Eligibility review and determination is a multi-step process, which relies upon an objective review of information by OCTA staff [with a final determination made by the Board](#). An appeal of findings may be [presented to the Board as part of the required Board hearing to determine a local jurisdiction as ineligible](#).

### 4.3 Re-establishing MPAH Eligibility

If a Circulation Element is found to be inconsistent with the MPAH and a local jurisdiction is determined ineligible for M2 funds, the local jurisdiction may re-establish eligibility by requesting to undertake a cooperative study with OCTA. The study will be designed to do the following:

- Ascertain the regional transportation system needs
- Make provisions to meet those needs in the local jurisdiction's General Plan
- Re-establish consistency with the MPAH

Any changes to a local jurisdiction's General Plan or the MPAH shall be mutually acceptable to the jurisdiction and OCTA. Until such a study has been completed and an agreement reached on the proposed amendment, the jurisdiction shall be ineligible to apply for and/or receive M2 competitive funds.

[THIS CHAPTER IS UNDER REVIEW BY STAFF AND RECOMMENDED CHANGES TO LANGUAGE WILL BE PROVIDED TO THE BOARD IN THE SUMMER OF 2019.](#)

#### **4.4 For Additional Information**

The Eligibility Guidelines have been developed to assist local jurisdictions located throughout Orange County to understand and continue to implement all eligibility requirements to receive M2 funding. The Guidelines provide general summary information regarding all eligibility requirements as well as a comprehensive summary of all responsibilities and actions for which a local jurisdiction must follow to continue their eligibility.

Please contact the following OCTA staff when seeking additional information or clarification regarding any of the Eligibility Guidelines:

**Joe Alcock**  
Section Manager  
(714) 560-5372  
[JAlcock@octa.net](mailto:JAlcock@octa.net)

Appendices:

**Appendix A:** Ordinance

The Ordinance can be found on the Eligibility Website:  
<https://www.octa.net/M2Eligibility>

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## **Appendix B: Eligibility for New Cities**



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## **Eligibility for New Cities**

### **Eligibility for Fair Share Funds - New Cities**

At the time of incorporation, a new city may adopt current practices previously established by the County of Orange, which have already established eligibility under the current M2. As new cities mature, they will adopt their own general plan and growth strategies.

To provide for this transition period, the OCTA Board of Directors (Board) has previously adopted the following new city eligibility process for Fair Share funds:

- A new city may, at its discretion, adopt the approved PMP of the predecessor governing body as its own, providing these policies are fully enforced.
- Prior to incorporation, the proposed new city must work with OCTA and the Local Agency Formation Commission (LAFCO) to identify the variables used in the LFS funds calculation (population, taxable sales, and MPAH mileage). Preliminary data must be identified prior to the date of incorporation.
- The new city will begin accruing LFS funds as of the date of incorporation.
- OCTA will reserve the accrued funds for the new city, pending the determination of eligibility by the Board within one year of the date of incorporation.
- For the new city to receive the reserved accrued funds, OCTA must receive all necessary elements of the eligibility package, complete the necessary review and approval of the package, and the Board must determine the new city eligible to receive M2 funds within one year of the date of incorporation. OCTA recommends the city submit its eligibility package within six months of incorporation to allow sufficient time for OCTA review and approval processes.
- Upon determination of eligibility by the Board, the new city will receive its first LFS payment including the reserved accrued funds, on the first regular payment cycle following the eligibility determination.
- The first LFS payment will be adjusted to reflect final calculation (population, taxable sales, and MPAH miles) as determined through the new city eligibility process.
- In the event a new city is determined to be ineligible to receive LFS funds by the Board, the reserved accrued funds and interest on the funds, shall be distributed to the eligible local jurisdictions on a pro-rata basis, until such time that the new city attains eligibility.
- Such new city will begin to accrue funds as of the first day of the first regular accrual period following its determination of eligibility by the Board and receive its first LFS payment on the corresponding regular payment cycle.

### **Eligibility for Competitive Funds-New Cities**

In addition to the new city eligibility process for LFS funds, the Board has adopted the following process for eligibility for competitive funds:

- A new city may apply for competitive funding upon the date of incorporation, however, may not be awarded competitive funding until the new city has been determined eligible to receive LFS funds by Board, as described above.
- A new city must include an adopted PMP that is consistent with countywide pavement condition assessment standards (Arterial Highway Rehabilitation Program), a General Plan Circulation Element consistent with the MPAH, and a City Council resolution attesting that no unilateral reduction in lanes have been made on any MPAH arterials in its eligibility package for review and approval by the Board.

- Applications for competitive funding by new cities will be considered until such time in the process of the competitive funding program that projects are ranked for award. If the new city has not been determined eligible by the Board by the time projects are ranked for award, any application by the new city for competitive funding will be withdrawn from further consideration. OCTA staff will work with the new city to revise the schedule specific to its time of incorporation in relation to the current competitive funding program process.

## **New Cities – MOE**

M2 requires the development of a method to apply the MOE to new cities without five years of streets and roads data, including cities incorporated during the thirty years the tax is in effect. New cities unable to meet this requirement may use the appeals process to establish a benchmark number that more accurately reflects network needs. A phase-in period of two years has been established for new cities to achieve the approved MOE expenditure requirement.

The approved method uses the following formula to calculate the MOE for new cities:

$$\frac{\text{Total MOE benchmark for the county}}{\text{Total county population}} = \text{Per capita expenditure}$$

$$\text{Per capita expenditure} \times \text{city population} = \text{MOE benchmark for the city}$$

## **Appeals Process**

New cities may appeal the formula benchmark determination above where there is a dispute regarding the city population. OCTA shall use the most recent Census or figures from the State of California Department of Finance. Appeals will be submitted first to the TAC and then to the Board for final determination.

## **Appendix C: Congestion Management Program Checklist**

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<sup>1</sup>The following activities are statutorily-exempt from deficiency determinations: interregional travel, traffic generated by the provision of low and very low income housing, construction rehabilitation or maintenance of facilities that impact the system, freeway ramp metering, traffic signal coordination by the state or multi-jurisdictional agencies, traffic generated by high-density residential development within 1/4 mile of a fixed-rail passenger station, traffic generated by mixed-use residential development within 1/4 mile of a fixed-rail passenger station.



# APPENDIX C

## Congestion Management Program (CMP)

CMP Monitoring Checklist: Deficiency Plans				
CMP Checklist		YES	NO	N/A
1.	Check "Yes" if either of the following apply: <ul style="list-style-type: none"> <li>There are no CMP intersections in your jurisdiction.</li> <li>Factoring out statutorily-exempt activities<sup>2</sup>, all CMP Highway System (CMPHS) intersections within your jurisdiction are operating at LOS E (or the baseline level, if worse than E) or better.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>NOTE: ONLY THOSE AGENCIES THAT CHECKED "NO" FOR QUESTION 1 NEED TO ANSWER THE REMAINING QUESTIONS.</b>				
2	If any, please list those intersections that are not operating at the CMP LOS standards. <ul style="list-style-type: none"> <li>_____</li> <li>_____</li> <li>_____</li> </ul>			<input type="checkbox"/>
3.	Are there improvements to bring these intersections to the CMP LOS standard scheduled for completion during the next 18 months or programmed in the first year of the CIP?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>NOTE: ONLY THOSE AGENCIES THAT CHECKED "NO" FOR QUESTION 3 NEED TO ANSWER THE REMAINING QUESTIONS.</b>				
4.	Has a deficiency plan or a schedule for preparing a deficiency plan been submitted to OCTA?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Does the deficiency plan fulfill the following statutory requirements? :			
	a. Include an analysis of the causes of the deficiency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	b. Include a list of improvements necessary to maintain minimum LOS standards on the CMPHS and the estimated costs of the improvements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	c. Include a list of improvements, programs, or actions and estimates of their costs, which will improve LOS on the CMPHS and improve air quality?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	i. Do the improvements, programs, or actions meet the criteria established by South Coast Air Quality Management District (SCAQMD) (see the CMP Preparation Manual)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<sup>2</sup>The following activities are statutorily-exempt from deficiency determinations: interregional travel, traffic generated by the provision of low and very low income housing, construction rehabilitation or maintenance of facilities that impact the system, freeway ramp metering, traffic signal coordination by the state or multi-jurisdictional agencies, traffic generated by high-density residential development within 1/4 mile of a fixed-rail passenger station, traffic generated by mixed-use residential development within 1/4 mile of a fixed-rail passenger station.



## APPENDIX C

### Congestion Management Program (CMP)

#### CMP Monitoring Checklist: Deficiency Plans (cont.)

CMP Checklist		YES	NO	N/A
6.	Are the capital improvements identified in the deficiency plan programmed in your seven-year CIP?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	Does the deficiency plan include a monitoring program that will ensure its implementation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	Does the deficiency plan include a process to allow some level of development to proceed pending correction of the deficiency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	Has necessary inter-jurisdictional coordination occurred?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	Please describe any innovative programs, if any, included in the deficiency plan:	<input type="checkbox"/>		
Additional Comments:				





## APPENDIX C

### Congestion Management Program (CMP)

<b>CMP Monitoring Checklist: Land Use Coordination</b>				
CMP Checklist		YES	NO	N/A
1.	Have you maintained the CMP traffic impact analysis (TIA) process you selected for the previous CMP?	<input type="checkbox"/>	<input type="checkbox"/>	
	a. If not, have you submitted the revised TIA approach and methodology to OCTA for review and approval?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Did any development projects require a CMP TIA during this CMP cycle? <sup>3</sup>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>NOTE: ONLY THOSE AGENCIES THAT CHECKED "YES" FOR QUESTION 2 NEED TO ANSWER THE REMAINING QUESTIONS.</b>				
3.	If so, how many?		_____	
4.	Please list any CMPHS links & intersections that were projected to not meet the CMP LOS standards (indicate whether any are outside of your jurisdiction).  • _____ • _____ • _____			<input type="checkbox"/>
	a. Were mitigation measures and costs identified for each and included in your seven-year CIP?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	b. If any impacted links & intersections were outside your jurisdiction, did your jurisdiction coordinate with other jurisdictions to develop a mitigation strategy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	If a local traffic model was/will be used, did you follow the data and modeling consistency requirements as described in the CMP Preparation Manual (available online at <a href="http://www.octa.net/pdf/cmpprepremanual.pdf">http://www.octa.net/pdf/cmpprepremanual.pdf</a> )?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additional Comments:				

<sup>3</sup>Exemptions include: any development generating less than 2,400 daily trips, any development generating less than 1,600 daily trips (if it directly accesses a CMP highway), final tract and parcel maps, issuance of building permits, issuance of certificate of use and occupancy, and minor modifications to approved developments where the location and intensity of project uses have been approved through previous and separate local government actions prior to January 1, 1992.



CMP Monitoring Checklist: Capital Improvement Program (CIP)				
CMP Checklist		YES	NO	N/A
1.	Did you submit a seven-year CIP to OCTA by June 30?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Does the CIP include projects to maintain or improve the performance of the CMPHS (including capacity expansion, safety, maintenance, and rehabilitation)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Is it consistent with air quality mitigation measures for transportation- related vehicle emissions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Was the Web Smart CIP provided by the OCTA used to prepare the CIP?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additional Comments:				
<p>I certify that the information contained in this checklist is true.</p> <p>Signature: _____ Title: _____</p>				

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## **Appendix D: Eligibility Checklist**

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# APPENDIX D

## Eligibility Checklist

<b>Jurisdiction:</b>	
----------------------	--

<b>Capital Improvement Program (CIP)</b>		<b>YES</b>	<b>NO</b>
1.	Did you submit your draft or adopted Measure M2 (M2) seven-year CIP to OCTA by June 30?	<input type="checkbox"/>	<input type="checkbox"/>
	a. Did you utilize the required OCTA CIP database?	<input type="checkbox"/>	<input type="checkbox"/>
	b. Have you included projects required to demonstrate compliance with signal synchronization, pavement maintenance and environmental clean-up commitments?	<input type="checkbox"/>	<input type="checkbox"/>
	c. Are there any non-transportation related projects included in your M2 CIP?	<input type="checkbox"/>	<input type="checkbox"/>
	d. Did you include all projects that are partially, fully, or potentially funded by M2 Net Revenues?	<input type="checkbox"/>	<input type="checkbox"/>
	e. The City Council/Board of Supervisors approval date* to adopt the final 7-Year CIP is: _____ *Must be prior to July 31		
<b>Maintenance of Effort (MOE)</b>		<b>YES</b>	<b>NO</b>
2.	Did you submit the MOE certification form (Appendix I) to OCTA by June 30?	<input type="checkbox"/>	<input type="checkbox"/>
	a. Did you provide supporting budget documentation?	<input type="checkbox"/>	<input type="checkbox"/>
	b. Has the MOE Reporting form been signed by the Finance Director or appropriate designee?	<input type="checkbox"/>	<input type="checkbox"/>
<b>Pavement Management Program (PMP)</b>		<b>YES</b>	<b>N/A</b>
3.	Are you required to submit a PMP update to OCTA for this eligibility cycle? If you are not required to submit a PMP update, check N/A. Refer to Exhibit 3 for PMP submittal schedule.	<input type="checkbox"/>	<input type="checkbox"/>
	a. If yes, did you use the current PMP Submittal Template (Appendix F)?	<input type="checkbox"/>	<input type="checkbox"/>
	b. If yes, is the adopted PMP consistent with the OCTA Countywide Pavement Management Program?	<input type="checkbox"/>	<input type="checkbox"/>
4.	If you answered "N/A" to question 3, did you submit a PMP Update to OCTA through the previous eligibility cycle by June 30?	<input type="checkbox"/>	<input type="checkbox"/>
<b>Resolution of Master Plan of Arterial Highways (MPAH) Consistency</b>		<b>YES</b>	<b>NO</b>
5.	Did you submit a resolution demonstrating consistency with the MPAH?	<input type="checkbox"/>	<input type="checkbox"/>
	a. Have you enclosed a figure representing your most current circulation element?	<input type="checkbox"/>	<input type="checkbox"/>
6.	If the requirement is not due as part of the current cycle, has there been an update to the circulation element since the last report period? If yes, include a copy of the latest circulation element.	<input type="checkbox"/>	<input type="checkbox"/>
<b>Local Signal Synchronization Plan (LSSP)</b>		<b>YES</b>	<b>N/A</b>
7.	Did you adopt and submit an update to the LSSP as part of the current cycle?	<input type="checkbox"/>	<input type="checkbox"/>
	a. Is your LSSP consistent with the Regional Traffic Signal Synchronization Master Plan?	<input type="checkbox"/>	<input type="checkbox"/>



## APPENDIX D

### Eligibility Checklist

Time Limits for Use of Net Revenues		YES	NO
8.	Has your jurisdiction complied with the three-year time limit for the use of Net Revenues over the last year per the requirements outlined in the Ordinance?	<input type="checkbox"/>	<input type="checkbox"/>
	a. If no, has a time extension been requested through the semi-annual review process for funds subject to expiration?	<input type="checkbox"/>	<input type="checkbox"/>
Supplanting of Developer Commitments		YES	NO
9.	Has your jurisdiction ensured they have not supplanted developer commitments for transportation projects and funding with M2 funds?	<input type="checkbox"/>	<input type="checkbox"/>
Mitigation Fee Program (MFP)		YES	NO
10.	Does your jurisdiction currently have a defined development impact MFP in place?	<input type="checkbox"/>	<input type="checkbox"/>
11.	Has an update to the MFP occurred since the last reporting period?	<input type="checkbox"/>	<input type="checkbox"/>
12.	If yes to 11, has your jurisdiction submitted a copy of the current MFP or City Council/Board of Supervisors approved policy?	<input type="checkbox"/>	<input type="checkbox"/>
	a. Have you included a copy of your current impact fee schedule; or	<input type="checkbox"/>	<input type="checkbox"/>
	b. Have you provided OCTA with a copy of your mitigation fee nexus study; or	<input type="checkbox"/>	<input type="checkbox"/>
	c. Have you provided OCTA with a copy of your City Council/Board of Supervisors resolution approving the MFP?	<input type="checkbox"/>	<input type="checkbox"/>
Planning Strategies		YES	NO
13.	Does your jurisdiction consider as part of its General Plan, land use planning strategies that accommodate transit and non-motorized transportation?	<input type="checkbox"/>	<input type="checkbox"/>
14.	Have you provided a letter identifying land use planning strategies that accommodate transit and non-motorized transportation consideration in the General Plan?	<input type="checkbox"/>	<input type="checkbox"/>
Traffic Forums		YES	NO
15.	Did representatives of your jurisdiction participate in the regional traffic forum(s)?	<input type="checkbox"/>	<input type="checkbox"/>
	a. If you answered yes, provide date of attendance: _____		
Congestion Management Program (CMP)		YES	NO
16.	Has your jurisdiction completed the required CMP checklist? (Appendix C)	<input type="checkbox"/>	<input type="checkbox"/>

\_\_\_\_\_  
Name (Print)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

## **Appendix E: Sample Resolutions**



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**[SAMPLE RESOLUTION FOR MPAH CIRCULATION ELEMENT CONSISTENCY AND  
MITIGATION FEE PROGRAMS]**

A RESOLUTION OF THE CITY COUNCIL/BOARD OF SUPERVISORS OF THE CITY/COUNTY OF  
CONCERNING THE STATUS AND UPDATE OF THE CIRCULATION  
ELEMENT, AND MITIGATION FEE PROGRAM FOR THE MEASURE M (M2) PROGRAM

WHEREAS, the City/County of \_\_\_\_\_ desires to maintain and  
improve the streets within its jurisdiction, including those arterials contained in the Master Plan  
of Arterial Highways (MPAH) and

WHEREAS, the City/County of \_\_\_\_\_ had endorsed a definition  
of and process for, determining consistency of the City's/County's Traffic Circulation Plan with  
the MPAH, and

WHEREAS, the City/County has adopted a General Plan Circulation Element which does  
not preclude implementation of the MPAH within its jurisdiction, and

WHEREAS, the City/County is required to adopt a resolution biennially informing the  
Orange County Transportation Authority (OCTA) that the City/County's Circulation Element is in  
conformance with the MPAH and whether any changes to any arterial highways of said  
Circulation Element have been adopted by the City/County during Fiscal Years (FY) 2017-18 and  
FY 2018-19, and

WHEREAS, the City/County is required to send biennially to the OCTA all recommended  
changes to the City/County Circulation Element and the MPAH for the purposes of re-qualifying  
for participation in the Comprehensive Transportation Funding Programs;

WHEREAS, the City/County is required to adopt a resolution biennially certifying that  
the City/County has an existing Mitigation Fee Program that assesses traffic impacts of new  
development and requires new development to pay a fair share of necessary transportation  
improvements attributable to the new development; and

NOW, THEREFORE, BE IT RESOLVED that the City Council/Board of Supervisors for the  
City/County of \_\_\_\_\_, does hereby inform OCTA that:

- a) The arterial highway portion of the City/County Circulation Element of the  
City/County is in conformance with the MPAH.
- b) The City/County attests that no unilateral reduction in through lanes has been  
made on any MPAH arterials during FY 2017-18 and FY 2018-19.
- c) The City/County reaffirms that Council concurs with the existing Mitigation Fee  
Program.

PASSED, APPROVED AND ADOPTED THIS [Insert Day] day of [Insert Month], [Insert Year].

**[SAMPLE RESOLUTION FOR PAVEMENT MANAGEMENT PLAN ADOPTION]**

A RESOLUTION OF THE CITY COUNCIL/BOARD OF SUPERVISORS OF THE CITY/COUNTY OF \_\_\_\_\_ CONCERNING THE STATUS AND UPDATE OF THE PAVEMENT MANAGEMENT PLAN FOR THE MEASURE M2 (M2) PROGRAM

WHEREAS, the local jurisdiction is required to meet eligibility requirements and submit eligibility verification packages to Orange County Transportation Authority (OCTA) in order to remain eligible to receive M2 funds.

WHEREAS, the local jurisdiction is required to adopt and update a Pavement Management Plan (PMP), using the required format, regarding the status of road pavement conditions and implementation of the PMP on a biennial basis; and

WHEREAS, the local jurisdiction is required to provide a plan that manages the preservation, rehabilitation, and maintenance of paved roads by analyzing pavement life cycles, assessing overall system performance costs, and determining alternative strategies and costs necessary to improve paved roads.

NOW, THEREFORE, BE IT RESOLVED that the City Council/Board of Supervisors for the City/County of \_\_\_\_\_ does hereby inform OCTA that:

- a) The PMP is in conformance with the PMP Submittal Template provided in the Countywide Pavement Management Plan Guidelines.
- b) The City/County hereby adopts a PMP and has provided an updated PMP report, using the required format, to OCTA.
- c) The Public Works Director, City Engineer or designee is authorized to sign the PMP certification form.

PASSED, APPROVED, AND ADOPTED THIS [Insert Day] day of [Insert Month], [Insert Year].

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## **Appendix F: PMP Submittal Template**

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Agency

# Pavement Management Plan

Prepared by: [Author name]  
Submitted to OCTA:[Date]



## Agency Submittal Table of Contents

I. Pavement Management Plan Certification .....	2
II. Executive Summary .....	3
III. Background (Optional) .....	4
IV. Current Pavement Conditions (PCI) .....	5
V. Projected Pavement Conditions (PCI) .....	5
VI. Alternative Funding Levels .....	6
Maintain Existing Average Network PCI.....	6
Improve Average Network PCI .....	6
VII. Current and Projected Backlog by Year of Pavement Maintenance Needs.....	7
VIII. Centerline Mileage .....	7
IX. Percentage of Network in Each of Five Condition Categories Based on Centerline Miles .....	8
X. Reduction in Local Match.....	9
XI. Appendix A – Seven-Year Road Maintenance and Rehabilitation Plan Based on Current <i>or</i> Expected Funding Level .....	10
XII. Appendix B – Complete Listing of Current Street Conditions .....	11
XIII. Appendix C – Quality Assurance/Quality Control Plan .....	12
Introduction .....	12
Objectives.....	12
Structure of QA/QC Plan .....	12
Condition Survey Procedures .....	13
Accuracy Required for Data Collection .....	14
Random and Systematic Re-Inspections .....	14
PCI Comparison with Past Surveys.....	15
Inspector’s Qualifications and Experience .....	15
Safety Procedures .....	16
XIV. Appendix D – Pavement Management Data Files.....	17
XV. Appendix E – GIS Maps – Current Conditions (Optional).....	17





## I. Pavement Management Plan Certification

The City/County of **Type Here** certifies that it has a Pavement Management Plan in conformance with the criteria stated in the Orange County Transportation Authority Ordinance No. 3. This ordinance requires that a Pavement Management Plan be in place and maintained to qualify for allocation of revenues generated from renewed Measure M2.

The plan was developed by **Type here\*** using **Type here**, a pavement management system, confirming to American Society of Testing and Materials (ASTM) Standard D6433, and contains, at a minimum, the following elements:

- Inventory of MPAH and local routes reviewed and updated biennially. The last update of the inventory was completed on **Month, Year** for Arterial (MPAH) streets and **Month, Month** for local streets.
- Assessment of pavement condition for all routes in the system, updated biennially. The last field review of pavement condition was completed on **Month, Year**.
- Percentage of all sections of pavement needing:
  - Preventative Maintenance: **Type here%**
  - Rehabilitation: **Type here%**
  - Reconstruction: **Type here%**
- Budget needs for Preventative Maintenance, Rehabilitation, and/or Reconstruction of deficient sections of pavement for:
  - Current biennial period **\$Type here**
  - Following biennial period **\$Type here**
- Funds budgeted or available for Preventative Maintenance, Rehabilitation, and/or Reconstruction:
  - Current biennial period **\$Type here**
  - Following biennial period **\$Type here**
- Backlog by year of unfunded pavement rehabilitation, restoration, and reconstruction needs.
- The Pavement Management Plan is consistent with countywide pavement condition assessment standards as described in the OCTA Countywide Pavement Management Plan Guidelines adopted by the OCTA Board of Directors.

\*An electronic copy of the Pavement Management Plan (with Micro Paver or StreetSaver compatible files) has been, or will be, submitted with the certification statement.

A copy of this certification is being provided to the Orange County Transportation Authority.

### Submitted by:

Click here to enter text.

Name (Print)

Click here to enter text.

Jurisdiction

Signed

Click here to enter a date.

Date

Click here to enter text.

Title



## **II. Executive Summary**

Click here to enter text.



### III. Background (Optional)

[Click here to enter text.](#)



#### IV. Current Pavement Conditions (PCI)

Current Network PCI	Current MPAH PCI	Current Local PCI
Click here to enter	Click here to enter	Click here to enter

#### V. Projected Pavement Conditions (PCI)

Should be by projected PCI by year under existing or expected funding levels for next seven fiscal years ("Today" is before June 30).

Fiscal Year	Current Funding	Entire Network PCI	MPAH	Local
<b>Today</b>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
<b>2019-20</b>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
<b>2020-21</b>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
<b>2021-22</b>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
<b>2022-23</b>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
<b>2023-24</b>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
<b>2024-25</b>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
<b>2025-26</b>	Click here to enter	Click here to enter	Click here to enter	Click here to enter



## VI. Alternative Funding Levels

### *Maintain Existing Average Network PCI*

Fiscal Year	Maintain Funding	Entire Network PCI	MPAH	Local
Today	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2019-20	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2020-21	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2021-22	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2022-23	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2023-24	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2024-25	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2025-26	Click here to enter	Click here to enter	Click here to enter	Click here to enter

### *Improve Average Network PCI*

Fiscal Year	Current Funding	Entire Network PCI	MPAH	Local
Today	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2019-20	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2020-21	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2021-22	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2022-23	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2023-24	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2024-25	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2025-26	Click here to enter	Click here to enter	Click here to enter	Click here to enter



VII. Current and Projected Backlog by Year of Pavement Maintenance Needs

Fiscal Year	Current Funding Backlog	Maintain PCI Backlog	Increase PCI Backlog
Current	Click here to enter	Click here to enter	Click here to enter
2019-20	Click here to enter	Click here to enter	Click here to enter
2020-21	Click here to enter	Click here to enter	Click here to enter
2021-22	Click here to enter	Click here to enter	Click here to enter
2022-23	Click here to enter	Click here to enter	Click here to enter
2023-24	Click here to enter	Click here to enter	Click here to enter
2024-25	Click here to enter	Click here to enter	Click here to enter
2025-26	Click here to enter	Click here to enter	Click here to enter

VIII. Centerline Mileage

Entire Pavement Network	MPAH	Local Roads
Click here to enter	Click here to enter	Click here to enter

## IX. Percentage of Network in Each of Five Condition Categories Based on Centerline Miles

Condition Category	PCI Range	Network	Percent Area of Total Pavement	Area of Pavement (sf)	Percent Centerline Mileage of Network	Centerline Mileage of Network
Very Good	86-100	MPAH	<a href="#">Click here to enter%</a>	<a href="#">Click here to enter</a>	<a href="#">Click here to enter%</a>	<a href="#">Click here to enter</a>
		Local	<a href="#">Click here to enter%</a>	<a href="#">Click here to enter</a>		<a href="#">Click here to enter</a>
Good	75-85	MPAH	<a href="#">Click here to enter%</a>	<a href="#">Click here to enter</a>	<a href="#">Click here to enter%</a>	<a href="#">Click here to enter</a>
		Local	<a href="#">Click here to enter%</a>	<a href="#">Click here to enter</a>		<a href="#">Click here to enter</a>
Fair	60-74	MPAH	<a href="#">Click here to enter%</a>	<a href="#">Click here to enter</a>	<a href="#">Click here to enter%</a>	<a href="#">Click here to enter</a>
		Local	<a href="#">Click here to enter%</a>	<a href="#">Click here to enter</a>		<a href="#">Click here to enter</a>
Poor	41-59	MPAH	<a href="#">Click here to enter%</a>	<a href="#">Click here to enter</a>	<a href="#">Click here to enter%</a>	<a href="#">Click here to enter</a>
		Local	<a href="#">Click here to enter%</a>	<a href="#">Click here to enter</a>		<a href="#">Click here to enter</a>
Very Poor	0-40	MPAH	<a href="#">Click here to enter%</a>	<a href="#">Click here to enter</a>	<a href="#">Click here to enter%</a>	<a href="#">Click here to enter</a>
		Local	<a href="#">Click here to enter%</a>	<a href="#">Click here to enter</a>		<a href="#">Click here to enter</a>



### X. Reduction in Local Match

A local agency match reduction of 10% of the eligible cost for projects submitted for consideration of funding through the Comprehensive Transportation Funding Programs (CTFP) call for projects is available if the local agency either:

- a. Shows measurable improvement of paved road conditions during the previous reporting period defined as an overall weighted (by area) average system improvement of one Pavement Condition Index (PCI) point with no reduction in the overall weighted (by area) average PCI in the Master Plan of Arterial Highways (MPAH) or local street categories;

*or*

- b. Have road pavement conditions during the previous reporting period, within the highest 20% of the scale for road pavement conditions in conformance with OCTA Ordinance No. 3, defined as a PCI of 75 or higher, otherwise defined as in "good condition".

If applicable, please use the space below to justify the local agency's eligibility for a reduction in Local Match based on the statement above.

[Click here to enter text.](#)





## XI. Appendix A – Seven-Year Road Maintenance and Rehabilitation Plan Based on Current *or* Expected Funding Level

The seven-year plan for road maintenance and rehabilitation should be based on current and projected budget. Street sections selected for treatment should be identified here. Specific data to be submitted should follow the format below:

MPAH								
Street Name	Limits of Work		Length of Segment	Width of Segment	Pavement Area	Type of Treatment	Cost of Treatment	Year of Treatment
	From	To						

LOCAL								
Street Name	Limits of Work		Length of Segment	Width of Segment	Pavement Area	Type of Treatment	Cost of Treatment	Year of Treatment
	From	To						

Please attach the seven-year road maintenance and rehabilitation plan, following the above template, after this sheet. The plan should be labeled Appendix A.



## XII. Appendix B – Complete Listing of Current Street Conditions

A complete listing of current pavement conditions should be included in this report. Specific data to be submitted should follow the format below:

MPAH						
Street Name	From	To	Width of Segment	Area	Current PCI	Most Recent Inspection Date

LOCAL						
Street Name	From	To	Width of Segment	Area	Current PCI	Most Recent Inspection Date

Please attach the complete street listing, following the above template, after this sheet. The pages should be labeled Appendix B.



### XIII. Appendix C – Quality Assurance/Quality Control Plan

#### *Introduction*

When performing data collection in any field, the need for quality control is paramount as it is essential for accurate planning, analysis and design. This is particularly true for collecting pavement distress data for a pavement management system.

The Quality Assurance/Quality Control (QA/QC) Plan establishes minimum quality standards for performance and procedures for updates of the pavement management system.

If applicable, utilize the space below to include information on the agency's QA/QC policies:

[Click here to enter text.](#)

#### *Objectives*

This document constitutes a formal QA/QC Plan for the [City/County](#). It was prepared on [Select date](#) and last revised on [Select date](#).

Specifically, it is intended for the [Year Applicable](#) Pavement Management Plan Update. The focus is on the collection of network-level pavement distress data (defined by National Cooperative Highway Research Program (NCHRP) Synthesis 401 Quality Management of Pavement Data Collection, as "Network-level data collection involves collection of large quantities of pavement condition data, which is often converted to individual condition indices or aggregated into composite condition indices.")

This document also addresses the QA/QC plan requirements of the Orange County Transportation Authority (OCTA)'s "Countywide Pavement Management Plan Guidelines" (section 2.4), adopted in May 2010.

#### *Structure of QA/QC Plan*

The following components are addressed in this QA/QC Plan:

- Condition survey procedures used
- Accuracy required for data collection
- Inspector qualifications and experience
- Safety

### *Condition Survey Procedures*

The governing document in performing condition surveys for the [Enter agency name](#) is ASTM D6433 “Standard Practice for Roads and Parking Lots Pavement Condition Index (PCI) Surveys.” Both asphalt concrete (AC) and Portland cement concrete (PCC) pavements are included in this protocol. The following distresses are collected for each pavement type.

#### **Asphalt Concrete AC Pavements**

1. Alligator (fatigue) cracking
2. Bleeding
3. Block cracking
4. Bumps and sags
5. Corrugation
6. Depression
7. Edge cracking
8. Joint reflection cracking
9. Lane/Shoulder drop off
10. Longitudinal & Transverse cracking
11. Patching and utility cut patching
12. Polished aggregate
13. Potholes
14. Railroad crossing
15. Rutting
16. Shoving
17. Slippage cracking
18. Swell
19. Weathering
20. Raveling

#### **Portland Cement Concrete (Jointed)**

1. Blowup/buckling
2. Corner breaks
3. Divided slab
4. Durability (“D”) cracking
5. Faulting
6. Joint seal damage
7. Lane/shoulder drop off
8. Linear cracking
9. Patching (large) and utility cuts
10. Patching (small)
11. Polished aggregate
12. Popouts
13. Pumping
14. Punchout
15. Railroad crossing
16. Scaling, map cracking and crazing
17. Shrinkage cracks
18. Spalling (corner)
19. Spalling (joint)

Any exceptions to the above procedures are discussed before any surveys are performed. They are documented in the paragraphs below.

*[Note to agency: these are usually related to distresses or situations that are not covered in the manuals. Examples include roller check marks or edge cracking on streets with no curbs and gutters. Others include the raveling of surface seals or the use of open-graded asphalt concrete mixes where the surface appears to have large voids present. Any modifications must be documented and included in this document. Photos are extremely helpful.]*

All surveys are performed as [Indicate type of surveys](#) – walking, windshield, semi-automated etc. surveys, and a minimum 10% sampling rate is utilized. Field crews are typically composed of [Click here to enter field crew information](#) (Typically a one-person crew on residential streets and some collectors, and up to two-person crews for major arterials, depending on traffic volumes and speeds. Edit as appropriate). The safety of field personnel is paramount in all instances.

The sample unit selected must be representative of the entire pavement section. This assumes that the section is homogenous; if it is not homogeneous, then the section must be split according to the criteria agreed upon by the agency. Typically, the criteria used are:

- Pavement condition
- Construction age, if known
- Maintenance history, if known
- Traffic volumes (or functional classification as a surrogate)
- Surface types (e.g. asphalt concrete or Portland cement concrete)
- Geometric elements (e.g. widths)

Any modifications to the section inventory data are documented in the pavement management report.

A sample unit must be between  $2,500 \pm 1,000$  square feet in conformance with ASTM D6433 protocols. Typical sample unit dimensions are 100 feet long by the width of the street. Streets that are wider than 40 feet wide will have shorter lengths (generally 50 feet) or if they are divided by a raised median, separate sample units will be taken in each direction.

Any pavement areas that are not representative of the section will be noted and surveyed as an additional sample unit.

### *Accuracy Required for Data Collection*

The accuracy required for data collection has two components, both of which are further described in the following paragraphs.

- Re-inspections
- PCI comparisons with past surveys

### *Random and Systematic Re-Inspections*

#### **Random Re-inspections**

Random re-inspections will include a representative selection across the following categories:

- Functional classes (i.e. MPAH, locals);
- Surface types (e.g. asphalt concrete or Portland cement concrete);
- Pavement conditions (e.g. good, fair, poor);
- Inspectors;
- Geographical areas, if applicable.

#### **Systematic Re-inspections**

For systematic re-inspections, this could be due to noticed trends such as specific treatment types (e.g. open-graded mixes), a specific inspector or geographical area. In such cases, more than 5% will be re-inspected.



### **Acceptability Criteria**

At the time of re-inspection, the actual distresses will be re-inspected and verified, and any corrections made, if necessary. Distress types and severities must be the same and re-measured quantities within  $\pm 10\%$  of the original measured quantity.

If corrections are required on more than 10% of the re-inspected sample unit, then an additional 5% will be re-inspected. This will continue until more than 95% of the re-inspected sections meet the acceptability criteria.

### *PCI Comparison with Past Surveys*

As another level of quality control, the new PCIs are compared with the previous PCIs. If they differ by more than  $\pm 10$  PCI points, these sections are automatically flagged for further investigation.

### **If PCI Increases 10 points**

The section is investigated to see if a maintenance and rehabilitation event has occurred since the last survey, but has not been recorded. Typically, it may include activities such as:

- Crack sealing activities – changes medium or high severity cracking to low severity
- Patching activities – alligator cracking that has been removed and patched, so that the resultant PCI is increased.
- Surface seals
- Overlay
- Others

Therefore, an up to date maintenance and rehabilitation history file in the pavement management database is desirable, both for historical accuracy as well as to provide additional quality control.

### **If PCI decreases 10 points**

The section is checked to see if the average deterioration rate (usually 3 to 4 points per year) is exceeded. If the drop in PCI is within range of what is acceptable, no further action is required. If the drop is more than the acceptable range, a re-inspection will be performed. The default performance curves in the pavement management software form the basis for what is acceptable.

### *Inspector's Qualifications and Experience*

The Enter agency here inspectors have attended formal training on pavement condition distress surveys. This training was conducted prior to performing any work using the ASTM D6433 protocols, consistent with OCTA's requirements.

Inspector Name	Date of ASTM D6433 Training	Training Conducted By:
Click here to enter	Click here to enter	Click here to enter
Click here to enter	Click here to enter	Click here to enter
Click here to enter	Click here to enter	Click here to enter
Click here to enter	Click here to enter	Click here to enter

Resumes of the technicians utilized on this project are included as an attachment.



### *Safety Procedures*

The [Enter agency here](#) administers a health and safety program in compliance with the Cal Occupational Safety and Health Administration (OSHA) Title VIII, Section 3203. The program is documented in [Enter document name here](#).

Generally, the safety procedures include (Edit as applicable to agency):

- Inspectors to wear Class 2 or 3 safety vest at all times;
- Flashing beacon on all vehicles utilized for surveys; and
- Stopped vehicles to be parked at locations away from moving traffic (e.g. nearby parking, shoulders, etc.).
- [Enter safety protocol here](#)

On streets where there is a high volume of traffic or high speeds, additional measures may be necessary, such as:

- Surveys to occur during off-peak periods or on weekends;
- Additional inspector to watch out for traffic; and
- Traffic flaggers in extreme cases.

**Attachment** – Appendix C: Resumes of Field Inspectors

---End of QA/QC Plan---

### XIV. Appendix D – Pavement Management Data Files

The Pavement Management data files shall be submitted to OCTA in spreadsheet format. This must include the following information:

- Street name and limits for all public streets
- Street identifiers (Branch ID, Section ID)
- Direction (if applicable)
- Beginning and ending of each section
- Length, widths, and true areas
- Functional Classification (MPAH, Local)
- Number of travel lanes
- PCI and date of inspection
- Type of recommended treatment
- Cost of recommended treatment

The Pavement Management data files are attached here as a CD, or included as Appendix D

### XV. Appendix E – GIS Maps – Current Conditions (Optional)

If included, attach and label Appendix E.



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## **Appendix G: M2 Expenditure Report Template, Instructions & Resolution**

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## Measure M2 Expenditure Report Template

### Schedule 1: Summary Statement of Beginning and Ending Balances

#### **Lines 1 – 12: Balances at Beginning of Fiscal Year**

Report all fund balances and interest intended for transportation purposes at the beginning of the fiscal year. These balances should be classified by funding source as illustrated in the table below. To provide for continuity of reporting, the beginning balances of any restricted funds must agree with the ending balances of such funds as shown in the prior year's report.

<b>Project</b>	<b>Description</b>
<b>A-M</b>	Freeway Environmental Mitigation
<b>O</b>	Regional Capacity Program (RCP)
<b>P</b>	Regional Traffic Signal Synchronization Program (RTSSP)
<b>Q</b>	Local Fair Share
<b>R</b>	High Frequency Metrolink Service
<b>S</b>	Transit Extensions to Metrolink
<b>T</b>	Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems
<b>U</b>	Senior Mobility Program or Senior Non-Emergency Medical Program
<b>V</b>	Community Based Transit/Circulators
<b>W</b>	Safe Transit Stops
<b>X</b>	Environmental Cleanup Program (Water Quality)
<b>Other</b>	Please provide description for other categories

#### **Line 13: Balances at Beginning of Fiscal Year - TOTAL**

Sum of Lines 1 – 12 in the "Amount" and "Interest" columns

#### **Line 14: Monies Made Available During Fiscal Year**

Report total available monies (revenues) from Schedule 2, Line 13 in the "Amount" and "Interest" columns

#### **Line 15: Total Monies Available**

Sum of Lines 13 - 14 in the "Amount" and "Interest" columns

#### **Line 16: Expenditures During Fiscal Year**

Report total available monies (revenues) from Schedule 2, Line 26 in the "Amount" and "Interest" columns

#### **Lines 17 - 28: Balances at End of Fiscal Year**

Report by funding source all fund balances and interest for transportation purposes at the end of the fiscal year. To provide for continuity of reporting, the beginning balances of the fund sources in next year's report must agree with the ending balances of such funds as shown in this year's report (or otherwise reconciled).

**M2 Expenditure Report**  
**Fiscal Year Ended June 30, 20\_\_\_\_**  
**Beginning and Ending Balances**

Description		Line No.	Amount	Interest
<b>Balances at Beginning of Fiscal Year</b>				
<b>A-M</b>	Freeway Environmental Mitigation	1		
<b>O</b>	Regional Capacity Program (RCP)	2		
<b>P</b>	Regional Traffic Signal Synchronization Program (RTSSP)	3		
<b>Q</b>	Local Fair Share	4		
<b>R</b>	High Frequency Metrolink Service	5		
<b>S</b>	Transit Extensions to Metrolink	6		
<b>T</b>	Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems	7		
<b>U</b>	Senior Mobility Program or Senior Non-Emergency Medical Program	8		
<b>V</b>	Community Based Transit/Circulators	9		
<b>W</b>	Safe Transit Stops	10		
<b>X</b>	Environmental Cleanup Program (Water Quality)	11		
	Other*	12		
	<b>Balances at Beginning of the Fiscal Year (Sum Lines 1 to 12)</b>	13		
	Monies Made Available During Fiscal Year	14		
	<b>Total Monies Available (Sum Lines 13 &amp; 14)</b>	15		
	Expenditures During Fiscal Year	16		
<b>Balances at End of Fiscal Year</b>				
<b>A-M</b>	Freeway Environmental Mitigation	17		
<b>O</b>	Regional Capacity Program (RCP)	18		
<b>P</b>	Regional Traffic Signal Synchronization Program (RTSSP)	19		
<b>Q</b>	Local Fair Share	20		
<b>R</b>	High Frequency Metrolink Service	21		
<b>S</b>	Transit Extensions to Metrolink	22		
<b>T</b>	Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems	23		
<b>U</b>	Senior Mobility Program or Senior Non-Emergency Medical Program	24		
<b>V</b>	Community Based Transit/Circulators	25		
<b>W</b>	Safe Transit Stops	26		
<b>X</b>	Environmental Cleanup Program (Water Quality)	27		
	Other*	28		

\* Please provide a specific description

# Measure M2 Expenditure Report

## Schedule 2: Summary Statement of Sources and Uses

### **Lines 1 - 12: Report the Following Revenue Sources and Interest on the Appropriate Line**

<b>Project</b>	<b>Description</b>
<b>A-M</b>	Freeway Environmental Mitigation
<b>O</b>	Regional Capacity Program (RCP)
<b>P</b>	Regional Traffic Signal Synchronization Program (RTSSP)
<b>Q</b>	Local Fair Share
<b>R</b>	High Frequency Metrolink Service
<b>S</b>	Transit Extensions to Metrolink
<b>T</b>	Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems
<b>U</b>	Senior Mobility Program or Senior Non-Emergency Medical Program
<b>V</b>	Community Based Transit/Circulators
<b>W</b>	Safe Transit Stops
<b>X</b>	Environmental Cleanup Program (Water Quality)
<b>Other</b>	Please provide description for other categories

### **Line 13: Total Revenues**

Sum of Lines 1 - 12 (should match Total in Schedule 1, Line 14 in the "Amount" and "Interest" columns)

### **Lines 14 - 25: Report the Following Expenditures on the Appropriate Line**

<b>Project</b>	<b>Description</b>
<b>A-M</b>	Freeway Environmental Mitigation
<b>O</b>	Regional Capacity Program (RCP)
<b>P</b>	Regional Traffic Signal Synchronization Program (RTSSP)
<b>Q</b>	Local Fair Share
<b>R</b>	High Frequency Metrolink Service
<b>S</b>	Transit Extensions to Metrolink
<b>T</b>	Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems
<b>U</b>	Senior Mobility Program or Senior Non-Emergency Medical Program
<b>V</b>	Community Based Transit/Circulators
<b>W</b>	Safe Transit Stops
<b>X</b>	Environmental Cleanup Program (Water Quality)
<b>Other</b>	Please provide description for other categories

### **Line 26: Total Expenditures**

Sum of Lines 14 - 25 (Should match Total in Schedule 1, Line 16 in the "Amount" and "Interest" columns)

### **Line 27: Total Balance**

Subtract Line 26 from Line 13 in the "Amount" and "Interest" columns

City/County of: \_\_\_\_\_

**Schedule 2**

**M2 Expenditure Report**  
**Fiscal Year Ended June 30, 20\_\_\_\_**  
**Sources and Uses**

	Description	Line No.	Amount	Interest
	<b>Revenues:</b>			
<b>A-M</b>	Freeway Environmental Mitigation	1		
<b>O</b>	Regional Capacity Program (RCP)	2		
<b>P</b>	Regional Traffic Signal Synchronization Program (RTSSP)	3		
<b>Q</b>	Local Fair Share	4		
<b>R</b>	High Frequency Metrolink Service	5		
<b>S</b>	Transit Extensions to Metrolink	6		
<b>T</b>	Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems	7		
<b>U</b>	Senior Mobility Program or Senior Non-Emergency Medical Program	8		
<b>V</b>	Community Based Transit/Circulators	9		
<b>W</b>	Safe Transit Stops	10		
<b>X</b>	Environmental Cleanup Program (Water Quality)	11		
	Other*	12		
	<b>TOTAL REVENUES: (Sum Lines 1 to 12)</b>	13	\$	\$
	<b>Expenditures:</b>			
<b>A-M</b>	Freeway Environmental Mitigation	14		
<b>O</b>	Regional Capacity Program	15		
<b>P</b>	Regional Traffic Signal Synchronization Program	16		
<b>Q</b>	Local Fair Share	17		
<b>R</b>	High Frequency Metrolink Service	18		
<b>S</b>	Transit Extensions to Metrolink	19		
<b>T</b>	Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems	20		
<b>U</b>	Senior Mobility Program or Senior Non-Emergency Medical Program	21		
<b>V</b>	Community Based Transit/Circulators	22		
<b>W</b>	Safe Transit Stops	23		
<b>X</b>	Environmental Cleanup Program (Water Quality)	24		
	Other*	25		
	<b>TOTAL EXPENDITURES: (Sum Lines 14 to 25)</b>	26	\$	\$
	<b>TOTAL BALANCE (Subtract line 26 from 13)</b>	27	\$	\$

\* Please provide a specific description

# Measure M2 Expenditure Report Template Instructions

## Schedule 3: Summary Statement of Detailed Use of Funds

### **Line 1: Indirect and/or Overhead**

This line covers local agency costs that cannot be readily identified to a specific project. The costs listed in this line item represent an equitable share of expenditures for activities not directly allocated to right-of-way, construction, or other categories. Allocations must be based on a reasonable, documented methodology.

This includes, but is not limited to:

Payroll	General accounting/finance
Personnel	Departmental accounts/finance
Purchasing/Procurement	Facilities
Advertising	Data processing
Legal costs	Top management
General government	Bids

### **Lines 2 - 7: Construction**

Construction expenditures include the following:

- Projects developing new streets, bridges, lighting facilities, storm drains, etc., in locations that formerly had no such facilities, or projects departing to such an extent from existing alignment and grade that no material salvage value is realized from the old facilities.
- Additions and betterments to the street system and its rights-of-way, including grade separations and urban extensions.
- Any work that materially increases the service life of the original project.
- Resurfacing to a thickness greater than one inch.
- Resurfacing to a thickness less than one inch if the project has been certified by a lead agency as construction.
- Construction of traffic islands and other traffic safety devices.
- Transit facilities including, but not limited to, bus stops, shelters, and maintenance facilities.
- Streetscape including original landscaping, tree planting, and similar work.
- Acquisition and installation of street lighting facilities, traffic signals, and/or street signs (only when such signs are installed in connection with developing new streets).
- Planning, environmental, or design related to construction.
- Salaries and expenses of employees in connection with construction (direct costs).

### **Line 8: Total Construction**

Sum of Lines 2 - 7

### **Line 9: Right-of-Way Acquisition**

Right-of-way expenditures include the following:

- The acquisition of land or interest for use as a right-of-way in connection with the city's street system; the amount reported should include the cost of acquisition of any improvements situated on the real property at the date of its acquisition by the city.
- The cost of removing, demolishing, moving, resetting, and altering buildings or other structures that obstruct the right-of-way.
- The court costs of condemnation proceedings.



- Title searches and reports.
- Salaries and expenses of employees and right-of-way agents in connection with the acquisition of rights-of-way (direct costs).
- Severance damage to property sustained due to the city's street projects.
- All other costs of acquiring rights-of-way free and clear of all physical obstructions and legal encumbrances.

**Line 10: Total Construction and Right-of-Way**

Sum of Lines 8-9

**Line 11 - 15: Maintenance / Operations**

Maintenance expenditures include the following:

- The preservation and keeping of rights-of-way, street structures, and facilities in the safe and usable condition, to which they have been improved or constructed, but not reconstruction or other improvements.
- General utility services such as roadside planting, tree trimming, street cleaning, snow removal, and general weed control.
- Repairs or other work necessitated by damage to street structures or facilities resulting from storms, slides, settlements, or other causes unless it has been determined by the city engineer that such work is properly classified as construction.
- Maintenance of traffic signal equipment, coordination and timing on the city streets, as well as the city's share of such expenditures covering traffic signals situated at intersections of city streets and state highways within the incorporated area of the city.
- Salaries and expenses of employees in connection with maintenance and/or operations (direct costs).

**Line 16: Total Maintenance**

Sum of Lines 11 - 15

**Line 17: Other**

Please provide description for other categories. For example: transit, Senior Mobility Program, water quality, transit operations such as vehicle leases and other related operating expenses, etc.

**Line 18: Grand Totals**

Sum of Lines 1, 10, 16, and 17

City/County of: \_\_\_\_\_

**Schedule 3**

**M2 Expenditure Report**  
**Fiscal Year Ended June 30, 20\_\_\_\_**  
**Streets and Roads Detailed Use of Funds**

Type of Expenditure	Line Item	MOE <sup>2</sup>	Developer / Impact Fee <sup>+</sup>	O	O Interest	P	P Interest	Q	Q Interest	X	X Interest	Other M2 <sup>3</sup>	Other M2 Interest	Other*	TOTAL
<b>Indirect and/or Overhead</b>	1														\$
<b>Construction &amp; Right-of-Way</b>															
New Street Construction	2														\$
Street Reconstruction	3														\$
Signals, Safety Devices, & Street Lights	4														\$
Pedestrian Ways & Bike paths	5														\$
Storm Drains	6														\$
Storm Damage	7														\$
<b>Total Construction<sup>1</sup></b>	8														\$
Right of Way Acquisition	9														\$
<b>Total Construction &amp; Right-of-Way</b>	10														\$
<b>Maintenance</b>															
Patching	11														\$
Overlay & Sealing	12														\$
Street Lights & Traffic Signals	13														\$
Storm Damage	14														\$
Other Street Purpose Maintenance	15														\$
<b>Total Maintenance<sup>1</sup></b>	16														\$
<b>Other</b>	17														\$
<b>GRAND TOTALS (Sum Lines 1, 10, 16, 17)</b>	18	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$

<sup>1</sup> Includes direct charges for staff time<sup>2</sup> Local funds used to satisfy maintenance of effort (MOE) requirements<sup>3</sup> Other M2 includes A-M, R, S, T, U, V, and W<sup>+</sup> Transportation related only

\* Please provide a specific description

## **Measure M2 Expenditure Report Template Instructions**

### **Schedule 4: Summary Statement of Local Fair Share Project List**

List the project titles and brief description (maximum of two sentences) for all projects that utilized any portion of Measure M2 (M2) Local Fair Share funding. Please include the total amount of **M2 Local Fair Share** funds only that were expended.

## Schedule 4

[illegible]

City/County of: \_\_\_\_\_

**Signature Page**

**M2 Expenditure Report  
Fiscal Year Ended June 30, 20\_\_\_\_**

I certify that the interest earned on Net Revenues allocated pursuant to the Ordinance shall be expended only for those purposes for which the Net Revenues were allocated and all the information attached herein is true and accurate to the best of my knowledge:

\_\_\_\_\_  
Director of Finance (Print Name)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

## **[EXPENDITURE REPORT RESOLUTION]**

A RESOLUTION OF THE CITY COUNCIL/BOARD OF SUPERVISORS OF THE CITY/COUNTY OF \_\_\_\_\_ CONCERNING THE MEASURE M2 (M2) EXPENDITURE REPORT FOR THE CITY/COUNTY OF \_\_\_\_\_.

WHEREAS, local jurisdictions are required to meet eligibility requirements and submit eligibility verification packages to Orange County Transportation Authority (OCTA) in order to remain eligible to receive M2 funds.

WHEREAS, local jurisdictions are required to adopt an annual Expenditure Report as part one of the eligibility requirements.

WHEREAS, local jurisdictions are required to account for Net Revenues, developer/traffic impact fees, and funds expended by the local jurisdiction in the Expenditure Report that satisfy the Maintenance of Effort requirements; and

WHEREAS, the Expenditure Report shall include all Net Revenue fund balances, interest earned and expenditures identified by type and program or project; and

WHEREAS, the Expenditure Report must be adopted and submitted to the OCTA each year within six months of the end of the local jurisdiction's fiscal year to be eligible to receive Net Revenues as part of M2.

NOW, THEREFORE, BE IT RESOLVED that the City Council/Board of Supervisors for the City/County of \_\_\_\_\_ does hereby inform OCTA that:

- a) The Expenditure Report is in conformance with the template provided in the Measure M2 Eligibility Guidelines and accounts for Net Revenues including interest earned, expenditures during the fiscal year and balances at the end of fiscal year.
- b) The M2 Expenditure Report is hereby adopted by the City/County of \_\_\_\_\_.
- c) The City/County of \_\_\_\_\_ Finance Director is hereby authorized to sign and submit the M2 Expenditure Report to OCTA for the fiscal year ending \_\_\_\_\_.

PASSED, APPROVED, AND ADOPTED THIS [Insert Day] day of [Insert Month], [Insert Year].

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## **Appendix H: Arterial Highway Mileage Change Report**



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## APPENDIX H

### Arterial Highway Change Report

**Jurisdiction:** \_\_\_\_\_

☐ Check here if there are no changes to report[illegible]

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## **Appendix I: Maintenance of Effort Reporting Form**

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# APPENDIX I

## Maintenance of Effort (MOE) Reporting Form

Jurisdiction: \_\_\_\_\_

### Type of GENERAL FUND Transportation Expenditures:

Please attach supporting budget documentation for each line item listed below.

MAINTENANCE	Total Expenditure
Subtotal Maintenance	\$

CONSTRUCTION	Total Expenditure
Subtotal Construction	\$

INDIRECT /OTHER	Total Expenditure
Subtotal Indirect /Other	\$

Total General Fund Transportation Expenditures \$

(Less Total MOE Exclusions<sup>1</sup>) \$

MOE Expenditures \$

MOE Benchmark Requirement \$

(Shortfall)/Surplus \$

### Certification:

I hereby certify that the City/County of \_\_\_\_\_ has budgeted and will meet the Maintenance of Effort (MOE) requirement for Fiscal Year \_\_\_\_\_.

\_\_\_\_\_  
Finance Director Signature

\_\_\_\_\_  
Finance Director  
(Print Name)

\_\_\_\_\_  
Date

<sup>1</sup>Funding sources include Measure M, federal, state, redevelopment, and bond financing.

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## **Appendix J: Acronyms**



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## APPENDIX J

### Acronyms


Acronym	Description
AHRP	Arterial Highway Rehabilitation Program
CCI	Construction Cost Index
CFD	Community Facilities District
CIP	Capital Improvement Program
CMP	Congestion Management Program
CTFP	Comprehensive Transportation Funding Programs
ECP	Environmental Cleanup Program (Project X)
LAFCO	Local Agency Formation Commission
LOS	Level of Service
LSSP	Local Signal Synchronization Plan
MOE	Maintenance of Effort
MPAH	Master Plan of Arterial Highways
OCTA	Orange County Transportation Authority
OCTC	Orange County Transportation Commission
PCI	Pavement Condition Index
PMP	Pavement Management Plan
RCP	Regional Capacity Program (Project O)
RTSSMP	Regional Traffic Signal Synchronization Master Plan (Project P)
SCAQMD	South Coast Air Quality Management District
TAC	Technical Advisory Committee
TDM	Traffic Demand Management
TOC	Taxpayer Oversight Committee
TOD	Transit Oriented Development
TSC	Technical Steering Committee

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**April 1, 2019**

**To:** Regional Planning and Highways Committee

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

**Subject:** Consultant Selection for Intelligent Transportation Systems and Traffic Engineering Services for Regional Traffic Signal Synchronization Projects

### **Overview**

On November 12, 2018, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals for a consultant to provide intelligent transportation systems and traffic engineering services for Katella Avenue and Main Street regional traffic signal synchronization projects. Board of Directors approval is requested for the selection of the firm to perform the required work.

### **Recommendations**

- A. Approve the selection of Iteris, Inc., as the firm to provide intelligent transportation systems and traffic engineering services for the Katella Avenue Regional Traffic Signal Synchronization Project.
- B. Approve the selection of Iteris, Inc., as the firm to provide intelligent transportation systems and traffic engineering services for the Main Street Regional Traffic Signal Synchronization Project.
- C. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-8-2038 between the Orange County Transportation Authority and Iteris, Inc., to provide intelligent transportation systems and traffic engineering services for the Katella Avenue Regional Traffic Signal Synchronization Project.
- D. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1066 between the Orange County Transportation Authority and Iteris, Inc., to provide intelligent transportation systems and traffic engineering services for the Main Street Regional Traffic Signal Synchronization Project.

***Discussion***

The Orange County Transportation Authority (OCTA) provides funding and assistance to implement multi-agency signal synchronization as part of the Measure M Regional Traffic Signal Synchronization Program (RTSSP or Project P). OCTA provides competitive capital grants and operations funding for the coordination of traffic signals across jurisdictional boundaries.

During the competitive grant application process, applicant agencies may request that OCTA lead and administer these multi-agency traffic signal synchronization projects. OCTA contracts with highly-specialized traffic engineering and intelligent transportation systems (ITS) firms to accomplish these projects. The scope of these services allows OCTA to implement Project P.

The 2018 call for projects for Project P, as approved by the Board of Directors (Board), is comprised of a set of six projects that will synchronize 310 signalized intersections along six regional corridors. These six projects span over 78.3 miles throughout Orange County. The applicant agencies requested OCTA to lead four of these projects. Two of the four OCTA-led projects, Garden Grove Boulevard and Los Alisos Boulevard, have been awarded. This procurement includes the remaining corridors that will synchronize 140 plus signalized intersections over approximately 31.6 miles. The respective project goals are to improve travel times, reduce emissions, and provide savings to motorists in reduced fuel consumption through new optimized coordinated synchronized traffic signal timing at all intersections along the project limits. This program is consistent with the countywide multi-jurisdictional goals set by Project P.

For this procurement, the table below summarizes the two corridors where OCTA will act as lead agency.

Arterials	Project Intersections	Project Miles	Applicant Agency	Participating Agencies
Katella Avenue	73	19.6	Anaheim	9
Main Street	67	12.0	Irvine	3

***Procurement Approach***

This procurement was handled in accordance with OCTA's Board-approved procedures for architectural and engineering (A&E) services that conform to both state and federal laws. Proposals are evaluated and ranked in accordance with the qualifications of the firm, staffing and project organization, and work plan.

As this is an A&E procurement, price is not an evaluation criterion pursuant to state and federal laws. Evaluation of the proposals was conducted on the basis of overall qualifications to develop a competitive range of offerors. The highest-ranked firm is requested to submit a cost proposal, and the final agreement is negotiated. Should negotiations fail with the highest-ranked firm, a cost proposal will be solicited from the second-ranked firm in accordance with Board-approved procurement policies.

This request for proposals (RFP) 8-2038 was issued as a single procurement utilizing a single scope of work and two sets of project specifications. RFP 8-2038 stated its intent to award two contracts, one each for the Katella Avenue Project and Main Street Project. Offerors were instructed to specify the project on which they preferred to work. Offerors interested in proposing both projects were instructed to submit with their proposals a separate work plan for each project.

Proposals were ranked with respect to the qualifications of the firm, staffing and project organization, and work plan. Evaluation of the proposals was conducted on a per project basis to develop a competitive range for each project. The award for each contract is based on the offeror with the highest ranking for each project.

The Board authorized the release of RFP 8-2038 on November 12, 2018, which was electronically issued on CAMM NET. The project was advertised on November 12, and 19, 2018, in a newspaper of general circulation. A pre-proposal conference was held on November 20, 2018, and was attended by six firms. Two addenda were issued to provide pre-proposal conference information, responses to questions received, and handle administrative issues related to the RFP.

On December 12, 2018, four proposals were received for the Katella Avenue Project, and three proposals were received for the Main Street Project.

An evaluation committee consisting of members from Contracts Administration and Materials Management and Strategic Planning departments, as well as external representatives from the cities of Anaheim, Irvine, and Santa Ana met to review all submitted proposals.

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

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

The evaluation criteria are consistent with the weightings developed for similar A&E procurements for traffic engineering services. In developing these weights, several factors were considered, giving the greatest importance to staffing and project organization of the firm, as the qualifications of the project manager and other key personnel are very important to the successful and timely delivery of the project. Similarly, high importance was given to the work plan criterion to emphasize the importance of the team's understanding of the project, its challenges, and its approach to implementing the various elements of the scope of work. The technical approach to the project is critical to the successful performance of the project. The final criterion, qualifications of the firm, evaluated the firm's experience in performing work of similar scope and size.

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

Firm and Location – Katella Avenue Project

Albert Grover & Associates, Inc. (AGA)  
Fullerton, California

DKS Associates (DKS)  
Anaheim, California

Iteris, Inc. (Iteris)  
Santa Ana, California

Firm and Location – Main Street Project

Albert Grover & Associates, Inc. (AGA)  
Fullerton, California

DKS Associates (DKS)  
Anaheim, California

Iteris, Inc. (Iteris)  
Santa Ana, California

On January 22 and 23, 2019, the evaluation committee interviewed the 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. Firms also highlighted their staffing plan, work plan, and perceived project issues. Each firm was then asked general questions related to its qualifications, relevant experience, project organization, and approach to the work plan. Each team was also asked general questions regarding the team's approach to the requirements of the scope of work, management of the projects, coordination with various agencies, experience with similar projects, and the team's solutions in achieving the project's goals. After considering the responses to the questions asked during the interviews, the evaluation committee adjusted the preliminary score for all firms; however, Iteris remained as the top-ranked firm with the highest cumulative score for both projects.

Based on the evaluation of written proposals and information obtained during the interviews, staff recommends Iteris as the firm to provide consultant services for traffic engineering and ITS for the Katella Avenue and Main Street projects. This firm ranked highest amongst the proposing firms based on the team's relevant experience in traffic engineering and ITS. Iteris' proposed teams are comprised of highly-qualified key personnel with relevant and recent experience in traffic signal synchronization and ITS projects. The firm demonstrated an excellent understanding of the project requirements and presented a comprehensive work plan addressing key issues that are critical to the success of the project. The following is a summary of the results of the proposal evaluations results.

#### **Qualifications of Firm**

All three short-listed firms are highly qualified and have relevant experience in the type of services required by the scope of work. Each firm has identified experience providing signal timing and traffic coordination along with related ITS experience.

Iteris specializes in transportation planning, engineering, and technology services since 1987. The firm has 433 employees and 13 offices, including an office in the City of Santa Ana (Santa Ana). Iteris has demonstrated expertise in traffic engineering, ITS, transportation planning, initial impact studies, transportation modeling, planning systems engineering, and other transportation technologies both nationally and internationally. The firm is experienced in performing projects of similar scope and magnitude. Recent multi-agency signal synchronization projects Iteris has successfully completed in Orange County include Harbor Boulevard, Westminster Avenue/17<sup>th</sup> Street, State College Boulevard/Bristol Street, Beach Boulevard, Edinger Avenue/Irvine Center Drive/Moulton Parkway/Golden Lantern, Katella Avenue, Bristol Street,



Newport Boulevard (South), Pacific Park Drive/Oso Parkway, Trabuco Road, and Warner Avenue. Iteris is currently engaged in signal synchronization projects on Pacific Coast Highway and Brookhurst Street.

DKS has provided transportation planning and engineering services to public agencies across the country since 1979. The firm has 131 professionals in seven offices nationally and ten staff locally in the City of Anaheim (Anaheim). DKS has experience in traffic operational analysis, traffic signal synchronization, traffic signal design, systems engineering, and integration services in ITS and transportation communications networks. The majority of DKS' signal synchronization projects involve multiple jurisdictions and consensus building amongst multiple agencies. Some of DKS' recently completed multi-agency signal synchronization projects in Orange County include Goldenwest Street, Westminster Avenue/17th Street, Anaheim Boulevard, Olympiad Road/Felipe Road, State College Boulevard, and Los Alisos Boulevard. DKS is currently engaged in signal synchronization work on Magnolia Street.

AGA was founded in 1993 and has relevant experience with traffic engineering, traffic signal synchronization, transportation planning, and ITS-related services. The firm has an office in Orange County with 21 employees. AGA has experience providing services to local agencies in Southern California for traffic engineering and ITS projects. The firm has completed initial work for OCTA's Orange County Traffic Signal Coordination Program. AGA has successfully completed traffic coordination projects in Orange County. Recent and relevant projects include Euclid Street Demonstration Project, Chapman Avenue, Tustin Avenue/Rose Drive, Adams Avenue, La Paz Road, Orangethorpe Avenue, and Antonio Parkway. For the Antonio Parkway Project, AGA was instrumental in the design and consensus building between the City of Rancho Santa Margarita, County of Orange, and California Department of Transportation (Caltrans) providing new and future ITS communications infrastructure. AGA is currently working on a signal synchronization project on Alicia Parkway.

#### **Staffing and Project Organization**

The short-listed firms proposed qualified project managers, key personnel, and subconsultants with relevant traffic engineering, signal coordination, and ITS services experience.

Iteris proposed a separate staffing and project organization for each of the projects. Iteris proposed experienced project teams with demonstrated expertise and relevance in transportation planning, traffic signal synchronization, ITS, traffic engineering and design, traffic operations and analysis, traffic management center, traffic signal systems, multimodal, pedestrian and bicycle access, and safety analysis. The project teams consist of experts in

transportation planning, civil and traffic engineering, signal synchronization and advanced transportation management systems integrators. The proposed teams and sub-consultants have demonstrated experience working on numerous projects of similar size and scope. Iteris' proposed principal-in-charge (PIC) and project coordinator has 22 years of experience in transportation systems and traffic engineering, and extensive experience managing and designing traffic engineering and ITS projects for numerous agencies. The PIC is known internationally for work on numerous mobility projects focusing on technologies to improve efficiencies and safety through applications in surface transportation. Relevant project manager experience includes Harbor Boulevard, Westminster Avenue/17th Street, State College Boulevard/Bristol Street, Ball Road, and Edinger Avenue/Irvine Center Drive/Moulton Parkway/Golden Lantern.

Iteris' project manager for the Katella Avenue Project has 27 years of experience in the field of ITS, including transportation and ITS planning and design, traffic systems engineering and design, transportation planning, transportation systems and analysis, and development and integration of real-time traffic systems. Relevant project experience includes Interstate 405 (I-405) design-build oversight and signal synchronization projects on Harbor Boulevard, La Palma Avenue, Lincoln Avenue, Orangewood Avenue, Pacific Coast Highway, and Trabuco Road.

Iteris' proposed project manager for the Main Street Project has 30 years of experience as project manager for design and implementation of traffic engineering services, and operations task leader in ITS. The project manager has expertise in traffic operations, planning, design, and conducting and managing traffic signal synchronization and ITS projects. Projects include Katella Avenue traffic signal synchronization project, I-405 design-build quality assurance/quality control (QA/QC) and signal synchronization projects on 17<sup>th</sup> Street, Bristol Street, Irvine Avenue, Jamboree Road, Newport Boulevard, Newport Boulevard (South), Victoria Street, and Warner Avenue.

Iteris' other key personnel include task leaders highly experienced in ITS, traffic engineering, operations maintenance and monitoring, systems communications, traffic collection, transportation management centers, and signal improvements. For both projects, each project manager led the team in the interviews with complete team participation with in-depth presentations and comprehensive responses on questions related to critical tasks and issues for both projects. Iteris' proposed project teams demonstrated proven expertise in the areas deemed critical to the success of the projects and have worked as a cohesive team for many years on numerous traffic engineering and ITS projects.

DKS proposed the same project team for the Katella Avenue and Main Street projects. DKS' proposed team has implemented numerous signal timing and synchronization projects, and is experienced in transportation planning and signal synchronization projects. The PIC for DKS has 24 years of experience and has been involved with several hundred traffic signal design and coordination projects, 150 of which involved light rail, street car, or bus transit signal priority. The proposed team has successfully worked on recent and relevant projects. DKS' proposed project manager has over 30 years of experience managing corridor studies, arterial signal systems projects, ITS planning, and development projects. Relevant signal synchronization projects include Edinger Avenue/Irvine Center Drive/Moulton Parkway/Golden Lantern, Goldenwest Street, Los Alisos Boulevard, and Westminster Avenue/17<sup>th</sup> Street.

DKS' key personnel and support staff have experience in traffic operations, and transportation engineering including traffic signal timing, operational analysis, traffic signal and communication design, and systems engineering for ITS. Relevant projects include: OCTA Regional Communication Network Study, Ontario Fiber Optic Communication Design, Clark County Signal Timing Evaluation, El Toro Road signal synchronization project, and Chapman Avenue signal synchronization project. The proposed personnel responded well to the interview questions and in comparison, the team's overall experience and intimate knowledge of either respective corridor was not as extensive as the top-ranked firm.

AGA proposed the same project team for the Katella Avenue and Main Street projects. AGA's proposed team has implemented numerous signal timing and synchronization projects and is experienced in transportation planning and signal synchronization projects. AGA has traffic engineering operational contracts for traffic signal timing and coordination utilizing their

in-house traffic management systems. AGA proposed two highly qualified individuals as project advisor and QA/QC manager. These two individuals founded AGA in 1993 and collectively have vast experience in the traffic engineering and ITS profession. AGA's project manager has managed over 11 different traffic engineering, traffic signal synchronization and ITS projects for OCTA since 1998. The project manager has over 25 years of experience in traffic and transportation and key projects include: Euclid Street Demonstration Project, Orange County Traffic Signal Coordination Program, San Bernardino Valley Coordinated Traffic Signal System Plan Tier 1 and 2, and Orange County I-405 Freeway Major Investment Study and Project Study Report Project.

AGA's key personnel and support staff have experience in traffic operations and transportation engineering including traffic signal timing, operational analysis, traffic signal and communication design, and systems engineering for ITS. Relevant signal coordination projects include Irvine Center Drive/Edinger Avenue, Bear Street, and Malvern Avenue/Chapman Avenue. AGA's presentations and responses to interview questions about each of the respective corridors demonstrated their knowledge related to each of the projects.

#### **Work Plan**

All three short-listed firms met the scope requirements of the RFP, and each firm effectively discussed its approach to the projects.

Iteris' project approach conveyed a clear and distinct project understanding, project management approach, quality assurance and quality control methods, adherence to schedule and budget, and provides traffic signal equipment and communication upgrades to enhance operations. The firm demonstrated a thorough understanding of both project corridors by identifying the traffic conditions, pedestrian and school activity, signal synchronization timing and delays, and equipment upgrades. The firm proposed several enhancements, such as reviewing existing transportation infrastructure along the corridor, utilizing data sources to determine origin/destination patterns and seasonality, and conducting case studies at certain locations along the corridors to assess the effects of proposed improvements on actual operations of the streets. In addition, the firm detailed how it would reach out to different stakeholders and build consensus to ensure that recommendations are locally-adopted and implemented. Value added components to the Katella Avenue and Main Street projects include a three-year hosted automated traffic signal performance measure (SPM) system.

Iteris' work plan for the Katella Avenue corridor discussed improvement to the signal cabinets and controllers, pedestrian signals, conduit, and cables. It detailed routes with regards to morning and evening traffic flow, school traffic impacts, and corridor synchronization. High traffic volume generators such as Anaheim Stadium, Disneyland Resort, and Honda Center were discussed, and preliminary mitigation strategies were proposed. Iteris detailed solutions to key project issues to include pedestrian and community safety, school traffic, and business outreach communications with schools, community, and residents. In the interview, the project team addressed issues regarding Katella Avenue continuity of communications for Anaheim and provided proposed solutions.

Iteris' work plan for the Main Street corridor thoroughly discussed infrastructure improvements, the different and diverse land uses and special traffic generators, downtown Santa Ana grid system for the central business district, and the

OC Streetcar. Key operational elements presented for both corridors were critical travel times, cross-coordination, pedestrian signals, community safety, railroad crossings, Caltrans coordination, and outreach to the business community, schools, and residents. Both work plans detailed equipment upgrades to enhance corridor operations with the latest technologies.

The work plans for DKS demonstrated a clear understanding of each project's key requirements, project challenges, and practical recommendations and solutions. Work plans addressed traffic volumes and synchronization performance, pedestrian challenges, and proposed recommendations and potential solutions. DKS addressed their approach to timing and how this would be performed, as well as presenting traffic enhancement solutions. Main goals presented for each project were operation and timing analysis to develop and implement timing plans at signalized intersections, and determination and recommendations of traffic equipment to improve synchronization. DKS demonstrated a good understanding of issues and proposed solutions in the interview. Specific questions regarding maintaining interconnection along Katella Avenue in Anaheim and the OC Streetcar in Santa Ana were not responded to in depth nor recognized as a concern. DKS mentioned SPM but did not elaborate on usage or ownership. DKS mentioned big data solutions and utilizing analytics; however, noted it would not be providing the programs to OCTA or the partnering agencies as a project component. Responses to questions were general on specific critical issues to ensure the success of the Main Street Project.

The work plans for AGA for each corridor demonstrated a thorough understanding of each project's requirements and issues. AGA discussed their project approach on how they would perform operations and timing analysis to develop a good coordination of signal timing. AGA made recommendations for new or modified traffic signal equipment to improve synchronization and traffic enhancement solutions. AGA's work plans addressed high traffic volumes at certain intersections, split phase operations, and heavy traffic volumes, pedestrian traffic, and challenges during events at Angel Stadium, Anaheim Convention Center, Anaheim Regional Transportation Center, and Disneyland. AGA discussed their working relationship with Caltrans and how they would leverage their experience for projects and scheduling. AGA provided some solutions for traffic signal optimization and SPM were discussed for the use of the consultant in the performance of their work. Although some solutions for traffic signal optimization were referred to in the interview, the mitigation and solutions answers were limited.

#### **Procurement Summary**

Based on the evaluation of the written proposals, team qualifications, and information obtained during the interviews, the evaluation committee recommends the selection of Iteris as the top-ranked firm to provide ITS and traffic engineering services for Katella Avenue and Main Street regional traffic signal synchronization projects. Iteris demonstrated relevant experience, submitted a comprehensive and responsive proposal, proposed highly skilled staff for both projects and presented a thorough interview highlighting the firm's relevant experience and understanding of the overall projects.

#### **Fiscal Impact**

The project is included in OCTA's Fiscal Year 2018-19 Budget, Strategic Planning Division, Account 0017-7519-SPF24-P57 and 0017-7519-SPF26- P57. The local agencies will provide 20 percent of the total project cost in matching funds. The remaining funding will come from SB 1 (Chapter 5, Statutes of 2017) Local Partnership Program and Measure M.

#### **Summary**

Staff requests Board approval for the Chief Executive Officer to negotiate and execute Agreement No. C-8-2038 and Agreement No. C-9-1066 with Iteris, to provide ITS and traffic engineering services for the Katella Avenue and Main Street regional traffic signal synchronization projects.

***Attachments***

- A. Review of Proposals, RFP 8-2038 Consultant Selection for Intelligent Transportation Systems and Traffic Engineering Services for Regional Traffic Signal Synchronization Project (Katella Avenue)
- B. Review of Proposals, RFP 8-2038 Consultant Selection for Intelligent Transportation Systems and Traffic Engineering Services for Regional Traffic Signal Synchronization Project (Main Street)
- C. Proposal Evaluation Criteria Matrix - Short-Listed Firms, RFP 8-2038 Consultant Selection for Intelligent Transportation Systems and Traffic Engineering Services, Katella Avenue Regional Traffic Signal Synchronization Project
- D. Proposal Evaluation Criteria Matrix - Short-Listed Firms, RFP 8-2038 Consultant Selection for Intelligent Transportation Systems and Traffic Engineering Services, Main Street Regional Traffic Signal Synchronization Project
- E. Contract History for the Past Two Years, RFP 8-2038 Consultant Selection for Intelligent Transportation Systems and Traffic Engineering Services for Katella Avenue and Main Street Regional Traffic Signal Synchronization Projects

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# Review of Proposals

## RFP 8-2038 Consultant Selection for Intelligent Transportation Systems and Traffic Engineering Services for Regional Traffic Signal Synchronization Project (Katella Avenue)

Presented to Regional Planning and Highways Committee - April 1, 2019

Four firms proposed, three firms were interviewed, one firm is being recommended

Overall Ranking	Proposal Score	Firm & Location	Sub-Contractors	Evaluation Committee Comments
1	81	<b>Iteris, Inc.</b> Santa Ana, CA	Crosstown Electrical and Data, Inc.  Aim Traffic Data LLC  Counts Unlimited, Inc.	Highest-ranked firm. Experienced firm specializing in transportation planning, engineering, and technology services. Qualified firm with extensive applicable traffic engineering, intelligent transportation systems (ITS), transportation planning, impact studies, transportation modeling, and transportation technologies. Highly experienced project team with expertise in transportation engineering/design, technology, and traffic engineering projects. Proposed project manager has over 27 years of experience in ITS and traffic engineering projects. Proposed team and subconsultants have demonstrated successful experience working on projects of similar size and scope. Demonstrated thorough understanding of the projects constraints, solutions, and enhancements. Presented in-depth project approach and thoroughly answered questions during the interview.
2	79	<b>DKS Associates</b> Anaheim, California	Kimley-Horn Crosstown Electrical and Data, Inc.	Second-ranked firm. Experienced firm in traffic operational analysis, traffic synchronization, traffic signal design, and ITS. Proposed project team has experience in transportation engineering, transportation planning, and traffic engineering. Proposed project manager has 30 years of experience with transportation corridor and traffic engineering projects. Proposed team has successfully worked on relevant signal timing and synchronization projects. Demonstrated understanding of project issue and proposed solutions. Presented good approach and answered questions with detail during the interview.
3	74	<b>Albert Grover &amp; Associates, Inc.</b> Fullerton, California	Aim Traffic Data LLC National Data & Survey Services Crosstown Electrical and Data, Inc. Siemens Industry, Inc.	Experienced firm in traffic engineering and transportation planning. Good qualifications with traffic signal synchronization experience and knowledge. Project manager has over 25 years experience in traffic and transportation. Proposed project manager and team has experience and worked together on numerous signal and traffic synchronization projects. Demonstrated understanding of the project requirements and proposed solutions. Presented good approach during the interview, however mitigation and solution answer were limited.

### Evaluation Panel:

Internal:  
Strategic Planning (2)  
External:  
City of Anaheim (1)  
City of Irvine (1)  
City of Santa Ana (1)

### Proposal Criteria

Staffing and Project Organization  
Work Plan  
Qualifications of the Firm

### Weight Factors

40%  
35%  
25%



# Review of Proposals

## RFP 8-2038 Consultant Selection for Intelligent Transportation Systems and Traffic Engineering Services for Regional Traffic Signal Synchronization Project (Main Street)

Presented to Regional Planning and Highways Committee - April 1, 2019

Three firms proposed, three firms were interviewed, one firm is being recommended

Overall Ranking	Proposal Score	Firm & Location	Sub-Contractors	Evaluation Committee Comments
1	85	<b>Iteris, Inc.</b> Santa Ana, CA	Crosstown Electrical and Data, Inc.  Aim Traffic Data LLC  Counts Unlimited, Inc.	Highest-ranked firm. Experienced firm specializing in transportation planning, engineering, and technology services. Qualified firm with extensive applicable traffic engineering, intelligent transportation systems (ITS), transportation planning, impact studies, transportation modeling, and transportation technologies. Highly experienced project team with expertise in transportation engineering/design, technology, and traffic engineering projects. Proposed project manager has over 30 years of experience in ITS and traffic engineering projects. Proposed team and subconsultants have demonstrated successful experience working on projects of similar size and scope. Demonstrated understanding of project constraints, solutions, and enhancements. Presented in-depth project approach and thoroughly answered questions during the interview.
2	76	<b>Albert Grover &amp; Associates, Inc.</b> Fullerton, California	Aim Traffic Data LLC National Data & Survey Services Crosstown Electrical and Data, Inc. Siemens Industry, Inc.	Second-ranked firm. Good qualifications with traffic signal synchronization experience and knowledge. The project manager has over 25 years experience in traffic and transportation. Proposed project manager and team has experience working together on signal timing projects. Proposed project manager and team has experience and worked together on numerous signal and traffic synchronization projects. Demonstrated understanding of the project requirements and proposed solutions. Presented good approach and corridor knowledge during the interview.
3	75	<b>DKS Associates</b> Anaheim, CA	Kimley-Horn  Crosstown Electrical and Data, Inc.	Experienced firm in traffic operational analysis, traffic synchronization, traffic signal design, and ITS. Proposed project team has experience in transportation engineering, transportation planning, and traffic engineering. Proposed project manager has 30 years of experience with transportation corridor and traffic engineering projects. Proposed team has successfully worked on relevant signal timing and synchronization projects. Demonstrated understanding of project issue and proposed solutions. Presented good approach and answered questions, however interview answer were vague in response to critical issues.

### Evaluation Panel:

Internal:  
Strategic Planning (2)  
External:  
City of Anaheim (1)  
City of Irvine (1)  
City of Santa Ana (1)

### Proposal Criteria

Staffing and Project Organization  
Work Plan  
Qualifications of the Firm

### Weight Factors

40%  
35%  
25%

## PROPOSAL EVALUATION CRITERIA MATRIX - Short-Listed Firms

RFP 8-2038 Consultant Selection for Intelligent Transportation Systems and Traffic Engineering Services  
Katella Avenue Regional Traffic Signal Synchronization Project

Firm: Iteris, Inc.						Weights	Criteria Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	4.0	4.0	4.0	5.00	20.0
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	8.00	32.0
Work Plan	4.0	4.0	4.5	4.0	4.0	7.00	28.7
Overall Score	80.00	80.00	83.50	80.00	80.00		81.0

Firm: DKS Associates						Weights	Criteria Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	4.0	4.0	4.0	5.00	20.0
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	8.00	32.0
Work Plan	3.5	4.0	4.0	4.0	3.5	7.00	26.6
Overall Score	76.50	80.00	80.00	80.00	76.50		79.0

Firm: Albert Grover & Associates, Inc.						Weights	Criteria Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	4.0	4.0	4.0	5.00	20.0
Staffing/Project Organization	4.0	3.5	3.5	4.0	3.0	8.00	28.8
Work Plan	3.5	4.0	3.5	4.0	3.0	7.00	25.2
Overall Score	76.50	76.00	72.50	80.00	65.00		74.0

Score for non short-listed firm is 54

## PROPOSAL EVALUATION CRITERIA MATRIX - Short-Listed Firms

RFP 8-2038 Consultant Selection for Intelligent Transportation Systems and Traffic Engineering Services  
Main Street Regional Traffic Signal Synchronization Project

Firm: Iteris, Inc.						Weights	Criteria Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	4.0	4.0	4.0	5.00	20.0
Staffing/Project Organization	5.0	4.0	4.5	4.0	4.0	8.00	34.4
Work Plan	4.0	4.5	4.5	4.5	4.0	7.00	30.1
Overall Score	88.0	83.5	87.5	83.5	80.0		85

Firm: Albert Grover & Associates, Inc.						Weights	Criteria Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	4.0	4.0	4.0	5.00	20.0
Staffing/Project Organization	4.0	3.5	3.0	4.0	3.5	8.00	28.8
Work Plan	4.0	4.0	4.0	4.0	3.5	7.00	27.3
Overall Score	80.0	76.0	72.0	80.0	72.5		76

Firm: DKS Associates						Weights	Criteria Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	4.0	4.0	4.0	5.00	20.0
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	8.00	32.0
Work Plan	3.5	3.0	3.0	3.5	3.5	7.00	23.1
Overall Score	76.5	73.0	73.0	76.5	76.5		75

## CONTRACT HISTORY FOR THE PAST TWO YEARS

### RFP 8-2038 Consultant Selection for Intelligent Transportation Systems and Traffic Engineering Services for Katella Avenue and Main Street Regional Traffic Signal Synchronization Projects

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
<b>Iteris, Inc.</b>						
Contract Type: Contract Task Order	C-1-3057	Traffic Engineering Services Trabuco Road	April 8, 2014	April 30, 2019		\$ 319,861
Subconsultants:						
National Data & Surveying Services						
Crosstown Electric & Data, Inc.						
Contract Type: Contract Task Order	C-1-3057	Newport Boulevard South Regional Traffic Signal Synchronization Project	June 26, 2014	June 30, 2019		\$ 1,406,267
Subconsultants:						
National Data & Surveying Services						
Crosstown Electric & Data, Inc.						
Contract Type: Contract Task Order	C-4-1316	Bristol Street Regional Traffic Signal Synchronization Project	June 29, 2015	March 31, 2020		\$ 2,252,469
Subconsultants:						
Crosstown Electrical and Data, Inc.						
Contract Type: Contract Task Order	C-4-1316	Pacific Coast Highway Regional Traffic Signal Synchronization Project	June 23, 2016	June 30, 2019		\$ 2,122,346
Subconsultants:						
Crosstown Electrical and Data, Inc.						
Contract Type: Contract Task Order	C-4-1316	Brookhurst Street Regional Traffic Signal Synchronization Project	June 26, 2018	May 31, 2020		\$ 3,534,110
Subconsultants:						
Crosstown Electrical and Data, Inc.						
Contract Type: Firm Fixed Price	C-6-1553	Beach Boulevard Transit Signal Implementation	April 10, 2017	February 28, 2019		\$ 99,877
Subconsultants:						
Eiger Techsystems Inc.						
<b>Sub Total</b>						<b>\$9,734,930</b>

**RFP 8-2038 Consultant Selection for Intelligent Transportation Systems and Traffic Engineering Services for Katella Avenue and Main Street Regional Traffic Signal Synchronization Projects**

[illegible]



***April 1, 2019***

**To:** Regional Planning and Highways Committee

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

**Subject:** Amendments to Cooperative Agreements with the Cities of Fountain Valley and Seal Beach for the Interstate 405 Improvement Project

### ***Overview***

On March 14, 2016 and May 9, 2016, the Orange County Transportation Authority Board of Directors approved Cooperative Agreement Nos. C-5-3613 and C-6-1126 with the cities of Fountain Valley and Seal Beach, respectively, for city services required during the design-build implementation of the Interstate 405 Improvement Project. These cooperative agreements need to be amended for additional city support services during the design and construction of the project.

### ***Recommendations***

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 3 to Cooperative Agreement No. C-5-3613 between the Orange County Transportation Authority and the City of Fountain Valley, in the amount of \$1,985,000, 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 \$4,367,708.
- B. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Cooperative Agreement No. C-6-1126 between the Orange County Transportation Authority and the City of Seal Beach, in the amount of \$250,000, 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 \$370,600.

### ***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

## **Amendments to Cooperative Agreements with the Cities of Fountain Valley and Seal Beach for the Interstate 405 Improvement Project**

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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 traffic facilities impacted by the Project.

On March 14, 2016 and May 9, 2016, the OCTA Board of Directors approved funding for city services for the corridor cities, including Fountain Valley and Seal Beach (Cities), respectively, during the design-build implementation of the Project (Attachments A and B). The reimbursement to each respective corridor city includes costs for review and approval of plans, specifications, and reports, and oversight of construction inspection services for each city's facilities; review and acceptance of the transportation management plan; traffic engineering; and police services during design and construction of the Project.

The original city cooperative agreement's level of effort 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, staff and the Cities have a better understanding of the level of effort needed for the Cities to effectively provide the support necessary for successful delivery of the Project.

For both Cities, the original scope of work assumed the design period would span approximately 15 months, and the Project would be divided into large design segments. OC 405 Partner's (OC405) design period is currently 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 OC405 contract. This has resulted in the need for additional city engineering support in terms of increased labor and time periods needed to review the increased number of design packages.

For the City of Fountain Valley, the additional city support is also due to the large number of city facilities impacted by the Project that require city review. This includes four interchange reconstructions at Euclid Street/Ellis Avenue, Brookhurst Street, Warner Avenue, and Magnolia Street. Additionally, there are four local street bridge replacements at Ward Street, Talbert Avenue, Slater Avenue, and Bushard Street. These improvements require significant review of city elements, such as local street design, traffic signal plans and traffic control plans to accommodate traffic shifts, and short-term intermittent lane closures related to the reconstruction of the local street and associated bridge. Lastly,

**Amendments to Cooperative Agreements with the Cities of Fountain Valley and Seal Beach for the Interstate 405 Improvement Project** *Page 3*

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the Slater Avenue bridge was changed from a two-stage bridge demolition and reconstruction to a one-stage bridge demolition and reconstruction, which had significant benefits to the Project but required additional city reviews and analysis.

Attachments C and D to this report depict the revised reimbursement amounts for each corridor city. The proposed amendments will be funded from the Project contingency and will not increase the total Project estimate of \$1.9 billion.

**Fiscal Impact**

Funding for these amendments 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. 3 to Cooperative Agreement No. C-5-3613 with the City of Fountain Valley, in the amount of \$1,985,000, and Amendment No. 1 to Cooperative Agreement No. C-6-1126 with the City of Seal Beach, in the amount of \$250,000, for additional city services during design and construction of the Interstate 405 Improvement Project.



**Amendments to Cooperative Agreements with the Cities of Fountain Valley and Seal Beach for the Interstate 405 Improvement Project** *Page 4*

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***Attachments***

- A. City of Fountain Valley, Cooperative Agreement No. C-5-3613 Fact Sheet
- B. City of Seal Beach, Cooperative Agreement No. C-6-1126 Fact Sheet
- C. Revised Schedule A – Reimbursement/Contribution Schedule for Combined City Services City of Fountain Valley
- D. Revised Schedule A – Reimbursement Schedule for Combined City Services City of Seal Beach

**Prepared by:**



Dennis Mak, P.E.  
Project Manager  
(714) 560-5826



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

**Approved by:**



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

**City of Fountain Valley  
Cooperative Agreement No. C-5-3613 Fact Sheet**

1. March 14, 2016, Cooperative Agreement No. C-5-3613, \$975,700, approved by the Board of Directors (Board).
  - To provide City of Fountain Valley (City) services, including plan review and approval of plans, specifications, reports, and traffic management plan, and oversight of construction and detour inspection services; traffic engineering and police services; and for repairs to city street pavements impacted by signed, long-term freeway detours for the Interstate 405 Improvement Project (Project).
2. November 12, 2018, Amendment No. 1 to Cooperative Agreement No. C-5-3613, \$657,008, 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. April 5, 2019, Amendment No. 2 to Cooperative Agreement No. C-5-3613, \$750,000, pending execution by the Contracts Administration and Materials Management Department.
  - To include reimbursement costs (City's cost share), in the amount of \$750,000, from the City to pay for the relocation of City water lines into bridges.
4. April 8, 2019, Amendment No. 3 to Cooperative Agreement No. C-5-3613, \$1,985,000, 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 cooperative agreement amount, including \$750,000 reimbursement from City, after approval of Amendment No. 3 to Cooperative Agreement No. C-5-3613: \$4,367,708.

**City of Seal Beach  
Cooperative Agreement No. C-6-1126 Fact Sheet**

1. May 9, 2016, Cooperative Agreement No. C-6-1126, \$120,600, approved by the Board of Directors (Board).
  - To provide City of Seal Beach (City) services, including plan review and approval of plans, specifications, reports, and traffic management plan, and oversight of construction, traffic engineering, and police services for the Interstate 405 Improvement Project (Project).
2. April 8, 2019, Amendment No. 1 to Cooperative Agreement No. C-6-1126, \$250,000, pending Board approval.
  - To provide additional City services, including plan review and approval of plans, specifications, reports, review and acceptance of the traffic management plan, and oversight construction inspection; traffic engineering, and police services for Project.

Total committed to City of Seal Beach after approval of Amendment No. 1 to Cooperative Agreement No. C-6-1126: \$370,600.

**REVISED SCHEDULE A****REIMBURSEMENT/CONTRIBUTION SCHEDULE FOR COMBINED CITY SERVICES  
CITY OF FOUNTAIN VALLEY**

<b><i>Item No.</i></b>	<b><i>Description of City Services</i></b>	<b><i>Maximum Reimbursement Amount by AUTHORITY<sup>1</sup></i></b>	<b><i>Maximum Contribution Amount by CITY</i></b>
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.	\$1,738,200	
2	Traffic engineering and detour oversight inspection	\$675,900	
3	Police services (including overtime costs)	\$546,600	
4	Pavement mitigation	\$657,008	
	<b>TOTAL MAXIMUM REIMBURSEMENT</b>	<b>\$3,617,708</b>	
5	Relocation of CITY water lines into bridges		\$750,000
	<b>TOTAL MAXIMUM CONTRIBUTIONS BY CITY</b>		<b>\$750,000</b>
<b>MAXIMUM OBLIGATION AMOUNT</b>		<b>\$4,367,708</b>	

- (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 amount for CITY SERVICES shall not exceed the Total Maximum Reimbursement amount shown herein.

**REVISED SCHEDULE A****REIMBURSEMENT SCHEDULE FOR COMBINED CITY SERVICES****CITY OF SEAL BEACH**

<b><i>Item No.</i></b>	<b><i>Description of City Services</i></b>	<b><i>Maximum Reimbursement Amount<sup>1</sup></i></b>
1	Review and approval of plans, specifications, and other pertinent engineering plans and reports, Traffic Management Plan review and concurrence, and construction oversight inspection services related to CITY FACILITIES.	\$245,900
2	Traffic engineering	\$47,600
3	Police services (including overtime costs)	\$77,100
4	Pavement rehabilitation (if applicable)	\$TBD <sup>2</sup>
	<b>TOTAL MAXIMUM REIMBURSEMENT</b>	<b>\$370,600</b>

- (1) Schedule A shows estimated reimbursement amounts for each CITY SERVICES item of work. During the term of this cooperative agreement, the CITY may redistribute funds for items of work as needed; however, the total amount of CITY SERVICES shall not exceed the Total Maximum Reimbursement amount shown herein.
- (2) In the event it is determined that pavement mitigation is required, this amount will be determined after the contractor is hired by the Orange County Transportation Authority, and shall be reimbursed as a one-time lump sum amount upon execution of an amendment to this cooperative agreement.



***April 1, 2019***

**To:** Regional Planning and Highways Committee

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

**Subject:** Interstate 405 Improvement Project Update

### ***Overview***

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

### ***Recommendation***

Receive and file as an information item.

### ***Background***

The Orange County Transportation Authority (OCTA), in cooperation with the California Department of Transportation, and the cities of Costa Mesa, Fountain Valley, Huntington Beach, Seal Beach, and Westminster, is implementing the Interstate 405 (I-405) Improvement Project between State Route 73 (SR-73) and Interstate 605 (I-605) (Project). The Project will add one general purpose lane from Euclid Street to I-605, consistent with Measure M2 Project K, and will add an additional lane in each direction that will combine with the existing high-occupancy vehicle (HOV) lane to provide dual express lanes in each direction of I-405 from SR-73 to I-605, otherwise known as the 405 Express Lanes.

On November 14, 2016, the OCTA Board of Directors (Board) awarded the design-build (DB) contract to OC 405 Partners (OC405), a joint venture. OCTA executed the DB contract with OC405 and issued Notice to Proceed (NTP) No. 1 on January 31, 2017. NTP No. 1 was a limited NTP for mobilization, design, and administrative activities. On July 26, 2017, the Transportation Infrastructure Finance and Innovation Act (TIFIA) loan agreement was executed between OCTA and the United States Department of Transportation (USDOT). On July 27, 2017, OCTA issued NTP No. 2 to OC405. NTP No. 2 was a full NTP for all activities, including construction.

***Discussion***

A number of activities are ongoing as the final design, right-of-way (ROW) acquisition, utility relocations, and construction activities continue to advance. The following provides a more detailed status of Project activities.

**Tolling Contracts**

On February 26, 2018, the Board selected Kapsch TrafficCom USA, Inc., (Kapsch) to provide toll lanes system integration services for design, installation, operation, and maintenance of the electronic toll and traffic management system on both the 405 and 91 Express Lanes. Kapsch is currently under contract and is working closely with the design-builder to deliver fully functional express lanes upon opening in 2023.

Staff will initiate the development of a request for proposals for the back office support and customer service center contract for the 405 Express Lanes, and plans to seek Board approval for its release in early 2020.

**Financing and TIFIA Loan**

On July 26, 2017, OCTA executed a TIFIA loan agreement with the USDOT for up to \$628.93 million. Pursuant to the terms identified in the loan agreement, OCTA staff submits periodic reimbursement requisitions to the USDOT Build America Bureau and Federal Highway Administration. OCTA has received two TIFIA loan disbursements to date and anticipates receiving the third disbursement in September 2019.

On February 26, 2019, OCTA received \$400 million in net proceeds for the Project as a result of issuing tax-exempt municipal bonds. The bonds, which were rated by both Fitch and S&P in the AA+ category, will be repaid with Measure M2 sales tax at an average fixed rate of 3.14 percent. Issuing these bonds was part of the Board-approved plan of finance for the Project.

**Design**

The final design is approximately 75 percent complete overall and is anticipated to be fully complete in 2019.

**ROW Acquisition**

Construction of the Project impacts 288 properties, including 179 residential properties, 71 commercial/industrial properties, 37 public properties, and one railroad property. There are 287 properties identified as partial acquisitions and one property identified as a full acquisition at the owner's request. The real property requirements for the partial acquisitions are comprised of a

combination of fee acquisitions, permanent easements, temporary construction easements (TCE), permanent and temporary ground lease reductions, and access control rights needed to construct the proposed highway and express lane improvements for the Project. The full-fee acquisition, partial-fee acquisitions, permanent easements, and TCEs are required for roadway and bridge construction, soundwalls and retaining walls, drainage systems, and for the installation of above-ground and underground facilities, including electrical, telecommunication, water, sewer, gas, and storm drain systems.

The ROW acquisition program is currently on schedule. Of the 288 total parcels impacted, the following summarizes the status of the ROW acquisition:

- 282 offers presented,
- 242 agreements or possession (84 percent of 288 total parcels impacted),
- 58 resolutions of necessity approved.

#### Utility Relocations

There are currently 107 utilities that require relocation as part of the Project. OCTA is coordinating with the 22 impacted utility companies to identify and resolve issues. There are several utility relocation challenges that staff continues to focus on as utilities are a shared risk between OCTA and OC405.

#### Construction

OC405 began construction on March 6, 2018. Initial construction activities included restriping portions of the freeway and setting up concrete barriers on the outside of the freeway to protect work areas for activities such as tree removals and grading. These initial construction activities are generally complete. Clearing and grubbing, including tree and ground cover removal, and rough grading activities have also advanced in the last quarter.

Significant roadway construction activities, including installation of drainage systems, retaining walls, and paving operations, began earlier this year.

Construction continued on the Slater Avenue bridge as the abutments and columns have been completed and construction of the bridge superstructure will begin in the next month. The Slater Avenue bridge will be the first new bridge completed and is anticipated to open to traffic in late 2019. Construction on the McFadden Avenue bridge also continued, and that bridge is anticipated to be open to traffic in the spring of 2020. Both Slater Avenue and McFadden Avenue are one-stage bridges, which means the bridges are closed to traffic on both sides of I-405 during demolition and reconstruction.



In late 2018, partial bridge demolitions were performed at Magnolia Street, Goldenwest Street, and Bolsa Chica Road. These are two-stage bridges, which means traffic will be maintained on the remaining portion of the bridge while the first half of the new bridge is constructed.

In March, OC405 partially demolished the Fairview Road bridge and began work on the bridge reconstruction. This is a two-stage bridge, and traffic will be maintained on the remaining portion of the bridge while the first half of the new bridge is constructed.

Looking ahead, the remainder of 2019 will remain busy related to bridge construction. Construction is anticipated to begin in late spring at the Bolsa Avenue and Westminster Boulevard bridges, both of which are two-stage bridges. In early summer, construction is anticipated to begin on the Santa Ana River bridge and the Harbor Boulevard bridge. The bridge construction at the Santa Ana River and Harbor Boulevard consists of widening the existing freeway bridge over both of those facilities. In late 2019, after the Slater Avenue bridge is open to traffic, construction is anticipated to begin on the Talbert Avenue and Bushard Street bridges. Both Talbert Avenue and Bushard Street are one-stage bridges, which means the bridges will be closed to traffic on both sides of I-405 during demolition and reconstruction.

#### **I-405/SR-73 New Median Connector**

As part of the Project, a new connector will be built between the medians of I-405 and SR-73, connecting the 405 Express Lanes to the non-tolled general purpose lanes on SR-73. The new median connector will carry one lane from northbound SR-73 to northbound 405 Express Lanes, and one lane from southbound 405 Express Lanes to southbound SR-73. This new median connector was included in the approved Final Environmental Impact Report/Environmental Impact Statement. Currently, in the southbound direction, traffic in the I-405 HOV lane that wants to travel onto southbound SR-73 must exit the HOV lane and weave across the I-405 general purpose lanes to exit onto SR-73. There is a similar issue in the northbound direction. The new median connector provides a direct freeway-to-freeway connection between I-405 and SR-73. Additionally, the new median connector accommodates OCTA's planned HOV lanes project on SR-73 between I-405 and MacArthur Boulevard, which is included in OCTA's Long Range Transportation Plan and the Southern California Association of Government's Regional Transportation Plan/Sustainable Communities Strategy. The new median connector is anticipated to begin construction in 2021.

### Project Challenges

As would be expected on a project of this magnitude, certain challenges have been encountered, including the following:

- Working together with many different agencies and third parties,
- Inclement weather,
- Resource availability and cost in this active construction market,
- Change management,
- Minimizing impacts and disruptions to the public.

OCTA staff continues to work with its partners to mitigate these Project challenges.

### Project Cost/Contingency

The overall Project cost remains \$1.9 billion, and the Project contingencies have been approximately 28 percent expended to date. This is in line with the percent complete for the Project from both a time and earned value standpoint.

### Public Outreach

The Project's mobile app launched last quarter, providing an additional tool for the community to get the latest Project information. The app provides immediate access to closures and detours, as well as information about upcoming major activities, organized by bridge. Users also can view time-lapse videos of work on several bridges, receive audio Project updates in English, Spanish, and Vietnamese, learn about the 405 Express Lanes, and access an archive of Project background documents.

Since January, OCTA has hosted an additional four neighborhood meetings to provide constituents with details about construction at the Fairview Road, Bolsa Avenue, Goldenwest Street, and Westminster Boulevard bridges. More than 40,000 flyers were distributed throughout the Project corridor to notify residents and businesses of meetings and other activities. Each meeting consists of a brief Project overview, details of demolition and reconstruction activities, road closures and detours, and an opportunity for questions. All collateral is translated into Spanish and Vietnamese, and all events are staffed with native Spanish and Vietnamese speakers.

The Project's Outreach team also met regularly with emergency responders throughout the Project corridor to address questions about freeway access and detour routes during construction.

Over the last quarter, inquiries from the public have averaged about 100 per month, with questions focusing on bridge reconstruction, sound wall plans, noise, traffic congestion, and roadway closures and detours. The Outreach team has participated in two community festivals and met with key stakeholders, such as the Fountain Valley Chamber of Commerce, South Coast Metro Alliance, the American Automobile Association, the OC Fair & Event Center, and Newport-Mesa Unified and Santa Ana Unified school districts. Project staff also made presentations to the Taxpayer Oversight Committee, the Citizens Advisory Committee's Technology and Innovation Ad Hoc, and the Diverse Community Leaders Committee.

As construction continues over the next quarter, the team anticipates holding at least three more neighborhood meetings and continuing to brief key stakeholders and community organizations. The team will also be participating in the Taste of Huntington Beach, the Westminster Spring Festival, and the Fountain Valley Summerfest.

#### **Next Steps**

Staff will continue to work closely with the design-builder as design and construction continue. This involves completing portions of the final design, obtaining permits, utility relocation coordination, and construction activities. Additionally, the ROW acquisition program will continue as planned.

#### **Summary**

Final design and construction continue to advance. Currently, final design, ROW acquisition, public outreach, and other activities are in process to continue the construction phase of the Project.

#### **Attachment**

None.

#### **Prepared by:**



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

#### **Approved by:**



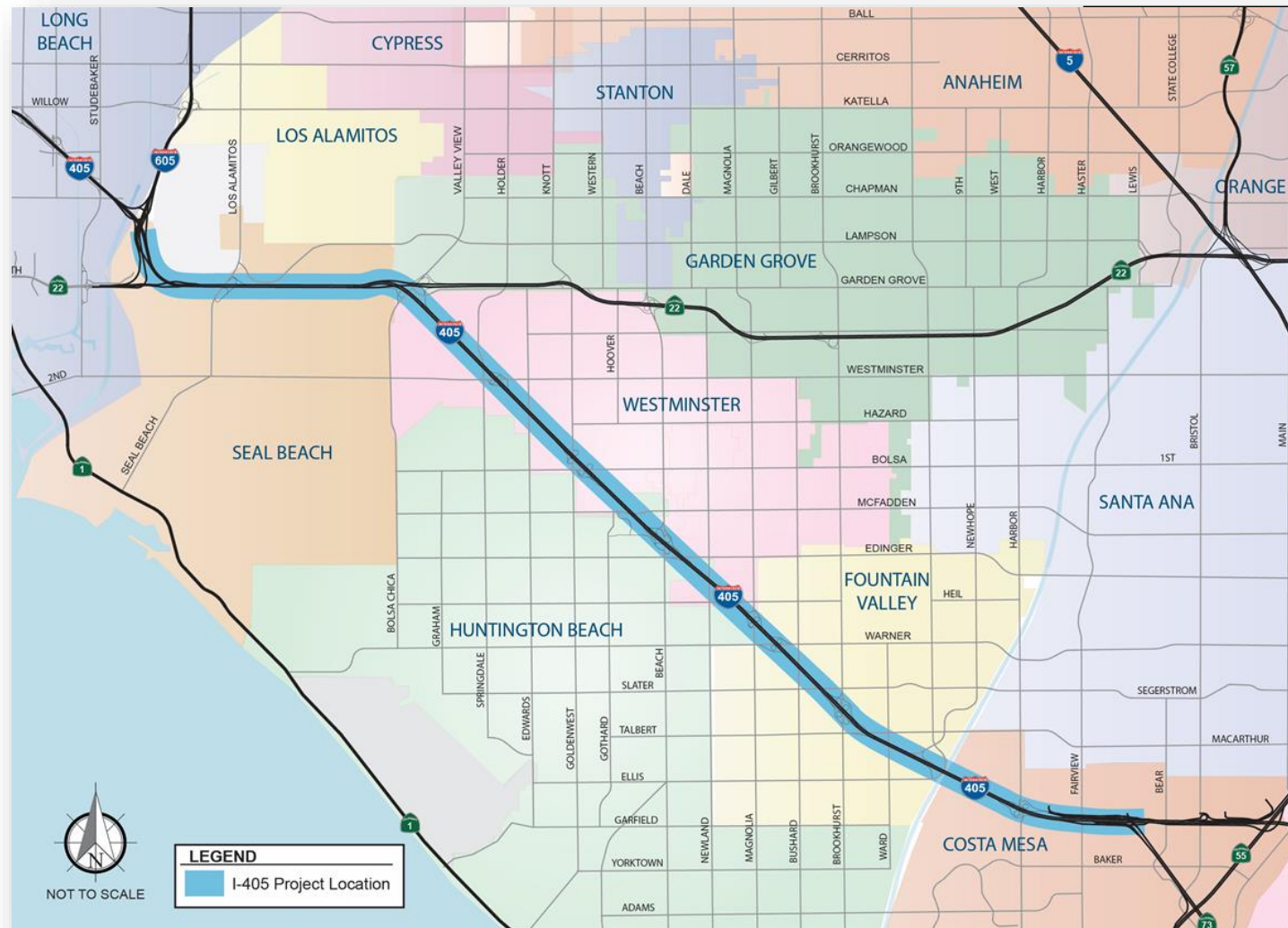
James G. Beil, P.E.  
Executive Director, Capital Programs  
(714) 560-5646



# Interstate 405 Improvement Project Update



# Project Location and Key Features







- On November 14, 2016, the Orange County Transportation Authority (OCTA) Board of Directors (Board) awarded the design-build contract to OC 405 Partners (OC405)
- On January 31, 2017, OCTA executed the contract with OC405 and issued Notice to Proceed (NTP) No. 1
- On June 26, 2017, the Board approved the Transportation Infrastructure Finance and Innovation Act (TIFIA) loan
- On July 27, 2017, OCTA issued NTP No. 2 to OC405

# Project Update



## General

- \$400 million bond offering in February 2019
- Next TIFIA loan disbursement anticipated in September 2019

## Design

- Project design approximately 75 percent complete
- Design anticipated to be fully complete in 2019

## Right-of-Way

- 288 parcels impacted – on schedule overall
- 282 offers presented
- 242 agreements or possession (84 percent of total parcels needed)
- 58 resolutions of necessity adopted by the Board

# Construction Update



**Fairview Road partial bridge demolition**



# Construction Update



Slater Avenue bridge anticipated to be first new bridge open to traffic in late 2019



**Slater Avenue bridge construction**



# Construction Update



**Preparation for freeway pavement widening near Magnolia Street**



# Construction Update



**Goldenwest Street bridge construction**



# Construction Update



**Westminster Boulevard median work**



# Construction Update



**Bolsa Chica Road drainage system construction**

# Look Ahead for Bridge Construction



**April – June  
2019**

- Bolsa Avenue overcrossing (replace in 2 stages)
- Westminster Boulevard overcrossing (replace in 2 stages)
- Harbor Boulevard undercrossing (widen freeway bridge)
- Santa Ana River bridge (widen freeway bridge)

**July – December  
2019**

- Talbert Avenue overcrossing (replace in 1 stage)
- Bushard Street overcrossing (replace in 1 stage)

**Slater Avenue overcrossing anticipated to be complete and open to traffic in late 2019.**

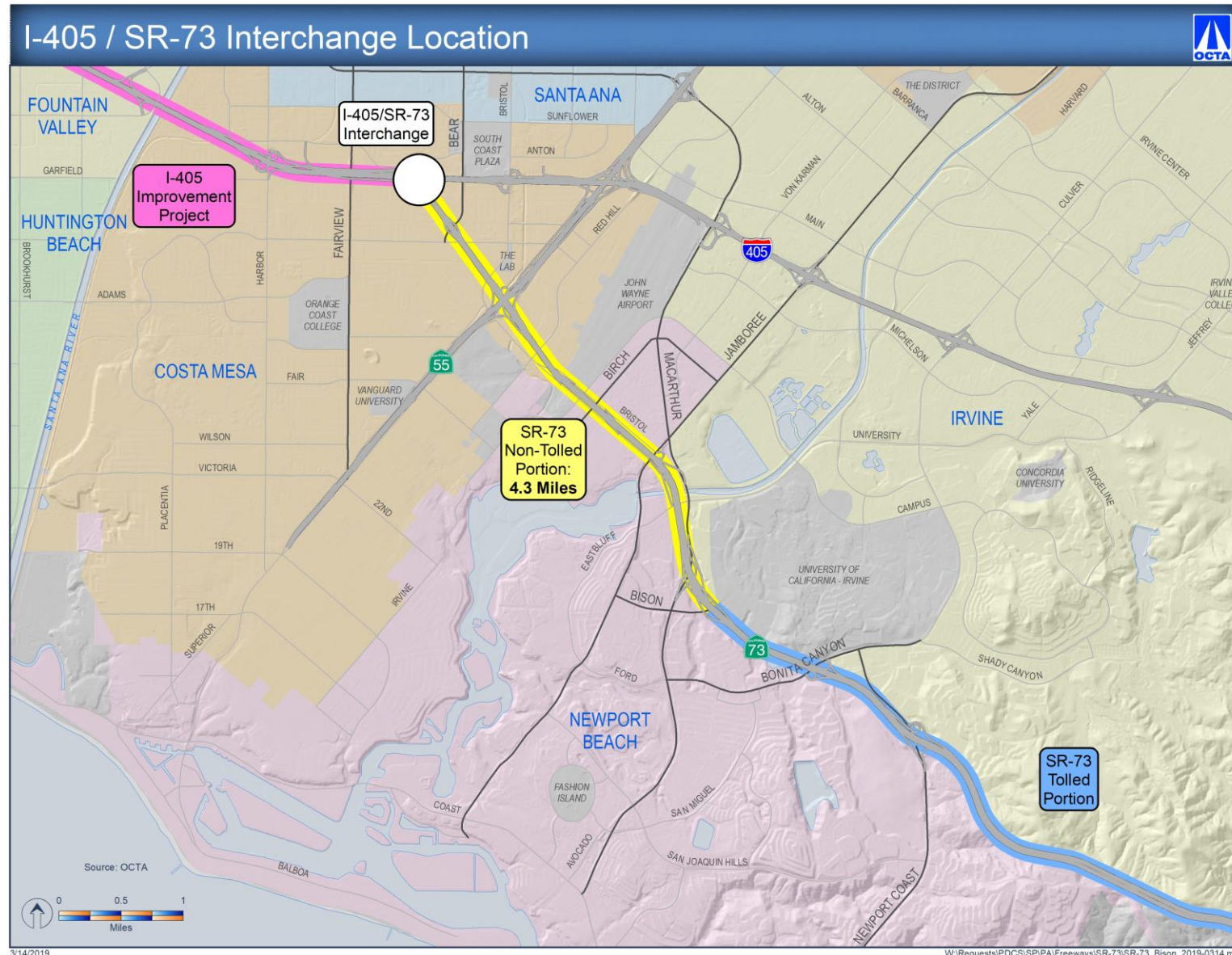
**McFadden Avenue overcrossing anticipated to be complete and open to traffic in spring 2020.**



# Bridge Construction Map



# Interstate 405/State Route 73 Interchange





# Interstate 405/State Route 73 New Connector



# Interstate 405/State Route 73 New Connector



- Addition of new connector between medians of Interstate 405 (I-405) and State Route 73 (SR-73), connecting the 405 Express Lanes to the non-tolled general purpose lanes on SR-73
- Improvements at I-405/SR-73 interchange evaluated during environmental phase and approved by all parties
- Improvements accommodate OCTA's planned high-occupancy lanes project on SR-73 between I-405 and MacArthur Boulevard



# Project Challenges



- Working together with many different agencies and third parties
- Inclement weather
- Resource availability and cost in this active construction market
- Change management
- Minimizing impacts and disruptions to the public


# Ongoing Community Outreach



- Community Events
  - Westminster Spring Festival
  - Taste of Huntington Beach
  - Fountain Valley Summerfest
- Neighborhood Meetings
  - Harbor Boulevard undercrossing
  - Santa Ana River bridge/Euclid Street undercrossing
- School, Business, and Ethnic Communities Outreach
- Stakeholder Meetings



Magnolia Street Bridge  
Neighborhood Meeting

**NEIGHBORHOOD MEETING** | REUNIÓN DE BARRIO | HỌI NGHỊ KHU PHỐ  
**BOLSA AVENUE/GOLDENWEST STREET CONSTRUCTION**  
Construcción de la Avenida Bolsa/La calle Goldenwest. CÔNG TRÌNH XÂY DỰNG TRÊN ĐAI LỘ BOLSA VÀ ĐƯỜNG GOLDENWEST

The Orange County Transportation Authority (OCTA) would like to invite you to attend a neighborhood meeting to learn more about the I-405 Improvement Project.

The 405 Outreach Team will be available to answer questions regarding Bolsa Avenue bridge and Goldenwest Street bridge construction. Traffic on the Bolsa Avenue bridge is scheduled to be shifted to one side in early March in anticipation of the bridge's partial demolition in mid-March. The partial demolition allows the bridge to remain open to traffic during construction of the new bridge.

La Autoridad de Transporte del Condado de Orange (OCTA, por sus siglas en inglés) desea invitarlo a asistir a una reunión del vecindario para obtener más información sobre el Proyecto de ampliación en el I-405.

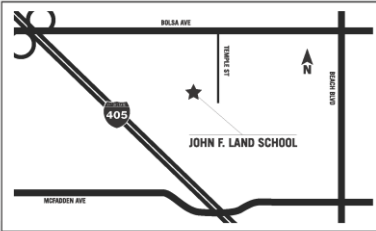
El equipo de alcance del 405 estará disponible para contestar preguntas sobre el puente de la Avenida Bolsa y la construcción del puente de la calle Goldenwest. Tráfico en el puente de la Avenida Bolsa esta programado para ser desplazado a un lado a principios de marzo en previsión de la demolición parcial del puente a medios de marzo.

Sở Văn Tài Quận Cam (OCTA) xin mời quý vị tham dự một cuộc họp cư dân khu phố để tìm hiểu thêm về Dự án Cải thiện Liên bang 405.

Nhóm Tiếp cận Cộng đồng 405 sẽ sẵn sàng trả lời các câu hỏi liên quan đến công trình xây dựng trên cầu xa lộ Bolsa và cầu đường Goldenwest. Theo lịch trình, giao thông trên cầu xa lộ Bolsa sẽ được chuyển sang một bên vào đầu tháng Ba và một phần của cây cầu đoạn là sẽ được phá hủy vào giữa tháng Ba. Sự phá hủy một phần cho phép giao thông vẫn được qua lại trên cầu trong khi cây cầu mới đang xây.

► **WHEN / CUANDO / THỜI GIAN**  
**Saturday, March 2, 2019**  
**9 to 10:30 a.m.**  
Sábado 2 de marzo de 2019  
9 a 10:30 a.m.  
Thứ Bảy tháng Ba năm 2019  
Từ 9 giờ sáng đến 10:30 sáng

► **WHERE / DÓNDE / ĐỊA ĐIỂM**  
**John F. Land School**  
15151 Temple Street  
Westminster, CA 92683







**FOR MORE INFORMATION**

PROJECT HELP LINE: 888-400-8994  
PROJECT EMAIL: 405project@octa.net  
WEBSITE: octa.net/405improvement  
FACEBOOK: facebook.com/405improvement  
TWITTER: @405improvement  
INSTAGRAM: @405\_improvement  
INTERACTIVE MAP: octa.net/405map

Bilingual staff or professional interpreters will be available at the meeting.  
Si prefiere recibir información en español, por favor llame este número 888-400-8994.

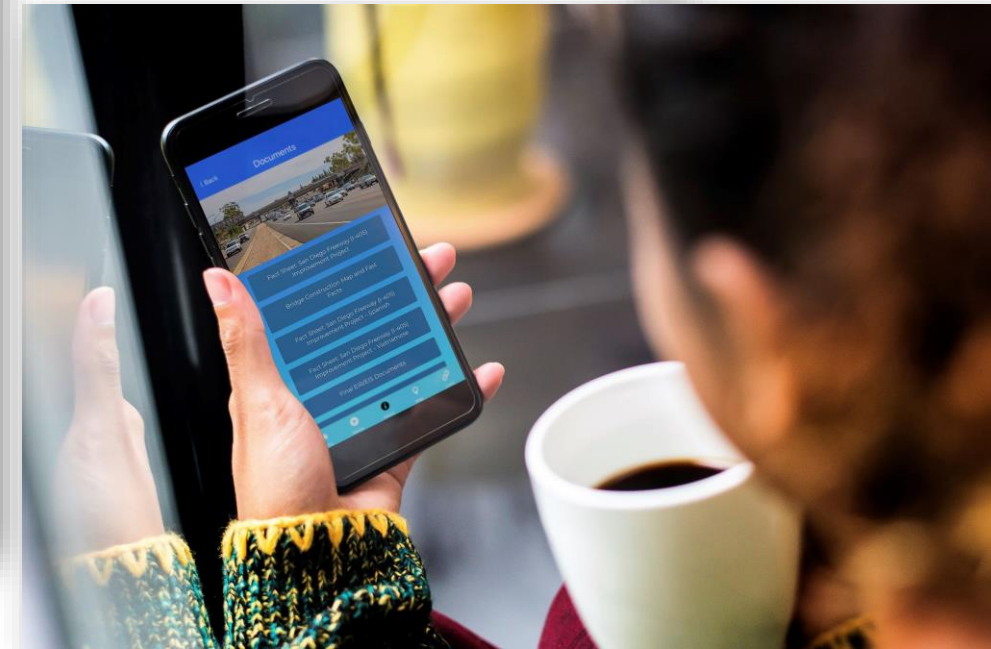
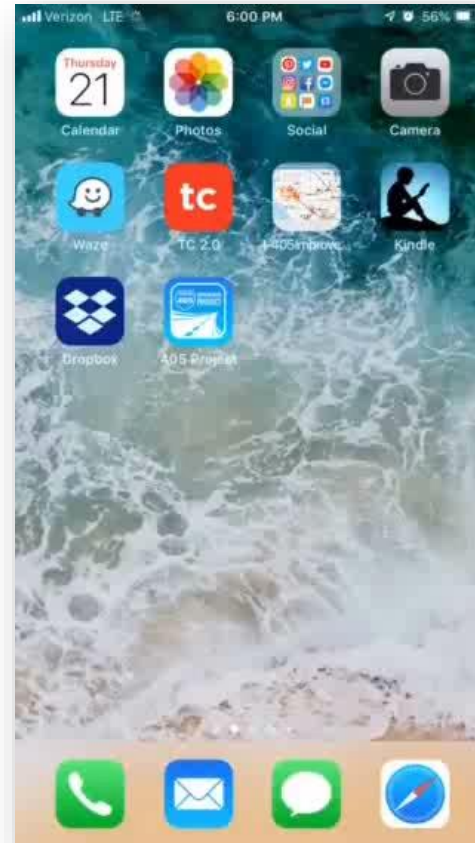
Nếu quý vị muốn nhận được thông tin này bằng tiếng Việt, xin vui lòng liên lạc với cô Lý Gia 888-662-6569.

  
Local Tax Dollars at Work

# Mobile App



- Quick access to current traffic conditions, closures, and detours
- Audio project updates
- Time-lapse videos
- Links to interactive map and Waze app
- Direct connection to Outreach Team







**April 1, 2019**

**To:** Regional Planning and Highways Committee

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

**Subject:** Consultant Selection for Construction Management Support Services for the Interstate 5 Widening Project Between State Route 73 and Oso Parkway

### **Overview**

On October 22, 2018, the Orange County Transportation Authority Board of Directors authorized the release of a request for proposals to provide construction management support services for the Interstate 5 widening project between State Route 73 and Oso Parkway. Board of Directors' approval is requested for the selection of a firm to perform the required work.

### **Recommendations**

- A. Approve the selection of Arcadis U.S., Inc., as the firm to provide construction management support services for the Interstate 5 widening project between State Route 73 and Oso Parkway.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-8-1969 between the Orange County Transportation Authority and Arcadis U.S., Inc., as the firm to provide construction management support services for the Interstate 5 widening project between State Route 73 and Oso Parkway.

### **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, which was 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 SR-73 and Alicia Parkway, extend the existing second high-occupancy vehicle (HOV) lane between Alicia Parkway and El Toro Road 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 on- and off-ramps, and convert existing and proposed HOV lanes to continuous access.

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

- Segment 1 extends between SR-73 and Oso Parkway
- Segment 2 extends between Oso Parkway and Alicia Parkway
- Segment 3 extends between Alicia Parkway and El Toro Road

Segment 1, between SR-73 and Oso Parkway, is in the final design and right-of-way acquisition phase. The Segment 1 construction contract will be advertised by Caltrans later this year. This procurement is for Segment 1 only. There will be a future procurement for construction management (CM) services for Segment 3. In August 2018, Segment 2 was procured and awarded under a separate contract.

Cooperative Agreement No. C-8-1960 between Caltrans and OCTA outlines the responsibilities of both agencies toward the Project and was approved by the Board on October 22, 2018. Caltrans will be the implementing agency responsible for advertisement, award, and administration of the construction contracts. Caltrans will also provide the resident engineer and structures representative, surveying, along with a limited number of field personnel. OCTA will retain a CM consultant firm to augment Caltrans staff with structural, roadway, and electrical inspection, construction staking, office engineering, materials testing, environmental, and claims support services. OCTA's consultant will also provide a field office to house construction staff working on the Project. Through separate contracts, OCTA will lead the public outreach and freeway service patrol efforts.

### ***Procurement Approach***

This procurement was handled in accordance with OCTA's Board-approved procedures for architectural and engineering (A&E) services that conform to both federal and state laws. Proposals are evaluated and ranked in accordance with the qualifications of the firm, staffing and project organization, and work plan. As this is an A&E procurement, price is not an evaluation criterion pursuant to state

and federal laws. Evaluation of the proposals was conducted on the basis of overall qualifications to develop a competitive range of offerors. The highest-ranked firm is requested to submit a cost proposal, and the final agreement is negotiated. Should negotiations fail with the highest-ranked firm, a cost proposal will be solicited from the second-ranked firm in accordance with Board-approved procurement policies.

On October 22, 2018, the Board authorized the release of Request for Proposals (RFP) 8-1969, which was electronically issued on CAMM NET. The Project was advertised on October 22 and October 29, 2018, in a newspaper of general circulation. A pre-proposal conference was held on November 1, 2018, and was attended by 33 firms. Four addenda were issued to provide pre-proposal conference registration sheets, provide responses to questions received, and handle administrative issues related to the RFP.

On November 30, 2018, five proposals were received. An evaluation committee consisting of staff from OCTA's Contracts Administration and Materials Management and Highway Programs departments, as well as external representatives from Caltrans District 12 and the City of Laguna Niguel met to review all submitted proposals. The proposals were evaluated based on the following Board-approved evaluation criteria and weights:

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

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

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



Firm and Location

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

Jacobs Project Management Co. (Jacobs)  
Irvine, California

Kleinfelder Construction Services, Inc. (Kleinfelder)  
Laguna Hills, California

On January 8, 2019, the evaluation committee interviewed the 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. Each firm was asked general questions related to its qualifications, relevant experience, project organization, and approach to the work plan. Firms also highlighted the staffing plan, work plan, and perceived project issues. Firms were asked general questions regarding the team's approach to the requirements of the scope of work, management of the Project, including coordination with the other two segments, coordination with various agencies, experience with similar projects, and the team's solutions in achieving the Project goals.

After considering the responses to the questions asked during the interviews, the evaluation committee adjusted the preliminary scores for two of the firms and the rankings changed, with Arcadis as the top-ranked firm with the highest cumulative score.

Based on the evaluation of written proposals and information obtained during the interviews, staff recommends Arcadis as the firm to provide CM support services for Segment 1 of the Project. This firm ranked highest among the proposing firms based on the team's relevant CM experience for widening and interchange projects. Arcadis' proposed team is comprised of highly-qualified key personnel with relevant and recent experience in freeway and bridge widening and interchange projects. The firm demonstrated a comprehensive understanding of the project requirements and presented a detailed work plan addressing key issues that are critical to the success of the project. Brief summaries of evaluation results follow for the three short-listed firms.

#### Qualifications of the Firm

All three short-listed firms are qualified and have relevant experience in delivering and managing CM services. Each firm has identified experience providing construction inspection services for freeway and bridge widening projects.

Arcadis specializes in providing CM inspection services for freeway and bridge widening and interchange projects since 1957. The firm has several hundred employees globally, including 130 employees at its Orange County office in Irvine, California. Arcadis has been providing transportation and related CM and inspection services throughout Southern California, including OCTA, San Bernardino County Transportation Authority (SBCTA), Port of Los Angeles, City of Victorville, and Caltrans.

Arcadis has demonstrated proficiency in providing CM support services for bridge demolition and new bridge construction and expansion, roadway and structures inspection, traffic management, retaining walls, utility coordination, electrical, office engineering, scheduling, claims analysis, constructability review, and Caltrans public agency coordination. Recent and similar projects completed include: Caltrans Interstate 405 (I-405)/Interstate 605 HOV West County Connectors, SBCTA State Route 210 (SR-210)/Pepper Avenue interchange and widening, SBCTA Interstate 15 (I-15)/Base Line Road interchange and widening, OCTA State Route 57 (SR-57) northbound widening (Katella Avenue/Lambert Road), OCTA Kraemer Boulevard railroad grade separation project, and Port of Los Angeles Interstate 110 (I-110)/C Street, Bridges Boulevard, and John S. Gibson improvement project.

Kleinfelder was founded in 1986 and specializes in providing engineering, CM, and inspection services for transportation projects to public agencies across the country. The firm is headquartered in San Diego with offices serving the United States and Canada. Kleinfelder has 72 employees and provides requested services out of its Laguna Hills office. The firm has experience and skilled services in construction and project management, field inspection, roadway/civil, structures, electrical, constructability review, office engineering, document control, claims resolution, and contract administration. Some of Kleinfelder's recent and relevant projects include: Caltrans on-call CM services, Caltrans State Route 52 corridor project, Caltrans I-5 pavement replacement project, San Diego Association of Governments on-call CM services, City of Corona Foothill Parkway westerly extension project, and OCTA/Caltrans District 12 West County Connectors.

Jacobs was founded in 1947 and provides CM services for large-scale transportation and freeway widening projects for OCTA, city, county, and state or federal agencies. The firm has more than 200 offices worldwide and several hundred employees in its four California offices. Jacobs has provided a variety of CM support services that include highway widening and interchange construction, new bridge construction, under- and over- crossing, traffic management, bridge removal and replacement, utility coordination, and traffic management. Other recent and relevant projects include OCTA I-5 HOV widening Segment 1 between Avenida Pico and Avenida Vista Hermosa, SBCTA Interstate 215 widening Segments 1 and 2, SBCTA Interstate 10 (I-10) median widening project, Riverside County Transportation Commission (RCTC) Interstate 214 Central widening project, and SBCTA SR-210 mainline Segments 9, 10, and 11, as well as numerous other CM projects.

#### **Staffing and Project Organization**

All short-listed firms proposed qualified project managers, key personnel, and subconsultants with relevant CM experience in freeway and bridge widening, roadway and structure inspection, and traffic management.

Arcadis proposed a highly-qualified project team with relevant comprehensive experience and a strong understanding of the project issues, risks, and challenges. Arcadis personnel are proposed for most of the key positions. The team is proficient in various disciplines of CM, bridge demolition and construction, roadway and structures inspections, and has extensive Caltrans experience. The team has demonstrated experience working on projects of similar size and scope. The proposed project manager has 36 years of experience, including 17 years of Caltrans experience managing highway, bridge widening, and interchange projects. The project manager has direct experience managing relevant construction projects and has served as both resident engineer and project manager managing complex interchange projects. Projects include State Route 22 design-build program management project, SBCTA I-15/La Mesa-Nisqualli Road interchange, and I-15/Base Line Road interchange projects. The proposed senior roadway inspector has 29 years of project management and resident engineer experience delivering highway, bridge, and other transportation projects for OCTA, Caltrans, and other state agencies. Projects include SR-210/Pepper Avenue interchange and widening, San Fernando Road intersection widening signals improvement project, and I-110/C Street Harry Bridge Boulevard.

The proposed lead structural inspector has 37 years of experience, overseeing the construction and widening of bridges and retaining walls. Experience includes supervision of inspectors, training, and team collaboration.

Kleinfelder proposed a project team of skilled engineers, inspectors, and technical personnel with experience in various disciplines of CM, civil engineering, and design services. The proposed project manager has 30 years of experience, including ten years working directly with Caltrans managing highway transportation projects. Projects include SBCTA I-10/Tippecanoe Avenue interchange improvement project, RCTC Perris Valley Line, 40<sup>th</sup> Street/I-15 highway widening, Caltrans District 11 Interstate 8 upgrade, continuously reinforced concrete pavement project, and Caltrans District 11 on-call CM services. The proposed senior roadway inspector has 27 years of experience as an engineer for transportation projects, including 14 years working directly for Caltrans. Projects include Caltrans District 12 I-5/Camino Real Road bridge widening, OCTA Tustin/Rose railroad grade separation project, Caltrans District 7 SR-57/State Route 60 interchange project, and Caltrans District 12 I-5 reconstruction from Katella Avenue to State College Boulevard. The proposed structural inspector has ten years in both construction and design for transportation projects, including highway bridge structures, and heavy and light rail structures. Projects include City of San Diego West Mission Bay Drive bridge, SBCTA I-10/Tippecanoe Avenue interchange improvement, and Phase I City of Corona Foothill Parkway westerly extension.

Jacobs proposed a project team with experience providing CM services for highway, bridge, and interchange projects. The proposed project manager has 27 years of experience, including 13 years working directly with Caltrans on similar freeway widening projects. Projects include OCTA SR-57 northbound widening central segment, SBCTA/Caltrans District 8 I-10 westbound lane addition, and SBCTA/Caltrans District 8 State Route 58 expressway widening. The proposed senior roadway inspector has 30 years of experience, including 25 years working as a resident engineer on Caltrans highway improvement projects. Projects include Caltrans I-110 bridge replacements and freeway widening, Caltrans I-405 ramp widening, and Caltrans State Route 91 freeway widening project. The proposed lead structural inspector has 27 years of experience, including four years working directly for Caltrans as a resident engineer. Projects include City of Pasadena, La Loma Road bridge reconstruction, Caltrans District 4 San Francisco-Oakland Bay Bridge west approach seismic retrofit, and Orange County Department of Public Works Oso Parkway bridge project.

## Work Plan

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

Arcadis presented a comprehensive work plan that addressed how the tasks of the scope of work would be completed. The firm demonstrated understanding of the project by identifying critical areas to the successful delivery of the project, such as stakeholder concerns and community engagement, potential project issues and viable solutions, electrical facilities challenges, utility coordination, and methods for quality, budget, and schedule controls. Arcadis presented a risk register matrix with detailed description of risks and resolution strategies, and included a comprehensive assessment and analysis of the project, costs, and project schedule. Arcadis' innovative approach includes a recommendation to reduce the amount of excavation by enhancing the subgrade soil stability by utilizing ground penetrating radar technology to better ascertain actual locations of underground utilities. The interview demonstrated a cohesive, well-qualified, cross-trained team with detailed project-specific responses from all key personnel to interview questions. The team as a whole has relevant CM bridge widening, roadway, and structure inspection experience.

Kleinfelder presented a thorough work plan approach identifying key issues, providing sound recommendations, and viable solutions. The plan demonstrated understanding of the scope of work to include structure, roadway, electrical, and utilities coordination. Kleinfelder presented a three-phased approach to completing critical tasks for pre-construction, construction, and post-construction activities. The plan also identified key project challenges and viable solutions. Kleinfelder presented a good interview, supporting the firm's experience, staffing, work plan, and understanding of the overall project. The project manager was responsive to all interview questions; however, there was limited participation from other key personnel.

Jacobs presented a detailed work plan that demonstrated an understanding of the scope of work, challenges, and project risks. The work plan includes key project challenges anticipated and responses to mitigate those risks. Some of the challenges identified include utility impacts and potential slope failures. The work plan also discusses constructability issues, risk management, utility coordination, and traffic management activities. Jacobs presented a good presentation and interview, and the project manager was responsive to the interview questions. The team demonstrated a good understanding of the overall project goals, issues, and challenges. There was limited participation and responses from other key personnel.

#### Procurement Summary

Based on the evaluation of the written proposals, team qualifications, and information obtained during the interviews, the evaluation committee recommends the selection of Arcadis as the top-ranked firm to provide construction management support services for Segment 1 of the Project.

#### Fiscal Impact

The Project is included in OCTA's proposed Fiscal Year 2019-20 Budget, Capital Programs Division, Account 0017-9085-FC102-071, and is funded with federal and M2 funds.

#### ***Summary***

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute Agreement No. C-8-1969 with Arcadis U.S., Inc., as the firm to provide construction management support services for the Interstate 5 widening project between State Route 73 and Oso Parkway (Segment 1).

**Consultant Selection for Construction Management Support Page 10  
Services for the Interstate 5 Widening Project Between  
State Route 73 and Oso Parkway**

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***Attachments***

- A. Review of Proposals, RFP 8-1969 Construction Management Support Services for the Interstate 5 Widening Project Between State Route 73 and Oso Parkway (Segment 1)
- B. Proposal Evaluation Criteria Matrix (Short-listed), RFP 8-1969 Construction Management Support Services for the Interstate 5 Widening Project Between State Route 73 and Oso Parkway (Segment 1)
- C. Contract History for the Past Two Years, RFP 8-1969 Construction Management Support Services for the Interstate 5 Widening Project Between State Route 73 and Oso Parkway (Segment 1)

**Prepared by:**



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Project Manager  
(714) 560-5436

**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

**Review of Proposals**  
**RFP 8-1969 Construction Management Support Services for the Interstate 5 Widening Project Between State Route 73 and Oso Parkway (Segment 1)**  
Presented to Regional Planning and Highways Committee - April 1, 2019

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

Overall Ranking	Overall Score	Firm & Location	Subcontractors	Evaluation Committee Comments
1	85	Arcadis U.S., Inc. Irvine, California	Balk Biological, Inc. Dynamic Engineering Services, Inc. Ninyo & Moore Paleo Solutions, Inc. TRC Solutions Inc.	Highest-ranked overall firm. Experience in providing transportation and construction management inspection services for freeway and bridge widening and interchange projects. Highly-experienced team in various disciplines of construction management, bridge demolition, new bridge construction, and roadway and structures inspections. Proposed project manager has 36 years of experience managing highway, bridge widening, and interchange transportation projects. Comprehensive, project-specific work plan approach identified key issues, risks and mitigation strategies, and cost-saving enhancements. Excellent interview that demonstrated a cohesive team with detailed project-specific responses to interview questions.
2	83	Kleinfelder Construction Services, Inc. Laguna Hills, California	Analyzer International Inc. Fountainhead Consulting Corporation GCAP Services, Inc. ICF Jones & Stokes, Inc. Leighton Group, Inc. Paleo Solutions, Inc.	Firm has experience in engineering, construction and project management, field inspection, and office engineering services for transportation and interchange projects. Well-qualified project team of engineers, inspectors, and technical personnel with proven experience delivering different phases of design and construction projects. Proposed project manager has 30 years of experience managing highway transportation projects. Detailed work plan identified potential roadway and structural issues, project challenges, and cost-saving enhancements. Very good interview that demonstrated an experienced team with good responses to interview questions.
3	79	Jacobs Project Management Co. Irvine, California	Dynamic Engineering Services, Inc. Engineering Solutions Services, Inc. HDR Construction Control Corporation Paleo Solutions, Inc. S2 Engineering, Inc.	Firm has experience in construction management services for transportation and freeway widening projects. Qualified team with experience providing construction management services for highway, bridge, and interchange projects. Proposed project manager has 27 years of experience providing construction management services on freeway widening projects. Detailed work plan demonstrated an understanding of the scope of work and identified project challenges, risk management, constructability issues, and traffic management services. Good interview and responses to questions.

**Evaluation Panel: (6 Members)**

Internal:  
Contracts Administration and Materials Management (1)  
Highway Programs (2)  
External:  
California Department of Transportation (2)  
City of Laguna Niguel (1)

**Evaluation Criteria:**

Qualifications of the Firm  
Staffing and Project Organization  
Work Plan

**Weight Factors**

25%  
40%  
35%



**PROPOSAL EVALUATION CRITERIA MATRIX (Short-listed)**

**RFP 8-1969 Construction Management Support Services for the Interstate 5 Widening Project  
Between State Route 73 and Oso Parkway (Segment 1)**

<b>Firm: Arcadis U.S., Inc.</b>								
<b>Evaluator Number</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>Weights</b>	<b>Average Weighted Score</b>
Qualifications of Firm		4.0	4.0	4.0	4.0	4.0	5	20.0
Staffing/Project Organization		4.0	4.5	4.5	4.5	4.0	8	34.4
Work Plan		4.0	4.5	4.5	4.5	4.0	7	30.1
<b>Overall Score</b>		<b>80.0</b>	<b>87.5</b>	<b>87.5</b>	<b>87.5</b>	<b>80.0</b>		<b>85</b>

<b>Firm: Kleinfelder Construction Services, Inc.</b>								
<b>Evaluator Number</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>Weights</b>	<b>Average Weighted Score</b>
Qualifications of Firm		4.0	4.0	4.0	4.0	4.0	5	20.0
Staffing/Project Organization		4.0	4.0	4.5	4.0	4.0	8	32.8
Work Plan		4.5	4.5	4.0	4.0	4.5	7	30.1
<b>Overall Score</b>		<b>83.5</b>	<b>83.5</b>	<b>84.0</b>	<b>80.0</b>	<b>83.5</b>		<b>83</b>

<b>Firm: Jacobs Project Management Co.</b>								
<b>Evaluator Number</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>Weights</b>	<b>Average Weighted Score</b>
Qualifications of Firm		4.5	4.5	4.5	4.5	4.5	5	22.5
Staffing/Project Organization		3.5	4.0	3.5	3.5	3.5	8	28.8
Work Plan		4.0	4.0	4.0	4.0	4.0	7	28.0
<b>Overall Score</b>		<b>78.5</b>	<b>82.5</b>	<b>78.5</b>	<b>78.5</b>	<b>78.5</b>		<b>79</b>

The range of scores for non-short-listed firms is 63-66.

CONTRACT HISTORY FOR THE PAST TWO YEARS

RFP 8-1969 Construction Management Support Services for the Interstate 5 Widening Project Between State Route 73 and Oso Parkway (Segment 1)

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
<b>ARCADIS</b>						
Contract Type:		No contracts awarded				
Subconsultants:						
<b>Subtotal</b>						<b>\$0</b>
<b>KleinFelder Construction Services, Inc.</b>						
Contract Type: Time & Expense	C-2-2053	Public outreach for Interstate 405 improvement project	June 24, 2013	June 30, 2019		\$ 3,576,400.00
Subconsultants:						
Arrow GTP						
Cornerstone Communications						
Creative Edge Project LLC						
Gensler						
Green Grass Communications						
KleinFelder Construction Services, Inc.						
MBI Media						
Media Planning & Placement, Inc.						
Network Public Affairs						
Steven Alfano Photography						
T&T Business Systems						
We the Creative						
Contract Type: Time & Expense	C-5-3673	Construction management services Laguna Niguel/San Juan Capistrano passing siding project	May 8, 2017	December 31, 2021		\$ 3,268,658.00
Subconsultants:						
AESCO, Inc.						
Chaudhary & Associates						
FCG						
KleinFelder Construction Services, Inc.						
Padilla & Associates, Inc.						
SafeworkCM						
Syrusa Engineering, Inc.						
ZT Consulting Group, Inc.						
Contract Type: Time & Expense	C-6-1246	Public communications and community outreach for Rail capital projects	October 3, 2016	August 31, 2018		\$ 119,000.00
Subconsultants:						
Dean Hesketh Company, Inc.						
Lazar Translating / Interpreting						
RDS Printing & Graphics						
The Walking Man						
<b>Subtotal</b>						<b>\$ 6,964,058</b>

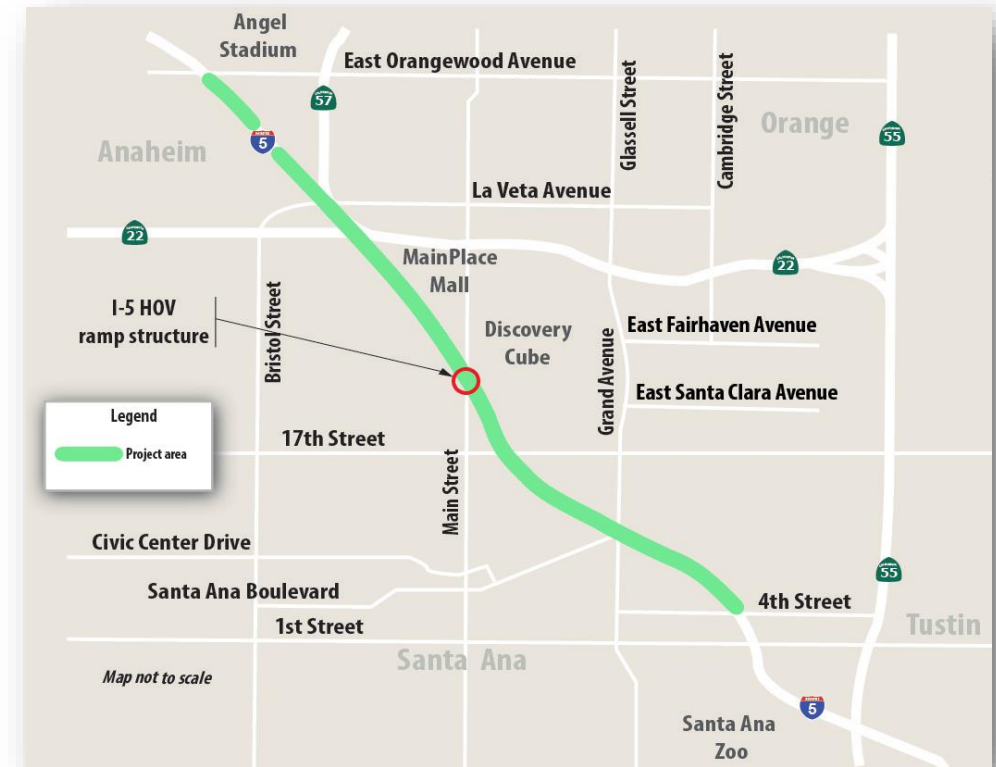
Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
<b>Jacobs Project Management Co.</b>						
Contract Type: Time & Expense	C-1-2975	Construction management services for Tustin Avenue/Rose Drive railroad grade separation project	November 28, 2012	December 31/2017		\$ 5,113,329.77
Subconsultants:						
Borterra Psomas						
Coast Surveying Inc.						
Earthspectives						
J L Patterson & Associates Inc.						
Leighton Consulting, Inc.						
Contract Type: Time & Expense	C-3-2112	Construction management for Interstate 5 high-occupancy vehicle improvement project Avenida Pico to Avenida Vista Hermosa	February 11, 2009	December 31, 20019		\$ 6,338,994.00
Subconsultants: None						
Contract Type: Firm-Fixed Price	C-5-3424	Prepare project report and environmental document for State Route 55 improvement project from Interstate 5 to State Route 91	February 8, 2017	November 30, 2019		\$ 4,492,651.80
Subconsultants:						
Coast Surveying Inc.					\$ 163,485.32	
Epic Land Solutions, Inc.					\$ 60,953.29	
Fehr & Peers					\$ 502,423.19	
HDR Engineering, Inc.					\$ 727,534.55	
Leighton Consulting, Inc.					\$ 130,883.62	
LSA Associates, Inc.					\$ 170,816.31	
Optitrans					\$ 182,167.53	
Paleo Solutions, Inc.					\$ 30,768.51	
Sapphos Environmental, Inc.					\$ 31,018.95	
Tatsumi and Partners, Inc.					\$ 46,299.36	
Terry A. Hayes Associates, Inc.					\$ 131,706.72	
Contract Type: Time & Expense	C-4-1447	Construction management consultant services for design-build Interstate 405 improvement project between State Route 55 and Interstate 605	June 29, 2016	December 31, 2022		\$ 34,056,297.00
Subconsultants:						
Fountainhead Consulting Corporation						
Harris & Associates						
MTGL, Inc.						
Wagner Engineering & Survey						
Contract Type: Contract Task Order	C-9-0856	On-call design and construction support services for miscellaneous facility modification projects	August 1, 2010	December 31, 2017		\$ 0.00
Subconsultants:						
Fuel Solutions, Inc.						
Guida Surveying Inc.						
<b>Subtotal</b>						<b>\$ 50,001,272.57</b>



# **Update on Interstate 5 Improvement Project from State Route 55 to State Route 57**

# Project Limits and Background

- Within cities of Santa Ana and Orange
- Project A in Measure M2 (M2)
- Adds second high-occupancy vehicle (HOV) lane on Interstate 5 (I-5) between State Route 55 and State Route 57
  - Increase HOV lane capacity
  - Eliminate bottlenecks at HOV merge points
  - Reduce congestion/delay and improve air quality
- Cost is \$41.5 million
  - Congestion Mitigation and Air Quality Program funding
  - Surface Transportation Block Grant Program funding
  - M2 funding
- Construction phase has started






# I-5/Main Street HOV Ramp



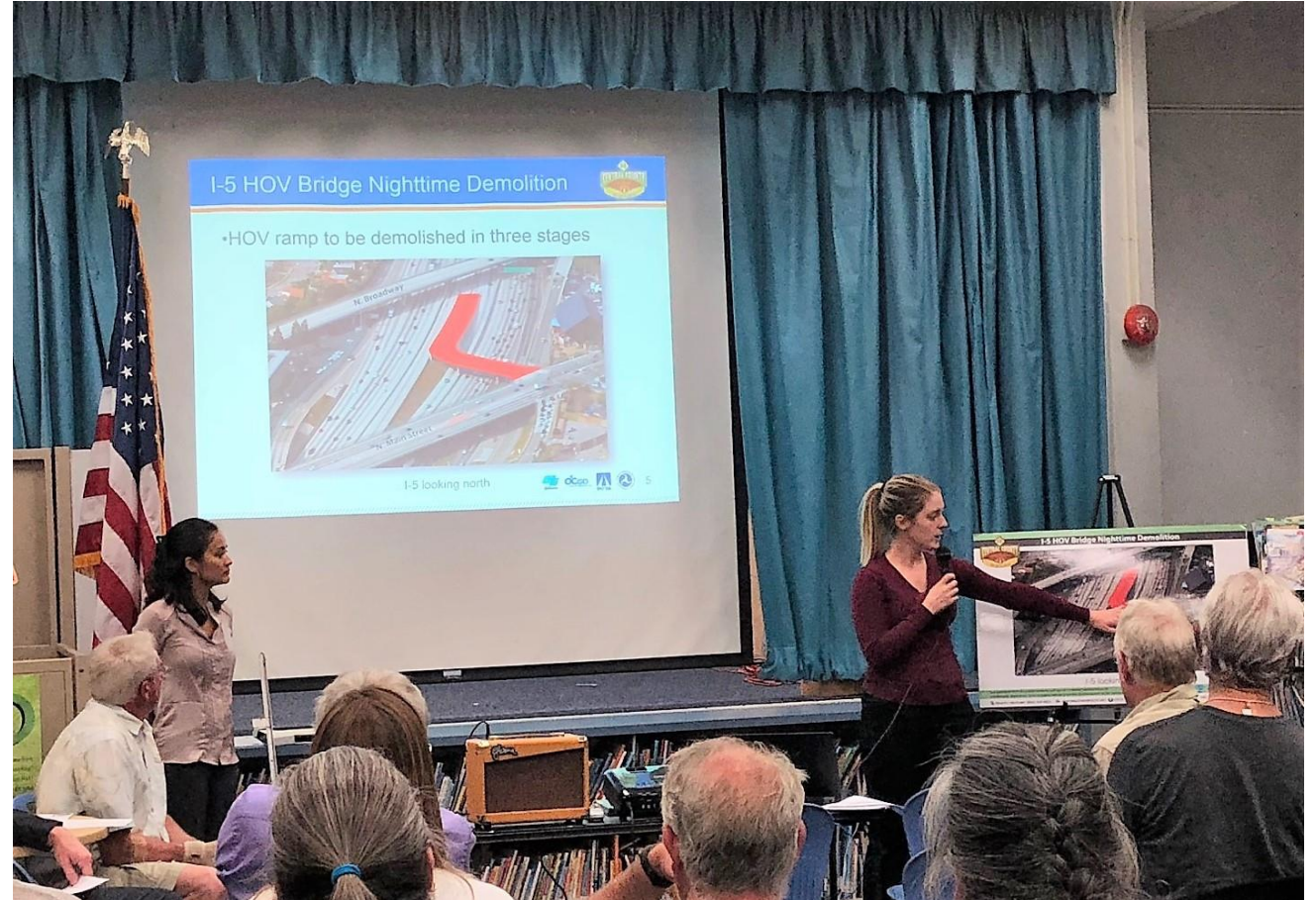
# Project Construction Schedule

	2018	2019	2020	2021
Construction				
Contract approval		✓ December 28, 2018		
First working day		✓ February 20, 2019		
HOV ramp closure		★ Early April		
HOV ramp demolition		★ Early Summer		
Project complete				★ Early 2021



# Engagement Strategies

- City Council updates
- Key stakeholder briefings
- Stakeholder Working Group meetings
- Neighborhood meetings
- Civic organization and neighborhood association presentations
- Chambers of Commerce and business presentations
- Community events





# Public Outreach

- Collateral with project branding
- Weekly email construction alerts
- Interactive closures and detours map
- SMS text messages
- Social media



**PROYECTO DE MEJORAS AL I-5 RUTA ESTATAL (SR-55) Y LA RUTA ESTATAL 57 (SR-57)**

**I-5 HOV IMPROVEMENTS PROJECT SR-55 TO SR-57**

**LARGO**  
3 millas

**CIUDADES POR LA CARRETERA**  
Anaheim, Orange, Santa Ana y Tustin

**EN RESUMEN**

**COSTO ESTIMADO DEL PROYECTO:** \$41.5 millones

**FONDOS:** Federales y Locales

**EXTENSION COMUNITARIA:** Calina North Community Relations Officer  
800-724-0353  
central5@occta.net

**PAGINA WEB:** www.occta.net/i5

**REDES SOCIALES**  
**FACEBOOK:** @oc5centralco  
**TWITTER:** @oc5centralco  
**INSTAGRAM:** @oc5centralco

Haga clic para obtener más información

**LENGTH**  
Approximately 3 miles

**CORRIDOR CITIES:**  
Anaheim, Orange, Santa Ana and Tustin

**AT A GLANCE**

**ESTIMATED PROJECT COST:** \$41.5 million

**FUNDING SOURCES:** Federal and Local

**COMMUNITY OUTREACH:** Calina North Community Relations Officer  
800-724-0353  
central5@occta.net

**WEBSITE:** www.occta.net/i5Central

**FACEBOOK:** @oc5centralco  
**TWITTER:** @oc5centralco  
**INSTAGRAM:** @oc5centralco

Fact Sheet Updated 3/2019

**PROJECT OVERVIEW**

Approximately 380,000 motorists travel I-5 each day between the SR-55 and SR-57 freeways. That figure is expected to climb to more than 400,000 vehicles daily by 2035, an increase of nearly 7 percent.

The existing high occupancy vehicle (HOV) lanes were constructed about 20 years ago, and there are bottlenecks during peak traffic hours, with speeds averaging less than 45 mph. This project will add a second HOV lane in each direction of I-5 from the 55 to the 57, and the HOV lanes will be striped for continuous access.

**PROJECT STATUS**

The environmental phase of the project was completed in April 2015. The project design phase was completed at the end of 2017, and construction is anticipated to begin in early 2019.

Adding a second HOV lane in each direction will require removing the concrete barrier between the existing HOV lanes and the general purpose lanes, and demolishing the I-5/Main Street HOV drop-ramp structure.

The structure is expected to be demolished in three stages. The first two stages will require lane closures; the last stage will require a full freeway closure.

**PROJECT SCHEDULE**

PHASE	APPROXIMATE TIME FRAMES
	2011 2012 2013 2014 2015 2016 2017 2018 2019 2020 2021
Environmental	2011-2015
Design	2015-2017
Right of Way	2017-2018
Caltrans Review & Award	2018-2019
Construction	2019-2021

**PROJECT MAP**

Orange County Transportation Authority  
560 S. Main Street  
P.O. Box 14184  
Orange, CA 92668-1684  
(714) 560-0 CTA  
www.occta.net

Orange County Transportation Authority  
560 S. Main Street  
P.O. Box 14184  
Orange, CA 92668-1684  
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